

ARIZONA DEPARTMENT OF TRANSPORTATION

ENGINEERING CONSULTANTS SECTION

REQUEST FOR QUALIFICATIONS PACKAGE

CONTRACT NUMBER: 2026-020

US 60 (GRAND AVENUE): DEER VALLEY ROAD TO LOOP 303 (ULTIMATE SYSTEM INTERCHANGE) DESIGN CONCEPT REPORT AND ENVIRONMENTAL ASSESSMENT

MARICOPA COUNTY



"An Equal Opportunity Agency"

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 Americans with Disabilities Act (ADA), 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, national origin in consideration for an award.

Persons that require a reasonable accommodation based on language or disability should contact ADOT's Engineering Consultants Section by phone (602) 712-7525. Requests should be made as early as possible to ensure the State has an opportunity to address the accommodation.

Las personas que requieran asistencia (dentro de lo razonable) ya sea por el idioma o discapacidad deben ponerse en contacto con ADOT (602) 712-7525.

JUNE 2026

REQUEST FOR QUALIFICATIONS PACKAGE
ADOT CONTRACT NUMBER: 2026-020
US 60 (GRAND AVENUE): DEER VALLEY ROAD TO LOOP 303 (ULTIMATE SYSTEM INTERCHANGE)
DESIGN CONCEPT REPORT AND ENVIRONMENTAL ASSESSMENT
MARICOPA COUNTY
ADOT PROJECT NUMBER: F0854 01L

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SECTION I - PUBLIC ADVERTISEMENT

**FOR PUBLICATION Thursday, June 11, 2026 and Thursday, June 18, 2026
IN THE ARIZONA REPUBLIC NEWSPAPER**

ARIZONA DEPARTMENT OF TRANSPORTATION (ADOT)/ENGINEERING CONSULTANTS SECTION (ECS)/PUBLIC NOTICE FOR **US 60 (GRAND AVENUE): DEER VALLEY ROAD TO LOOP 303 (ULTIMATE SYSTEM INTERCHANGE), MARICOPA COUNTY**/ADOT CONTRACT NUMBER: **2026-020**/ADOT PROJECT NUMBER: **F0854 01L**/Statements Due: **Thursday, July 2nd 2026**, 2026 2:00 P.M. Arizona (Phoenix) Time/ADOT is accepting Statement of Qualifications (SOQs) from Consultants to provide a Design Concept Report, Environmental Assessment, and Traffic Report/The Request for Qualifications (RFQ) Package for Contract 2026-020 is available on the ECS website (<https://azdot.gov/business/engineering-consultants/advertisements/current-advertisements-engineering-consultants>)/ADOT is an Affirmative Action/Equal Opportunity Employer/Para Español hable (602-712-7525).

SECTION II - GENERAL INSTRUCTIONS

REQUEST FOR QUALIFICATIONS
FOR CONSULTANTS INTERESTED IN
US 60 (GRAND AVENUE): DEER VALLEY ROAD TO LOOP 303 (ULTIMATE SYSTEM INTERCHANGE)
DESIGN CONCEPT REPORT AND ENVIRONMENTAL ASSESSMENT
MARICOPA COUNTY
ADOT CONTRACT NUMBER: 2026-020
ADOT PROJECT NUMBER: F0854 01L

Statements Due: Thursday, July 2nd, 2026, 2:00 P.M. Arizona (Phoenix) Time

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

As format instructions and guidelines for each advertisement/RFQ Package vary, read this RFQ Package carefully. The ECS Consultant Contract Manual (ECS Manual) governs the ECS Qualification Based Selections (QBS) process and this ECS solicitation, selection and negotiation process; however the requirements and instructions in this RFQ supersede the ECS Manual. The ECS Manual governs in all matters silent in this RFQ.

ADOT, also referred to as the Department, throughout this RFQ Package, reserves the right to reject any and all SOQs, or cancel the advertisement, negotiations or contract at any time in the best interest of the State.

SOQs will be accepted from any Consultant prequalified through ECS and properly registered with the [Arizona Board of Technical Registration](#) (BTR) at the time the SOQ is submitted to ECS. This contract does require a Principal, Officer of the Firm or Project (Contract) Manager responsible for this contract that is properly registered with the BTR at the time of SOQ submittal. It is the Consultant's responsibility to verify that all Subconsultants, in the SOQ submittal, have the proper Arizona licenses and/or registrations, and Disadvantaged Business Enterprise (DBE) certification, if applicable, for the services to be performed under this contract.

Consultants downloading the RFQ 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 Consultant 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 Sections IV and V for further instruction.

The selected Consultant(s) shall provide a Design Concept Report, Environmental Assessment, and Traffic Reports, and an Americans with Disabilities Act (ADA) Compliance and Feasibility Report while leading public involvement. This contract may be a two-phase contract. Phase I will consist of services to prepare a Design Concept Report (DCR), Environmental Assessment and related studies and reports as outlined in this document. Phase II may be activated at the discretion of the State after the completion of the Phase I PSW by means of contract modification and may consist of the final design and preparation of construction documents. Phase II, design services, may be added by modification at ADOT's sole discretion.

ADOT may select one prime Consultant from among those submitting SOQs for further consideration. Previous experience in Design Concept Reports, bridges and structures, roadway, utility, and planning and scoping will be a factor in the selection. SOQs submitted by prime Consultants will be evaluated and selected based on the criteria outlined in Sections V and VI of this RFQ. Requested services are further detailed in the Scope of Work located in Section XXIII of this RFQ.

A firm proposing as a prime Consultant is not permitted to serve as a Subconsultant on another contract. By submitting an SOQ as a prime Consultant, the firm is stating that they will not be proposed on any other project team as a Subconsultant. In addition, it is the responsibility of the firm proposing as a prime Consultant to ensure that prior to their submittal of their SOQ, they have written acknowledgement from their proposed Subconsultants that the subconsulting firms will not submit an SOQ themselves as a prime Consultant (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 prime Consultant and is identified as a Subconsultant in another prime Consultant's proposal shall have their prime Consultant **SOQ submission rejected**. If a prime Consultant lists firms as Subconsultants in its SOQ, the prime Consultant must be able to provide ADOT with evidence, if requested, of written consent provided by the Subconsultant firms that are listed as part of their prime Consultant's SOQ, or that prime Consultant's SOQ will be rejected. A firm who proposed, but was not selected may be added as a Subconsultant after the contract has been executed.

This contract has been established as **DBE Neutral with a 0.00% DBE Goal**. The Compensation Type for this contract will be **Lump Sum**. The non-negotiable Fixed Fee for this contract, and any applicable extensions, has been established at **10%**.

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 to 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

Due

Indicates when something must be **received** by ADOT, regardless of when it was sent. ECS utilizes the time stamp indicated in the ecssq@azdot.gov mailbox.

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 Consultant fails to provide recommended information, ADOT may, at its sole option, ask the Consultant 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.

There will be no pre-submittal meeting associated with this solicitation.

Effective the date of the first public advertisement of this contract, no further contact is allowed with **any** ADOT, Maricopa Association of Governments (MAG), City of Surprise, Maricopa County Department of Transportation (MCDOT), or Flood Control District of Maricopa County (FCDMC) personnel concerning this project except for questions of an administrative or contractual nature that shall be submitted in writing to the attention of ECS at the email address below. This restriction is in effect until the selection has been announced.

RFQ Questions and SOQ Submittal Instructions

Questions, in writing, shall be received by ECS until **Wednesday, June 24, 2026 at 2:00 P.M. Arizona (Phoenix) Time**. No further questions shall be accepted after the time specified. All Consultants will be notified of any Consultant's 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 Consultant in the SOQ submittal. Failure to do so shall result in rejection of the SOQ. See Sections IV and V for further instructions. Any violation of the contact restrictions may be grounds for rejection of the Consultant's SOQ.

Submit SOQs expressing interest in the above referenced project following ECS SOQ Submittal Instructions found in Section XI until 2:00 P.M. Arizona (Phoenix) Time on Thursday, July 2, 2026. No SOQs shall be accepted after the date and time specified. Hard copies of SOQs shall not be accepted. Oral interviews will not be held as part of the evaluation and selection process.

Prime Consultant Prequalification with ECS

Submission of the SOQ requires the prime Consultant is pre-qualified with ECS. **Failure to prequalify with ECS will result in SOQ rejection.**

A listing of current Prequalified Consultants, by firm name and by firm discipline, can be found on the ECS website, [Consultant Prequalification](#).

If the prime Consultant's name **is not listed** on the spreadsheet, the Consultant is **not** currently pre-qualified with ECS and the Consultant cannot submit an SOQ. Consultants who intend to submit an SOQ for this proposed contract shall successfully submit a prequalification application to ECS no later than **Wednesday, June 24, 2026 at 2:00 P.M. Arizona (Phoenix) Time.**

Complete instruction for prequalification can be found on the Consultant Prequalification page on the ECS website [Consultant Prequalification](#). Any submissions for Prequalification with ECS received after June 24, 2026, at 2:00 P.M. Arizona (Phoenix) Time are not guaranteed to be reviewed by the SOQ due date. For questions or further clarification regarding the ECS Prequalification, contact the ECS Front Desk at E2@azdot.gov.

If the prime Consultant's name **is listed**, they **are** prequalified with ECS.

Key Personnel

The Consultant'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. It is the responsibility of the submitting prime Consultant to determine which positions and/or persons that are considered Key Personnel. **Any person named from the consultants team (in any section with the exception of Project Principal/Officer of the Firm) by the submitting consultant shall be considered Key Personnel, including Subconsultants.** For all Key Personnel identified in the SOQ, the consultant shall include the individual's existing and company responsibilities, company/corporate titles and document their availability and commitment to meeting ADOT's needs performed under this contract. The prime Consultant acknowledges that the Department will rely on this representation and commitment in its selection process and was a key factor in the selection of the most qualified Consultant and award of the contract.

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

1. The Consultant's Project (Contract) Manager in direct charge of the overall project/contract work.

The prime Consultant shall provide the resumes for the Project (Contract) Manager and any other personnel identified by name in their SOQ. Each resume shall be limited to **one** page 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, including other personnel (classifications identified in Attachment A of the Scope of Work) determined by the Consultant. These are personnel from both the Consultant and Subconsultants who the Consultant wishes to highlight in the submittal that may provide special expertise or perform critical task(s) on the project. Failure to include resumes of Key Personnel identified in the SOQ will result in rejection of the submitted SOQ as non-responsive. 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.

Any person named from the consultants team will be considered key personnel and must have a resume. Failure to include a resume for all key personnel named will result in rejection.

