

**ARIZONA DEPARTMENT OF TRANSPORTATION  
INFRASTRUCTURE DELIVERY AND OPERATIONS DIVISION  
PROJECT MANAGEMENT GROUP**

**PART B:  
  
DICTIONARY  
OF  
STANDARDIZED WORK TASKS**

**Fiscal Year 2019**

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## **PART B: DICTIONARY OF STANDARDIZED WORK TASKS**

### **SECTION 100 – GENERAL INFORMATION**

The Dictionary of Standardized Work Tasks is presented as an attachment to the Project Scope of Work (PSW). It includes a detailed description of work tasks that are common to consultant design contracts. Not all the work tasks described within are necessary on every project. Clarification of required tasks will be made in the PSW. NOTE: For in-house projects, Consultant shall be interpreted as the in-house Prime Designer.

#### **150 Organization**

The Arizona Department of Transportation (“ADOT” or the “Department”) retains design consultants to perform a variety of engineering and environmental services.

#### **160 Length of Services**

The length of services begins with the notice to proceed, and includes all reviews by the team and stakeholders through the award of the construction contract. Post design services may be included by contract modification, at the discretion of the Department.

#### **171 Project Schedule**

The Consultant shall develop a plan for the design and pre-construction activities necessary for delivering the project in a timely manner consistent with the length of service. The plan shall include a list of activities, estimated duration, milestones and resources as well as a Critical Path Method (CPM) schedule and other information as appropriate. The Consultant shall provide a schedule of major project milestones no later than 15 days following the project kickoff meeting. The schedule submitted shall be customized to reflect the exact needs of the project. Work elements for which ADOT has responsibility shall be included in the schedule.

#### **172 Project Schedule Updates**

The Consultant shall provide status updates for all activities in the schedule on a monthly basis and provide the updates to the project team. Changes to the schedule logic will be submitted to the ADOT Project Manager for approval. The monthly 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 schedule, prepare materials for, attend, and participate in progress meetings during the duration of the project. These meetings include, but are not limited to, the kick-off meeting, monthly progress meetings unless otherwise specified by the Project Manager and coordination meetings with the technical groups and other stakeholders. The Consultant shall record notes of the meetings. These notes shall be distributed to the Project Manager and/or other team members, as specified by the Project Manager, within 10 calendar days of the meeting.

**SECTION 200 – DESIGN REFERENCES**

Design references developed, adopted and published by ADOT and other agencies for use in the design of this project are listed in the ADOT Project Development Process Manual (2008), AASHTO LRFD Bridge Design Specifications, Eighth Edition (2017), ADOT Bridge Design Guidelines (Latest Edition), ADOT Bridge Hydraulics Guidelines, MUTCD (2012Ed.) and corresponding State Supplement, ADOT Traffic Control Design Guidelines (Latest Edition), ADOT Traffic Engineering Guidelines and Processes (Latest Edition), Signing and Marking Standards (Latest Edition), Traffic Signal and Lighting Standards (Latest Edition), Manual of Approved Signs, AASHTO Standard Specifications for Structural Supports, Highway Signs, Luminaires, and Traffic Signals, Sixth Edition and the ADOT Roadway Design Guidelines (May 2012). The Consultant is advised that while possession of all of these documents is not necessary to successfully complete the project, the Consultant is responsible for designing in accordance with the applicable documents and current revisions and supplements thereto. The Consultant shall verify with the ADOT technical sections and the Project Manager for current approved references.

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

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

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

For ADOT Bridge Group:

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

For ADOT Traffic Group:

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

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

**220 AASHTO Publications**

ADOT references and publications shall control the work, and any necessary supplementation should be provided by appropriate AASHTO and/or FHWA.

**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 will be designed in English units.**

**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.

## **SECTION 400 – DESIGN WORK PERFORMED BY CONSULTANT**

The Consultant shall be responsible for providing the engineering and environmental services required to accomplish the work products identified in the PSW. The services may include, but are not limited to, the tasks of data/document preparation and interpretation including survey and mapping, scoping documents, reports, corridor management plans, construction plans, special provisions, construction cost estimates, and post-design services.

### **401 Design Features**

The Consultant shall be responsible for the design development and construction document preparation for the project. The design will be developed on the basis of the associated technical data referenced in Section 200. The Consultant shall coordinate closely with the ADOT Project Manager and other members of the project team to accurately identify design features and project needs.

### **402 Partnering Process**

The Consultant and subconsultants shall participate in a Partnering Process consisting of the following items, if requested:

- Scope Clarification Meeting
- Design Partnering Kick-Off Workshop
- Participation in the Partnering Evaluation Program (PEP)
- Construction Partnering Workshop
- Project Close-Out

### **403 Scoping Documents**

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

### **405 AASHTO Design Criteria Report**

The Consultant shall be responsible for preparing a review of the AASHTO Controlling Design Criteria in accordance with the current "Guide for Review of the AASHTO Controlling Design Criteria on Existing ADOT Roadways". Not all project types require a review so the Consultant shall determine the need for a formal review prior to finalizing the scope of services. The AASHTO Review Guide can be found under the Roadway Pre-Design Group on the ADOT website.

Any deviations to the design criteria which result in the need for a design exception shall be submitted to the Roadway Design Group for approval. The request shall describe the deficiencies not previously approved which are now being corrected, and the justification for the design exception. The request shall be developed consistent with the Design Exception and Design Variance Process Guide that can be found on the ADOT website at the following location; [azdot.gov/business/standards-and-guidelines](http://azdot.gov/business/standards-and-guidelines). ADOT will forward the design exception request to FHWA, if necessary. The Consultant is responsible for providing copies for ADOT and FHWA. The request shall be submitted a minimum of fifteen (15) calendar days prior to the Stage II design submittal, in accordance with Section 1060.

### **410 Location Surveys**

Unless described otherwise in the Scope of Work, 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. The Consultant is responsible for, but not limited to, the following:

- A. All surveys and mapping for projects utilizing existing roadway(s) shall be referenced and tied 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.
- B. Completed surveys shall be submitted in permanently bound books (3-ring binders are not acceptable) with the final plans sealed. The surveys shall include locations, stakes and references of control points, (including the beginning and ending points of the project), NGS datasheets, as well as any crossovers for both directions along the centerline alignments), PC's, PT's, TS's, SC's, CS's, ST'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 one thousand (1000) feet. Any/all survey data collected and provided must be certified by an Arizona Registered Land Surveyor. Any coordinates used shall comply with the Arizona State Plane Coordinate System.
- C. Surveys may include, as applicable:
  1. Base line control.
  2. Control for aerial mapping.
  3. Right-of-Way surveys.
    - a) Section corner and land ties.
    - b) Existing Right of Way monumentation.
    - c) Staking of new Right of Way for appraisal purposes.
    - d) New Right of Way monumentation.
    - e) A "Results of Survey" sealed and signed by a registered land surveyor.
  4. Topographic surveys.
  5. Roadway drainage surveys.
  6. 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).
  7. Centerline staking, centerline of each roadway, as applicable for field review (lath stakes at PC, TS, SC, CS, ST, PT, and PI (if possible) at approximate two hundred (200) ft. intervals, and at selected locations if required to define the approximate limits of construction).
  8. Centerline and edge elevations of existing pavement at fifty (50) ft. intervals.
  9. Suitable tied to the Arizona State Plane Coordinate System.
  10. Final alignment staking.
  11. Crossroads tie-ins, turnouts, and driveways.
  12. Above ground utilities.
- D. The Consultant shall obtain any permits that may be required prior to beginning field work (ADOT District, United States Forestry Service, Bureau of Indian Affairs, Department of Defense, Right-of-Entry, etc.). For example, surveys within the USFS boundaries require a notification in advance only. A traffic control plan may also be required. Preparation of surveys shall conform to applicable



documents referenced in Section 200, including (but not necessarily limited to) procedures, record-keeping requirements, equipment use, and safety precautions. The Consultant shall secure an access permit, if required, from the appropriate agency should any work that disturbs the environment be necessary (i.e. USFS, BIA, DOD, etc.).

- E. Unless otherwise directed by the ADOT Project Manager, the Consultant shall be responsible for selecting and/or verifying a scale that results in good plan clarity. The following scales are suggested for use in the preparation of mapping, survey base maps, and construction plans:
  1. 1" = 400' (Drainage map and R/W key sheet).
  2. 1" = 50' (Construction Plans, Traffic Control Plans, Photogrammetric Surveys, and R/W maps).
  3. 1" = 30' (Landscape and Irrigation Plans).
  4. 1" = 20' (Location Surveys, Intersection plans, urban streets, and other items of considerable detail).
  
- F. The Consultant may be responsible for setting R/W markers. The R/W markers shall be set by an Arizona Registered Land Surveyor after acquisition of R/W, or in some instances, after construction. All R/W drawings and legal instruments shall be approved and sealed by an Arizona Registered Land Surveyor.
  
- G. The Consultant may be responsible for delineating the R/W so that utility companies may prepare relocation plans. Delineation with strips of plastic flagging attached to lath located at intervals shall provide a clear delineation of the R/W; this work shall be completed immediately prior to the date that utility company personnel are scheduled to conduct a field survey of the project.
  
- H. Completed surveys and maps shall be recorded in an acceptable format. Upon final approval, the books, maps and CADD files (See section 490) and any storage media shall be submitted to the ADOT Project Manager. The ADOT PM may request the files to be delivered to the Engineering Survey Section Coordinator/Advisor who shall obtain a survey/mapping number from ADOT Engineering Records Department and have the survey books and maps filed with a "completed location survey by Engineering Consultant" transmittal letter and provide the Consultant and the ADOT Project Manager with the recording information.

#### **411 Photogrammetry and Mapping**

Unless described otherwise in the scope of work, the Consultant shall review data provided by ADOT. The Consultant is responsible for, but not limited to, the following:

- A. Mapping projects will adhere to the *ADOT CADD Standards Manual* and the current edition of the *ADOT Photogrammetry and Mapping Manual*, available on the ADOT Engineering Survey Section (ADOT ESS) web-page. It is the Consultant's responsibility to review and become knowledgeable with their contents. Miscellaneous reports and studies done by ADOT or ADOT consultants for particular projects may also be available. The ADOT Photogrammetry and Mapping (P&M) Advisor/Coordinator will provide any documents necessary for project completion. Any necessary supplementation should be provided by the appropriate AASHTO and/or FHWA references. The ADOT P&M Advisor/Coordinator will provide guidance and direction.

B. To facilitate project management, in addition to the current ADOT archiving methods, the Consultant will submit pertinent project metadata to the ADOT Engineering Survey Section/Photogrammetry and Mapping. The metadata can be submitted in text (.txt) or similar file. Metadata content should include as a minimum:

1. Complete TRACS No.
2. Route Number and/or Name.
3. Project Description.
4. Beginning and Ending Mile Posts.
5. Project Datum.
6. Ground Adjustment Factor (GAF).
7. Arizona State Plane Coordinate System Zone.
8. Map Scale.
9. Aerial Photography Date and Scale.
10. Contour Interval.

C. The Consultant shall be responsible for the accuracy and completeness of the mapping project. Map contents shall include but not be limited to:

1. Digital Terrain Model (DTM) features (i.e. breaklines and mass points).
2. Roadway features (e.g. edge of pavement, centerline, etc.).
3. Horizontal and Vertical control points.
4. Planimetric features (e.g. buildings, signs, utilities, bridges, canals, fence lines, etc.).
5. Contours and contour labels.
6. Relief features.
7. Spot elevations.
8. Drainage features.
9. Grid ticks.
10. Match lines.

Unless otherwise directed by the ADOT Project Manager, photogrammetric mapping will be completed at either 1"=50' for Design Level Mapping, or 1"=100' for DCR mapping.

D. Map accuracy will conform to the standards set forth by the *Geospatial Positioning Accuracy Standards Part 3: National Standards for Spatial Data Accuracy (NSSDA)*. The standards can be found in the current edition of the *ADOT Photogrammetry and Mapping Manual*, available on-line on the ADOT ESS web-page.

E. To ensure mapping standards are met, the Consultant will have a Quality Control (QC) plan in effect. The plan will review ground control accuracy, flight alignments, photographic quality, aero triangulation results, stereo compilation, map accuracy, and map completeness. Final deliverables will have a neat appearance, be well organized, accurate, complete, and technically correct. Additional testing will be made by the Consultant if there is reason to suspect of the map quality in general or at any specific location.

**ADOT PROJECT MANAGER:**

All photogrammetry mapping projects shall be submitted to the ADOT Project Manager for archiving purposes. Additionally, a copy of the project metadata will be submitted to the ADOT Engineering Survey Section/Photogrammetry and Mapping.

**416 Geotechnical Design**

Geotechnical requirements contained in the Materials Preliminary Engineering and Design (MPE & D) and AASHTO Manuals (See section 200), shall be considered as minimum requirements for Subsurface Investigations. These requirements are not intended to preclude innovative methods of geotechnical investigations and testing the Consultant may propose. Laboratories selected by the Consultant to perform construction materials testing and analyses must meet the requirements of ADOT's "System for the Evaluation of Testing Laboratories". The Geotechnical Design process will include appropriate reports, as required, for roadway and/or structure foundation designs.

Prior to submitting a proposal for geotechnical services, the ADOT Project Manager will schedule a meeting with the prime designer, the geotechnical consultant and the ADOT Geotechnical Design Section project team member. Project geotechnical issues will be discussed at this meeting and a consensus geotechnical work plan will be developed. Any subsequent changes due to access limitations, environmental restrictions, etc., will be reviewed and approved by the ADOT Geotechnical Design Section team member prior to the changed work being performed.

