ARIZONA DEPARTMENT OF TRANSPORTATION

INFRASTRUCTURE DELIVERY AND OPERATIONS

ENGINEERING CONSULTANTS SECTION

CONTRACT SERIES: 2022-006

PROJECT DEVELOPMENT ON-CALL

REQUEST FOR STATEMENTS OF INTEREST

Road Safety Assessment on Route 66 & Steves Blvd to Hwy 89 & Marketplace Dr

ADOT Project # M7224 01X

June, 2024

Revised: 02/21/2023

Request for Statement of Interest

The Arizona Department of Transportation (ADOT) requests Statements of Interest in response to the following request.

ADOT On-Call Contract Name:	**Project Development On-Call**
ADOT On-Call Contract Series:	**2022-006**
PROJECT SUMMARY INFORMATION	
Project	
Project Name:	**Road Safety Assessment on Route 66 & Steves Blvd to Hwy 89 & Marketplace Dr**
Project (TRACS) Number:	**M722401X**
Federal-Aid Number:	**999-M(631)Z**
District:	**Northcentral**
Route/MP:	**Route 66 & Steves Blvd to Hwy 89 & Marketplace Dr Flagstaff**
Funding Source:	**FHWA**
Construction Funding FY:	
ADOT Project Manager Information	
Project Manager Name:	**Daniel Oldham**
Technical Group	**TSMO - Operational and Traffic Safety**
Phone Number:	**602-712-4246**
Email Address:	**doldham@azdot.gov**
Local Government Contact (if applicable)	
Local Government Agency:	
Local Government Contact:	
Phone Number:	
Email Address:	
Solicitation Information	
Date Posted on External Upcoming Advertisement List	6/3/24
Submission Instructions:	Electronic Submittal is required (PDF). Submit an electronic PDF file of your firm's SOI to ECSSOQ@azdot.gov by 11:00 a.m. on the Submission Deadline Date. SOI submissions will not be accepted after the 11:00 a.m. deadline. Hard copies will not be accepted.
Project Features:	
A Road Safety Assessment (RSA) is a formal safety performance examination of an existing or future road or intersection by an independent multidisciplinary team of road safety, traffic operations and road designs experts. It qualitatively estimates and reports on potential road safety issues and identifies opportunities to eliminate or mitigate concerns. The RSA team studies the location from a variety of perspectives, uncovering road safety issues and identifying opportunities for safety improvements. This RSA project will conduct an RSA at Route 66 & Steves Blvd to Hwy 89 & Marketplace Dr. The work includes evaluation of possible low-cost/short term and higher cost/longer term countermeasures. safety countermeasures to improve safety and capacity. FHWA Road Safety Audit Guidelines should be used when conducting this RSA.	
Scope of Work:	
Road Safety Assessment of Route 66 & Steves Blvd to Hwy 89 & Marketplace Dr. Road Safety Assessment (RSA) will include an analysis of crash characteristics, current operational data (speed and volume), and planned construction and projected future operational characteristics. Work includes a field review of the RSA location. This RSA is interested in demonstrating cause-and-effect relationships between proposed solutions and expected outcomes. As such, the intent of these RSAs is to develop proposed solutions for documented vehicle crash histories that can be translated directly into future Highway Safety Improvement Program (HSIP) or state-funded projects. The final report will include: ● **Recommendations for possible low-cost/short-term and higher-cost/longer-term countermeasures to the road characteristics to improve safety and operations.** ● **Crashes likely affected by the implementation of these changes** ● **Crash modification factors (CMF) from FHWA CMF Clearinghouse or approximate CMFs based on peer-reviewed literature for the proposed changes - If available** ● **Concept-level design estimates of the changes** ● **Concept level benefit-cost ratios of proposed changes**	

- **Consideration of higher cost/long-term options**

Recommendations for possible low-cost, near-term changes to the road characteristics to improve safety and operations. Crashes that are likely affected by the implementation of these changes. Crash modification factors (CMF) from FHWA CMF Clearinghouse or approximate CMFs based on peer-reviewed literature for the proposed changes. Concept-level design estimates of the changes. Concept level benefit-cost ratios of proposed changes.

