

**NEW MEXICO DEPARTMENT
OF TRANSPORTATION**

**REQUEST FOR PROPOSALS
ENGINEERING CONSULTANT SERVICES**



NM DOT

**RFP No. 22-12
CN 6101580
FEDERAL FUNDS**

**I-40 between Arizona State Line and Atrisco Vista Boulevard
Interchange**

OCTOBER 2021

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I. INTRODUCTION

A. PURPOSE OF THIS REQUEST FOR PROPOSALS

The New Mexico Department of Transportation (NMDOT, Department or Agency) is requesting proposals from qualified firms or Offerors to provide Phase IA/B services on I-40 between MP 0.0 to MP 150.0 if needed, the consultant will be asked to negotiate services for Phase IC/ID, Phase II Final Design and Phase III Services.

B. SCOPE OF WORK

The selected Offeror shall perform the services as specified in Appendix A, Project Introduction and Scope of Work. Project numbers shown throughout this Request for Proposals (RFP) are subject to change throughout the life of the project.

C. SCOPE OF PROCUREMENT

The Department intends on establishing a contract with a four (4) year term. In the case an extension is needed due to unforeseen circumstances, NMSA 1978, Section 13-1-150 B (6) allows for design and engineering contracts to exceed a four-year term upon approval of the New Mexico Department of Finance Administration (DFA).

D. PROCUREMENT MANAGER

The Department has designated a Procurement Manager who is responsible for the conduct of this procurement and whose name, address and telephone number is listed below. All deliveries via express carrier should be addressed as follows:

Juanita Sanchez
Procurement Division
New Mexico Department of Transportation
1120 Cerrillos Rd., Rm #113
Santa Fe, NM 87504
Ph. (505) 629-8790
Email: Juanita.Sanchez@state.nm.us

In order for the Department to ensure transparency in its procurement process, that the process is fair, equitable, and that the process complies with the Procurement Code, any inquiries or requests regarding this RFP, the underlying procurement, or the procurement process must be submitted to the Procurement Manager in writing. Offerors will contact ONLY the Procurement Manager regarding the RFP, the underlying procurement and procurement process. Other state employees or Professional Services Selections Committee (PSSC) members do not have the authority to respond on behalf of the NMDOT. Any communication regarding this procurement or the procurement process that is not with the Procurement Manager is not in compliance with this directive and will result in disqualification of the Offeror's proposal in accordance with 1.4.1.69 NMAC.

E. DEFINITION OF TERMINOLOGY

This section contains definitions and abbreviations that are used throughout this procurement document. Definitions should be read consistent with the Procurement Code, NMSA 1978, Sections 13-1-1 through 13-1-199, and 1.4.1 NMAC, Procurement Code Regulations.

- “Agency,” “Department,” or “NMDOT” means the New Mexico Department of Transportation.
- “Authorized Purchaser” means an individual authorized by a Participating Entity to place orders against this contract.
- “Award” means the final execution of the contract, typically indicated by last dated signature of all identified signatories to that contract.
- “Business Day” means any day except Saturday, Sunday or state- or federal-legal holiday recognized in the State of New Mexico by the Department.
- “Business Hours” means 7:45 AM thru 4:30 PM Mountain Standard or Mountain Daylight Time, whichever is in effect on the date given.
- “Calendar Day” means each day on the calendar, including Saturdays, Sundays and holidays. For purposes of deadlines, calendar days mean each day, not including the day of the defining event, from which a designated period of time begins to run, including the last day of the period unless it is a Saturday, Sunday, or legal holiday, in which case the period runs until the end of the next day that is not a Saturday, Sunday, or legal holiday. The term “day” means calendar day whether or not expressly identified.
- “Close of Business” means 4:30 PM Mountain Standard or Mountain Daylight Time, whichever is in effect on the date given.
- “Confidential” means confidential financial information concerning Offeror’s organization and data that qualifies as a trade secret in accordance with the Uniform Trade Secrets Act, NMSA 1978, Sections 57-3-A-1 through 57-3A-7. See also, 1.4.1.45 NMAC. No information that could be obtained from a source outside this RFP can be considered confidential information.
- “Contract” means any agreement for the procurement of items of tangible personal property, services or construction. A contract is also referenced in this RFP as an “Agreement.”
- “Contractor” means any business having a contract with a state agency or local public body. A contractor may also be referenced in this RFP as “Consultant” or “Engineer.”
- “Desirable” includes the terms “may”, “can”, “should”, “preferably”, or “prefers,” and identifies a desirable or discretionary item or factor, as opposed to “mandatory” item or factor.
- “Determination” means the written documentation of a decision of a procurement officer including findings of fact required to support a decision. A determination becomes part of the procurement file to which it pertains.

- “Finalist” is defined as an Offeror who meets all the mandatory specifications of this RFP and whose score on evaluation factors is sufficiently high to merit further consideration by the Professional Services Selections Committee (PSSC).
- “Hourly Rate” means the proposed fully loaded maximum hourly rates that include travel, per diem, fringe benefits and any overhead costs for contractor personnel, as well as subcontractor personnel if appropriate.
- “IT” means Information Technology.
- “Mandatory” includes the terms “must”, “shall”, “will”, “is required”, or “are required”, and identifies a mandatory item or factor, as opposed to “desirable” item or factor. Failure to meet a mandatory item or factor will result in the rejection of the Offeror’s proposal.
- “Minor Technical Irregularities” means anything in the proposal that does not affect the price quality and quantity or any other mandatory requirement.
- “Multiple Source Award” means an award of an indefinite quantity contract for one or more similar services, items of tangible personal property or construction to more than one Offeror.
- “Non-Responsive” means not adequately addressing or meeting the requirements contained in a request for competitive bids on a contract. Any Offeror that does not comply with the RFP’s mandatory items or factors, or whose offering fails to meet the RFP’s acceptability requirements will be rejected as Non-Responsive, with Non-Responsive proposals disqualified and eliminated from further consideration.
- “Offeror” is one who submits a proposal in response to a RFP. In the context of a proposal, an offeror may also be referenced in this RFP as “Consultant” or “Engineer.”
- “Person” means an individual, corporation, business trust, estate, trust, partnership, limited liability company, association, joint venture or other legal or commercial entity.
- “Procurement Division” means the Procurement Division within the NMDOT Office of Business Support.
- “Procurement Manager” means the person or designee authorized by the Department to enter into or administer contracts and make written determinations with respect thereto.
- “Procuring Agency” means all State of New Mexico agencies, commissions, institutions, political subdivisions and local public bodies allowed by law to entertain procurements.
- “Professional Services Selections Committee” or “PSSC” means a body appointed by the Department to perform the evaluation of Offerors’ proposals.
- “Project” means a temporary process undertaken to solve a well-defined goal or objective with clearly defined start and end times, a set of clearly defined tasks, and a budget. The project terminates once the project scope is achieved and project acceptance is given by the project executive sponsor.

- “Request for Proposals” or “RFP” means all documents, including those attached or incorporated by reference, used for soliciting proposals.
- “Responsible Offeror” means an Offeror who submits a responsive proposal and who has furnished, when required, information and data to prove that his financial resources, production or service facilities, personnel, service reputation, and experience are adequate to make satisfactory delivery of the services or items of tangible personal property described in the proposal.
- “Responsive Offer” or “Responsive Proposal” means an offer which conforms in all material respects to the requirements set forth in the request for proposals. Material respects of a request for proposals include, but are not limited to price, quality, quantity, or delivery requirements.
- “Sealed” means, in terms of a non-electronic submission, that the proposal is enclosed in a package which is completely fastened in such a way that nothing can be added or removed. Open packages submitted will not be accepted, except for packages that may have been damaged by the delivery service itself. The Department reserves the right to accept or reject packages where there may have been damage done by the delivery service itself. Whether a package has been damaged by the delivery service or left unfastened and should or should not be accepted is a determination to be made by the Procurement Manager. By submitting a proposal, the Offeror agrees to and concurs with this process and accepts the determination of the Procurement Manager in such cases.
- “Staff” means any individual who is a full-time, part-time, or an independently contracted employee with the Offerors’ company.
- “State” or “the State” means the State of New Mexico.
- “State Agency” means any department, commission, council, board, committee, institution, legislative body, agency, government corporation, educational institution or official of the executive, legislative or judicial branch of the government of this state. “State Agency” means for this RFP, the New Mexico Department of Transportation.
- “Statement of Concurrence” means an affirmative statement from the Offeror to the required specification agreeing to comply and concur with the stated requirement(s). This statement shall be included in Offeror’s proposal, e.g. “We concur”, “Understands and Complies”, “Comply”, “Will Comply if Applicable,” etc.
- “Written” means typewritten on standard 8 ½ x 11 inch paper. Larger paper is permissible for charts, spreadsheets, etc.

II. CONDITIONS GOVERNING THE PROCUREMENT

This section of the RFP contains the schedule for the procurement, describes the major procurement events and the conditions governing the procurement. Failure to comply with mandatory conditions governing procurement will result in the Offeror's proposal being regarded as Non-Responsive.

A. SEQUENCE OF EVENTS

The Procurement Manager will make every effort to adhere the following schedule:

<u>Action</u>	<u>Responsibility</u>	<u>Date</u>
1. Issue of RFP	NMDOT	10/1/2021
2. Pre-proposal Conference (Due 1:30 p.m. MDT)	NMDOT & Offerors	No Presentation
3. Acknowledgement of Receipt Form ("Appendix C")	Offerors	10/18//2021
4. Deadline to Submit Additional Written Questions	Offerors	10/20/2021
5. Response to Written Questions/RFP Amendments	NMDOT	10/22/2021
6. Submission of Proposal (Due 2:00 p.m. MST)	Offerors	11/2/2021
7. Proposal Evaluation	PSSC	November 2021
8. Selection of Finalists	PSSC	Nov/Dec 2021
9. Oral Presentation by Finalists (if applicable)	Offeror	Dec 2021/Jan 2022
10. Best and Final Offers	Offeror	Jan/February 2022
11. Finalize Contract	Offeror/NMDOT	Feb/March 2022
12. Contract Award	NMDOT	March 2022

B. EXPLANATION OF EVENTS

The following paragraphs describe the activities listed in the sequence of events shown in Section II, Paragraph A.

1. Issue of RFP

This RFP is being issued by the New Mexico Department of Transportation.

2. Pre-proposal Conference

A pre-proposal conference will **NOT** be held for this project.

3. Acknowledgement of Receipt Form

Potential Offerors must email or send by registered or certified mail the "Acknowledgement of Receipt Form" that accompanies this document to have their organization placed on the procurement distribution list. (See Appendix C.) The form must be signed by an authorized representative of the organization, dated, and returned by the close of business on **October 18, 2021**.

The procurement distribution list will be used for the distribution of written responses to questions and any RFP amendments.

Failure to return this form constitutes a presumption of receipt and rejection of the RFP, and the potential Offeror's organization name will not appear on the distribution list.

4. Deadline to Submit Additional Written Questions

Potential Offerors may submit additional written questions as to the intent or clarity of this RFP until the close of business on **October 20, 2021**. All written questions must be addressed to the Procurement Manager. (See Section I, Paragraph D.)

5. Response to Written Questions/RFP Amendments

Written responses to written questions and any RFP amendments will be distributed on **October 22, 2021**, to all potential Offerors whose organization name appears on the procurement distribution list.

Additional written requests for clarification of distributed answers and/or amendments must be received by the Procurement Manager no later than one (1) day after the answers and/or amendments were issued.

6. Submission of Proposal

Proposals must be submitted to the Department electronically through Bid Express, which may be accessed at the following website: www.bidexpress.com. Offerors must register prior to the submission deadline and create an account and a digital ID with Bid Express in order to submit proposals electronically. Electronic proposals must be in a PDF format in order to submit through Bid Express.

Proposals submitted by hard copy, facsimile, email, or any other manner other than the prescribed means will be rejected.

ALL OFFERORS MUST SUBMIT ELECTRONIC COPY THROUGH BID EXPRESS FOR REVIEW AND EVALUATION BY THE PROCUREMENT MANAGER OR DESIGNEE NO LATER THAN 2:00 P.M. MST ON NOVEMBER 2, 2021. The date and time will be recorded on each proposal. Proposals received after this deadline will be rejected.

A public log will be kept of the names of all Offerors that submitted proposals. Pursuant to NMSA 1978, Section 13-1-116, the contents of proposals shall not be disclosed to competing potential Offerors during the negotiation process. The negotiation process is deemed to be in effect until the contract is awarded pursuant to this RFP.

7. Proposal Evaluation

The evaluation of proposals will be performed by the PSSC appointed by the Department. This process will take place during the month of **November 2021**. During this time, the Procurement Manager may initiate discussions with Offerors who submit responsive or potentially responsive proposals for the purpose of clarifying aspects of the proposals; however, proposals may be accepted and evaluated without such discussion. Discussions **SHALL NOT** be initiated by the Offerors.

8. Selection of Finalists

The PSSC will select and Procurement Manager will notify the finalist Offerors in the month(s) of **Nov/Dec 2021**. Only finalist Offerors will be invited to participate in the subsequent steps of the procurement. If applicable, the schedule for Oral Presentations will be determined at that time.

9. Oral Presentation by Finalists (if applicable)

In the event of a tie, scores are too close, or based on the size and complexity of the project, executive management or the Chief Procurement Officer (CPO) will determine whether to conduct oral presentations. Offerors identified to conduct oral presentations will prepare a presentation to the PSSC and present to all members at a given time and location identified by the Procurement Manager. In the event of Oral Presentations, presentations for this procurement will be held in **Dec 2021/Jan 2022** and are limited to one (1) hour in duration for each Offeror.

The CPO has determined the point value will be forty (40) points. Each PSSC member will determine the distribution of the points to each team. The team with the highest score will be considered the top ranked Offeror. Additional discussion or presentations may be necessary.

10. Best and Final Offers from Finalists (if applicable)

Finalist Offerors may be asked to submit revisions to their proposals by **Jan/February 2022** for the purpose of obtaining best and final offers. Best and final offers may be clarified and amended at the finalist Offeror's oral presentation.

11. Finalize Contract

The contract will be finalized with the most advantageous Offeror in the month(s) of **Feb/March 2022**. This date is subject to change at the discretion of the Department. In the event mutually agreeable terms cannot be reached with the apparent most advantageous Offeror in the time specified, the Department reserves the right to finalize a contractual agreement with the next most advantageous Offeror(s) without undertaking a new procurement process.

12. Contract Award

NMDOT anticipates awarding the contract in the month of **March 2022**. These dates are subject to change at the discretion of the Department.

The contract shall be awarded to the Offeror(s) whose proposal is most advantageous, taking into consideration the evaluation factors set forth in the RFP. The most advantageous proposal may or may not have received the most points.

13. Right to Protest

Any protest by an Offeror must be timely and in conformity with NMSA 1978, Section 13-1-172 and applicable procurement regulations. The Department's Chief Procurement Officer serves as protest manager for this RFP. Pursuant to NMSA 1978, Section 13-1-172, ONLY protests delivered directly to the protest manager in writing and in a timely fashion will be considered to have been submitted properly and in accordance with statute, rule, and this Request for Proposals. The fifteen (15) calendar day protest period shall begin on the day following the award of contract(s) and will end at 4:30 p.m. Mountain Standard Time/Daylight Time on the fifteenth (15th) day.

Protests must be written and must include the name and address of the protestor and the Request for Proposal number. Protests must also contain a statement of the grounds for protest, including appropriate supporting exhibits, and must specify the ruling requested from the party listed below. Emailed protests will not be considered as properly submitted. Protests must be mailed or hand delivered to:

New Mexico Department of Transportation
Procurement Division
Attn: Christina Baca, Chief Procurement Officer
1120 Cerrillos Rd., Room #112
Santa Fe, New Mexico 87504

C. GENERAL REQUIREMENTS

This procurement will be conducted in accordance with Chapter 13, NMSA 1978 and 1.4.1 NMAC.

1. Acceptance of Conditions Governing the Procurement

Offerors must indicate their acceptance of the Conditions Governing the Procurement section in the letter of transmittal. Submission of a proposal constitutes acceptance of the Evaluation Factors contained in Section V of this RFP.

2. Overhead Rate Compliance and Contractual Eligibility for Engineering & Design Consultants

State departments of transportation are required to provide reasonable assurance that architectural and engineering consulting firms are in compliance with the federal cost principles on Federal-Aid Highway Program (FAHP) funds. A procedure has been developed by the NMDOT Office of the Inspector General (see links below), which will determine, with reasonable assurance, engineering and design consultant compliance with applicable cost principles contained in the Federal Acquisition Regulations (48 CFR part 31), specified under the 23 USC Section 112(b)(2) and defined in 23 CFR Section 172.3. The procedure explains what is to be submitted, how it will be submitted, when it's required and additional resources for questions. Eligibility for NMDOT engineering & design contracts is dependent upon the consultant's compliance with this procedure. A list of eligible consultants will be updated by the fifth day of each month and posted on the NMDOT public website at:

https://dot.state.nm.us/content/dam/nmdot/OIG/Consultant_Overhead_List.pdf

Links to Engineering & Design Consultants Procedure for Determining Overhead Rate:

https://dot.state.nm.us/content/dam/nmdot/OIG/Consultant_Overhead_List.pdf

https://dot.state.nm.us/content/dam/nmdot/OIG/Overhead_Rate_processing_procedure3-24-20.pdf

In all cases, Consultants must follow this procedure and receive eligibility acknowledgement from the NMDOT Office of the Inspector General (OIG) prior to the proposal deadline for this RFP. Eligibility shall be evidenced by the inclusion of the Consultant on the eligibility list posted on the NMDOT public website and/or an email acknowledgement of eligibility from the NMDOT OIG. Engineering and Design Consultant firms who do not adhere to the requirements of this section shall be determined non-responsive and their proposal will be rejected from consideration for award.