The prime Consultant Project Principal or Officer of the Firm responsible for contractual matters will not be considered a Key Personnel.

Contract Specific Direction Regarding Standards of Conduct and Conflict of Interest

Consultants shall refer to Section XXII of this RFQ for ADOT's contract specific direction regarding Standards of Conduct and Conflict of Interest, including use of supplemental services consultants and temporary technical engineering personnel on this contract.

Prime Consultants and Subconsultants 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 prime Consultant or Subconsultant becomes aware of an actual, potential, or perceived Conflict of Interest at any time during the solicitation or participation in this Contract, the Consultant shall promptly disclose the matter in writing to ADOT, including a written description of the action the Consultant 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 Consultant 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 prime Consultant's SOQ (including any affiliates) or termination of the contract.

Consultants shall familiarize themselves with ADOT's Conflict of Interest policies, including ECS Consultant Contract Manual (Section 1.08 – Standards of Conduct and Conflict of Interest), which will apply to the consultant's organizational and personnel activities.

ADOT Audit Requirements

As required by Federal regulations, during the negotiation stage of the contracting process, ECS will request the ADOT Office of Audit and Analysis (Audit and Analysis) to conduct a review of proposed indirect cost (overhead) rates or unit rates for the selected prime Consultant(s) and its Subconsultant(s) (Consultants). Consultants are required to comply with requests for supporting documentation from Audit and Analysis. Supporting documentation should be readily available upon request by ADOT to ensure an efficient review process.

Supporting documentation may include:

- **Unit Rate Reviews** - Client invoices, fee schedules, calculation breakdowns, and any other relevant information.
- **Indirect Cost Rate Reviews** - Consultants that propose on an indirect cost rate basis are required to provide all documentation listed on page 1 of the *American Association of State Highway and Transportation Officials (AASHTO) – Internal Control Questionnaire (ICQ)*. All requested documentation shall be available for review by Audit and Analysis **no later than six months from the completion of the Consultant's preceding fiscal year-end**. For example, a Consultant with a fiscal year end of December 31st, shall have required documentation available no later than June 30th.

Additional information and supporting documentation may be requested once a Consultant has been engaged for review. Non-compliance with the above requirements shall be considered failed negotiations unless waived in writing by ADOT.

If you have questions about the review process, please refer to the Audit and Analysis website at <https://azdot.gov/about/audit-and-analysis>.

Additional Requirements

The approved Labor Classification List, and associated definitions and qualifications, can be found on the ECS Website. ECS will review rates for the labor classifications identified in the solicitation based upon definitions and qualifications documented in the approved Labor Classification List https://azdot.gov/sites/default/files/2019/06/fy13_ecs_labor_classification_list_w_definitions.pdf and in accordance with Federal cost principles. Labor classifications proposed by a consultant other than those identified in this RFQ, or at a higher classification than those identified in this RFQ, must be approved by ADOT and rates for those classifications will be negotiated based on definitions and qualifications documented in the approved Labor Classification List and in accordance with Federal cost principles.

To standardize the Labor Classifications ADOT allows for all projects, the list of labor classifications anticipated to be used for the proposed contract is listed on **Attachment A** in the Scope of Work.

The selected prime Consultant(s) and applicable Subconsultant(s) may be required to attend a Pre-Negotiation meeting and shall bear the cost of their time.

The SOQ submitted by the selected firm(s) will be made available on the ECS website to all interested parties, after the selection announcement. Copies of SOQs submitted by non-selected firms will not be distributed or available for review by any party at any time. Any reproduction including, but not limited to, copying and photographing of the winning SOQ(s) **is not permitted**. Interested parties that did not propose (submit SOQs) for this contract are not permitted or entitled to protest the Department's selection.

All selected prime Consultant(s) shall be required to establish a local office in the State of Arizona **prior** to the Notice to Proceed (NTP) date if one does not already exist.

Professional liability insurance is required.

The boilerplates for all ECS contracts are non-negotiable.

Partnerships (joint-ventures) are not allowed.

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

Inclusion of cost, work-hour and/or plan-sheet estimates in the SOQ is not allowed.

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

- 1st Newspaper Advertisement Date: Thursday, June 11, 2026
- 2nd Newspaper Advertisement Date: Thursday, June 18, 2026
- Prequalification Application Due: Wednesday June 24, 2026
- Questions Due: Wednesday, June 24 at 2:00 P.M. Arizona (Phoenix) Time
- SOQ Submittal Due Date: Thursday, July 2, 2026 at 2:00 P.M. Arizona (Phoenix) Time
- Estimated Selection Date: Monday, August 10, 2026
- Initial Cost Proposal Due Date: Monday, August 31, 2026
- Estimated Contract Notice to Proceed Date: Thursday, October 29, 2026

It is the expectation that all firms selected for this contract actively participate throughout the negotiation process. If a firm fails to submit documentation, respond to questions and comments, or provide required revisions in a timely manner, ADOT reserves the right to declare failed negotiations, terminate negotiations with that firm and commence negotiations with the next ranked firm.

SECTION III – DISADVANTAGED BUSINESS ENTERPRISE PROGRAM
ADOT CONTRACT NUMBER: 2026-020

Disadvantaged Business Enterprises

The Arizona Department of Transportation (hereinafter referred to as ADOT), has established a Disadvantaged Business Enterprises (DBE) Program in accordance with the regulations of the U.S. Department of Transportation (USDOT), [49 CFR Part 26](#) and as amended in the Interim Final Rule (IFR) dated October 3, 2025. ADOT has received federal financial assistance from the U.S. Department of Transportation and as a condition of receiving this assistance (hereinafter referred to as “federally-funded” or “federal-aid”), ADOT has signed an assurance that it will comply with 49 CFR Part 26 and as amended in the IFR dated October 3, 2025.

It is the policy of ADOT to ensure that DBEs, as defined in 49 CFR Part 26 and as amended in the IFR dated October 3, 2025, have an equal opportunity to receive and participate in federally-funded contracts. It is also ADOT’s policy to:

1. Ensure nondiscrimination in the award and administration of federally-funded contracts;
2. Create a level playing field on which DBEs can compete fairly for federally-funded contracts;
3. Ensure that the DBE program is narrowly tailored in accordance with applicable law;
4. Ensure that only firms that fully meet 49 CFR Part 26 and as amended in the IFR dated October 3, 2025 eligibility standards are counted as DBEs;
5. Help remove barriers to the participation of DBEs in federally-funded contracts;
6. Assist in the development of firms that can compete successfully in the marketplace outside the DBE program; and
7. Promote the use of DBEs in all types of federally-funded contracts and procurement activities.

It is also the policy of ADOT to facilitate and encourage participation of Small Business Concerns (SBCs), as defined in Appendix C of this contract (See Section XVII). ADOT encourages prime Consultants to take reasonable steps to eliminate obstacles to SBCs’ participation and to utilize SBCs in performing contracts.

The Federal regulations require a recipient of federal highway funding to implement an approved DBE Program that consists of establishing a statewide DBE utilization goal and using DBE-neutral means to the maximum feasible extent to achieve the goal. Where DBE-neutral measures prove inadequate to achieve the goal, the State is required to use DBE-conscious measures, such as a DBE participation goal for individual contracts.

ADOT has established an overall annual goal for DBE participation on Federal-aid contracts. ADOT intends for the goal to be met with a combination of DBE-conscious efforts and DBE-neutral efforts. DBE-conscious participation occurs where the prime Consultant uses a percentage of DBEs to meet a contract-specified goal. DBE-neutral efforts are those that are, or can be, used to assist all small businesses or increase opportunities for all small businesses. The regulation, [49 CFR Part 26](#) and as amended in the IFR dated October 3, 2025 defines DBE neutral as when a DBE wins a prime contract through customary competitive procurement procedures or is awarded a subcontract on a prime contract that does not carry a DBE contract goal.

This contract has been designated as a DBE-Neutral Contract and has an established DBE Goal of 0.0%. Prime Consultants are encouraged to obtain DBE participation above and beyond the goal on this contract.

DBE Reporting

ADOT is required to collect data on all DBE participation to report to FHWA, whether or not there is a stated DBE goal on the contract. Prime Consultants should refer to Sections 4.33, 4.47 and Appendix C of the contract (See Section XVII) for information on DBE reporting requirements. Payment reporting requirements apply to all contracts, federal and non-federal funded. Accurate reporting is needed to track DBE participation.

To count toward meeting the goal, DBE Consultants and Subconsultants must be certified at the time of the Cost Proposal submission in each NAICS code applicable to the kind of services proposed in the SOQ submittal. DBE Consultants and Subconsultants performing work for services for which they are not certified will not be counted towards the DBE goal. Furthermore, proposing DBE Consultant, or Small Business Concern (SBC) Consultant or Subconsultants to provide services they are not certified in may negatively impact the prime Consultant’s score. To confirm the firm’s DBE certification and work categories the firm is certified to perform, visit the AZ UTRACS System ([AZ UTRACS](#)) or contact ADOT Small Business and Workforce Development (SBWD) at (602) 712-7761.

Prime Consultants and Subconsultants are **required to register** their firms in [AZ UTRACS](#). Prime Consultants shall specify the anticipated role of **all** certified DBE firms who will participate as Subconsultants in this contract and shall be noted in eCMS’

Consultant Information Page (CIP), Subconsultants subsection. The DBE Subconsultants' experience and their role in the contract shall also be explained in SOQ Section V, Part C (Evaluation Criteria), 3. Project Team Experience and Availability. eCMS does not track the DBEs used as direct expense vendors; therefore, do not enter the DBE direct expense vendors into eCMS as Subconsultants when submitting SOQs.

Additionally, all proposers shall create a Bidder's/Proposer's List in the AZ UTRACS by selecting all firms, services providers, and vendors that expressed interest or submitted proposals or quotes for this contract. The Bidders/Proposers List form must be completed and must include the names for all Subconsultants, service providers, and vendors that submitted proposals or quotes on this project regardless of the proposer's intentions to use those firms on the project. All proposers must complete and submit the Bidders/Proposers List online at AZ UTRACS prior to the Statement of Qualifications submittal. **A confirmation email will be generated by the system, which must be included with the Statement of Qualifications of the prime Consultant.**

****Failure to submit the required Bidder's/Proposer's list confirmation email from SBWD with the statement of qualifications of the prime consultant shall be cause for the proposer's SOQ to be rejected.****

Before the first Payment Report/Invoice is submitted to ECS, the prime Consultant is required to logon to the ADOT DBE & OJT Online Reporting System at <https://adotdoors.dbesystem.com/> and enter the name, contact information, and subcontract budget amounts for **all** DBE and non-DBE Subconsultants and direct expense vendors performing **any** work on the project.