The Consultant Geotechnical Engineer is responsible for, but not limited to, the following:

- A. The Consultant shall perform a geotechnical investigation of the project in accordance with the requirements of the ADOT MPE & D and Materials Testing Manuals. (Reference section 200).
- B. The Consultant shall secure an access permit and all necessary clearances and permits for work from the appropriate agency, if required, which may at a minimum require the preparation of an equipment access plan, description of equipment types, a plan of the test hole locations, etc. The Consultant shall adhere to all traffic control requirements when taking samples on existing roadways. A traffic control plan may be required. A SWPPP and ADEQ approval may also be required. When a SWPPP is not required, a good housekeeping using BMPs shall be followed. When an Arizona Department of Water Resources (ADWR) Well Registration or Variance is required, ADOT Right of Way Section information and notification requirements on NOI and abandonment shall be followed (See section 430D). Geotechnical investigations may be included in the project environmental clearance or done as a separate geotechnical clearance in advance of the project clearance.
- C. Geotechnical investigations shall include all necessary sampling, laboratory testing, and analyses of materials. Any core samples obtained shall be photographed and stored by the prime or sub-consultant until construction is complete or until the ADOT Geotechnical Design Section project team member and the ADOT Project Manager concur that there is no longer a need to do so.

Upon completion of the geotechnical investigations, the Consultant may proceed with the preparation of the roadway and/or foundation designs, and the Geotechnical Design Reports, and/or Foundation Data Sheets.

- D. The Consultant's Geotechnical Design Reports shall include, but not be limited to, the following as appropriate:
1. Results of the Geotechnical investigations inclusive of layout plans, borehole and/or test pit logs and test results.
  2. Roadway structural section requirements and the availability of structural section materials.
  3. Location and depths of topsoil.
  4. Soil shrinkage/swell characteristics.
  5. Slope stability in embankment/excavation locations.
  6. pH and resistivity conditions requiring design considerations.
  7. Design values for active, at rest, and passive soil pressures.
  8. Design loads or pressures, and estimated settlements for each foundation type.
  9. Design methods for shallow and deep foundations.
  10. Potential imported borrow site(s) meeting the requirements for the material(s) required (See also section 417).
  11. Design alternatives based on geotechnical findings.
- E. The Consultant shall include in the Special Provisions all notes related to materials found on the final construction plans and not already covered by the Specifications. When an ADWR registered well will be remained until the construction contract is awarded, the Consultant shall include a project special provision in the contract to abandon this well per ADWR requirements and report its abandonment per ADOT Right-of-Way Section reporting requirements (See section 430 D).
- F. The Geotechnical Consulting Engineer shall review and ensure all geotechnical design elements are properly addressed in the final plans and project special provisions.
- G. The Geotechnical Consulting Engineer shall submit the following requisites to ADOT Bridge Group, Geotechnical Services:
1. One (1) set of Electronic Copy of the final sealed and signed Geotechnical Design Report and Foundation Data sheets submitted on CD-ROM.
  2. One (1) half-size (11"x17") print of the sealed and signed final Geotechnical Design Foundation Data sheets.

#### **417 Earthwork**

The Consultant shall attempt to achieve an approximate earthwork balance for the project consistent with good engineering practice based upon the type of material and with consideration given to environmental mitigation measures unless otherwise directed; this may be accomplished by: a) refining roadway geometry (alignment and/or profile) utilizing ADOT Standard Drawings C-02 for slopes; b) adjustment of ditch widths and/or back slope rates to obtain excavation of additional suitable material; c) flattening of embankment slopes or creation of 'false cuts' to dispose of excess material; or combinations of a), b) and c). Adjustments shall not adversely affect water quality and must be coordinated with the project team, including the USFS coordinator, if applicable. Cost of additional right-of-way and environmental concerns must be weighed in determining the most feasible solution for the project.

When a project requires borrow or waste sites, the Consultant shall investigate and propose sites per requirements as outlined under paragraphs A, B, C and/or D below:

A. ADOT-licensed Materials Sources:

The investigation shall begin with a review of material source information available in the ADOT Geotechnical Operations Section. ADOT has extensive information regarding active or historically used sources that may be proposed for use by the contractor (refer to Specifications 1001 and 104.12 for requirements). The results of the investigation shall be included in the applicable Consultant's Geotechnical Design Report (See section 416) and shall use the assigned Material Source (MS) number.

B. Contractor-furnished Materials Sources:

Contractor-furnished materials sources are an acceptable alternative to ADOT-licensed material sources. The analysis and test results of the material available at the commercial source shall be included in the Consultant's Geotechnical Design Report (See section 416) and shall be identified using current tracking number on file with ADOT Environmental Planning.

C. New Materials Sources:

The licensing of new material sources for ADOT use is a lengthy process and should be considered only in the absence of sources identified in A and B. If the location, testing and environmental analysis of any new materials source is required to complete the design of the project, this work will be added to the contract by contract modification. The analysis and test results shall be contained in a separate report submitted by the Consultant not later than the Stage III submittal.

D. Waste Sites:

If it is determined that a waste disposal site is required, the Consultant shall investigate and recommend the nearest site where material can be wasted. (See section 450)

#### **418 Special Materials**

In the case where a special material(s), i.e. a material with characteristics and design values out of the normal range, is required to meet exacting design requirements, the Consultant shall coordinate with the ADOT Project Manager, Construction and Materials Group, Pavement Design Section, Geotechnical Design Section, and/or the Construction District before changing the design or researching the location of such material(s).

#### **419 Pavement Design**

The ADOT Roadway Engineering Group requires the following on paving projects:

- A. The Consultant shall prepare a pavement design in accordance with the requirements of the ADOT MPE & D Manual.
- B. New pavement design shall conform to the approved AASHTO method. Structural overlay design shall conform to the Structural Overlay Design for Arizona (SODA) method.
- C. The Consultant's proposed pavement design recommendation shall be included in the Pavement Design Summary as described in the ADOT MPE & D Manual, section 505.00. The "Roadway Engineering Group, Materials Design Report Standard Items" shall be used in the preparation of the Materials Design Report.
- D. The Material Design Report shall contain the Consultant's final recommendations for the proposed pavement design, including recommendations for special provisions and construction procedures,

as described in the ADOT MPE & D Manual section 505.00, including the use of the “Material Group, Materials Design Report Standard Items”.

#### **420 Environmental Studies**

The Consultant shall develop all supporting environmental technical studies and reports needed to document the impacts, if any, of the recommended action and the necessary mitigation measures. The Consultant shall coordinate with ADOT Environmental Planning (EP) throughout the development process and ADOT EP will provide final approval for ADOT on all environmental documentation and procedures.

Activities that require soil and/or vegetation disturbance such as geotechnical investigations, surveys, etc. may not begin until the appropriate environmental analysis (i.e., geotechnical clearance, cultural resources, hazardous materials, biological evaluations, etc.) is completed.

The project’s environmental footprint shall consider all utility relocation work required for the project.

The list below depicts typical resource categories for which an environmental study may include analysis. The Consultant shall obtain further clarification from ADOT EP on the needs of each project and prepare the required technical resource evaluations for review and approval.

1. Natural Environment.
2. Floodplains.
3. Section 404 (Clean Water Act): Jurisdictional Delineation.
4. Section 404 (Clean Water Act), 401 and 408: Permit.
5. Section 4(f) analysis (Federal Funds only).
6. Land Use.
7. Visual Impacts.
8. Prime or Unique Farmland.
9. Wild & Scenic Rivers.
10. Sole Source Aquifer (Fed: Tucson/Bisbee).
11. Noise.
12. Air Quality.
13. Construction-Related Impacts.
14. Utility Impacts.
15. Hazardous Material Evaluation.
16. NPDES/AZPDES or Clean Water Act Section 402.
17. Socioeconomic.
18. Cultural (if survey, testing or data recovery are needed, submit a separate scope and budget).
19. Public or Agency Scoping.
20. General Actions.

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

## 425 Public Information Meetings and Public Hearings

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

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

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

### **Public Meetings/Hearings**

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

- Complete a stakeholder assessment to determine demography of the project/study area, as well as the language or ADA accommodations that are required; demography data shall be used to determine the most appropriate day, date and time for public meeting(s) and/or hearing(s) to occur. Specific to LEP populations, the stakeholder assessment *must include* a Four-Factor Analysis to determine if LEP populations are impacted and whether translation or interpretation services are necessary
- Consult with the ADOT project team and ADOT Community Relations to select the appropriate days, dates, times and locations for the public meeting(s) and/or hearing(s). Advance consultation is required to negate possible conflicts with other ADOT or agency public meetings; religious or other holidays; seasonal population changes; and other community or special events
- Identify and secure a venue that satisfies the requirements of the ADOT PIP relative to project/study area proximity; opportunities for public transit; and ADA compliance
- Provide required liability insurance and pay any room-rental fees
- For NEPA studies (Environmental Assessments, Environmental Impact Statements), the consultant team must establish and monitor the study-specific email address; a project information telephone line that accommodates all identified non-English languages; and a mailing address for written comments to be received and is responsible for tracking and documenting all public comments received for the study record. The consultant, project team and ADOT Community Relations will determine, in advance, the responsibility for these tasks for non-NEPA studies and other projects.
- Develop and produce or print *meeting materials*<sup>1</sup> including but not limited to: name tags, sign-in sheets, comment forms, question cards if applicable, informational fliers for distribution to meeting attendees, display boards and other displays or exhibits, maps, and the PowerPoint presentation. All materials must be reviewed and approved in advance by the ADOT project team and ADOT Community Relations

- Translate or have all meeting materials translated into identified non-English languages if required per the Four-Factor analysis
- Procure a minimum of one interpreter if required per the Four-Factor Analysis; in the case of a formal public hearing, procure a minimum of two court reporters, including at least one who is bilingual in the identified non-English language(s) if required per the Four-Factor Analysis
- Procure, if necessary, other translation services or interpretation services if requested for non-English languages and American Sign Language
- Procure newspaper advertising, if necessary. This includes contacting publications and placing the advertisements on ADOT's behalf in alignment with mandatory lead times as prescribed by the ADOT PIP and/or by NEPA. Selected publications should meet the requirement to be "newspapers of record" for the area specific to the public meeting or proposed action. If warranted per the Four-Factor Analysis, translated advertisements must be placed in newspapers published in identified non-English languages.
- Procure bottled water for meeting attendees **Note:** If the consultant wishes to be reimbursed for the purchase of bottled water, procurement must occur in accordance with *FIN-13.01 Guidelines for Providing Food/Beverages at ADOT Sponsored Functions* which includes advance approval of the completed "Request to Provide Food/Beverages" form by the ADOT Controller/CFO
- Provide adequate staffing for the meeting(s) or hearing(s) including staff to set up and tear down prior to and after the meeting(s) or hearing(s), as well as subject-matter experts who can assist with presentations and/or answer questions from the public
- Provide a meeting summary that encapsulates pre-meeting notification efforts, information on the audience, the outcomes from the meeting, comments received and responses provided, and needed follow up from the meeting

<sup>1</sup> *Meeting materials:* This requirement varies from project to project based on the project or study-specific public involvement plan. When the public involvement plan is developed and approved, any material costs not covered in the existing Scope of Work will be added through a contract modification.

#### **Other Public Involvement Services**

If a public meeting is not warranted and/or not required in accordance with NEPA, the consultant could be required to provide other services including but not limited to:

- Completing a Four-Factor Analysis to determine if LEP populations are impacted
- Developing project or study collateral materials in English and other languages as identified by the Four Factor Analysis
- Procuring interpretation of project collateral materials into non-English languages upon request
- Procuring printing and postage for project or study-related mass mailings
- Procuring newspaper or other advertising to raise awareness about the project or study
- Providing a subject-matter expert(s) to share information with key stakeholders at community meetings not hosted by ADOT; at city council or other local-government meetings; or via other opportunities or local events
- Reviewing project collateral materials, web site text, graphics and other materials created by ADOT for accuracy
- Responding to, or assisting with responses to, questions or comments from the public and key stakeholders
- Tracking and summarizing questions or comments from the public and key stakeholders



### ***In-house Public Involvement Services***

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

1. Email alerts via the GovDelivery system
2. News releases
3. Social media
4. Web pages

### **430 Utilities and Railroads**

All work shall be performed in accordance with ADOT's *Guideline for Accommodating Utilities on Highway Rights-of-Way*, the *Utility Coordination Guide for Design Consultants* and the *Stage Deliverables Checklist*.

The Consultant shall utilize, and modify if necessary after discussion with Utility and Railroad (U & RR) Group, the letter formats provided in the *"Utility Coordination Guide for Design Consultants"* when communicating with the utilities. Copies of all correspondences and responses shall be copied to U & RR.

#### A. Definitions:

1. Utility – A facility which transmits or distributes communication, cable television, electricity, heat, gas, oil, crude products, water, sewer, waste or any other similar commodity which directly or indirectly serves the public.
2. Utility Company – A municipality, public service corporation, utility district, etc., which owns and operates utilities that serve the general public. Unless otherwise noted, the procedures to be used with railroad companies will be the same as those used with utility companies.
3. Prior Rights documentation – Documents showing that the utility company's facility predates the acquisition of the property for public roadway purposes, or that it occupies an easement or other compensable land right. Such documents provide verification that the State is obligated to compensate the utility company for the cost of relocations or adjustments required to accommodate the highway project.
4. U & RR – Utilities and Railroad Engineering Section of the Arizona Department of Transportation.