The indirect cost rate approved by the OIG at the time of proposal deadline date will be the rate recognized for the duration of the contract, which includes all term extensions.

3. Incurring Cost

Any cost incurred by the potential Offeror in preparation, transmittal, and/or presentation of any proposal or material submitted in response to this RFP shall be borne solely by the Offeror. Any cost incurred by the Offeror for set up and demonstration of the proposed equipment and/or system shall be borne solely by the Offeror.

4. Prime Contractor Responsibility

Any contract that may result from this RFP shall specify that the prime Contractor is solely responsible for fulfillment of the contract with the Department. The Department will make contract payments only to the prime Contractor.

5. Subcontractors/Consent

The use of subcontractors is allowed. The prime Contractor shall be wholly responsible for the entire performance of the contract whether or not subcontractors are used. Additionally, the prime Contractor must receive approval, in writing, from the Department before any subcontractor is used during the term of the agreement.

6. Certifications and Licenses

Potential Offerors must have the proper certifications and licenses to do business in New Mexico as follows:

Corporations:

- File Articles of Incorporation with the Secretary of State's Office and record with the County pursuant to NMSA 1978, Section 53-4-6.
- Name of registered agent pursuant to NMSA 1978, Section 53-5-2.
- Certificate of Authority from the Secretary of State's Office indicating that the corporation is authorized to conduct business in New Mexico pursuant to NMSA 1978, Sections 53-17-6 and 53-17-8.
- Obtain a Federal employer identification number.
- Register with the New Mexico Taxation and Revenue Department and obtain a tax identification number to report gross receipts taxes.

Limited Liability Companies:

- Registered office and registered agent for service of process that is either a New Mexico resident or domestic corporation, limited liability company, or partnership that is located in New Mexico.
- File an Application for Registration with the Secretary of State's Office to conduct business in New Mexico and must obtain a Certificate of Good Standing from the Secretary of State's Office to conduct business in New Mexico.
- Obtain a Federal employer identification number.
- Register with the New Mexico Taxation and Revenue Department and obtain a tax identification number to report gross receipts taxes.

Limited Partnerships:

- Apply for Certificate of Limited Partnership with the New Mexico Secretary of State pursuant to NMSA 1978, Sections 54-2A-101 through 54-2A-119.
- File a Statement of Qualifications with the New Mexico Secretary of State pursuant to NMSA 1978, Sections 54-1A-101 through 54-1A-1206.
- Obtain a Federal employer identification number.
- Register with the New Mexico Taxation and Revenue Department and obtain a tax identification number to report gross receipts taxes.

General Partnerships:

- File a Statement of Partnership Authority with the Secretary of State pursuant to NMSA 1978, Sections 54-1A-101 through 54-1A-1206.
- Obtain a Federal employer identification number.
- Register with the New Mexico Taxation and Revenue Department and obtain a tax identification number to report gross receipts taxes.

Sole Proprietorships and Joint Ventures:

- Obtain a Federal employer identification number.
- Register with the New Mexico Taxation and Revenue Department and obtain a tax identification number to report gross receipts taxes.

7. Amended Proposals

An Offeror may submit an amended proposal before the deadline for receipt of proposals. Such amended proposals must be complete replacements for a previously submitted proposal and must be clearly identified as such in the transmittal letter. The Department will not merge, collate, or assemble proposal materials.

8. Offerors' Rights to Withdraw Proposal

Offerors will be allowed to withdraw their proposals at any time prior to the deadline for receipt of proposals. The Offeror must submit a written withdrawal request signed by the Offeror's duly authorized representative and addressed to the Procurement Manager. The approval or denial of withdrawal requests received after the deadline for receipt of the proposals is governed by the applicable procurement regulations. (See 1.4.1 NMAC.)

9. Proposal Offer Firm

Responses to this RFP, including proposal prices for services, will be considered firm for one hundred twenty (120) calendar days after the due date for receipt of proposals or ninety (90) calendar days after the due date for the receipt of a best and final offer, provided the Offeror is invited or required to submit one.

10. Disclosure of Proposal Contents

A. Proposals will be kept confidential until negotiations and the award are completed by the Department. At that time, all proposals and documents pertaining to the proposals will be open to the public, except for material that is clearly marked proprietary or confidential. The Procurement Manager will not disclose or make public any pages of a proposal on which the potential Offeror has stamped or imprinted "proprietary" or "confidential" subject to the following requirements:

1. Proprietary or confidential data shall be readily separable from the proposal in order to facilitate eventual public inspection of the non-confidential portion of the proposal.
2. Confidential data is restricted to:
 - a. confidential financial information concerning the Offeror's organization; and

b. data that qualifies as a trade secret in accordance with the Uniform Trade Secrets Act, NMSA 1978 § 57-3A-1 to 57-3A-7.

B. If a request is received for disclosure of data for which an Offeror has made a written request for confidentiality, the Department shall examine the Offeror's request and make a written determination that specifies which portions of the proposal should be disclosed. Unless the Offeror takes legal action to prevent the disclosure, the proposal will be so disclosed. The proposal shall be open to public inspection subject to any continuing prohibition on the disclosure of confidential data.

Please note: The price of products offered or the cost of services proposed shall not be designated as proprietary or confidential information.

11. No Obligation

This RFP in no manner obligates the Department or any of its programs to the use of any Offeror's services until a valid written contract is awarded and approved by appropriate authorities.

12. Termination

This RFP may be canceled at any time, and any and all proposals may be rejected in whole or in part when the Procurement Manager determines such action to be in the best interest of the Department.

13. Sufficient Appropriation

Any contract awarded as a result of the RFP process may be terminated if sufficient appropriations or authorizations do not exist. Such termination will be effected by sending written notice to the Contractor. The Department's decision as to whether sufficient appropriations and authorizations are available will be accepted by the Contractor as final.

14. Legal Review

The Department requires that all Offerors agree to be bound by the General Requirements contained in this RFP. Any Offeror concerns must be promptly brought to the attention of the Procurement Manager.

15. Governing Law

This RFP and any contract with an Offeror which may result from this procurement shall be governed by the laws of the State of New Mexico.

16. Prohibited Bidding

Pursuant to NMSA 1978, Section 10-16-13, the Department shall not accept a bid or proposal from a person who directly participated in the preparation of specifications, qualifications, or evaluation criteria on which the specific competitive bid or proposal was based. A person in this context includes the person's agents, employees, or representatives.

A person accepting a bid or proposal on behalf of a state agency or political subdivision of this State shall exercise due diligence to ensure compliance with this section.

17. Consent to Jurisdiction and Venue

If a recipient of this RFP chooses to offer a proposal, the Offeror understands and agrees that by submitting such proposal to the Department, they consent to and agree to the exclusive jurisdiction of the Courts of the State of New Mexico for the resolution of any disputes arising under or resulting from contract selection and/or approval process in response to this RFP, or any dispute arising under or resulting from the performance of any contract resulting from this RFP that cannot be resolved informally. The Offeror, by submitting such proposal, waives any objection to the personal jurisdiction of the Courts of the State of New Mexico over the Offeror. By submitting such proposal, the Offeror agrees and consents that the Santa Fe County District Court shall have venue and jurisdiction over all matters arising or derived from this RFP, including a resulting contract.

18. Basis for Proposal

Only information supplied by NMDOT in writing through the Procurement Manager or in this RFP should be used as the basis for the preparation of Offeror proposals.

19. Contract Terms and Conditions

The negotiated contract between the Department and the Contractor will follow the format specified by the Department and contain the terms and conditions as set forth in Appendix B (Contract for Federal Funding). The Department reserves the right to negotiate with a successful Offeror provisions in addition to those contained in this RFP.

The Department discourages exceptions from the contract terms and conditions as set forth in the RFP sample contract at Appendix B. Such exceptions may cause a proposal to be rejected as non-responsive when, in the sole judgment of the Department, the proposal appears to be conditioned on the exception or correction of what is deemed to be a deficiency, or an unacceptable exception is proposed which would require a substantial proposal rewrite to correct.

Should an Offeror object to any of the Department's terms and conditions, as referenced in this Section or contained in Appendix B, that Offeror must propose specific alternative language. The Department may or may not accept the alternative language. General references to the Offeror's terms and conditions or attempts at complete substitutions are not acceptable to Department and will result in disqualification of the Offeror's proposal.

The contents of this RFP, as revised and/or supplemented, and the successful Offeror's proposal will be incorporated into and become part of the negotiated contract. In the event the Offeror's proposal conflicts with the RFP, the RFP governs. In the event the executed contract conflicts with the proposal, the executed contract governs.

Offerors must provide a brief discussion of the purpose and impact, if any, of each proposed change followed by the specific proposed alternate wording.

If an Offeror fails to propose any alternate terms and conditions during the procurement process, i.e., the RFP process prior to selection as successful Offeror, then no proposed alternate terms and conditions will be considered later during the negotiation process. Failure to propose alternate terms and conditions during the procurement process constitutes an explicit agreement by the Offeror that the contractual terms and conditions contained in this RFP are accepted by the Offeror.

20. Offeror's Terms and Conditions

Offerors must submit with the proposal a complete set of any additional terms and conditions which they expect to have included in a contract negotiated with the Department.

21. Contract Deviations

Any additional terms and conditions, which may be the subject of negotiation, will be discussed only between the Department and the selected Offeror and shall not be deemed an opportunity to amend the Offeror's proposal.

22. Contract Negotiations

Contract negotiations will be held in accordance with applicable provisions of 1.4.1.39 NMAC, Procurement Code Regulations.

23. Offeror Qualifications

The PSSC may make such investigations as necessary to determine the ability of the Offeror to adhere to the requirements specified within this RFP. The PSSC will reject the proposal of any Offeror who is not a responsible Offeror or fails to submit a responsive offer as defined in NMSA 1978, Sections 13-1-83 and 13-1-85.

24. Right to Waive Minor Irregularities

The PSSC reserves the right to waive minor irregularities. The Chief Procurement Officer reserves the exclusive right to determine whether discrepancies regarding mandatory requirements result in an offer being Non-Responsive.

25. Change in Contractor Representatives

The Department reserves the right to require a change in contractor representatives if, in the opinion of the Department, the assigned representative(s) is (are) not adequately meeting the needs of the Department.

26. Notice of Penalties

The Procurement Code, NMSA 1978, Sections 13-1-28 through 13-1-199, imposes civil, misdemeanor and felony criminal penalties for its violation. In addition, the New Mexico criminal statutes impose felony penalties for bribes, gratuities and kickbacks.

27. Agency Rights

The Department in agreement with the PSSC reserves the right to accept all or a portion of a potential Offeror's proposal.

28. Right to Publish

Throughout the duration of the procurement process and contract term, Offerors and Contractors must secure from the Department written approval prior to the release of any information that pertains to the potential work or activities covered by this procurement and/or Department contracts deriving from this procurement. Failure to adhere to this requirement may result in disqualification of the Offeror's proposal or removal from the Contract.

29. Ownership of Proposals

All documents submitted in response to this RFP shall become the property of the Department.

30. Confidentiality

Any confidential information provided to, or developed by, the Contractor in the performance of the Contract resulting from this RFP shall be kept confidential and shall not be made available to any individual or organization by the Contractor without the prior written approval of the Department.

The Contractor(s) agrees to protect the confidentiality of all confidential information and not to publish or disclose such information to any third party without the Department's written permission.

31. Electronic Mail Address Required

A large part of the communication regarding this procurement will be conducted by electronic mail (e-mail). Offeror must have a valid e-mail address to receive this correspondence.

32. Use of Electronic Versions of this RFP

This RFP is being made available by electronic means. If accepted by such means, the Offeror acknowledges and accepts full responsibility to insure that no changes are made to the RFP. In the event of conflict between a version of the RFP in the Offeror's possession and the version maintained by the Department, the version maintained by the Department shall govern.

33. New Mexico Employees Health Coverage (see "Appendix F")

A. If the Offeror has, or grows to, six (6) or more employees who work, or who are expected to work, an average of at least twenty (20) hours per week over a six (6) month

period during the term of the executed contract, Offeror must agree to have in place, and agree to maintain for the term of the contract, health insurance for those employees if the expected annual value in the aggregate of any and all contracts between Contractor and the State exceed \$250,000 dollars.

- B. Offeror must agree to maintain a record of the number of employees who have (a) accepted health insurance; (b) decline health insurance due to other health insurance coverage already in place; or (c) decline health insurance for other reasons. These records are subject to review and audit by a representative of the State.
 - C. Offeror must agree to advise all employees of the availability of state publicly-financed health care coverage programs.
 - D. For Indefinite Quantity, Indefinite Delivery contracts, i.e., price agreements without specific limitations on quantity and providing for an indeterminate number of orders to be placed against it, these requirements shall apply the first day of the second month after the Offeror reports combined sales of \$250,000 from the state, and if applicable, from local public bodies if from a state price agreement.
34. Disclosure of Campaign Contributions (see “Appendix E”)

Offeror must complete, sign, and return the Campaign Contribution Disclosure Form as a part of their proposal. This requirement applies regardless whether a covered contribution was made or not made for the positions of Governor and Lieutenant Governor. Failure to complete and return the signed unaltered form will result in disqualification.

35. Disclosure Regarding Responsibility

- A. Any prospective Contractor and any of its principals who enter into a contract greater than sixty thousand dollars (\$60,000.00) with any state agency or local public body for professional services, tangible personal property, services or construction agrees to disclose whether the Contractor, or any principal of the Contractor:
 - 1. is presently debarred, suspended, proposed for debarment, or declared ineligible for award of contract by any federal entity, state agency or local public body;
 - 2. has within a three-year period preceding this offer, been convicted in a criminal matter or had a civil judgment rendered against them for:
 - a. the commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (federal, state or local) contract or subcontract;
 - b. violation of Federal or state antitrust statutes related to the submission of offers; or
 - c. the commission in any federal or state jurisdiction of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, tax evasion, violation of Federal criminal tax law, or receiving stolen property;

3. is presently indicted for, or otherwise criminally or civilly charged by any (federal state or local) government entity with the commission of any of the offenses enumerated in paragraph A of this disclosure; or
 4. has, preceding this offer, been notified of any delinquent federal or state taxes in an amount that exceeds \$3,000.00 of which the liability remains unsatisfied. Taxes are considered delinquent if the following criteria apply.
 - a. The tax liability is finally determined. The liability is finally determined if it has been assessed. A liability is not finally determined if there is a pending administrative or judicial challenge. In the case of a judicial challenge of the liability, the liability is not finally determined until all judicial appeal rights have been exhausted.
 - b. The taxpayer is delinquent in making payment. A taxpayer is delinquent if the taxpayer has failed to pay the tax liability when full payment was due and required. A taxpayer is not delinquent in cases where enforced collection action is precluded.
 - c. Have had within a three year period preceding this offer, one or more contracts terminated for default by any federal or state agency or local public body.
- B. Principal, for the purpose of this disclosure, means an officer, director, owner, partner, or a person having primary management or supervisory responsibilities within a business entity or related entities.
- C. The Contractor shall provide immediate written notice to the Department's Chief Procurement Officer, at any time during the term of the contract, the Contractor learns that the Contractor's disclosure was at any time erroneous or became erroneous by reason of changed circumstances.
- D. A disclosure that any of the items in this requirement exist will not necessarily result in termination of the contract. However, the disclosure will be considered in the determination of the Contractor's responsibility and ability to perform under this contract. Failure of the Contractor to furnish a disclosure or provide additional information as requested will render the Offeror non-responsive.
- E. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render, in good faith, the disclosure required by this document. The knowledge and information of a Contractor is not required to exceed that which is the normally possessed by a prudent person in the ordinary course of business dealings.
- F. The disclosure requirement provided is a material representation of fact upon which reliance was placed when making an award and is a continuing material representation of the facts during the term of the contract. If during the performance of the contract, the Contractor is indicted for, or otherwise criminally or civilly charged by any government entity (federal, state or local) with commission of any offenses named in this document the Contractor must provide immediate written notice to the Department's Chief Procurement Officer.

If it is later determined that the Contractor knowingly rendered an erroneous disclosure, in addition to other remedies available to the State of New Mexico and the Department, the State Purchasing Agent or Chief Procurement Officer may terminate the involved contract for cause. Still further the State Purchasing Agent or Chief Procurement Officer may suspend or debar the Contractor from eligibility for future solicitations until such time as the matter is resolved to the satisfaction of the State Purchasing Agent or Chief Procurement Officer.

