

ARIZONA DEPARTMENT OF TRANSPORTATION

ENGINEERING CONSULTANTS SECTION

REQUEST FOR QUALIFICATIONS PACKAGE

CONTRACT NUMBER: 2027-006

INTERSTATE I-17, I-10 SPLIT (MP194) TO MCDOWELL ROAD (MP201)

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.

August 2026

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ADOT CONTRACT NUMBER: 2027-006
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MARICOPA COUNTY
ADOT PROJECT NUMBER: F0914 01L

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SECTION I - PUBLIC ADVERTISEMENT

**FOR PUBLICATION WEDNESDAY AUGUST 14, 2026 AND AUGUST 21, 2026
IN THE ARIZONA REPUBLIC NEWSPAPER**

ARIZONA DEPARTMENT OF TRANSPORTATION (ADOT)/ENGINEERING CONSULTANTS SECTION (ECS)/PUBLIC NOTICE FOR **INTERSTATE 1-17, 1-10 SPLIT (MP194) TO MCDOWELL ROAD (MP201) DESIGN CONCEPT REPORT AND ENVIRONMENTAL ASSESSMENT, MARICOPA COUNTY**/ADOT CONTRACT NUMBER: **2027-006**/ADOT PROJECT NUMBER: **F0914 01L**/Statements Due: **September 18, 2026 2:00 P.M.** Arizona (Phoenix) Time/ADOT is accepting Statement of Qualifications (SOQs) from Consultants to provide DESIGN CONCEPT REPORT AND ENVIRONMENTAL ASSESSMENT SERVICES/The Request for Qualifications (RFQ) Package for Contract 2027-006 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
INTERSTATE I-17, I-10 SPLIT (MP194) TO MCDOWELL ROAD (MP201)
DESIGN CONCEPT REPORT AND ENVIRONMENTAL ASSESSMENT
MARICOPA COUNTY
ADOT CONTRACT NUMBER: 2027-006
ADOT PROJECT NUMBER: F0914 01L

Statements Due: September 18, 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 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, an Environmental Assessment, an Implementation Plan, Utility Designations and related studies and reports. Design and Post-Design Services may be added by contract modification following successful completion and approval of the DCR and Environmental document. 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.

ADOT may select one prime Consultant from among those submitting SOQs for further consideration. Previous experience in Complex Corridor Planning, Alternatives Analysis, and Environmental Assessment Preparation 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 **Cost Plus Fixed Fee**. 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 ecsssoq@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, Federal Highway Administration (FHWA), Maricopa Association of Governments (MAG), or City of Phoenix 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 **August 31, 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.

Engineering Consultants Section
Email: ECSSOQ@azdot.gov

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 September 18, 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 **August 31, 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 August 31, 2026 DATE 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 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 Manager in direct charge of the overall project/contract work.
2. Roadway Lead
3. Structures Lead
4. Traffic Lead
5. Utilities Lead

The prime Consultant shall provide the resumes for the Project Manager and any other personnel identified by name in their SOQ. A headshot at the top of the resume is preferred. Each resume shall be limited to two pages each, and shall demonstrate the individual's experience related to services outlined in this RFQ. The SOQ may also identify other key members of the team, 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: August 14, 2026
- 2nd Newspaper Advertisement Date: August 21, 2026
- Prequalification Application Due: August 31, 2026
- Questions Due: August 31, 2026 at 2:00 P.M. Arizona (Phoenix) Time
- SOQ Submittal Due Date: September 18, 2026 at 2:00 P.M. Arizona (Phoenix) Time
- Estimated Selection Date: October 13, 2026
- Initial Cost Proposal Due Date: November 3, 2026
- Estimated Contract Notice to Proceed Date: December 31, 2027

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: 2027-006

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: 2027-006

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 **August 31, 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 August 31, 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	20	
	3. Project Team Experience and Availability	35	
	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 two pages each)		
	2.SOQ Bidder's/Proposer's Solicitation List Confirmation Email (from SBWD)		
PART E	AMENDMENTS (If applicable, required only if an amendment(s) is issued. The amendment(s) shall not count toward 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: 2027-006

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 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. No points will be added or subtracted regarding Scope of Work Section 495 Electronic Design Data Delivery.

2. Project Risks and Schedule (Maximum 20 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 35 points)

Provide a summary of experience and qualifications of the Project Manager and other Key Personnel (including Subconsultants). Explain the previous experience of the following Key Personnel on your team: Project Manager, Roadway Lead, Structures Lead, Traffic Lead and Utilities Lead. Identify any projects that the proposed Project Manager will be involved with concurrently and time committed to each project. Identify previous projects the key personnel have worked on together in a table format and identify their role on that project. Discuss the Project Team's recent relevant experience on **urban freeways** of comparable size, complexity and budget, 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 Manager) are required. A headshot at the top of the resume is preferred. Each resume shall not exceed **two pages** 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. Do not include resumes for non-Key Personnel (individuals not identified by **name** in the SOQ) as these pages 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.: 2027-006**

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 20 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 35 points)

How well do the qualifications and experience of the prime Consultant's Project Manager, Roadway Lead, Structures Lead, Traffic Lead, Utilities Lead, and other Key Personnel identified, and Subconsultants relate to the SOW requirements? Does the Project Manager have sufficient time committed to this project? Does the Consultant have recent relevant experience with urban freeway 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 Cost Plus Fixed Fee Payment Report Format, use the following link:

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

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

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>

And information Bulletin IB 25-01:

<https://apps.azdot.gov/files/ecs/bulletins/25-01.pdf>

SECTION XV – ECS Consultant Evaluation Program Guidelines

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

<https://apps.azdot.gov/files/ecs/bulletins/25-01.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 Cost Plus Fixed Fee Payment Report Format, use the following link:

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

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%202%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 ECSOQ@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**



SCOPE OF WORK

**Interstate I-17, I-10 Split (MP194) to McDowell Road (MP201)
Design Concept Report and Environmental Assessment
ADOT Contract No. 2027-006**

**ADOT TRACS No. F0914 01L
Federal Aid No. TBD**

August 2026

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SECTION 100 - GENERAL INFORMATION

NOTE: This scope of work is presented in two parts. The Project Scope of Work is contained in this section, including Appendices A and B. It includes information specific to this project. Appendix C is included as a reference document only to describe ADOT's general scoping and environmental processes should questions arise. The section Dictionary of Standardized Work Tasks is referenced in this scope of work and is cited to the applicable ADOT website and pertains to the current version only. Not all the work tasks described are necessary on every project.

110 Location

The Interstate 17, Design Concept Study will extend from the I-10/I-17 Split to McDowell Road. The project will also include investigating the future connection to future State Route 30 (SR30).

See attached Location Map, Appendix A.

120 Description

The I-17 corridor is an Interstate Highway that is situated entirely within the state of Arizona. Its southern terminus is located at the I-10/I-17 Split, and the northern terminus is located at the I-40 interchange in Flagstaff. Interstate 17 serves as the main north-south route for freight traffic connecting the two east-west transcontinental Interstate Highways, I-10 and I-40.

The section of I-17 that is the focus of this study begins at the I-10/I-17 Split, extends east-west, curves north just west of 19th Ave, commonly referred to as the "Durango Curve," continues north-south through the I-10/I-17 system interchange, known as "the Stack," and ends at McDowell Road, inclusive of the McDowell Road Traffic Interchange. Additionally, at the Durango Curve, the project shall coordinate the connection between I-17 and the future SR30.

In 2018 Maricopa Association of Governments (MAG) completed a corridor study, MAG Spine-Corridor Master Plan, identifying alternatives to address traffic operations and safety. The limits of this DCR are within the MAG Spine-Corridor Master Plan. The information contained in the MAG Spine-Corridor Master Plan will be used as the basis of the Scope of Work defined in this study.

The **SCOPE OF WORK** will be an Engineering Study that includes preparing a Design Concept Report, an Environmental Assessment, an Implementation Plan, Utility Designations and related studies and reports in order to define preferred improvement alternatives. The work on this study will address the following:

- A. Prepare Initial and Final Design Concept Report (DCR) (including 15% roll plot).
- B. Prepare an AASHTO Controlling Design Criteria and include the information as an appendix to the DCR. The Final DCR may require a justification letter requesting Design Decisions.
- C. Prepare an Implementation Plan.
- D. Prepare Draft and Final Environmental Assessment and associated technical reports (NEPA).
- E. Prepare Utility Designation at a Quality Level C including but not limited to:
 1. Develop an existing utility base file

2. Gather data from historical records such as but not limited to, “as-builts,” utility records, permits, photos, survey, and interviews with individuals familiar with project site.
 3. Aerial Survey visible utility features and correlate them against the utilities identified through historical records.
 4. Prepare a Utility Report
- F. Prepare Initial Bridge Studies, Selection Report and identify the preferred alternatives.
 - G. Prepare ADA Compliance and Feasibility Report in accordance with ADOT requirements.
 - H. Prepare a Traffic Report including detailed evaluations of the potential alternatives, not already included in the MAG study.
 - I. Prepare public involvement and agency coordination to build consensus among local communities and affected agencies. ADOT Communications will provide support and oversight of the consultant team.

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

Design and Post-Design Services may be added by contract modification following successful completion and approval of the DCR and Environmental document. 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 Document to evaluate potential capacity improvements along I-17 from the I-10/I-17 Split (MP194) to McDowell Road (MP201). The primary focus shall be improving the traffic flow and operational performance of I-17. This includes but not limited to analyzing DHOV Ramps at the I-10/I-17 Split and the 7th St TI, and the future connection of State Route 30 (SR30) at the Durango Curve.

140 Construction Cost

The Consultant shall provide cost estimates for the Design Concept Report and the Implementation Plan in an acceptable format that can be utilized for programming and preliminary engineering purposes.

160 Length of Services

The length of service is estimated to be 550 calendar days. This begins with the notice to proceed, and includes all reviews by the team and stakeholders. Additional time will be added as needed.

171 Schedule

The Consultant shall provide a schedule of major project milestones no later than 15 calendar days following the project kickoff meeting. The schedule shall be CPM based and compatible with ADOT's Primavera scheduling system. It shall include the 20 milestones/flags requested by ADOT at a minimum. The schedule submitted shall be customized to reflect the needs of the project. Work elements for which ADOT has responsibility shall be included in the schedule.

173 Progress Meetings

Progress meetings will be required and shall be performed in accordance with the DSWT.

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 Scope of Work shall take precedence. The project stakeholders for the study effort include ADOT, FHWA, FAA, MAG, City of Phoenix, and other federal, state, and local agencies.

191 Local, State and Federal Permits

The Consultant shall determine the need to obtain any federal, state, and local permits to conduct this work 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 the following activities: archaeological surveys, geotechnical investigations, and location survey work as required.

SECTION 200 - DESIGN REFERENCES

Design references developed, adopted and published by ADOT and other agencies for use in the design of this project are listed in the ADOT Project Development Process Manual (Latest Edition), AASHTO LRFD Bridge Design Specifications, Eighth Edition (2017), ADOT Bridge Design Guidelines (Latest Edition), ADOT Bridge Hydraulics Guidelines, MUTCD (11th Edition with Rev1, Dated December 2025) and corresponding State Supplement, ADOT Traffic Control Design Guidelines (Latest Edition), ADOT Traffic Engineering Guidelines and Processes (Latest Edition), Signing and Marking Standards (Latest Edition), Traffic Signal and Lighting Standards (Latest Edition), Manual of Approved Signs, AASHTO Standard Specifications for Structural Supports, Highway Signs, Luminaires, and Traffic Signals, Sixth Edition and the ADOT Roadway Design Guidelines (Latest Edition). The Consultant is advised that while possession of all of these documents is not necessary to successfully complete the project, the Consultant is responsible for designing in accordance with the applicable documents and current revisions and supplements thereto. The Consultant shall verify with the ADOT technical sections and the Project Manager for current approved references.

The Consultant is responsible to ensure the project is developed in accordance with federal, state, tribal, and local regulations, statutes, policies, procedures, and guidelines.

Current ADOT Roadway Engineering Group design guidelines may be found at:

<http://www.azdot.gov/business/engineering-and-construction/roadway-engineering>

For ADOT Predesign:

<https://www.azdot.gov/business/engineering-and-construction/roadway-engineering/roadway-predesign>

For ADOT Bridge Group:

<https://azdot.gov/business/engineering-and-construction/bridge-engineering-and-construction>

For ADOT Traffic Group:

<http://www.azdot.gov/business/engineering-and-construction/traffic-engineering>

A number of other manuals or guidelines exist for ADOT Right of Way Group, Utilities & Railroad Engineering, Environmental Planning Group, etc. It will be the selected consultant's responsibility to gather the appropriate ones for use on this project.

210 Miscellaneous Reports and Studies related to this project

- A. MAG Spine Corridor Master Plan I-10 Freeway Corridor Study, March 28, 2018.
- B. MAG SR30 Corridor Recommendation Report and related studies, September 22, 2021.

Visit MAG (azmag.gov) and the City of Phoenix Transportation Studies website for previous studies related to this segment of I-17.

220 AASHTO Publications

ADOT 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.

SECTION 300 - DESIGN CRITERIA

Design of this project and preparation of contract documents will be guided by the Design Criteria presented in the ADOT Roadway Design Guidelines (refer to Section 200 - Design References) effective as of the Notice to Proceed date of this contract. This document was prepared to establish uniform design policies, design procedure guidelines, and criteria. Deviation from the policies and criteria may be permitted with the approval of ADOT. These design criteria will serve as the basis for referencing the project design standards and guidelines referenced in Section 200.

301 Supplemental Design Criteria

The design criteria listed in this section and the Project Design Guidelines may be supplemented by Project Design Memorandums provided by ADOT during the course of the project.

310 General

Design Year - 2050

Design Speed -	I-17,	65 mph (min.)
	I-10	75 mph (min)
	Interchange Ramps	
	Exit Gores	65 mph (min.)
	Entrance Gores	55 mph (min.)
	Ramp Body	50 mph (min.)
	@ Crossroad Intersection	35 mph (min.)
	Loop Ramp	30 mph (min.) Detours
	Crossroads	45 mph (min.)

