ARIZONA DEPARTMENT OF TRANSPORTATION

ENGINEERING CONSULTANTS SECTION

REQUEST FOR QUALIFICATIONS PACKAGE

CONTRACT NUMBER: 2027-007

SR 74, LAKE PLEASANT PARKWAY INTERSECTION

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.

NOVEMBER 2026

REQUEST FOR QUALIFICATIONS PACKAGE
ADOT CONTRACT NUMBER: 2027-007
SR 74, LAKE PLEASANT PARKWAY INTERSECTION
MARICOPA COUNTY
ADOT PROJECT NUMBER: F0967 01L

TABLE OF CONTENTS

I. PUBLIC ADVERTISEMENT

II. GENERAL INSTRUCTIONS

III DISADVANTAGED BUSINESS ENTERPRISE PROGRAM

IV SOQ FORMAT INSTRUCTIONS

V. SOQ FORMAT AND EVALUATION CRITERIA

VI. PANEL RANKING FORMS

VII. DBE SOQ SUBMITTAL REQUIREMENTS AND PROGRAM INFORMATION AND FORMS

VIII. NOT USED FOR THIS CONTRACT

IX. LOBBYING CERTIFICATION

X. PROJECT SUMMARY/REFERENCE MATERIAL AVAILABILITY

XI. SOQ SUBMITTAL GUIDELINES

XII. SOQ PROPOSAL CERTIFICATIONS FORM

XIII. PAYMENT REPORT FORMAT

XIV. ADOT ADVANCE AGREEMENT GUIDELINE & CONSULTANT AUDIT CRITERIA

XV. ECS CONSULTANT EVALUATION PROGRAM GUIDELINES

XVI. ECS CONSULTANT CONTRACT MANUAL

XVII. CONTRACT BOILERPLATE

XVIII. DICTIONARY OF STANDARDIZED WORK TASKS

XIX. ADOT PARTICIPATION IN BOYCOTT OF ISRAEL – CONSULTANT CERTIFICATION FORM

XX. ADOT FORCED LABOR OF ETHNIC UYGHURS BAN – CONSULTANT CERTIFICATION FORM

XXI. CONSULTANT INFORMATION PAGES (CIP)

XXII. STANDARDS OF CONDUCT AND CONFLICT OF INTEREST

XXIII. SCOPE OF WORK

XXIV. TITLE VI/NON-DISCRIMINATION ASSURANCES APPENDIX A AND APPENDIX E

SECTION I - PUBLIC ADVERTISEMENT

FOR PUBLICATION Wednesday, November 25, 2026 and Wednesday, December 2, 2026
IN THE ARIZONA REPUBLIC NEWSPAPER

ARIZONA DEPARTMENT OF TRANSPORTATION (ADOT)/ENGINEERING CONSULTANTS SECTION (ECS)/PUBLIC NOTICE FOR **SR 74, LAKE PLEASANT PARKWAY INTERSECTION**, **MARICOPA COUNTY**/ADOT CONTRACT NUMBER: **2027-007**/ADOT PROJECT NUMBER: **F0967 01L**/Statements Due: **December 16, 2026**, 2:00 P.M. Arizona (Phoenix) Time/ADOT is accepting Statement of Qualifications (SOQs) from Consultants to provide a Design Concept Report and Environmental Document /The Request for Qualifications (RFQ) Package for Contract 2027-007 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 74, LAKE PLEASANT PARKWAY INTERSECTION
MARICOPA COUNTY
ADOT CONTRACT NUMBER: 2027-007
ADOT PROJECT NUMBER: F0967 01L

Statements Due: December 16, 2026, 2:00 P.M. Arizona (Phoenix) Time

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

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

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

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

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

The selected Consultant(s) shall provide a Design Concept Report (DCR) and Environmental Document. Design and Post-Design Services may be added by contract modification following successful completion and approval of the DCR and Environmental document.

ADOT may select one prime Consultant from among those submitting SOQs for further consideration. Previous experience in Traffic Interchange Design Concept Reports and 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 **December 8, 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 December 16, 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 **December 8, 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 December 8, 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 two pages each, and shall demonstrate the individual's experience related to services outlined in this RFQ. The SOQ may also identify other key members of the team, including other personnel (classifications identified in Attachment A of the Scope of Work) determined by the Consultant. These are personnel from both the Consultant and Subconsultants who the Consultant wishes to highlight in the submittal that may provide special expertise or perform critical task(s) on the project. Failure to include resumes of Key Personnel identified in the SOQ will result in rejection of the submitted SOQ as non-responsive. Do not include resumes for other members of the team. Resumes included for other members of the team will count towards the overall page limit, regardless of the location these documents are placed in the SOQ.

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

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

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

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

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

ADOT Audit Requirements

As required by Federal regulations, during the negotiation stage of the contracting process, ECS will request the ADOT Office of Audit and Analysis (Audit and Analysis) to conduct a review of proposed indirect cost (overhead) rates or unit rates for the selected prime Consultant(s) and 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: November 25, 2026
- 2nd Newspaper Advertisement Date: December 2, 2026
- Prequalification Application Due: December 8, 2026
- Questions Due: December 8, 2026 at 2:00 P.M. Arizona (Phoenix) Time
- SOQ Submittal Due Date: December 16, 2026 at 2:00 P.M. Arizona (Phoenix) Time
- Estimated Selection Date: January 22, 2027
- Initial Cost Proposal Due Date: February 12, 2027
- Estimated Contract Notice to Proceed Date: April 12, 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: 2027-007

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: 2027-007

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 **December 8, 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 December 8, 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 **two** pages each) 2.SOQ Bidder's/Proposer's Solicitation List Confirmation Email (from SBWD)		
PART E	**AMENDMENTS** (If applicable, required only if an amendment(s) is issued. The amendment(s) shall **not** count toward the page limit, extra pages of any sort will count towards the page limit)		
PART F	**CONSULTANT INFORMATION PAGES (CIP)** (Required but shall **not** count towards page limit)		
	TOTALS	**100**	**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.

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 **two** pages each. Do not include any additional pages as identified in Section IV, Number 7, Section V, Part D, and further defined in Section IV, Number 3 & 4, separating the resumes from the main proposal or separating more than one resume being submitted. Do not include resumes for non-Key Personnel (individuals not identified by **name** in the SOQ) as these pages will count towards the overall page limit, regardless of the location these documents are placed in the SOQ. **Failure to include resumes for any person named in the SOQ shall result in rejection of the SOQ proposal.**

2. The *SOQ Bidder's/Proposer's Solicitation List confirmation email* from ADOT Small Business and Workforce Development (SBWD) shall be included in Part D, Attachments, in the SOQ. Inclusion of this document in any other location of the SOQ will cause this document to be included in the overall page count. See Section VII-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.: 2027-007

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/2019/06/ls-payment-report-format.xls

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

To review the ADOT Consultant Audit Criteria (Information Bulletin 08-03), use the following link:
https://apps.azdot.gov/files/ecs/bulletins/08-03.pdf

And information Bulletin IB 25-01:
https://apps.azdot.gov/files/ecs/bulletins/25-01.pdf