Prime Consultants shall submit a payment report on a monthly basis, per Section 4.0 of the contract (See Section XVII), indicating the amounts earned by and paid to all Subconsultants, lower-tier Subconsultants and direct expense vendors working on the contract in the manner detailed in the Progress Payment Report (PPR) format for the contract. *All DBE and non-DBE Subconsultants, lower-tier Subconsultants and direct expense vendors shall confirm their payments received through the ADOT DBE System.* The Prime Consultant may credit second-tier subcontracts issued to DBEs by non-DBE Subconsultants. Any second-tier subcontract to a DBE used to meet the goal shall meet the requirements of a first-tier DBE subcontract.

Fostering Small Business Participation

[49 CFR Part 26.39](#) and as amended in the IFR dated October 3, 2025 also requires that ADOT's DBE Program includes an element to incorporate contracting requirements to facilitate participation by Small Business Concerns (SBCs) in federally-assisted contract procurements for prime Consultants and Subconsultants. SBCs are for-profit businesses registered to do business in Arizona that meet the Small Business Administration (SBA) size standards for average annual revenue criteria for its primary North American Industry Classification System (NAICS) code.

While the SBC component of the DBE Program does not require utilization of goals on projects, **ADOT strongly encourages prime Consultants to utilize small businesses on their contracts** that are registered in AZ UTRACS, in addition to DBE meeting the certification requirement. Visit AZ UTRACS at <https://utracs.azdot.gov/AzUtracsRegistration/> to search for certified DBEs and registered SBCs that can be used on this contract. However, SBCs that are not DBEs will not be counted toward the DBE contract goal.

Assurances of Non-Discrimination

The prime Consultant, sub-recipient, or Subconsultant shall not discriminate on the basis of race, color, sex or national origin in the performance of this contract. The prime Consultant shall carry out applicable requirements of [49 CFR Part 26](#) and as amended in the IFR dated October 3, 2025 in the award and administration of federally-funded contracts. Failure by the prime Consultant to carry out these requirements is a material breach of this contract, which may result in the termination of this contract or such other remedy as ADOT deems appropriate, which may include, but not limited to:

1. Withholding monthly progress payments;
2. Assessing sanctions;
3. Liquidated damages;
4. Disqualifying the prime Consultant from submitting SOQs, or any other forms of proposals, as non-responsible;
5. Cancellation, termination, or suspension of the Contract, in whole or in part.

The prime Consultant, sub-recipient, or Subconsultant shall ensure that all subcontract agreements contain this non-discrimination assurance.

SECTION IV – SOQ FORMAT INSTRUCTIONS

ADOT CONTRACT NUMBER: 2026-020

The total page limit is **14 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. Prime Consultants shall follow the applicable submittal instructions found in Section XI. 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 IV and V, as formats for each advertisement/RFQ Package may vary. **Failure to follow the format as outlined in this RFQ shall result in rejection of the SOQ.**
3. Number of Pages – Number of pages shall not exceed the page limit specified above, beginning with the Introductory Letter and ending with the last page. **Failure to follow the page limit specified in the RFQ shall result in rejection of the SOQ. Do not add any additional pages, forms, documents, divider pages and attachments that are not specifically listed or requested in the RFQ as they shall be counted towards the page count and shall cause the proposal to 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 Consultants use a 10-point or larger font for the body of the proposal and that the SOQ is legible and easy to read. Proposal scores may be adversely affected if SOQs are not legible or the font size is too small to read 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 will require attachments but these shall not be included in the page count. See Section V, Part D for a detailed list of requested attachments.
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. Consultants should check the ECS website, *Current Advertisements* page prior to submitting the SOQ proposal, print all amendments from the *Current Advertisements* page of the ECS website for the relevant project, sign the amendment(s) acknowledging receipt and append it to the SOQ proposal before submitting the completed document. **Failure to include all pages of each issued Amendment; signed and dated, in the submitted SOQ shall 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 **shall 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.
10. SOQ Submission
 - a. Submit the SOQ via email to: ECSSOQ@azdot.gov.
 - b. **Prime Consultant Prequalification**

Submission of the SOQ requires the prime Consultant is pre-qualified with ECS. **Failure to prequalify with ECS will result in SOQ rejection.**

A listing of current Prequalified Consultants, by firm name and by firm discipline, can be found on the ECS website, [Consultant Prequalification](#).

If the prime Consultant's name is **not listed** on the spreadsheet, the Consultant is **not** currently pre-qualified with ECS and the Consultant cannot submit an SOQ. Consultants who intend to submit an SOQ for this proposed contract shall successfully submit a prequalification application to ECS no later than **Wednesday, June 24, 2026 at 2:00 P.M. Arizona (Phoenix) Time.**

Complete instruction for prequalification can be found on the Consultant Prequalification page on the ECS website [Consultant Prequalification](#). Any submissions for Prequalification with ECS received after Wednesday, June 24, 2026 at 2:00 P.M. Arizona (Phoenix) Time are not guaranteed to be reviewed by the SOQ due date. For questions or further clarification regarding the ECS Prequalification, contact the ECS Front Desk at E2@azdot.gov.

If the prime Consultant’s name is **listed**, they **are** prequalified with ECS.

- c. 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	MAXIMUM POINTS	TOTAL NUMBER OF PAGES
PART A	INTRODUCTORY LETTER (Page 1)		1
PART B	SOQ PROPOSAL CERTIFICATIONS FORM (15-point checklist) (Page 2)		1
	PARTICIPATION IN BOYCOTT OF ISRAEL FORM (Page 3)		1
	FORCED LABOR OF ETHNIC UYGHURS BAN FORM (Page 4)		1
PART C	EVALUATION CRITERIA		10
	1. Project Understanding & Approach	45	
	2. Project Risks and Schedule	35	
	3. Project Team Experience and Availability	20	
	4. Past Performance	0 thru -5	
PART D	ATTACHMENTS (Required but shall not count toward page limit)		
	1. Key Personnel Resumes Only: Identified in the SOQ (each resume shall not exceed one page each)		
	2.SOQ Bidder’s/Proposer’s Solicitation List Confirmation Email (from SBWD)		
PART E	AMENDMENTS (If applicable, required only if amendment(s) were issued. The amendment(s) shall not count towards the page limit, extra pages of any sort will count towards the page limit)		
PART F	CONSULTANT INFORMATION PAGES (CIP) (Required but shall not count towards page limit)		
	TOTALS	100	14

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

SECTION V – SOQ FORMAT AND EVALUATION CRITERIA
ADOT CONTRACT NUMBER: 2026-020

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

PART A. Introductory Letter

The Introductory Letter shall be the **first page** of the SOQ and shall be addressed to:

Arizona Department of Transportation
Engineering Consultants Section
205 South 17th Avenue, Mail Drop 616E
Phoenix, Arizona 85007

The Introductory Letter should be no longer than **one page** and shall contain the following items:

1. An expression of the prime Consultant'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. Provide the name and Professional Engineer's registration number of the prime Consultant Principal, Officer of the Firm or Project (Contract) Manager responsible for this contract that is properly registered with the BTR at the time the SOQ is submitted to ECS.
4. A summary of key points regarding the Consultant's qualifications.
5. Indicate whether or not the Consultant is a certified DBE. DBE Consultants and Subconsultants must be certified for the services proposed in the SOQ Submittal.
6. Signature of the Consultant's Principal, an Officer of the firm, or another authorized SOQ signer indicated in the Consultant's current prequalification application.

PART B. SOQ Proposal Certifications Form, Participation in Boycott of Israel – Consultant Certification Form and The Forced Labor of Ethnic Uyghurs - Consultant Certification Form

The *SOQ Proposal Certifications Form* (15-point checklist) shall be the **second page** of the SOQ. The certification statements are to ensure that prime Consultants are aware and in agreement with required Federal, State and ECS guidelines related to the award of this contract. The *SOQ Proposal Certifications Form* (15-point checklist) shall be signed by the prime Consultant's Principal, an Officer of the firm, or another authorized SOQ signer indicated in the Consultant's current prequalification application. Failure to sign and submit the correct SOQ Proposal Certifications Form (15-point checklist) located in Section XII **shall result in the SOQ proposal being rejected.**

The ADOT *Participation in Boycott of Israel – Consultant Certification Form* shall be the **third page** of the SOQ. Use the link in Section XIX to review, print out, complete and sign the ADOT Participation in Boycott of Israel – Consultant Certification Form, which shall be signed by one of the prime Consultant's Principal, an Officer of the firm, or another authorized SOQ signer indicated in the Consultant's current prequalification application. Failure to sign and submit the certification form located in Section XIX **shall result in the SOQ proposal being rejected.**

The ADOT *Forced Labor of Ethnic Uyghurs Ban – Consultant Certification Form* shall be the **fourth page** of the SOQ. Use the link in Section XX to review, print out, complete and sign the ADOT Forced Labor of Ethnic Uyghurs – Consultant Certification Form, which shall be signed by one of the prime Consultant's Principal, an Officer of the firm, or another authorized SOQ signer indicated in the Consultant's current prequalification application. Failure to sign and submit the certification form located in Section XX **shall result in the SOQ proposal being rejected.**

PART C. Evaluation Criteria

The qualifications and associated evaluation criteria shall begin on the **fifth page** of the SOQ. The SOQ proposal 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 45 points)

Discuss generally the tasks involved in this project. Identify any special issues or problems that are likely to be encountered. Outline your proposed approach for dealing with the tasks and issues of this project. Demonstrate clearly and concisely your understanding of the technical and institutional elements for which your firm must deal with in this project.

2. Project Risks and Schedule (Maximum 35 points)

Provide a tentative schedule indicating the duration and functional relationship of major tasks and key events. Discuss strategies to avoid or make up any slippage of the schedule. A graphical depiction may be included to describe the schedule. Include a tentative risk register that identifies the project risks and your mitigation strategies.

3. Project Team Experience and Availability (Maximum 20 points)

Provide a summary of experience and qualifications of the Project (Contract) Manager and other Key Personnel (including Subconsultants). Identify any projects that the proposed Project (Contract) Manager will be involved with concurrently and time committed to each project. Discuss the Consultant's recent relevant experience of comparable character, size, budget and complexity, and indicate clearly whether that experience was as a Consultant or Subconsultant. Describe any notable expertise, increase in capacity or other special capabilities of your Subconsultants (including DBEs and SBCs) that are critical to your proposal.