#### B. Previous Information:

The Consultant shall use all available utility location information including any information obtained during the DCR phase. This information, and additional information gathered later, shall be shown on the plans prior to submittal to the utility companies for review.

#### C. Identification of Utilities:

Existing utility horizontal locations must be shown on the Stage II Plan to facilitate review and identification of potential utility conflicts. Additional information (vertical location from pothole efforts, utility condition from utility records, etc.) may be required to be shown on the Stage III Plan to determine the disposition of utility conflicts; whether such measures to protecting in place or provide additional protection are reasonable alternatives to relocation.

1. By Consultant – The Consultant shall contact, and coordinate with, all of the utility companies within and/or serving the project area to obtain utility facility location records and as-built information. Dependent upon the needs of the project, U & RR may reduce the required research efforts.
2. By Locating Consultant – Designating and Locating (Potholing) is not required on all projects and is based on the needs of individual projects. The need for this service is to be discussed with, and approved by, U & RR. When requesting horizontal utility locations (designating), the Consultant shall request the “SUE Phase I Checklist” from the utility coordinator assigned to the project. The information requested of the Consultant from the “SUE Phase I Checklist” will be used by the Locating Consultant for the purpose of identifying and horizontally locating utilities. This phase shall be accomplished prior to the completion of Stage II Plans. When requesting utility potholes, the Consultant shall request the “SUE Phase II Checklist” from the same utility coordinator. The information requested of the Consultant from the “SUE Phase II Checklist” will be used by the Locating Consultant for the purpose of obtaining utility elevation information at selected locations. This pothole data shall be obtained prior to the completion of Stage III plans. Any exception to the above must be approved by U & RR.

#### D. Right-Of-Way

The Consultant shall also assist in the development of exhibits for transfer of right of way if requested by ADOT Right of Way.

The Consultant shall assist in the development of exhibits for transfer of right of way to utility companies with prior rights.

The Consultant shall provide the following information to ADOT Right of Way Section (Water and Well Rights Unit) and ADOT Geotechnical Operations Section (Manager) when an ADWR Well Registration or Variance is required:

1. ADWR Well Number
2. ADOT project name and full TRACS Number
3. ADOT parcel number
4. Longitude and latitude (degrees, minutes, seconds) of every bore hole under this well number
5. Contact name, address and phone number of the well driller
6. Status of well.

#### **431 Utility Conflicts and Adjustments**

- A. The Consultant shall identify project potential impacts on utilities within the Utility Report submitted for the Stage II Plan and advise the impacted utility.
- B. After design mitigation efforts are exhausted the Consultant shall determine all project impacts on utilities based on conflict criteria which require the utility to be relocated or adjusted and shall advise U & RR and the utility company. The Consultant shall delineate the extent of utility conflicts with the project within the Utility Report submitted with the Stage III Plan and advise the impacted utilities.

- C. The Consultant shall advise U & RR if upgrades or betterments are requested by utility companies.
- D. When property is acquired for a highway project, private utility issues related to those parcels are resolved as part of the right of way acquisition. The Consultant shall coordinate these and any private utility issues with the ADOT Right of Way Coordinator and the Project Manager.
- E. The Consultant shall arrange and conduct utility coordination meetings to facilitate identification and resolution of potential impacts on utilities or eventual utility conflicts based on project needs as requested by the ADOT Project Manager and U & RR.
- F. Upon identification of potential impacts on utilities, the Consultant shall solicit submittal of prior rights documentation from the utility companies if requested to do so by the U & RR coordinator. The Consultant shall verify that the prior rights documentation submitted by utility companies represents the areas of the project where utility relocations are anticipated. The Consultant shall submit this reviewed documentation to the U & RR coordinator. The request for prior rights shall take place after the Stage II submittal. Complete prior rights documentation shall be submitted to U & RR no later than the Stage III submittal.

Prior Rights documentation should only be requested for that portion of the project where utility conflicts are expected. The Consultant shall not discuss opinions of prior rights validity with the utility company. Only U & RR has the authority to verify prior rights status.

- G. Upon determination of utility conflicts per subparagraph "431B" above, the Consultant shall request relocation plans and schedules from all utilities that must relocate, regardless of prior rights and receive completed relocation plans prior to Stage IV submittal.
- H. Only U & RR will authorize utility companies to start design and/or construction; this applies to prior rights and non-prior rights situations. Authorizations shall be given in writing; if a verbal authorization is given, it shall be followed up with a written one. In all cases, the authorizations shall be dated and signed with copies sent to the appropriate individuals. Upon U & RR authorization for the utility to start design, the Consultant shall facilitate the request by providing the utility company with available project data to facilitate their design of each delineated conflict.
- I. The Consultant shall be responsible for reviewing relocation plans produced by utility companies to ensure that all anticipated utility conflicts with project plans and with planned utility relocations are mitigated. The Consultant shall also ensure that proposed utility installations conform to ADOT's *Guide for Accommodating Utilities on Highway Right-of-Way* and that the plans meet ADOT permit requirements.
  1. Any facilities to be permitted by ADOT will comply with the Guideline for Accommodating Utilities on Highway Right of Way.
  2. The relocation plans do not conflict with the project improvements or other proposed utility relocations.
  3. Any facilities to be permitted are not in conflict or impair the planned future expansion of the highway.

If the relocation work is within ADOT's right of way, the ADOT permit office will need a letter or email regarding the review to facilitate permitting.

- J. The Consultant shall prepare draft Utility Special Provisions and submit them to U & RR for comment. This includes section 107.15, Force Accounts and Line Item Specifications. Special Provisions shall be drafted starting at Stage III and progress with the project to the final PS&E Stage.
- K. With each stage submittal listed below, the Consultant shall submit a Utility Report. The Report shall document and update the utility coordination process at each stage. The coordination process shall be conducted in accordance with the appropriate responsibility chart matrix established in the *"Utility Coordination Guide for Design Consultants"* and the *"Stage Submittal Checklist"*.
1. Within the first thirty (30) days after Notice to Proceed (NTP) the Consultant shall prepare a Utility Report for submittal to U & RR containing:
    - Utility Tracking Matrix
    - A list of all utility companies in the project area.
    - Each utility company contact person and their contact information.
  2. At Stage II the Utility Report shall contain an update of the listing provided in item "a" above as well as:
    - Identify the quality of utility information shown on the Stage II Plan per ASCE 38-02.
    - Identify any construction work utilities desire for ADOT's contractor to perform.
    - Identify any windows of time affecting either the utility design, utility relocation work, or utility service.
    - Identify anticipated utility relocation costs to establish budget necessary to implement all anticipated utility relocation agreements.
    - Identify possible additional right of way necessary for utility relocation work.
    - Identify if any utilities are planning relocation work outside of areas of the project planned environmental footprint.
    - Identify anticipated time needed by utilities to prepare their relocation plans.
    - Identify anticipated time needed by utilities to perform their relocation work.
  3. At Stage III, the Utility Report shall contain all of the above as well as:
    - Any changes to what was previously presented.
    - Identify any additional project right of way necessary for utility relocation work.
    - Verify that all proposed prior right utility relocation work is within the project's environmental footprint or that the utility has been advised they are responsible for and must provide during their relocation effort compliance to all environmental requirements.
    - A list of utilities responsible for payment of their relocation work.

- A list of the mitigation measures by utility, a summary of the meetings held with each utility company - what was discussed and when, and what actions were taken to arrive at the selected mitigation measure.
  - A list of pothole data requested and obtained.
  - A copy of all correspondence between the Consultant and each utility company.
  - A preliminary estimate of ADOT's cost for utility relocations, and betterment requests by a utility company for work to be included into the ADOT project.
  - Provide an estimate of the utility cost to relocate prior right facilities in conflict with the project.
4. At Stage IV the Utility Report shall contain all of the above as well as:
- Any changes to what was previously presented.
  - A list of permits issued for utility relocation plans.
  - A list of utility permits to be issued that are necessary for project utility clearance.
  - A construction schedule for each utility.
  - A final cost estimate for each utility with approved prior rights.
  - Provide a bid item cost estimate for all work to be accomplished by ADOT's contractor for utilities, distinguish between prior right and non-prior right facilities.

The final Utility Report shall be included with the project design and the final utility clearance letter package.

- L. The Consultant is to work closely with the utility company and the U & RR coordinator to determine the relocation and access requirements of the utility facility. The Consultant shall inform ADOT Right of Way on or before the Stage III submittal if new right of way is required which exceeds what is needed for the highway improvements.
- M. ADOT's Roadside Development Section (landscape and irrigation), Transportation Planning Division (Traffic Counter Systems) and Transportation Technology Group (FMS) are to be consulted about their needs during the project development process. Other appropriate ADOT sections are to be contacted for facilities present at pump stations, inspection stations, rest areas, etc. New electric service drops and water connections for any of these shall be included in the scope of the project (See section 435 "Establishing Utility Service Connections").

#### **432 Utility Plans**

- A. The Consultant shall indicate all existing utilities in plan view on the Stage II plans; this may include utility poles and lines, pedestals and other aboveground appurtenances, all underground utilities, and drainage facilities. The Consultant shall provide a legend key for any symbols used to depict utilities.
- B. The Consultant shall indicate potential areas of conflict between utility facilities and project improvements. The Consultant shall work with the utility companies to mitigate conflicts. Project plans are to be adjusted as much as possible to avoid utility conflicts without negatively affecting the needs of the project or public safety. Pothole data will be made available to utility companies no later than Stage III plans.

- C. The Consultant shall furnish copies of the Stage II, III, IV and PS&E project plans to U & RR and each utility which has facilities in the area. The Consultant shall furnish copies of cross sections to U & RR and, upon request, to the utility companies. Cross section plans will be required when existing utility facilities have been installed parallel to the roadway centerline within ADOT's right of way. Cross section plans shall show the location and depth of utilities running parallel to the roadway centerline. The size of the plans, 1/2 size or full size, shall be as requested by the utilities. In all cases, the plans, full size or true half-size, shall relate to standard drafting scales. The Consultant shall send plans to the utility companies, receive the comments and responses, and provide U & RR copies of all correspondence to and from the utility companies. Utility comments and their resolutions shall be included on the appropriate Stage Comment Resolution Form and distributed to all team members and utility companies within ten working days after the comment resolution meeting. Any plans or right of way changes that may affect existing utilities, or their relocation, are to be specifically brought to the attention of the utility company. This shall include any slope adjustments, curb locations, cut/fill changes, etc.
- D. The Consultant shall include utility relocation plans no later than the Stage IV submittal.

### **433 Utility Relocations and Adjustments**

Where a utility relocation may be required:

- A. The Consultant shall identify possible alternatives (including joint use of trenches) to minimize the number of utility conflicts and minimize the cost of mitigating conflicts.
- B. The Consultant shall notify U & RR promptly upon determination that relocation of a utility company facility is required. Where a non-prior rights utility relocation is to be included as part of the project, and the ADOT contractor will perform the work, the Consultant shall provide U & RR with design cost details, drawings and a summary of the construction costs for the work to be charged to the utility company. The Consultant shall use input and drawings supplied by the utility company to the fullest extent possible.
- C. U & RR will determine, by examination of prior rights documentation provided by the utility company, the utility's rights to occupy the area of conflict. U & RR will also determine who is responsible for the cost of relocation. U & RR will either notify the utility company to relocate at its own expense, or will prepare a utility agreement to allow for payment of utility when it is at ADOT expense.
- D. At the request of the utility company, and with the concurrence of the U & RR coordinator, utility adjustments or installations may be included in the plans and specifications for work to be performed by ADOT's contractor. This may require a JPA, prepared by the project manager, or a utility agreement, prepared by U & RR. The decision to include this work shall be determined no later than the Stage III submittal date. Initial cost estimates shall be provided with the Stage III submittal to assist programming and budgeting efforts.
1. Utilities with prior rights--ADOT is responsible for costs incurred. Additions and betterments are the responsibility of the utility company.
  2. Utilities without prior rights: Utilities are responsible for costs incurred.

3. Consultant shall advise U & RR of utility company's request, and shall advise the utility company that approval of its request is subject to concurrence by ADOT.
4. Consultant shall provide an estimate of the cost, or review and comment on cost estimates provided by the utility company.
5. Consultant shall coordinate with utility company to ensure that adequate information is included in the bid package.
6. The Consultant, with input from utility, shall provide U & RR and the Project Manager the actual cost of design and expenses for utility relocation, adjustments, or betterments for inclusion in the JPA or Utility Agreement.

#### **434 Utility Special Provisions and Clearance Letter**

##### **A. Special Provisions**

The Consultant shall prepare Special Provisions and submit them to U & RR for comment at Stage III, IV and PS&E. The Utility Special Provisions shall include all communications with ADOT's contractor stipulating how to coordinate with utilities during the progress of his work and shall include the following:

1. List of utility companies in the area, and contact person's name, address, and telephone number.
2. A statement that there are no utility conflicts and/or a list of utilities that are in conflict.
3. Work to be performed by utility companies concurrent with the project construction.
4. Completion date or schedule for each utility conflict as provided by each utility company.
5. Work to be performed for each utility by the Contractor and any communication requirements between the utility and the contractor.
6. Utility license, permit, insurance, or right of entry requirements.
7. Indicate special conditions, locations or clarifications related to utility facilities or work that might affect a contractor's bid or schedule.

The Consultant's final submittal of section 107.15 or other Special Provisions related to utility work is due at Stage IV.

##### **B. Clearance Letter**

The Consultant shall submit a final Utility Clearance Letter, in a U&RR approved format, as part of Stage IV deliverables, together with copies of correspondence from utility companies verifying the information, to U & RR for review and concurrence. Exceptions to the above must be approved by U & RR.