36. New Mexico Preferences

To ensure adequate consideration and application of NMSA 1978, Section 13-1-21, Offerors must include a copy of their preference certificate with their proposal. Certificates for New Mexico Business Preference and New Mexico Resident Veterans Business Preference must be obtained through the New Mexico Department of Taxation & Revenue. An agency shall not award a business both a resident business preference and a resident veteran business preference. See:

<http://www.tax.newmexico.gov/Businesses/in-state-veteran-preference-certification.aspx>.

The New Mexico Preferences shall not apply when the expenditures for this RFP includes federal funds.

37. Conflict of Interest; Governmental Conduct Act

The Offeror warrants that it presently has no interest and shall not acquire any interest, direct or indirect, which would conflict in any manner or degree with the performance or services required under the Agreement.

The Offeror certifies that the requirements of the Governmental Conduct Act, NMSA 1978, Sections 10-16-1 through 10-16-18, regarding contracting with a public officer or state employee or former state employee have been followed.

38. Equal Employment Opportunity

A. **The following requirements shall apply to state- and federal-funded contracts:** In connection with this RFP and the anticipated contract, the Offeror shall not discriminate against any employee or applicant for employment because of race, color, religion, sex, sexual preference, national origin, age, marital status, disability, or other protected class.

The Offeror shall take affirmative action to insure that all applicants are treated fairly during employment, without regard to their race, color, religion, sex, sexual preference, national origin, age, marital status, disability, or other protected class.

Such actions shall include but not be limited to the following: layoff or termination; rates of pay or other forms of compensation; and selection for training, including apprenticeship.

- B. **The following requirements shall apply to federal-funded contracts:** In accordance with Title 49 Code of Federal Regulations Part 23, as amended (49 CFR Part 26), the Offeror shall agree to abide by and take all necessary and reasonable steps to comply with the following statements on its scope of work:

DISADVANTAGED BUSINESS ENTERPRISE (DBE) PROGRAM AND POLICY. In accordance with Title 49 Code of Federal Regulations Part 26 (49 CFR 26) or as may be amended, the Contractor shall agree to abide by and take all necessary and reasonable steps to comply with the following:

1. DBE Policy: It is the policy of the Department to implement the provisions of 49 CFR Part 26 (49 CFR 26), other pertinent regulations, and source legislation. The objectives are:
 - a. To ensure nondiscrimination in the award and administration of USDOT-assisted contracts in the USDOT's highway, transit, and airport financial assistance programs;
 - b. To create a level playing field on which DBEs can fairly compete for USDOT-assisted contracts;
 - c. To ensure that USDOT's DBE Program is narrowly tailored in accordance with applicable law;
 - d. To ensure that only firms that fully meet the eligibility standards specified in 49 CFR 26 are permitted to participate as DBEs;
 - e. To help remove barriers to the participation of DBEs in USDOT-assisted contracts; and
 - f. To assist the development of firms that can compete successfully in the marketplace outside the DBE Program.

2. DBE Obligations: The Department will establish the DBE goal on a triannual basis. The approved FFY 21 DBE goal is established at 12.3% for federal-aid highway construction and design of which 12.3% will be attained through race neutral measures and 0% through race-conscious measures.

Record Keeping Responsibilities: The Contractor is responsible to assure that its DBE liaison officer completes and submits the appropriate forms required by the DBE Program to the Department's project manager or to the NMDOT Construction and Civil Rights Bureau DBE Program at the following address:

NMDOT Construction and Civil Rights Bureau 1570 Pacheco Street, Suite A10 Santa Fe, NM 87505

3. Department's DBE Program: The USDOT's DBE Program as required by 49 CFR 26 and as approved by USDOT, is incorporated herein by reference and made part of this agreement. If any provision of the DBE Program conflicts with 49 CFR 26, the provisions of 49 CFR 26 shall prevail. Implementation of this program is a legal obligation and failure to carry out its terms shall be treated as a violation of this agreement. Upon notification to the Contractor of its failure to carry out the

terms and conditions of the DBE Program, the USDOT may impose sanctions as provided for under 49 CFR 26 and may, in appropriate cases, refer the matter for enforcement under 18 U.S.C. 1001 and/or the Program Fraud Civil Remedies Act of 1986 (31 U.S.C. 3801 et seq.).

From time to time, the Department shall receive interpretations from USDOT, which shall be binding on the Department, sub-recipients, and contractors.

DBE Obligations – The Department and the Offeror agree to ensure that DBEs as defined in 49 CFR 26 shall have the maximum opportunity to participate in the performance of services and work financed in whole or in part with federal funds under the Agreement. In this regard, the Offeror shall not discriminate on the basis of race, color, national origin, sex or other protected class in the performance of USDOT-assisted contracts. The Offeror shall carry out applicable requirements of 49 CFR 26 in the award and administration of USDOT-assisted contracts. Failure by the Offeror to carry out these requirements is a material breach of contract, which may result in the termination of the contract or such other remedy as the Department deems appropriate, which way include, but is not limited to: (1) withholding monthly progress payments; (2) assessing sanctions; (3) liquidated damages; and/or (4) disqualifying the Offeror from future bidding as non-responsive.

4. Certification for Federal-Aid Contracts: The selected Offeror who becomes the Contractor shall certify, by signing the negotiated contract, that to the best of its knowledge and belief:
 - no federal appropriated funds have been paid or will be paid, by or on behalf of the Offeror, to any person for influencing or attempting to influence an officer or employee of any federal agency, a member of Congress, an officer or employee of Congress, or an employee of a member of Congress in connection with the awarding of any federal contract, the making of and federal grant, the making of any federal loan, extension, continuation, renewal, amendment, or modification of any federal contract, grant, loan, or cooperative agreement;
 - if any funds other than federally appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any federal agency, a member of Congress, an officer or employee of Congress, or an employee of a member of Congress in connection with this federal contract, grant, loan, or cooperative agreement, the Offeror shall complete and submit Standard Form-LLL, “Disclosure Form to Report Lobbying,” in accordance with its instructions;
 - this certification is a material representation of fact upon which reliance will be placed when the contract is executed, with submission of this certification a prerequisite for making or entering into the contract as imposed by 31 U.S.C. Section 1352, and any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure;

- the Offeror agrees by signing the contract that the Offeror shall require that the language of this certification be included in all lower tier subcontracts, which exceed \$100,000 and that all such sub recipients shall certify and disclose accordingly; and
- the Offeror shall furnish all necessary information and reports and shall permit access to its books, records, and accounts by the Department for purposes of investigation to ascertain compliance with the non-discrimination provisions of the contract.

A copy of the NMDOT Design Consultant Offeror's List (Form No. A-1013) is attached and must be completed at time of proposal submittal. For projects with federally participating funds, failure to complete the forms listed above will render the Offeror's proposal non-responsive.

The Disadvantaged Business Enterprise (DBE) Program rules and regulations, and the listing of Certified DBE Firms can be located on the NMDOT Website at <http://dot.state.nm.us/content/nmdot/en/OEOP.html>. The Construction and Civil Rights Bureau (CCRB) may be contacted at (505) 629-9938 for more information. The complete rule for Title 18, Chapter 28, Part 2, and all revisions, is available at the Construction and Civil Rights Bureau, 1570 Pacheco Street, Suite A-10, Santa Fe, New Mexico 87505.

III. RESPONSE FORMAT AND ORGANIZATION

A. NUMBER OF RESPONSES

Offerors shall submit only one proposal in response to this RFP.

B. NUMBER OF COPIES

One copy will be required through the Bid Express website in PDF format.

C. PROPOSAL FORMAT (Electronic)

Offerors must utilize page indicators within their PDF document that clearly identify the different sections of the proposal, including by creating a bookmark on the PDF document. Offerors must use a standard 8 1/2 x 11 document. (Larger paper is permissible for charts, spreadsheets, et cetera; however, this will count as two pages when used. Offerors are strongly encouraged to limit their proposals to a maximum of thirty (30) pages. Exclusions to this limitation include the letter of introduction, table of contents, covers, proposal summary, dividers, other information, e.g., letters of appreciation, and acknowledgement of amendments (if applicable). Offerors are strongly encouraged to create the document with a minimum of 12 point font size.

1. Proposal Organization

The proposal must be organized and indexed in the following format and must contain, at a minimum, all listed items in the sequence indicated:

- a) Letter of Transmittal
- b) Table of Contents
- c) Proposal Summary
- d) Response to Contract Terms and Conditions
- e) Response to Mandatory Specifications and Forms
- f) Offeror's Additional Terms and Conditions
- g) Other Supporting Material

Within each section of their proposal, Offerors should address the items in the order in which they appear in this RFP. All forms provided in the RFP must be thoroughly completed and included in the appropriate section of the proposal. Offerors may attach other materials that they feel may improve the quality of their responses. However, these materials should be included as items in a separate appendix.

Any proposal that does not adhere to these requirements can be deemed non-responsive and rejected on that basis.

2. Letter of Transmittal

Each proposal must be accompanied by a letter of transmittal. The letter of transmittal MUST:

- a) identify the submitting organization;
- b) identify the name and title of the person authorized by the organization to contractually obligate the organization;
- c) identify the name, title, email address and telephone number of the person authorized to negotiate the contract on behalf of the organization;
- d) identify the names, titles and telephone numbers of persons to be contacted for clarification;
- e) explicitly indicate acceptance of the Conditions Governing the Procurement stated in Section II, Paragraph C.1;
- f) be signed by the person authorized to contractually obligate the organization;
and
- g) acknowledge receipt of any and all amendments to this RFP.

IV. SPECIFICATIONS

A. Information

The contract is scheduled to begin in or around **March 2022**. The Department intends on awarding a contract with a four (4) year term.

B. Mandatory Specifications and Forms

Offerors shall respond in the form of a thorough narrative to each mandatory specification requiring such. The narratives along with required supporting materials will be evaluated and awarded points accordingly. Failure to address mandatory specifications and requirements, or provide the mandatory forms, will render a proposal non-responsive.

1. General Information

The Offeror must identify its principal member(s) or officer(s) who will be responsible for the administration of the contract; provide the name(s) and registration number(s) of the New Mexico Registered Professional Engineer who will be directly responsible and in charge of the work; and identify the name, address, and phone number of the office(s) where the work will be performed for the prime Offeror and all sub-consultants.

2. Specialized Design and Technical Competence

The Offeror must describe or provide a work plan to perform the services required by the project scope, including the Offeror's specialized problem-solving techniques or approaches, innovative practices/ideas, and advantages its team brings or offers to the project. Proposals should include a bar chart schedule and describe all work proposed to fulfill the project scope.

3. Capacity and Capability of the Offeror to Perform the Work

The Offeror must provide information about the business that demonstrates the ability to provide sufficient professional competence, meet time schedules, accommodate cost considerations and project administration requirements, including information that demonstrates the Offeror's ability to perform the services required for this project. Proposals must include an organizational chart indicating key project team members, including any sub-consultants, and their specific roles on the project and/or area(s) of expertise, and clearly identifying the lead engineer who will be directly responsible for the project. The percentage of time each team member will spend or commit to providing services toward the project must be included in the organizational chart. Brief resumes for the lead engineer and key project team members, must be included in the proposal, describing why each team member was selected for this project, highlighting relevant project experience and knowledge of NMDOT procedures. If a subcontractor is affiliated

with the prime contractor as an affiliated company, firm, or business, the proposal must indicate this. The proposal must also identify the Offeror's team's list of current projects.

4. Past Record of Performance

The Offeror must demonstrate through historical documentation that the Offeror has the ability to meet schedules and budgets, as well as user program goals, and final construction project costs. Project schedules should provide information about the progress of work as related to owner schedules and goals as well as the overall success of projects and client satisfaction. The proposal must describe 3 to 5 past projects, specifying relevance to the current project and include client references (names, addresses, email address and telephone numbers) for each project.

5. Proximity to or Familiarity with Site Location

The Offeror must identify its familiarity with the project area and its understanding of the project scope. Offerors must demonstrate through narrative, graphics or maps the firm's ability to respond quickly to on and off-site requirements for engineering services and administration of the project. The Offeror must also indicate previous knowledge or experience regarding the project location, and any current work or associated consultants who could enhance the firm's ability to provide timely responses or special expertise to project needs.

6. New Mexico Produced Work (does not apply to federally funded projects)

It is in the Department's best interest to support in-state businesses. Proposals should indicate the volume of work to be produced in New Mexico by a New Mexico firm or firms. The Offeror must identify any out-of-state consultant(s) or business relationships that will be involved on the project and the extent of services to be provided by that firm or firms.

7. Volume of Work Currently Being Performed

Offerors shall be scored on any project that has been previously awarded and is, on the date of the submittal, less than 75% complete. Information on the status of past project awards shall be included in the "Project Listing Form" (see Appendix D) as a requirement of this RFP. The following formula on fees for projects awarded that are less than 75% complete shall be utilized in assessing scores:

*Contract Balance Amount

\$ Less than - \$800,000	minus 0 point
\$ \$800,001 - \$1,334,000	minus 1 point
\$1,334,001 - \$2,668,000	minus 2 points
\$2,668,001- \$4,000,000	minus 3 points
\$4,000,001- over	minus 4 points maximum**

*Contract Balance Amount is defined as:

- a. Single Phase Contracts: Amount of contract including supplemental agreements that have been negotiated and that are covered under a signed contract, minus all paid invoices, if any (per project).
- b. Multi-Phase Contracts: Amount of contract including all subsequent phases and supplemental agreements that have been negotiated and that are covered under a signed contract, minus all paid invoices, if any (per project). On multi-phase contracts over \$1,334,000.00, a minimum one (1) point deduction will be carried on initial and subsequent phases (except final phase) regardless of percent complete.

** The maximum total point deduction by Phase (sum of all ongoing contracts) will be 4 points. Deduction points will be calculated on the date the proposals are due. The Offeror must invoice against ongoing contracts not less than five (5) business days prior to proposal due date to allow sufficient time for posting to Deduction Point listing.

The Procurement Division will calculate deduction points.

8. Completed Campaign Contribution Disclosure Form (“Appendix E”)

Offerors shall submit with their proposals a completed Campaign Contribution Disclosure Form with their proposal.

9. New Mexico Employees Health Coverage Form (“Appendix F”)

Offerors must agree with the terms and submit a signed New Mexico Employees Health Coverage Form with the submittal of their proposal.

10. Resident Business and Resident Veteran’s Preference (does not apply to federally funded projects)

Pursuant to NMSA 1978, Section 13-1-21, when a public body makes a purchase using a formal request for proposals process, and the contract is awarded based on a point-based system, the public body shall award additional points equivalent to:

- (1) five percent (5%) of the total possible points to a resident business; or
- (2) ten percent (10%) of the total possible points to a resident veteran business that has annual gross revenues of up to three million dollars (\$3,000,000) in the preceding tax year.

To be awarded points for **Resident Business Preference** or **Resident Veterans Preference**, Offerors must include a copy of their preference certificate in this section of your proposal.

A resident veteran business shall not benefit from the preference for more than ten (10) consecutive years. A person that is an owner of a business that is a resident veteran business shall not benefit from the preference for more than ten consecutive

years. A person shall not benefit from the provisions as specified in NMSA 1978, 13-1-21, on more than one business concurrently.

Pursuant to NMSA 1978, 13-1-21, Paragraph H, the Department shall not award an Offeror points for both a Resident Business Preference and a Resident Veteran's Preference. If the Offeror qualifies for both it will only be awarded points for the Resident Veteran's Preference. Veteran Businesses will receive the Resident Business Preference once the cap for Resident Veteran Preference has been exceeded.

Applications for Resident Business Preference and Resident Veteran's Preference are processed through the New Mexico Department of Taxation & Revenue. If an Offeror has a preference certification number that was issued by the New Mexico State Purchasing Division, it will need to follow the link below to apply for a new Resident Business or Veteran Business Preference number:

<http://www.tax.newmexico.gov/Businesses/in-state-veteran-preference-certification.aspx>

IF AN OFFEROR DOES NOT QUALIFY FOR A RESIDENT BUSINESS OR RESIDENT VETERAN PREFERENCE, IT MUST PROVIDE A STATEMENT STATING IT DOES NOT QUALIFY IN THIS SECTION OF THE PROPOSAL. IF AN OFFEROR DOES NOT QUALIFY FOR EITHER PREFERENCE, THE PROPOSAL WILL BE ACCEPTED; HOWEVER, IT WILL NOT RECEIVE POINTS FOR PREFERENCE.

11. Form - Proposed Work Participation Chart ("Appendix G")

The Offeror will not offer services as "the prime" on any NMDOT Quality-Based Selection (QBS) RFP where the prime Offeror performs less than thirty five percent (35%) of all contractual services. The percentage above means in price and in actual contract work.

