ARIZONA DEPARTMENT OF TRANSPORTATION

ENGINEERING CONSULTANTS SECTION

REQUEST FOR QUALIFICATIONS PACKAGE

CONTRACT NUMBER: 2027-002

SR 303L AT 96TH AVENUE,
DESIGN TRAFFIC INTERCHANGE

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.

OCTOBER 2026

REQUEST FOR QUALIFICATIONS PACKAGE
ADOT CONTRACT NUMBER: 2027-002
SR 303L AT 96TH AVENUE, DESIGN TRAFFIC INTERCHANGE
MARICOPA COUNTY
ADOT PROJECT NUMBER: F0966 01D

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SECTION I - PUBLIC ADVERTISEMENT

FOR PUBLICATION Thursday, October 8, 2026 and Thursday, October 15, 2026
IN THE ARIZONA REPUBLIC NEWSPAPER

ARIZONA DEPARTMENT OF TRANSPORTATION (ADOT)/ENGINEERING CONSULTANTS SECTION (ECS)/PUBLIC NOTICE FOR SR 303L AT 96TH Avenue, Design Traffic Interchange, Maricopa County/ADOT CONTRACT NUMBER: **2027-002**/ADOT PROJECT NUMBER: **F0966 01D**/Statements Due: **October 29, 2026**, 2:00 P.M. Arizona (Phoenix) Time/ADOT is accepting Statement of Qualifications (SOQs) from Consultants to design and construct a new TI on SR 303L at the 96th Avenue alignment. /The Request for Qualifications (RFQ) Package for Contract 2027-002 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
SR 303L AT 96TH AVENUE, DESIGN TRAFFIC INTERCHANGE
MARICOPA COUNTY
ADOT CONTRACT NUMBER: 2027-002
ADOT PROJECT NUMBER: F0966 01D

Statements Due: October 29, 2026, 2:00 P.M. Arizona (Phoenix) Time

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

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

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

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

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

The selected Consultant(s) shall design and construct a new Traffic Interchange (TI) on SR 303L at the 96th Avenue alignment. ADOT may select one prime Consultant from among those submitting SOQs for further consideration. Previous experience in TI design will be a factor in the selection. SOQs submitted by prime Consultants will be evaluated and selected based on the criteria outlined in Sections V and VI of this RFQ. Requested services are further detailed in the Scope of Work located in Section XXIII of this RFQ.

A firm proposing as a prime Consultant is not permitted to serve as a Subconsultant on another contract. By submitting an SOQ as a prime Consultant, the firm is stating that they will not be proposed on any other project team as a Subconsultant. In addition, it is the responsibility of the firm proposing as a prime Consultant to ensure that prior to their submittal of their SOQ, they have written acknowledgement from their proposed Subconsultants that the subconsulting firms will not submit an SOQ themselves as a prime Consultant (copies of the written acknowledgement shall be kept on file, and available to submit to ECS upon request).

Any firm that has submitted an SOQ as a prime Consultant and is identified as a Subconsultant in another prime Consultant's proposal shall have their prime Consultant **SOQ submission rejected**. If a prime Consultant lists firms as Subconsultants in its SOQ, the prime Consultant must be able to provide ADOT with evidence, if requested, of written consent provided by the Subconsultant firms that are listed as part of their prime Consultant's SOQ, or that prime Consultant's SOQ will be rejected. A firm who proposed, but was not selected may be added as a Subconsultant after the contract has been executed.

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

Title VI/Non-Discrimination

The Arizona Department of Transportation, in accordance with the provisions of Title VI of the Civil Rights Act of 1964 (78 Stat. 252, 42 U.S.C. §§ 2000d to 2000d-4) and the Regulations, hereby notifies all bidders that it will affirmatively ensure that any contract entered into pursuant to this advertisement, Disadvantaged Business Enterprises will be afforded full and fair opportunity to submit bids in response to this invitation and will not be discriminated against on the grounds of race, color, or national origin in consideration for an award.

Definitions

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

May
Indicates something that is not mandatory but is permissible.

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

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

Should
Indicates something that is recommended but not mandatory. If the Consultant fails to provide recommended information, ADOT may, at its sole option, ask the Consultant to provide the information or evaluate the SOQ without the information.

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

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

Effective the date of the first public advertisement of this contract, no further contact is allowed with **any** ADOT, Maricopa Association of Governments (MAG), or City of Peoria 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 **October 21, 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 October 29, 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 **October 21, 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 October 21, 2026 at 2:00 P.M. Arizona (Phoenix) Time are not guaranteed to be reviewed by the SOQ due date. For questions or further clarification regarding the ECS Prequalification, contact the ECS Front Desk at E2@azdot.gov.

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

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

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

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

The prime Consultant shall provide the resumes for the Project (Contract) Manager and any other personnel identified by name in their SOQ. Each resume shall be limited to one page each, and shall demonstrate the individual's experience related to services outlined in this RFQ. The SOQ may also identify other key members of the team, including other personnel (classifications identified in Attachment A of the Scope of Work) determined by the Consultant. These are personnel from both the Consultant and Subconsultants who the Consultant wishes to highlight in the submittal that may provide special expertise or perform critical task(s) on the project. Failure to include resumes of Key Personnel identified in the SOQ will result in rejection of the submitted SOQ as non-responsive. Do not include resumes for other members of the team. Resumes included for other members of the team will count towards the overall page limit, regardless of the location these documents are placed in the SOQ.