4. Past Performance (Maximum of up to 5 points may be deducted from the total score)

Consultants' past performance on ECS administered contracts will be determined based on the Consultants' **final** evaluation history for contracts executed **after July 1, 2010**. Up to five points will be deducted from the Consultant's scores during the selection process on performance factors of evaluation for projects a firm has completed for the Department over the most current one-year timeframe. More information about the Consultant Evaluation Program Guidelines can be found in Section XV.

ADOT will apply the past performance scores once the Selection Panel has completed its scoring and has determined the firms' final average score. ADOT will deduct points, if applicable, from the final average score for each firm based on performance ratings listed below:

Performance rating of 1 or 2 on 1 - 2 evaluation factors	-1 Point
Performance rating of 1 or 2 on 3 - 4 evaluation factors	-2 Points
Performance rating of 1 or 2 on 5 - 6 evaluation factors	-3 Points
Performance rating of 1 or 2 on 7 - 8 evaluation factors	-4 Points
Performance rating of 1 or 2 on 9 or more evaluation factors	-5 Points

PART D. Attachments

Attach the required documents listed below. These documents will not count towards the page limit. **Failure to include requested documents shall 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 shall 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.

1. Key Personnel Resumes: Resumes of Key Personnel identified in the SOQ (Project (Contract) Manager) are required. Each resume shall not exceed **one** page each. Do not include any additional pages as identified in Section IV, Number 7, Section V, Part D, and further defined in Section IV, Number 3 & 4, separating the resumes from the main proposal or separating more than one resume being submitted. Only include resumes for Key Personnel. Any additional resumes will count towards the overall page limit, regardless of the location these documents are placed in the SOQ. **Failure to include resumes for any person named in the SOQ shall result in rejection of the SOQ proposal.**

2. The SOQ Bidder's/Proposer's Solicitation List confirmation email from ADOT Small Business and Workforce Development (SBWD) shall be included in Part D, Attachments, in the SOQ. Inclusion of this document in any other location of the SOQ will cause this document to be included in the overall page count. See Section VIII-DBE Program Information and Forms for a link to the AZ UTRACS website.

In accordance with [49 CFR 26.11](#), ADOT is required to create and maintain a *Bidder's/Proposer's Solicitation List* to capture accurate data regarding the universe of DBE, non-DBE, and Small Business Concerns (SBC) Consultants and Subconsultants who expressed interest or were solicited to work on this contract. Bidder's/Proposers **must** complete the required information by listing each Subconsultant that (1) prime Consultant directly solicited to be a part of this contract, (2) contacted the prime Consultant expressing interest in this contract and (3) prime Consultant ultimately proposes to utilize on this contract. ADOT **SBWD** will review this form to ensure compliance with 49 CFR 26.11 and provide the prime Consultant with an email confirming receipt/successful submittal. This confirmation email is the "SOQ Bidder's/Proposer's Solicitation List Confirmation Email" which shall be included in Part D: Attachments of the prime Consultants SOQ. Firms may be contacted for clarification or additional information. **Failure to include the confirmation email from SBWD and submit it with the SOQ proposal shall result in rejection of the SOQ proposal.** See Section VII – DBE Program Information and Forms.

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**, by the prime Consultant's Principal, an Officer of the firm, or another authorized SOQ signer indicated in the Consultant's current prequalification application, **in the submitted SOQ shall result in the SOQ being rejected.** See Section IV 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.

PART F. Consultant Information Pages (CIP)

The Consultant Information Page (CIP) (containing the CIP, Subconsultant(s) Table, DBE Goal Assurance/Declaration and SOQ Submittal Checklist) should be submitted with your firm's SOQ. If the pages are missing from the SOQ, ECS will make an additional request for the CIP via email. If the CIP is not received by the deadline stated in email, the SOQ will then be rejected. See Section XXI for further instruction.

Ensure all subconsultants are listed in the ECS Subconsultant database: [eCMS Subconsultant Database](#). If a Subconsultant's name is **not** in the eCMS database, email ECS at E2@azdot.gov with the firm name, address, City, State and Zip Code. Allow two business days to have the Subconsultant added to eCMS.

The completed CIP pages shall be the **very last pages of the SOQ**. Placement of the CIP in any other location of the SOQ may result in the page(s) being counted towards the stated page limit. Do not add additional pages, forms, documents, divider sheets, or attachments with the CIP that are not specifically requested as these shall count toward the page count and could cause your proposal to be rejected.

SECTION VI - Panel Ranking Form

**Panel Ranking Form
ADOT Contract No.: 2026-020**

FIRM NAME _____

PANEL MEMBER _____

1. PROJECT UNDERSTANDING AND APPROACH (Maximum 45 points)

How well has the Consultant demonstrated an understanding of the nature and scope of the tasks involved in this project and any special issues or problems that are likely to be encountered? Has the consultant provided an adequate framework for dealing with the tasks and issues of this project? How well did the consultant provide an understanding of the technical and institutional elements that must be dealt with in this project?

PROJECT UNDERSTANDING AND APPROACH TOTAL POINTS _____

2. PROJECT RISKS AND SCHEDULE (Maximum 35 points)

How well does the consultant's tentative schedule realistically capture the duration and functional relationship of each of the major tasks and key events? Did the consultant provide adequate strategies to avoid (or make up) any slippage in the project schedule? Does the tentative risk register identify the major project risks and reasonable and achievable mitigation strategies?

PROJECT RISKS AND SCHEDULE POINTS _____

3. PROJECT TEAM EXPERIENCE AND AVAILABILITY (Maximum 20 points)

How well do the qualifications and experience of the prime Consultant's Project (Contract) Manager, other key personnel identified and Subconsultants relate to the SOW requirements? Does the Project (Contract) Manager have sufficient time committed to this project? Does the Consultant have recent relevant experience with projects of comparable character, size, budget and complexity? Do the Subconsultants offer any notable expertise, increase in capacity or other special capabilities to the Prime consultant for this project?

PROJECT TEAM EXPERIENCE AND AVAILABILITY POINTS _____

4. Past Performance (Maximum of up to 5 points may be deducted from the total score by ECS)

PAST PERFORMANCE _____

FIRM TOTAL SCORE _____

NOTE: If any of the following links are inoperable, copy and paste the specific link(s) below into your browser or navigate to the ECS webpage where most of the required documents needed for SOQ submittal are located: <https://azdot.gov/business/engineering-consultants>

SECTION VII – DBE Program SOQ Submittal Requirements and Program Information and Forms

SOQ Submittal Requirements:

AZ UTRACS Registration

Prime Consultants and subconsultants will be registered in AZ UTRACS:
<https://utracs.azdot.gov/AzUtracsRegistration/>

AND

SOQ Bidder's/Proposer's Solicitation List Confirmation email

Shall be completed online through AZ UTRACS and the confirmation email from ADOT SBWD shall be submitted with the Consultant's Statement of Qualifications:
<https://utracs.azdot.gov/BiddersListInfo/>

Program Information and Forms:

DBE Program Information

To review the DBE Program Information, use the following link:
<https://azdot.gov/business/engineering-consultants/disadvantaged-business-enterprise-dbe-program-ec>

ADOT DBE & OJT Online Reporting System (ADOT DOORS)

To confirm DBE certification and work certified to perform, use the following link:
<https://adotdoors.dbesystem.com/>

DBE Intended Participation Affidavit (Consultant)

To review the DBE Intended Participation Affidavit, use the following link:
<https://apps.azdot.gov/files/beco/adotcompliance/Professional-Services/206PS-DBE-Intended-Participation-Summary-Affidavit.pdf>

DBE Intended Participation Affidavit (Subconsultant)

To review the Subconsultant Intended DBE Participation Affidavit, use the following link:
<https://apps.azdot.gov/files/beco/adotcompliance/Professional-Services/205PS-DBE-Intended-Participation-Affidavit.pdf>

Certificate of Good Faith Efforts Form

To review the Certificate of Good Faith Efforts Form, use the following link:
<https://apps.azdot.gov/files/beco/adotcompliance/Professional-Services/203PS-Certification-of-GOOD-FAITH-EFFORT.pdf>

SECTION VIII – NOT USED FOR THIS CONTRACT

SECTION IX - Lobbying Certification

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

SECTION X - Project Summary/Reference Material Availability

To review all documents regarding this project, please email the following to E2@azdot.gov: Name (must be the individual who will be downloading documents); Email address; Firm name and contract number. After approval, an email will be sent with instructions to access the documents.

SECTION XI- SOQ Submittal Guidelines

Submittals shall be emailed to: ECSSOQ@azdot.gov. SOQs emailed to any other address will not be accepted.

SECTION XII – SOQ Proposal Certifications Form (15-point checklist)

Shall be completed and submitted with the Consultant's SOQ:

<https://azdot.gov/sites/default/files/media/2022/02/soq-certifications-form-2-11-2022.pdf>

SECTION XIII – Payment Report Format

To review the Lump Sum Payment Report Format, use the following link:

<https://azdot.gov/sites/default/files/2019/06/ls-payment-report-format.xls>

SECTION XIV – ADOT Advance Agreement Guideline and ADOT Consultant Audit Criteria

To review the ADOT Consultant Audit Guideline, use the following link:

<https://azdot.gov/sites/default/files/2019/05/consultant-audit-guide.pdf>

To review the ADOT Consultant Audit Criteria (Information Bulletin 08-03), use the following link:

<https://apps.azdot.gov/files/ecs/bulletins/08-03.pdf>

SECTION XV – ECS Consultant Evaluation Program Guidelines

To review Consultant Evaluation Program Guidelines, use the following link:

<https://azdot.gov/sites/default/files/2026-01/Consultant-Evaluation-Program-Guidelines-2026.pdf>

To review Information Bulletin IB 20-04, use the following link:

<http://azdot.gov/sites/default/files/media/2020/04/IB%2020-04.pdf>

SECTION XVI – ECS Consultant Contract Manual

To review the ECS Consultant Contract Manual, use the following link:

<https://azdot.gov/sites/default/files/2019/06/ecs-consultant-contract-manual.pdf>

SECTION XVII – Contract Boilerplate

To review the Lump Sum sample contract, use the following link:

<https://azdot.gov/sites/default/files/2025-10/LS-RC-RN-multi-phase>

SECTION XVIII – Dictionary of Standardized Work Tasks

To review the Dictionary of Standardized Work Tasks, use the following link:

https://azdot.gov/sites/default/files/2025-08/dictionary-of-standardized-work-tasks_1.pdf

SECTION XIX – ADOT Participation in Boycott of Israel – Consultant Certification Form

Shall be completed and submitted with the Consultant's SOQ:

<https://azdot.gov/sites/default/files/media/2020/05/Participation%20in%20Boycott%20of%20Israel%20-%20Consultant%20Certification%20Form%20May.pdf>

SECTION XX – ADOT Forced Labor of Ethnic Uyghurs Ban– Consultant Certification Form

Shall be completed and submitted with the Consultant's SOQ:

<https://azdot.gov/sites/default/files/2025-10/Forced-Labor-of-Ethnic-Uyghurs-Ban-Certification-Form.pdf>

SECTION XXI – Consultant Information Pages (CIP)

Shall be completed and submitted with the Consultant's SOQ:

<https://azdot.gov/sites/default/files/2024-05/Consultant%20Information%20Pages%20-%20Race%20Neutral%20Contract-Rev%20%2005062024.pdf>

SECTION XXII – 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 consultants 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 “Consultant Contract Manual” (dated June 2016).**

1.08 STANDARDS OF CONDUCT AND CONFLICT OF INTEREST

ADOT staff, and persons or entities working on behalf of a Consultant 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. This policy is 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.