Pavement Design Life -20 years (The Consultant shall conduct life cycle analysis for all new pavement sections, and will exclude existing pavements).

320 Geometry

Refer to ADOT Roadway Design Guidelines and Roadway Design Memorandums.

330 Drainage

Review MCDOT Flood Control Hydrology reports and confirm they meet ADOT Design Criteria. Refer to Chapter 600 of ADOT's Roadway Design Guidelines.

340 Traffic

Signing Permanent (Freeway Urban/Rural) - Conventional Highway)
Signing Temporary (Traffic Control during Construction)
Pavement Marking (Signing and Marking Standards)

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

350 Other Features

Guardrail/Barrier Type – (Std C-10 Series and SD-1)

Fencing Type – (Std C-12 Series)

Retaining Walls – (Bridge SD-7 Series 2010) or alternate proprietary retaining wall systems that is on ADOT's approved product list, if appropriate)

Sound Barrier Walls – (Bridge SD-8 Series 2010) or alternate proprietary sound wall system, if appropriate)

SECTION 400 - SCOPING WORK PERFORMED BY CONSULTANT

The Consultant shall be responsible for providing the engineering and environmental services required to accomplish the work products identified in the PSW. The work shall conform to the standards, criteria, and requirements of this Scope of Work, including Appendix C. Variations to the scope of work set forth within shall be discussed with PM prior to submitting initial cost proposal.

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

A. Prepare Initial Traffic Report

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 alternatives relative to traffic operations including but not limited to methods identified in the ADOT guideline such as:

- Origin-destination modeling
- VSIM modeling
- Developing preliminary signage and DMS layout for the preferred alternative

Model runs for all carry-forward alternatives shall be requested from MAG by the Consultant.

B. Prepare Initial Design Concept Report

The Consultant shall develop and evaluate preliminary alternatives for comparison of engineering and environmental issues, recommending those alternatives to be carried forward for complete evaluation in the DCR and Environmental Assessment. 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 one build alternative along with a "no build."

The Consultant will present the preliminary carry-forward alternatives to ADOT for approval. The Consultant's alternative recommendations will be supported by their own research, results of the Agency and Public Scoping Meetings, site visit(s), community input, design criteria, initial traffic analysis, utility and right-of-way information and other information of record.

The Consultant shall prepare an Initial DCR including a roll plot containing design information developed to the 15% (Stage 1) level. The information should include that listed in ADOT's DCR development guidelines and memoranda as listed on the ADOT website and Appendix C.

Agency and Public Scoping Meetings 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 documented by the consultant with a summary of the results included in the DCR.

The Consultant shall prepare an AASHTO Controlling Design Criteria analysis in accordance with ADOT Guidelines. The results of the analysis shall be included in the DCR.

The preferred alternative will need to address a federal-level Change of Access Report.

- C. Prepare an Implementation Plan that defines how the project design and construction may be split for either D-B-B or alternative delivery (CMAR or D-B) and how design, utility, ROW and construction funding (MAG, Federal, Grants) should be programmed.
- D. Prepare Draft Environmental Assessment and associated reports

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 utilize the ADOT Environmental Planning for guidelines, 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. See Appendix C for additional information.

- E. Prepare Final Design Concept Report

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, 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.

- F. Prepare Final Environmental Assessment

The Consultant shall prepare a Final Environmental Assessment concurrent with the preparation of the Final DCR. The document will incorporate a description of the public involvement process and the responses to the comments received. See Appendix C for additional information.

- G. Prepare Initial Bridge Study and a Bridge Selection Report

The Consultant shall determine the need for new or reconstructed structures on the project including all impacts to traffic interchanges and crossroad structures. 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

Document. The Consultant shall follow ADOT Bridge Practice Guidelines in developing concepts for bridges and structures.

H. Prepare ADA Compliance and Feasibility Report

An ADA Compliance and Feasibility Report shall be prepared by the Consultant. The ADA Compliance and Feasibility Report shall address all ADA features within ADOT Right-of-Way and easement throughout the project area. Existing features that meet ADAAG are not required to be upgraded to PROWAG. Features that do not meet ADAAG should be brought into compliance with PROWAG, when feasible. New ADA features should be designed to meet PROWAG. The consultant will note with each feature requiring upgrading if additional right of way (ROW) will be required or a temporary construction easement (TCE) will be necessary to implement. The consultant will also note if existing utilities will require relocation due to implementation of the upgraded ADA feature. The consultant will provide ROW, TCE and utility relocation costs for each upgraded ADA feature in the feasibility report and will be part of the overall construction cost estimated for the preferred alternative.

403 Scoping Documents

The scoping document is a preliminary report which describes the scope of work for a project and identifies the potential impacts the project may have on ADOT's resources, the public, other agencies, and the environment. The Consultant shall be responsible for developing the appropriate level of scoping document for the project, if none exists, in accordance with the information provided in Section 200.

405 AASHTO Design Criteria Report

The Consultant will prepare the Final AASHTO Design Criteria Report, denoting any design exceptions required for the existing facility that are not mitigated with the project improvements. Consultant shall obtain any necessary approvals for design exceptions or variances from ADOT and FHWA as part of the Final DCR.

410 Location Surveys and Photogrammetry and Mapping

The Consultant shall review the available ADOT photogrammetry, survey, mapping, and digital terrain modeling; and then identify additional photogrammetry, survey, mapping, and digital terrain modeling as necessary to complete the study. If it is determined that additional data will be required for this project, the Consultant shall include costs in the contract proposal for obtaining the adequate data. Included with the surveying and mapping costs the Consultant shall include a statement that documents the insufficiencies of existing surveys and mapping. Surveys and mapping shall meet the technical requirements and standards of ADOT and the Arizona State Board of Technical Registration.

An ADOT District permit shall be required before beginning fieldwork. A traffic control plan may also be required.

416 Geotechnical Design

The Consultant shall research existing "as-built" drawings and records and coordinate with ADOT Materials Section Geotechnical Services and conduct a site visit with a qualified Geologist or Geotechnical Engineer who shall make observations of the materials encountered and their relative suitability for construction (please allow two weeks' notice for scheduling purposes). The Consultant shall, as required, identify possible borrow and waste sites convenient to the project.

Develop preliminary pavement structural sections for mainline, ramps, frontage

420 Environmental Studies

The Consultant shall develop all supporting environmental technical studies and reports needed to document the impacts, if any, of the recommended action and the necessary mitigation measures. The Consultant shall coordinate with ADOT Environmental Planning throughout the development process and ADOT Environmental Planning will provide final approval for ADOT on all environmental documentation and procedures. Activities that require soil and/or vegetation disturbance such as geotechnical investigations, surveys, etc. may not begin until the appropriate environmental analysis (i.e., geotechnical clearance, cultural resources, hazardous materials, biological evaluations, etc.) is completed. The project's environmental footprint shall consider all utility relocation work required for the project. The list below depicts typical resource categories for which an environmental study may require analysis. The Consultant shall obtain further clarification from ADOT Environmental Planning on the needs of each resource and prepare the required technical evaluations for review and approval.

1. Natural Environment.
2. Floodplains.
3. Section 404 (Clean Water Act): Jurisdictional Delineation.
4. Section 404 (Clean Water Act), 401 and 408: Permit.
5. Section 4(f) analysis (Federal Funds only).
6. Section 106 (National Historic Preservation Act).
7. Land Use.
8. Visual Impacts.
9. Prime or Unique Farmland.
10. Wild & Scenic Rivers.
11. Sole Source Aquifer (Fed: Tucson/Bisbee).
12. Noise.
13. Air Quality.
14. Construction-Related Impacts.
15. Utility Impacts.
16. Hazardous Material Evaluation.
17. NPDES/AZPDES or Clean Water Act Section 402.
18. Socioeconomic.
19. Cultural (through GRIC Cultural Resources Management Program (CRMP))
20. General Actions.

ADOT Environmental Planning Group, in coordination with the affected federal, Tribal, state and local agencies and jurisdictions, will issue any required clearance. Upon completion of the environmental document, identified mitigation measures will not be subject to change without prior written approval from ADOT Environmental Planning. The Consultant shall be responsible for incorporating appropriate mitigation measures into the design of the project.

425 Public Involvement: Public Information Meetings and Public Hearings

ADOT Communications in coordination with MAG will oversee all agency, Tribal, and public outreach efforts. The Office of Community Relations within ADOT Communications leads public involvement efforts for ADOT. All public involvement must occur in accordance with the ADOT Public Involvement Plan (PIP), which has been approved by FHWA.

The consultant shall develop a project- or study-specific public involvement plan in compliance with the ADOT PIP and obtain approval from ADOT Community Relations prior to beginning any formal public-involvement activities.

Note: Approval by the ADOT Civil Rights Office may also be required, depending on the scope of the project or study and impacted populations. This project- or study-specific public involvement plan will outline the various strategies and tactics the consultant will employ to inform and/or involve all members of the public during all phases of the project or study. It shall *specifically* identify how public information and public involvement efforts align with the ADOT PIP as it relates to Title VI of the Civil Rights Act; the Americans with Disabilities Act; and Presidential executive orders required for Environmental Justice and Limited English Proficient (LEP) populations.

Public Meetings/Hearings:

Public meetings are one way to inform and involve the public. If the consultant identifies the need for public information meetings as one of the outreach tactics in the public involvement plan – or if a formal public hearing is required pursuant to the National Environmental Policy Act (NEPA) – the consultant shall provide the services noted below, as well as adequate staffing and materials:

- Complete a stakeholder assessment to determine demography of the project/study area, as well as the language or ADA accommodations that are required; demography data shall be used to determine the most appropriate day, date and time for public meeting(s) and/or hearing(s) to occur. Specific to LEP populations, the stakeholder assessment *must include* a Four-Factor Analysis to determine if LEP populations are impacted and whether translation or interpretation services are necessary
- Consult with the ADOT project team, MAG, and ADOT Community Relations to select the appropriate days, dates, times and locations for the public meeting(s) and/or hearing(s). Advance consultation is required to negate possible conflicts with other ADOT or agency public meetings; religious or other holidays; seasonal population changes; and other community or special events
- Identify and secure a venue that satisfies the requirements of the ADOT PIP relative to project/study area proximity; opportunities for public transit; ADA compliance including

adding virtual options for those who are unable to attend in person.

- Provide required liability insurance and pay any room-rental fees
- For NEPA studies purposes the consultant team must establish and monitor the study-specific email address; a project information telephone line that accommodates all identified non-English languages; and a mailing address for written comments to be received and is responsible for tracking and documenting all public comments received for the study record.
- Develop and produce or print meeting materials including but not limited to: name tags, sign-in sheets, comment forms, question cards if applicable, informational fliers for distribution to meeting attendees, mailings if applicable, display boards and other displays or exhibits, maps, and the PowerPoint presentation. All materials must be reviewed and approved in advance by the ADOT project team, MAG, and ADOT Community Relations
- Translate or have all meeting materials translated into identified non-English languages if required per the Four-Factor analysis
- Procure postage for all mailings.
- Procure a minimum of one interpreter if required per the Four-Factor Analysis; in the case of a formal public hearing, procure a minimum of two court reporters, including at least one who is bilingual in the identified non-English language(s) if required per the Four-Factor Analysis
- Procure, if necessary, other translation services or interpretation services if requested for non- English languages and American Sign Language
- Procure newspaper advertising, if necessary. This includes contacting publications and placing the advertisements on ADOT's behalf in alignment with mandatory lead times as prescribed by the ADOT PIP and/or by NEPA. Selected publications should meet the requirement to be "newspapers of record" for the area specific to the public meeting or proposed action. If warranted per the Four- Factor Analysis, translated advertisements must be placed in newspapers published in identified non-English languages.
- Procure bottled water for meeting attendees **Note:** If the consultant wishes to be reimbursed for the purchase of bottled water, procurement must occur in accordance with *FIN-13.01 Guidelines for Providing Food/Beverages at ADOT Sponsored Functions* which includes advance approval of the completed "Request to Provide Food/Beverages" form by the ADOT Controller/CFO
- Provide adequate staffing for the meeting(s) or hearing(s) including staff to set up and tear down prior to and after the meeting(s) or hearing(s), as well as subject-matter experts who can assist with presentations and/or answer questions from the public
- Provide a meeting summary that encapsulates pre-meeting notification efforts, information on the audience, the outcomes from the meeting, comments received and responses provided, and needed follow up from the meeting

Meeting materials:

This requirement varies based on the project or study-specific public involvement plan. When the public involvement plan is developed and approved, any material costs not covered in the existing Scope of Work will be added through a contract modification.

In-house Public Involvement Services:

Only ADOT Communications (Offices of Community Relations, Creative Services and Public Information) shall supply the five outreach tools listed below; however, coordination with the consultant might be required to ensure accuracy. **Note:** reasonable and sufficient advance coordination with the assigned ADOT Community Relations project manager is required to ensure availability of resources and compliance with lead times for public notification as specified in the ADOT PIP and/or by NEPA:

1. Email alerts via the GovDelivery system
2. News releases/all interviews will all news media
3. Social media
4. Web pages
5. Photography/Videography

430 Utilities and Railroads

The Consultant shall identify all utilities within the project limits and determine potential conflicts and necessary relocations. The Consultant shall contact utility and railroad companies to obtain all applicable facility location mapping. The consultant shall coordinate with ADOT U&RR section and use the section's on-call consultants for all necessary designating and locating services.

480 Cost Estimates

The Consultant shall prepare construction cost estimates for each alternative. Cost estimate accuracy shall be commensurate with the design effort and shall include appropriate contingency and Indirect Cost Allocation (ICAP) factors as established by ADOT. The consultant will coordinate with ADOT's Management Consultant on the appropriate unit costs to be used in the development of the cost estimate. 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 study. The accuracy of the right-of-way requirements shall be commensurate with the study/design effort.

495 Electronic Design Data Delivery

Design information shall be prepared in accordance with the requirements of the latest edition of the Dictionary of Standardized Tasks and the 2027 Dictionary of Standardized Work Tasks - Supplement for Digital Delivery Pilot Projects.

