

ARIZONA DEPARTMENT OF TRANSPORTATION
ENGINEERING CONSULTANTS SECTION (ECS)

LOCAL PUBLIC AGENCY (LPA) APPLICATION REVIEW CHECKLIST

Please check one: CERTIFICATION ACCEPTANCE (CA) RE-CERTIFICATION ACCEPTANCE SELF-ADMINISTERED (SA)

Local Public Agency: _____ County: _____ Project Description: _____

Document to be submitted	Local Public Agency	Attach Document and indicate the page #, if applicable	LPA Initial & Date	Reference	ECS	ECS Review (Initial/Date)
A. ADMINISTRATIVE (<i>Documents to be submitted before notifying ADOT Local Government Section [LGS]</i>)						
1. Is the LPA adequately staffed to administer the project?	If yes , complete the Checklist. If no , ADOT will <u>not</u> accept the application.					
2. Written request for approval on federally-funded project	Prepare and submit a written request for approval on Federal-aid projects to the appropriate Section Managers listed below: ADOT Sections: FAHP - Local Gov't Section (LGS); HSIP - Traffic Safety Section (TSS); or TE - Transportation Enhancement			1) Contact LGS for Federal-Aid Hwy Pgm (FAHP) form letter 2) Contact Traffic Safety Section for Hwy Safety Improvement Pgm (HSIP) for form letter 3) Contact TE for Transp Enhancement (TE) for form letter	Perform application review upon receipt of notification from ADOT Section Mgr (LGS/TSS/TE)	
3. Public Notice	Prepare and submit the Public Notice solicitation with Request for Qualifications (RFQs) and/or Statement of Qualifications (SOQs) using newspaper of general circulation.			ARS §34-201(A)	Review Public Notice	
4. RFQ / SOQ	Prepare and submit RFQs and/or SOQs with Public Notice.				Review RFQ / SOQ	
5. Contract Boilerplate	Prepare and submit the contract boilerplate with Public Notice according to LPA's, ADOT's and FHWA's requirements.				Review contract boilerplate	
6. LPA's Procurement Procedures, Procurement Ordinance	Submit the following: • LPA Procedures • LPA Ordinance • Other _____			ADOT ECS Contract Award and Administration Rules	Review procurement procedures, ordinance, etc.	
7. Tribal Employment Rights Ordinance (TERO)	Submit tribal governmental agreements or requirements, if any.			Applies to tribal government applications only.	Review TERO documents	

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8. Selection Panel	Submit a list of selection panel members w/ their field of expertise & number of years of experience.				Review selection panel members qualifications & documentation	
9. LPA Review Checklist	Complete Checklist's sections A and B before notifying ADOT Sections.				Review completed Checklist with submitted docs	
B. QUALIFICATION-BASED SELECTION (QBS) PROCESS						
1. Pre-Qualification	Pre-qualify firms and establish a mailing list of pre-qualified firms to perform professional architectural or engineering (A/E) services. If N/A, must use ECS Prequalification List			ADOT ECS Contract Award and Administration Rules, Section 2.01	Determine if LPA has firm Pre-qual program. If no, must use ECS Pre-qual list	
2. Participation by Disadvantaged Business Enterprises (DBE)	If using Federal-aid funds, submit DBE Goal Worksheet to ADOT Civil Rights Office (CRO). Follow information detailed in this link (https://adot.dbesystem.com/frontend/welcome.asp). Attach the DBE goal determination letter received from CRO with the Public Notice.			49 CFR Part 26	Check DBE goals and tracking process.	
3. Approval to Advertise	Obtain preliminary authorization to advertise by contacting the appropriate ADOT Section Manager (LGS for FAHP ; TSS for HISP ; or TE) to ensure project is eligible for Federal reimbursement.			<i>ADOT Local Government Projects Manual - October 2004, Section 210</i>	Review LPA's procedures, guidelines, policies, etc.	
4. Advertisement (Public Notice)	Publish two notices requesting RFQ / SOQ proposal submittals in a single or multiple newspapers within Arizona with a <u>cumulative</u> general circulation of not less than 50K subscribers to ensure maximum free and open competition. Public Notice shall be placed in the newspaper's Legal Advertising section -- not less than six or more than 10 calendar days apart. Post the Notice on LPA's website, if applicable.			ADOT ECS Contract Award and Administration Rules, Section 2.05 ARS §34-201(A)	Review LPA's procedures, guidelines, policies, etc.	
5. RFQ / SOQ	Prepare an RFQ / SOQ which shall include language such as: a. Intent of advertisement – Request			<i>ADOT Local Government Projects Manual - October 2004, Section 210</i>	Review LPA's procedures, guidelines, policies,	