12. Form A-1013, Design or Other Consultant Offeror's List ("Appendix H")

13. Form A-1036, Confidentiality and Non-Disclosure Agreement ("Appendix I")

V. EVALUATION

A. Evaluation Factors/Points

The Department's Professional Services Selections Committee (PSSC) will evaluate responsive proposals and assign a score in each category, not to exceed the maximum allowed score for that category, as determined through the Offeror's attention to the criteria detailed in the following sections. The amount of discussion to be applied to each listed topic is an individual choice of the Offeror; however, discussion should be detailed enough to inform and educate evaluators.

Proposals will be scored based upon a comparison of the information submitted by each Offeror against the evaluation criteria outlined below.

EVALUATION FACTORS	POINTS AVAILABLE
1. General Information	5
2. Specialized Design and Technical Competence	25
3. Capacity and Capability of the Offeror to Perform the Work	30
4. Past Record of Performance	25
5. Proximity to or Familiarity with Site Location	15
6. New Mexico Produced Work (state funded projects only)	(verification only)
7. Volume of Work Currently Being Performed	(0-4 Pt. Deduction)
8. New Mexico Preference Advantage (state funded proj.)	(5-10 Pt. Preference)
Total Maximum Allowable Points	100-110 Points

B. Evaluation Process

The evaluation process will follow the steps listed below:

1. All Offeror proposals will be reviewed for compliance with the mandatory specifications stated within the RFP. Proposals deemed non-responsive will be eliminated from further consideration.
2. The Procurement Manager may contact the Offeror(s) for clarification of the response as specified in Section II, Paragraph B.7.
3. The PSSC may use other sources of information to perform the evaluation as specified in Section II, Paragraph C.23.
4. Responsive proposals will be evaluated on the factors in Section V that have been assigned a point value. The responsible Offeror(s) whose proposal is most advantageous to the Department, taking into consideration the evaluation factors in Section V and successful negotiations, will be recommended for contract award as specified in Section II, Paragraph B.12. *Please note that a serious deficiency in the response to any one factor may be grounds for rejection regardless of overall score.*
5. In the event of oral presentations, responsible Offerors with the highest scores resulting from the written evaluations will be selected as finalist Offerors. Points awarded from the oral presentations will be added to the previously assigned points from the written evaluations to attain final scores.

APPENDIX A TO RFP 22-12 PROJECT INTRODUCTION AND SCOPE OF WORK

Scope of Work – CN 6101580, District 3 & District 6 Phase I Services for I-40 West Corridor

General Information:

Control Number: 6101580
Project Number: 6101580
Type of Work: Phase I-A: Highway Operations Study, Phase I-B: Highway Operational Improvement Plan, and Corridor Environmental Assessment
Posted Route: I 40
Begin Mile Post: MP 0.0
End Mile Post: MP 150.0
Total Study Length: 150.0 miles
Termini: I-40 between Arizona State Line and Atrisco Vista Boulevard Interchange
NMDOT District: 3, 6
County: McKinley, Cibola, and Bernalillo
Functional Classification: Interstate
Terrain Type: Flat to Rolling
Construction Programmed Year: TBD
Anticipated Letting Date: TBD
Project Development Engineer: Summer Apodaca, P.E.
Urban or Rural: Rural

Request for Proposals

This Request for Proposals (RFP) is issued by the New Mexico Department of Transportation (Department, NMDOT) to solicit competitive sealed proposals for the award of a contract to an Engineer/Successful Offeror to provide Phase I services.

It is the intent of the Department to be provided services in potential phases. The phases are described as follows:

- Phase I–A Highway Operations Study
- Phase I–B Highway Operational Improvement Plan
- Corridor Environmental Assessment

Phase I-C, Phase I-D, Phase II, and Phase III Services may be added by contract amendment, if required. If needed, the Consultant will be asked to negotiate a fixed price for the additional services.

NMDOT has identified the need for a study of Interstate 40 (I-40) highway operations to develop an improvement plan which will accommodate existing and future traffic demands. The study is intended to be done at a planning level for the district to prioritize future projects along the corridor. The emphasis of this project will be an evaluation of alternatives with consideration given to identifying a reliable system configuration, alignment and typical section, addressing

corridor needs such as safety, maintenance and constructability, and analyzing the potential for compatible emerging technology to influence highway operations. Modifications to the existing infrastructure to accommodate the preferred Highway Operational Improvement Plan will be analyzed assuming the configuration of existing interchanges will remain in their current configuration. Alternatives will be analyzed for demonstrated need and feasibility of implementation. Potential improvements to be considered will include the addition of a third lane in each direction along I-40, establishment and extents of additional Frontage Road to provide network redundancy, and/or traffic management strategies utilizing ITS technology. The Phase I-A/B report will determine the necessary improvements and provide a detailed analysis of impacts to I-40.

The corridor needs analysis and conceptual design shall be conducted in accordance with the Department's *Location Study Procedures: Update 2015*. The study will need to address the following:

- Existing and future highway operations;
- Preliminary right-of-way requirements;
- Preliminary drainage investigation;
- Preliminary geotechnical investigation;
- Preliminary structures investigation;
- Utilization of ITS to manage traffic and prepare the corridor for the future of connected and automated vehicle fleets;
- Any environmental concerns in accordance with NEPA and the National Historic Preservation Act.

General Information

I-40 is the primary east/west highway that traverses and connects the regions of central New Mexico. I-40 provides a vital regional route connecting several communities and is relied on for heavy truck traffic. Within the project extents, I-40 is a 4-lane divided highway with physical characteristics varying along the corridor. Most of the corridor has lane widths of 12-feet in width, inside shoulders varying 4-feet to 10-feet in width, and outside shoulders varying 10-feet to 16-feet in width. A Frontage Road system is existent in some locations, and it is the intent of the Department to obtain recommendations from the selected Offeror/Engineer determining where additional connectivity of said Frontage Roads adjacent to I-40 has a demonstrated need and can be feasibly implemented.

At the Arizona State Line, I-40 functions as a rural facility at a posted speed limit of 75 mph with the current ADT estimated at 20,000 vehicles per day. East of the state line, traffic volumes increase incrementally to over 28,000 vehicle per day at the Downtown Gallup Exit where the posted speed limit is 65 mph. East of Gallup, the traffic volumes vary from 13,000 vehicle per day to 26,000 vehicles per day. Approaching the eastern termini, Atrisco Vista Blvd, the traffic volumes reach approximately 39,000 vehicles per day. The proportion of traffic represented by heavy trucks typically varies between 30% - 40% and reaches over 50% in areas of the Interstate between major shipping points: Gallup, Grants, and Albuquerque.

The Frontage Road systems are 2-lane divided by a solid yellow stripe and primarily exist at interchanges within the project limits. These Frontage roads provide access to residents near and around the interchanges at posted speed limits varying from 30 mph to 55 mph. The existing

AADT along the Frontage Road varies from approximately 400 vehicles per day to approximately 5,000 vehicles per day.

Several major structures exist along I-40 within the project limits, including 70 bridges and 54 concrete box culverts. The most recent bridge inspection reports will be made available to Offerors.

Within the study limits, approximately 370 mainline culverts have been inventoried in the Culvert Asset Management Program (CAMP). The NMDOT's CAMP was initiated in 2006 with ongoing data collection taking place.

A preliminary cost per mile to add an additional lane to I-40 and continuous Frontage Road system will be made available to Offerors. The attached exhibit displays ongoing projects along the corridor, locations of bridges, limits of existing Frontage Roads, and relevant funding boundaries.

ENGINEER'S RESPONSIBILITIES, ACCURACY OF WORK, INDEMNIFICATION, AND PROFESSIONAL LIABILITY

Engineer's Responsibility

The Engineer has full responsibility for the accuracy, completeness and correctness of the plans and related data prepared under the terms of this Contract and shall check all material accordingly. The Department will review deliverables for conformity with Department procedures and Contract terms. Review by the Department does not include detailed review or checking of design components and related details or the accuracy with which such designs are depicted on the Plans. The engineer shall not deviate from standard geometric design without the express written approval of the Department.

Accuracy of Work

Acceptance of the work by the NMDOT and contract termination does not constitute NMDOT approval and will not relieve the Engineer of the responsibility for subsequent corrections of any errors and omissions and the clarification of any ambiguities. The Engineer shall make all necessary revisions or corrections resulting from errors and/or omissions on the part of the Engineer without additional compensation. If these errors and/or omissions are discovered during the construction of the project they shall be corrected under Phase III services without additional compensation.

Indemnification – Professional Liability (Errors and Omissions)

To the fullest extent permitted by law and subject to the provisions of Section 56 7 1 NMSA 1978 (1996 repl.), the Engineer shall defend, indemnify, and hold harmless the NMDOT, acting through its agents, representatives, and employees, from and against claims, damages, losses and expenses (including but not limited to attorney's fees, court costs and the cost of appellate proceedings), arising out of or resulting from the Engineer's professional negligent acts, errors, mistakes or omissions. The Engineer's duty to defend, hold harmless and indemnify the NMDOT shall arise in any connection with any claim, damage, loss or expense that is attributable to or caused by any negligent act, error or omission of the Engineer or anyone directly or indirectly

employed by the Engineer or anyone for whose acts they may be liable.

This agreement to indemnify shall not extend to liability, claims, damages, losses or expenses, including attorney fees, arising out of: (1) the preparation or approval of maps, drawings, reports, surveys, change orders, designs or specifications by the NMDOT, or the agents or employees of the NMDOT; or (2) the giving of or failure to give directions or instructions by the NMDOT, where such giving or failure to give directions or instructions is the primary cause of bodily injury to persons or damages to property. For purposes herein the Engineer is not considered an agent of the NMDOT.

CONTRACT FEE

It is the intent of the NMDOT to negotiate a fixed price for Phase I-A/B services. NMDOT may elect to negotiate a fixed price for additional services, by Contract Amendment. The fixed price and negotiated compensatory fees shall be paid based on percentage complete for the required services.

Partial payments shall be made monthly as the work progresses upon application therefore, accompanied by a certified statement of work accomplished in accordance with this contract and as approved by the Project Development Engineer. Partial payments shall be based upon percentage of work completed broken down into direct labor, labor overhead, direct costs, sub-contract expense (also broken down) and a fee. The fee is a percentage factor applied to labor and labor overhead costs.

Description of Work Responsibilities

Although every effort has been made to fully describe the scope of services it is anticipated that changes may be required during the course of the project to accommodate input from the public, other agencies and/or from within the Department. Changes to the scope of work that may be required to provide a complete project shall be negotiated and authorized by an amendment to the Contract as they are identified.

All project reports, such as the Highway Operation Improvement Plan Report, which will be used as references during the development of the project shall be bound and labeled on the spine of the report as well as on the cover. Each report shall be bound with project identification, including control number and route location, clearly printed on the spine of the report. This is intended to ease the retrieval of the many volumes of information. The Project Development Engineer should be consulted before reports are bound.

Engineer

The work performed by the Engineer shall be done in imperial units in accordance with the Guidelines for Geometric & Roadway Design and Surveying, or if required, transit design guides. All documents shall have only imperial units.

The Engineer shall be responsible for all studies, analysis, coordination, engineering, and all else necessary to complete the Highway Operations and Improvement Plan Study, and Environmental Documentation. It is the intent of the Department that the Engineer will have full latitude and complete responsibility for developing this project.

The work performed by the Engineer shall be done in imperial units in accordance with the Guidelines for Geometric & Roadway Design and Surveying, or if required, transit design guides. All documents shall have only imperial units.

The Department may provide review of the Engineer's work for conformity with Department procedures and contract terms only. Review by the Department does not include detailed review or checking of design components and related details or the accuracy with which such is depicted. Department acceptance of the Engineer's work product, plans, studies, etc., does not constitute Department approval.

Phase I-A/B Study

This work involves the development and preparation of a Phase I-A/B Highway Operations and Improvement Plan Study. The project study shall be conducted in accordance with the latest edition of the NMDOT Location Study Procedures: A Guidebook for Alignment and Corridor Studies.

Phase I-A: Highway Operations Study

This work shall include the following:

- Information gathering;
- Purpose and Need Statement;
- Survey and/or mapping as required;
- SUE Quality Level D and coordination with utility owners as necessary;
- Identify existing right-of-way, property ownership along the corridor, and encroachments;
- Analyze physical condition and roadway geometry of existing facility;
- Culvert inventory, inspection, and functional assessment;
- Analyze existing and future traffic;
- Analyze land use and growth trends;
- Coordination with Paseo del Volcan Interchange project and proposed improvements;
- Determination of traffic volumes with vehicle classifications on I-40 freeway segments, ramps, and Frontage Road segments. Traffic volumes and classifications shall be collected in 15 minute intervals. Adequate traffic data shall be collected to determine any oversaturated freeway segment. Approval of data collection methodology and plan by NMDOT Traffic Technical Support shall be required before implementation of plan.
- Detailed inventory of existing traffic operations and transportation conditions for Freeway segments, ramps, and Frontage Road segments utilizing appropriate analysis methods. Operations of the rural section of the corridor shall be analyzed using HCS Freeway Segment Analysis and the Specific Grade methodology. Approval of analysis methods and assumptions by the NMDOT Traffic Technical Support shall be required;
- Inventory of existing ITS infrastructure and traffic control devices compatible for use with connected and automated vehicles;
- Evaluate infrastructure implementation which will be beneficial to traffic management and operations, and prepare the corridor for the future of connected and automated vehicles;
- Identify all viable alternatives, Frontage Rd implementation alignments, and/or traffic management strategies;

- Conduct initial screening of alternatives and recommend those to be eliminated or further considered;
- Conduct Safety analysis using latest edition and methodology of the Highway Safety Manual and ISate to evaluate safety characteristics of existing conditions and proposed alternatives;
- Establish design criteria which will guide the conceptual design process;
- Conceptual design in plan view considering horizontal alignment issues and right-of-way requirements;
- Planning level construction and right-of-way costs to be categorized by order of magnitude for comparison;
- Stakeholder coordination and Public Involvement Plan (PIP), including public meetings;
- Context Sensitive Design Plan;
- Quality Control Plan;
- Phase I-A Documentation – Highway Operations Evaluation.

PROPERTY OWNERSHIP MAPS

If encroachments are identified and or right-of-way maps are required, provide Preliminary Property Ownership Layout Maps. These maps may be prepared and developed by research/investigation of county records through County Assessor map/info and GIS shapefiles. This information should be acquired and shown from the sources mentioned. Preliminary property ownership maps are for informational purposes only and do not require boundary retracement efforts to identify assessor information on a clearly illustrated map.

Maps shall be prepared at a horizontal scale of 1" = 100' and a vertical scale of 1" = 10'. Provide one (1) hard copy of the Preliminary Property Ownership Layout Maps to the NMDOT Lands Engineering Section. The Engineer/Surveyor shall submit the man hour and fee proposal for preliminary property ownership mapping efforts to the Project Development Engineer for review by the Survey and Lands Engineering staff.

LOCATION & TOPOGRAPHIC SURVEY

The Engineer/Surveyor shall provide required location and topographic survey for the entire project limits suitable for planning and conceptual design. Existing right-of-way shall be surveyed and made known with the location survey and mapping deliverables, along with but not limited to, all fences, structures, utilities, signs, break-lines, and encroachments. Encroachments shall include owners name and address with perpendicular distance(s) from right of way. All surveying and mapping activities shall be performed by a qualified Professional Surveyor licensed in New Mexico and shall meet the Minimum Standards for Surveying in New Mexico (12.8.2 NMAC). The Engineer/Surveyor is responsible for establishing primary project control if not provided by the NMDOT Geodetic Unit, and shall prepare a Project Control Map per the NMDOT's requirements. The engineer is responsible for coordinating all surveying and mapping efforts required for design and determination of right-of-way impacts due to design. The Engineer shall submit the man hour and fee proposal for the location survey and mapping efforts to the Project Development Engineer for review by the Survey and Lands Engineering staff.

DRAINAGE INFORMATION GATHERING

Drainage evaluation prepared during Phase-IA will include research and data gathering of available drainage reports, plans, FEMA flood information, and soil corrosion potential from USDA WebSoilSurvey. Additionally, the Engineer shall be responsible for interviewing Patrol supervisors to determine known and/or recurring drainage issues. Information gathered in this assessment will be recorded in the Phase I-A/B report.

CULVERT INVENTORY, INSPECTION, AND FUNCTIONAL ASSESSMENT

This effort provides critical data for the I-40 corridor study and supports the NMDOT's on-going Culvert Asset Management Program (CAMP). There have been several locations on the I-40 corridor in District 6 where the culvert failed or was discovered to be in poor condition structurally. The data obtained from this effort will ensure that deficient culverts are identified. In addition, the culvert assessment will help identify feasible mitigation options. The inventory and inspection data shall be delivered in a geodatabase format to be provided by the NMDOT. Additionally, the functional assessment will be recorded in the Phase I-A/B report.

The physical inventory and inspection will compile or obtain the following data:

- Latitude/longitude coordinates for all culverts including bridge class CBC's.
- Identification of culvert type, shape and size
- Pictures of culvert features (* required): culvert overview*, inlet and outlet*, culvert barrel interior*, flow path*, joint deformation or separation, sediment deposition or scour, blockage (if any), and visible deterioration or corrosion. Photos taken shall be medium in size.