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

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

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

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

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

ADOT Audit Requirements

As required by Federal regulations, during the negotiation stage of the contracting process, ECS will request the ADOT Office of Audit and Analysis (Audit and Analysis) to conduct a review of proposed indirect cost (overhead) rates or unit rates for the selected prime Consultant(s) and it's 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: October 8, 2026
- 2nd Newspaper Advertisement Date: October 15, 2026
- Prequalification Application Due: October 21, 2026
- Questions Due: October 21, 2026 at 2:00 P.M. Arizona (Phoenix) Time
- SOQ Submittal Due Date: October 29, 2026 at 2:00 P.M. Arizona (Phoenix) Time
- Estimated Selection Date: December 7, 2026
- Initial Cost Proposal Due Date: December 28, 2026
- Estimated Contract Notice to Proceed Date: February 25, 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: 2027-002

Disadvantaged Business Enterprises
The Arizona Department of Transportation (hereinafter referred to 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: 2027-002

The total page limit is **13 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 Advertisement*s 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 **October 21, 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 October 21, 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**		9
	1. Project Understanding & Approach	45	
	2. Project Risks and Schedule	35	
	3. Project Team Experience and Availability	20	
	4. Past Performance	0 thru -5	
PART D	**ATTACHMENTS** (Required but shall **not** count toward page limit) 1. Key Personnel Resumes Only: Identified in the SOQ (each resume shall not exceed **one** page each) 2.SOQ Bidder's/Proposer's Solicitation List Confirmation Email (from SBWD)		
PART E	**AMENDMENTS** (If applicable, required only if 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**	**13**

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: 2027-002

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

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

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

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

1. An expression of the prime Consultant's interest in being selected for the project.
2. A statement confirming the commitment of Key Personnel identified in the submittal to the extent necessary to meet ADOT's quality and schedule expectations.
3. Provide the name and Professional Engineer's registration number of the prime Consultant Principal, Officer of the Firm or Project (Contract) Manager responsible for this contract that is properly registered with the BTR at the time the SOQ is submitted to ECS.
4. A summary of key points regarding the Consultant's qualifications.
5. Indicate whether or not the Consultant is a certified DBE. DBE Consultants and Subconsultants must be certified for the services proposed in the SOQ Submittal.
6. Signature of the Consultant's Principal, an Officer of the firm, or another authorized SOQ signer indicated in the Consultant's current prequalification application.

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

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

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

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

PART C. Evaluation Criteria

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

1. Project Understanding and Approach (Maximum 45 points)

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

2. Project Risks and Schedule (Maximum 35 points)

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

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

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

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

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

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

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

PART D. Attachments

Attach the required documents listed below. These documents will not count towards the page limit. **Failure to include requested documents shall result in the SOQ being rejected. Do not add additional pages, forms, documents, and attachments, including blank pages in this section that are not specifically listed or requested in the RFQ, as these shall count toward the page count and shall cause the proposal to be rejected.** Extra divider sheets, including pages of any sort, blank or printed (regardless of the printed material on the page), separating the main proposal from attachments should also not be included as this shall be counted as a page.

1. Key Personnel Resumes: Resumes of Key Personnel identified in the SOQ (Project (Contract) Manager) are required. Each resume shall not exceed **one** page each. Do not include any additional pages as identified in Section IV, Number 7, Section V, Part D, and further defined in Section IV, Number 3 & 4, separating the resumes from the main proposal or separating more than one resume being submitted. 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.: 2027-002

FIRM NAME_____ PANEL MEMBER_____

1. **PROJECT UNDERSTANDING AND APPROACH** (Maximum 45 points)

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

_____
_____
_____
_____

PROJECT UNDERSTANDING AND APPROACH TOTAL POINTS_____

2. **PROJECT RISKS AND SCHEDULE** (Maximum 35 points)

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

_____
_____
_____
_____

PROJECT RISKS AND SCHEDULE POINTS_____

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

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

_____
_____
_____
_____

PROJECT TEAM EXPERIENCE AND AVAILABILITY POINTS_____

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

PAST PERFORMANCE_____

FIRM TOTAL SCORE_____

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

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

SOQ Submittal Requirements:

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

AND

SOQ Bidder's/Proposer's Solicitation List Confirmation email
Shall be completed online through AZ UTRACS and the confirmation email from ADOT SBWD shall be submitted with the Consultant's Statement of Qualifications:
https://utracs.azdot.gov/BiddersListInfo/

Program Information and Forms:

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

ADOT DBE & OJT Online Reporting System (ADOT DOORS)
To confirm DBE certification and work certified to perform, use the following link:
https://adotdoors.dbesystem.com/

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

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

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

SECTION VIII – NOT USED FOR THIS CONTRACT

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

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

SECTION XI- SOQ Submittal Guidelines
Submittals shall be emailed to: **ECSSOQ@azdot.gov.** SOQs emailed to any other address will not be accepted.