REQUEST FOR QUALIFICATIONS
FOR CONSULTANTS INTERESTED IN
Road Safety Assessment on Route 66 & Steves Blvd to Hwy 89 & Marketplace Dr

ECS CONTRACT NUMBER: 2022-006
ADOT PROJECT NUMBER: M7224 01X

SECTION I - INFORMATION TO CONSULTANTS

SOI Questions and SOI Submittal Instructions

Effective the date of the initial SOI Request, no further contact is allowed with any ADOT, FHWA and applicable local jurisdiction personnel concerning this project except for questions of an administrative or contractual nature that shall be submitted in writing to the email address below. This restriction is in effect until the selection has been announced. **There will be no Pre-Submittal Meeting associated with this solicitation.**

Questions, in writing, shall be received by ECS at the below email address until June 26, 204 at 2:00 P.M. (Arizona 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). SOI Amendments, deadline changes or any other contract information shall be posted to the ECS website (https://azdot.gov/business/engineering-consultants/advertisements/call-statements-interest). Any Amendments issued as part of this SOI package shall be signed and included by the Consultant in the SOI submittal. Failure to do so shall result in rejection of the SOI. See **Section IV and V** for further instructions. Any violation of the contact restrictions may be grounds for rejection of the Prime Consultant's SOI.

Engineering Consultants Section
Email: ECSSOQ@azdot.gov

Submit an electronic pdf file of your firm's SOI to ECSSOQ@azdot.gov by 11:00 A.M. Arizona Time on July 1, 2024. The ADOT time stamp of the email will serve as the official receipt information. No SOIs shall be accepted after the date and time specified. Hard copies of SOIs shall not be accepted.

Contract Specific Direction Regarding Standards of Conduct and Conflict of Interest

Consultants shall refer to the enclosed section of this SOI for ADOT's 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 SOI (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 Conflict of Interest) and MGT 02-3 – Consultant Participation in ADOT Contracts, which will apply to the consultant's organizational and personnel activities.

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 SOI 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.

- SOI Request posted to ECS website: June 24, 2024
- Final Questions Due: June 26, 2024 at 2:00 P.M. (Arizona Time)
- SOI Submittal Date: July 1, 2024 at 11:00 A.M. (Arizona Time)
- Estimated Selection Date: July 15, 2024

It is the expectation that all firms selected for this contract actively participate throughout the negotiation process. A firm failing to submit documentation in a timely manner or be responsive to questions, comments, or required revisions may result in failed negotiations.

NOTE: Some task orders may require funding from third parties. In these cases, NTP for a task order will be issued after the project is totally funded.

ECS CONTRACT NUMBER: 2022-006
ADOT PROJECT NUMBER: M7224 01X

SECTION II – SOI FORMAT INSTRUCTIONS

The TOTAL PAGE LIMIT is 1 pages plus the cover page of this document for the SOI submittal, therefore there will be 2 total pages submitted. All SOIs shall be submitted via email. Hard copies of SOI proposals are not accepted.

1. **Prime Consultants shall follow the applicable submittal instructions found in this document**. The SOI 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 this document, as formats for each SOI Package may vary. **Failure to follow the format as outlined in this SOI Request shall result in rejection of the submitted SOI.**

3. **Number of Pages** – Number of pages shall not exceed the page limit specified above. **Failure to follow the page limit specified in the SOI shall result in rejection of the submitted SOI. DO NOT ADD ANY ADDITIONAL PAGES, FORMS, DOCUMENTS, DIVIDER PAGES AND ATTACHMENTS THAT ARE NOT SPECIFICALLY LISTED AS REQUIRED IN THE SOI OR THE PROPOSAL SHALL 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 SOI 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. The use of standard basic fonts, such as Arial and Times New Roman, found in all Microsoft software and print drivers is highly recommended in order to avoid any formatting issues which could result in an increase in the SOI proposal page numbers after it is received online by ECS. The goal is to make the document clear and legible. Proposal scores will be adversely affected if SOIs are not legible or the font size is too small to read if printed by the Selection Panel members. ***Graphics may ONLY be used for the schedule and/or risk register.***

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 SOI.