SECTION XV – ECS Consultant Evaluation Program Guidelines

To review Consultant Evaluation Program Guidelines, use the following link:
https://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 74, Lake Pleasant Parkway
Traffic Interchange

Design Concept Report (DCR) and
Environmental Document

Contract No. 2027-007

ADOT TRACS No. F0967 01L

November 2026

TABLE OF CONTENTS

SECTION 100 - GENERAL INFORMATION

110 Location
120 Description
130 Purpose
140 Construction Cost
150 Organization
160 Length of Services
170 Schedule
172 Project Schedule Updates
173 Monthly Progress Meetings
180 Responsibility Chart
191 Local, State and Federal Permits

SECTION 200 - DESIGN REFERENCES

210 Miscellaneous Reports and Studies related to this project
220 AASHTO Publications

SECTION 300 - DESIGN CRITERIA

301 Supplemental Design Criteria
310 General
330 Drainage
340 Traffic

SECTION 400 - SCOPING WORK PERFORMED BY CONSULTANT

401 Design Features
403 Scoping Documents
410-411 Location Surveys and Photogrammetry and Mapping
416 Geotechnical Design
425 Public Information Meetings and Public Hearings
430 Utilities and Railroads
456 Bridge Selection Report
461 Traffic Engineering Study
471 Right-of-Way Requirements Determination
480 Cost Estimates
495 Electronic Design Data Delivery

SECTION 700 - MATERIALS FURNISHED BY ADOT

SECTION 1000 – CONTRACT ADMINISTRATION

1040 Study Documentation
1060 Reviews and Submittals

APPENDICES

APPENDIX A: SITE AND LOCATION MAP
APPENDIX B: RESPONSIBILITY CHART
APPENDIX C: PROCEDURES FOR FEASIBILITY, LOCATION/DESIGN CONCEPT STUDIES AND ENVIRONMENTAL STUDIES
APPENDIX D: EVALUATION SCHEDULE

ATTACHMENT A: LABOR CLASSIFICATION

SECTION 100 - GENERAL INFORMATION

NOTE: This scope of work is presented in two parts. The Project Scope of Work is contained in this section, including all Appendices. It includes information specific to this project.

The section Dictionary of Standardized Work Tasks (DSWT) is presented as a section within the Scope of Work. It includes information that is common to consultant design contracts. The description of work tasks is presented in DSWT. Not all the work tasks described are necessary on every project.

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

110 Location

The SR 74, Lake Pleasant Parkway Traffic Interchange (TI) project is located on State Route 74 (SR 74) at approximate milepost 24.0, within the city of Peoria in Maricopa County, Arizona. The study limits along Lake Pleasant Parkway, will be 0.5 miles to the north and south of SR 74.
See attached Location map in Appendix A.

120 Description

The "State Route 74 Corridor Study - Final Report" completed in May 2026 by Maricopa Association of Governments (MAG) identified two alternatives for the SR 74, Lake Pleasant Parkway/New River Road Junction. These alternatives would enhance regional travel and mitigate safety issues at the SR 74/Lake Pleasant Parkway/New River Road TI. Furthermore, as these alternatives would consolidate the two intersections into one TI and improve the operation of the existing intersections they should be carried forward as Design Concept Alternatives in the project development process, including any other alternatives as long as SR 74 is a free-flow movement through the interchange and the crossroad and ramps operate acceptably.

The SCOPE OF WORK will be an Engineering Study that includes preparation of a Design Concept Report (includes a 15% roll plot), an Environmental Document, and related studies and reports (please note Appendix C) to determine recommended configuration for the Lake Pleasant Parkway TI at SR 74.

The work on this study will address the following:

A. Review the AASHTO Controlling Design Criteria and include the information as an appendix to the DCR. The Final DCR may require a justification letter requesting Design Exceptions. In addition, the Consultant may be required to prepare a justification and request for Design Variances.
B. Prepare Initial and Final Design Concept Reports (including 15% roll plot) that are consistent with the short and long-term improvement plans for SR 74. The documents shall include a detailed analysis and construction cost estimates of alternatives being carried forward for evaluation in the DCR.
C. Prepare Draft and Final Environmental Document and associated technical reports (NEPA).
D. Prepare a Traffic Report including detailed evaluations of the potential alternatives. Intelligent Transportation Systems (ITS) will also be evaluated.
E. Prepare an ADA Compliance and Feasibility Report, as needed.
F. Support public involvement and agency coordination to build consensus among local communities and affected agencies. The Consultant will lead the project team for public involvement and ADOT EPG will provide support. ADOT Communications, ADOT EPG and the selected consultant will work together to develop a Public Involvement Plan.

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

Design-Bid-Build (DBB) is the expected project delivery method. During this study, the selected consultant will be requested to provide information for and participate in a selection process to determine the preferred delivery method. Should the preferred delivery method remain as DBB, Design and Post-Design Services may be added by contract modification following successful

completion and approval of the DCR and Environmental document. If an alternative delivery method is selected for delivery of the project, alternative delivery services such as RFQ/P development and owner's representation during construction may be added by contract modification at the sole discretion of the Department.

130 Purpose

The purpose of this study is to prepare a DCR and Environmental Document to evaluate the SR 74/Lake Pleasant Parkway traffic interchange and select a preferred alternative for further action.

140 Construction Cost

There is currently no construction budget at this time.

150 Organization

The Arizona Department of Transportation (ADOT) retains consultants to perform a variety of engineering services.

160 Length of Services

The length of service is estimated to be 365 calendar days. This begins with the notice to proceed and includes all reviews by the team and stakeholders.

170 Project Schedule

The Consultant shall provide a schedule of major project milestones no later than 15 days following the project kickoff meeting. The schedule shall be CPM based and compatible with ADOT's Workfront scheduling system. It shall include the 20 milestones/flags requested by ADOT at a minimum. 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.

172 Project Schedule Updates

The Consultant shall submit updates to the project schedule at intervals that are acceptable to the Project Manager. The updates shall include project detail activities and the respective dates in a bar chart or other approved format and a schedule of major project milestones concurrent with monthly invoices. 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 arrange and attend regularly scheduled monthly progress meeting with the ADOT Project Manager and project team members. The consultant shall record "minutes" of the progress meeting. The "minutes" shall be distributed to the team within 10 calendar days of the meeting. Progress meetings will be held in addition to other project meetings as necessary.

180 Responsibility Chart

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

The project stakeholders for the study effort shall include at a minimum ADOT technical disciplines, the Federal Highway Administration (FHWA), MAG, City of Peoria, City of Phoenix and other state and federal agencies.

191 Local, State and Federal Permits

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

SECTION 200 - DESIGN REFERENCES

Design references shall be as presented in the current DSWT. The Consultant is responsible to ensure the project is developed in accordance with federal, state, tribal, and local regulations, statutes, policies, procedures, and guidelines.

210 Miscellaneous Reports and Studies related to this project

Maricopa Association of Governments completed the State Route 74 Corridor Study Final Report in May 2026.