The functional assessment shall include the following components:

- Estimate hydraulic capacity and parameters using approximate methods. This is intended to be a screening level analysis using previously collected information and/or reasonable assumptions needed to develop hydrologic and hydraulic parameters. Peak flows should be estimated using the USGS StreamStats program of Regression Equations developed for New Mexico. An inlet control analysis of the culvert will be prepared using equations given in HDS-5, HYDRAULIC DESIGN OF HIGHWAY CULVERTS, Third Edition, Appendix A.
- A rating (Good/Marginal/Poor) of the physical condition of culvert based on age, observed or potential corrosion, deterioration, or deformation, observed damage to inlet or outlet, joint separation or deformation, and continuity of flow path shall be assigned to each culvert.

CONTEXT SENSITIVE SOLUTIONS (CSS) AND PUBLIC INVOLVEMENT PLAN (PIP)

A Public Involvement Plan (PIP) consistent with Context-Sensitive Solution methods and practices must be submitted to the NMDOT Environmental Program Manager prior to the first public information meeting. The PIP is expected to be an evolving document and process specific to the project and should follow the outline of the NMDOT Context Sensitive Public Involvement Plan for Location Study Projects as included in Appendix A.

The PIP will be evaluated and updated as necessary to proceed into subsequent project phases. The PIP should include: a brief project description, planning history/background information,

community profile, discussion of anticipated issues, known or likely impacts (positive and negative), objectives and goals (including approaches to resolution of issues), proposed public outreach efforts and agency coordination activities, coordination with elected officials & community representatives, and a mailing list.

In addition the PIP should identify the various stakeholders and their issues of concern, techniques for communicating with the community and possible methods for addressing community concerns, opportunities to express local values, modal considerations, and discussion of the design approach with specific consideration of the potential project issues.

It is anticipated that a high level of public involvement will be required. This level of effort typically involves several public meetings, coordination with community stakeholders, agency coordination, and a public hearing (if required). Public meetings will most likely be in a virtual format such as Zoom or Access Live for example.

The NMDOT is committed to a Context Sensitive Solutions/Context Sensitive Design (CSS/CSD) approach to project development in the location study phase for all projects in project development. CSS/CSD is essential to the NMDOT in carrying out its mission of providing for the safety and mobility of the public. The goal of CSS/CSD is to encourage an open, interdisciplinary framework in which project teams can develop roadway designs that fully consider the aesthetic, historic, cultural, and scenic values along with considerations of safety and mobility – the essence of CSS/CSD.

A successful CSS/CSD project includes effective decision-making, implementation and outcomes that reflect community values and are sensitive to environmental resources. This results in project solutions that are safe and financially feasible. For background, information on Context Sensitive Design, the Engineer is referred to NCHRP Report 480, “A Guide to Best Practices for Achieving Context Sensitive Solutions”, Transportation Research Board (TRB), 2002. An additional reference is Flexibility in Highway Design published by the FHWA. This design guide illustrates how it is possible to make highway improvements while preserving and enhancing adjacent lands and communities. Flexibility in Highway Design urges highway designers to explore options beyond those used in “A Policy on the Geometric Design of Highways and Streets” (the AASHTO Green Book). The Consultant shall integrate Context Sensitive Solutions into both Studies and Design Approaches to the project.

If special or unique Context Sensitive Solutions are required for the project, those services may be negotiated and added by contract amendment.

COORDINATION PROCEDURE

The Engineer will be responsible for all coordination necessary to accomplish the work required by the Contract. This responsibility shall include coordination with all property owners and federal, state, city, county, schools and other agencies having jurisdiction or interest in the project. This will include obtaining approvals and/or concurrence on all work that is to be completed by the Engineer including work completed by sub-contractors working under the Contract.

This responsibility shall also include obtaining all initial informal (verbal) approvals. For any required formal (written) approvals, the Engineer will provide the NMDOT with all required data and draft letters of transmittal. In the event the Engineer is not successful in obtaining informal approvals, the Engineer shall promptly notify the NMDOT in writing, and the NMDOT will assist in resolving the matter.

In addition to the above, the Engineer shall be responsible for:

- Scheduling project team meetings assumed to occur monthly over the duration of this project phase.
- Copying and the distribution of documents.
- Documenting verbal approvals in writing in the monthly reports to the design team and NMDOT.
- Performing and documenting property owner interviews.
- Being the focal point, for the flow of all project activity, including the sub-contractor work.
- Providing periodic presentations to the design team, NMDOT management. (I.e. Division Director, Bureau Chief, District Engineer), local agencies, and/or other public or private entities, etc., if applicable.
- Scheduling and participation in individual stakeholder meetings.

Phase I-B: Highway Operational Improvement Plan

This work shall include the following:

- Detailed Traffic Evaluation;
- Detailed Engineer Evaluation;
- Refinement of conceptual design to determine right-of-need requirements, costs, and impacts;
- Geometric design of concepts to include horizontal and vertical alignments;
- Identify ITS infrastructure recommended to be implemented;
- Assessment of structural requirements including bridges, culverts, and retaining walls;
- Conceptual construction phasing to determine implementation feasibility which shall maintain two (2) lanes of traffic open in each direction;
- Preliminary Geotechnical Scoping Report;
- Drainage evaluation - Culvert Mitigation Alternatives;
- Utility impact assessment;
- Project cost estimate prepared based on today's dollars and using current unit costs for construction items;
- Inventory of existing environmental conditions and determination of environmental level of effort;
- Preparation of a Corridor Environmental Assessment;
- Continued stakeholder coordination and public involvement, including public meetings;
- Quality Control Plan;
- Priority Plan for phase implementation based on available funding and measures of effectiveness associated with each phase;

- Account for maintaining two (2) lanes in each direction during construction for cost estimating and developing Priority Plan recommendations;
- Phase I-B – Highway Operational Improvement Plan

ENVIRONMENTAL AND CULTURAL RESOURCES INVESTIGATIONS

Environmental investigations prepared during Phase I-B will include data collection of existing information, and an analysis and comparison of environmental/community impacts for each alternative. An interdisciplinary team including qualified natural resource and cultural resource specialists must conduct the environmental investigations. The environmental investigations will include research and data gathering of previous reports, surveys, studies, databases, and/or other applicable information in the following areas:

- Biological databases, survey reports and biological evaluations for threatened and endangered species, critical habitats, jurisdictional waterways and wetlands, and wildlife concerns;
- A visual impact assessment including, if necessary, a separate Visual Impact Assessment Report for NMDOT review and approval;
- Cultural resource Class I literature review and records search and development of Class I reports;
- A noise analysis including, if necessary, a separate Noise Analysis Report for NMDOT review and approval;
- Other surveys, investigations, and analyses may be required as appropriate to the project.

Environmental investigations must include analyses of all issues mandated by NEPA as well as other state and federal environmental legislation, including Executive Orders on Wetlands, Floodplains, and Environmental Justice. The environmental investigations shall include evaluations of all appropriate alignment and typical section alternatives, including the no-build option and avoidance options. Environmental investigations will also include, as appropriate, measures to minimize harm, enhancement measures and measures to mitigate impacts.

The cultural resources Class I report shall offer a synthesis of previous investigations and sufficient information (i.e. locational accuracy, Traditional Cultural Properties, listed SR and NR properties, resource eligibility, un- or older inventoried areas) to develop an overview of the various resources in the study area. The report will summarize future level of effort of what still needs to be inventoried and re-inventoried, site updates on locations and eligibility, potential project effects, and compliance efforts. Note that archaeological records checks will include proper coordination with tribal entities having “publicly closed” records. Report format and content shall be developed in coordination with the NMDOT Environmental Bureau Cultural Resources Section.

All environmental reports submitted to the NMDOT are subject to NMDOT review and approval before investigations are accepted as complete. Based on engineering, cost, environmental and right-of-way impacts, the Engineer shall determine, recommend, and obtain NMDOT concurrence on the preferred alternative to be used for location approval in the environmental document.

The investigations will be conducted at a level needed to compare the impacts and environmental benefits of project alternatives. The findings of these analyses will be documented in a section of the Phase I-B report. Additional detailed environmental investigations will be carried out as projects/phases along the corridor are developed.

Where necessary, coordination and consultation with outside agencies will be provided.

CORRIDOR ENVIRONMENTAL ASSESSMENT DOCUMENTATION

The use of federal funds for construction of this project requires adherence to federal and state law including, but not limited to, the National Environmental Policy Act (NEPA), which requires the identification and assessment of impacts associated with a proposed action, and mitigation of impacts if necessary.

In addition, the Engineer shall prepare environmental documentation including:

- Biological Evaluation;
- Cultural Resource Class I report;
- Environmental Assessment (EA);
- Public Involvement Input Synopsis.

A qualified environmental professional shall be responsible for preparation of the environmental documentation. The environmental documentation summarizes the environmental and cultural resources investigations, agency coordination, and public involvement. The effort must be commensurate with the potential for environmental impacts. The necessary level of environmental documentation will be dependent on the environmental issues discovered during the project planning process. The environmental document shall be developed using the format outlined in FHWA Technical Advisory T6640.8A, 23 CFR Part 771 and other applicable guidelines and regulations. Submittal of an environmental document to the NMDOT, which is incomplete as determined by Environmental staff or the PDE, will not be reviewed. Submittal of an environmental document that is considered complete shall be reviewed once and comments made to the Engineer.

A complete environmental document shall have a comprehensive discussion of purpose and need, alternatives (as appropriate), environmental investigations, assessment of impacts, and appropriate mitigation as necessary. Errors or omissions not adequately corrected from the first review will be subject to liquidated damages that will be withheld from final payment of the Contract.

Additional Environmental Documentation for future projects along the corridor will be completed. Categorical Exclusion (CE) and all supporting documentation will supplement and reference the corridor Environmental Assessment (EA) completed as part of this project.

INPUT SYNOPSIS

The public involvement summary, or Input Synopsis, and draft environmental document, shall be submitted to the NMDOT Environmental Program Manager. The Input Synopsis shall contain copies of the public involvement handouts and written comments. It shall also contain the environmental document circulation list, responses to verbal and written comments and the public involvement summary and transcript. All studies, commitments and recommendations

must be summarized and finalized (cultural resources, agency permits, etc.).

GRAPHICS FILE (AS NEEDED TO SUPPLEMENT THE DATA PROVIDED BY THE NMDOT)

Provide a graphics file covering the complete project. The graphics file shall contain all digital terrain modeling (DTM) breaklines, planimetric, topographic, alignment data, and approximate locations of existing right-of-way limits. The contour map scale should equal the horizontal scale used on the plan and profiles. Select the scales accordingly.

PLANIMETRIC PLAN AND PROFILE SHEET FILES (AS NEEDED TO SUPPLEMENT THE DATA PROVIDED BY THE NMDOT)

Provide Plan and Profile (P&P) Sheets with planimetric and topographic data at a horizontal scale of 1" = 100' and a vertical scale of 1" = 10'. Provide planimetric and topographic coverage for 300 feet left and right of the roadway on a D-size sheet. Provide baselines for all turnouts and side roads, if applicable. It may be necessary to place angle points along the baseline to define the turnouts and side roads. Along major side roads, provide P&P sheets with planimetric and topographic data on both sides of side road centerline for 500 feet, if applicable.

SHEET BOUNDARIES OR REFERENCE MARKS (AS NEEDED TO SUPPLEMENT THE DATA PROVIDED BY THE NMDOT)

On all electronic files transmitted to the NMDOT wherein P&P or other sheets are extracted, the sheet boundaries or reference marks shall be left intact and shall remain in place as invisible or phantom lines. This is done to allow the exact duplication of coordinates when extracting and printing the P&P sheets.

ROADWAY DESIGN GUIDANCE

All work accomplished under this Contract shall be in accordance with the AASHTO "A Policy on the Geometric Design of Highways and Streets," FHWA Policy, the Department's Survey Handbook (newest edition), other Department manuals, standards, guidelines, standard specifications and standard procedures.

DRAINAGE FACILITIES

For culverts found to be hydraulically inadequate or rated Marginal or Poor condition, mitigation alternatives will be considered, including slip-lining, structural rehabilitation, or replacement. Slip-lining can improve hydraulic capacity and significantly extend structure lifetime. Rehabilitation is appropriate for concrete box culverts with non-structural deterioration, and replacement is required when the existing structure is both significantly undersized and in poor physical condition. The deliverable will be a list of deficient culverts with the recommended corrective action to be recorded in the Phase I-A/B report.

INTELLIGENT TRANSPORTATION SYSTEM (ITS) INFRASTRUCTURE

This work shall include the assessment of ITS infrastructure with consideration given to the potential of leveraging emerging technology in traffic management. Additionally, the recommendations should account for compatibility of autonomous vehicular traffic, assess existing infrastructure elements, and make recommendations which are conducive to the operation of connected and automated vehicles. The Engineer will need to assess the additional

conduit capacity required for entities other than DOT to access conduit for broadband rollout. ITS coordination, project need, and design requirements shall be documented in the ITS section(s) of the Phase IA/IB Report. Coordination with the NMDOT ITS Bureau will continue through Conceptual Design and will vary depending on the intensity of the ITS design required.

Deliverables

ELECTRONIC SUBMITTAL OF DESIGN DATA BY ENGINEER

All survey, topography and mapping (existing, right-of-way, and monumentation), and preliminary design data shall be created and submitted to the Department in AutoCAD Civil 3D R2021 or latest version used by NMDOT in (.dwg) format. AutoCAD Civil 3D Software adhering to the standards set by the Department for the use of that software, shall be used to produce all drawings. Electronic files submitted shall include, but are not limited to, geometry, points, surfaces, alignments, field books with structure details, and survey controller files. Standards and resource files are available upon request from the Engineering Automation Section. NMDOT will only accept projects delivered on CD-ROM, flash drive or external hard drive. Data is not to be compressed by any software.

All surveying and mapping activities, including surveys for Subsurface Utility Engineering (SUE) services, shall be performed by a qualified Professional Surveyor licensed in New Mexico and shall meet the Minimum Standards for Surveying in New Mexico (12.8.2 NMAC).

PROJECT STUDY REPORTS

The Engineer shall provide ten (10) bound copies and five (5) CD's (or DVD's or USB's) containing an electronic file (.pdf format) of both the draft and final Phase I-A/B Highway Operations and Highway Improvement Plan Study Report for NMDOT review and file.

ENVIRONMENTAL DOCUMENTATION

The Engineer shall provide one (1) draft electronic copy (MSWord format) of the draft biological evaluation to the NMDOT. After the NMDOT has reviewed and approved the document, the Engineer shall submit one (1) electronic copy and two (2) hardcopies to the NMDOT.

For the cultural resources Class I report, the Engineer shall provide one (1) draft electronic copy (MSWord format) and one (1) PDF copy of the draft. After the NMDOT has reviewed and approved the document, the Engineer shall submit one (1) electronic copy (MSWord format), one (1) PDF copy, and two (2) hard copies of the environmental resource documentation to the NMDOT.

The Engineer shall provide one (1) draft electronic copy (MSWord format) of the PIP to the Department. After the NMDOT has reviewed and approved the document, the Engineer shall submit one (1) electronic copy of the final PIP with all supporting resource and documentation to the NMDOT.

The Engineer shall prepare an Environmental Assessment (EA) and shall provide one (1) draft electronic copy (MSWord format) of the EA to the Department. After the NMDOT has reviewed and approved the documents, the Engineer shall provide sufficient copies of the EA and mail them for appropriate public and agency review of the document and provide ten (10)

hard copies and five (5) CD's (or DVD's or USB's) containing an electronic file (.pdf format) of the approved EA to the NMDOT, plus additional copies for agencies and other interested parties. The Engineer shall also provide five (5) hard copies and one (1) CD (DVD or USB) containing an electronic file (.pdf format) of the Input Synopsis to the NMDOT.

DRAINAGE CAMP DATA

The Engineer shall provide one (1) electronic CAMP data geodatabase for review. Upon acceptance, the Engineer shall provide one (1) electronic copy of the geodatabase to the Department.

Geotechnical Services

The Engineer shall provide geotechnical recommendations and a Preliminary Geotechnical Report, and shall provide geotechnical recommendations related to any structures, and submit Preliminary Foundation Report. The Foundation Report shall include detailed recommendations for structures and retaining walls, and shall be prepared for the selected structure alternatives. Field Exploration activities (soil borings/rock cores) will be performed by the NMDOT Geotechnical Field Exploration Unit. Undisturbed samples for laboratory testing (consolidation, triaxial shear), if required, will be delivered to the consultant's laboratory for testing. Boring log summaries will be completed by the NMDOT Geotechnical Section.

Phase IB

Geotechnical Scoping Report

The following activities shall be conducted for the development of the Geotechnical Scoping Report.

Field Reconnaissance

Determine the nature, range and extent of major geologic units. A field reconnaissance of the proposed alignment shall be performed. The following tasks should be performed:

- Geologic literature search
- Compilation of a preliminary geologic map
- Briefing of geologic conditions impacting the alignment study
- Perform initial geophysical testing (seismic refraction) if necessary

Field Geologic Mapping

Topographic base maps and aerial photographs shall be utilized along with supplemental information gathered by backhoe pits or borings to develop geologic mapping of the alignment. Critical structural units and the nature of surficial geologic contacts that may be obscure shall be identified.