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	for LPA services, scope of work, RFQ / SOQ due date, and method of submission.			23 CFR 172.9(a)(2)	etc.	
	b. If SOQ addendums / amendments are necessary, information must be provided to all firms that obtain copy of RFQ / SOQ Package. Signed addendums / amendments shall be included in RFQ / SOQ submittals.			ADOT ECS Contract Award and Administration Rules, Section 2.07	Review LPA's procedures, guidelines, policies, etc.	
	c. Evaluation criteria and weighing factors are identified and defined. Ensure that Qualification-based selection (QBS) process does <u>not</u> allow costs as an evaluation criterion.			23 CFR Part 172.9(a)(1)	Review LPA's procedures, guidelines, policies, etc.	
	d. Specify if Oral Interview will be conducted.			ADOT ECS Contract Award and Administration Rules, Section 2.12	Review LPA's procedures, guidelines, policies	
6. Proposal Evaluation	Determine if RFQ / SOQ submittals comply with the RFQ / SOQ requirements (i.e., format, page limitations, etc.)			ADOT Local Government Projects Manual - October 2004, Section 210	Review documents	
	Proposals are evaluated by Selection Panel of at least three (3) qualified members who are familiar with the project and intent of the RFQ / SOQ. Panel members shall complete and comply with the Confidentiality and Conflict of Interest in Panel Packet.			ADOT ECS Contract Award and Administration Rules, Section 2.11	Review LPA's procedures, guidelines, policies, etc.	
	Evaluations shall be based on RFQ / SOQ evaluation criteria.			23 CFR Part 172.9(a)(1)	Review LPA's procedures, guidelines, policies	
7. Selection Process and Documents	Compile the Panel scores to arrive at average scores for each proposer. The highest ranked firm shall be considered the most qualified (overall ranking of 70% or above). Firms' average score of less than 70% is not considered.			ADOT ECS Contract Award and Administration Rules, Section 2.12	Review LPA's procedures, guidelines, policies, etc.	
	Obtain approval to initiate negotiations with the most qualified firm. See ADOT			ADOT ECS Contract Award and Administration Rules,	Review LPA's procedures,	

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	ECS Rules for contract negotiations. Negotiation must follow 40 USC 1101 <i>et seq.</i>			Section 3.01; 40 USC 1101	guidelines, policies, etc.	
	Verify and document Excluded Party List System (EPLS) (www.epls.gov) to ensure that prime Consultant and its Subconsultant(s) are not currently debarred, suspended and/or excluded from participation in Federal programs. Have firms certify.			ADOT ECS Contract Award and Administration Rules , Section 2.01(2)	Review LPA's procedures, guidelines, policies, etc.	
	Proceed to the next highest ranked firm if contract negotiations are not agreed with the highest ranked firm.			ADOT ECS Contract Award and Administration Rules , Section 3.04	Review LPA's procedures, guidelines, policies	
C. CONTRACT PROVISIONS						
1. Federal Debarment Suspension	See ADOT Contract Section 4.30			FAR Subpart 9.4 – Debarment, Suspension and Ineligibility	Review the contract boilerplate	
2. Anti-Lobbying	See ADOT Contract Section 4.39			31 USC §1352 and FAR Subpart 3.8	Review the contract boilerplate	
3. Records Retention, Maintenance & Audit	See ADOT Contract Section 4.41			ARS §35-214	Review the contract boilerplate	
4. Nondiscrimination	See ADOT Contract Section 4.45			49 CFR Part 26 , Executive Order 99-4, Executive Order 11246 and 11375, 41 CFR Part 60 49 CFR Part 21	Review the contract boilerplate	
5. Affirmative Action	See ADOT Contract Section 4.46			23 CFR 230.311	Review the contract boilerplate	
6. Participation by Disadvantaged Business Enterprises (DBE)	See ADOT Contract Section 4.47			49 CFR Part 26	Review the contract boilerplate	
7. Counting DBE Participation	See ADOT Contract Section 4.48			49 CFR Part 26	Review the contract boilerplate	

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8. Environmental Protection (Contract > \$100K)	See ADOT Contract Section 4.49			Section 306 of the Clean Air Act (42 USC 1857 (h), §508 of the Clean Water Act (33 USC 1368), Executive Order 11738, and EPA regulations	Review the contract boilerplate	
9. Energy Conservation	See ADOT Contract Section 4.50				Review the contract boilerplate	
10. Federal Immigration and Nationality Act	See ADOT Contract Section 4.55			Immigration Reform and Control Act of 1986; ARS §41-4401 & ARS §23-214(A)	Review the contract boilerplate	
11. Scrutinized Business Operations	See ADOT Contract Section 4.56				Review the contract boilerplate	
12. Pandemic Contractual Performance	See ADOT Contract Section 4.57				Review the contract boilerplate	
13. Performance Evaluation	See ADOT Contract Section 4.58				Review the contract boilerplate	

D. SIGNATURE PAGE

Local Public Agency:

I hereby certify that the above mentioned Administration Operations contain the provisions set forth in this checklist.

Signature

Position Title

Printed Name

Date

Engineering Consultants Section (ECS) Administrator/Designee:

I hereby certify that the above mentioned Administration Operations contain the provisions set forth in this checklist.

Signature

Position Title

Printed Name

Date

Local Government Section Administrator/Designee:

I hereby certify that the checklist is complete as indicated.

Signature

Position Title

Printed Name

Date