##### If there are no conflicts and no adjustments needed

A statement that there are no utility conflicts with the project shall be used only when there are no utility facilities needing adjustment or when all adjustments have been completed prior to writing the Clearance Letter. A list of utilities is to be provided as stated in Section 434A.

##### If adjustments are needed

The Clearance Letter shall list each utility company separately, showing:

1. The name of the company, address, contact name and phone number.
2. The nature of required adjustment.

3. The status of Agreements and applicable permits. (City, County, Forest, State Land, etc.).
4. The status of the utility adjustment(s):
  - Completed.
  - To be done by contractor during construction.
  - To be done by utility company concurrent with construction, with estimated completion date or number of working days required following milestone achievement.
  - In progress, with estimated completion date.

#### Railroad Presence

1. The utility clearance letter shall state if there is railroad presence within or adjacent or in close proximity (within ½ mile radius at maximum) to the project area and shall include the related special provisions provided by the Railroad Liaison.
2. The utility clearance letter shall state if there is NO railroad presence within or adjacent or in close proximity (within ½ mile radius at maximum) to the project area.

#### **435 Establishing Utility Service Connection**

The Consultant is responsible for securing establishment of service connections prior to construction. The following are steps for securing utility service:

- A. Utility service connections are required to facilitate operation of lighting, signals, FMS systems, irrigation controllers, pump stations, rest areas and inspection stations, etc. The Consultant is responsible for determining service connection requirements, including the design, schedule, construction and payment arrangements. The service agreement provided by the utility, utilizing design information from the project designer, will be reviewed, approved and signed by the user of the services (ADOT traffic signals, maintenance, etc.).
- B. The consultant shall prepare a service request letter on ADOT letterhead for signature of the PM or ADOT Traffic Group representative. The request letter will contain the project name, project number and TRACS number to which it applies, as well as the following, dependent upon type of service:
  1. Number of electrical (or other) services required.
  2. The address of each service.
  3. The required voltage/volume/pressure of each service.
  4. The load breakdown for each service.
  5. A brief description of the work required.
  6. Who is responsible for signing the utility's service agreement and who will pay for connection charges (also known as "service connection"). If a line extension is required to provide the service connection, the consultant will work with the utility coordinator. The line extension only, will be completed by utility agreement.
  7. Who is responsible for paying the utility bills and to whom and where to send the monthly billings. These billings are typically paid for by the ADOT section that also provides maintenance.
- C. The Consultant shall include the name and phone number of the utility contact person responsible for arranging the new service connection in the Special Provisions with instruction to the Resident Engineer to contact the utility for scheduling the work when service is desired.



- D. Consultant shall place the service address on the plans adjacent to the appropriate load center and/or meter.
- E. Consultant shall show the location of the utility service source so the contractor will know where to excavate to/from.

#### **436 Railroad Coordination**

If a Railroad is present in or adjacent or in close proximity (within ½ mile radius at maximum) to the project area, the ADOT Railroad Liaison will be contacted and will handle all initial and follow-up contact and coordination with the affected railroad, and railroad related regulatory agencies. This will include kickoff invitation, authorization for the railroad to design/ review plans, plan review, agreement execution, etc.

The Railroad Liaison will provide the project team and Consultant railroad location information for the project site that shall be referenced in all plan submittals.

Railroad right of entry approval is required before the Consultant or their sub consultants can enter railroad property. The ADOT Right of Way Group and the Utility Coordinator will coordinate with the affected railroad for this approval.

A hard copy and electronic copy of all plan sets shall be provided to the Railroad Liaison who will then forward them to the affected railroad for their review and approval. Individual railroad companies prefer one contact for all projects impacting their right of way and have individual, specific submittal requirements.

For Grade separated projects including new bridges and modification to existing bridges, the major railroads have a design guideline that is available from the Railroad Liaison.

If a Construction & Maintenance agreement is needed, the Railroad Liaison will initiate the agreement with the affected railroad and will submit information to, and get approval from the Arizona Corporation Commission. The Consultant shall assist the Railroad Liaison in providing plan sheets or other technical information for inclusion into the Construction & Maintenance agreement or the Arizona Corporation Commission documents.

The Railroad Liaison will provide railroad related special provisions to the Consultant for inclusion into the project special provisions and copy the U&RR Utility Coordinator.

Once all railroad issues are met, the Railroad Liaison will then issue a railroad clearance to the U & RR Utility Coordinator. This Railroad clearance will be incorporated into the project utility clearance.

#### **440 Roadway Design**

The Consultant shall prepare design plans on ADOT standard sheets and construction documents for the roadway improvements including but not limited to the following:

- A. Face sheet and List of Standard Drawings (ADOT will provide these sheets for incorporation into the design plans).
- B. General notes (available on the Roadway Design website).
- C. Design sheet and index.

- D. Typical roadway and detour sections.
- E. Roadway and detour plans and profiles.
- F. Intersection plans and profiles including staking plans and joint layouts.
- G. Cross road and frontage road plans and profiles.
- H. Retaining wall and sound barrier, wall plans, profiles and wall section reports.
- I. Earthwork quantities.
- J. Details.
- K. Special provisions.
- L. Annotated cross sections.
- M. Arizona State Plane Coordinate Ties.
- N. Summary sheets
- O. Quantities and cost estimates
- P. Survey Control

NOTES:

1. Standard plan sheet size is 22" x 34" (ANSI "D" Size) with borders as specified by ADOT. All plan sheets shall be suitable for plotting at half scale.
2. Refer to section 700-45, Plotted Cross Sections: in the Roadway Design Guidelines available on the Roadway Design Website
3. All designs shall conform to the latest Americans with Disabilities Act Accessibility Guidelines Title I and II.
4. The Consultant shall provide the various ADOT Technical Sections involved in the design of the project with roadway base sheets as required.

### **Americans with Disabilities Act (ADA) Features**

All pedestrian facilities must comply with the 2006 U.S. Department of Transportation *Americans with Disabilities Act Standards for Transportation Facilities (ADAAG)*, and the 2011 U.S. Access Board *Proposed Accessibility Guidelines for Pedestrian Facilities in the Public Right-of-Way (PROWAG)*.

An ADA Compliance and Feasibility Report shall be prepared for all state highway projects that contain ADA features. The ADA Compliance and Feasibility Report shall address all ADA features within ADOT Right-of-Way throughout the project area. Existing features that meet ADAAG are not required to be upgraded to PROWAG. Features that do not meet ADAAG should be brought into compliance with PROWAG, when feasible. New ADA features should be designed to meet PROWAG. The Consultant shall prepare the Compliance and Feasibility Report as well as all associated design plans, at the direction of the ADOT Project Manager.

### **445 Roadway Drainage**

#### **446 Roadway Drainage Reports**

- A. The Consultant shall be responsible for preparing the Initial and Final Drainage Reports.
- B. The Consultant shall conduct hydrologic and hydraulic analysis and/or obtain available public information to identify flood plains and probable flood plain impacts. The Consultant shall determine existing and developed conditions, discharges for all pertinent drainage systems, and existing flow patterns; assess possible drainage problems, identify possible solutions, and propose tentative hydraulic improvements.

Part A of the Initial Drainage Report, hydrologic information, may be submitted and informally discussed with the ADOT Drainage Section prior to detailed hydraulic analysis in order to facilitate proper progress of the study. The Drainage Report may require additional data as it relates to NPDES/AZPDES or Clean Water Act Section 402, i.e., flow analysis in ditches, intersecting drainages, etc., in order to adequately design temporary erosion control structures.

Following Part A, Hydrologic Information Review, the Consultant shall conduct hydraulic analyses of proposed flood plain modifications, hydraulic structures, and drainage-related improvements which are proposed. The Consultant will then prepare an Initial Drainage Report consisting of both Part A, Hydrologic, and Part B, Hydraulic, studies and their supporting documentation.

- C. The Consultant shall prepare a Final Drainage Report, pursuant to comments and approval of the Initial Drainage Report, based on refined hydraulic structure selections and sizing. The report shall provide analysis of changes to existing flow patterns and the design of channels, culverts and other drainage structures.
- D. The Consultant shall submit to ADOT Roadway Drainage Section one electronic copy containing all final drainage reports of the project in digital format (PDF) on a CD-ROM or DVD and one hard copy of the final sealed and signed reports. The reports will include not only the analytical data and computations, but the entire report, including but not limited to, texts and graphics.
- E. The Final Drainage Report shall be submitted concurrent with the Stage III Design submittal unless other arrangements are made with the ADOT Project Manager.

#### **447 Roadway Drainage Designs**

The Consultant shall prepare designs and construction documents for drainage features including, but not limited to:

- A. Drainage culverts and underpass structures for cattle/game crossings.
- B. Catch basins, manholes and connector pipes.
- C. Drainage Pipe and Concrete Box Culvert Summary Sheets.
- D. Drainage details.
- E. Drainage culvert profiles.
- F. Retention/Detention Basins.

#### **448 Section 404 Permit (Clean Water Act)**

ADOT with the Consultant, as appropriate, in consultation with the Corps of Engineers, will determine the need for a Section 404 permit. If a permit is required, the ADOT Environmental Planning Group will process the permit application. The Consultant shall be responsible for providing ADOT with technical data for the roadway cross drainage-ways (i.e. typical sections, location and approximate areas of cut and fill within each drainage way) to support the determination of need for a permit and/or the permit application. See section 420 for more information.

#### **449 Evaluation of Alternative Pipe Culvert Materials**

The Consultant shall be responsible for evaluating all forms of ADOT approved pipe culverts. Evaluation documentation shall be included with the design calculations per section 1040. Valid designs shall be indicated on the Pipe Summary Sheet.

**450 Landscape Architectural Practice and Design**

- A. The Landscape Architect shall be responsible for performance of professional services such as investigation, reconnaissance, research, planning, design or responsible supervision in connection with the development of land and incidental water areas where the dominant purpose of such services is the preservation, landscape ecological restoration, enhancement of proper land uses, natural land features ground cover and planting, naturalistic and aesthetic values, the settings and approaches to building, structures, facilities or other improvements, natural drainage and the consideration and the determination of inherent problems of the land relating to erosion wear and tear, light or other hazards.
- B. Landscape Architecture services to accomplish the above mentioned may result in the preparation of the following work products including: Reports for Site Analysis and Planning; Visual Analysis; Resource Planning Inventory and Evaluation; Research Information and Documentation; Design and Construction Documents, Specifications, Constructability Reviews, Post Design and Responsible Construction Supervision.
- C. Investigation, Reconnaissance Research, Planning, Design and Responsible Supervision. Work may include but is not be limited to: Aesthetic evaluations and Visual Quality and Impact Analysis to determine appropriate mitigations; Design of Structure and Wall Aesthetic Treatments; Landscaping and Irrigation Systems and when possible Sustainable Landscaping; Landform Grading and Graphics; Water Conservation Measures, Audits and Water Harvesting; Landscape Ecological planning involving Resource Conservation and Protection; Habitat Mitigation Restoration; Reclamation and Revegetation; Native Plant Inventory, Salvage, Replanting and Establishment; Noxious Weed Control; application of Best Management Practices (BMPs) for Erosion and Sediment Control, Water Quality Protection; Storm Water Pollution Prevention Plan (SWPPP) Index Sheet, Erosion and Sediment Control Plans; preparation of Design Construction Plans Documents, Specifications and Estimates.
- D. The Landscape Architect consultant shall be responsible for coordination of work with Roadside Development Section during all design phases. Work completed shall be in accordance with AASHTO, ADOT Design Manuals, Guidelines and Policies.
- E. The Consultant shall complete and Seal Project Plans, Specifications and Estimates necessary for project design development for use by other team members and for bidding and construction. The Consultant may be required to provide Responsible Construction Supervision or Construction Contract Administration.

**455 Bridge Design**

The Consultant shall prepare design and construction documents for structural design including, but not necessarily limited to:

- A. General plan.
- B. General notes and quantities.
- C. Foundation sheets.
- D. Abutment details.
- E. Pier details.

- F. Superstructure sheets.
- G. Screed elevations.
- H. Special details (if applicable).
- I. Stage construction sequencing details (if applicable).
- J. Pile records (if applicable).
- K. Special provisions and cost estimates.

The final structural plans shall reflect the most current design standards, specifications and ADOT policy. The Consultant shall be responsible for studying revisions to the plans made during the development of the project and ascertaining how the structural design will be affected. The Consultant shall work with Bridge Group and the ADOT Project Manager, who will give the final authorization, in determining the propriety of modifying the design to accommodate the revised standards, specifications and ADOT policy. The Consultant will be compensated by Contract Modification for any significant redesign resulting from this requirement. A final review of the applicable standards and specifications will be conducted by the Consultant at Stage III.

#### **456 Bridge Selection Report**

During Stage II, prior to preparation of final design and construction documents, the Consultant shall submit a Bridge Selection Report for the new bridge and/or for renovation of the existing bridge. The report shall be prepared in accordance with the ADOT Bridge Design Guidelines. The selected new structure and/or modification must be approved by ADOT Bridge Group prior to the Consultant beginning the final design of the bridge.

#### **457 Bridge Hydraulics Report**

For structures in the National Bridge Inventory (NBI) or structures proposed to be in the NBI, the Bridge Hydraulics Section, under the Bridge Group, will be responsible for the Bridge Hydraulics Report review. For the waterway structure, individual Bridge Hydraulics Report is required. For non-waterway structure, the deck design shall consider the effects of hydroplaning and deck drainage. For design details, the designer is required to refer and follow the Bridge Hydraulics Guidelines and section 446 of this document.