Deliverables

GEOTECHNICAL SCOPING REPORT

The Geotechnical Scoping Report shall document the results of scoping geotechnical activities. The preliminary geologic and geotechnical study of the corridor with recommendations regarding the impacts, effects and possible mitigation measures associated with highway construction throughout the corridor, shall be provided for use in the detailed evaluation of alternatives. One (1) copy of this report shall be submitted to the Department with one CD containing a PDF of the report.

Additional Services (if included by Amendment)

Based on the Priority Plan developed in Phase I-A/B, and available funding, NMDOT may elect to negotiate for Phase I-C, Phase I-D, Phase II, and/or Phase III Services for each project phase independently by Contract Amendment. The services will be detailed in the amendment to contract. Additional Services shall be conducted in accordance with the latest edition of the NMDOT Location Study Procedures: A Guidebook for Alignment and Corridor Studies.

Phase I-C: Environmental Documentation (if Included by Amendment)

Additional Environmental Documentation for future projects along the corridor will be completed. Categorical Exclusion (CE) and all supporting documentation will supplement and reference the corridor Environmental Assessment (EA) completed in Phase I-A/B.

- Conduct Biological Evaluations;
- Conduct Environmental and Cultural Resource Investigations
- Prepare Environmental Documentation
- Continued Public Involvement Program
- Agency Coordination
- Input Synopsis

Phase I-D: Preliminary Design (if Included by Amendment)

- Preliminary Property Ownership Maps
- Coordination
- SUE Quality Level B or C
- Preliminary Roadway Design Plans
- Preliminary Traffic Control Plans
- Preliminary Engineering Estimate
- Preliminary Determination of Right of Way
- Preliminary Geotechnical Services & Report
- Utility Designation & Coordination
- Preliminary Drainage Report

Phase II: Final Design (if Included by Amendment)

- Final Property Ownership Maps
- Coordination
- Final Geotechnical Report
- Final Roadway Design Plans
- Final Traffic Control Plans
- Final Engineering Estimate
- Final Determination of Right of Way
- Utility Designation & Coordination
- Final Drainage Report
- Contract Book

Phase III: Services to be Provided by the Engineer During Construction (if Included by Amendment)

- Requests for Information (RFI's)

- Design Clarifications
- Traffic Plan Revisions
- Review of Contractor Proposed Cost Savings
- Review of Contractor Proposed Price Increases or Decreases

New Mexico Department of Transportation

Department Shall Provide

The Department will furnish the below items to the Engineer. However, the Department may choose to have the Engineer perform all or part of these services. If any of the services listed below are required from the Engineer, each service will be initiated through Contract negotiations or by amendment to the Contract.

The Department shall provide:

- A Project Development Engineer from the Department staff to serve as an engineering liaison for the project.
- Traffic forecasts and accident data.
- Hazardous material investigations and recommendations.
- Review of the Highway Operations Study and Highway Operational Improvement Plan Reports.
- Available drainage reports and plans
- Review of Preliminary Drainage Reports.
- Review of environmental documentation and mitigation measures.
- Equivalent single axle loads (ESALs).
- Verification of right-of-way mapping.
- Review of environmental re-evaluation and mitigation measures.
- Review bridge or structural design.
- Review of Preliminary Geotechnical Recommendations
- Geotechnical exploration for structures
- Final boring log summaries

Department Review

The Department will provide review of the Engineer's work for conformity with Department procedures and Contract terms only. Review by the Department does not include detailed review or checking of design components and related details or the accuracy with which such is depicted. Department acceptance of the Engineer's work product, plans, studies, etc., does not constitute Department approval.

Coordination

The Engineer will be responsible for all coordination necessary to accomplish the work required by the contract. This responsibility shall include coordination with all property owners and federal, state, city, county, schools and other agencies or stakeholders having jurisdiction or interest in the project. This will include obtaining approvals and/or concurrence on all work that is to be completed by the Engineer including work completed by subcontractors working under this contract. For any required formal (written) approvals, the Engineer will provide the

Department with all required data and draft letters of transmittal. The Engineer shall also be responsible for documentation of all coordination efforts and, as required, providing project status presentations to NMDOT management, local government, or other stakeholders.

Agency coordination will include any agency with management responsibilities, all agencies with sensitive resource responsibilities and any agency that may have permit authority for project activities. The Engineer will determine and coordinate the environmental and cultural resource impacts and mitigation measures of the alternatives examined, including the consequences of the no-build alternative. The appropriate local, county, and state agencies, the public and other interested agencies will be contacted to ensure that the community and governmental concerns are identified and considered for inclusion in the design development of the project. The Engineer shall be responsible for all coordination that is required to provide a satisfactory Public Involvement Plan and environmental document.

Coordination with the agencies listed below is anticipated for the project:

- City of Gallup
- City of Albuquerque
- Regional Transportation Planning Organizations of New Mexico (RTPO)
- Navajo Nation
- Acoma Pueblo
- Laguna Pueblo
- Bureau of Indian Affairs (BIA)
- US Army Corps of Engineers – Albuquerque Office
- Bernalillo County
- McKinley County
- Cibola County
- New Mexico Environmental Department (NMED)
- State Historic Preservation Office (SHPO)
- Federal Highway Administration (FHWA)
- Albuquerque Public Schools
- Fire, rescue, local enforcement, and emergency services

This list is for information only and not intended to be the final list of agencies to be contacted.

Quality Control Plan

A Project Specific Quality Control Plan is required for each phase of this project. The specific requirements are outlined in the Consultant Services Procedures Manual & Handbook.

Additionally there are 2 attachments to be included, they can be downloaded from the following FTP link, expires 11/2/2021.

<https://grader.dot.state.nm.us/public/folder/Qa5LuqEvs0OheHbZVZbTTg/RFP%20Supplemental%20Information>

The password to the folder is CN6101580

APPENDIX B TO RFP 22-12 CONTRACT FOR FEDERAL FUNDING

Contract No.
Vendor No.
Control No.

ENGINEERING SERVICES AGREEMENT

This Engineering Service Agreement (Agreement or Contract) is between the **New Mexico Department of Transportation** (NMDOT or Department) and **<<Insert Company Name >>** (Contractor or Consultant). The start date of this Agreement is the date of the Notice to Proceed to the Contractor for the project described in Section 1, below.

Now Therefore, the parties agree follows:

1. Scope of Work.

The Contractor shall perform the services described in **Appendix A, Scope of Work**.

This is **<<Choose one: project specific/an on-call >>** Engineering Services Agreement for **<<Insert name of project or type of on-call service>>**: CN **<<Insert>>**. **<<Add following sentence if federally funded: This Agreement is funded in whole or in part by the Federal Highway Administration (FHWA). >>**

2. Payment for Services.

a. Compensation.

The Department will pay for engineering services based on compensation, unit rate schedule, applicable New Mexico gross receipt taxes (GRT), liquidated damages and retainage, all of which are identified in **Appendix B, Compensation/Rates**. Payment will not be made for services provided prior to the Contractor's receipt of a **Notice to Proceed** and after the expiration of this Agreement. Contractor must use the Department's form for the submission of an invoice.

b. Acceptance/Rejection.

Contractor must submit a detailed statement with supporting documentation accounting for all services performed and expenses incurred. The Department will determine if the invoice is appropriately documented and the services provided meets federal and state specifications and complies with the requirements of this Agreement.

Within thirty (30) calendar days after the Department receives an invoice, the Department will issue a written notice of complete or partial acceptance or rejection of services. If the Department finds that the invoice and/or the services are not acceptable, it will provide to the Contractor written notice explaining the defect, indicating issues, unacceptable items and/or requested revisions. The Contractor has ten (10) business days from the date of the notice to resubmit the invoice and services with all appropriate corrections or modifications

made and/or addressed. If the work is once again determined to be unacceptable, the Contractor will be required to provide a remediation plan that must include a timeline for corrective action acceptable to the Department. The Contractor shall be subject to all damages and remedies attributable to the late delivery of the services and available at law or equity. In the event that services must be resubmitted more than twice for Acceptance, the Contractor will be deemed in breach. The Department may terminate this Agreement without further consideration by issuing a written Notice of Termination for Cause subject to Section 4b below.

Upon acceptance of the services, payment will be made to the Contractor within thirty (30) calendar days. If payment is made by mail, the payment will be deemed tendered on the date it is postmarked. The Department will not incur late charges, interest, or penalties for failure to make payment within the time specified in this Section 2b.

c. Taxes.

Unless exempt, the Contractor is responsible for making payment of gross receipts taxes to the New Mexico Department of Taxation and Revenue.

3. Notice to Proceed and Term.

The term of this Agreement is based upon the issuance date of the Notice to Proceed to the Contractor, which is after the Agreement has been fully executed and funding has been obligated for the project described in Section 1, above. This Agreement will terminate four (4) years from the issued Notice to Proceed unless terminated pursuant to Section 4 or Section 5 below. A professional services contract, including extensions and renewals, is limited to four (4) years, except as set forth in NMSA 1978, Section 13-1-150.

4. Termination, Suspension and Delays.

a. Termination for Convenience.

The Department may terminate this Agreement for convenience, in whole or in part, if the Department determines that termination is in its best interest. Such a notice will be in writing, and effective thirty (30) calendar days from the date on the notice.

b. Termination for Cause.

The Department may terminate this Agreement for default for the Contractor's failure to:

1. Perform services as detailed in **Appendix A** and in any amendments,
2. Complete this Agreement within the timeframe specified and in any amendments, or
3. Comply with any material term of this Agreement.

If the Department contemplates termination under the provisions of this Section 4b, the Department will issue a written notice of default, indicating issues, unacceptable items and/or requested revisions. Upon receipt of notice, the Contractor has ten (10) business days to correct the deficiency. If the work is again determined to be unacceptable, the Contractor will be required to provide a remediation plan that must include a timeline for corrective action acceptable to the Department. The Contractor will be subject to all damages and remedies attributable to the late delivery of the services, and available at law or equity.

In the event that services must be resubmitted more than twice for Acceptance, the Contractor will be deemed in breach. The Department may terminate this Agreement without further consideration by issuing a written Notice of Termination for Cause effective immediately.

c. Suspension.

Work under this Agreement may be suspended by written order at the Department's sole discretion. The Contractor is not entitled to any compensation when work is suspended. A suspension will be treated as a delay caused by the Department under Section 4d1 below, and may receive a reasonable time extension.

d. Delays.

The parties agree to perform their obligations with due diligence and to cooperate so that the project will be completed within the time frame(s) provided in **Appendix A** and the **Notice to Proceed**.

1. In the event of delays caused by the Department, the Contractor may receive a reasonable extension of time, but in no event will the Contractor terminate work for delays caused by the Department.
2. If a delay is attributable to the Contractor's fault or to matters within its control, extensions will not be granted. The Contractor will be subject to assessment of liquidated damages.

e. Termination and Suspension Management.

1. Within five (5) business days of the effective date of termination for convenience, termination for cause, or suspension, the Contractor shall deliver to the Department:
 - a. All design plans, construction estimates, drawings, documents, survey books and any or all other materials developed under this Agreement, and
 - b. An engineering progress report.
2. The Contractor will be compensated only for work that was accepted prior to the termination or suspension of this Agreement.
3. The Department may withhold reasonable amounts of payments for the purpose of setoff until such a time as the exact amount of damages due from the Contractor are determined.
4. In the event of termination for convenience, there will be no payment for anticipated profit, unperformed services or unabsorbed overhead.
5. In the event of Termination for Default, the Department is entitled to recover all direct, indirect, and consequential costs for completion of the Scope of Work, **Appendix A**, whether performed by the Department or by another contractor.

5. Appropriations.

The terms of this Agreement are contingent upon sufficient appropriations and authorizations being made by the Legislature of New Mexico or the Congress of the United States. If sufficient appropriations and authorizations are not made by the Legislature or the Congress, this Agreement will terminate upon written notice being given by the Department to the Contractor. The Department is not committed to expenditure of any funds until such time as

they are programmed, budgeted, encumbered, and approved for expenditure by the Department. The Department's decision as to whether its funds are available is final. If the Department proposes an amendment to unilaterally reduce funding, the Contractor has the option to terminate the Agreement or to agree to the reduced funding, within thirty (30) calendar days of receipt of the proposed amendment.

6. Confidentiality.

Any confidential information provided to or developed by the Contractor in the performance of this Agreement must be kept confidential and not made available to any individual or organization by the Contractor without prior written approval by the Department.

7. The Product of Service, Patents and Copyrights.

All documents and materials developed or acquired by the Contractor in the performance of this Agreement, which includes but is not limited to computer program elements, reports, tracings, drawings, estimates, field notes, investigations, design analysis, structural calculations, and studies, are the property of the Department. These products of service must not be used, released, patented, or copyrighted by the Contractor or by any other person except with the prior written approval of the Department. All the products of services are to be delivered to the Department no later than the termination date of this Agreement and before final payment. The Contractor is required to include this clause in all subcontracts.

8. Approval of Contractor Personnel.

Once work has started, changes of personnel may be made by the Contractor with the prior written consent of the Department. Replacement of any Contractor personnel, if approved, will be with personnel of equal ability, experience, and qualifications. The Contractor will be responsible for any expenses incurred in familiarizing the replacement personnel to insure their productivity to the project immediately upon receiving assignments. Approval of replacement personnel will not be unreasonably withheld.

9. Employment of Department Employees.

Unless approved by the Department in writing, the Contractor *shall not*:

- a. Employ any professional or technical employee(s) who are part time, full time, or who have been in the employment of the Department during the life of this project, or
- b. Directly or indirectly solicit, offer, promise, coerce, promote, or give anything of value to any such professional or technical employee as inducement to leave the employment of the Department for any reason whatsoever.

10. Status of Contractor.

The Contractor, its employees, agents, and subcontractors are independent contractors performing professional services for the Department and are not employees of the Department. The parties agree that no persons supplied by the Contractor are Department employees, and that no rights of a State of New Mexico employee, retirement, or personnel rules, or use of Department vehicles or property, accrue to such persons.

The Contractor shall not in any way exercise any portion of the authority or sovereign powers of the State of New Mexico or the Department and shall not make any agreements, commitments or represent itself as an agent of the State of New Mexico or the Department.

11. Permits and Licenses.

The Contractor represents that it is properly organized under the laws of the State of New Mexico, as applicable, and is in good standing to do business in the State of New Mexico. The Contractor shall procure all permits and licenses as required by law, pay all charges, fees and royalties, and give all notices necessary and incidental to the due and lawful prosecution of the work.

12. Assignment.

The Contractor shall not assign or transfer any interest, right or obligation or assign any claims for money due or to become due without prior written approval of the Department.

13. Subcontracts.

The Contractor may subcontract for part of the services with prior written approval by the Department. A subcontract of \$10,000 or more must contain all the provisions of this Agreement.

The Contractor shall require the subcontractor to have insurance as required under Section 15 below and to name the Department as an additional insured on the subcontractor's policy. A certificate of insurance and endorsements listing the Department as an additional insured must be provided to the Department and it must state that the coverage provided under the policy is primary over any other valid insurance.

To the fullest extent permitted by law, the Contractor shall require the subcontractor to defend, indemnify and hold harmless the Department and the State of New Mexico from all actions, proceedings, claims, demands, costs, damages, attorneys' fees and all other liabilities and expenses of any kind from any source which may arise out of the breach, or deriving from performance of this Agreement, including but not limited to breach of contract, unfair business practices, antitrust, RICO, fraud, or tort, caused by the negligent act or failure to act of the Contractor, its officers, employees, servants, subcontractors or agents, or if caused by the actions of any client of the Contractor resulting in injury or damage to persons or property during the time when the Contractor or any officer, agent, employee, servant or subcontractor has or is performing services pursuant to this Agreement.

14. Liability.

<<Choose one: private contractors: The Contractor shall defend, indemnify and hold harmless the Department and the State of New Mexico and their officers, employees and agents from all actions, proceedings, claims demands, costs, damages, attorneys' fees and all other liabilities and expenses of any kind from any source which may arise out of the breach, or deriving from performance of this Agreement, including but not limited to breach of contract, unfair business practices, antitrust, RICO, fraud, or tort, caused by the negligent act or failure to act of the Contractor, its officers, employees, servants, subcontractors or agents, resulting in injury or damage to persons or property during the time when the Contractor or any officer, agent,

employee, servant or subcontractor thereof has or is performing services pursuant to this Agreement.>> or <<public entity: Neither party will be responsible for liability incurred as a result of the other Party's acts or omissions in connection with this Agreement. Any liability incurred in connection with this Agreement is subject to the immunities and limitations of the New Mexico Tort Claims Act. Sections 41-4-1, et seq. and any other applicable law.>>

In the event that any action, suit or proceeding related to the services performed by the Contractor or any officer, agent, employee, servant or subcontractor under this Agreement is brought against the Contractor, the Contractor shall notify the legal counsel of the Department and the Risk Management Division of the New Mexico General Services Department by certified mail within two (2) business days of its receipt of notice.