Consultants 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 Consultant or Subconsultant 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.

Submit the above information on company letterhead five business days before the SOQ due date to ECSSOQ@azdot.gov.

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 consultant 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 Consultant or Subconsultant to work on ADOT contracts. Current ADOT employees shall not be included in a Statement of Qualifications proposal for an ADOT consultant contract as an owner, or member of the Consultant's or Subconsultant's team.
5. If a former ADOT employee is employed by a Consultant 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 Consultant 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 Consultant 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 Consultants (including Supplemental Service Consultants)

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

1. A Consultant and/or a Subconsultant, 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 Consultant or Subconsultant is not eligible to submit to perform services on these subsequent phases.
2. Supplemental Service Consultants 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 Consultant or Temporary-Technical Engineering Personnel.
3. Supplemental Service Consultants performing services for ADOT may not serve in any role on projects for which their firm is performing services for ADOT.
4. Supplemental Service Consultants 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 consultant 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 Consultant 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 consultant 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 Consultants 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. Consultants and/or Subconsultants 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.

Consultants or Subconsultants 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 Consultants 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 Department.

If a consultant 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.

**ARIZONA DEPARTMENT OF TRANSPORTATION
INFRASTRUCTURE DELIVERY AND OPERATIONS DIVISION PROJECT
MANAGEMENT GROUP**



PROJECT SCOPE OF WORK

US 60 (Grand Avenue): Deer Valley Road to Loop 303 (Ultimate System Interchange)

Design Concept Report and Environmental Assessment

ADOT TRACS No. F0854 01L

JUNE 2026

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LIST OF ABBREVIATIONS

See Dictionary of Standardized Work Tasks.

SECTION 100 - GENERAL INFORMATION

The Project Scope of Work (PSW) is contained in this document, and Appendices include additional information specific to this project. PSW information is supplemental to the current edition of the Dictionary of Standardized Work Tasks (DSWT). The Consultant shall be responsible for all work within the DSWT and PSW unless stated otherwise. Should there be conflicting statements the PSW shall take precedence over the DSWT unless stated otherwise.

The current edition is the July 2022 DSWT and can be found as part of Project Delivery References through the following webpage:

<https://azdot.gov/business/project-management-services/project-management-group/references-project-management-group>

This contract may be a two-phase contract. Phase I will consist of services to prepare a Design Concept Report (DCR), Environmental Assessments and related studies and reports as outlined in this document. Phase II may be activated at the discretion of the State after completion of the Phase I PSW by means of contract modification and may consist of the final design and preparation of construction documents.

110 Location

The Project limits are generally along US 60 from MP 136.5 to MP 139 and along SR 303L from 118.5 to 120. The limits may change as the project advances through the scoping phase. The City of Surprise and Sun City West are within or adjacent to the project.

See attached Project Location Map in Appendix A.

120 Description

Work under Section 120 shall be known as the Project.

The Arizona Department of Transportation (ADOT) is planning to widen and improve the US 60 / SR 303L Interchange and adjacent connecting ADOT roadways.

The US 60 (Grand Avenue): SR 303L to SR 74 Corridor Study was completed in February 2026 by the Maricopa Association of Governments (MAG). The study evaluated long range planning efforts to evaluate the travel demand, operational performance, safety conditions, and future infrastructure needs along the North Valley's most critical transportation corridors. US 60, also known as Grand Avenue or the Phoenix-Wickenburg Highway, plays a central role in the regional transportation network, serving as a major commuter route, freight corridor, and connector to key employment, educational, and commercial destinations. The results of the study found that a new interchange is needed at US 60 / SR 303L, 163rd Avenue / US 60. Widening of US 60 and other improvements along US 60 from south of US 60 / SR 303L Ultimate Interchange (UI), to facilitate the new UI, preceding Northwest to Deer Valley Road, and then roadway transitions back to the existing US 60 roadway section.

The PSW will be an Engineering Study that includes preparation of a DCR that includes 15% plans, an Environmental Assessment, and related studies and reports.

The work on this study will address the following:

- A. Prepare Initial and Final DCRs that include 15% plans that are consistent with the ultimate improvement plans. The documents shall include a detailed analysis and construction cost estimates of alternatives being carried forward for evaluation in the DCR.
- B. Prepare a Draft and Final Environmental Assessment and associated technical reports in conformance with the National Environmental Policy Act (NEPA).
- C. Prepare a Traffic Report including detailed evaluations of the potential alternatives. Intelligent Transportation Systems (ITS) will also be evaluated.
- D. Prepare an ADA Compliance and Feasibility Report, as needed.
- E. Support public involvement and agency coordination to build consensus among local communities and affected agencies. ADOT's consultant will lead the public involvement and ADOT Communications will provide support. The consultant ADOT Communications, and ADOT EP will work together to develop a Public Involvement Plan.

It may be necessary to collect and analyze data beyond the currently proposed limits to complete the study.

Design-Bid-Build (DBB) is the expected project delivery method. Design and Post-Design Services may be added by contract modification following successful completion and approval of the DCR and Environmental Assessment. If an alternative delivery method is selected for delivery of the project, alternative delivery services such as RFQ/P development and owner's representation during construction may be added by contract modification at the sole discretion of the Department.

130 Purpose

The purpose of this study is to prepare a DCR and Environmental Assessment to evaluate the Project and select a preferred alternative for further action.

140 Construction Cost

No construction budget is currently budgeted.

150 Organization

See DSWT.

160 Length of Services

The length of service is estimated to be 730 calendar days. This begins with the notice to proceed (NTP) and includes all reviews by the team and stakeholders.

171 Project Schedule

The Consultant shall provide a schedule of major project milestones no later than 15 days following the project kickoff meeting. At a minimum the schedule shall include the 20 milestones/flags

requested by ADOT. The schedule submitted shall be customized to reflect the exact needs of the project. The Consultant shall establish and manage the project schedule in the Workfront platform.

172 Project Schedule Updates

See DSWT.

173 Progress Meetings

The Consultant shall schedule, prepare materials for, attend, and participate in progress meetings during the duration of the project. These meetings include, but are not limited to, the kick-off meeting, monthly progress meetings unless otherwise specified by the PM and coordination meetings with the technical groups and other stakeholders. The Consultant shall record notes of the meetings. These notes shall be distributed to the PM and/or other team members within 5 calendar days of the meeting.

The consultant shall be responsible for leading all meetings unless approved by the ADOT PM prior to a meeting.

180 Responsibility Chart

Appendix B is a chart indicating the division of responsibilities between the consultant, ADOT and other stakeholders. This chart is intended as a "checklist"; in the event of conflict the written PSW shall take precedence.

The project stakeholders for the study effort shall include at a minimum ADOT technical disciplines, MAG, City of Surprise, Maricopa County Department of Transportation, Flood Control District of Maricopa County, project adjacent unincorporated communities within Maricopa County, utility companies, and other state and federal agencies.

191 Local, State and Federal Permits

The Consultant shall determine the need to obtain any federal, state, and local permits to conduct this study and shall advise ADOT no later than 60 days from the "Notice to Proceed". The Consultant, in coordination with ADOT, shall obtain temporary entry documents for entry to each parcel for any or all of the following activities: archaeological surveys, geotechnical investigations, location survey work and any other design related activities required for the project development.

SECTION 200 - DESIGN REFERENCES

See DSWT.

210 Miscellaneous Reports and Studies related to this project

Maricopa Association of Governments completed a study and related studies within and near the project area. Information can be found through the MAG study website:

Maricopa Association of Governments completed a study and related studies within and near the project area. Information, including the following documents, can be found through the MAG study website: <https://azmag.gov/Programs/Transportation/Freeways-and-Highways/US-60-Grand-Avenue-Loop-303-to-SR-74-Corridor-Study>

- US 60 (GRAND AVENUE): SR 303L TO SR 74 CORRIDOR STURDY - Final Report
- March 3, 2025 Virtual Public Meeting Recording
- Appendix A 024 Existing Conditions Report
- Appendix B 2050 Scenarios Analysis
- Appendix C Public Outreach Meeting Reports
- Appendix D Interim Years 2030 2040 2050 LOS and Delay
- Appendix E Cost Estimates
- GRAND AVENUE CORRIDOR STUDY Model Calibration and Validation
- US60/Loop 303 Traffic Interchange Improvements

220 AASHTO Publications

ADOT and local references and publications shall control the work, and any necessary supplementation should be provided by appropriate AASHTO and/or FHWA references. The ADOT Project Manager will provide guidance and direction as necessary.

230 Online References

See DSWT.

SECTION 300 - DESIGN CRITERIA

Design of this project and preparation of contract documents will be guided by the design criteria presented in the design standards, manuals and guidelines referenced in Section 200. Deviation from the policies and criteria may be permitted with the approval of ADOT. All projects shall be designed in English units of International Feet.

301 Supplemental Design Criteria

See DSWT.

310 General

1. Design Year - 2050
2. Design Speed to be determined by consultant and approved by ADOT as part of the DCR.
3. Pavement Design Life - 20 years

320 Utility

The project is anticipated to require utility relocations. The Consultant shall coordinate with the utility companies to determine projected relocation timelines, costs, and prior rights.

330 Drainage

The project is anticipated to require a floodplain impact analysis. Consultant shall coordinate with the controlling jurisdiction for criteria, review, and approvals.

340 Traffic

1. Signing Permanent (urban principal arterial)
2. Signing Temporary (traffic control during construction)
3. Pavement Marking (Signing and Marking Standards)

Traffic control requirements will be addressed by reference to the Manual of Uniform Traffic Control Devices (MUTCD), 2009 edition and associated ADOT supplement.

SECTION 400 - DESIGN WORK PERFORMED BY CONSULTANT

Design Work shall include Study Work. The work shall conform to the standards, criteria, and requirements of this PSW. Variations to the PSW set forth within shall be discussed with the ADOT PM prior to submitting an initial cost proposal.