220 AASHTO Publications

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

SECTION 300 - DESIGN CRITERIA

Design of 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.

310 General

· Design Year - 2050
· Pavement Design Life - 20 years

The design analysis year will be confirmed during the kick-off meeting with stakeholders. Design Year 2050 will be used if the MAG Model is available at project kick-off.

330 Drainage

Refer to Chapter 600 of ADOT's Roadway Design Guidelines

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

Traffic control requirements will be addressed by reference to the Manual of Uniform Traffic Control Devices (MUTCD), 2025 edition and associated ADOT supplement, and the current edition of the ADOT Traffic Control Design Guidelines

SECTION 400 - SCOPING WORK PERFORMED BY CONSULTANT

The work performed for this study shall be completed within 12 months of the Notice to Proceed (NTP). The work shall conform to the standards, criteria, and requirements of this Scope of Work, including Appendix C. Variations to the scope of work set forth within shall be discussed with PM prior to submitting initial cost proposal.

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

A. Prepare Initial Traffic Report

The Consultant shall prepare an Initial Traffic Report following determination of the alternatives to be carried forward into the Initial DCR. Activities will include detailed evaluation of the alternatives relative to traffic operations and include all methodologies identified in the ADOT guidelines. Model runs for all carry-forward alternatives shall be requested from MAG by the Consultant.

B. Prepare Initial Design Concept Report

The Consultant shall develop and evaluate preliminary alternatives for comparison of engineering and environmental issues, recommending those alternatives to be carried forward for complete evaluation in the DCR and Environmental Document. The consultant shall utilize methods to enable the project to meet the requirements of analyzing all reasonable alternatives in support of the iterative nature of the NEPA process. Sufficient detail shall be prepared to provide an audit trail of the investigation and selection process. The number of alternatives recommended for detailed evaluation may vary but shall include a minimum of two build alternatives along with a “no build.”

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

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

Agency and Public Scoping Meetings shall be held in the project vicinity to explain the project and solicit comments from the public and interested organizations on the relevant issues in the corridor and possible alternatives under consideration. These meetings will be documented by ADOT Communications with a summary of the results included in the DCR. The Consultant shall prepare an AASHTO Controlling Design Criteria analysis in accordance with ADOT Guidelines. The results of the analysis shall be included in the DCR.

Depending on the preferred alternative, a federal-level Change of Access Report may be required. If so, this activity will be added via contract modification.

C. Prepare Draft Environmental Document and Associated Reports

The Consultant shall prepare a Draft Environmental Document and associated technical reports concurrent with the Initial DCR and in accordance with the applicable federal and state environmental regulations, following the NEPA process as required. This document will fully evaluate the project alternatives and describe the impacts of the necessary

commitments. The Consultant shall contact ADOT Environmental Planning (EP) for guidelines, checklist, and additional information on applicable regulations and standards. If any ground disturbing activities are deemed necessary, coordination and approval by ADOT and/or affected federal, state, and local agencies will be required. See Appendix C for additional information.

The level of NEPA Environmental Document for this study is anticipated to be an Individual Categorical Exclusion (CE). For contract planning purposes, the Consultant shall assume the environmental document to be an Individual CE.

D. Prepare Final Design Concept Report

The Consultant shall respond to written comments from the review of the Initial DCR by holding a comment resolution meeting and issuing a Summary of Comments. The Consultant shall submit the Final DCR, sealed by an Arizona Registered Professional Engineer, at the completion of the study. The report shall include refinements of the materials developed since the Initial DCR and revisions resulting from the comment process. The Consultant shall facilitate resolution of all comments received.

E. Prepare Final Environmental Document

ADOT Environmental Planning (EP) will prepare the Final Environmental Document concurrent with the preparation of the Final DCR.

F. Prepare Initial Bridge Study

The Consultant shall determine the need for new or reconstructed structures on the project including all impacts to traffic interchanges and crossroad structures. The Consultant shall recommend alternative structures and superstructure depths to the extent necessary for development of roadway concepts in the DCR documents. The Initial Bridge Study will be prepared for the final preferred alternative documented in the Final DCR and Environmental Document. The Consultant shall follow ADOT Bridge Practice Guidelines in developing concepts for bridges and structures.

G. Prepare ADA Compliance and Feasibility Report

An ADA Compliance and Feasibility Report, if needed, shall be prepared by the Consultant.

401 Design Features

Tasks shall be performed in accordance with the DSWT.

403 Scoping Documents

The Consultant shall develop and evaluate preliminary alternatives for comparison of engineering and environmental issues, recommending those alternatives to be carried forward for complete evaluation in the DCR. Sufficient detail shall be prepared to provide an audit trail of the investigation and selection process. The number of alternatives recommended for detailed evaluation shall include a minimum of two build alternatives along with a "no build."

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

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

Up to three design concept alternatives will be prepared for TI improvement alternatives at SR 74 and Lake Pleasant Parkway.

Evaluation criteria and performance measures will be developed in consultation with ADOT, MAG, FHWA and the project stakeholders. The alternatives will be comparatively evaluated using both qualitative and quantitative measures and will be summarized in an evaluation matrix.

Initial DCR Report
The Consultant will prepare an Initial DCR. The following is an outline of the report requirements:

- Cover Sheet
- Title Sheet
- Table of Contents
- List of Figures and Tables
- Executive Summary
- Introduction
    - Forward
    - Need for Project
    - Purpose of the Project
    - Description of the project
    - Characteristics of the Corridor
    - Agency and Public Scoping
- Traffic and Crash Data
    - Crash Analysis
    - Traffic Analysis
- Design Concept Alternatives (initial concepts and up to 3 build alternatives)
    - Introduction
    - Design Concept Alternatives Considered and Discontinued
    - Design Concept Alternatives Studied in Detail
    - Evaluation of Alternatives
    - Recommendations
- Major Design Features of the Recommended Alternative
    - Introduction
    - Design Controls
    - Horizontal and Vertical Alignments
    - Access
    - Right-of Way

- Drainage
- Section 401 and 404 of the Clean Water Act (recommendations for further action and timeline schedule only)
- Floodplain Considerations
- Earthwork
- Construction Phasing and Traffic Control
- Traffic Design
- Utilities
- Structures
- Preliminary Pavement Considerations (based on previous information)
- Habitat connectivity
- Multimodal Considerations
- Design Exceptions
- Intergovernmental Agreements (confirmed during kick off meeting)

- Itemized Cost Estimate for the Recommended Alternative
- Implementation Plan
- AASHTO Controlling Design Criteria and Design Exceptions
- Social, Economic and Environmental Concerns (include Mitigation Measures Only)
- 15% Design Roll Plot
- Schematic Traffic Interchange Design Alternatives
- Summary of Comments

A Pre-Initial DCR will be submitted for internal ADOT review and comment prior to submittal of the Initial DCR to all project stakeholders for review and comment. A comment resolution meeting will be held to resolve stakeholder comments.