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

Shall be completed and submitted with the Consultant's SOQ:
https://azdot.gov/sites/default/files/media/2022/02/soq-certifications-form-2-11-2022.pdf

SECTION XIII – Payment Report Format

To review the Lump Sum Payment Report Format, use the following link:
https://azdot.gov/sites/default/files/2026-08/20xx-xxx-000-PR-Format-LS.xlsx

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

To review Information Bulletin IB 20-04, use the following link:
http://azdot.gov/sites/default/files/media/2020/04/IB%2020-04.pdf

SECTION XVI – ECS Consultant Contract Manual

To review the ECS Consultant Contract Manual, use the following link:
https://azdot.gov/sites/default/files/2019/06/ecs-consultant-contract-manual.pdf

SECTION XVII – Contract Boilerplate

To review the Lump Sum sample contract, use the following link:
https://azdot.gov/sites/default/files/2026-07/ECS-Lump-Sum-Multi-Phase-Sample.pdf

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 ECSSOQ@azdot.gov.

2. Current or former ADOT employees who serve, or have served, in a Significant Procurement Roles (as defined in ARS 41-741 and ARS 41-2503) must maintain strict confidentiality and not disclose or distribute any information regarding contract procurement procedures, proposal or contract documentation before, during or after the evaluation process (ARS 41-2578 and ARS 41-2616). Additionally:

   a.) It is unlawful for a person holding a Significant Procurement Role to accept an offer of employment or have employment discussion with any person or entity lobbying for or potentially responding to a solicitation until one year after the award of the contract.

b.) Persons holding a Significant Procurement Role must complete and sign a statement before starting any participation in the selection/negotiation process disclosing any conflict of interests required by ARS 38-503, 41-2534, 41-2537, 41-2538, 41-2578, 41-2616C, 41-753, and 41-2517. This includes, but is not limited to, disclosing if the person has any financial or other interest in the consultant selected for award by:

a. The employee, officer or agent;
b. Any member of his/her immediate family;
c. His/her partner;
d. An organization that employs or is about to employ any of the above.

3. Consistent with 2 CFR 1.33, no official or employee serving in a Significant Procurement Role shall have, directly or indirectly, any financial or other personal interest in any contract or subcontract in a project they are or will be working on.

4. In order to avoid conflicts of interest, current ADOT employees shall not be employed by a Consultant or Subconsultant to work on ADOT contracts. Current ADOT employees shall not be included in a Statement of Qualifications proposal for an ADOT consultant contract as an owner, or member of the Consultant's or Subconsultant's team.

5. If a former ADOT employee is employed by a Consultant which has an active ADOT contract for which the former ADOT employee had a Significant Procurement Role, the ADOT employee is prohibited from working on these contracts.

6. Only current ADOT employees are permitted to serve on Consultant Selection Panels. If a need is identified for a selection panel to include a member who is not employed by ADOT, the ECS Manager and State Engineers Office must approve this request. For Local Public Agencies (LPA) projects, one employee from the Agency may serve on the Consultant Selection Panel upon approval from the ECS Manager and State Engineer's Office.

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

B. Application to Consultants (including Supplemental Service Consultants)
*** The term "Consultant" or "Subconsultant" in this section applies to the firm and the employees of the firm.*

1. A Consultant and/or a Subconsultant, involved in the preparation of DCR/EA or other scoping documents, must complete to "Draft Final" and ADOT must publish these documents a minimum of 60 days prior to the advertisement of a Request for Qualifications for subsequent phases of work. Otherwise the Consultant or Subconsultant is not eligible to submit to perform services on these subsequent phases.

2. Supplemental Service Consultants or Temporary-Technical Engineering Personnel performing services for ADOT may:

   a. Be included in a Statement of Qualifications in any role.

   b. Work on projects outside the supplemental services that they are currently performing for ADOT. However, conditions cannot exist in which their work is in conflict with current work obligations being performed for ADOT as a contracted Supplemental Services Consultant or Temporary-Technical Engineering Personnel.

3. Supplemental Service Consultants performing services for ADOT may not serve in any role on projects for which their firm is performing services for ADOT.

4. Supplemental Service Consultants performing services for ADOT may:

   a. Serve as an ADOT Project Manager while a project DCR/EA or other scoping document is being prepared. Serving in this capacity does not prohibit the firm, which the supplemental services consultant is employed by, from submitting a Statement of Qualifications (SOQ) or Statement of Interest (SOI), or including the individual in their SOQ/SOI for subsequent services on that same project.

   b. Assist the Department in preparing a contract scope of services. If a Supplemental Services Consultant assists in preparing a contract scope of services, the contract RFQ or Task Order Request for SOI will be advertised for a longer period of time. The firm the supplemental services consultant is employed by is not prohibited from submitting an SOQ/SOI, or including the individual in their SOQ/SOI for the contract/Task Order which the scope of services was prepared for.

5. Supplemental Service Consultants may not participate in preparing the following parts of the RFQ/SOI: type of contract, fixed fee, contract duration, and evaluation criteria, questions, and points.

6. Consultants and/or Subconsultants contracted to design any portion of a project may not propose to be the contractor or a subcontractor for the construction phase of the project.

7. Consistent with 23 CFR 1.33:

    a. No engineer, attorney, appraiser, inspector, or other person performing services for the Department in connection with a project shall have, directly or indirectly, a financial or other personal interest other than their employment or retention by the State in any contract or subcontract in connection with such project.

    b. No officer or employee of such person retained by the Department shall have, directly or indirectly, any financial or other personal interest in any real property acquired for a project unless such interest is publically disclosed and such officer or person has not participated in such acquisition for and on behalf of the Department.