#### **460 Traffic Engineering Design**

#### **461 Traffic Engineering Study**

The Consultant shall perform a Traffic Engineering Study or "Traffic Analysis Report", which addresses those concerns that are appropriate for the project. The study shall provide all necessary data not already furnished by the Department and shall include coordination with the Transportation Systems Management and Operations Division (TSM&O) and the appropriate Regional Traffic Engineer. It is expected that the Consultant will make one or more visits to the project site to familiarize themselves with any issues that may have any bearing on the success of the project.

The Traffic Study should also address the items listed below. The items listed are intended only as a guide and are not meant to necessarily limit the scope of the study:

- A. Average Daily Traffic.
- B. Turning movements at each intersection.
- C. Crash Data and Analysis.
- D. Access Control.
- E. Signing.

- F. Pavement Markings.
- G. Pass/No Pass Zones.
- H. Speed Zones.
- I. Signal Warrants.
- J. Left and Right Turn Warrants.
- K. 30th Hour Design Hour Volume.
- L. Peak Hour Volume.
- M. Bicycle Activity.
- N. Pedestrian Activity (ADA Requirements).
- O. Parking.
- P. School Zones.
- Q. Appurtenances (guardrail, barriers, etc.).
- R. Channelization, Turning Templates.
- S. Signal Phasing & Timing.
- T. Operations and Capacity.
- U. Roadway Lighting.

Note: The need for these items will vary depending on the nature and locale of the work.

#### **462 Traffic Control Plans**

When required by the complexity of the project, the Consultant shall prepare an appropriate phasing plan for the project. The plan shall be consistent with good constructability, taking into account the contractor's probable approach to the work and the cost and inconvenience to local businesses and residents. Phasing and project duration should be coordinated through the Project Manager, the Construction District and the Contracts & Specifications Section.

Once the project phasing has been determined, the Consultant shall prepare a traffic control plan which may be as simple as a few paragraphs in the Special Provisions outlining which setups in Part VI of the MUTCD or the ADOT supplement are to be used or may be a set of detailed plans showing exact configurations of traffic control devices for the project. A summary of temporary traffic control devices (TTC), quantities, and duration along with an estimate of costs and any special provisions shall be provided by the Consultant at each stage of the project beginning with Stage II.

For projects which are determined to cause significant impact to the travelling public, according to ADOT's Guidelines for Work Zone Safety & Mobility, the Consultant shall develop a Transportation Management Plan (TMP). The TMP should be comprised of temporary traffic control plans, a transportation operations component, a public information component, and provisions for emergency vehicle access.

New construction, reconstruction, pavement rehabilitation, overlays, bridge widening or repairs and other similar work generally will have a considerable impact on traffic operations and will normally require a set of traffic control plans with TTC devices, quantities, duration, unit prices, and special provisions.

The following categories of projects generally have a low impact on traffic operations and do not normally require traffic plans:

- A. Landscaping projects of short duration.
- B. Signal projects.

- C. Scour protection projects.
- D. Fencing projects.
- E. Sound wall projects.
- F. Signing projects (except overhead installations).
- G. Lighting and other electrical projects.
- H. Sidewalk and ADA ramp projects.
- I. Bike lane projects.
- J. Rest area construction projects.
- K. Minor surface treatments (Chip Seals).

Stored specification 701DETRM can be used for projects that fall into the low impact categories. This special provision provides pre-determined unit prices for all of the likely pay items. There are, however, two lump sum items which must be computed. Item 7010001 is intended to provide a summary of the anticipated cost of the devices to be used on the project; this item shows in the bid schedule as a fixed price. The second lump sum item, 7010006, allows the contractor to recover his costs for furnishing, placing, and removing the various devices during the construction. To use this on projects in Central District, obtain concurrence from the DE prior to start of traffic control design.

Two other pay items may be included in the bid schedule, when appropriate. Both items require the contractor to provide a bid amount. The items are 7010010, Temporary Concrete Barrier and 7010012, Temporary Impact Attenuation Devices. The bid amount should be for the installation and removal only and not the daily cost, which is included in the predetermined prices.

Upon final design approval for any and all work that involves Traffic Engineering or Design, the Traffic Engineering Group requires that the following CADD related deliverables be submitted to the Design Project Manager as indicated in the General Specifications for adherence to ADOT's CADD Standards:

- A. All SignCad files shall be submitted in ADOT's current version of SignCad (.SGN).
- B. All design CADD files associated with Traffic Design, including Traffic Signals, Roadway Lighting, Signing, Pavement Marking, Traffic Control, Pre-Design, HES Projects, and Permit Designs, shall be submitted in ADOT's current version of MicroStation 2D format (.DGN)(2D).

In addition, a copy of the Letter of Transmittal indicating all Traffic related deliverables have been submitted to ADOT shall be forwarded to the Traffic Engineering Project Manager for approval.

#### **463 Intersection Signalization and Roadway Lighting**

The designer shall prepare construction documents for installation of traffic signals. Installations for future signals may require only conduits and pullboxes. Intersection signalization may sometime be changed to construction of a roundabout instead of a traffic signal; in that case, the Consultant may do traffic modeling/simulation using appropriate software, for example VISSIM, as well as perform comparison of present day estimated cost and life cycle estimated cost of the two alternates namely traffic signal and/or roundabout.

The designer shall comply with ADOT's current lighting policy and provide a complete set of roadway lighting construction documents that are predicated on a needs study and design parameter report that includes, but is not limited to:

- A. Complete freeway lighting including mainline, entrance and exit gore areas, ramps, and crossroads, per ADOT Traffic Engineering Group TGP 700.
- B. Underdeck and Tunnel Lighting.

The designer shall, in accordance with Section 430 and the project scope of work, coordinate with the local electric utility to provide electric service. If warranted, the designer shall advise the project manager of the need for an IGA with the local jurisdiction for funding, maintenance, and energy costs.

#### **464 Signing Plans**

The Consultant shall prepare designs for signing that are consistent with current signing practice and in conformance with the Manual on Uniform Traffic Control Devices (MUTCD), the Manual of Approved Signs (MOAS), TGPs, and Signing and Marking Standards Drawings. Freeway signing within the MAG system shall in addition conform to the MAG network Signing Plan, dated January 1992.

A sign summary shall be provided in the project plans. Non-standard signs shall be detailed on the project plans following the formats given in the above referenced documents. Future Dynamic Message Signs shall be included in the signing design. A detailed cost estimate and special provisions shall be included with each submittal beginning with Stage II.

#### **465 Pavement Marking Plans**

The Consultant shall prepare permanent pavement marking designs for the roadways within the project limits to show center, edge and lane line striping, stop lines, crosswalks, arrows, legends, and symbols, raised or recessed pavement markers, object markers, delineation or other markings as may be consistent with the needs of the project and in conformance to the requirements of the MUTCD, the Traffic Design Manual, TGPs, and Signing and Marking Standards Drawings. The Consultant shall confer with the district representative and Traffic Group to determine which types of marking or delineation materials are appropriate for the project. The summary of quantities, a detailed estimate of costs, and any special provisions shall be included with each submittal beginning with Stage II.

#### **466 Intelligent Transportation Systems (ITS) Infrastructure**

The Consultant shall prepare construction documents for conduit, pull boxes, detection, Ramp Meters, Closed Circuit TV (CCTV), Dynamic Message Signs (DMS), Traffic Operation Center (TOC), Roadway Weather Information System (RWIS), truck escape ramps and Fiber and Wireless Networks to be included in the project for accommodation of the Intelligent Transportation System (ITS) Infrastructure in accordance with the ADOT Freeway Management System Design Guidelines.

#### **471 Right-of-Way Requirements Determination**

The Consultant shall determine the requirements for new right-of-way (R/W) and easements, including, but not limited to, new roadway R/W, slope easements, drainage easements, temporary construction easements, waste site R/W, access control R/W, borrow source r/w and haul road R/W. New R/W and easement requirements should take into consideration impacts to current land usage.

The Consultant shall submit to ADOT, in electronic form, the preliminary R/W requirements on or before the Stage II design submittal, and the final R/W requirements on or before the Stage III design submittal. No revisions or additions to the R/W requirements will be allowed after the Stage III submittal without the approval of the ADOT Project Manager.



The new R/W requirements shall be submitted in triplicate to ADOT for review and shall include the following as a minimum:

- A. A letter indicating the project name, contract number, project location, originator of report (Firm's Name), submittal date and submittal type (Stage II or III).
- B. A plan of sufficient scale and detail to show the existing and proposed roadway R/W and proposed easements.
- C. Type of acquisition required:
  - 1. At the Stage II submittal, the new requirements may be estimates of the final R/W with enough definition to identify all ownership's that will be affected. The preliminary requirements should be large enough to cover all possible R/W needs.
  - 2. At the Stage III submittal, the new requirements shall be accurately defined with widths, lengths, stations, offsets, etc.

#### **472 Right-of-Way Acquisition**

If new R/W is required for the project, ADOT will acquire all necessary R/W and easements. Based on the requirements provided by the Consultant, ADOT will:

- A. Prepare final R/W plans and associated documents necessary for R/W acquisition (Final plans may be prepared by others).
- B. Acquire all necessary R/W and Easements associated with the project.
- C. Prepare the necessary data for Transportation Board resolutions and project clearance letters.

#### **473 Temporary Entry Documents**

A temporary entry document for entry to each parcel for any or all of the following activity is required: Geotechnical investigations, environmental investigations, utility potholing, and/or other pre-construction related activities; the Consultant shall notify ADOT of the need for any temporary entry documents no later than thirty (30) days after the notice to proceed. The Consultant will provide the stations and offsets, and depths of the boring holes. The Consultant shall also provide information as to whether the locations are in or out of existing r/w. ADOT will obtain the appropriate owner's signature. The Consultant may not enter any such property prior to approval of the temporary entry documents by ADOT.

#### **475 Bid Advertising**

The Consultant shall provide information as necessary to assist ADOT in preparation of the draft and final advertisement for bids.

#### **480 Cost Estimates**

The Consultant shall prepare combined and detailed estimates (cost estimates) in the format recommended by the Contracts and Specifications Section. The cost estimate shall include a recapitulation sheet concurrent with each review submittal. Computer generated estimate forms may be used, provided the format is approved by the Contracts and Specifications Section. The Consultant shall prepare a bid schedule at the stage II review, and concurrently with each review submittal thereafter. ADOT will provide the necessary format.

The budgeted cost for the project is indicated in section 140 of the Scope of Work. The Consultant shall immediately advise ADOT, in writing, if there is any reason to believe the project cannot be constructed within

the allocated budget. The Consultant shall identify options to maintain the project within budget, including reducing the project scope, revising criteria, or changing the project phasing.

Upon request from the Department, the consultant shall provide backup information for all unit prices in the cost estimate.

#### **485 Specifications**

The Consultant shall be responsible for identifying in the General Requirements, critical elements of construction, including, but not limited to, construction limits, access requirements, potential night construction, coordination with affected local agencies (police, fire, USFS, etc.), traffic lanes open, scheduling of work time (bar chart format illustrating estimated construction time), utility trench close ups, incentives and liquidated damages, State-furnished materials, critical materials requiring pre-bid purchase, and limitations specifically addressed in the environmental, right-of-way, and utility clearances.

#### **486 Special Provisions**

The Consultant shall prepare Special Provisions for items, details, and procedures not adequately covered by ADOT's Standard Specifications and Stored Specifications. Unusual requirements necessary for obtaining permits for hauling materials shall also be included. Special Provisions shall be submitted at the Stage III and Stage IV project reviews. Final Special Provisions shall be sealed by the Engineer in responsible charge. The Consultant shall be responsible for incorporating any specifications provided by ADOT technical sections into the draft and final Special Provisions. ADOT shall review all submittals of Special Provisions and the Consultant will prepare the final Special Provisions. These should include the appropriate stored specifications along with the project specific provisions described above. Stored specifications are available on the Contracts & Specifications website.

#### **487 Contract and Specifications Process**

The Consultant shall, under the direction of ADOT, support the Contracts and Specifications process leading to the complete bid documents as follows:

- A. Promptly answer questions relative to the plans, quantities, and Special Provisions.
- B. Make any necessary corrections to the plans, typical sections, Special Provisions, quantities, notes, etc. as required.
- C. Prepare any addenda required to clarify the work included in the contract documents as requested by the Contracts & Specifications Section. The addenda shall be prepared immediately upon request. Addenda may be required based on the project inspection with the assigned ADOT Resident Engineer, questions developed in the pre-bid conference, or conditions discovered by bidders during the bid period.
- D. The Consultant shall be prepared to walk the project with the assigned ADOT Resident Engineer to discuss the plans and details, prior to the pre-bid conference, if held.
- E. The Consultant shall be prepared to attend the pre-bid conference, if one is scheduled, and present an appropriately-sized display showing the project layout, proposed traffic control and construction phasing, and shall be prepared to discuss other constraints so that the potential bidders will be better able to relate to the intent of the construction of the project. The Consultant shall respond to questions related to the plans, details and special provisions.
- F. The Consultant shall be prepared to assist in the analysis of bids, including: determination of reasonableness and justification of cost variances, analysis of original cost estimate compared to contractor bid costs.

#### 490 Computer Aided Design and Drafting (CADD) Requirements

ADOT shall retain all rights and ownership of all Electronic Files and Hardcopy Deliverables throughout the Design Phases.

##### General Specifications:

All files to be archived shall conform to ADOT drafting and CADD standards (for ADOT CADD standards, Technical Bulletins, and additional archiving information contact the corresponding Group/Discipline).