The project may be considered for ADOT's Digital Delivery Pilot Program. If selected, may be required to prepare design elements in accordance with the draft Dictionary of Standardized Work Tasks Supplement for Digital Delivery Pilot Projects. The extent of involvement for the project will be determined by the ADMP and the ADOT Digital Delivery Committee. At a minimum, the project will utilize ADOT's Common Data Environment (Bentley ProjectWise) including file naming and organization requirements, ADOT Survey & Mapping Specifications (latest edition), and Digital Delivery Program

Modeling Guidelines (latest edition). The most current version of these standards will be provided to the most qualified Consultant upon selection.

Upon completion of all documentation, the Consultant shall provide ADOT with all working and final files in their native format, in an acceptable format and in accordance with current ADOT file naming conventions to the Department. This includes, but is not limited to WORD, EXCEL, PDF, DGN, ALG, DTM, and XIN.

Visualization

The Consultant shall provide a visualization, or simulation, 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. Additional detail should be provided at the 7th St DHOV and the eastern I-17 HOV tie into I-10, Broadway Curve HOV lane.

SECTION 1000 – CONTRACT ADMINISTRATION

The work in this contract shall be administered in accordance with Section 1000 of the Dictionary of Standardized work Tasks. Additional information is provided below.

1024 Quality Control

The Consultant is responsible for the accuracy and completeness of the plans and related design prepared under the contract and shall check all such material accordingly. The Consultant shall have a quality control plan in effect during the entire time work is being performed under the contract. The plan shall establish a process whereby plans, calculations and documents submitted for review shall be clearly marked as being fully checked by a qualified individual other than the originator. Non-compliance will be sufficient cause for rejection of submittal. Periodic Quality Control audits may be performed by the ADOT Project Manager.

The Consultant shall submit the quality control plan to ADOT for approval within fifteen (15) working days of receipt of written Notice to Proceed. The plan shall comply with the requirements of Section 1025. The plan shall address as a minimum: checking procedures, training of employees in quality requirements, and methods of monitoring and documenting quality control activities including reviewing all documents for conformance and providing comments.

1040 Study Documentation

If requested, the Consultant shall submit to ADOT for review, their design notes, sketches, worksheets, and computations to document the design conclusions reached during the development of the contract documents.

The design notes and computations 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.

At the project completion, a final set of the design notes and computations, sealed by a Professional Engineer, registered in the State of Arizona, shall be submitted with the record set of plans and tracings.

Design 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.

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 efforts 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 Scope of Work and the current Dictionary of Standardized Tasks. Concurrent with each submittal, the Consultant shall submit to ADOT a Statement of Verification of computer programs, if requested. The Consultant shall also submit, if requested, 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 Scope of Work). 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 hand or 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.

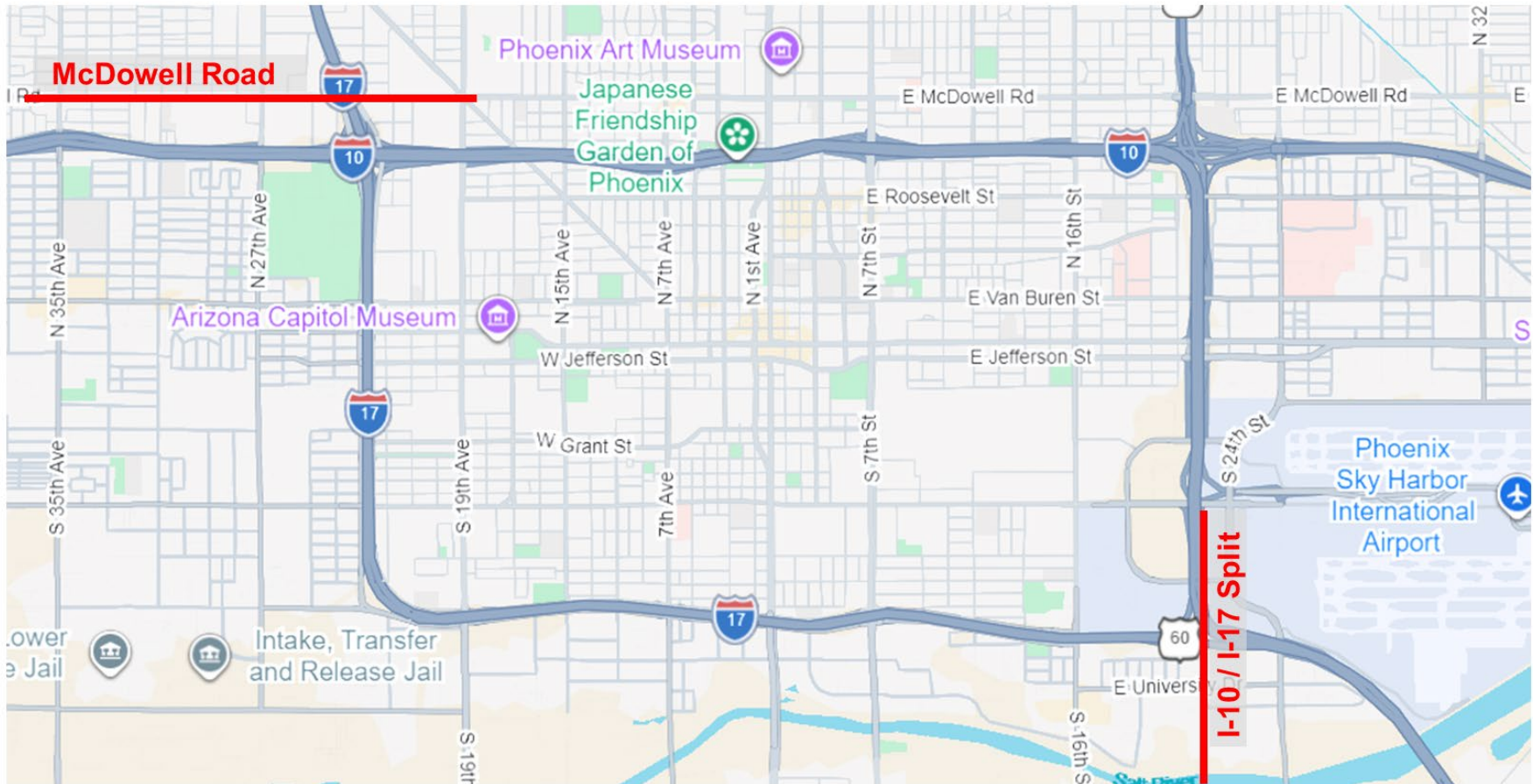
1062 Stage I Design Submittal

An informal review and discussion of the project shall be held prior to the Stage I review submittal. The meeting shall take place as soon as the Consultant has established pre-initial roadway alignment, typical roadway sections, and a tentative plans layout for the project. The attendees shall consist of the Consultant, the assigned design team including ADOT staff involved in the project design, the ADOT Project Manager, MAG, and other concerned personnel invited by the ADOT Project Manager. This design submittal is included with the scoping document submittal. The following material shall be developed and submitted to the ADOT Project Manager for review: 1. Initial typical roadway sections. 2. Initial roadway plan and profile sheets at the scales set in Section 410. 3. Tentative plans layout. 4. Initial environmental mitigation measures (for major projects). 5. Preliminary Traffic Engineering Study or "Traffic Analysis Report". 6. Request for utility designation services. 7. Two copies of all plans and cross sections; one set shall be half-size black and white sheets and the other set in PDF format, unless otherwise directed by the Project Manager.

APPENDICES

APPENDIX A: SITE AND LOCATION MAP (F0914 01L)

F0914 01L: I-17 from I-10/I-17 Split to McDowell Rd



Appendix B: Responsibility Matrix

Project Scope of Work (SOW) is defined as the individual sections of this document. 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.	ROW Map Roadway		X		
4.	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.	ROW		X		
6.	Roadway Cross Sections		X		
7.	Drainage Cross Sections	N/A			
8.	Structures Surveys	N/A			
C	ENVIRONMENTAL	SOW			
1.	Environmental Document		X		
2.	Air Quality Technical Report		X		
3.	Noise Analysis Technical Report		X		
4.	Cultural Resources Survey		X	X	
5.	Biological Evaluation		X		
6.	Public Meetings/Hearing		X		
7.	a. Advertising		X		
	b. Presentation Materials		X		
	c. Moderator		X		
	d. Technical Questions		X		
	e. Transcript		X	X	
	f. Responses to Public Comments		X		
8.	Hazardous Materials Survey		X		

Appendix B

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SCOPE

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

Appendix B

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	ITEM	SCOPE SECTION	CONSULTANT	ADOT	OTHERS
G	CONSTRUCTION PLANS	X	X		
	1. Plot Design Survey	N/A	N/A		
	2. Stage I Plans and Deliverables	X	X		
	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	SOW			
	1. Coordinate with Permitting Agencies		X	X	
	2. Prepare Permit Application				
	a. Forms				
	b. Sketches				
	c. Hydraulic Calculations				
	d. Supporting Documents				
	3. Process Permit Application			X	
J	UTILITY & RAILROAD	SOW			
	1. Utilities Identification/Location		X	X	
	2. Submit Railroad Data		X	X	
	3. Conduct Utility Predesign Conference	N/A	N/A		
	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	
K	COST ESTIMATES	SOW			
	1. Prepare Construction Cost Estimates		X		
	2. Prepare ROW Cost Estimates		X	X	
L	REVIEWS AND SUBMITTALS	1060			
	1. All Reports and Submittals		X	X	X

APPENDIX C - PROCEDURES FOR FEASIBILITY STUDIES, LOCATION/DESIGN CONCEPT STUDIES AND ENVIRONMENTAL STUDIES

NOTE: This is a generalized procedure and therefore all sections may not apply for the contract to which it is attached. For example, the Environmental Document procedures do not apply to a contract that specifies an Environmental Overview.

GENERAL

Purpose

This document supplements the Project Scope of Work and outlines procedures required for Feasibility Studies, Location/Design Concept Studies and Environmental Studies.

An attempt has been made to list the procedures in chronological order of occurrence, however, it is understood that many of the required procedures occur concurrently. In particular, procedures relating to development of the Feasibility Report or Location/Design Concept Report proceed concurrently with Environmental Studies.

It is also understood that Location/Design Concept Studies and Environmental Studies are “discovery processes” and that modifications to these procedures may be necessary during the development of the project. Such modifications will be made with the joint agreement of the Consultant and ADOT.

Policy

Feasibility Studies, Location / Design Concept Studies and Environmental Studies shall be prepared in accordance with ADOT Highway Development Group Policy and Implementation Memorandum No. 89-5 and as outlined herein. Feasibility Report (FR) and Location/Design Concept Report (L/DCR) are used interchangeably in this Appendix C with Design Concept Report (DCR).

Feasibility Reports shall be prepared in conjunction with an Environmental Overview. Location/Design Concept Reports (L/DCR) shall be prepared with the appropriate Environmental Document (NEPA). Location/Design Concept Reports are prepared when location is an issue and a new corridor or alternative alignments are considered.

Local, State and Federal Permits

The Consultant shall determine the need to obtain any federal, state, and local permits and shall so advise ADOT no later than 60 days from the notice to proceed. The Consultant shall be responsible for obtaining any required survey permits from the appropriate federal, state, or local agencies, and for obtaining any required rights of entry.

Temporary Entry Documents

ADOT will obtain a temporary entry document for entry to each parcel for archaeological surveys, geotechnical investigations and location survey work.

The Consultant shall notify ADOT of the need for any temporary entry documents no later than 60 days after the notice to proceed. ADOT will obtain the appropriate owner's signature. The Consultant may not enter any such property prior to approval and acceptance of the temporary entry documents by ADOT.

Surveys and Mapping

The Consultant shall review data provided by ADOT. Any field surveys required shall be suitable for contract documents preparation and meet the technical requirements of ADOT and the State Board of Technical Registration.

All surveys and mapping for projects utilizing existing roadway(s) shall be referenced directly to the existing as-built roadway centerline. The centerline shall be re-established in its original position by locating, marking, staking and referencing the PC, PT, TS, SC, CS, ST, PI (if possible), and a minimum of fifty (50) feet station intervals along the curves and one hundred (100) feet station intervals on tangents. The use of offset baselines for re-establishing or defining the existing centerline is not permitted unless approved in advance by ADOT. The centerline stationing of the project shall be on ADOT's established field stationing.

Completed surveys shall be submitted in permanently bound books (3-ring binders are not acceptable) with the final plans. The surveys shall include locations, stakes and references of control points, (including the beginning and ending points of the project), PC's, PT's and PI's (if possible) of curves, POT's with a maximum interval of one thousand (1,000) feet, and bench marks on alternate sides of the roadway with a maximum interval of five hundred (500) feet. Any survey data provided must be certified by an Arizona Registered Land Surveyor. Any coordinates used shall comply with the Arizona State Plane Coordinate System.

Surveys will include, as applicable:

- a. Base line control
- b. Control for aerial mapping
- c. Right-of-way surveys
 - Section Corner and Land Ties
 - Existing Right of Way Monumentation
 - Staking of New Right of Way for Appraisal Purposes
 - New Right of Way Monumentation
 - A "Results of Survey" map
- d. Topographic surveys
- e. Roadway drainage surveys
- f. Utility locating - set control points with coordinates and elevations at five hundred (500) ft. maximum intervals adjacent to the road and along the utility lines (See Section 430)
- g. Centerline staking, centerline of each roadway, as applicable for field review (lath stakes at PC, PI and PT's, at approximate two hundred (200) ft. intervals, and at selected locations if required to

- define the approximate limits of construction)
- h. Centerline and edge elevations of existing pavement at fifty (50) ft. intervals
- i. Ties to Arizona State Plane Coordinates
- j. Final alignment staking
- k. Crossroads tie-ins, turnouts and driveways
- l. Above ground utilities

The Consultant shall obtain any permits that may be required prior to beginning field work. A traffic control plan may also be required. Preparation of surveys shall conform to applicable documents referenced in Section 200 of the Scope of Work, including (but not necessarily limited to) procedures, record-keeping requirements, equipment use, and safety precautions.