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

Consultants or Subconsultants which participated in preparing documents related to a contract solicitation shall not receive any direct benefit from the utilization of those documents.

Any request for waiver from the restrictions related to Supplemental Service Consultants must be submitted to ECS describing the nature of their involvement well in advance of the proposal submittal or work assignment for determination on the matter. Decisions on waivers and conflicts of interest will be determined by the Department.

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

ARIZONA DEPARTMENT OF TRANSPORTATION

PROJECT DELIVERY AND OPERATIONS DIVISION
PROJECT MANAGEMENT GROUP

SCOPE OF WORK
SR 303L AT 96th AVENUE
DESIGN TRAFFIC INTERCHANGE
CONTRACT NO. 2027-002

DESIGN SERVICES

ADOT TRACS NO. F0966 01D
NFA

OCTOBER 2026

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SECTION 100 GENERAL INFORMATION

NOTE: The scope of work is presented in two parts. The Project Scope of Work (PSW) is contained in this section, including the derivation of cost proposal. It includes information specific to this project. This information is supplemented by the current edition of the Dictionary of Standardized Work Tasks (DSWT). Items included in the PSW may be described in more detail in the DSWT. The PSW shall take precedence over the DSWT unless explicitly stated otherwise.

110 Location

The Arizona Department of Transportation (ADOT) is planning a project on State Route Loop 303 (SR 303L) and 96th Avenue (Ave). The SR 303L / 96th Ave project will provide a new traffic interchange (TI) on SR 303L at milepost (MP) 130. The project is located in the City of Peoria, Maricopa County, within the ADOT Central District.

See attached Project Location Map.

120 Description

SR 303L is on the National Highway System (NHS) and is functionally classified as a Principal Freeway. This project's improvements will consist of a new traffic interchange on SR 303L at the 96th Avenue alignment. As part of this 96th Avenue TI project, the existing Loop 303 interim six-lane divided highway and auxiliary lanes are to be maintained in place. The proposed TI work will include four new ramps, the 96th Avenue crossroad, and a new bridge structure over existing Loop 303. The proposed 96th Avenue entrance and exit ramps will follow ADOT standard typical sections, and the 96th Avenue crossroad will follow a City of Peoria arterial street typical section that consists of three lanes in each direction, with bike lanes, sidewalks, Americans with Disabilities Act ramps, and left/right-turn lanes at ramp intersections.

An existing concrete drainage channel located south of Loop 303 crosses the future 96th Avenue alignment, which will require replacement of a portion of the channel with a box culvert section. New right of way is not anticipated. Utility relocations are not anticipated, however, there are multiple utility crossings along 303L and the future 96th Avenue alignment that will need to be protected in place. It is assumed federal funding may be used for a portion of the future construction project.

In May 2026, the Final Project Assessment was completed for the SR 303L and 96th Avenue Traffic Interchange Alternatives.

This project is anticipated to be delivered using design-bid-build.

The proposed project includes:

- New TI on SR 303L at the 96th Avenue alignment with ramp bridges crossing over SR 303L
- Protect in place utilities
- Extending, removing, replacing culverts, as necessary

At a minimum, the Consultant shall perform the following tasks:

- Design and prepare a Stage II roll plot, kmz file, and cost estimate, including all constraints that may impact existing drainage infrastructure and right of way. The Stage II submittal shall also include a Drainage Design Criteria and Methodology Memorandum for the drainage infrastructure
- Design and prepare Stage III, IV, and Final PS&E construction plans, technical specifications, quantity computations, cost estimates, structure selection reports, roadway drainage reports, kmz files, and other necessary construction and bid documents
- Perform all supplemental surveys as needed for design
- Prepare Draft and Final Materials Design Reports and Pavement Design Reports
- Prepare a Change of Access Request for a new access point on the State roadway system in accordance with FHWA and ADOT Predesign Standard Operating Procedures: https://azdot.gov/business/engineering-and-construction/roadway-engineering/roadway-predesign
- Confirm right-of-way, temporary construction easements and other pertaining requirements for the project. Assist with securing all necessary agreements and permits. ADOT and the city of Peoria will prepare the right-of-way plans and acquire all right-of-way for the project.
- Prepare an Individual Categorical Exclusion (CE) following the Project Environmental Data Sheet (PEDS), prepared by ADOT, to provide technical documents and incorporate all mitigation measures into the construction documents.
- Prepare a traffic analysis report using design year traffic volumes for 2050
- Provide post design services, added by contract modification, for successful completion of the construction project
- Obtain ADOT Permit Log from Central District, identify all utilities within the project limits, hold regular meetings with utility companies, coordinate prior rights

documentation and determinations with ADOT Utilities & Railroad Group, and submit each stage submittal plan set to identified utilities within the project limits

- Provide ADOT Right of Way Group, Utilities & Railroad Group, and Environmental Planning with the appropriate documentation and services necessary to clear the project for construction
- The Consultant shall lead the Public Involvement for the project. The Consultant shall, at a minimum, prepare the Public Involvement Plan, coordinate the public meeting, and other public outreach needs, as necessary.

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

The project stakeholders for the design efforts shall include at a minimum the Federal Highway Administration (FHWA), Maricopa Association of Governments, Central Arizona Water Conservation District, Flood Control District of Maricopa County, city of Peoria, Arizona Public Service, El Paso Natural Gas, local Homeowner's Associations, ADOT technical sections, ADOT Central District, and other state and federal agencies or interested stakeholders.