Final DCR Report

The Consultant shall prepare the Final DCR for signature and distribution. The report shall document the selection of the alternative to be programmed for construction and shall include refinements of the information developed in the Initial DCR and modifications resulting from review comments and public comment. The Consultant shall submit the report sealed by an Arizona-registered Professional Engineer. Deliverables will be electronic copies of all report components.

A Pre-Final DCR will be submitted for internal ADOT review and comment prior to submittal of the Final DCR to all project stakeholders for review and comment. A comment resolution meeting will be held to resolve stakeholder comments.

405 AASHTO Design Criteria Report

The consultant shall develop an AASHTO Design Criteria report for the existing SR 74 mainline through the proposed TI area, including Lake Pleasant Parkway and New River Road.

410-411 Surveys and Mapping

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

416 Geotechnical Design

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

417 Earthwork

Preliminary earthwork calculations will be completed for the recommended alternative using end area volume calculations from the Bentley Open Roads modeled cross sections. The Bentley Open Roads modeling will be used to identify retaining wall limits. Earthwork calculations will be documented and included in the project files. An earthwork report is not included but will be complete during future design phases of the project.

419 Pavement Design

The Consultant shall provide a new pavement design, including preparing preliminary cost estimates associated with this design.

420 Environmental Studies

The Consultant will prepare an Environmental Overview section to include in the DCR. The Consultant will review relevant background materials and GIS data and mapping sources relevant to the environmental resources in the project area.

The Consultant will prepare a summary of the environmental regulatory framework applicable to the project, including:

- Federal, state, and local environmental regulations potentially applicable to roadway development
- Anticipated Permitting requirements
- Agency coordination

The Consultant will also summarize known environmental resources, data gaps, and anticipated considerations for future project phases for the following resources:

- Biological resources (including wildlife movement and connectivity)
- Water resources (Waters of the U.S. and floodplains)
- Cultural and historic resources
- Noise considerations relative to existing and planned land uses
- Air quality
- Hazardous materials and contamination

Deliverables

- Draft and Final Environmental Overview section of the DCR

425 Public Information Meetings and Public Hearings

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 Utilities and Railroads

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

456 Bridge Selection Report

An Initial Bridge Selection Report shall be in accordance with the DSWT.

461 Traffic Engineering Study

A Traffic Report shall be in accordance with the DSWT

471 Right-of-Way Requirements Determination

Right of way requirements will be determined by the Consultant.

480 Cost Estimates

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

495 Electronic Design Data Delivery

Design information shall be prepared in accordance with the requirements of the DSWT.

Visualization

The study Consultant shall provide a visualization, or simulation, of the preferred alternative. An aerial should be draped over the project model, and project features assigned suitable colors for the purpose of visualizing the completed project. The proposed right-of-way should be shown. The visualization shall include 360-degree views from any point within the model and a bird's eye fly-through.

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. As-Built 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

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

1040 Study Documentation

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

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

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

Design notes and calculations shall include, but are not necessarily limited to, the following data:

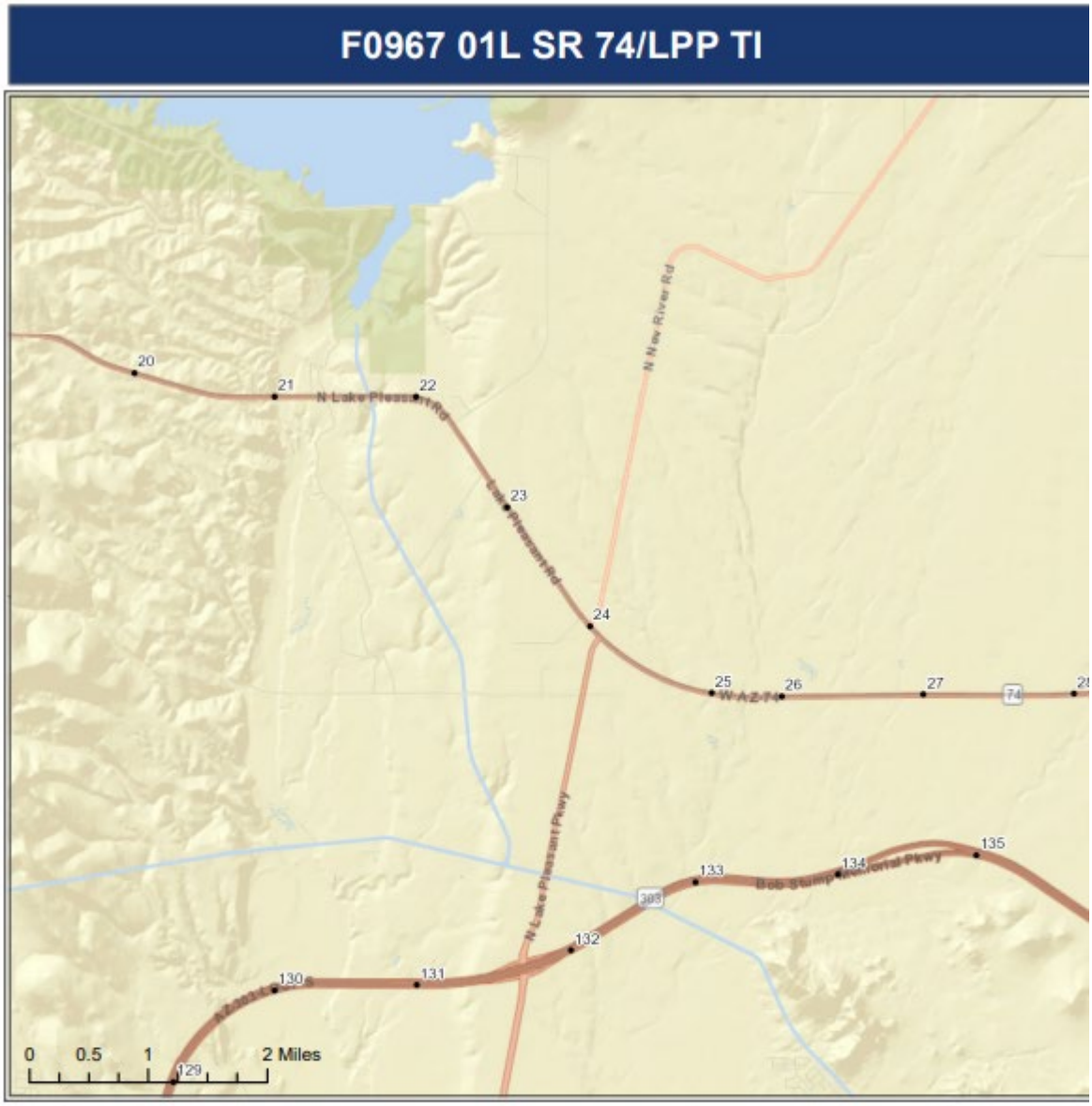
1. Field survey notes and computations.
2. Design criteria used for the project.
3. Geometric design calculations for horizontal alignment.
4. Vertical geometry calculations.
5. Right-of-way calculations (including easements).
6. Drainage computations and reports.
7. Bridge and culvert selection evaluation documentation to include hydrology and hydraulic computations and reports and Scour Evaluation Technical memorandums for existing cross drainage structures.
8. Earthwork calculations not included in the quantity computation booklet.
9. Calculations showing cost comparisons of various alternatives considered.
10. Calculations of quantities.
11. Documentation of meetings, telephone conversations, and site visits.