The indemnification obligation is not limited by the existence of any insurance policy or by limitation on the amount or type of damages, compensation or benefits payable by or for the Contractor or any subcontractor, and survives the termination of this Agreement. Money due or to become due to the Contractor may be retained, as necessary, to satisfy any outstanding claim the Department may have against the Contractor.

The Contractor has total responsibility for the accuracy, completeness and correctness of plans and related data. Department review of the plans will be for conformity with Department procedures and state and federal standards and specifications. Review by the Department does not include a detailed review or checking of design components and related details or the accuracy with which such designs are depicted on the Contractor's plans and reports.

All documents and materials developed or acquired by the Contractor in the performance of this agreement is the property of the Department. The Contractor is liable for replacement, if these materials are destroyed or lost prior to transferring possession.

The Department does not waive its immunity and limitations of liability under the Tort Claims Act, NMSA 1978, Sections 41-4-1 through 41-4-27., or any other applicable law.

15. Insurance.

The Contractor shall procure insurance, as detailed on **Appendix C, Insurance Requirements**, with an insurance company authorized to do business in New Mexico. Insurance must cover all operations under this Agreement, whether performed by the Contractor, the Contractor's agents or employees, or subcontractors and shall name the Department as an additional insured as set forth in **Appendix C** below. The insurance must be maintained until all obligations, including any warranty period, has been discharged. The Contractor shall provide the Department a certificate of insurance and endorsements listing the Department as an additional insured, to be attached to **Appendix C**.

16. Records and Audit.

If this Agreement is solely state funded, the Contractor shall maintain all books, documents, papers, accounting records, and other evidence pertaining to costs incurred and to make such materials available to the Department or the State Auditor at their respective offices during the Agreement period and for five (5) years from the date of final payment.

If this Agreement is federally funded in part or in whole, the Department, the Federal Highway Administration, and the United States Comptroller General must be provided access to any books, documents, papers, and records of the Contractor which are directly pertinent to the Agreement, for the purpose of making an audit, examination, excerpts, and transcriptions. The Contractor shall make such materials available at their respective offices during the Agreement period and for five (5) years from the date of final payment.

17. Release.

The Contractor, upon final payment, releases the Department, its officers, and employees, and the State of New Mexico from all liabilities, claims and obligations whatsoever arising from or under this Agreement.

18. Equal Opportunity Compliance.

The Contractor agrees to abide by all federal and state laws and rules and regulations, and executive orders of the Governor of the State of New Mexico, pertaining to equal employment opportunity. The Contractor agrees to assure that no person will be excluded, on the grounds of race, religion, color, national origin, ancestry, sex, sexual preference, age, disability, or other protected class, from employment with or participation in, be denied the benefits, or be otherwise subjected to discrimination under, any program or activity performed under this Agreement. If the Contractor is found to not be in compliance with these requirements, the Contractor agrees to take appropriate steps to correct these deficiencies, subject to Section 4 above.

19. Civil Rights Laws and Regulations Compliance.

The Contractor shall comply with all federal, state, and local civil rights laws, regulations, and ordinances applicable to the work called for under this Agreement. These include, but are not limited to Title VI and Title VII of the Civil Rights Act of 1964, 49 CFR Part 21, the Age Discrimination Employment Act, the Americans with Disabilities Act of 1990, the ADA Amendments Act of 2008, Executive Order 12898, the Civil Rights Restoration Act of 1987, the New Mexico Human Rights Act, and Executive Order No. 11246 entitled "Equal Employment Opportunity," as amended by Executive Order 11375 and as supplemented by the Department of Labor regulations (41 CFR Part 60). In addition, the Contractor agrees to comply with applicable federal implementing regulations and other implementing requirements the USDOT may issue.

20. New Mexico Employees Health Coverage.

- a. If Contractor has, or grows to, six (6) or more employees who work, or who are expected to work, an average of at least twenty (20) hours per week over a six (6) month period during the term of the Agreement, Contractor certifies, by signing this Agreement, to have in place, and to maintain for the term of the Agreement, health insurance for those employees, and to offer that health insurance to those employees if the expected annual value in the aggregate of any and all contracts between Contractor and the state exceeds \$250,000.
- b. Contractor agrees to maintain a record of the number of employees who have (a) accepted health insurance, (b) declined health insurance due to other health insurance coverage

already in place, or (c) declined health insurance for other reasons. These records are subject to review and audit in accordance with Section 16 above.

- c. Contractor agrees to advise all employees of the availability of state publicly financed health care coverage programs.

21. Conflict of Interest.

The Contractor warrants that it has no interest and will not acquire any interest, direct or indirect, which would conflict in any manner or degree with the performance of services. If the Contractor serves as a representative for other entities or agencies, public or private, within the project area during the term of this Agreement, Contractor shall immediately notify the Department for evaluation of potential conflict(s). The Contractor shall comply with the New Mexico Governmental Conduct Act, the New Mexico Financial Disclosures Act, and the campaign disclosure provisions of the New Mexico Procurement Code. The Contractor shall provide the Department a fully executed **Campaign Contributions Disclosure Form**, to be attached as **Appendix D**.

22. Certifications. *(Applicable to federally funded agreements)*

The Contractor shall provide the Department a fully executed **No Solicitation of Contract Certification of Contractor** (Certification), to be attached to this Agreement, along with the **No Solicitation of Contract Certification of the Department**, as **Appendix E**. The Contractor certifies by signing this Agreement that to the best of its knowledge and belief:

- a. No federal appropriated funds have been paid or will be paid, by or on behalf of the Contractor, to any person for influencing or attempting to influence an officer or employee of any federal agency, a member of Congress, an officer or employee of Congress, or an employee of a member of Congress in connection with the awarding of any federal contract, the making of any federal grant, the making of any federal loan, extension, continuation, renewal, amendment, or modification of any federal contract, grant, loan, or cooperative agreement.
- b. In addition to the Certification, if any funds other than federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any federal agency, a member of Congress, an officer or employee of Congress, or an employee of a member of Congress in connection with this federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "**Disclosure of Lobbying Activities**."
- c. The Certification is a material representation of fact upon which reliance was placed when this Agreement was executed. Submission of this Certification is a prerequisite for making or entering into this Agreement, as imposed by Title 31 U.S.C. Section 1352. Any person who fails to file the required Certification will be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.
- d. The Contractor agrees, by signing this Agreement/Amended Agreement, that it shall require that the language of this Certification be included in all lower tier subcontracts, which exceed \$100,000, and that all such subcontractors shall complete and submit certify

Standard Form-LLL, “**Disclosure of Lobbying Activities,**” in accordance with its instructions.

23. Disadvantaged Business Enterprise (DBE). *(Applicable to federal-funded agreements)*

In accordance with 49 CFR 26, or as may be amended, the Contractor agrees to abide by and take all necessary and reasonable steps to comply with the following:

- a. **DBE Policy:** It is the policy of the Department to implement the provisions of 49 CFR 26, other pertinent regulations, and source legislation. The objectives are to:
 1. ensure nondiscrimination in the award and administration of United States Department of Transportation (USDOT)-assisted contracts in the USDOT’s highway, transit, and airport financial assistance programs;
 2. create a level playing field on which DBEs can fairly compete for USDOT-assisted contracts;
 3. ensure that the Department’s DBE Program is narrowly tailored in accordance with applicable law;
 4. ensure that only firms that fully meet the eligibility standards specified in 49 CFR 26 are permitted to participate as DBEs;
 5. help remove barriers to the participation of DBEs in USDOT-assisted contracts; and
 6. assist the development of firms that can compete successfully in the marketplace outside the DBE Program.
- b. **DBE Goal:** The Department will establish the DBE goal on a triannual basis. The approved FFY 2021 DBE goal is established at 12.3% for federal-aid highway construction and design, of which 12.3% will be attained through race-neutral measures and 0% through race-conscious measures.
- c. **Record Keeping Responsibilities:** The Contractor is responsible to assure that its DBE liaison officer completes and submits the appropriate forms required by the DBE Program to the Department’s project manager or to the Department’s Construction and Civil Rights Bureau/DBE Program at the following address:

New Mexico Department of Transportation
Construction and Civil Rights Bureau
1570 Pacheco Street, Suite A10
Santa Fe, New Mexico 87505

- d. **Department’s DBE Program:** The Department’s DBE Program, as required by 49 CFR 26, and as approved by USDOT, is incorporated by reference and made part of this Agreement. If any provision of the DBE Program conflicts with 49 CFR 26, the provision of 49 CFR 26 will prevail. Implementation of this program is a legal obligation and failure to carry out its terms will be treated as a violation of this Agreement. Upon notification to the Contractor of its failure to carry out the terms and conditions of the DBE Program, the Department may impose sanctions as provided for under 49 CFR 26 and may, in appropriate cases, refer the matter for enforcement under 18 USC 1001 and/or the Program Fraud Civil Remedies Act of 1986 (31 USC Section 3801, et seq.). From time to time, the

Department might receive interpretations from USDOT, which will be binding on the Department and Contractors.

- e. **DBE Obligations:** The Department and the Contractor agree to ensure that DBEs, as defined in 49 CFR 26, will have the maximum opportunity to participate in the performance of services and work financed in whole and in part with federal funds under the Agreement. In this regard, the Contractor shall not discriminate on the basis of race, color, national origin, sex, or other protected class in the award and performance of any USDOT-assisted contracts. The Contractor shall carry out applicable requirements of 49 CFR 26 in the award and administration of USDOT-assisted contracts. Failure by the Contractor to carry out these requirements is a material breach of contract, which may result in the termination of the Agreement, or such other remedy as the Department deems appropriate, including but not limited to: (i) withholding monthly progress payments; (ii) assessing sanctions; (iii) liquidated damages; and/or (iv) disqualifying the Contractor from future bidding and non-responsive.

24. Applicable Law, Jurisdiction and Venue.

This Agreement is governed by the laws of the State of New Mexico, including but not limited to the Procurement Code, NMSA 1978 Sections 13-1-28 through 13-1-199. Civil and criminal penalties can be imposed regarding illegal bribes, gratuities, and kickbacks.

If federally funded, the laws of the United States of America, including but not limited to the regulations, policies, procedures, and directives of the USDOT. Violation of federal laws and regulations can result in the loss of federal funds, as well as penalties under 18 U.S.C. Section 1001.

The Contractor acknowledges the jurisdiction of the courts of the State of New Mexico over any adversarial proceedings arising out of this Agreement. Venue for any such proceeding will be in the First Judicial District Court for the County of Santa Fe, New Mexico.

25. Merger.

This Agreement constitutes the entire understanding between the parties with respect to the subject matter, and supersedes all other agreements, whether written or oral, between the parties.

26. No Third-Party Beneficiary.

This Agreement does not confer any rights or remedies on anyone other than the Department and the Contractor.

27. Severability.

If any term or condition of this Agreement is held invalid or unenforceable, the remainder of this Agreement will not be affected and will be valid and enforceable.

28. Enforcement of Agreement.

A party's failure to require strict performance of any provision of this Agreement will not waive that party's right thereafter to demand strict compliance with that or any other provision.

No waiver will be effective unless in writing, and no effective waiver by a party of any of its rights will be effective to waive any other rights.

29. Appendices.

The following are a part of this Agreement:

Appendix A, Scope of Work

Appendix B, Compensation/Rates

Appendix C, Insurance Requirements

Appendix D, Campaign Contributions Disclosure Form

Appendix E, Certifications (*Applicable to federally funded agreements*)

30. Amendment.

This Agreement may only be amended by an instrument in writing executed by the parties.

Subject to the Procurement Code, NMSA 1978 Sections 13-1-28 through 13-1-199, and other applicable laws and regulations, an amendment may include modifications to the **Scope of Work, Appendix A**, when unanticipated changes in the character of the work require a change in the nature of the design. The Scope of Work for project-specific agreements may involve up to three phases and take a phase-by-phase approach, requiring amendments to add new phases.

The remainder of this page is intentionally left blank.

In Witness Whereof, each party is signing this Agreement on the date stated opposite that party's signature. The execution of this Agreement is on the date of the last party to sign. Signatures are dated for reference purposes only. The start date, as defined above, shall guide the term and performance of services under this Agreement.

New Mexico Department of Transportation

By: _____ Date: _____
Cabinet Secretary or Designee

<<Insert Company Name >>

By: _____ Date: _____

Print Name: _____

Title: _____

Approved as to form and legal sufficiency by the Department's Office of General Counsel.

By: _____ Date: _____
Assistant General Counsel

I hereby certify that, <<Insert Company Name >> tax identification number, <<Insert>> is registered with the New Mexico Taxation and Revenue Department for payment of gross receipt taxes.

Taxation and Revenue Department

By: _____ Date: _____

Appendix A Scope of Work

Project Specific: I-40 between Arizona State Line and Atrisco Vista Boulevard Interchange

1. Services to be Performed:

Provide Project Specific services as identified in this Scope of Work, including as supplemented and amended. Contractor (also identified herein as Engineer or Consultant) shall not proceed until it has received a **Notice to Proceed**.

2. The Contractor shall:

- a. Meet the standards, effective at the start date of this Agreement and as amended, in the:
 1. the New Mexico Department of Transportation Standard Specifications for Highway and Bridge Construction;
 2. the Federal Highway Administration's Manual on Uniform Traffic Control Device;
 3. Title 23 of the Code of Federal Regulations;
 4. standards established by the American Association of State Highway and Transportation Officials, the American Society for Testing and Materials; and
 5. Department infrastructure design directives.
- b. Comply with deadlines and/or completion dates identified below.
- c. Fully perform the work detailed in the scope of work, including as supplemented and amended.
- d. Provide accurate, complete, and correct plans and related data.
- e. Attend field inspections, conferences, or public meetings as required by the project and the Department.
- f. Maintain a New Mexico office and a New Mexico professional contractor registration, as applicable.

3. Department Review.

Department review of the plans will be for conformity with Department procedures and state and federal standards and specifications. Review by the Department does not include a detailed review or checking of design components and related details or the accuracy with which such designs are depicted on the Contractor's plans and reports.

4. Completion Dates:

<<Insert Completion Dates>>

* Deliverables subject/not subject to liquidated damages

5. Scope of Work:

The following describes the required tasks and subtasks to be performed by the Contractor:

<<Attach Scope of Work >>

Appendix B Compensation/Rates

Project Specific: I-40 between Arizona State Line and Atrisco Vista Boulevard Interchange

Total Compensation: Up to \$_____ <<Choose all that apply: for this single phase project / Phase I A/B, C, D; Phase II; Phase III. >> This amount does not include gross receipts tax (GRT).

New Mexico GRT: The Department will pay GRT at the rate applicable at the time of service. Contractor shall include GRT in each invoice.

Rates: The Contractor's Unit Rate Schedule and Certification of Final Indirect Costs, if applicable, is attached to this **Appendix B**.

Multi-Phase Project: The Contractor shall be paid based on the compensation, unit rate schedule, applicable GRT, any completion dates, and whether liquidated damages and retainage will apply. The Contractor shall commence work upon receipt of a **Notice to Proceed**, which will include any completion dates.

Method of Payment: <<Choose one: lump sum upon completion / monthly invoice / quarterly invoice. >>

Liquidated Damages: <<Choose one: Yes / No >>

- a. If the Contractor fails to meet completion dates in **Appendix A** on which liquidated damages apply, the Department will assess two hundred fifty dollars (\$250) for each day of delay or one-quarter of one percent (.25%) per day of the Contractor's sum fee, whichever is less. Liquidated damages will be withheld from final payment. If the liquidated damages exceed the retainage due, the Contractor shall be liable to pay the Department the amount of such excess.
- b. The terms "satisfactory completion" or "satisfactorily completed" for the purpose of assessing liquidated damages mean:
 1. return in satisfactory condition all of the Department's loaned documents and materials, including survey books and field notes;
 2. delivery of Contractor's work product including, the design information, standard drawings, field notes and other pertinent documents, provided that such delivery means actual transfer of possession in the form approved by the Department incorporating all required plan corrections and clarifications; and
- c. written acceptance by the Department of the Contractor's work.

Extensions: If the Contractor is unable to meet completion dates for reasons beyond its control, the Contractor may request an extension. Such a request must be made in writing no later than thirty (30) days before the completion date. The Department may extend the completion dates, which will be done in writing.

Retainage: <<Choose one: Yes / No >>

If indicated above, the Department will hold as retainage 5%. The Department will pay for work performed until payments made equal 95% of the total amount for the applicable Phase. The remaining 5% retainage will be paid upon satisfactory completion of services, respectively. All amounts retained will be released to the Contractor upon project completion and acceptance.

End of Appendix B

Appendix C Insurance Requirements

The Contractor shall procure insurance, as detailed below, and provide a Certificate of Insurance and endorsements listing the Department as an additional insured, which will be attached to this **Appendix C**. The limits cited below are minimum limits. The Department does not intend that these limits define what constitutes adequate insurance coverage. The insurance coverage required in no way limits the Contractor's liability under this Agreement

The Contractor may purchase an umbrella or excess policy to secure these limits. Any umbrella or excess insurance must follow form equal to or broader in coverage than the underlying insurance requirements, including but not limited to additional insurance endorsement.