130 Purpose

The purpose of this project is to design and construct a new TI on SR 303L at the 96th Avenue alignment.

140 Construction Cost

The initial construction estimate is approximately $53,000,000 for the TI. Design and right of way funding is included in ADOT's 2026 – 2030 Five Year Facilities Construction Program.

160 Length of Services

The length of service is estimated to be 900 calendar days. This begins with the notice to proceed, and includes all reviews by the team and stakeholders.

171 Schedule

The Consultant shall develop a schedule for the design and pre-construction activities necessary for delivering the project in a timely manner consistent with the length of service. The schedule shall include a list of activities, estimated duration, milestones, and resources displayed in a Critical Path Method (CPM) format. The Consultant shall provide the CPM schedule no later than 10 working days following the project kickoff meeting. The schedule submitted shall be customized to reflect the exact needs of the project.

Work elements for which ADOT has responsibility shall be included in the schedule. ADOT will maintain the project schedule in Adobe Workfront.

172 Project Schedule Updates

The Consultant shall provide status updates for all activities in the schedule on a monthly basis, and provide the updates to the project team. ADOT will maintain the schedule updates in Workfront. If an activity or milestone falls 30 calendar days or more behind the approved schedule, a revised schedule shall be prepared within 15 calendar days showing steps to be taken to bring the project back on schedule.

173 Progress Meetings

The Consultant shall schedule, prepare materials for, attend, and lead meetings during the duration of the project. These meetings include, but are not limited to, the kick-off meeting, site visits, monthly progress meetings and coordination meetings with the technical groups and other stakeholders. The Consultant shall record notes of the meetings. These notes shall be distributed to the PM and other team members within five calendar days of the meeting.

180 Responsibility Chart

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

190 Environmental Documents

There was an Environmental Assessment prepared on this segment of SR 303L from Happy Valley Road to I-17 in 2006. The environmental planner for the project shall be consulted to determine whether the Clearance remains valid and, if there is a change in project scope or limits, whether potential new impacts need to be evaluated.

191 Local, State, Federal and Tribal Permits

The Consultant shall determine the need to obtain any federal, state, local and/or tribal permits to conduct this work and shall advise ADOT no later than 60 days from the NTP. The Consultant, in coordination with ADOT, shall obtain temporary entry documents for entry to each parcel for the following activities: environmental surveys, geotechnical investigations, and location survey work as needed.

SECTION 200 DESIGN REFERENCES

Design references shall be as presented in the current DSWT.

210 Miscellaneous Reports and Studies related to this project

Reports related to the subject project are as follows:

- SR 303L, 96th Avenue Traffic Interchange Feasibility Study, Final Project Assessment, May, 2026

SECTION 300 DESIGN CRITERIA

Design of projects shall be guided by the design criteria identified in the design standards, manuals and guidelines referenced in Section 200. All projects shall be designed in English units of International Feet. New drainage infrastructure sizing should consider potential impacts of future climate change as stated in FHWA Publications FHWA-HIF-16-018 and FHWA-HIF-22-043.

301 Supplemental Design Criteria

The design criteria and the project design guidelines may be supplemented by project design memorandums provided by ADOT during the course of the project. Performance Based Practical Design (PBPD) measures shall be considered and implemented as often as applicable.

SECTION 400 DESIGN 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 services may include, but are not limited to, the tasks of data/document preparation and interpretation including survey and mapping, reports, corridor management plans, construction plans and other related documents, special provisions, construction cost estimates, and post-design services.

401 Design Features

Tasks shall be performed in accordance with the DSWT.

405 AASHTO Design Criteria Report

The consultant shall develop an AASHTO Design Criteria report for the existing Loop 303 mainline through the proposed TI area, including the Agua Fria River Bridge.

410-411 Surveys and Mapping

Location Surveys and Photogrammetry and Mapping shall be performed in accordance with the DSWT.

416 Geotechnical Design

ADOT Geotechnical Services will prepare a geotechnical investigation work plan including any necessary access roads for the geotechnical work for the new roadway, bridge structures, and retaining walls. ADOT Geotechnical Services will perform geotechnical investigations and prepare the Draft and Final Geotechnical Reports, which shall include bridge foundation and other pertaining recommendations. The Consultant shall support ADOT Geotechnical Services, as necessary.

417 Earthwork

Earthwork shall be in accordance with the DSWT.

418 Special Materials

Work shall be performed in accordance with the DSWT.

419 Pavement Design

The Pavement Design and Materials Reports shall be in accordance with the DSWT.

420 Environmental Studies

Environmental studies shall be in accordance with the DSWT, Categorical Exclusion Manual, and the PEDS.

The Consultant shall provide services to obtain a Geotechnical Environmental Clearance for the geotechnical investigation and utility potholing activities. The Consultant shall provide geotechnical and potholing information to ADOT EP to confirm the level of review and documentation needed for environmental clearance. The Consultant shall prepare the necessary technical documents and provide them to ADOT EP for review in support of the geotechnical and potholing clearance.

422 Noise Analysis & Technical Report

Qualitative noise evaluation may be needed. The consultant shall prepare a short technical memorandum to satisfy 23 CFR 772.17 (a)(1).