Unless otherwise directed by the ADOT Predesign Project Manager, the Consultant shall be responsible for selecting a scale that results in good plan clarity. The following scales are suggested:

- a. 1" = 500' (Drainage map and R/W key sheet)
- b. 1" = 200' (Concept Plans and R/W maps)
- c. 1" = 20' (Intersections, urban streets, and other items of considerable detail)

The Consultant may be responsible for delineating the proposed new centerline, right-of-way, and/or toe of slope to assist in the evaluation of the proposed alternates, utility locations, and to assist with any required archaeological testing.

Completed surveys and maps shall be recorded in an acceptable format. Upon final approval, the books, maps and CADD files, and other diskettes, shall be submitted to the ADOT Predesign Project Manager.

Utilities and Railroads

The Consultant shall establish contact with utility and railroad companies to obtain all applicable facility location mapping. The Consultant shall coordinate all activities with the various utility companies. After initial contact, ADOT Utility & Railroad Engineering Section (URR) will coordinate activities between the Consultant and railroad companies. The Consultant shall furnish URR with copies of all correspondence between the Consultant and the utility and railroad companies. All correspondence shall include complete TRACS No., Project No., Highway Section, and Project Location.

Where a utility conflict is evident and relocation is required, the Consultant shall request URR assist in the estimation of relocation costs. The Consultant shall provide URR with all conflict information and the proposed solution. URR will contact the utility company to determine their prior rights status and determine who will pay for the utility relocation. If it is determined the cost of utility relocation is to be included in the project costs, URR will instruct the Consultant to include the cost, including materials, labor and engineering, in the L/DCR, subject to review by URR.

The Consultant shall distribute as many copies as necessary of the design concept to the affected utility companies. All response comments from the utility companies shall be directed to ADOT.

Public Information Meetings & Hearing

Public Information Meetings

The Consultant and its staff shall be available, at five (5) workdays notice, to attend meetings or make presentations at the request of ADOT. The purpose of these meetings shall be to inform the public of the scope, details, and anticipated schedule of the project. Such meetings and presentations may be held at any hours between 8:00 a.m. and 12:00 midnight on any day of the week except legal holidays. The Consultant shall be responsible as applicable, for the preparation of graphics, hand-out materials, minutes of the meetings, audio-visual displays and similar material for such meetings. All such materials shall prominently identify ADOT. Payment of premium overtime for this activity must have prior approval of ADOT.

Public Hearing

The Consultant and its staff shall be available, at five (5) workdays notice, to attend or make presentations at Public Hearings at the request of ADOT. The purpose of these hearings shall be to inform the public of the preferred alternative, provide information about the issues leading to the recommendation and provide the public with an opportunity to comment on these recommendations and issues. Such hearings and presentations may be held at any hours between 8:00 a.m. and 12:00 midnight on any day of the week except legal holidays. The Consultant shall be responsible as applicable, for the preparation of graphics, hand-out materials, minutes of the hearing, audiovisual displays and similar material. All such materials shall prominently identify ADOT. Payment of premium overtime for this activity must have prior approval of ADOT.

Meeting Notifications

Meetings and site visits shall be announced a minimum of two weeks (preferably four weeks) prior to the meeting.

Pre-review of Submittals

Upon completion of any report for distribution, the Consultant shall prepare and submit, to ADOT Predesign Section, two preliminary copies of the complete document, transmittal letter, and distribution list for pre-review. Upon receipt of comments, the Consultant shall prepare and distribute the documents for formal review.

Order of Events

The following steps and reports may be necessary in order to complete an acceptable Design Concept Study and Environmental Documents. The steps/reports are listed in approximate chronological order and are discussed in subsequent sections of this document.

Initial Site Visit

Notice to Proceed

Project Team Meetings (Kickoff & Progress)
Data Collection
Problem Statement, Project Assessment, Previous Studies
Program Data
Other Data
Video Tape Project
Photogrammetry, Surveys, Mapping, Digital Terrain Modeling
Reports
Public Involvement Plan
AASHTO Controlling Design Criteria Report
Project Scoping
Project Team Scoping Meeting
Agency Scoping Meeting
Scoping Field Review
Public Scoping Meeting
Project Scoping Report
Alternatives Selection
Project Team Meeting (Alternatives Selection)
Agency Information Meeting (Alternatives Selection)
Public Information Meeting (Alternatives Selection)
Alternatives Selection Report (If Required)
Reports
Preliminary Geotechnical Report
Preliminary Drainage Report
Preliminary Traffic Report
Biological Evaluation Report
Bridge/Structure Concept Report
Cultural Resources Report
Air Quality and Noise Analysis Report
Hazardous Materials Survey Report
Visual Impact Analysis

Identify Recommended Alternative
Project Team Meeting (Recommended Alternative)
Agency Information Meeting (Recommended Alternative)
Public Information Meeting (Recommended Alternative)
Initial Location/Design Concept Report (Concurrent with Draft Environmental Document)
Draft Environmental Document (Concurrent with Initial Location/Design Concept Report)
Review and Approval
Project Team Meeting (L/DCR & Environmental Document)
Agency Meeting (L/DCR & Environmental Document)
Public Hearing (L/DCR & Environmental Document)
Comment Resolution
Comment Resolution Documentation for Initial Location/Design Concept
Comment Resolution Documentation for Draft Environmental Document

Reports

Corridor Implementation Plan

Change of Access Report

Final AASHTO Controlling Design Criteria Report and Request for Design Exceptions and Deviations

Final Location/Design Concept Report (Concurrent with Final Environmental Document)

Final Environmental Document (Concurrent with Final Location/Design Concept Report)

Document Printing and Distribution.

INITIAL SITE VISIT

An initial site visit will be held with the ADOT Predesign Project Manager and the Consultant's key personnel. The purpose of this site visit is to acquaint the Predesign Project Manager and the Consultant with the project objectives, issues, and concerns and to provide input to assist in the preparation of scope modifications, contract hours and costs for contract negotiations.

NOTICE TO PROCEED

Design Consultants are issued a written Notice To Proceed by Engineering Consultant Section after contract negotiations are completed.

PROJECT TEAM MEETINGS (KICKOFF & PROGRESS)

A Project Team Kickoff Meeting and periodic Progress Meetings will be held with key ADOT personnel, the Consultant's key personnel, sub-consultants, and significantly involved agency representatives. The purpose of the meetings is to acquaint ADOT, the Consultant, the sub-consultants, and involved agencies with the project objectives and progress and to maintain a strategy for effectively completing the project.

The following representatives may be invited to participate in the meeting:

ADOT

- Predesign Section

 - Section Manager

 - Predesign Project Manager

- Environmental Planning Group

 - Project Representative

- Statewide Project Management

 - Project Manager (Future)

- District Engineer

- District Maintenance Engineer

- Specialty Disciplines as appropriate

 - Roadway Design

 - Traffic Design

 - Drainage Design

 - Bridge Design

 - Geotechnical Design

Communication and Community Partnerships as appropriate
MPO's; Central Yavapai Metropolitan Planning Organization (CYMPO) and
Northern Arizona Council of Governments (NACOG)

Consultant

Project Manager
Project Engineer
Environmental Planner
Specialty Disciplines

Sub-consultants

Agency Representatives

FHWA

Federal

Forest Service
Bureau of Land Management
Fish and Wildlife

State

State Land Department
Department of Public Safety

County

City

Indian Communities

At the Kickoff Meeting, the Project Team will identify other key organizations from which to gather information. These organizations may include the following:

Chamber of Commerce
Special Interest Groups
Civic Organizations
Service Organizations
Schools
Emergency Services
Utilities
Railroads

At the Kickoff Meeting, the Project Team will schedule the Agency Scoping Meeting, Field Review, and Public Scoping Meeting.

The frequency, location, and duration of subsequent Progress Meetings will be determined by the Project Team as approved by the Predesign Project Manager.

DATA COLLECTION

Problem Statement, Project Assessment, Previous Studies

If a Problem Statement, Project Assessment, or previous studies were prepared for the project, obtain and review the file for completeness of available data.

Program Data

Projects that have been programmed will have the following data available. For projects that have not been programmed, this data may need to be developed:

ADOT District, ADOT Prefix Number, TRACS Number, Federal Reference Number, Project Name, Project Description, Fiscal Year, Item Number, Budget Amount, and Funding Source. This data may be obtained from the current ADOT Five-Year Highway Construction Program.

The CPS ID and Bid Advertising Date, if established, are available in the Preconstruction Engineering Management PS003 5-Year Bid Date Report.

The PCEM Model, Late Start & Finish Dates, if established, are available in the Preconstruction Engineering Management 90 Report.

The category, purpose and programmed limits are available on the Problem Statement. This document is the original request for including a project in the Five - Year Highway Construction Program. The Problem Statement is available from Transportation Planning, some will be available in Predesign Section. The project limits and location are defined more accurately in the Problem Statement.

If unable to find or acquire these items the Consultant should refer to the Predesign Project Manager.

Other Data:

Review the Milepost Log and State Highway System Log to correlate the project limits with Mileposts and roadway stationing.

Review the Five-Year Highway Construction Program (current and tentative), Corridor Studies, etc. for projects in the vicinity of this project.

Check Corridor Study/Small Area Study and State Highway System Plan for future/proposed project(s) or typical sections. Most Corridor Studies are available in Predesign Section files; if not, Transportation Planning should be contacted.

Check the Highway classification to assist in design speed determination, and for use in review and/or preparation of the AASHTO Criteria Report.

Obtain all as-built drawings and maps for the project from ADOT Engineering Records. Copies of as-built plans are free to consultants under contract to ADOT. Consultants under contract can obtain up to two free copies of maps, specifications, and other types of documents.

Request from Transportation Planning Division (TPD) and the appropriate Metropolitan Planning Organization (MAG/PAG) the current and projected design year Average Daily Traffic Count (ADT), along with K (Design Hour Factor), T (% Trucks & Recreation Vehicle), D (% Directional Distribution Factor) and the location of any traffic counter loops existing or required. If the project contains an Interchange include ramps and crossroads in your request. Data should be requested for the program year with projection for twenty years.

Request the last Five-Year Accident Report from Traffic Group, Studies Section.

Request from Materials Pavement Section preliminary pavement structural data and any recommended special oils or percentage of oils that may vary from the standard specifications and would influence the cost of these items in the estimate.

Using the Bridge Record Log, prepare a Bridge Evaluation Request and forward to Bridge Group, Bridge Management Section for evaluation. Do not include concrete box culverts unless they are multi-barreled and have a structure number and a bridge barrier.

Request from Right-of-Way Section the assessors maps and ownership records of the properties adjacent to and within the existing and proposed right-of-way. This will provide the information needed to plot property lines on the aerial photos and mapping used for exhibits. Acquire the names and address of property owners that are within three hundred feet of the project. Provide this list to the Environmental Planning Group for use in notification of public informational meetings and public hearings. This ownership list will also be of use for acquiring rights of entry for surveys (archaeology, hazardous waste, alternative centerlines and/or proposed rights-of-way).

Obtain additional property ownership information from County Assessors maps.

Obtain available utility plans and information.

Obtain any other available mapping such as County Highway maps.

Contact any ADOT Sections necessary to obtain available information. Record all pertinent verbal communications.

Depending on the particular project there may be need for additional or different data than which was described above.

Video Tape Project

The Consultant shall video tape (VHS) the project in both directions with additional taping of areas of significant concern. A running commentary of the project shall be included on the videotape.

PHOTOGRAMMETRY, SURVEYS, MAPPING, DIGITAL TERRAIN MODELING

The Consultant shall research all available ADOT photogrammetry, survey, mapping, and digital terrain modeling; and identify/obtain additional data as required to complete the study.

REPORTS

Public Involvement Plan

The Consultant may be responsible for the development of a Public Involvement Plan that identifies the number, purpose, and schedule of public information meetings, as well as the Public Hearing and any additional efforts to provide community involvement. These activities might include a website, mailings, flyers, newsletters, displays, questionnaires, handouts, surveys, construction alerts or meetings with citizens committees or local organizations, special presentations, or point contacts.

The Public Involvement Plan will be submitted within 60 days of "Notice to Proceed." This effort will be coordinated with and approved by the Predesign Project Manager and Environmental Planning Group (EPG) and Communication and Community Partnerships (CCP).

The Consultant shall provide staff and/or materials for public information meetings and public hearings. The Consultant shall schedule a strategy meeting at least two weeks prior to any public meeting with the Predesign Project Manager, ADOT Environmental Planning Group, ADOT Communication and Community Partnerships, and any necessary sub-consultants or participants. The purpose of this meeting will be to determine meeting format, necessary graphics and to identify the roles of all participants. ADOT Communication and Community Partnerships will be responsible for advertisement of all public meeting notices and will make all arrangements for the public meetings and will arrange for liability insurance, as required.

The Consultant shall develop and maintain mailing lists for all affected public and private agencies and organizations and all private individuals who have commented on the project or who have expressed an interest in being on the mailing list.

Initial AASHTO Controlling Design Criteria Report

As part of the study, the Consultant shall, using "as-built" plans and a field reconnaissance, perform a complete roadway inventory and evaluate the existing roadway for compliance with AASHTO Controlling Design Criteria as specified in ADOT Planning and Engineering Groups "Procedural Guide for Review of the AASHTO Controlling Design Criteria on Existing ADOT Roadways."

The Consultant shall prepare an Initial AASHTO Design Criteria Report which shall identify existing design features which do not comply with desired AASHTO design criteria such as: lane and shoulder widths, vertical and horizontal alignments, stopping sight distance, superelevation, design speed, grade, cross slope, vertical clearance, bridge width, structural capacity, bridge rail, design traffic volume, and intersection sight distance.

Using information developed in the Initial AASHTO Controlling Design Criteria Report, traffic accident data furnished by ADOT Traffic Group, and other available information, the Consultant shall evaluate existing

design features which do not comply with AASHTO design criteria and incorporate design modifications into the recommended roadway alternative as appropriate.