1060 Reviews and Submittals

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.

APPENDIX A: SITE AND LOCATION MAP



SR 74, Lake Pleasant Parkway TI
SR 74 @ Lake Pleasant Parkway
State Route 74
NFA
Central District/SR 74/F0967



APPENDIX B: RESPONSIBILITY CHART

Project Scope of Work (SOW) is defined as the individual sections of this document and Appendix C. Any deviations from the listed activities shall be discussed with and approved by the ADOT PM prior to contracting for the work.

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

APPENDIX B: RESPONSIBILITY CHART

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

APPENDIX B: RESPONSIBILITY CHART

		ITEM	SCOPE SECTION	CONSULTANT	ADOT	OTHERS
G		**CONSTRUCTION PLANS**	N/A	N/A		
	1.	Plot Design Survey	N/A	N/A		
	2.	Basic Roadway Plans Preparation	N/A	N/A		
	3.	Drainage Design	N/A	N/A		
	4.	Bridge Design	N/A	N/A		
	5.	Roadway Lighting Plans	N/A	N/A		
	6	Traffic Signal Plans	N/A	N/A		
	7	Signing & Pavement Marking Plans	N/A	N/A		
	8	Utility Adjustment Plans	N/A	N/A		
	9	Maintenance of Traffic Plans	N/A	N/A		
	10	Landscape Architectural Design	N/A	N/A		
H		**RISK (ECONOMIC) ASSESSMENT**	N/A	N/A		
	1.	Prepare Risk (Economic) Assessment	N/A	N/A		
I		**SECTION 404 PERMIT**	N/A			
	1.	Coordinate with Permitting Agencies		X		
	2.	Prepare Permit Application				
		a. Forms		X		
		b. Sketches		X		
		c. Hydraulic Calculations		X		
		d. Supporting Documents		X		
	3.	Process Permit Application			X	
J		**UTILITY & RAILROAD**	SOW			
	1.	Utilities Identification/Location		X	X	
	2.	Submit Railroad Data	N/A	N/A		
	3.	Conduct Utility Predesign Conference	N/A	N/A		
	4.	Secure Utility Adjustment Plans	N/A	N/A		
	5.	Secure Utility Relocation Schedule	N/A	N/A		
	6.	Secure Utility Agreements	N/A	N/A		
	7.	Process Relocation Schedule & Agreement	N/A	N/A		
	8.	Clearance Letter	N/A	N/A		
	9.	Prior Rights Information			X	
K		**COST ESTIMATES**	SOW			
	1.	Prepare Construction Cost Estimates		X		
	2.	Prepare R/W Cost Estimates		X	X	
L		**REVIEWS AND SUBMITTALS**	1060 Appendix C			
	1.	All Reports and Submittals		X	X	X

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

GENERAL

Purpose

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

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

It is also understood that Location/Design Concept Studies and Environmental Studies are "discovery processes" and that modifications to these procedures may be necessary during the development of the project. Additionally, not all listed steps are required on every project. Modifications to the actual scope and deliverables of each project can be made with the joint agreement of the Consultant and ADOT.

Policy

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

Local, State and Federal Permits

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

Temporary Entry Documents

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

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

Surveys and Mapping

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

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

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

Surveys will include, as applicable:

a. Base line control
b. Control for aerial mapping
c. Right-of-way surveys
    Section Corner and Land Ties
    Existing Right of Way Monumentation
    Staking of New Right of Way for Appraisal Purposes New Right of Way Monumentation
    A "Results of Survey" map
d. Topographic surveys
e. Roadway drainage surveys
f. Utility locating - set control points with coordinates and elevations at five hundred (500) ft. maximum intervals adjacent to the road and along the utility lines (See Section 430)
g. Centerline staking, centerline of each roadway, as applicable for field review (lath stakes at PC, PI and PT's, at approximate two hundred (200) ft. intervals, and at selected locations if required to define the approximate limits of construction)
h. Centerline and edge elevations of existing pavement at fifty (50) ft. intervals
i. Ties to Arizona State Plane Coordinates
j. Final alignment staking
k. Crossroads' tie-ins, turnouts, and driveways
l. Above ground utilities

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

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

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

The consultant may be responsible for delineating the proposed new centerline, right-of-way, and/or toe of slope to assist in the evaluation of the proposed alternates, utility locations, and to assist with any required archaeological testing.
Completed surveys and maps shall be recorded in an acceptable format. Upon final approval, the books, maps and CADD files, and other diskettes, shall be submitted to the ADOT Project Manager.

Utilities and Railroads

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

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

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

Public Information Meetings & Hearing

Public Information Meetings

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

Public Hearing

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

Meeting Notifications

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

Pre-review of Submittals

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

Order of Events

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

Initial Site Visit Notice
to Proceed
Project Team Meetings (Kickoff & Progress) Data
Collection
- Problem Statement, Project Assessment, Previous Studies Program
- Data
- Other Data
- Video Tape Project

Photogrammetry, Surveys, Mapping, Digital Terrain Modeling Reports
- Public Involvement Plan
- AASHTO Controlling Design Criteria Report Project Scoping
- Project Team Scoping Meeting
- Agency Scoping Meeting Scoping
- Field Review
- Public Scoping Meeting Project
- Scoping Report

Alternatives Selection (Developed during preparation of the Feasibility Report) Project Team
- Meeting (Alternatives Selection)
- Agency Information Meeting (Alternatives Selection) Public
- Information Meeting (Alternatives Selection) Feasibility Report
- (Including Environmental Overview)

Reports
- Preliminary Geotechnical Report
- Preliminary Drainage Report
- Preliminary Traffic Report Biological
- Evaluation Report Bridge/Structure
- Concept Report Cultural Resources
- Report
- Air Quality and Noise Analysis Report
- Hazardous Materials Survey Report Visual
- Impact Analysis
- Identify Preferred Alternative
- Project Team Meeting (Preferred Alternative) Agency
- Information Meeting (Preferred Alternative) Public
- Information Meeting (Preferred Alternative)

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

Resolution Documentation for Draft Environmental Document
Reports
Corridor Implementation Plan
Change of Access Report
Final AASHTO Controlling Design Criteria Report and Request for Design Exceptions and Deviations
Final Location/Design Concept Report (Concurrent with Final Environmental Document) Final Environmental Document (Concurrent with Final Location/Design Concept Report) Document Printing and Distribution.