The reports and technical documents prepared for the study shall include but are not limited to the following:

- A. The Consultant shall prepare an Initial Traffic Report following determination of the alternatives to be carried forward into the Initial DCR. Activities will include detailed evaluation of the alternatives relative to traffic operations and include all methodologies identified in the ADOT guidelines. Model runs for all carry-forward alternatives shall be requested from MAG by the Consultant. The Initial Traffic Report shall include proposed and future traffic signal locations at major intersections.
- B. The consultant shall prepare an Initial DCR and shall utilize the MAG US 60 (Grand Avenue): SR 303L to SR 74 Corridor Study to identify those alternatives to be carried forward for complete evaluation in the DCR and Environmental Document. The consultant shall utilize methods to enable the project to meet the requirements of analyzing all reasonable alternatives in support of the iterative nature of the NEPA process. Sufficient detail shall be prepared to provide an audit trail of the investigation and selection process. The number of alternatives recommended for detailed evaluation may vary but shall include a minimum of two build alternatives along with a No Build. Additional alternatives and variations may be considered based on current development patterns that have occurred since completion of the Feasibility Study.

The consultant shall present the preliminary carry-forward alternatives to the ADOT for approval. The consultant's alternative recommendations will be supported by their own research, results of the Agency and Public Scoping Meeting(s), site visit(s), community input, design criteria, initial traffic analysis, utility and right-of-way information and other information of record. The Initial DCR shall include detailed evaluation and recommendations for an implementation plan based on right of way, funding, and other items as identified during the study phase.

The consultant shall prepare an Initial DCR including conceptual design, estimated costs, right of way needs, and plan sheets containing design information developed to a 15% level, as defined in the ADOT Stage Deliverables Checklist. The information should also include that listed in ADOT's DCR development guidelines and memoranda as listed on the ADOT website.

Agency and Public Scoping Meeting(s) shall be held in the project vicinity to explain the project and solicit comments from the public and interested organizations on the relevant issues in the corridor and possible alternatives under consideration. These meetings will be organized, led and documented by the consultant, with support from ADOT Communications. A summary of the results will be prepared by the Consultant and included in the DCR.

- C. The consultant shall prepare a Draft Environmental Assessment and associated technical reports concurrent with the Initial DCR and in accordance with the applicable federal and state environmental regulations, following the NEPA process as required. This document will fully evaluate the project alternatives and describe the impacts of the necessary commitments. The consultant shall contact ADOT Environmental Planning for guidelines, checklist, and additional information on applicable regulations and standards. If any ground disturbing activities are deemed necessary, coordination and approval by ADOT and/or affected federal, state, and local agencies will be required. Ground disturbing activities such as geotechnical investigations and utility potholing are anticipated.
- D. The consultant shall respond to written comments from the review of the Initial DCR by holding a comment resolution meeting and issuing a Summary of Comments. The consultant shall submit the Final DCR, sealed by an Arizona Registered Professional Engineer as appropriate, at the completion of the study. The report shall include refinements of the materials developed since the Initial DCR and revisions resulting from the comment process. The consultant shall facilitate resolution of all comments received.
- E. ADOT Environmental Planning (EP) will prepare the Final Environmental Assessment concurrent with the preparation of the Final DCR.
- F. The Consultant shall determine the need for new or reconstructed structures on the project including all impacts to traffic interchanges and crossroad structures and prepare an Initial Bridge Study. The consultant shall recommend alternative structures and superstructure depths to the extent necessary for development of roadway concepts in the DCR documents. The Initial Bridge Study will be prepared for the final preferred alternative documented in the Final DCR and Environmental Assessment. The consultant shall follow ADOT Bridge Practice Guidelines in developing concepts for bridges, structures, and box culverts.
- G. The consultant shall prepare an ADA Compliance and Feasibility Report, if needed.
- H. The consultant shall prepare an Initial and Final Materials Design Report and Pavement Design Summary based on site conditions, available information, and geotechnical recommendations. The FMDR and PDS shall be signed and sealed by a registered professional engineer in the State of Arizona.

401 Design Features

See DSWT.

402 Partnering Process

See DSWT.

403 Scoping Documents

A scoping document shall be required and will be a DCR. See this PSW for additional information.

405 AASHTO Design Criteria Report

See DSWT.

410 Location Surveys

See DSWT.

The Consultant shall be responsible for all permit costs and traffic control plans.

411 Photogrammetry and Mapping

See DSWT.

The Consultant shall be responsible for all permit costs and traffic control plans.

416 Geotechnical Design

See DSWT.

The consultant shall perform geotechnical investigations and prepare the Draft and Final Geotechnical Reports, which will include bridge foundation, retaining wall, and all other geotechnical recommendations.

417 Earthwork

See DSWT.

418 Special Materials

See DSWT.

419 Pavement Design

See DSWT.

420 Environmental Studies

See DSWT.

425 Public Involvement Plan and Community Assessment

See DSWT.

430 Utilities and Railroads

See DSWT.

Existing utility locations shall be shown on Stage I Plans to facilitate review and identification of potential utility conflicts.

431 Utility Conflicts and Adjustments

See DSWT.

432 Utility Plans

See DSWT.

433 Utility Relocations and Adjustment

See DSWT.

434 Utility Special Provisions and Clearance Letter

Not part of the Project.

435 Establishing Utility Service Connection

Not part of the Project.

436 Railroad Coordination

See DSWT. Consultant shall only perform activities as needed for the Project.

440 Roadway Design

See DSWT.

445 Drainage Design

See DSWT.

446 Roadway Drainage Report

See DSWT. Consultant shall only perform activities as needed for the Project.

447 Roadway Drainage Designs

See DSWT. Consultant shall only perform activities as needed for the Project.

448 Section 404 / 408 Permit (Clear Water Act)

See DSWT. Consultant shall only perform activities as needed for the Project.

449 Evaluation of Alternative Pipe Culvert Materials

See DSWT. Consultant shall only perform activities as needed for the Project.

450 Landscape Architectural Practice and Design

See DSWT. Consultant shall only perform activities as needed for the Project.

455 Bridge Design

See DSWT. Consultant shall only perform activities as needed for the Project.

456 Bridge Selection Report

See DSWT. Consultant shall only perform activities as needed for the Project.

457 Bridge Hydraulics Report

See DSWT. Consultant shall only perform activities as needed for the Project.

461 Traffic Engineering Study

See DSWT. Consultant shall only perform activities as needed for the Project.

462 Temporary Traffic Control Plans

See DSWT. Consultant shall only perform activities as needed for the Project.

463 Intersection Signalization and Roadway Lighting

See DSWT. Consultant shall only perform activities as needed for the Project.

464 Signing Plans

See DSWT. Consultant shall only perform activities as needed for the Project.

465 Pavement Marking Plans

See DSWT. Consultant shall only perform activities as needed for the Project.

466 Intelligent Transportation Systems (ITS) Infrastructure

See DSWT. Consultant shall only perform activities as needed for the Project.

467 Road User Cost

See DSWT. Consultant shall only perform activities as needed for the Project.

468 Average User Delay

See DSWT. Consultant shall only perform activities as needed for the Project.

471 Right of Way Requirements Determination

See DSWT. Consultant shall only perform activities as needed for the Project.

472 Right of Way Acquisition

Not part of the Project.

473 Temporary Entry Documents

See DSWT.

475 Bid Advertising

Not part of the Project.

480 Cost Estimates

The Consultant shall prepare detailed construction cost estimates for each alternative. Cost estimate accuracy shall be commensurate with the design effort and shall include appropriate contingency and inflation rates as established by ADOT. The basis of the estimate shall be ADOT's most current cost information. The Consultant shall request that ADOT assist in the estimation of the right-of-way costs (where applicable). The cost of the proposed right-of-way shall be included in the Project. The accuracy of the right-of-way requirements shall be commensurate with the Project effort.

Upon request from the Department, the Consultant shall provide backup information for all unit prices including, but not limited to, force account items, lump sum items etc., in the cost estimate. Historical prices will not be considered as the basis of the unit prices.

485 Specifications

Not part of the Project.

486 Special Provisions

Not part of the Project.

487 Contract and Specifications Process

Not part of the Project.

490 Computer Aided Design and Drafting (CADD) Requirements

See DSWT.

495 Electronic Design Data Delivery

See DSWT.

Visualization

The Consultant shall provide a visualization with simulation capability of the preferred alternative. An aerial should be draped over the project model, and project features assigned suitable colors for the

purpose of visualizing the completed project. The proposed right-of-way should be shown. The visualization shall include 360-degree views from any point within the model and a bird's eye fly-through.

SECTION 600 - POST DESIGN SERVICES

Not part of the Project.

SECTION 700 - MATERIALS FURNISHED BY ADOT

The project stakeholders will provide available information to the consultant. The consultant shall review the availability of materials before submitting a fee proposal for the project. Record drawings, plans, records, Accident Reports and Data may not be completely available or accurate in contents. It is the consultant's responsibility to determine the availability and applicability of the existing data. The consultant may be required to submit a public records request to obtain stakeholder information.

710 Surveys

See DSWT.

711 Photogrammetry and Mapping

See DSWT.

720 Material Investigations

See DSWT.

730 Record Documents

See DSWT.

740 Traffic Data

See DSWT.

750 Environmental Studies

See DSWT.

760 Base Sheets

See DSWT.

770 Scoping Documents

See DSWT.

SECTION 1000 – CONTRACT ADMINISTRATION

See DSWT.

1010 Arizona Department of Transportation

See DSWT.

1020 Consultant

See DSWT.

1021 Project Control

See DSWT.

1022 Subcontract Services

See DSWT.

1023 Project Related Correspondence

See DSWT.

1024 Quality Control

See DSWT.

1025 QC Plan Requirements

See DSWT.

1026 Consultant Personnel

See DSWT.

1027 Site Visits

See DSWT.

1030 Acceptability of the Work

See DSWT.