Each consultant shall submit all their files in a folder (with no subfolders) to be archived in a project folder. The current ADOT approved version of MicroStation software will be used. All graphic files shall be provided in MicroStation native design file format (.dgn), and contain data in vector format only. Digital Terrain Model (.dtm) files shall be produced with InRoads/Site/Survey compatible file formats. Raster data shall not be accepted unless otherwise stated by ADOT. For non-photogrammetric disciplines, the use of non-MicroStation vector format and subsequent translation of graphic files to the .dgn format shall not be accepted. No zipped files shall be accepted. All reference files shall be delivered, and are not to be copied into the plan sheet files. All electronic "design sheets" shall include border information and display a fitted "plan view" (in View 1). View 1 shall be the final plot view and as such, all appropriate reference files, levels, view attributes shall be displayed. No vector or raster elements shall be outside the border. ADOT cells and custom line styles are not to be modified unless approved by ADOT.

All final Consultant project Electronic CADD data files shall be delivered on CD-ROM/DVD (multiple CD's/DVD's shall be allowed). All final project documentation, electronic files and hard copy shall be packaged separately, labeled and delivered to the assigned ADOT Project Manager, and/or to the Technical Leader.

All deliverables shall contain an electronic Index of files on the storage media and a letter of transmittal to the ADOT designated areas and all CD's/DVD's must be labeled with the information stated below:

##### Identification Label for CD and Case:

Prepared By:  
 Federal Project Number:  
 Route:  
 Milepost (Beginning/Ending):  
 Prefix (Rt, Co, MP) and TRACS Number:  
 Project Name:  
 Creation Date:  
 Disc (#) of (total #)

In addition to the requirements stated above in the General Specifications, all designers of ADOT projects shall provide the following information requested by the individual areas. If unclear about items needed for your project, please contact the Project Manager.

##### **Bridge:**

##### *Identification Label*

1. Structure Number ( 5 digit number )
2. Structure Name (Apprentice Wash Bridge)
3. Type of work category:

- a) Major Structure – New Bridge
- b) Bridge Replacement
- c) Minor Structure
- d) Deck Rehabilitation
- e) Hinge, Deck or Joint Repair
- f) Barrier Replacement
- g) Bridge Widening
- h) Scour Protection
- i) Seismic Retrofit

#### **Materials and Geotechnical:**

In addition to the CADD requirements stated in the General Specifications, all Consultants of ADOT Geotechnical projects shall provide the following information to the Project Engineer for ADOT Geotechnical Section:

1. One (1) Electronic Copy of the final Geotechnical Design sheets submitted on CD-ROM.
2. One (1) half-size (11"x17") print of the Geotechnical sealed and signed final design sheets.

#### **Roadway Engineering:**

See General Specifications.

#### **Right of Way:**

All R/W surveys, R/W plans and R/W monumentation surveys are to conform to current R/W Plans Standards and Manual.

Acceptance Submittal for R/W Survey, R/W Plans and R/W Monumentation Survey

When all comments have been addressed and the R/W Plans Section is ready to accept any of the above products, the designers or consultants of ADOT R/W projects shall submit the following items:

1. Two (2) copies of all Final CADD Files in native MicroStation file format, in a version that is currently acceptable to the R/W Plans Section, and the electronic ASCII file. The files shall be transmitted to the ADOT Right of Way Plans Section on two (2) Compact Disks (CD-R format). Unless the Consultant uses an approved digital signature per ARS 41-132, the seal block on the electronic files shall be left blank.
2. Full-size set of sealed and signed vellums sealed by an Arizona Registered Land Surveyor, trimmed to 22" x 34".
3. One (1) half-size bond copy of sealed sheets.

#### **Traffic Engineering:**

Upon **Final Design Approval** for any and all work that involves Traffic Engineering/Design, the Traffic Engineering Group requires that the following CADD related deliverables be submitted to the Primary Project Manager as indicated in the General Specifications. In addition, a copy of the Letter of Transmittal indicating all Traffic related deliverables submitted to ADOT shall be forwarded to the Traffic Engineering Project Manager for approval.

1. All Design files associated with Traffic Design, including Traffic Signal, Signing, Pavement Marking, Traffic Control, Pre-Design, HES Projects, and Permit Designs, shall be submitted in ADOT's current version of MicroStation 2D format (.DGN)(2D).

2. All sign designs/formats shall be submitted in ADOT's current version of sign design software (.sgn).
3. All sign summary Excel spreadsheets used to import sign summary data into MicroStation shall be submitted in ADOT's current version of Excel (.xls).

### **Engineering Survey Section (Location Surveys):**

In addition to the CADD requirements stated in the General Specifications, all designers of ADOT projects shall provide the following information, if applicable to the project, to the ADOT Project Manager:

1. Ground Adjustment Factor (G.A.F.)
2. Contour Interval (C.I.)
3. Project Scale
4. Horizontal and Vertical Datum
5. Arizona State Plane Coordinate System Zone
6. Hard copy of reports including any plots

Based on the Scope of Work, select the items to be delivered:

1. Hard Copies shall consist of the following:
  - a) Field notes
  - b) Sketches
  - c) Plots
  - d) Reports
2. (.dgn) file containing graphical representation of the project (i.e. planimetrics and contours).
3. (.3d) file containing graphical representation (i.e. breaklines and random points) to produce the DTM.
4. (.dtm) containing Engineering Surveys approved features that make up a correct surface representation.
5. (.alg) file containing the project alignments. (.rpt) file including curve data from the alignment.
6. ASCII (.csv) files shall contain the following:
  - a) File Header Information:
    - i) Project GAF
    - ii) Project Datum
    - iii) Arizona State Plane Coordinate System Zone
    - iv) Basis of Alignment
    - v) Basis of Stationing
    - vi) Basis of Horizontal Control
    - vii) Basis of Elevation
    - viii) Basis of Bearing
  - b) All Project Control
  - c) Section Corners
  - d) R/W Monumentation
  - e) Structures
  - f) Edge of pavement
  - g) Centerline and driving stripes
  - h) Other features as requested
7. Record of Survey: When requested, the Record of Survey will be in electronic format (.dgn or .pdf), with a stamped original.
8. Pictures: Upon request, pictures will be taken for all structures including ends of pipes, headwalls, pipe caps, and any unnatural terrain feature in a .jpg or .bmp file format (check scope of work).

Note: Two (.CSV) files shall be submitted, one containing the RAW survey data and another containing the edited survey data.

To facilitate project management, in addition to the current ADOT archiving methods, the Consultant will submit project metadata to ADOT Engineering Survey Section/Location Surveys. The metadata can be submitted in a text (.txt) or similar file.

Metadata content should include as a minimum:

1. Complete TRACS No.
2. Route number and/or name
3. Project description
4. Beginning and ending mile posts
5. Project datum
6. Ground Adjustment Factor (GAF)
7. Arizona State Plane Coordinate System Zone

If unclear about items needed for your project, please contact the Engineering Survey Section/Location Surveys.

ADOT Project Manager:

All survey projects shall be submitted to the ADOT Project Manager for archiving purposes. Additionally, a copy of the project metadata will be submitted to Engineering Survey Section/Location Surveys.

**Engineering Survey Section (Photogrammetry and Mapping):**

In addition to the CADD requirements stated in the General Specifications, all designers of ADOT projects shall provide the following information to the ADOT Project Manager:

1. Scanned images
2. Aerotriangulation files
3. Orthophotographs produced.
4. DGN files containing graphical representation of the project (i.e. planimetrics and contours).
5. 3D file containing graphical representation (i.e. breaklines and random points) to produce the DTM.
6. ASCII (cvs) files shall contain the following:
  - a) File Header Information:
    - i. Project GAF
    - ii. Project Datum
    - iii. Arizona State Plane Coordinate System Zone
    - iv. Basis of Horizontal Control
    - v. Basis of Elevation
  - b) All Project Control
  - c) Section Corners
  - d) R/W Monumentation
  - e) Structures
  - f) Edge of pavement
  - g) Centerline and driving stripes
  - h) Other features as requested

To facilitate project management, in addition to the current ADOT archiving methods, the Consultant will submit project metadata to Engineering Surveys Section/Photogrammetry and Mapping. The metadata can be submitted in a text (.txt) or similar file.

Metadata content should include as a minimum:

1. Complete TRACS No.
2. Route Number and/or Name
3. Project Description
4. Beginning and Ending Mile Posts
5. Project Datum
6. Ground Adjustment Factor (GAF)
7. Arizona State Plane Coordinate System Zone
8. Map Scale
9. Aerial Photography Date and Scale
10. Contour interval

If unclear about items needed for your project, please contact the Engineering Survey Section Photogrammetry and Mapping Advisor/Coordinator.

ADOT Project Manager:

All photogrammetry and mapping projects shall be submitted to the ADOT Project Manager for archiving purposes. Additionally, a copy of the project metadata will be submitted to ADOT Engineering Survey Section/Photogrammetry and Mapping.

#### **495 Electronic Design Data Delivery**

The intent of this section is to establish criteria to utilize the electronic design data and its delivery to the Contractors who use equipment that has Automated Machine Guidance (AMG) systems such as earth moving equipment outfitted with GPS. The use of high quality design data to control the earthmoving equipment eliminates the need for tedious layout, saving time and money.

Specifications of Electronic Design of Contract Plans for AMG when identified as part of the scope of work and in addition to the designer providing a complete contract bid set of 2D engineering plans, estimate, and specifications for the construction of the project, the following data shall be submitted as part of the electronic data delivery:

- A. Existing Digital Terrain Model
- B. InRoads Files
- C. 2D MicroStation Files
- D. 3D MicroStation File

Existing Digital Terrain Model:

Digital Terrain Model (DTM) files shall be produced with Bentley's InRoads/Site/Survey Select CAD compatible file formats, and is the existing topography and surface prior to the start of the project. DTMs should be verified for accuracy through field procedures of locating well- defined and random check points (not included in the creation of the DTM surface) systematically dispersed throughout the project site and compared to the DTM. Please refer to the following Manuals available from ADOT (<http://www.azdot.gov/business/engineering-and-construction/EngineeringSurvey>) for guidance in

creating DTMs: 1) Manual for Field Surveys, 2) Location Survey P-codes for Bentley InRoads, and 3) General Specifications for Photogrammetric Mapping.

Create an integrated-model of the existing condition utilizing 3-D methodologies and techniques. The existing condition model shall include existing ground surface and certain subsurface elements (including, at a minimum: drainage structures, below ground utilities, bridge and wall foundations), features utilizing data from light detection and ranging (LiDAR), subsurface Utility evaluation (SUE), field surveys, and existing plans data collection including currently available LiDAR or other existing ground surface data (.dtm or .tin format) provided by ADOT. The existing ground model shall be submitted in .DTM format for Department's use.

#### InRoads Files:

The InRoads files shall include the Template Library (\*.itl) and the Preference files (\*.xin).

Utilize 3-D methodologies and techniques to incorporate the Schematic Design into Project integrated design files. The final alignment files shall be submitted in .ALG and format. New design surfaces (if applicable) shall be merged onto the DTM and shall be submitted in .DTM format.

#### 2D MicroStation Files:

The MicroStation files contain all 2D proposed plans as would be delivered in a normal set of engineering plans to include items such as cross sections, details and any other drawings that would normally make up a bid package.

#### 3D MicroStation Files:

Utilize 3-D methodologies and techniques to develop the geometric design and the 3-D Design model for each proposed roadway and incorporate it into the Project's integrated design models.

- Integrated design model deliverables shall consist of 3-D MicroStation file(s) containing 3-D graphical elements (components, both horizontal and vertical alignments, contours, superelevation transitions limits, existing and proposed finish grade triangles) representative of the design model, and .dtm surface files.
  - Subgrade surface – A surface representing the top of the new subgrade (both sides should tie to the Existing Digital Terrain Model.)
  - Finish Grade surface – A surface representing the new proposed finished grade (PFG) which includes the pavement structure

Key existing and proposed 3-D Design features shall include the following Elements of the Work:

- Roadway (including, at a minimum, intersections, turnouts, driveways, curb and gutter, barrier, sidewalks, guardrail and pads, etc.)
- Drainage (including, at a minimum, box culverts, pipes, catch basins, manholes, and junction structures)
- Structures (including, at a minimum, pier, abutment and retaining wall foundations, and locations)
- Utilities (including zones of protection)
- Signing (including all signs locations and foundations)
- Lighting (including, at a minimum, pull boxes, conductor runs, pole and foundation locations)



- Signals (including, at a minimum, pull boxes, conductor runs, controller, pole and foundation locations)
- Foundations, including at a minimum, all ground penetration to be shown to scale of width, length and depth.
- Existing structures to remain within the Project ROW.
- Elements as applicable

## **Visualization**

The study shall provide a visualization, or simulation, of the preferred alternative or project design, as appropriate. 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 600 – POST DESIGN SERVICES**

ADOT will coordinate all post-design services and will act as the principal initial contact for post-design questions. The Consultant shall be responsible for the post-design services described below. Post-design services will be added to the contract by contract modification, at the discretion of the department.