INITIAL SITE VISIT

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

NOTICE TO PROCEED

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

PROJECT TEAM MEETINGS (KICKOFF & PROGRESS)

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

At minimum, the following representatives shall be invited to participate in the meeting:

- ADOT
  - Project Management Group Section
    - Manager Project Manager
  - Environmental & Planning Group Project
    - Representative
  - Statewide Project Management
    - Project Manager (Future)
  - District Engineer
  - District Maintenance Engineer Specialty
  - Disciplines as appropriate
    - Roadway Design Traffic
    - Design Drainage Design
    - Bridge Design
    - Geotechnical Design
  - Communications and Community Partnerships as appropriate MPO's;
  - Maricopa Association of Governments (MAG) and
    - Central Arizona Association of Governments (CAAG)
- Consultant
  - Project Manager Project
  - Engineer Environmental
  - Planner Specialty
  - Disciplines
- Sub-consultants
- Agency Representatives
  - FHWA
  - Federal
    - Forest Service
    - Bureau of Land Management Fish and Wildlife
  - State
    - State Land Department
    - Department of Public Safety
  - County City
  - Indian Communities

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

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

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

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

DATA COLLECTION

Problem Statement, Project Assessment, Previous Studies

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

Program Data

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

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

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

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

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

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

Other Data:

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

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

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

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

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

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

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

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

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

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

Obtain additional property ownership information from County Assessors maps.

Obtain available utility plans and information.

Obtain any other available mapping such as County Highway maps.

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

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

Video Tape Project

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

PHOTOGRAMMETRY, SURVEYS, MAPPING, DIGITAL TERRAIN MODELING

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

REPORTS

Public Involvement Plan

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

The Public Involvement Plan will be submitted within 60 days of "Notice to Proceed." This effort will be coordinated with and approved by the Project Manager and Environmental & Planning Group and Communications and Community Partnerships.

The Consultant shall provide staff and/or materials for public information meetings and public hearings. The Consultant shall schedule a strategy meeting at least two months prior to any public meeting with the Project Manager, ADOT Environmental & Planning Group, ADOT Communications and Public Involvement, and any necessary sub-consultants or participants. The purpose of this meeting will be to determine meeting format, necessary graphics and to identify the roles of all participants.

The Consultant shall prepare content for meeting advertisements and place and pay for the ads. ADOT Communications and Public Involvement will be responsible for laying out advertisements. The Consultant will prepare content for postcards and ADOT will be responsible for laying out the postcards. ADOT will prepare content for the project website and fact sheet. The Consultant shall secure the venue and any needed equipment (A/V etc.), liability insurance, as well as securing interpreters and court reporters at the public hearing. The Consultant will conduct the four factor Limited English Proficiency (LEP) analysis and provide all needed verbal and written translation.

ADOT will create and maintain the project public stakeholder contact list and the Consultant will maintain comment/response log, with ADOT staff to assist with responses.

Initial AASHTO Controlling Design Criteria Report

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

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

Using information developed in the Initial AASHTO Controlling Design Criteria Report, traffic accident data furnished by ADOT Traffic Group, and other available information, the consultant shall evaluate existing design features which do not comply with AASHTO design criteria and incorporate design modifications into the recommended roadway alternative as appropriate.

PROJECT SCOPING

Project Team Scoping Meeting

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

Identify participants
Review graphics and exhibits
Review possible questions and answers

Identify strategies
Prepare Meeting Advertisement

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

Agency Scoping Meeting

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

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

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

As alternates are generated it may be necessary to meet with the different agencies to clarify and/or refine their concerns.
The following is a general list of agencies that may receive coordination letters for the project:

All ADOT Disciplines

Bureau of Land Management
Fish and Wildlife Service (for federal projects) Arizona State
Land Department
Arizona Game and Fish Department (AGFD) Arizona
Department of Environmental Quality Arizona Department of
Water Resources
Arizona Commission of Agriculture and Horticulture (ACAH) Arizona
Department of Public Safety
Relevant City or County engineer Relevant City or
County planner
Relevant Council of Government Association (COG) Relevant utility
companies
Irrigation or water user's associations
District flood control office (may be a separate function or part of a local government's engineering department)
Resident's or homeowner's associations
Supervisor, Research Branch, EPG (for air and noise evaluation) Archaeologist
EPG (for cultural resources survey)
ADOT Forest Service Coordinator, Roadside Development Section

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

Please note, any coordination by the consultant for environmental purposes, other than a general scoping letter or invitation to the agency scoping meeting, must first be coordinated with EPG. The consultant shall not call any meetings with any agency without first coordinating with EPG, or else as specifically advised on what can be discussed if the consultant does the coordination.

Scoping Field Review

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

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

input on issues, concerns and opportunities.

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

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

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

Public Scoping Meeting

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

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

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

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

Project Scoping Re port

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

ALTERNATIVES SELECTION

Project Team Meeting (Alternatives Selection)

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

Agency Information Meeting (Alternatives Selection)

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

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

Public Information Meeting (Alternatives Selection)

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

Alternatives Selection – Feasibility Report (Including Environmental Overview)

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

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

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

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

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

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

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

The Feasibility Report shall contain the following: Executive
Summary
Alternatives Graphics
Evaluation Matrix
Minutes from, or a summary of:
Alternatives Meeting Agency
Information Meeting Public
Information Meeting
Responses to Public Concerns
Recommendations

The Report shall be distributed to all individuals who will ultimately receive the Location/Design Concept Report for consensus on recommendations. Comments disagreeing with the recommendations will be evaluated by the Project Team and responded to. If comments result in modifications of recommendations, a letter documenting the recommended change will be circulated for concurrence. If substantial changes are made over what was presented to the public, it may be necessary to have another informational meeting prior to proceeding with the Initial Location/Design Concept Report.

REPORTS

Preliminary Geotechnical Assessment Report

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

Preliminary Drainage Report

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

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

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

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

Existing drainage facilities shall be analyzed for adequacy.

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

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

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

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

Bridge/Structure Concept Report

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

Preliminary Traffic Report

General

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

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

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

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

Signals and Lighting

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

reflected in the design concepts developed by the Consultant.

Biological Evaluation Report

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

Cultural Resources Report

Cultural Resources Literature Search and Survey

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

Archaeological Testing and Data Recovery

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

Air Quality and Noise Analysis Reports

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

Hazardous Materials Survey Report

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

Visual Impact Analysis

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

IDENTIFY PREFERRED ALTERNATIVE

Project Team Meeting (Preferred Alternative)

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

Agency Information Meeting (Preferred Alternative)

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

Public Information Meeting (Preferred Alternative)

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

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

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

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

Cover Sheet

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

Title Page

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

Table of Contents Executive

Summary

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

List of Figures Introduction

Foreword

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

Need for Project

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

Project Objectives

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

Characteristics of the Corridor

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

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

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

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

Description of the Project

Include a complete description of the proposed work for thew recommended alternate only.

The following data shall be included in the description:

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

Location and Vicinity Maps.

Traffic and Accident Data

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

Traffic Analysis

Source of Data

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

Origin-Destination Study

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

Traffic Data

The Average Daily Traffic (ADT) Volumes, in vehicles per day, shall be listed. The volumes for both the construction and design years shall be listed.