7. **Attachments** – The SOI will require attachments and these will be included in the page count. The only attachment requested at this time is a 1-page resume of the Project Manager. Do not include any graphics or pictures on the 1-page resume of the Project Manager as the SOI will be deemed non-compliant and 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 SOI, 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.

8. **Amendments** – Any amendments issued as part of this SOI Package shall be signed and included in the SOI submittal and shall not count toward the page limit. **Failure to include all pages of the issued Amendments with a signature in the submitted SOI shall result in rejection of the SOI. Do not add additional pages, forms, documents, and attachments, including blank pages in this section that are not specifically listed or requested in the SOI, 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 emailing** the SOI. This SOI may be reviewed electronically by the Selection Panel. Adobe Professional Version 7 or above *may* be used for this purpose. As each Consultant uses a different version of Adobe, use an internet search engine or Help feature of the specific Adobe program used by the Consultant to find instructions on how to enable comments.

10. **SOI Submission**

    a. Submit the SOI proposal with the **correct** contract number. **An SOI submitted to the incorrect contract number shall result in rejection/non-acceptance of the SOI.**

b. 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 SOI 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 SOI proposal shall follow the <u>exact</u> format outlined below:**

			TOTAL
		MAXIMUM	NUMBER
	FORMAT CONTENT	**POINTS**	**OF PAGES**
COVER	**THE COVER OF THIS DOCUMENT**		1
PART A	**EVALUATION CRITERIA**	**60**	1
	1. Describe the major challenges on the project.	20	
	2. Briefly discuss any issues you believe were NOT addressed in the scoping document, or eligibility letter.	20	
	3. What creative methods can your team utilize to improve the effectiveness of this study?	20	
PART C	**AMENDMENTS** (If applicable: Required but shall <u>not</u> count toward page limit)		
	TOTALS	**60**	**2**

<u>SOI submissions failing to follow all instructions outlined above and the applicable online SOQ/SOI submittal guidelines shall be rejected. The Consultant will be notified in writing of the reason(s) for rejection but the decision cannot be protested or appealed.</u>

SECTION III – SOI FORMAT AND EVALUATION CRITERIA

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

PART A. EVALUATION CRITERIA

The qualifications and associated evaluation criteria shall begin on the **first page** of the SOI. The SOI 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. Describe the major challenges on the project.

2. Briefly discuss any issues you believe were NOT addressed in the scoping document, or eligibility letter.

3. What creative methods can your team utilize to improve the effectiveness of this study?

PART B. AMENDMENTS

Attach a signed copy of all amendments issued as part of this SOI. Amendments are not included in the page count. **Failure to include all pages of the issued Amendments with a signature in the submitted SOI shall result in the SOI being rejected.** See **Section II** 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.

SECTION IV – 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 V – 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. In addition, Consultants must further adhere to the ADOT Policy, Consultant Participation in ADOT Contracts Policy (MGT 02-3) (see ECS website for most current version of this policy), which provides guidelines for Consultant participation in design and construction contracts. These policies are 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 (SOQs/SOIs, 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 SOQ/SOI for consideration or in which they are or will be working on.

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 SOQ/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 publicly 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.

To clarify the involvement and participation of Consultant or Subconsultant engineering firms in ADOT contracts, please refer to MGT 02-3 (or as amended). 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 State Engineer, consistent with MGT 02-3. The State Engineer's decision will be final.

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.

NOTE: Efforts will be made to ensure funding is available prior to NTP, however there may be instances when NTP is delayed until funding is available.

Electronic copies of submissions submitted for individual Task Orders are the property of the Arizona Department of Transportation. The selected submission will only be made available to the prime consultants that submitted for this project on contract series (2022-006). Submissions will not be made available to other consultants or the public at any time.