- A. The Consultant shall be available, within twenty-four (24) hours of notification, to respond to questions in the field that may arise relative to the plans, details, or special provisions during construction.
- B. The Consultant shall review and approve shop drawings, erection procedure plans, and formwork details, review proposals for substitutions or "approved alternates," assist the Resident Engineer in developing change orders, and provide other engineering services required to facilitate construction of the project.
- C. The Consultant shall appoint a responsible member of the firm to be the contact person for all post-design services; this person shall be continually available during the course of construction for review and updating of design plans.
- D. The Consultant shall make every reasonable effort to process any material presented for review in a prompt manner.
- E. The Consultant may be required to attend the Pre-Construction Partnering Workshop and/or utility coordination meetings.
- F. Construction modifications (Revisions) produced during construction shall be properly sealed and signed by a Professional Engineer, Landscape Architect, or Architect, registered in the State of Arizona, and shall be submitted to the ADOT Project Manager to be added as part of the record set of plans. The Consultant shall submit these properly sealed revisions, of the original design, in a hard copy as well as in electronic format as stated in section 1040.
- G. The Consultant shall professionally prepare the record drawing plans for the project based on redlined construction plans provided by the ADOT Resident Engineer. The Record Drawing submittal shall also include electronic files consistent with ADOT's electronic Record Drawing process. The Consultant shall follow the steps described in the ADOT Red-Line and As-Built Preparation and Guidelines document (this document can be found on the ADOT website) and provide the deliverables described within the document in the prescribed time.

**SECTION 700 – MATERIALS FURNISHED BY ADOT****710 Surveys**

ADOT will provide the following materials, as available:

- A. Previous survey (e.g. control points, DTM, DGN, ALG, etc.).
- B. Vicinity Map(s).
- C. Descriptions and values for ground control monuments.
- D. ADOT State Plane Coordinates Ground Adjustment Factor(s).
- E. Control for aerial maps.
- F. Aerial photographs
- G. ADOT Publications (can be obtained through Engineering Records at ADOT HQ in Phoenix):
  1. CADD Standards.
  2. Manual for Field Surveys.
  3. Traffic Control Manual of Highway Construction and Maintenance.
  4. Manual on Uniform Traffic Control Devices (FHWA).

**711 Photogrammetry and Mapping**

- A. Previous photogrammetric mapping.
- B. Existing aerial photography.
- C. ADOT Photogrammetry and Mapping Manual.

**720 Materials Investigation**

ADOT will provide the following materials:

- A. Geotechnical Report if applicable.
- B. Pavement Design Summary & Cost Estimate if applicable.
- C. Pavement Design Report if applicable.
- D. Review of all submitted reports prepared by others for this project.

**730 Record Documents**

The Consultant shall obtain the following ADOT plans/drawings:

- A. Available Record Drawings plans, through Engineering Records, of existing conditions.
- B. Available right-of-way plans of existing conditions through the Right of Way Group existing plans website.
- C. Available Mapping/Aerial photography.

The Consultant may acquire such documents from the addresses below or from the Project Resource Office and Right-of-Way sections on the ADOT website:

- A. Right-of-Way Engineering: 205 South 17<sup>TH</sup> Avenue, Mail Drop 612E, Phoenix, Arizona 85007-3217.

**740 Traffic Data**

The Consultant shall obtain from ADOT the current and design year ADT and the K, D, and T factors.

**750 Environmental Studies**

In addition to the Final Environmental documents, ADOT will provide, at the Consultant's request, any available environmental data prepared for the project (such as previous surveys, EOs, investigations, etc.).

**760 Base Sheets**

ADOT will provide the Consultant an electronic file of each of the following base sheets as required for completion of the project plans.

- A. Roadway Design Section sheet.
- B. New Pipe Summary sheet.
- C. Barrier Summary sheet.
- D. Reinforced Concrete Box Culvert Summary sheet.
- E. Roadside Development Section sheet.
- F. Corrugated Aluminum Pipe Extensions Summary sheet.
- G. Corrugated Steel Pipe Extensions Summary sheet.
- H. Combination Barrier and Pipe Summary sheet.
- I. Cell Libraries (CADD only).
- J. Font Libraries (CADD only).
- K. Face sheet.
- L. List of Standard Drawings sheets.
- M. Traffic Design Section sheets.
- N. Traffic Operations Section sheets.
- O. Right-of-Way Plans Section sheets.

**770 Final Design Concept Report**

The Final Design Concept Report or other scoping document will be provided to the Consultant, as applicable.

**SECTION 1000 – CONTRACT ADMINISTRATION**

Contract Administration includes activities that are common in the administration of a contract; these activities include but are not limited to Contract Proposal, Initial Cost Estimate Negotiation, Project Control, Subcontract Services, Project Related Correspondence, and Quality Control.

**1010 Arizona Department of Transportation**

ADOT's Project Manager shall:

- A. Conduct ongoing reviews of the Consultant's progress in performing the work and ensure timely comments from the technical units.
- B. Direct design consensus status and team building meetings with all appropriate partners at the start and on a monthly basis during the project development period.
- C. Review the Consultant's billings.
- D. Review and evaluate the Consultant's requests for extension of time and supplemental agreements.
- E. Review all correspondence with public agencies prior to the Consultant's mailing of any correspondence.
- F. Coordinate the distribution of public information with the Communication and Community Partnerships Group.
- G. Provide a focal-point contact for all questions, requests, and submittals.
- H. Coordinate project scheduling with the Consultant, ADOT sections, and ADOT Program and Project Management Section.

**1020 Consultant**

The Consultant shall:

- A. Establish, furnish and maintain suitable office facilities to serve as the project office for the duration of the project in the location specified in the Consultant's technical proposal.
- B. Maintain an adequate staff of qualified support personnel to perform the work necessary to complete the project.
- C. Establish internal accounting methods and procedures for documenting and monitoring project costs.
- D. Establish and maintain contract administration procedures, which will include supplemental agreements, time extensions and subcontracts.
- E. Include the complete TRACS number and project name on all correspondence related to the contract.

- F. Participate in design consensus, status and team building meetings with all appropriate partners at the start, on a monthly basis during the project development period and as needed to maintain the design schedule. If requested by ADOT Project Manager, the Consultant shall act as the lead.
- G. The Consultant is responsible for the accuracy and completeness of contract documents and related design prepared under the project. The plans will be reviewed by the project team including representatives of ADOT technical sections for conformity with ADOT procedures and the terms of the contract. **Review by ADOT does not include detailed review or checking of major component designs and related details or the accuracy with which such designs are depicted on the plans.**

### **1021 Project Control**

The Consultant shall provide data, in the format specified by ADOT, upon request to monitor costs and manpower and to report progress. A Project Control system should include all activities necessary for the management of the project as shown below.

The project control system may include features to:

- A. Determine and highlight a schedule using a critical path method from initial to final plans and as work progresses.
- B. Identify progress against schedule for each identified work item.
- C. Forecast completion dates from current progress.
- D. Highlight rescheduled work in any area which is out of the required sequence.
- E. Determine any physical area that requires more resources than originally allocated.
- F. Forecast future conflicts in any area.
- G. Provide estimates of time, manpower, and dollars (billing and cost management) required at the lowest work element tracked, based upon current expenditures versus schedule.
- H. Provide the capability of random inquiry concerning the status of any work element in terms of schedule, manpower, and dollars.

### **1022 Subcontract Services**

Due to the nature and scope of the required services, it may be desirable for the Consultant to subcontract portions of the work. However, the subcontracting firms must be approved in writing prior to initiation of any work. The volume of work performed by the subcontractors shall not exceed 49 percent (49%) of the total contract value.

### **1023 Project Related Correspondence**

The Consultant shall furnish written documentation of communications between the Consultant and any party, pertaining specifically to the project, to ADOT for record keeping within one week of the communication. The Consultant is responsible for recording and distributing to the participants the notes of all meetings pertaining to the project within one (1) week of the meeting.

## 1024 Quality Control

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

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

## 1025 Quality Control Plan Requirements

- A. Identification of key personnel and definition of specific responsibilities:  
The plan will identify, by name, the specific project personnel and their individual responsibilities relative to the project and the Quality Control process.
- B. Technical review process:  
Technical review shall be distinguished from checking. Checking is for verification of the accuracy of the documents; technical review is for the verification of the overall design concept of the project. As a minimum, technical review will do the following:
  1. Determine the adequacy of the design process to achieve the desired goals.
  2. Evaluate the general selection and sizing of materials and equipment.
  3. Determine if all viable alternatives have been considered.
  4. Determine the practicality of the design concept.
  5. Determine if legal and physical restraints were considered.
  6. Determine if the design theory, concepts, and project layout are logical.
  7. Determine applicability of computer programs used.
  8. Determine if the technical specifications are sufficiently comprehensive.
  9. Determine the constructability of the selected design.
- C. Checking procedures:  
The checking process should assure that all documents produced, including, but not limited to, plans, reports, calculations, specifications, special provisions, estimates, and schedules, are thoroughly checked by an individual equally competent to the originator of the document to verify accuracy. The process will address resolution of conflict and assure agreement of computer programs and procedures for checking computer input and output. Checking shall not only confirm the accuracy of calculations, but shall include a thorough review of the proper use of Standard Drawings, Drafting Guide, Project Design Guidelines, and other manuals and documents referenced under Section 200.
- D. Program to train employees in the quality control requirements:  
The training program should provide an opportunity for all project staff to become familiar with the design and the quality control process that will be required on the project. Particular

attention should be directed to defining specific individual responsibilities and assuring their understanding.

- E. Process to monitor and document quality control activities:  
A method for monitoring and documenting the required processes is essential to achieve desired results; this process should easily and quickly verify the entire Quality Control process. The Submittal Required Document Checklist should be developed and coordinated with the ADOT Project Manager to develop a quick reference and periodic review of the submittals by the Consultant and ADOT.

### **1026 Consultant Personnel**

The Consultant's work shall be performed and/or directed by the key personnel identified in the technical/fee proposal presentations by the Consultants. Any changes in the indicated key personnel or the Consultant's officer-in-charge of the work, as identified in the Consultant's proposal, shall be subject to review and approval by ADOT.

### **1027 Site Visit**

The Consultant shall make arrangements to visit the project site, with agency representatives as appropriate (ADOT, FHWA, National Forest and other interested persons), at least two (2) weeks prior to the visit. The visit will be held within fifteen (15) working days of the receipt of written Notice to Proceed, or as otherwise instructed by the ADOT Project Manager. Within seven (7) calendar days of the site visit, the Consultant shall issue to ADOT a brief written report including observations, discussions, and any questions pertaining to the scope or level of effort of the project. The purpose of the site visit is to acquaint key personnel with the details and features of the project to facilitate the design process. Other visits to the site may be necessary to gather specific information required for the design and/or clearance purposes.

### **1030 Acceptability of the Work**

The plans, design, requested calculations, reports and other documents furnished under the Scope of Work shall conform to "standards-of-the industry" quality. Criteria for acceptance shall be a product of neat appearance, well organized, accurate and complete, technically and grammatically correct, checked in accordance with the approved Quality Control program, and with the designer, maker and checker identified.

### **1040 Design Documentation**

- A. If requested, the Consultant shall submit any design notes, sketches, worksheets, and computations to document the design conclusions reached during the development of the contract documents to ADOT for review.
- B. Structural calculations will only be submitted when requested by the Bridge Group and for specific elements.
- C. At the project completion (immediately prior to the bid advertisement), a final set of project documentation sheets, sealed by a Professional Engineer, Landscape Architect, or Architect, registered in the State of Arizona, shall be submitted to ADOT **without exception** as part of the record set of plans.
- D. Project Documentation shall include, but are not necessarily limited to, the following data:
1. Design criteria used for the project.



2. Right-of-Way calculations (including easements).
  3. Geotechnical reports for the pavement roadway and/or bridge design.
  4. Documentation of decisions reached resulting from meetings, telephone conversations or site visits.
  5. Drainage reports.
  6. Field survey notes and computations.
  7. Calculation of quantities.
  8. Backup documentation of construction estimate unit prices, if requested.
- E. Computer-Aided Design and Drafting (CADD) Standards shall be used for all Projects related Deliverables. ADOT shall retain all rights and ownership of all Electronic Files and Hardcopy Deliverables.
- F. During project construction, and as part of the post-design services rendered by the Consultant, any modification(s) (Revisions) shall be prepared by the designer to complement the changes of work condition that occurred; the plans prepared for these new conditions shall be properly sealed and turned in to the ADOT PM to be stored with the rest of plan documents in Engineering Records. ADOT will retain all rights and ownership of the Electronic Files and Hardcopy Deliverables throughout the Construction Phase.
- G. During the project construction phase, and as part of the post-design services rendered by the Consultant, any modification(s) (addendums, field red-lines, revisions, change orders etc.) shall be included as part of the project's Record Drawing plans which shall be prepared in accordance with the ADOT Red-Line and Record Drawing Procedure and Guidelines as stated in section 600. All Electronic and Hardcopy Deliverables related to post-design addendums and revisions shall be turned in to ADOT for record purposes; revisions shall be sealed by the Professional Engineer, Landscape Architect, or Architect, registered in the State of Arizona, responsible for the modification. ADOT retains all rights and ownership of the Electronic Files and Hardcopy Deliverables throughout the Construction Phase.

### **1050 Value Analysis**

"Value Analysis", also known as "Value Engineering" consists of those tasks performed by a Value Analysis Team in accordance with the Value Analysis Program Manual as referenced in Section 200 and available from the ADOT Value Analysis Section. Any studies or other activities of a similar nature shall not be referred to as "Value Analysis" or "Value Engineering."

The design team is encouraged to recommend value analysis for ADOT standards and specifications, as well as for elements of the project.

### **1051 Value Analysis Team**

The value engineering study will be performed by a value analysis team consisting of ADOT personnel, personnel from consultants or outside agencies, or some combination of these sources. The design team shall cooperate fully with the value analysis team, providing necessary background information for the study. At the discretion of the Project Manager, the design team may be requested to assign one of its representatives to the value analysis team.