425 Public Meetings/Public Outreach

The Consultant shall lead the Public Outreach for the project. The Consultant shall support ADOT through preparation of the Public Involvement Plan, coordination of the public meeting, and other public outreach needs, as necessary. The consultant shall provide supporting information / materials for public information meetings, if conducted, in accordance with the DSWT.

430-436 Utilities and Railroad

Utility and Railroad coordination shall be in accordance with the DSWT.

The Subsurface Utility Engineering (SUE) is to be performed by the consultant. The consultant will provide the SUE estimate and quantities. The Final Project Assessment anticipates that the utility relocations will be required. SUE (designating and potholing) shall begin with the submittal of Stage II (30%) plans.

440 Roadway Design

Roadway design shall be in accordance with the DSWT.

445 Roadway Drainage

On-site and off-site roadway drainage shall be in accordance with the DSWT and other guidelines identified in Sections 200 and 300.

446 Roadway Drainage Reports

Roadway drainage reports shall be in accordance with the DSWT.

447 Roadway Drainage Designs

Roadway drainage design shall be in accordance with the DSWT.

448 Section 404 & 408 Permits

Clean water act shall be in accordance with the DSWT.

450 Landscape Architectural Practice and Design

Landscape architectural design shall be in accordance with the DSWT.

455 Bridge Design

New bridges are planned with the project. The Consultant shall coordinate the design of the roadway, drainage, traffic, freeway management system, and other features with the ADOT Bridge Group and in accordance with the DSWT.

456 Bridge Selection Report

Bridge Selection Reports shall be in accordance with the DSWT and the Final Project Assessment.

457 Bridge Hydraulics Report

Bridge Hydraulics Reports shall be in accordance with the DSWT and the Final Project assessment.

460 Traffic Engineering Design

Traffic engineering design will be in accordance with the DSWT.

461 Traffic Engineering Study

The traffic data provided in the Final Project Assessment shall be updated as necessary, in accordance with the DSWT.

462 Temporary Traffic Control Plans

Temporary Traffic Control Plans shall be in accordance with the DSWT.

463 Intersection Signalization and Roadway Lighting

Intersection signalization and roadway lighting shall be in accordance with the DSWT.

The Consultant shall coordinate with ADOT to determine the future FMS electrical service locations, as applicable.

464 Signing Plans

The Consultant shall develop and prepare signing plans in accordance with the DSWT.

465 Pavement Marking Plans

The Consultant shall prepare pavement marking plans in accordance with the DSWT.

466 Intelligent Transportation Systems (ITS) Infrastructure

The Consultant shall prepare ITS plans in accordance with the DSWT.

467 Road User Cost

The Consultant shall assist in preparing the Road User Cost (RUC). Questionnaires listing the required information for the calculation of the RUC are available on the ADOT Construction Value Engineering page. The Consultant shall complete the Questionnaire and provide the information to the ADOT Construction Group to calculate the RUC. The RUC shall be listed as liquidated damage in the project Special Provisions (Maintenance of Traffic Section).

471 Right-of-Way Requirements Determination

The Consultant shall confirm the right-of-way limits no later than Stage III Submittal, with preliminary limits provided with the Stage II roll plot. No revisions or additions to the new right-of-way limits and easement requirements are allowed after the Stage III submittal without the approval of the ADOT PM.

The Consultant shall determine the requirements of new right-of-way and easements, including, but not limited to, new right-of-way, slope easements, drainage easements, temporary construction easements, and access control right-of-way.

The Right of way requirements determination shall be in accordance with the DSWT.

472 Right-of-Way Acquisition

ADOT will perform acquisition of new right-of-way and easements.

473 Temporary Entry Documents

The Consultant shall determine the need for temporary entry documents, coordinate with ADOT ROW, and provide applicable documentation as needed.

Temporary Entry Documents shall be in accordance with the DSWT.

475 Bid Advertising

As described in DSWT.

480 Cost Estimates

The Consultant shall prepare and submit combined and detailed estimates for each design submittal in accordance with DSWT.

485 Specifications

Specifications shall be in accordance with the DSWT.

486 Special Provisions

Special Provisions shall be in accordance with the DSWT.

487 Contracts and Specifications Process

Contracts and Specifications coordination shall be in accordance with the DSWT.

490 Computer Aided Design and Drafting (CADD) Requirements

CADD requirements shall be in accordance with the DSWT.

495 Electronic Design Data Delivery

Electronic Design Data Delivery shall be in accordance with the DSWT.

SECTION 600 POST-DESIGN SERVICES

Post Design Services shall be in accordance with the DSWT.

SECTION 700 MATERIALS FURNISHED BY ADOT

ADOT will provide all available information to the Consultant. The Consultant shall review the availability of materials from ADOT before submitting a fee proposal for the project. Record drawings, plans, records, Accident Reports and Data may not be completely available or accurate in contents. It is the Consultant's responsibility to determine the availability and applicability of the existing ADOT data.

SECTION 1000 CONTRACT ADMINISTRATION

Contract administration shall be in accordance with the DSWT.

1027 Site Visit

Site visits will be required in accordance with the requirements of the DSWT

1050 Value Engineering

Value Engineering (VE) consists of those tasks performed by a VE Team in accordance with the Value Engineering Program Guidelines. A VE is required for this project and will be held following the Stage II (30%) submittal. The consultant shall provide project information and participate on the Value Engineering team.