PROJECT SCOPING

Project Team Scoping Meeting

A Project Team Meeting will be held in preparation for the Agency Scoping Meeting, Scoping Field Review, and Public Scoping Meeting. This Team Meeting will be held at least four weeks prior to the agency/field/public meetings. The purpose of this meeting will be to:

- Identify participants
- Review graphics and exhibits
- Review possible questions and answers
- Identify strategies
- Prepare Meeting Advertisement

Note: the advertisement must be completed four weeks prior to the Public Meeting to allow for review and public advertisement two-weeks and one-week prior to the Public Meeting.

Agency Scoping Meeting

Depending on the type and complexity of the project the agency scoping meeting may be held in different ways. The Consultant will normally conduct and/or moderate this meeting and prepare all coordination letters.

For uncomplicated projects where most of the agencies will not have any input or concerns the written coordination process usually is sufficient, and the scoping meeting can be held in conjunction with the field review.

For complex or controversial projects, a broader scoping process may be desirable, with a meeting held in a convenient location prior to scheduling of the field review. This allows the agencies to voice their concerns and point out the areas that may need additional attention during the field review. Having an agency scoping meeting prior to the field review will also reduce the number of participants attending the field review and allowing for the more technical aspects to be discussed.

As alternates are generated it may be necessary to meet with the different agencies to clarify and/or refine their concerns.

The following is a general list of agencies that may receive coordination letters for the project:

- All ADOT Disciplines
- Forest Service.
- Bureau of Land Management.

Bureau of Indian Affairs (and tribal chairmen of the Indian reservations).
Fish and Wildlife Service (for federal projects).
Arizona State Land Department
Arizona Game and Fish Department (AGFD).
Arizona Department of Environmental Quality.
Arizona Department of Water Resources.
Arizona Commission of Agriculture and Horticulture (ACAH).
Arizona Department of Public Safety.
Relevant City or County engineer.
Relevant City or County planner.
Relevant Council of Government Association (COG).
Relevant utility companies.
Irrigation or water user's associations.

District flood control office (may be a separate function or part of a local government's engineering department).
Resident's or home owner's associations.

Supervisor, Research Branch, EEG (for air and noise evaluation).
Archaeologist EEG (for cultural resources survey).
ADOT Forest Service Coordinator, Roadside Development Section.

All of the above may or may not need to be notified, also there may be other agencies not listed that may need to be included.

Scoping Field Review

The Consultant shall arrange a visit to the project site with ADOT, FHWA, local jurisdictions, utility companies, major land owners, and other agency representatives. The site visit shall be scheduled at least two weeks prior to the visit. The visit should be held shortly after the Consultant is authorized to proceed, preferably within 30 working days of the receipt of written Notice to Proceed, or as otherwise approved by the Predesign Project Manager. It is preferred that this site visit be held on the same day as, or combined with, the Agency Scoping Meeting.

ADOT representatives and Consultant personnel assigned to perform the work on the project shall attend. The FHWA will attend at its own discretion. The purpose of this visit is to acquaint key personnel with the details and features of the project and to gather input on issues, concerns and opportunities.

Prior to scheduling the field review the Consultant shall contact key participants (i.e. District Engineer, Federal Highway Administration, Project Initiator and Predesign Project Manager) for a consensus on a date to insure that they can attend or have a person with knowledge of their desires and with the authority to make decisions and/or recommendations regarding the project, attend in their stead. After reaching a consensus for the date and time a letter of notification shall be sent a minimum of two weeks (preferably four weeks) prior to that date to all of the invited personnel and/or agencies.

It is recommended that the Consultant visit the site with an assistant or staff members to become familiarized with the existing conditions, gather any needed measurements (i.e. superelevations, slope rates, pavement widths, clear zone, etc.) and do the major portion of the video taping prior to the scheduled field review, thus allowing more time for the District and/or agencies present to input technical information for alternatives and to discuss their concerns and issues.

The Consultant shall record all major conflicts, comments, and preferences voiced by the involved parties during the field review.

Public Scoping Meeting

The Consultant shall present several preliminary layouts or alternatives to the public at a Public Scoping Meeting. These normally are line type presentations on aerial photos at an appropriate scale (typically, one inch equal two hundred feet).

This meeting may be held as an open-house meeting, a formal meeting, or as a combination. There should be ample personnel familiar with the project, available to interact with the public on a one-to-one basis.

The Consultant shall coordinate with Environmental Planning Group to determine the moderator of the public meeting, the meeting site, and inspection of the facilities for adequacy. Environmental Planning Group will be responsible for insurance and any fees charged for use of the meeting facilities, along with required advertising. EEG also will provide a sound system, easels and signs for directing the public to the meeting room.

A sign-in sheet with space for names and addresses and blocks to be checked if they wish to be on mailing list for future informational updates and/or newsletters concerning the project. A comment sheet for written comments shall be available. The comment sheet may have some of the concerns and/or issues list to help solicit comments. It should have an optional signature line. The public can deposit their comment sheets in a comment box or mail them by a given date, therefore, there should be a name and address for the person responsible for receiving and compiling of these comments.

Project Scoping Report

The Consultant shall prepare a brief written report which includes an Executive Summary; meeting minutes or summaries of the Agency Scoping Meeting, Field Review, and Public Scoping Meeting; copies of handouts and graphics, and attendance lists or sign-in sheets from each meeting. The purpose of this report is to summarize all activities associated with the meetings.

ALTERNATIVES SELECTION

Project Team Meeting (Alternatives Selection)

A Project Team Meeting will be held to present the selected alternatives to the Project Team and ADOT specialty disciplines and to prepare for the Agency and Public Information Meetings. The Consultant will present alternatives considered, provide an evaluation matrix, make recommendations, solicit comments,

and obtain consensus. The Project Team Meeting will be held two to four weeks prior to the Agency and Public Information meetings

Agency Information Meeting (Alternatives Selection)

An Agency Meeting will be held to present the selected alternatives. The discussion, comments and consensus from this meeting will be incorporated as the Consultant continues development of the project.

The Agency Information Meeting may be supplemented with, or replaced by, an Agency Field Review.

Public Information Meeting (Alternatives Selection)

A Public Information Meeting will be held in the project vicinity to present the proposed alternatives and solicit comments from the public and interested organizations.

Alternatives Selection – (If Required)

The Consultant shall prepare a brief Feasibility Report recommending those alternatives to be carried forward for complete evaluation in the Initial Location/Design Concept Report and Draft Environmental Document.

The report will serve as documentation of the Project Team Meeting, Agency Information Meeting, and Public Information Meeting and will contain minutes and exhibits from those meetings.

The number of alternates recommended will depend on the type of project, but will normally be six or seven which will be reduced to three or four along with a “no build”.

The Consultant's alternative recommendations will be supported by the Consultant's research, the Initial AASHTO analysis, drainage evaluations, utility and right-of-way information and other information of record, an environmental overview, results of the Agency Scoping Meeting, results of the Field Review, and results of the Public Scoping Meeting.

Utilizing ADOT or USGS mapping, the Consultant shall prepare initial alignments and/or alternatives to the extent necessary to evaluate the alternatives with regard to advantages and disadvantages of the following:

- Geometrics and terrain limitations
- Off site drainage
- Traffic accommodation during construction
- Cost
- Environmental Overview
- Other issues of concern (public acceptability, right-of-way, etc.)

The Environmental Overview will be based on “windshield surveys” and a literature search and will address fatal flaws for alternatives and provide order of magnitude evaluations for alternative comparisons.

The Feasibility Report shall contain the following:

- Executive Summary
- Alternatives Graphics
- Evaluation Matrix
- Minutes from, or a summary of:
 - Alternatives Meeting
 - Agency Information Meeting
 - Public Information Meeting
- Responses to Public Concerns
- Recommendations

The Report shall be distributed to all individuals who will ultimately receive the Location/Design Concept Report for consensus on recommendations. Comments disagreeing with the recommendations will be evaluated by the Project Team and responded to. If comments result in modifications of recommendations, a letter documenting the recommended change will be circulated for concurrence.

If substantial changes are made over what was presented to the public, it may be necessary to have another informational meeting prior to proceeding with the Initial Location/Design Concept Report.

REPORTS

Preliminary Geotechnical Assessment Report

The Consultant shall research existing "as-built" drawings and records and coordinate with ADOT Materials Group Geotechnical Section and conduct a site visit with a qualified Geologist or Geotechnical Engineer who shall make observations of the materials encountered and their relative suitability for construction. A Preliminary Geotechnical Assessment Report shall be prepared and an assessment of the site shall be included in the L/DCR.

Preliminary Drainage Report

The Consultant shall perform a drainage study in accordance with current ADOT methodology.

The Consultant should obtain and assess available pertinent public information to identify flood-plains and their impacts, and determine existing flow patterns and known drainage problems throughout the highway corridor, including downstream reaches within the area of influence of project. Analysis of pre-construction hydrologic conditions should be performed in order to evaluate hydraulics (capacity, velocity, flood over-topping elevations etc.) of any existing structures and the impacts of alternatives considered.

The Consultant shall research and evaluate potential future development (20 year planning horizon) within the watershed which may have an impact on future drainage flows and ultimately the performance of existing or proposed hydraulic structures.

The purpose of the drainage study is to identify potential drainage problems for the proposed improvement, to recommend solutions, and to establish initial culvert and channel sizes and alignments consistent with the improvement concept.

Existing drainage facilities shall be analyzed for adequacy.

In urban or elevated area there may be a need for an analysis of a collection and disposal system for the roadway drainage.

Information and documentation shall be provided to confirm that no adverse or increased flows or changes to the off-site and surrounding area will take place as a result of this improvement and construction.

The Consultant shall carefully document and photograph all existing drainage problems, carefully evaluate recommended solutions and assure existing conditions are not impacted by proposed roadway improvements. An office review meeting and a field review of these findings may be necessary for coordination with Drainage Design Section and ADOT Legal.

The Consultant shall document drainage problems, design approaches, solutions, and initial hydraulic structures requirements in a separate Preliminary Drainage Report which will be summarized in the L/DCR.

Bridge/Structure Concept Report

The Consultant shall prepare a Bridge/Structure Concept report and coordinate with ADOT Bridge Group to identify type, size, and location required for preliminary cost comparisons.

Preliminary Traffic Report

General

The Consultant shall prepare a Preliminary Traffic Report with sufficient detail to identify existing and future capacity and level of service and to develop the number of lanes required, intersection requirements, signal warrants, and interchange requirements to provide an acceptable level of service through the design year.

ADOT Traffic Group should be contacted to determine if traffic counts and turning movements exist at required intersections. The Consultant will be required to provide the data that is not available.

The report shall recommend geometric and/or operational improvements to the mainline, and intersections. This includes turn lanes at intersections, additional lanes on mainline, and other mitigation measures. A LOS "B" or better is desired for the mainline and at signalized intersections.

The Preliminary Traffic report will be a separate report and the results of the study will be summarized in the Location/Design Concept Report.

Signals and Lighting

The Consultant shall evaluate the need, according to ADOT Policy, for roadway lighting and signals within the project limits. The Consultant will identify those intersections where traffic signal warrant studies are necessary. The results of those studies shall be reflected in the design concepts developed by the Consultant.

Biological Evaluation Report

A Biological Evaluation Report shall be developed as a separate technical report and shall follow the ADOT Environmental Planning Group guidelines. The Consultant shall summarize Biological Impacts in the Environmental Document.

Cultural Resources Report

Cultural Resources Literature Search and Survey

The Consultant shall prepare a cultural resources literature search and conduct a Class 3 survey. The Cultural resources Report describing the investigations conducted, the findings, and recommendations for further action shall be submitted upon completion of the survey. The Consultant shall summarize the applicable cultural resources information in the Environmental Document. The report shall be submitted to the ADOT Environmental Planning Group for filing but shall not be included in the Environmental Document.

Archaeological Testing and Data Recovery

The Consultant shall provide any required technical information to ADOT Environmental Planning Group regarding new R/W or areas that may need archaeological testing. ADOT Environmental Planning Group will perform any necessary testing and recovery.

Air Quality and Noise Analysis Reports

The Consultant shall prepare separate Air Quality and Noise Analysis Reports leading to and supporting the conclusions reached in the environmental evaluation. All technical documentation used to produce these reports will be submitted to ADOT. The Consultant shall summarize impacts from the air and noise studies in the main text of the Environmental Document.

Hazardous Materials Survey Report

The Consultant shall conduct a Hazardous Materials Survey through the use of visual surveys, aerial photo review, past and present land use, regulatory records review, and prepare a report describing the findings and recommendations for further action. The report shall be submitted to ADOT Environmental Planning Group promptly upon completion of the survey. The Consultant shall summarize the survey results in the Environmental Document. Any further investigations or mitigation may be performed by ADOT or may be added to the scope of work by Contract Modification.

Visual Impact Analysis

The Consultant shall summarize the visual impacts in the Environmental Document and Location/Design Concept Report. The analysis will not be developed as a separate technical report

IDENTIFY RECOMMENDED ALTERNATIVE

Project Team Meeting (Recommended Alternative)

A Project Team Meeting will be held to present the recommended alternative to the Project Team and ADOT specialty disciplines and to prepare for the Agency and Public Information Meetings. The Consultant will present the recommended alternative, solicit comments, and obtain consensus. The Project Team Meeting will be held two to four weeks prior to the Agency and Public Information Meetings.

Agency Information Meeting (Recommended Alternative)

An Agency Meeting will be held to present the recommended alternative. The discussion, comments and consensus from this meeting will be incorporated as the Consultant continues development of the project. The Agency Information Meeting may be supplemented with, or replaced by, an Agency Field Review.

Public Information Meeting (Recommended Alternative)

A Public Information Meeting will be held in the project vicinity to present the recommended alternative and solicit comments from the public and interested organizations.

INITIAL LOCATION/DESIGN CONCEPT REPORT (Concurrent with Draft Environmental Document)

The Consultant shall prepare an Initial Location/Design Concept Report. All work shall be addressed in sufficient detail to clearly document the design concept, substantiate recommendations, document alternate considerations, and identify environmental impacts.