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

Traffic Operational Analysis

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

Accident Analysis

Source of Data

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

Accident Data

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

Review of Accident Data

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

Location Analysis

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

Introduction

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

Description of Alternative Corridors

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

Evaluation of Alternative Corridors

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

Conclusions

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

Design Concept Alternatives

This chapter shall contain the following sections: Introduction

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

Design Concept Alternatives Considered and Discontinued

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

Design Concept Alternatives Studied

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

Evaluation of Alternatives

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

Conclusions

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

Major Design Features of the Preferred Alternative This chapter shall contain the following sections

Introduction

This section shall describe the purpose of this chapter Design

Controls

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

Project Design Year
Design Speed(s)
Geometrics
Slope Standards
Superelevation
Maximum Degree of Curve
Maximum Grade
Typical Section
Roadway Width Lane
Width Shoulder
Width
Type of Access Control
Right-of-Way Width

Horizontal and Vertical Alignments

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

Access

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

Right-of-Way

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

Drainage

This section shall reference and summarize the information presented in the Preliminary Drainage Report and shall include a description of the drainage impacts associated with the preferred alternative, and a description of the proposed improvements. It shall document existing drainage conditions on parcels upstream and downstream of the proposed roadway improvements. Upstream and downstream impacts caused by proposed drainage modifications shall be identified and discussed. Drainage solutions, which do not negatively impact existing conditions, shall be provided. This section shall include a summary of hydrologic data and a tentative drainage layout for cross-drainage and tentative structure sizes. Any drainage facility improvements proposed for the project

- cut ditches, channels, storm drains, catch basins, culverts, bank protection, scour protection, channel reconstruction, etc. - shall be identified and described. Requirements for special design details shall be identified. If a drainage study is needed for the project, this fact shall be noted and the drainage work to be addressed by the proposed study shall be described.

Flood-plain Considerations

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

Section 404 of the Clean Water Act

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

AZPDES Permit:

This section shall contain the statement; “Any construction project that will disturb one

(1) or more acres of land area will require an Arizona Pollutant Discharge Elimination Systems (AZPDES) general permit as directed by Section 402(p) of the Clean Water Act.” The Consultant shall identify the need for any such permits

Geotechnical

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

Earthwork

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

Constructability and Traffic Control

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

Intersections

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

Utilities

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

Structures

The Consultant will determine the need for new and/or reconstructed structures on the project. The consultant shall be fully knowledgeable of bridge types and structural requirements for railroads, traffic interchanges, water crossings, and walls. The Consultant shall recommend alternative structures and structure depths to the extent necessary for development of roadway concepts. A Bridge Concept Report to identify Type, size, and location (T.S. & L.'s) is required for preliminary cost comparisons and as a part of the study.

Pavement Design

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

Construction Water Sources

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

Social, Economic and Environmental Considerations

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

Environmental Mitigation Requirements

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

AASHTO Controlling Design Criteria

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

Introduction

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

Lane and Shoulder Widths

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

Vertical Alignment and Stopping Sight Distance

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

Horizontal Alignment and Stopping Sight Distance

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

Design Speed

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

Grades

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

Cross Slopes

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

Vertical Clearance

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

Bridge Structures

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

Other Considerations

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

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

Itemized Cost Estimate

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

Appendices

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

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

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

Detailed Cost Estimates for Other Alternatives

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

Typical Sections

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

Plan and Profile Sheets

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

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

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

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

Upon initiation of the environmental evaluation portion of the work, the Consultant's representative, responsible for the environmental portion of the work, shall meet with ADOT Project Management Group, and Environmental & Planning Group, FHWA, BLM, Forest Service, State Land Department, Indian Reservation, and other participating agencies to discuss the project description, purpose and need, proposed methods of environmental evaluation, anticipated involvement with other agencies, report formats, etc. The consultant needs to meet with ADOT first, then set up a meeting with outside entities to discuss the project, with ADOT present as well. If directed to and/or coordinated with ADOT EPG, the Consultant, after this consultation, could directly coordinate with affected federal, state, and local agencies and identified special interest groups to discuss the proposed project and its anticipated effects; otherwise, ADOT EPG shall do this. This coordination may be in the form of letters and/or meetings as determined by the consultant in consultation with ADOT and other participating agencies. This coordination shall be held early in the development stages of the alternative selection process.

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

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

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

1. Land Use (existing and proposed)
2. Land Ownership
3. Social (includes school, churches, medical facilities, police, fire- houses, residences, relocation’s, etc.)
4. Economics (includes commercial and industrial enterprises, employment, local tax base, etc.)
5. Minority (neighborhoods, businesses, residences, etc.)
6. Natural Resources (water, lands, air, etc.)
7. Section 4(f) (parks, recreation, wildlife refuges, lakes, streams, school playgrounds, etc.)
8. Cultural Resources (includes historical and archaeological)
9. Farmlands (prime, unique, statewide importance)
10. Water Quality
11. Section 404 (dredged and fill materials)

12. Endangered Species (plant and wildlife)
13. Native Plants (State Native Plant Law)
14. Flood-plains
15. Wetlands
16. Air Quality Report
17. Noise Study Report
18. Wild and Scenic Rivers
19. Natural Areas and Trails
20. Scenic Roads and Parkways
21. Local Traffic Patterns
22. Existing and any additional right-of-way
23. Energy Usage
24. Construction Impacts (of temporary nature)
25. Pedestrian/Bicycle/Equestrian Facilities
26. Visual Qualities
27. Material Pits and Haul Roads
28. Utilities
29. Erosion Control
30. Other Modes of Transportation
31. Sole Source Aquifer
32. Hazardous Materials
33. Potential Construction Water Sources
34. Section 402(p) of the Clean Water Act

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

REVIEWS AND APPROVALS

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

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

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

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

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

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

Comment Resolution and Consensus

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

REPORTS

Implementation Plan

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

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

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

The Implementation Plan shall include:

Interim construction and timing that will

Address specific problem areas discovered during the Design Concept Study.

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

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

Cost-effective implementation.

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

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

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

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

Implementation Plan format shall be as follows:

Executive Summary

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

Implementation

Remedial Projects

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

Interim Projects

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

Reconstruction Projects

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

Project Timing

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

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

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

Individual Project Cost Estimates Agency Coordination

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

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

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

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

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

Change of Access Report (Interstate Highways)

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

The basic items of justification FHWA considers in evaluating a request for a new interchange are: Explanation as to why current

access is inadequate.

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

adequate freeway operation will not be affected by the addition.

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

Spacing:

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

Documentation:

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

or regional plan of which it is a part.

ADT current and design year; through and turning

Number of existing traffic lanes and type of highway. Probable number

of traffic lanes for the design year. Distance to and size of

communities directly served. Distances to the next interchange in each

direction.

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

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

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

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

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

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

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

AASHTO Controlling Design Criteria Report and Request for Design Exceptions

The Consultant shall, using as-built plans and a field reconnaissance, perform a complete geometric roadway inventory, and evaluate the existing roadways for compliance with AASHTO Controlling Design Criteria. The report shall be prepared utilizing the Procedural Guild for Review of the AASHTO Controlling Design Criteria on ADOT Roadways. The ADOT can provide the Consultant with an example of the current format being used to develop this type of report. The inventory shall be in report form, identifying existing design deficiencies relative to desired AASHTO design criteria including but not limited to: lane and shoulder widths, vertical and horizontal alignment, stopping sight distance, superelevation, design speed, grades, cross slope, vertical clearance, bridge width, structural capacity, bridge rail, and traffic volumes. The report shall describe how the deficiencies are to be resolved; either left as is or corrected as part of the project. Justification for non-corrective action shall be clearly documented. The consultant shall submit a justification letter in accordance with the Design Exception and Design Variance Process Guide, November 2009 to ADOT for review and approval.