1040 Design Documentation

Design notes and computations associated with the Project shall be archived on 8-1/2" x 11" computation sheets, appropriately titled, numbered, dated, indexed and signed by the designer and checker. Computer output forms and other oversized sheets shall be folded or legibly reduced to 8-1/2" x 11" size. The data shall be bound in hard-back folders for submittal to ADOT. Design

documentation shall include the following:

- A. The Consultant shall submit any design notes, sketches, worksheets, and computations to document the design conclusions reached during the development of the contract documents to ADOT for review.
- B. Structural calculations shall be submitted when requested by the Bridge Group and for specific elements.
- C. Project notes and calculations shall include, but are not necessarily limited to, the following data:
 - 1. Field survey notes and computations.
 - 2. Design criteria used for the project.
 - 3. Geometric design calculations for horizontal alignment.
 - 4. Vertical geometry calculations.
 - 5. Right-of-way calculations (including easements).
 - 6. Drainage computations and reports.
 - 7. Bridge and culvert selection evaluation documentation to include hydrology and hydraulic computations and reports and Scour Evaluation Technical memorandums for existing cross drainage structures.
 - 8. Earthwork calculations not included in the quantity computation booklet.
 - 9. Calculations showing cost comparisons of various alternatives considered.
 - 10. Calculations of quantities.
 - 11. Documentation of meetings, telephone conversations, and site visits.
- D. CADD Standards shall be used for all projects deliverables. ADOT shall retain all rights and ownership of all Electronic Files and Hardcopy Deliverables.

1050 Value Engineering

Not part of the Project.

1051 Value Engineering Team

Not part of the Project.

1052 Design Team Responsibilities

Not part of the Project.

1060 Reviews and Submittals

Review and coordination of the consultant's work by ADOT will continue through the Project development process. The consultant may continue design work while design submittals are being reviewed by ADOT. Doing so however in no way relieves the Consultant of the responsibility to incorporate review comments into the design, nor does it entitle the consultant to any additional fees as a result of making changes due to review comments.

The Consultant shall submit the items required for review as outlined in this PSW and the current DWST. Concurrent with each submittal, the Consultant shall submit to ADOT a Statement of Verification of computer programs. The Consultant shall also submit a certification of compliance accompanied by evidence (e.g., check prints, sign off sheets, etc.) documenting compliance with the

Consultant's Quality Control program (reference Section 1024 of this PSW). The certificate shall specifically address the items included and the submittal phase.

Copies of all documents delivered to ADOT by the Consultant shall be accompanied by a transmittal letter and distribution list with complete mailing addresses. All deliveries of necessary paper documents shall be by same day hand or next business day overnight courier. All plans shall be half-size black and white sheets. In addition, the Consultant shall submit any working documents electronically as required by the Project Manager and an electronic submittal that includes all final documents with an appropriate index and brief descriptions of any folders, sub-folders, and files created therein.

1061 Stage I Design Submittal

See DSWT

1062 Stage II Design Submittal

Not part of the Project.

1063 Stage III Design Submittal

Not part of the Project.

1064 Stage IV Design Submittal

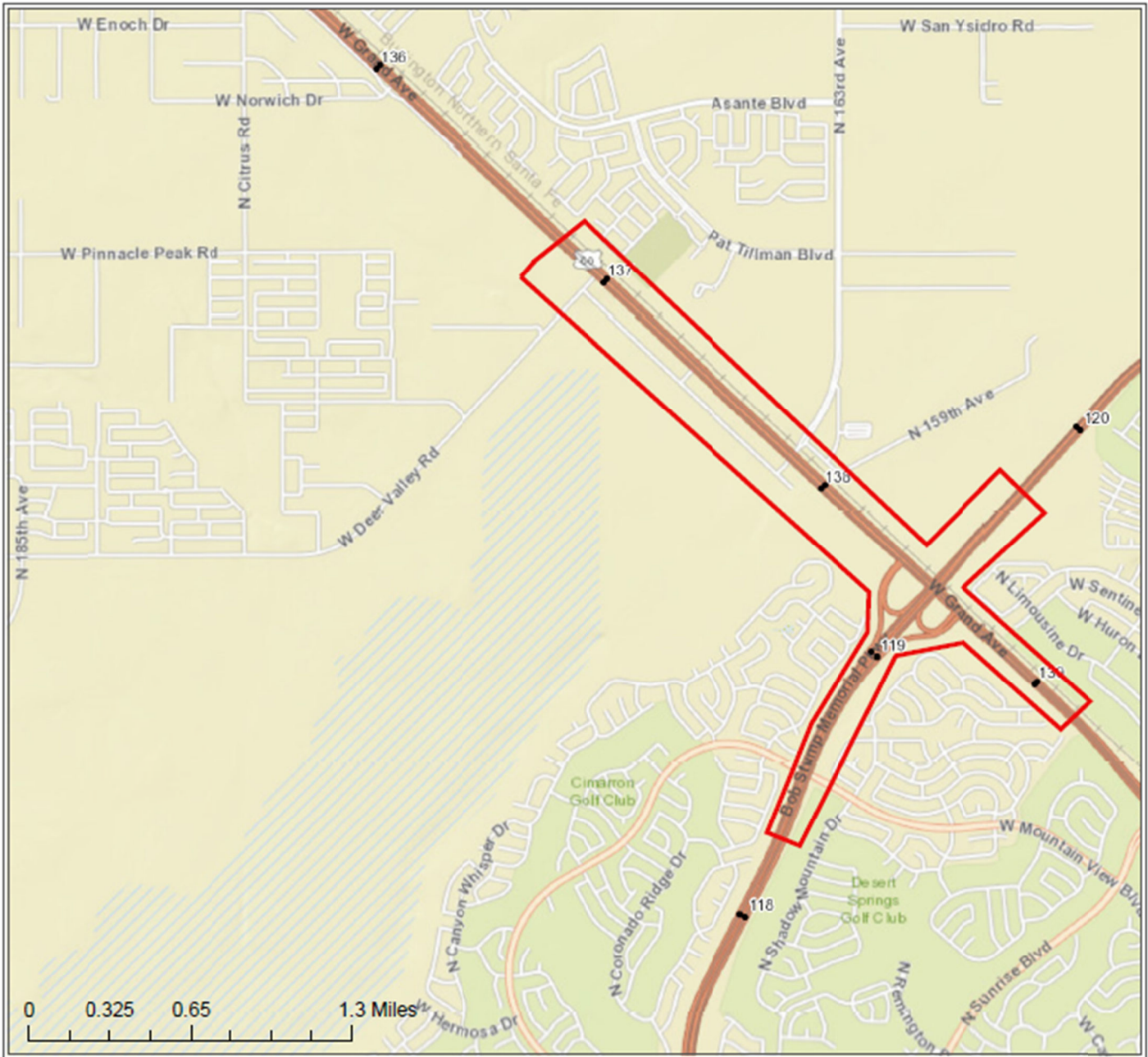
Not part of the Project.

1065 Stage V/Bid Ready Design Submittal

Not part of the Project.

APPENDICES

APPENDIX A: PROJECT LOCATION MAP



US 60 (Grand Avenue):
Deer Valley Road to Loop 303 (Ultimate System Interchange)
F0854 01L



APPENDIX B: RESPONSIBILITY CHART

PSW is defined as the individual sections of this document, Appendix A, and Appendix B. Any deviations from the listed activities shall be discussed with and approved by the ADOT PM prior to contracting for the work.

ITEM	SCOPE SECTION	CONSULTANT	ADOT	OTHERS
A	AERIAL MAPPING	SOW		
1.	Photogrammetric Control & Panels	X		
2.	Aerial Photography	X		
3.	Photogrammetric Compilation			
	a. Planimetric Map	X		
	b. Topographic Map	X		
	c. Digital Terrain Model	X		
	d. Orthophotos	X		
	e. Drainage Area Map	X		
	f. Right-of-Way Map	X		
4.	Roadway Cross Sections	X		
5.	Drainage Cross Sections	X		
6.	USGS Mapping			X
B	CONTROL SURVEYS	SOW		
1.	Horizontal	X		
2.	Vertical	X		
3.	Topographic Map	X		
4.	Utility Locations	X		X
5.	Right-of-Way	X		
6.	Roadway Cross Sections	X		
7.	Drainage Cross Sections	X		
8.	Structures Surveys	N/A		
C	ENVIRONMENTAL	SOW		
1.	Environmental Document	X		X
2.	Air Quality Technical Report	X		
3.	Noise Analysis Technical Report	X		
4.	Cultural Resources Survey	X		
5.	Visual Impact Analysis	X		
6.	Biological Evaluation	X		
7.	Public Meetings/Hearing	X	X	X
	a. Advertising	X		
	b. Presentation Materials	X		
	c. Moderator	X		
	d. Technical Questions	X		
	e. Transcript	X		

- f. Responses to Public Comments X
- 8. Hazardous Materials Survey X

APPENDIX B: RESPONSIBILITY CHART

	ITEM	SCOPE SECTION	CONSULTANT	ADOT	OTHERS
D.	MATERIALS INVESTIGATION	SOW			
	1. Provide Soil Survey		X	X	X
	a. Roadway		X		
	b. Lateral Ditches		X		
	c. Earthwork		X		
	d. Retention / Detention Ponds		X		
	2. Provide Bridge Foundation and Retaining / Sound Wall Foundation Investigations		X		
	3. Provide Testing and Analysis		X		
	4. Provide Preliminary Pavement Design		X		
	5. Materials Memorandum		X		
E.	DESIGN TRAFFIC DATA	SOW			
	1. Gather Statistics				
	a. 2-Way ADT		X		
	b. Turning Movements		X		
	c. Cross Traffic		X		
	2. Prepare Traffic Data Sheets		X		
	3. Prepare Equivalent 18 Kips	N/A	N/A		
	4. Prepare Traffic Analysis		X		
	5. L.O.S. Analysis		X		
	6. Composite Traffic Control Device Plan	N/A	N/A		
F.	RIGHT OF WAY	SOW			
	1. Develop Requirements		X	X	X
	2. Prepare Maps for R/W Report		X		
	3. Secure Title Search		X		
	4. Prepare R/W Plans and Legal Descriptions		X		
	5. Prepare Transfer Documents	N/A	N/A		
	6. Provide Appraisals	N/A	N/A		
	7. Negotiate Right of Way	N/A	N/A		
	8. Condemnation Proceedings	N/A	N/A		
	9. Testify in Court	N/A	N/A		
	10. R/W Cost Estimates		X		
	11. Relocation Assistance	N/A	N/A	X	X
	12. Property Management	N/A	N/A		