The following is an outline and procedural guide that should be used in preparing the Location/Design Concept Report:

Cover Sheet

The Cover Sheet shall contain the Project Route No., County, Milepost, TRACS No. Federal Reference No., Project Name, Highway Section Name and Route No. Type of report Initial, or Final, prepared for ADOT by (report author), and date.

Title Page

The Title Page shall contain the same information as the Cover Sheet. In addition, the Title Page shall contain the ADOT District in which the project is located and the County in which the project is located.

Table of Contents

Executive Summary

Brief description of project purpose, location, and scope, TRACS and Federal Aid Project Numbers, milepost limits, length of project, route number, county, program year, programmed and estimated costs, identification of consultant involvement, required coordination with other projects, local government agreements, applicable TPD studies, overall highway corridor goals, specification of public lands involvement such as National Forest, Indian Reservation, etc. The recommended alternative shall be identified. The estimated cost of design, construction, utility relocation's and right-of-way shall be noted for the recommended alternative.

List of Figures

Introduction

Foreword

Identify the AASHTO Classification of the highway. Identify the posted speed(s). Identify and discuss the major traffic generators.

Need for Project

Include a complete analysis of why the project is needed. The analysis should describe how the existing highway is functioning and the reasons that prompted ADOT to program or investigate a project at this location. Any cause/effect relationships suggested by review of existing data and interviews with the parties involved shall be identified and discussed.

Project Objectives

Completely describe the objectives of the project. The data in this section is dependent on the analysis presented in the "Need for the Project" section of the report. The objectives to be accomplished by the project should be the remedies needed to correct the problems identified in "Need for Project."

Characteristics of the Corridor

This section shall include, but not be limited to the following data:

- The width of the existing pavement and the type of pavement section.
- The lane and shoulder widths of the existing highway. If curb and gutter are present, the locations shall be listed.
- The design speed(s) of the existing highway.
- All previous projects constructed within the improvement section shall be identified. The project numbers and construction dates shall be listed in a table.
- The horizontal and vertical alignments of the existing highway shall be described.
- A description of the existing right-of-way shall be included. The minimum and maximum right-

of-way widths shall be noted, and the type of right-of-way, easement or deed, shall be identified. The types of ownership within the project - private Forest Service, Indian Tribe, etc. - shall be identified.

- The drainage characteristics of the corridor shall be described. Any watersheds, drainage's, or waterways within or adjacent to the project shall be identified. A description of all drainage and irrigation facilities within or adjacent to the project shall be included. If there are any agencies or other authorities responsible for the drainage or irrigation facilities, they shall be identified.
- The total number and type of existing drainage structures (bridges, pipes, and concrete box culverts shall be listed. A brief description of the major bridge structures within the project shall be included.
- The surrounding topography and terrain shall be described. The primary geology, soils, and vegetation shall be identified.
- The future land use proposed for the area shall be described. If there are any major developments proposed, the shall be identified and described.

Description of the Project

Include a complete description of the proposed work for the recommended alternate only. The following data shall be included in the description:

- The length of the project
- The termini of the project. Each terminus shall be identified by milepost and station.
- The total pavement width. If curb and gutter is proposed, the curb to curb width shall be listed. The lane widths, median width, and shoulder widths shall be listed. If there is more than one type of typical section proposed, each shall be completely described, and the effective milepost limits of each shall be listed.
- The total number of lanes shall be noted.
- Any new right-of-way that is needed shall be identified and described. The quantity needed, in acres, and the type of ownership (residential, commercial, Forest Service, etc.) shall be listed
- If curb, gutter, sidewalk, median treatments, or intersection improvements are proposed, they shall be identified and described. Any IGA's for new sidewalk or other proposed facilities shall be described.
- The striping, marking and signing improvements shall be identified and described.
- Any safety upgrades proposed - slope flattening, curve reconstruction, guardrail upgrades, culvert extensions, hazard removals, etc. - shall be identified and described.
- Any drainage improvements proposed - storm-drains, culverts, catch basins, bank protection, scour protection, channel reconstruction, basins, etc. - shall be described.
- Any utility, railroad, or irrigation system improvements or conflicts that will impact the design and construction of the project shall be identified and described.
- The traffic control proposed for the project - detours, construction phasing, tie-ins to adjacent projects, etc. - shall be identified.

Location and Vicinity Maps.

Traffic and Accident Data

All L/DCR's shall have a "Traffic and Accident Data" Chapter. The Chapter shall contain the following sections:

Traffic Analysis

Source of Data

The sources that provide traffic data for the report shall be referenced. In most cases, there will only be one traffic data source - the ADOT Travel and Facilities Branch.

Origin-Destination Study

Summarize the results of the origin-destination study, if one was conducted.

Traffic Data

- The Average Daily Traffic (ADT) Volumes, in vehicles per day, shall be listed. The volumes for both the construction and design years shall be listed.
 - The Design Hour Traffic Factor (K), in percent
 - The Directional Distribution Factor (D), in percent.
 - The Truck Factor (T), in percent
 - If needed, intersection counts (including turning movements) and diagrams shall be included.
-
- If the project includes a Traffic Interchange or Intersection, the data listed above will be expanded to include ramps, crossroads, or all legs of the intersection. The data may also be expanded to include projections of traffic on adjacent interchanges and area wide systems.

Traffic Operational Analysis

This section will discuss the results of the traffic analysis and the impacts/solutions suggested by review of the data.

Accident Analysis

Source of Data

The sources that provide traffic data for the report shall be referenced. In most cases, there will only be one accident data source - the ADOT Traffic Group.

Accident Data

An itemized list that shows the types and numbers of accidents within the improvement section during the last five year period shall be included. In addition, the total number of accidents, the number of accidents involving injuries, and the number of accidents involving deaths shall be listed. The accidents shall be itemized according to type - rear end, ran off road, hit fixed object, etc. The beginning and ending dates of the accident sample shall be listed.

Review of Accident Data

If the ADOT Traffic Group has reviewed the accidents within the improvement section and prepared a report, the report shall be referenced and any conclusions reached shall be cited. The Consultant shall not draw any conclusions from reviewing accident data unless the ADOT Traffic Group has reviewed and approved these conclusions.

Location Analysis

When location is an issue for a project, a "Location Analysis" Chapter shall be included. The Chapter shall contain the following sections:

Introduction

Reasons why location is an issue shall be discussed. The discussion should include background information explaining why particular alternative locations are being evaluated and what the issues are driving development of the different alternatives. A discussion of field inspections, meetings, and input from others shall be included.

Description of Alternative Corridors

This section shall include a complete description and rationale of each alternative corridor proposed, including the existing corridor. The alignments and impacts of each alternative shall be fully described.

Evaluation of Alternative Corridors

The pros and cons of each alternative location will be discussed. Each alternative shall be evaluated for the following impacts: present and future land use, right-of-way, environmental, cultural resources, archeological, cost, constructability, traffic control, safety, drainage, earthwork, flood-plains, utilities, structures, socio-economic considerations, impact on present and future land uses, preferences of outside agencies and other parties, and design exceptions. A matrix chart shall be prepared to evaluate the alternatives. Each alternative shall be listed at the left of the matrix, and each impact shall be listed at the top. A score shall be assigned to each impact to indicate its relative difference between alternatives. Impacts shall be weighted so one impact can be directly compared to another. The criteria used to assign scores to the different impacts shall be explained and discussed.

Conclusions

The recommended location shall be identified, and the reasons and logic used to select it shall be explained. Does cost exceed the programmed amount? Does the recommended alternative have the least amount of negative impacts? Can negative impacts be mitigated? Is the recommended solution interim or within the long-term goals of the overall highway corridor?

Design Concept Alternatives

This chapter shall contain the following sections:

Introduction

This section shall include background information explaining why particular Design Concept Alternatives are being evaluated and what the issues are driving development of the alternatives.

Design Concept Alternatives Considered and Discontinued

This section shall include a brief description of each Design Concept Alternative that was considered and discontinued. The alignments and impacts of each alternative shall be briefly described. The reasons for dropping the alternatives shall be explained.

Design Concept Alternatives Studied

This section shall include a complete description of each Design Concept Alternative that was considered for further development. The alignments and impacts of each alternative shall be fully described.

Evaluation of Alternatives

The pros and cons of each alternative corridor will be discussed. Each alternative shall be evaluated for the following impacts: present and future land use, right-of-way, environmental, cultural resources, archeological, cost, constructability, traffic control, safety, capacity, level of service, drainage, earthwork, flood-plains, utilities, structures, socio-economic considerations, and design exceptions. A matrix chart shall be prepared to evaluate the alternatives. Each alternative shall be listed at the left of the matrix, and each impact shall be listed at the top. A score shall be assigned to each impact to indicate its relative difference between alternatives. Impacts shall be weighted so one impact can be directly compared to another. The criteria used to assign scores to the different impacts shall be explained and discussed.

Conclusions

The recommended alternative shall be identified, and the reasons and logic used to select it shall be explained.

Major Design Features of the Recommended Alternative

This chapter shall contain the following sections

Introduction

This section shall describe the purpose of this chapter

Design Controls

This Section shall include a complete list of the Design Controls proposed for the recommended alternative. The following Design Controls shall be listed in the report:

Project Design Year

Design Speed(s)

Geometrics

Slope Standards

Superelevation

Maximum Degree of Curve

Maximum Grade

Typical Section

Roadway Width

Lane Width

Shoulder Width

Type of Access Control

Right-of-Way Width

Horizontal and Vertical Alignments

This section shall include a complete description and discussion of the horizontal and vertical alignments proposed for the recommended alternative. The beginning and ending stations of the alignments shall be listed as well as the number of curves, spirals, and tangents.

Access

Based on the Consultant's review of property ownership abutting the proposed right-of-way, existing and proposed land use, ADOT policy, etc., the Consultant shall recommend the access control concept for the corridor. The location of known or currently proposed intersections, median breaks and turnouts will be shown on the conceptual plans. Access requirements for recreation, property and businesses abutting both existing and new right-of-way shall be considered. Local jurisdictions and County Planning & Zoning shall be consulted during this process. The type of access control shall be described. Any special features that are needed to provide access control (such as fencing, gates, and curbs) shall be identified and

discussed. Any special access roads or entrances (such as substation entrances) shall be identified. Any access required for future developments shall be identified and described.

Right-of-Way

This section shall include a complete discussion of the right-of-way requirements for the recommended alternative. The Consultant shall identify the requirements for new right-of-way and easements, including, but not limited to: new roadway right-of-way, slope easements, drainage easements, and temporary construction easements. An estimated cost of the proposed right-of-way shall be included. The accuracy of the R/W requirements shall be commensurate with the design effort. Existing and future land uses, zoning and special uses and their possible effect on the corridor will be summarized and discussed. Include the quantity (in acres), width, and station limits of any new right-of-way required. Identify any private or public groups who control the needed right-of-way, such as the Forest Service, Bureau of Land Management, Arizona State Land Department, Railroads, or Indian Tribes. If special right-of-way impacts are involved, they shall be described. For example, if only a partial take of a parcel is needed, the associated impacts on the landowner should be discussed. If operations of a business located on the property will be affected, this should be noted.

Drainage

This section shall reference and summarize the information presented in the Preliminary Drainage Report and shall include a description of the drainage impacts associated with the recommended alternative, and a description of the proposed improvements. It shall document existing drainage conditions on parcels upstream and downstream of the proposed roadway improvements. Upstream and downstream impacts caused by proposed drainage modifications shall be identified and discussed. Drainage solutions which do not negatively impact existing conditions shall be provided. This section shall include a summary of hydrologic data and a tentative drainage layout for cross-drainage and tentative structure sizes. Any drainage facility improvements proposed for the project - cut ditches, channels, storm drains, catch basins, culverts, bank protection, scour protection, channel reconstruction, etc. - shall be identified and described. Requirements for special design details shall be identified. If a drainage study is needed for the project, this fact shall be noted and the drainage work to be addressed by the proposed study shall be described.

Flood-plain Considerations

This section shall include a description of the flood-plain impacts associated with the recommended alternative. A statement shall be included noting whether or not any areas have been identified by FEMA as 100-year flood-plains. If the proposed project encroaches on a flood plain, the impacts associated with the encroachment shall be identified and described.

Section 404 of the Clean Water Act

This section shall include a statement concerning whether or not the recommended alternative qualifies for any nationwide or individual permits required under Section 404 of the Clean Water Act. If permits are required, the following standard declaration shall be included: "ADOT Environmental Planning Group will apply for all permits required."

AZPDES Permit:

This section shall contain the statement; "Any construction project that will disturb five (5) or more acres of land area will require an Arizona Pollutant Discharge Elimination Systems (AZPDES) general permit as directed by Section 402(p) of the Clean Water Act." The Consultant shall identify the need for any such permits

Geotechnical

This section shall reference and summarize the results of the Preliminary Geotechnical Report.

Earthwork

This section shall include a description of the earthwork impacts for the recommended alternative. The Consultant shall attempt by adjustment of highway geometrics to balance the earthwork within the limits of the recommended design projects to a level commensurate with the study. The estimated total embankment, borrow, or waste shall be specified. Any special earthwork, such as cut ditches or slope flattening, shall be described. Any nearby borrow pits or waste disposal sites shall be identified. If the right-of-way is controlled by the Forest Service, Indian Tribes, or other involved party, the preferences of the party concerning the earthwork shall be noted. The Forest Service often has specific requirements concerning the location of pits, interim stockpiling of materials, treatment of side slopes, and the disposal of waste. A statement shall be included concerning whether or not the earthwork will be balanced. If the earthwork will not be balanced, the quantities of borrow or waste shall be specified.

Constructability and Traffic Control

This section shall include discussion of the constructability and traffic control issues of the recommended alternative. Any special features of the project that will make the improvements difficult to construct will be identified and discussed. For example, when a bridge will be constructed in stages on the existing alignment and the existing bridge is to remain as a detour, constructability will be an issue. A detailed description of proposed detours, tie-ins to adjacent projects, construction phasing, and other traffic control measures shall be presented. Recommendations for signing marking and signals shall be included. The following sentence shall be included: "Traffic control shall be specified by a traffic control plan or procedures and guidelines in the ADOT Traffic Control Manual for Highway Construction and Maintenance." The following sentence shall be included: "Access to adjacent properties shall be maintained during construction." If special measures are to be taken to provide access, a description of the measures shall be included.