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

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

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

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

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

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

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

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

Pre-approval of the Final Environmental Document by Environmental & Planning Group and Project Management Group will be required prior to submittal to FHWA, BLM, or other participating agencies.

DOCUMENT DISTRIBUTION

The consultant shall distribute reports as follows. Initial reports will be distributed electronically. Final reports may be printed or distributed electronically upon concurrence by the ADOT PM. Numbers of documents below refer to printed versions only. Upon completion of any report for distribution, the Consultant shall prepare and submit, to ADOT Project Management Group, two preliminary copies of the complete document, transmittal letter, and distribution list for pre-review. Upon receipt of comments, the Consultant shall prepare and distribute the documents for formal review. Copies of review submittals and finalized documents shall be delivered to ADOT by the Consultant and accompanied by a transmittal letter and distribution list with complete mailing addresses. All deliveries shall be by hand or overnight courier. All plans shall be half-size black and white sheets. Reviewers will be asked to submit their comments on separate comment forms. The number of copies to be distributed should be confirmed with the Project Manager prior to printing.

PUBLIC INVOLVEMENT PLAN

Communications and Community Partnerships	CCP Project Manager	3
PMG	Project Manager	2
Environmental & Planning Group	Project Environmental Planner	1

INITIAL AASHTO CONTROLLING DESIGN CRITERIA REPORT

Project Management Group	Project Manager	2

Note: Project Management Group will forward the Initial AASHTO Controlling Design Criteria Report to Traffic Group for an Accident Analysis.

PROJECT SCOPING REPORT

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

FEASIBILITY REPORT

Project Management Group	Project Manager	40

Note: The Feasibility Report will be distributed by Project Management Group. The Consultant shall furnish a distribution list with complete mailing addresses.

PRELIMINARY GEOTECHNICAL REPORT

Project Management Group	Project Manager	1
Materials Section	Geotechnical Engineer	2

PRELIMINARY DRAINAGE REPORT

Project Management Group	Project Manager	1
Roadway Drainage Section	Drainage Engineer	2

PRELIMINARY TRAFFIC REPORT

Project Management Group	Project Manager	1
Traffic Engineering Section	Project Traffic Engineer	2

BRIDGE CONCEPT REPORT

Project Management Group	Project Manager	1
Bridge Group	Bridge Engineer	2

ORIGIN-DESTINATION STUDY

Project Management Group	Project Manager	1
Traffic Engineering Section	Project Traffic Engineer	2

BIOLOGICAL EVALUATION REPORT

Project Management Group	Project Manager	1
Environmental & Planning Group	Project Environmental Planner	2

CULTURAL RESOURCES REPORT

Project Management Group	Project Manager	1
Environmental & Planning Group	Project Environmental Planner	2

AIR QUALITY REPORT

Project Management Group	Project Manager	1
Environmental & Planning Group	Project Environmental Planner	2

NOISE ANALYSIS REPORT

Project Management Group	Project Manager	1
Environmental & Planning Group	Project Environmental Planner	2

HAZARDOUS MATERIALS SURVEY REPORT

Project Management Group	Project Manager	1
Environmental & Planning Group	Project Environmental Planner	2

VISUAL IMPACT ANALYSIS

Project Management Group	Project Manager	1
Environmental & Planning Group	Project Environmental Planner	2

INITIAL LOCATION/DESIGN CONCEPT REPORT

Project Management Group	Project Manager	40

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

DRAFT ENVIRONMENTAL DOCUMENT

Project Management Group	Project Manager	1
Environmental & Planning Group	Project Environmental Planner	7

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

INITIAL IMPLEMENTATION PLAN

Project Management Group	Project Manager	15

Note: The Initial Implementation Plan will be distributed by Project Management Group. The Consultant shall furnish a distribution list with complete mailing addresses.

CHANGE OF ACCESS REPORT

Project Management Group	Project Manager	2

FINAL AASHTO CONTROLLING DESIGN CRITERIA REPORT AND REQUEST FOR DESIGN EXCEPTIONS

Project Management Group	Project Manager	2

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

FINAL LOCATION/DESIGN CONCEPT REPORT

Project Management Group	Project Manager	40

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

ENVIRONMENTAL DOCUMENT

Project Management Group	Project Manager	10
Environmental & Planning Group	Manager	20

Note: The Environmental Document will be distributed by Environmental & Planning Group and Project Management Group. The Consultant shall furnish a distribution list with complete mailing addresses.

APPENDIX D: EVALUATION SCHEDULE

PHASING AND EVALUATION SCHEDULE FOR DESIGN PROJECTS

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

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

RECOMMENDED EVALUATION FILING DATES

Stage II 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 Constructibility (Partnering Close-out form will be use d)	**5 DAYS after construction is complete and project has been accepted.**

Note s: 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
Designer
Designer-Sr.
Engineer
Engineer-Sr.
Project Engineer
Project Engineer-Sr.
GIS Analyst / Technician
Project Principal
Project Manager
Air Quality Specialist
Archeologist
Architectural Historian / Historian
Biologist
Biologist – Sr.
Cultural Principal Investigator
Cultural Resource/
Archaeological Technician
Environmental Coordinator/Program Manager
Environmental Planner/Scientist
HazMat Specialist
Noise Specialist
Aerial Photographer
Photogrammetrist
Registered Land Surveyor
Survey Technician
Survey Party Chief

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

ARIZONA
— DEPARTMENT OF —
TRANSPORTATION

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 III of the Americans with Disabilities Act, which prohibit discrimination on the basis of disability in the operation of public entities, public and private transportation systems, places of public accommodation, and certain testing entities (42 U.S.C. §§ 12131-12189) as implemented by Department of Transportation regulations at 49 C.F.R. parts 37 and 38;
- The Federal Aviation Administration's Non-discrimination statute (49 U.S.C. § 47123) (prohibits discrimination on the basis of race, color, national origin, and sex);
- Executive Order 12898, Federal Actions to Address Environmental Justice in Minority Populations and Low-Income Populations, which ensures discrimination against minority populations by discouraging programs, policies, and activities with disproportionately high and adverse human health or environmental *effects* on minority and low-income populations;
- Executive Order 13166, Improving Access to Services for Persons with Limited English Proficiency, and resulting agency guidance, national origin discrimination includes discrimination because of limited English proficiency (LEP). To ensure compliance with Title VI, you must take reasonable steps to ensure that LEP persons have meaningful access to your programs (70 Fed. Reg. at 74087 to 74100);
- Title IX of the Education Amendments of 1972, as amended, which prohibits you from discriminating because of sex in education programs or activities (20 U.S.C. 1687 et. seq).