**1052 Design Team Responsibilities**

- A. The design team, upon notification of the approval of a value analysis, shall compile appropriate data for analysis and make a presentation to the value analysis team, in accordance with the Study Plan prepared by the Value Engineer. The design team shall communicate and cooperate fully with ADOT's Value Engineer and the value analysis team.
- B. It is expected that the elements necessary for a value study can be assembled and delivered by the design team with minimum expenditure of effort and time under its normal design procedures in approximately four (4) working days. The design team will be allowed to budget thirty-two (32) man-hours for data compilation, the presentation, and study response, if appropriate. If the design team is requested to furnish a representative to participate as a member of the value analysis team, additional hours may be necessary. Although costs for value analysis activities are not identified as a separate expense item for accounting purposes, the design team shall report the hours expended and estimated costs of labor and materials to the ADOT Value Engineer for cost tracking and value analysis program evaluation purposes.
- C. In accordance with the Program Manual, the findings and recommendations of the value study will be forwarded to the ADOT Project Manager for review. The Project Manager will review the value analysis recommendations with the project team and respond to the Value Analysis section as soon as practical indicating acceptance, possible acceptance pending further investigation, or rejection of each recommendation. The design team shall implement the approved recommendations of the value study. If significant effort is required, the additional work will be added to the Scope of Work by contract modification.

**1060 Reviews and Submittals**

- A. Review and coordination of the Consultant's work by ADOT will continue through the project development process. The Consultant may continue the design work while design submittals are being reviewed by ADOT. Doing so however in no way relieves the Consultant of the responsibility to ensure the incorporation of review comments into the design, nor does it entitle the Consultant to any additional design fees as a result of making changes due to review comments.
- B. Partnering Workshops:
  - 1. If requested by ADOT, the Consultant shall participate in joint progress meetings and consensus sessions with other designers on the corridor.
  - 2. The Consultant shall participate in a Construction Partnering Workshop after the project has been awarded and prior to the start of construction.
- C. Submittals for review shall be made when the studies and/or plans have been developed to the following levels of completion:
  - 1. Stage I design.
  - 2. Stage II design.
  - 3. Stage III design.
  - 4. Stage IV design.
  - 5. Stage V design - limited distribution to C&S, District and others as identified by the project manager.

- D. The project may be subject to a constructability review. The Resident Engineer or other assigned District representative will be the leader of the constructability review, which would normally occur after the Stage III submittal and before the Stage IV submittal.
- E. Copies of review submittals and finalized documents shall be distributed by the Consultant in accordance with the Distribution List maintained by the Project Management Section (see Appendix C) or as per the ADOT Project Manager's instructions. The appropriate name for each position may be obtained from the ADOT Project Manager upon request one week prior to any submittal deadline. All deliveries shall be by hand or overnight courier or as directed by the Project Manager.
- F. All plans and cross sections shall be half-size black and white sheets. A separate CD-ROM/DVD containing the CADD (MicroStation) design files used to develop the plan sheets, will be required to be submitted with the final set of plans as specified in Section 1040.

### **1062 Stage I Design Submittal**

An informal review and discussion of the project shall be held prior to the Stage I review submittal. The meeting shall take place as soon as the Consultant has established pre-initial roadway alignment, typical roadway sections, and a tentative plans layout for the project. The attendees shall consist of the Consultant, the assigned design team including ADOT staff involved in the project design, the ADOT Project Manager and other concerned personnel invited by the ADOT Project Manager. This design submittal is included with the scoping document submittal.

The following material shall be developed and submitted to the ADOT Project Manager for review:

1. Initial typical roadway sections.
2. Initial roadway plan and profile sheets at the scales set in Section 410.
3. Tentative plans layout.
4. Initial environmental mitigation measures (for major projects).
5. Preliminary Traffic Engineering Study or "Traffic Analysis Report".
6. Request for utility designation services.
7. Two copies of all plans and cross sections; one set shall be half-size black and white sheets and the other set in PDF format, unless otherwise directed by the Project Manager.

### **1063 Stage II Design Submittal**

The Geotechnical Report shall be submitted to ADOT for review and approval a minimum of fifteen (15) calendar days prior to the Stage II Design Submittal.

In addition, the following material shall be developed and submitted for review:

1. Typical roadway and detour sections.
2. Final roadway geometry and preliminary roadway and detour plan and profile sheets.
3. Location of existing utilities and identification of initial utility conflicts.
4. Utility report.
5. Preliminary R/W and easement requirements.
6. Preliminary roadway drainage plans and details and Initial Roadway Drainage Report.
7. Bridge Hydraulics Report.
8. Bridge Selection Report.
9. Bridge Foundation Report.

10. If required preliminary input for Section 404 permits.
11. Any significant change in engineering data supporting previous environmental decisions or applications.
12. Preliminary summary of required environmental mitigation measures.
13. Preliminary Landscape Architectural plans with proposed sources of power and water.
14. Preliminary development of intersection plans including basic geometry and channelization.
15. Preliminary layouts for proposed retaining and sound barrier walls.
16. Final Traffic Analysis Report.
17. Preliminary construction sequencing plans.
18. Preliminary evaluation of significance of temporary traffic control impact.
19. Final Geotechnical Report.
20. Pavement Design Summary and Initial Materials Design Report.
21. Final survey information.
22. Initial quantities and cost estimate.
23. Preliminary roadway cross sections at one hundred (100) ft. intervals, as a minimum, with additional sections at breaks in the terrain. See Section 440, Roadway Design.
24. Preliminary summary of earthwork quantities.
25. Two copies of all plans and cross sections; one set shall be half-size black and white sheets and the other set in PDF format, unless otherwise directed by the Project Manager.

#### **1064 Stage III Design Submittal**

An office review and field review will be held following submittal of the Stage III plans to review the proposed roadway alignments and bridge site. See Section 410 of this document for field review staking requirements.

In addition, the following material shall be developed and submitted for review:

1. Final typical roadway and detour sections.
2. Pre-final roadway and detour plan and profile sheets.
3. Identification of final utility conflicts and preliminary plans of utility installations and/or relocations to be included in project construction.
4. Pothole data made available to utility companies.
5. Utility report.
6. Final R/W and easement requirements.
7. Pre-final roadway drainage plans and details and Final Roadway Drainage Report.
8. Draft applications for environmental permits including final input for Section 404 permit.
9. Any significant change in engineering data supporting previous environmental decisions or applications.
10. Final summary of required environmental mitigation measures.
11. Pre-final intersection plan sheets.
12. Final construction sequencing plans.
13. Final Materials Design Report.
14. Pre-final layouts for retaining and sound barrier walls.
15. Preliminary landscape architectural plans, summaries and details, and proposed sources of water and power.
16. Preliminary design sheet with index and general notes, summary sheets and special details.
17. Preliminary summary sheets.
18. Preliminary special details.
19. Preliminary bridge structure plans.

20. Preliminary retaining wall and sound barrier wall design plans.
21. Preliminary traffic control plans or transportation management plan; whichever is appropriate.
22. Preliminary pavement marking and signing plans.
23. Preliminary traffic signal plans.
24. Preliminary lighting plans.
25. Preliminary erosion control plans, summaries and details.
26. Preliminary special provisions including ADOT Stored Specifications.
27. Preliminary quantities, cost estimate item number description, unit of measurement, quantity and unit price.
28. Preliminary construction schedule in bar chart format.
29. Preliminary roadway cross sections at one hundred (100) ft. intervals, as a minimum, with additional sections at breaks in the terrain. See Section 440, Roadway Design.
30. Preliminary summary of earthwork quantities.
31. Preliminary Utility Special Provisions.
32. Two copies of all plans and cross sections; one set shall be half-size black and white sheets and the other set in PDF format, unless otherwise directed by the Project Manager.

#### **1065 Stage IV Design Submittal**

Submittals at this level are required to verify compliance with the Scope of Work or ADOT's review comments; any work necessary to meet compliance with the scope, including comments, shall not entitle the Consultant to any additional design fees.

The Consultant shall prepare and submit to U & RR Section, a Utility Clearance Letter in the style and manner as outlined in the *Utility Coordination Guide for Design Consultants*. The clearance letter shall be sent before the Final Submittal is made.

In addition, the following draft final material shall be completed, checked and submitted for review:

1. Design sheet(s) with index and general notes.
2. Summary sheets.
3. Special details.
4. Typical roadway and detour sections.
5. Roadway and detour plan and profile sheets.
6. Drainage plans and details.
7. Intersection plans and details.
8. Construction sequencing plans.
9. Traffic control plans.
10. Traffic signal plans including transportation management plan, when appropriate.
11. Signing and pavement marking plans.
12. Lighting plans.
13. Bridge plans.
14. Retaining wall and sound barrier wall design plans.
15. Landscape Architectural plans and details.
16. Utility installation/relocation plans and details to be included in project construction.
17. Utility report.
18. Utility Special Provisions.
19. Utility relocation schedule and costs.
20. Erosion control plans.

21. Roadway cross sections (see Section 440, Roadway Design).
22. Final summary of earthwork quantities.
23. Quantities, cost estimate and bidding schedule (provide the work done using Microsoft Excel in one hard copy and another in a CD-ROM).
24. Special provisions (provide hard copy and CD-ROM using Microsoft Word).
25. Critical Path Method Construction schedule (schedule) including estimate of project time in either calendar or working days. The schedule shall include a list of activities, estimated duration and milestones and other information as appropriate. Consultant should be able to justify the total construction duration based upon the given scope of work. The schedule logic should demonstrate that the project work can be completed within the contract time.
26. Final environmental commitments including mitigation measures and approved environmental permits, if required.
27. Final design calculations.
28. Final survey computations and results of survey.
29. Two copies of all plans and cross sections; one set shall be half-size black and white sheets and the other set in PDF format, unless otherwise directed by the Project Manager.

NOTE: The ADOT technical reviewer may require checked computations and checked data on the plans for all of these items prior to submittal.

ADOT's review will include technical content, incorporation of previous comments, and completion of design and details, as well as:

1. Conformance with ADOT requirements.
2. Completeness of the contract documents.
3. Compatibility of plans, specifications, and special provisions.
4. Coordination between disciplines, phases, and outside parties.
5. Clarity of the contract documents.
6. Consistency of presentation.

### **1066 Stage V Design Submittal**

Submittals at this level are required to verify final compliance with the Scope of Work and ADOT's review comments.

The 29 items listed in Section 1065 shall be completed, checked and submitted for final review by the Contracts and Specifications team specialist. At the discretion of the ADOT Project Manager, additional ADOT technical discipline staff or the appropriate District staff may be consulted for review at this stage.

ADOT's review will include technical content and incorporation of previous comments, as well as:

1. Conformance with ADOT requirements.
2. Completeness of the contract documents.
3. Compatibility of plans, specifications, and special provisions.
4. Coordination between disciplines, phases, and outside parties.
5. Clarity of the contract documents.
6. Consistency of presentation.

This review may result in significant additional work by the Consultant depending on the quality of the initial submittal. Any work deemed necessary by the reviewer(s) to ready the contract documents for bid

advertisement shall be completed by the Consultant and shall not entitle the Consultant to any additional design fees.

Note: Any documents and/or materials provided for use on the project shall be returned to ADOT at this time.

### 1067 Bid-Ready Submittal

The following materials shall be submitted to the ADOT Project Manager when the Contracts and Specifications specialist has approved revisions to the Stage V submittal and is ready to advertise the project:

1. A complete, full-size, original source PDF of sealed and signed contract plans necessary to construct the road and/or bridge improvements identified in the contract.
2. A complete, original source PDF of sealed and signed special provisions, including stored specifications, to cover design items not identified in the ADOT Standard Specifications for Road and Bridge Construction, current edition.
3. A complete, original source PDF of the Final Geotechnical Report (if applicable).
4. A complete, original source PDF of the Final Bridge Selection Report (if applicable).
5. A complete, original source PDF of earthwork cross sections by station showing the plotted roadway template superimposed on the plotted natural terrain (see Section 440, Roadway Design).
6. A complete, original source PDF of final earthwork quantities, calculations and overall summaries.
7. Other reports and materials as requested by the ADOT Project Manager.

For all projects with geometrics, provide the following item in 2D format (3D is optional at this time): (Exceptions to this might be minor pavement preservation projects that have only a few typical section sheets or local projects where the design does not affect a state facility).

- All basefiles in DGN format.

For all projects with cross sections and earthwork, provide the following in 3D format:

- Existing DTM.DGN basefile
- Design Surface DTM.DGN basefile

For all projects, provide the following if revisions were made to the information submitted at Stage V:

- A complete electronic copy of the CADD design files used to create all plan sheets as specified in Section 1040 and 490 (these files shall not contain the Registered Engineer seal and/or electronic signature.)

Following completion of the bid advertisement period, the Consultant shall provide the following to the ADOT Project Manager:

- A separate CD/DVD containing original source signed and sealed PDF's of the As-Bid set of plans, including any addendums. File names shall conform to the format provided by ADOT in section 490 and/or required by any ADOT technical section. The Consultant is also advised to retain a copy of the PDF files for later use when preparing the Record Drawings.

All review submittals of the construction plans shall be clearly stamped "**PRELIMINARY - NOT FOR CONSTRUCTION**". The percentage of completion and date submitted should be clearly evident. Failure to comply may be cause for rejection of the submittal. Only **the final approved bid-ready plans shall be properly sealed and signed by an Arizona Registered Professional Engineer** and issued without the above stamped notation.