Intersections

This section shall include discussion of any intersections that will be constructed or upgraded as part of the recommended alternative. Traffic interchange and intersection geometrics shall be addressed. Pull-out and turn-out treatments shall be addressed. All intersection improvements including signals, signing, and marking shall be identified and discussed.

Utilities

Based on existing records along with prior rights information, the Consultant shall identify all utilities within the general project limits to determine potential conflicts and relocations. The Consultant shall indicate the horizontal and vertical location for all known existing utilities from utilities' records on the alternative drawings. The Consultant shall identify any alternatives possible to minimize or eliminate utility line conflicts. The Consultant may be required to prepare a relocation concept and cost estimate for utilities that are being impacted by the project.

Structures

The Consultant will determine the need for new and/or reconstructed structures on the project. The Consultant shall be fully knowledgeable of bridge types and structural requirements for railroads, traffic

interchanges, water crossings, and walls. The Consultant shall recommend alternative structures and structure depths to the extent necessary for development of roadway concepts. A Bridge Concept Report to identify Type, size, and location (T.S. & L.'s) is required for preliminary cost comparisons and as a part of the study.

Pavement Design

This section shall include a description of the pavement design proposed for the recommended alternative.

Construction Water Sources

The Consultant shall identify potential construction water sources, assess their availability and assess the potential for the water sources to meet the requirements of the project.

Social, Economic and Environmental Considerations

The report shall include an overview of impacts, displacements, and potential hazardous waste sites, Section 4(f) lands, Section 404 & 401 Clean Water Act, flood-plains, wetlands, historic and archaeological preservation, and shall identify the extent of NEPA documentation required and identify cooperating agencies.

Environmental Mitigation Requirements

Environmental Mitigation Requirements will be outlined in the Location/Design Concept Report exactly as presented in the Environmental Document.

AASHTO Controlling Design Criteria

Data described in this chapter of the report will be taken from the AASHTO Controlling Design Criteria Report (which is a supplement report to the Location/Design Concept Report). The following sections will be included in this chapter:

Introduction

Describe the non-conforming AASHTO design elements of the existing highway which will be upgraded as part of the project, and those elements for which design exceptions will be requested. The recommended alternative will be used to make this determination.

Lane and Shoulder Widths

Compare the existing lane and shoulder widths to the minimums recommended by AASHTO. The proposed lane and shoulder widths for the recommended alternative will be noted, and if the proposed widths do not conform to AASHTO, the reasons shall be discussed.

Vertical Alignment and Stopping Sight Distance

Compare the existing vertical curve stopping sight distances with the minimums recommended by AASHTO.

Horizontal Alignment and Stopping Sight Distance

Compare the existing horizontal curve stopping sight distances, superelevations, and degree of curvature with the AASHTO recommended guidelines.

Design Speed

The minimum design speed(s) recommended by AASHTO shall be noted and discussed. If different design speeds are to be used for different segments of the improvement section, the speeds and their associated milepost limits will be noted. The reasoning used to select the design speed(s) shall be discussed. Factors such as type of terrain and functional classification of the highway will be cited as reasons used to select a particular design speed.

Grades

Compare the existing maximum grade with the maximum grade recommended by AASHTO. Note the length of the grade, and discuss the operational impact on truck traffic.

Cross Slopes

Compare the existing cross slope to the range of cross slopes recommended by AASHTO.

Vertical Clearance

Compare the vertical clearances of all underpasses with the minimums recommended by AASHTO.

Bridge Structures

Compare the clear width (curb to curb), rail type and strength, and the structural capacity of the bridge with the AASHTO recommended guidelines.

Other Considerations

Evaluate and discuss other elements of the highway (those that are not any of the "thirteen criteria" ADOT has agreed to evaluate). These other elements may include intersection sight distance, recovery areas, lateral clearance, etc.

All features (limited to the "13 Criteria") of the existing highway that do not conform to current AASHTO recommended design guidelines shall be identified. A statement shall be included concerning whether or not design exceptions will be requested for the recommended alternative. If all or some of the non-conforming features are to be upgraded as part of the project, this fact shall be noted and the features identified. If the project is State funded (or project is to be administered under Certification Acceptance Procedures) and design exceptions are required, the Assistant State Engineer (Roadway Group) will be petitioned for approval of the exceptions and this will be so noted in the Location/Design Concept Report. If the project is Federally funded and will not be administered under certification acceptance procedures, the FHWA will be petitioned, for approval of the non-conforming features and this will be so noted in the Location/Design Concept Report. The supporting reasons for the request shall be fully explained. The petition will be made by a separate letter separate; however, the fact that that approval has been requested will be noted in the DCR.

Itemized Cost Estimate

This chapter shall contain an itemized cost estimate for the recommended alternative. Itemized cost estimates for other alternatives shall be placed in the Appendix. Estimated costs for right-of-way and utility relocation's shall be addressed separately for each alternative. The cost estimate accuracy shall be commensurate with the design effort and shall include appropriate contingency factors. The basis of the estimate shall be the most current version of ADOT's "Construction Costs". Right-of-way estimates shall be "order of magnitude" estimates based on the best available information.

Appendices

All L/DCR's shall have the appendices listed below. The appendices will be tabbed for quick reference.

Analysis of Existing Roadway Alignment (AASHTO Controlling Design Criteria Report)

This appendix will contain the review (inventory) of the thirteen AASHTO Controlling Design Criteria. This same report will be submitted with a cover letter to either the ADOT Assistant State Engineer (Roadway Group) or the FHWA when requesting design exceptions for the project (if required).

Detailed Cost Estimates for Other Alternatives

This appendix will contain the detailed cost estimates for alternatives other than the recommended alternative. Each estimate will be properly identified and separated from the others.

Typical Sections

This appendix will contain the typical cross sections proposed for the project. The effective milepost limits for each typical section will be noted at the top of the sheet. If alternative sections were evaluated and dropped, these sections will also be shown and clearly identified. The recommended sections will be clearly identified as the recommended ones and separated from the others.

Plan and Profile Sheets

Drawings for all horizontal and vertical Alignments proposed and evaluated shall be placed in this appendix. The alignments for the recommended alternative shall be placed before the others and noted as the recommended alternative. Each alternative will be clearly identified and separated from the others. Plan and profile shall be developed to such refinement that grades can be reasonable determined and earthwork, drainage, right-of-way, environmental impacts and utility conflicts can be identified.

ENVIRONMENTAL OVERVIEW (Concurrent with Feasibility Report/ Corridor Study)

Environmental Overview

An Overview is utilized for corridor studies or feasibility reports for which no project is programmed in the Five-Year Transportation Facilities Construction Program and no major construction project is forecasted to enter the Five-Year program in the short term (2-4 years). The environmental overview is not a stand-alone document, but is a component of the Feasibility Report or Corridor Study.

Objective of Environmental Overview

To: describe the social, economic, and environmental character of the study area;
identify potential "fatal flaws," obstacles, issues associated with the study area; and
evaluate the study area alternatives.

The components of description, identification, and evaluation should be incorporated in the following or similar format:

I. INTRODUCTION

Purpose of Overview

II. AFFECTED ENVIRONMENT

A. Physical and Natural Environment

1. Topography/physiology (land form, drainages)
2. Vegetation (type, general species listing)
3. Biology (expected general species)
 - a. Threatened, endangered & sensitive species
 - b. Wildlife movement corridors
4. Hydrology (floodplains, water quality)
5. Noise (receptors)
6. Air Quality (attainment/non-attainment)
7. Hazardous Materials (PISA)
8. 4(f) (cultural resources, parks, recreation, refuges)

Note: 4(f) applies to federal funds only

B. Socioeconomic Environment

1. Land Use (land ownership, residential , commercial, neighborhoods, undeveloped, grazing, etc.)
2. Socioeconomics (employment, etc.)
3. Title VI/Environmental Justice
4. Right-of-Way (existing)
5. Utilities

C. Cultural Resources

Historic/Prehistoric (records, literature review)

III. ENVIRONMENTAL CONCERNS

A. Physical and Natural Environment

1. Land Form (visual, forested, mountainous, flat, drainages, etc.)
2. Sensitive Species/Habitat (vegetation, wildlife, T&E, riparian etc.)
3. Water Quality (wetlands, 404, 401, 402)
4. Hazardous Materials (PISA recommendations)
5. 4(f) (cultural resources, parks, recreation, refuges)

B. Socioeconomic

1. Relocations (residential/commercial)
2. Land-Use Change/Employment Impacts/Access
3. Title VI/Environmental Justice
4. R/W Acquisitions (comparative acreage)
5. Neighborhood/Community/Users

C. Cultural Resources

Historic/Prehistoric (recommendations for Class II representative sample survey or Class III-intensive field survey)

IV. CONCLUSION

Objective conclusion regarding appropriateness of the study area alternatives and future project programming.

May provide an evaluation for the feasible alternatives or corridor alignments that results in a preferred or recommended project.

Note: When the project is programmed, or forecasted to be programmed within a reasonable timeframe, the NEPA process will be required for environmental clearance.

Recommendations for further investigations may also be made.

V. CONSULTATION/COORDINATION

A. Coordination (letters, agency meetings, etc.)

B. Public Involvement (public meetings, newsletter, survey).

No public hearing(s) would occur, as the hearing activity is a component of the NEPA process and the Environmental Overview is not a NEPA document.

Level of effort for (II) Affected Environment:

Define/describe existing conditions through:

1. agency coordination letters, meetings;
2. map review;
3. literature review;
4. windshield survey;
5. public involvement

No field survey for cultural resources should occur.

A site visit may be required to assess potential habitat for TES species.

Corps of Engineers jurisdictional determination survey may be requested and included.

Technical noise analysis or air quality analysis would not occur.

- Noise analysis should be limited to noting numbers, type, and general location of receptors.
- Air quality analysis should note whether a project is in an attainment/non-attainment area and any special federal, state, or local regulations that would apply to the study area.

Level of effort for (III) Environmental Concerns and IV Conclusion:

Identify issues, potential impacts or “fatal flaws,”

no subjective analysis, only objective documentation, and

the document may utilize a matrix to compare/contrast alternatives and summarize information.

As the environmental overview is not a NEPA document or environmental approval document, and no actual project is programmed, the analysis should avoid using terms such as significant, substantial, major, minor, etc.

No formal Section 106 consultation would occur.

Determination of effort or eligibility for cultural resource sites would not occur, unless the information was existing (i.e., known National Register eligible site).

Section 7 Consultation (T&E species) would not occur, as Section 7 is project or action specific.

Section 404, 401, or 402 permits would not be obtained, but identified as to potential impact.

Section 4(f) determination would not occur, but identified as to potential impact.

DRAFT ENVIRONMENTAL DOCUMENT (Concurrent with Initial Location/Design Concept Report)

General

All activities required to reach submittal of the Initial Location/Design Concept Report may proceed concurrently with the environmental studies to be performed. If any ground-disturbing activities are deemed necessary prior to final environmental clearance, coordination and approval by ADOT and/or affected federal, state, and local agencies will be required.

The Consultant shall provide technical information on the project to ADOT and shall prepare environmental documentation for the project. The Consultant shall be responsible for coordinating with the Environmental Planning Group and Predesign Section during the development of, and changes to, the project design concepts. The Consultant shall be responsible for the technical studies and analyses, agency coordination, public involvement and report preparation necessary to produce draft and final environmental documents for the project. The work shall be in accordance with applicable federal and state environmental regulations and as outlined herein.

Upon initiation of the environmental evaluation portion of the work, the Consultant's representative, responsible for the environmental portion of the work, shall meet with ADOT Predesign Section, and Environmental Planning Group, FHWA, BLM, Forest Service, State Land Department, Indian Reservation, and other participating agencies to discuss the project description, purpose and need, proposed methods of environmental evaluation, anticipated involvement with other agencies, report formats, etc. The Consultant, after this consultation, shall coordinate with affected federal, state, and local agencies and identified special interest groups to discuss the proposed project and its anticipated effects. This coordination may be in the form of letters and/or meetings as determined by the Consultant in consultation with ADOT and other participating agencies. This coordination shall be held early in the development stages of the alternative selection process.

During the course of the environmental evaluation, the Consultant shall maintain regular contact with ADOT, advising ADOT of the progress of the work, the problems encountered and the resolutions thereof.

The Environmental Document will generally describe the impacts of the recommended action and the necessary Mitigation Measures in a format agreed to by ADOT and other participating agencies. Complete Technical Reports with all sensitive information relative to the project will remain on file in Environmental Planning Group.

The following categories of impact shall be addressed by the Consultant for the project as applicable:

1. Land Use (existing and proposed)
2. Land Ownership
3. Social (includes school, churches, medical facilities, police, fire- houses, residences, relocation's, etc.)
4. Economics (includes commercial and industrial enterprises, employment, local tax base, etc.)
5. Minority (neighborhoods, businesses, residences, etc.)
6. Natural Resources (water, lands, air, etc.)
7. Section 4(f) (parks, recreation, wildlife refuges, lakes, streams, school playgrounds, etc.)
8. Cultural Resources (includes historical and archaeological)
9. Farmlands (prime, unique, statewide importance)
10. Water Quality
11. Section 404 (dredged and fill materials)
12. Endangered Species (plant and wildlife)
13. Native Plants (State Native Plant Law)
14. Flood-plains
15. Wetlands
16. Air Quality Report
17. Noise Study Report
18. Wild and Scenic Rivers
19. Natural Areas and Trails
20. Scenic Roads and Parkways
21. Local Traffic Patterns
22. Existing and any additional right-of-way
23. Energy Usage
24. Construction Impacts (of temporary nature)
25. Pedestrian/Bicycle/Equestrian Facilities
26. Visual Qualities
27. Material Pits and Haul Roads
28. Utilities
29. Erosion Control
30. Other Modes of Transportation
31. Sole Source Aquifer
32. Hazardous Materials
33. Potential Construction Water Sources
34. Section 402(p) of the Clean Water Act

A Draft Environmental Document shall be prepared for publication. FHWA will be the lead Agency for the NEPA Document. Determination of the Draft Environmental Document format will be discussed with and agreed upon by ADOT, FHWA, and other participating agencies, prior to data gathering for the Technical Reports. Pre-review of the Draft Environmental Document by Environmental Planning Group and Predesign Section will be required prior to submittal to FHWA and other participating agencies. Signatures by ADOT and FHWA are required prior to publishing and distributing to other agencies for review and comment.