1060 Reviews and Submittals

All submittals shall include the items listed, as applicable, in each Stage Deliverables Checklist. The applicable checklist shall be submitted as part of each submittal and signed by the designer, quality control plan auditor, and PM. For clarity on the requirements regarding if and when an item is to be signed and/or sealed refer to Required Signed/Sealed Documents.

Review of submittals may result in significant additional work by the Consultant depending on the quality of the initial submittal. If a submittal is deemed incomplete or of poor quality by the reviewer(s), the submittal shall be revised and resubmitted. Submittals deemed incomplete or of poor quality shall not entitle the Consultant to any additional design fees.

1063 Stage II Design Submittal

As per DSWT and the most recent Stage Deliverable Checklist

1064 Stage III Design Submittal

As per DSWT and the most recent Stage Deliverable Checklist

1065 Stage IV Design Submittal

As per DSWT and the most recent Stage Deliverable Checklist

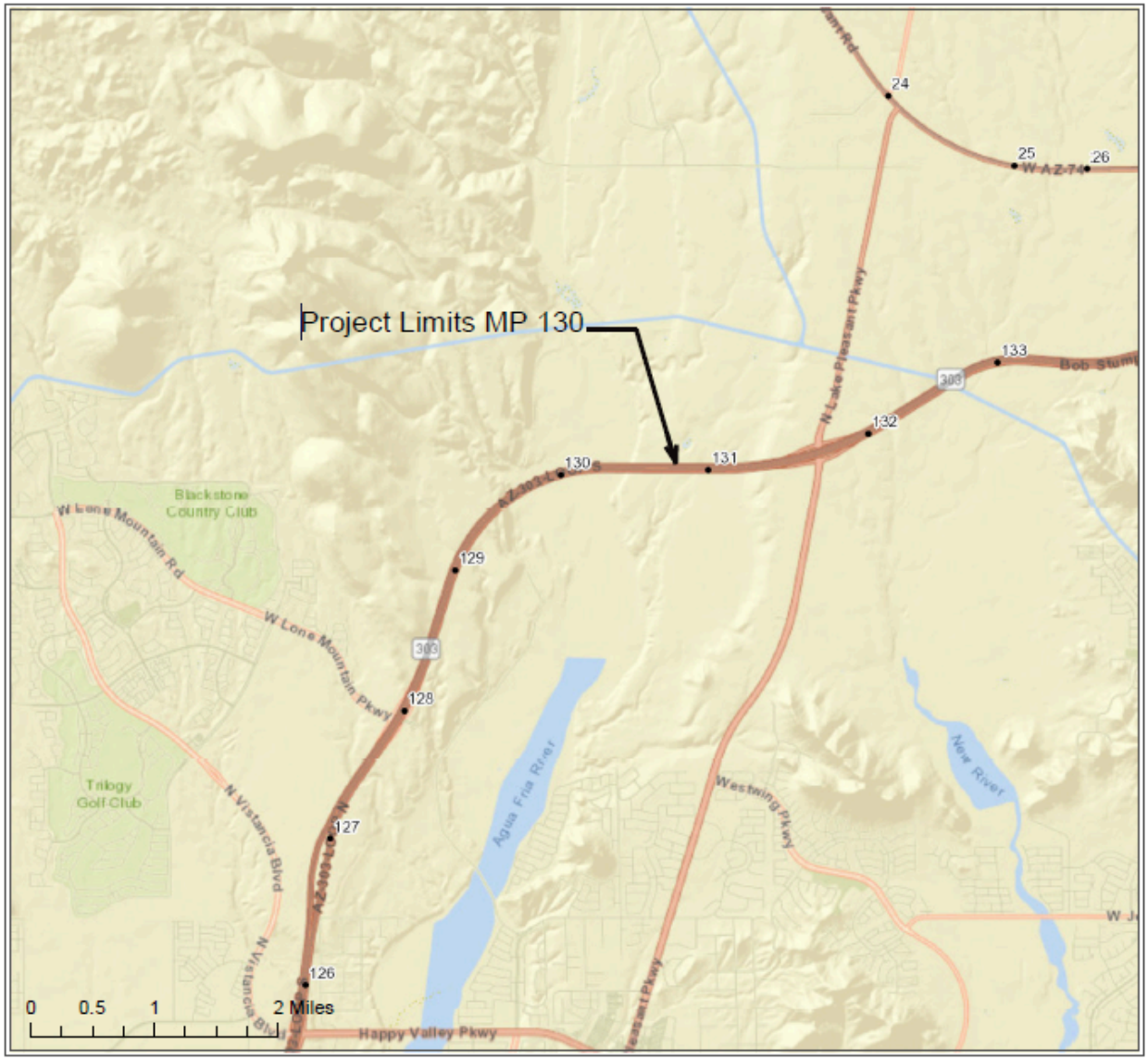
1066 Stage V/Bid Ready Submittal

Once all revisions to Stage IV are complete and the C&S representative indicates the project is ready to advertise, the following shall be submitted to the PM:

1. Stage V Deliverables Checklist
2. A complete, full-size, original source PDF of sealed and signed contract plans (22”x34”) necessary to construct the road and/or bridge improvements identified in the contract.
3. A complete, original source PDF of sealed and signed Special Provisions, including stored specifications, to cover design items not identified in the ADOT Standard Specifications for Road and Bridge Construction, current edition.
4. A complete, original source PDF of the Final Geotechnical Report.
5. A complete, original source PDF of the Final Bridge Selection Report.
6. A complete, original source PDF of earthwork cross sections by station showing the plotted roadway template superimposed on the plotted natural terrain (see Section 440, Roadway Design).
7. A complete, original source PDF of final earthwork quantities, calculations and overall summaries.
8. Existing ORD TM .dgn and LandXML files
9. New Design Surfaces TM .dgn and LandXML files
10. Other reports and materials as requested by the PM

APPENDIX A: SITE AND LOCATION MAP

Project Limits Map



SR303L; 96th AVE TI

BOB STUMP MEMORIAL PARKWAY

SR 303L

NFA

303L MA 130 F0966 01D

APPENDIX B: RESPONSIBILITY CHART

The PSW is defined as the individual sections of this document and the applicable sections of the DSWT. 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		X		
		a. Planimetric Map		X		
		b. Topographic Map		X		
		c. Digital Terrain Model		X		
		d. Orthophotos		X		
		e. Drainage Area Map		X		
		f. Right-of-Way Map			X	
	4.	Roadway Cross Sections		X		
	5.	Drainage Cross Sections		X		
B		**CONTROL SURVEYS/SUPP SURVEY**	SOW			
	1.	Horizontal		X		
	2.	Vertical		X		
	3.	Topographic Map		X		
	4.	Utility Locations		X		X
	5.	Right-of-Way		X		
	6.	Roadway Cross Sections		X		
	7.	Drainage Cross Sections		X		
	8.	Structures Surveys		X		
C		**ENVIRONMENTAL**	SOW			
	1.	Environmental Document		X	X	
	2.	Air Quality Technical Report		X		
	3.	Noise Analysis Technical Report		X		
	4.	Cultural Resources Survey		X		
	5.	Visual Impact Analysis		X		
	6.	Biological Evaluation		X		
	7.	Section 4(f) Coordination		X	X	X
	8.	404 CWA Section		X	X	
	9.	Public Meetings/Hearing		X	X	X
		a. Advertising		X	X	
		b. Presentation Materials		X		
		c. Moderator		X		
		d. Technical Questions		X		
		e. Transcript		X		
		f. Responses to Public Comments		X	X	X
	10.	Hazardous Materials Survey		X		

APPENDIX B: RESPONSIBILITY CHART

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

APPENDIX B: RESPONSIBILITY CHART

		ITEM	SCOPE SECTION	CONSULTANT	ADOT	OTHERS
G		**CONSTRUCTION PLANS**		X		
	1.	Plot Design Survey		X		
	2.	Basic Roadway Plans Preparation		X		
	3.	Drainage Design		X		
	4.	Bridge Design		X		
	5.	Roadway Lighting Plans		X		
	6.	Traffic Signal Plans		X		
	7.	Signing & Pavement Marking Plans		X		
	8.	Utility Adjustment Plans		X		
	9.	Maintenance of Traffic Plans		X		
	10.	Landscape Architectural Design		X		
H		**Value Engineering**				
	1.	Prepare Value Engineering		X	X	
I		**UTILITY & RAILROAD**	SOW			
	1.	Utilities Identification/Location		X	X	
	2.	Submit Railroad Data		X	X	
	3.	Conduct Utility Predesign Conference		X		
	4.	Secure Utility Adjustment Plans		X		
	5.	Secure Utility Relocation Schedule		X		
	6.	Secure Utility Agreements		X		
	7.	Process Relocation Schedule & Agreement		X		
	8.	Clearance Letter		X	X	
	9.	Prior Rights Information			X	X
J		**COST ESTIMATES**	SOW			
	1.	Prepare Construction Cost Estimates		X		
	2.	Prepare R/W Cost Estimates			X	
K		**REVIEWS AND SUBMITTALS**	SOW			
	1.	All Reports and Submittals		X	X	X

APPENDIX C: EVALUATION SCHEDULE

PHASING AND EVALUATION
SCHEDULE FOR DESIGN PROJECTS

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

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

RECOMMENDED EVALUATION FILING DATES

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

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

EVALUATION MEASUREMENTS/COMMENTS

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

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

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

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

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

ATTACHMENT A

LABOR CLASSIFICATION LIST

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

Administrative
Project Administrator
CADD Technician
Cost Estimator
Cost Estimator - Sr.
Designer
Designer - Sr.
Engineer
Engineer - Sr.
Project Engineer
Project Engineer – Sr.
GIS Analyst / Technician
GIS Analyst / Technician - Sr.
Project Principal
Project Manager
Project Manager - Sr.
Registered Landscape Architect
Registered Landscape Architect - Sr.

Air Quality Specialist
Associate Archeologist
Archeologist
Archeologist - Sr.
Associate Biologist
Biologist
Biologist - Sr.
Cultural Principal Investigator
Cultural Resource / Archeological Technician
Environmental Coordinator / Program Manager
Associate Environmental Planner / Scientist
Environmental Planner / Scientist
Environmental Planner / Scientist - Sr.
HazMat Specialist
Noise Specialist
Registered Land Surveyor
Registered Land Surveyor - Sr.
Survey Technician
Survey Party Chief

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.

ARIZONA DEPARTMENT OF TRANSPORTATION

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 Ill 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).