13. Clearance Letter N/A N/A

APPENDIX B: RESPONSIBILITY CHART

	ITEM	SCOPE SECTION	CONSULTANT	ADOT	OTHERS
G	CONSTRUCTION PLANS	N/A	N/A		
	1. Plot Design Survey	N/A	N/A		
	2. Basic Roadway Plans Preparation	N/A	N/A		
	3. Drainage Design	N/A	N/A		
	4. Bridge Design	N/A	N/A		
	5. Roadway Lighting Plans	N/A	N/A		
	6. Traffic Signal Plans	N/A	N/A		
	7. Signing & Pavement Marking Plans	N/A	N/A		
	8. Utility Adjustment Plans	N/A	N/A		
	9. Maintenance of Traffic Plans	N/A	N/A		
	10. Landscape Architectural Design	N/A	N/A		
H	RISK (ECONOMIC) ASSESSMENT	N/A	N/A		
	1. Prepare Risk (Economic) Assessment	N/A	N/A		
I	SECTION 404 PERMIT	N/A			
	1. Coordinate with Permitting Agencies		X	X	
	2. Prepare Permit Application				
	a. Forms		X		
	b. Sketches		X		
	c. Hydraulic Calculations		X		
	d. Supporting Documents		X		
	3. Process Permit Application			X	
J	UTILITY & RAILROAD	SOW			
	1. Utilities Identification/Location		X	X	X
	2. Submit Railroad Data	N/A	N/A		
	3. Conduct Utility Predesign Conference		X	X	X
	4. Secure Utility Adjustment Plans	N/A	N/A		
	5. Secure Utility Relocation Schedule	N/A	N/A		
	6. Secure Utility Agreements	N/A	N/A		
	7. Process Relocation Schedule & Agreement	N/A	N/A		
	8. Clearance Letter	N/A	N/A		
	9. Prior Rights Information		X	X	X

K	COST ESTIMATES	SOW			
	1. Prepare Construction Cost Estimates		X		
	2. Prepare R/W Cost Estimates		X	X	
L	REVIEWS AND SUBMITTALS	1060			
		Appendix			
		C			
	1. All Reports and Submittals		X	X	X

APPENDIX C: EVALUATION SCHEDULE

**PHASING AND EVALUATION SCHEDULE FOR
DESIGN PROJECTS**

On consultant design contracts, the project design milestones are after the Stage II (30%), Stage III (60%), and Final (100%) design submittals. Contract Constructability will also be evaluated by District personnel. Evaluations at these milestones provide indications of how the design is progressing and what steps have been taken to assure effective and efficient practices during construction. The evaluations should be completed after all major issues of a design submittal have been resolved. When this schedule is followed the evaluation document is an extension of the design submittal review process.

It is recommended that the letter of transmittal to the design consultant from the Project Manager be similar in content to the attached sample transmittal.

RECOMMENDED EVALUATION FILING DATES

Stage II (30%)	Design	Submittal	5 DAYS	after all major design Submittal review issues have been resolved
Stage III (60%)	Design	Submittal	5 DAYS	after all major design submittal review issues have been resolved
Stage IV (95%)	Design	Submittal	5 DAYS	after all major design submittal review issues have been resolved
Final Design Submittal (100%)			5 DAYS	after all major design submittal review issues have been resolved
Contract Constructability			5 DAYS	after construction is complete and project has been accepted.
(Partnering Close-out form will be use d)				

Notes:

- 1. A design submittal evaluation should not be more than six weeks after the design submittal date.**

EVALUATION MEASUREMENTS/COMMENTS

The following measurement standards for performance evaluation factors may be used:

"5" rating is for outstanding performance which exceeds the Scope of Services. Examples are design and/or construction cost savings, substantial time savings, unprecedented level of community involvement, error free plan submittals, etc. The award of this rating will be infrequent, as Consultants are selected on their qualifications and are expected to produce the best product possible.

"3" rating is for performance which has met the Department's expectations based on the Scope of Services. Examples are within scope, budget, and on time; acceptable communication and coordination; minimal changes to plan submittals, etc.

"1" rating is for unsatisfactory performance which has not met the Department's expectations based on the Scope of Services. Examples are not meeting schedules, exceeding the design and/or construction budgets, major revisions required on plan submittals, poor communication and coordination, etc.

NOTE: Additional comments are required in the space provided for the ratings.

ATTACHMENT A

LABOR CLASSIFICATION LIST

In an attempt to standardize the Labor Classifications ADOT allows for all projects, the following classifications anticipated to be used for the proposed contract are as follows:

Administrative	Architectural Historian / Historian
Project Administrator	Biologist
Architect	Biologist – Sr.
CADD Technician	Cultural Principal Investigator
Cost Estimator	Cultural Resource/Archaeological Technician
Designer	Environmental Coordinator/Program Manager
Designer-Sr.	Associate Environmental Planner/Scientist
Engineer	Environmental Planner/Scientist
Engineer-Sr.	HazMat Specialist
Project Engineer	Noise Specialist
Project Engineer-Sr.	Aerial Photographer
GIS Analyst / Technician	Photogrammetrist
GIS Analyst / Technician-Sr.	Registered Land Surveyor
Graphic Designer	Survey Technician
Project Principal	Survey Party Chief
Project Manager	Acquisition Agent
Registered Landscape Architect	Relocation Agent
Transportation Planner	Right of Way Plans Technician
Transportation Planner-Sr.	ROW Project Coordinator
Air Quality Specialist	Title Examiner
Associate Archeologist	
Archeologist	

NOTE: All Labor Classifications that require professional registration shall be currently registered with the Arizona State Board of Technical Registration.



APPENDIX A

During the performance of this contract, the contractor, for itself, its assignees, and successors in interest (hereinafter referred to as the "contractor") agrees as follows:

1. **Compliance with Regulations:** The contractor (hereinafter includes consultants) will comply with the Acts and the Regulations relative to Non-discrimination in Federally-assisted programs of the U.S. Department of Transportation, the *Federal Highway Administration*, as they may be amended from time to time, which are herein incorporated by reference and made a part of this contract.
2. **Non-discrimination:** The contractor, with regard to the work performance by it during the contract, will not discriminate on the grounds of race, color, or national origin in the selection and retention of subcontractors, including procurements of materials and leases of equipment. The contractor will not participate directly or indirectly in the discrimination prohibited by the Acts and the Regulations, including employment practices when the contract covers any activity, project, or program set forth in Appendix B of 49 CFR Part 21.
3. **Solicitations for Subcontracts, Including Procurements of Materials and Equipment:** In all solicitations, either by competitive bidding, or negotiation made by the contractor for work to be performed under a subcontract, including procurements of materials, or leases of equipment, each potential subcontractor or supplier will be notified by the contractor of the contractor's obligations under this contract and the Acts and Regulations relative to Non-discrimination on the grounds of race, color, or national origin.
4. **Information and Reports:** The contractor will provide all information and reports required by the Acts, the Regulations, and directives issued pursuant thereto and will permit access to its books, records, accounts, other sources of information, and its facilities as may be determined by the Recipient or the *Federal Highway Administration* to be pertinent to ascertain compliance with such Acts, Regulations, and instructions. Where any information required of a contractor is in the exclusive possession of another who fails or refuses to furnish the information, the contractor will so certify to the Recipient or the *Federal Highway Administration*, as appropriate, and will set forth what efforts it has made to obtain the information.
5. **Sanctions for Noncompliance:** In the event of a contractor's noncompliance with the Non-discrimination provisions of this contract, the Recipient will impose such contract sanctions as it or the *Federal Highway Administration* may determine to be appropriate, including, but not limited to:
 - a. withholding payments to the contractor under the contract until the contractor complies; and/or
 - b. cancelling, terminating, or suspending a contract, in whole or in part.
6. **Incorporation of Provisions:** The contractor will include the provisions of paragraphs one through six in every subcontract, including procurements of materials and leases of equipment, unless exempt by the Acts, the Regulations and directives issued pursuant thereto. The contractor will take action with request to any subcontract or procurement as the Recipient or the *Federal Highway Administration* may direct as a means of enforcing such provisions including sanctions for noncompliance. Provided, that if the contractor becomes involved in, or is threatened with litigation by a subcontractor or supplier because of such direction, the contractor may request the Recipient to enter into any litigation to protect the interests of the Recipient. In addition, the contractor may request the United States to enter into the litigation to protect the interests of the United States.



APPENDIX E

During the performance of this contract, the contractor, for itself, its assignees, and successors in interest (hereinafter referred to as the "contractor") agrees to comply with the following non-discrimination statutes and authorities; including but not limited to:

Pertinent Non-Discrimination Authorities:

- Title VI of the Civil Rights Act of 1964 (42 U.S.C. § 2000d *et seq.*, 78 stat. 252), (prohibits discrimination on the basis of race, color, national origin): and 49 CFR Part 21.
- The Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, (42 U.S.C. § 4601), (prohibits unfair treatment of persons displaced or whose property has been acquired because of Federal or Federal-aid programs and projects);
- Federal-Aid Highway Act of 1973, (23 U.S.C. § 324 *et seq.*), (prohibits discrimination on the basis of sex);
- Section 504 of the Rehabilitation Act of 1973, (29 U.S.C. § 794 *et seq.*), as amended, (prohibits discrimination on the basis of disability); and 49 CFR Part 27;
- The Age Discrimination Act of 1975, as amended, (42 U.S.C. § 6101 *et seq.*), (prohibits discrimination on the basis of age);
- Airport and Airway Improvement Act of 1982, (49 USC § 471, Section 47123), as amended, (prohibits discrimination based on race, creed, color, national origin, or sex);
- The Civil Rights Restoration Act of 1987, (PL 100-209), (Broadened the scope, coverage and applicability of Title VI of the Civil Rights Act of 1964, The Age Discrimination Act of 1975 and Section 504 of the Rehabilitation Act of 1973, by expanding the definition of the terms "programs or activities" to include all of the programs or activities of the Federal-aid recipients, sub-recipients and contractors, whether such programs or activities are Federally funded or not);
- Titles II and III of the Americans with Disabilities Act, which prohibit discrimination on the basis of disability in the operation of public entities, public and private transportation systems, places of public accommodation, and certain testing entities (42 U.S.C. §§ 12131-12189) as implemented by Department of Transportation regulations at 49 C.F.R. parts 37 and 38;
- The Federal Aviation Administration's Non-discrimination statute (49 U.S.C. § 47123) (prohibits discrimination on the basis of race, color, national origin, and sex);
- Executive Order 12898, Federal Actions to Address Environmental Justice in Minority Populations and Low-Income Populations, which ensures discrimination against minority populations by discouraging programs, policies, and activities with disproportionately high and adverse human health or environmental *effects* on minority and low-income populations;
- Executive Order 13166, Improving Access to Services for Persons with Limited English Proficiency, and resulting agency guidance, national origin discrimination includes discrimination because of limited English proficiency (LEP). To ensure compliance with Title VI, you must take reasonable steps to ensure that LEP persons have meaningful access to your programs (70 Fed. Reg. at 74087 to 74100);
- Title IX of the Education Amendments of 1972, as amended, which prohibits you from discriminating because of sex in education programs or activities (20 U.S.C. 1687 *et. seq.*).