REVIEWS AND APPROVALS

Project Team Meeting (Location/Design Concept Report and Environmental Document)

After distribution of the Initial Location/Design Concept and Draft Environmental Document, a Project Team Meeting will be held to solicit comments and obtain consensus from the Project Team and ADOT disciplines, and to prepare for the Agency and Public Information Meetings. The Project Team Meeting will be held two to four weeks prior to the Agency and Public Information Meetings.

Agency Meeting (Location/Design Concept Report and Environmental Document)

After distribution of the Initial Location/Design Concept and Draft Environmental Document, an Agency Meeting will be held to solicit comments and obtain consensus.

Public Hearing (Location/Design Concept Report and Environmental Document)

After distribution of the Initial Location/Design Concept and Draft Environmental Document, a formal Public Hearing will be held in the project vicinity to present the recommended alternative and solicit comments from the public and interested organizations. The Public Hearing will be coordinated through ADOT Communication and Community Partnerships and the ADOT Environmental Planning Group.

Comment Resolution and Consensus

Depending on the nature of the comments received during the Project Team Meeting, the Agency Meeting, and the Public Hearing, it may be necessary to conduct additional comment resolution and consensus meetings and to prepare additional project documentation. The nature and scope of this work will be established based on consultations with the Predesign Project Manager.

REPORTS

Implementation Plan

The Implementation Plan shall define the individual sequential steps necessary to develop the ultimate corridor goals and design concept developed in the Location/Design Concept Report.

The Implementation Plan shall identify logical construction segments, logical sequence, and probable timetable when such upgrades may be needed based on traffic projections, maintenance problems, life and reuse of existing facility, traffic control, constructability and other factors.

The Implementation Plan shall include cost estimates for construction segments proposed. As a general guideline, projects in the \$20-30 million range are more likely to be programmed than those in excess of that amount. Logical sections based on constructability should be used.

The Implementation Plan shall include:

Interim construction and timing that will

Address specific problem areas discovered during the Design Concept Study.

Extend the useful life of the existing facility before major reconstruction would be needed.

Result in a phased implementation of the ultimate design concept with a minimum amount of "throw-away".

Cost-effective implementation.

Issues that must be resolved or revisited prior to construction, such as environmental clearance, utility relocation's, intergovernmental agreements and right-of-way acquisition, which will be identified and discussed.

A discussion of proposed adjacent development project which may affect the highway.

Construction cost estimates for each proposed project which will be included for programming purposes. The Consultant will document the proposed order of construction along with any information, such as forecast traffic volumes, developed to provide guidance as to when certain phases may be needed.

The Implementation Plan will be prepared for the preferred design concept alternative only.

The Implementation Plan format shall be as follows:

Executive Summary

Brief description of the location and design concept developed; long-range goals; program year, budget and estimated costs of any programmed projects; summary of interim projects in support of the long-range goals; projected implementation time; and total corridor cost.

Implementation

Remedial Projects

Projects identified during the corridor study to address acute capacity and operational problems which would be addressed as soon as funding becomes available.

Interim Projects

Projects that will extend the useful life of the existing facility or delay the need to reconstruct to the ultimate design concept.

Reconstruction Projects

Phased implementation to address ultimate corridor needs, balance earthwork and provide usable segments prior to full construction of the concept.

Project Timing

Description of logic leading to classification of projects as Remedial, Interim or Ultimate.

Trigger events such as projected traffic volumes, LOS, development of major traffic generators, etc., that will warrant the initiation of the projects described above.

Phasing considerations such as earthwork, traffic control, local government agreements, environmental considerations, utilities, etc., that would require one project to precede another.

Individual Project Cost Estimates

Agency Coordination

Local government agreements, both existing and needed prior to construction.

Discussion of public lands involvement such as Arizona State Land Department, Bureau of Land Management, Indian Tribes, etc.

Environmental clearance items, those items identified during the Corridor Study that must be resolved or revisited prior to construction.

ADOT Predesign Section will review a preliminary copy of the Initial Implementation Report after completion of the Public Hearing. The Plan will then be distributed for review.

The preferred implementation strategy will be selected by ADOT. The Final Implementation Plan will be used as a guide for programming all projects within the study limits and will be included as a part of the Final Location/Design Concept Report.

Change Of Access Report (Interstate Highways)

The purpose of the Change of Access Report is to obtain the approval of the Federal Highway Administration for additional traffic interchange or a modification of an existing interchange that revises the existing access control on the Interstate Highway System.

The basic items of justification FHWA considers in evaluating a request for a new interchange are:

Explanation as to why current access is inadequate.

Identification of the traffic demands that would be served by the new facility.

Indication that adequate freeway operation will not be affected by the addition.

The general criteria set forth by the FHWA in this regard are as follows:

Spacing:

It is important that interchanges be located so as to properly discharge and receive traffic from other interstate and Federal-aid system routes, or major arterial highways or streets. It is equally important that they not be spaced so closely as either to unnecessarily increase the cost of the system or interfere with the free flow and safety of traffic on the Interstate System.

Documentation:

A statement of the type and condition of the cross-road including:

The system or regional plan of which it is a part.

ADT current and design year; through and turning

Number of existing traffic lanes and type of highway.

Probable number of traffic lanes for the design year.

Distance to and size of communities directly served.

Distances to the next interchange in each direction.

An analysis of the crossroads, the other roads and streets in the area, and the relation of the interchange to them and to other interchanges to assure the ability of the said streets and roads to effectively collect and distribute interstate highway traffic.

The relationship of the interchange to adjacent interchanges of the interstate highway and the acceptable merge and diverge lengths, and the ability to sign adequately.

The existence of other roads or streets, or the probability of developing them generally to the Interstate System, which could be used by interstate highway traffic by way of interchanges other than the one under consideration in traveling to and from its origin or destination.

A statement of the cost resulting from construction of the interchange, together with the estimated benefit-cost ratio, as part of a cost effectiveness analysis.

A special case where the interchange is clearly necessary to serve a compelling public need.

Where the primary need for the additional service is due to a single new development, information regarding the type, intensity and timing of this development, and its relation to traffic demand is very important.

In addition, any supportive position from other public agencies such as the county or a school district which would reasonably benefit from the proposed interchange would be helpful.

AASHTO Controlling Design Criteria Report and Request for Design Exceptions

The Consultant shall, using as-built plans and a field reconnaissance, perform a complete geometric roadway inventory, and evaluate the existing roadways for compliance with AASHTO Controlling Design Criteria. The report shall be prepared utilizing the *Procedural Guild for Review of the AASHTO Controlling Design Criteria on ADOT Roadways*. The ADOT can provide the Consultant with an example of the current format being used to develop this type of report. The inventory shall be in report form, identifying existing design deficiencies relative to desired AASHTO design criteria including but not limited to: lane and shoulder widths, vertical and horizontal alignment, stopping sight distance, superelevation, design speed, grades, cross slope, vertical clearance, bridge width, structural capacity, bridge rail, and traffic volumes. The report shall describe how the deficiencies are to be resolved; either left as is or corrected as part of the project. Justification for non-corrective action shall be clearly documented. The Consultant shall submit a justification letter in accordance with the *Design Exception and Design Variance Process Guide, November 2002* to ADOT for review and approval.

FINAL LOCATION/DESIGN CONCEPT REPORT (Concurrent with Final Environmental Document)

The Consultant shall prepare the Final Location/Design Concept Report for signatures and distribution

The report shall document the selection to be programmed for construction and shall include refinements of the information developed since the Initial Location Design Concept Report and modifications resulting from review comments and public comment.

The Final Location/Design Concept Report shall include the Final Implementation Plan.

The Final Location/Design Concept Report shall reflect the Assistant State Engineer's or FHWA's action (approval or disapproval) regarding AASHTO Design Criteria design exceptions.

The Consultant shall submit the Final Location Design Concept Report, sealed by an Arizona-registered Professional Engineer.

FINAL ENVIRONMENTAL DOCUMENT (Concurrent with the Final Location/Design Concept Report)

Upon completion of the public hearing process, the Consultant shall prepare the Final Environmental Document, incorporating a description of the public involvement process and responses to all comments received, and submit it for review. The final environmental document shall be prepared in an addendum format.

Pre-review of the Final Environmental Document by Environmental Planning Group and Predesign Section will be required prior to submittal to FHWA, BLM, or other participating agencies.

DOCUMENT DISTRIBUTION

The Consultant shall print and distribute reports as follows. Upon completion of any report for distribution, the Consultant shall prepare and submit, to ADOT Predesign Section, two preliminary copies of the complete document, transmittal letter, and distribution list for pre-review. Upon receipt of comments, the Consultant shall prepare and distribute the documents for formal review. Copies of review submittals and finalized documents shall be delivered to ADOT by the Consultant accompanied by a transmittal letter and distribution list with complete mailing addresses. All deliveries shall be by hand or overnight courier. Reviewers will be asked to submit their comments on separate comment forms. The number of copies to be distributed should be confirmed with the Predesign Project Manager prior to printing. The numbers below are estimates.

PUBLIC INVOLVEMENT PLAN

Communication and Community Partnerships	CCP Project Manager	3
Predesign Section	Predesign Project Manager	2
Environmental Planning Group	Project Environmental Planner	1

INITIAL AASHTO CONTROLLING DESIGN CRITERIA REPORT

Predesign Section	Predesign Project Manager	2
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Note: Predesign Section will foreword the Initial AASHTO Controlling Design Criteria Report to Traffic Group for an Accident Analysis.

PROJECT SCOPING REPORT

Predesign Section	Predesign Project Manager	2
Environmental Planning Group	Project Environmental Planner	1
Agency Scoping Meeting Attendees	Each	1
Scoping Field Review Attendees	Each	1
Other Project Participants	Each	1

FEASIBILITY REPORT

Predesign Section	Predesign Project Manager	40
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Note: The Feasibility Report will be distributed by Predesign Section. The Consultant shall furnish a distribution list with complete mailing addresses.

PRELIMINARY GEOTECHNICAL REPORT

Predesign Section	Predesign Project Manager	1
Materials Section	Geotechnical Engineer	2
PRELIMINARY DRAINAGE REPORT		
Predesign Section	Predesign Project Manager	1
Roadway Drainage Section	Drainage Engineer	2
PRELIMINARY TRAFFIC REPORT		
Predesign Section	Predesign Project Manager	1
Traffic Engineering Section	Project Traffic Engineer	2
BRIDGE CONCEPT REPORT		
Predesign Section	Predesign Project Manager	1
Bridge Group	Bridge Engineer	2
ORIGIN-DESTINATION STUDY		
Predesign Section	Predesign Project Manager	1
Traffic Engineering Section	Project Traffic Engineer	2
BIOLOGICAL EVALUATION REPORT		
Predesign Section	Predesign Project Manager	1
Environmental Planning Group	Project Environmental Planner	2
CULTURAL RESOURCES REPORT		
Predesign Section	Predesign Project Manager	1
Environmental Planning Group	Project Environmental Planner	2
AIR QUALITY REPORT		
Predesign Section	Predesign Project Manager	1
Environmental Planning Group	Project Environmental Planner	2
NOISE ANALYSIS REPORT		
Predesign Section	Predesign Project Manager	1
Environmental Planning Group	Project Environmental Planner	2
HAZARDOUS MATERIALS SURVEY REPORT		

Predesign Section	Predesign Project Manager	1
Environmental Planning Group	Project Environmental Planner	2

VISUAL IMPACT ANALYSIS

Predesign Section	Predesign Project Manager	1
Environmental Planning Group	Project Environmental Planner	2

INITIAL LOCATION/DESIGN CONCEPT REPORT

Predesign Section	Predesign Project Manager	40
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Note: The Initial Location Design Concept Report will be distributed by Predesign Section. The Consultant shall furnish a distribution list with complete mailing addresses.

DRAFT ENVIRONMENTAL DOCUMENT

Predesign Section	Predesign Project Manager	1
Environmental Planning Group	Project Environmental Planner	7

Note: The Draft Environmental Document will be distributed to FHWA by Environmental Planning Group.

INITIAL IMPLEMENTATION PLAN

Predesign Section	Predesign Project Manager	15
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Note: The Initial Implementation Plan will be distributed by Predesign Section. The Consultant shall furnish a distribution list with complete mailing addresses.

CHANGE OF ACCESS REPORT

Predesign Section	Predesign Project Manager	2
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FINAL AASHTO CONTROLLING DESIGN CRITERIA REPORT AND REQUEST FOR DESIGN EXCEPTIONS

Predesign Section	Predesign Project Manager	2
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Note: The Final AASHTO Controlling Design Criteria Report and Request for Design Exceptions will be forwarded. by Predesign Section, to the Assistant State Engineer (Roadway Group) or the FHWA for approval of Design Exceptions.

FINAL LOCATION/DESIGN CONCEPT REPORT

Predesign Section	Predesign Project Manager	40
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Note: The Final Location Design Concept Report will be distributed by Predesign Section. The Consultant shall furnish a distribution list with complete mailing addresses.

ENVIRONMENTAL DOCUMENT

Predesign Section	Predesign Project Manager	2
Environmental Planning Group	Manager	20

Note: The Environmental Document will be distributed by the Consultant with approval from Environmental Planning Group. The Consultant shall furnish a distribution list with complete mailing addresses.

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

NOTE: All Labor Classifications that require professional registration shall be currently registered with the Arizona 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.*).