1. Minimum Scope and Limits:

a. General Liability – Occurrence Form:

The Policy must include the following (including coverage for drone usage as applicable):

1. Personal and Bodily Injury: \$1,000,000 each person; \$2,000,000 each occurrence (annual aggregate),
2. Property Damage: \$2,000,000 each occurrence (annual aggregate),
3. Products – Completed Operations Aggregate: \$1,000,000. Products and completed operations coverage must be maintained for three (3) years after completion of design,
4. Personal and Advertising Injury: \$1,000,000,
5. Blanket Contractual Liability – Written and Oral: \$1,000,000,
6. Damage to Rented Premises: \$50,000, and
7. Each Occurrence: \$1,000,000

b. Business Automobile Liability:

The Policy must cover all vehicles, owned, hired and/or non-owned used in the performance of this Agreement.

1. Personal and Bodily Injury: \$1,000,000 each person; \$2,000,000 each occurrence (annual aggregate) and
2. Property Damage: \$2,000,000 each occurrence (annual aggregate)

c. Professional Liability (Errors and Omissions):

1. Each Claim, \$1,000,000 and
2. Annual Aggregate, \$2,000,000

In the event that the professional liability insurance is written on a claims-made basis, the Contractor warrants that any retroactive date under the policy must precede the effective date of this Agreement; and that either continuous coverage will be maintained or an extended discovery period will be exercised for a period of three (3) years beginning at the time work under this Agreement is completed.

d. Workers Compensation and Employers Liability:

1. Workers Compensation: Comply with statutory requirements, as amended, under the New Mexico Worker's Compensation Act (NMSA 1978, Sections 52-1-1 et seq.) and the New Mexico Occupational Disease Disablement Law (NMSA 1978, Sections 52-3-1 et seq.).
2. Employers' Liability:
 - (a) Each Accident: \$1,000,000,
 - (b) Disease – Each Employee: \$1,000,000, and
 - (c) Disease – Policy Limit: \$1,000,000

e. Aircraft Liability – Per Occurrence Form (if applicable):

If the Contractor or its subcontractor will be using aircraft to perform any portion of this Agreement, then aircraft liability must be provided. The policy must include bodily injury, property damage, personal injury and broad form contractual liability.

1. Products – Completed Operations Aggregate: \$1,000,000,
2. Personal and Advertising Injury: \$1,000,000,
3. Hangarkeepers Liability: \$1,000,000,
4. Per Seat Limit: \$1,000,000,
5. Blanket Contractual Liability – written and oral: \$1,000,000,
6. Fire Legal Liability: \$50,000, and
7. Each Occurrence: \$5,000,000

f. Valuable Papers Coverage:

Valuable papers insurance must be included in the policy for a minimum of \$25,000 or in a higher amount sufficient assure the restoration of any document, memoranda, plans, specifications, drawings, media, computer files, data or other information related to the work of the Contractor in the completion of this Agreement.

2. Additional Insured:

The General, Automobile and Aircraft Liability policies must name the Department as an additional insured. The form must conform to the most current version of the Insurance Services Office's CG 2010, Additional Insured Endorsement Form. The Certificate of Insurance must state that the coverage provided under each policy is primary over any other valid and collectible insurance. Such additional insured must be covered to the full limits of liability purchased by the Contractor, even if those limits are in excess of those required by this Agreement.

3. Certificate of Insurance and Endorsements:

The Contractor shall provide a Certificate of Insurance and endorsements listing the Department as an additional insured evidencing the above insurance before the Department issues a Notice to Proceed. The Certificate of Insurance and endorsements listing the Department as an additional insured must be made part of this Agreement. The Contractor shall provide a Certificate of Insurance and endorsements listing the Department as an additional insured to the Department on renewal of a policy or policies as necessary during the term of the Agreement.

Appendix D
See attached, Completed Campaign Contribution Disclosure Forms
(Attach from proposal)

CAMPAIGN CONTRIBUTION DISCLOSURE FORM

Pursuant to the Procurement Code, NMSA 1978, Sections 13-1-28 through 13-1-199, and NMSA 1978, Section 13-1-191.1, any prospective contractor (also identified as engineer or consultant) seeking to enter into a contract with any state agency or local public body for professional services, a design and build project delivery system, or the design and installation of measures the primary purpose of which is to conserve natural resources must file this form with that state agency or local public body. This form must be filed even if the contract qualifies as a small purchase or a sole source contract. The prospective contractor must disclose whether they, a family member, or a representative of the prospective contractor has made a campaign contribution to an applicable public official of the state or a local public body during the two years prior to the date on which the contractor submits a proposal or, in the case of a sole source or small purchase contract, the two years prior to the date the contractor signs the contract, if the aggregate total of contributions given by the prospective contractor, a family member or a representative of the prospective contractor to the public official exceeds two hundred and fifty dollars (\$250) over the two year period.

Furthermore, the state agency or local public body may cancel a solicitation or proposed award for a proposed contract pursuant to NMSA 1978, Section 13-1-181 or a contract that is executed may be ratified or terminated pursuant to NMSA 1978, Section 13-1-182 of the Procurement Code if: 1) a prospective contractor, a family member of the prospective contractor, or a representative of the prospective contractor gives a campaign contribution or other thing of value to an applicable public official or the applicable public official's employees during the pendency of the procurement process or 2) a prospective contractor fails to submit a fully completed disclosure statement pursuant to the law.

The state agency or local public body that procures the services or items of tangible personal property shall indicate on the form the name or names of every applicable public official, if any, for which disclosure is required by a prospective contractor.

THIS FORM MUST BE INCLUDED IN THE REQUEST FOR PROPOSALS AND MUST BE FILED BY ANY PROSPECTIVE CONTRACTOR WHETHER OR NOT THEY, THEIR FAMILY MEMBER, OR THEIR REPRESENTATIVE HAS MADE ANY CONTRIBUTIONS SUBJECT TO DISCLOSURE.

To be read consistent with NMSA 1978, Section 13-1-191.1, the following definitions apply:

1. “Applicable public official” means a person elected to an office or a person appointed to complete a term of an elected office, who has the authority to award or influence the award of the contract for which the prospective contractor is submitting a competitive sealed proposal or who has the authority to negotiate a sole source or small purchase contract that may be awarded without submission of a sealed competitive proposal.
2. “Campaign contribution” means a gift, subscription, loan, advance or deposit of money or other thing of value, including the estimated value of an in-kind contribution, that is made to or received by an applicable public official or any person authorized to raise, collect or expend contributions on that official’s behalf for the purpose of electing the official to statewide or local office. Campaign contribution includes the payment of a debt incurred in an election campaign, but does not include the value of services provided without compensation or unreimbursed travel or other personal expenses of individuals who volunteer a portion or all of their time on behalf of a candidate or political committee, nor does it include the administrative or solicitation expenses of a political committee that are paid by an organization that sponsors the committee.
3. “Family member” means a spouse, father, mother, child, father-in-law, mother-in-law, daughter-in-law or son-in-law of (a) a prospective contractor, if the prospective contractor is a natural person; or (b) an owner of a prospective contractor.
4. “Pendency of the procurement process” means the time period commencing with the public notice of the request for proposals and ending with the award of the contract or the cancellation of the request for proposals.
5. “Prospective contractor” means a person or business that is subject to the competitive sealed proposal process set forth in the Procurement Code or is not required to submit a competitive sealed proposal because that person or business qualifies for a sole source or a small purchase contract.
6. “Representative of a prospective contractor” means an officer or director of a corporation, a member or manager of a limited liability corporation, a partner of a partnership or a trustee of a trust of the prospective contractor.

Name(s) of Applicable Public Official(s) if any: _____
(Completed by State Agency or Local Public Body)

DISCLOSURE OF CONTRIBUTIONS BY PROSPECTIVE CONTRACTOR:

Contribution Made By: _____

Relation to Prospective Contractor: _____

Date Contribution(s) Made: _____

Amount(s) of Contribution(s) _____

Nature of Contribution(s) _____

Purpose of Contribution(s) _____

(Attach extra pages if necessary)

Signature

Date

Title (position)

— OR —

NO CONTRIBUTIONS IN THE AGGREGATE TOTAL OVER TWO HUNDRED FIFTY DOLLARS (\$250) WERE MADE to an applicable public official by me, a family member or representative.

Signature

Date

Title (Position)

APPENDIX E OF THE CONTRACT

Contract No.:
Vendor No.:
Control No.:

**NO SOLICITATION OF CONTRACT
CERTIFICATION OF ENGINEER**

I hereby certify that I am the (title) _____ and duly authorized representative of the firm of _____, whose address is _____ and that neither I nor the above firm I represent has:

- a. employed or retained for a commission, percentage, brokerage, contingent fee, or other consideration, any firm or person, other than a bona fide employee working solely for me or the above Contractor (consultant, engineering firm or its representative), to solicit or secure this Agreement;
- b. agreed, as an express or implied condition for obtaining the Agreement, to employ or retain the services of any firm or person in connection with carrying out the Agreement; or
- c. paid, or agree to pay, to any firm, organization or person, other than a bona fide employee working solely for me or the above Contractor (consultant, engineering firm or its representative) any fee, contribution, donation, or consideration of any kind for, or in connection with, procuring or carrying out the Agreement.

As per OMB Circular A-133, Compliance Supplement 2020, or as amended, _____ certifies that the organization and its principals are not suspended or debarred.

Except as here expressly stated (if any): _____.

I acknowledge that this certificate is to be furnished to the New Mexico Department of Transportation and the Federal Highway Administration, U.S. Department of Transportation (if applicable), in connection with this Agreement involving participation of federal-aid highway funds (if applicable), and is subject to applicable state and federal laws, both criminal and civil.

By: _____ Date: _____

Contract No.:
Vendor No.:
Control No.:

Engineering Firm: _____

**NO SOLICITATION OF CONTRACT
CERTIFICATION OF NEW MEXICO DEPARTMENT OF TRANSPORTATION**

I, _____, as Deputy Secretary or designee of the New Mexico Department of Transportation, do hereby certify that the above Contractor (consultant, engineering firm or its representative) has not been required directly or indirectly, as an express or implied condition in connection with obtaining or carrying out this Agreement to:

- a. Employ or retain, or agree to employ or retain, any firm or person or
- b. Pay, or agree to pay, to any firm, person, or organization, any fee, contribution, donation, or consideration of any kind.

Except as here expressly stated (if any): _____.

I acknowledge that this certificate is to be furnished to the Federal Highway Administration, U.S. Department of Transportation (if applicable), in connection with this Contract involving participation of Federal-Aid highway funds (if applicable), and is subject to applicable State and Federal laws, both criminal and civil.

By: _____ Date: _____

**APPENDIX C TO RFP 22-12
ACKNOWLEDGEMENT OF RECEIPT FORM**

Request for Proposals No. 22-12

CN: 6101580

**Project Specific: I-40 between Arizona State Line and Atrisco Vista Boulevard
Interchange**

In acknowledgement of receipt of this Request for Proposal the undersigned agrees that he/she has received a complete copy, beginning with the title page and ending with "Appendix I".

The acknowledgement of receipt should be signed and returned to the Procurement and Facilities Management Division, NMDOT, by the close of business on **October 18, 2021**. Only potential Offerors who elect to return this completed form will receive copies of RFP amendments, if any are issued. The following information will be used for all correspondence related to this Request for Proposals.

FIRM: _____

REPRESENTED BY: _____

TITLE: _____ PHONE NO.: _____

E-MAIL: _____ FAX NO.: _____

ADDRESS: _____

CITY: _____ STATE: _____ ZIP CODE: _____

SIGNATURE: _____ DATE: _____

Please return completed form to the name and address listed below.

Juanita Sanchez
Procurement
New Mexico Department of Transportation
1120 Cerrillos Rd., Rm #113
Santa Fe, NM 87504
Ph. (505) 629-8790
Email: Juanita.Sanchez@state.nm.us

**APPENDIX D TO RFP 22-12
PROJECT/CONTRACT LISTING FORM**

Offerors shall list all current contracts with the NMDOT.

FIRM: _____ DATE: _____

Table A – Project Specific Contracts

PROJECT DIRECTLY AWARDED TO FIRM	CONTRACT DATE	CONTRACT AMOUNT (in dollars \$)	% COMPLETE TO DATE	CONTRACT AMOUNT EXPENDED TO DATE (in dollars \$)	CONTRACT REMAINING BALANCE (in dollars \$)
1.					
2.					
3.					
4.					
5.					
			TOTALS		

Table B – On-call Contracts

PROJECT DIRECTLY AWARDED TO FIRM	CONTRACT DATE	CONTRACT AMOUNT	TOTAL AMOUNT TASKED OUT TO DATE (in dollars \$)	% OF TASKED OUT WORK COMPLETE TO DATE	TOTAL TASKED OUT WORK EXPENDED TO DATE (in dollars \$)	TOTAL REMAINING BALANCE OF TASKED OUT WORK (in dollars \$)
1.						
2.						
3.						
4.						
5.						
			TOTALS			

Notes:

1. If any award is not proceeding in contract negotiations, please indicate the status in the "Remarks" below.
2. Fees do not include reimbursable expenses, which include: travel, per diem, printing, telephone or reproduction cost.
3. Federal funds shall be included in project calculations pursuant to NMSA 1978, Section 13-1-120B (6).
4. Any Award of Contract that has not resulted in a written contract offer to the Offeror, within 6 months of written notice, shall not be considered an award for the purposes of the Project Listing Form.
5. Contact the person designated in Section I, Paragraph D if there are ANY questions regarding the correct completion of this form. (Use additional sheets if necessary).

REMARKS:

APPENDIX E TO RFP 22-12 CAMPAIGN CONTRIBUTION DISCLOSURE FORM

Pursuant to the Procurement Code, NMSA 1978, Sections 13-1-28 through 13-1-199, and NMSA 1978, Section 13-1-191.1, any prospective contractor (also identified as engineer or consultant) seeking to enter into a contract with any state agency or local public body for professional services, a design and build project delivery system, or the design and installation of measures the primary purpose of which is to conserve natural resources must file this form with that state agency or local public body. This form must be filed even if the contract qualifies as a small purchase or a sole source contract. The prospective contractor must disclose whether they, a family member or a representative of the prospective contractor has made a campaign contribution to an applicable public official of the state or a local public body during the two years prior to the date on which the contractor submits a proposal or, in the case of a sole source or small purchase contract, the two years prior to the date the contractor signs the contract, if the aggregate total of contributions given by the prospective contractor, a family member or a representative of the prospective contractor to the public official exceeds two hundred and fifty dollars (\$250) over the two year period.

Furthermore, the state agency or local public body may cancel a solicitation or proposed award for a proposed contract pursuant to NMSA 1978, Section 13-1-181 or a contract that is executed may be ratified or terminated pursuant to NMSA 1978, Section 13-1-182 of the Procurement Code if: 1) a prospective contractor, a family member of the prospective contractor, or a representative of the prospective contractor gives a campaign contribution or other thing of value to an applicable public official or the applicable public official's employees during the pendency of the procurement process or 2) a prospective contractor fails to submit a fully completed disclosure statement pursuant to the law.

The state agency or local public body that procures the services or items of tangible personal property shall indicate on the form the name or names of every applicable public official, if any, for which disclosure is required by a prospective contractor.

THIS FORM MUST BE INCLUDED IN THE REQUEST FOR PROPOSALS AND MUST BE FILED BY ANY PROSPECTIVE CONTRACTOR WHETHER OR NOT THEY, THEIR FAMILY MEMBER, OR THEIR REPRESENTATIVE HAS MADE ANY CONTRIBUTIONS SUBJECT TO DISCLOSURE.

To be read consistent with NMSA 1978, Section 13-1-191.1, the following definitions apply:

1. "Applicable public official" means a person elected to an office or a person appointed to complete a term of an elected office, who has the authority to award or influence the award of the contract for which the prospective contractor is submitting a competitive sealed proposal or who has the authority to negotiate a sole source or small purchase contract that may be awarded without submission of a sealed competitive proposal.
2. "Campaign contribution" means a gift, subscription, loan, advance or deposit of money or other thing of value, including the estimated value of an in-kind contribution, that is made

to or received by an applicable public official or any person authorized to raise, collect or expend contributions on that official's behalf for the purpose of electing the official to statewide or local office. Campaign contribution includes the payment of a debt incurred in an election campaign, but does not include the value of services provided without compensation or unreimbursed travel or other personal expenses of individuals who volunteer a portion or all of their time on behalf of a candidate or political committee, nor does it include the administrative or solicitation expenses of a political committee that are paid by an organization that sponsors the committee.

3. "Family member" means a spouse, father, mother, child, father-in-law, mother-in-law, daughter-in-law or son-in-law of (a) a prospective contractor, if the prospective contractor is a natural person; or (b) an owner of a prospective contractor.
4. "Pendency of the procurement process" means the time period commencing with the public notice of the request for proposals and ending with the award of the contract or the cancellation of the request for proposals.
5. "Prospective contractor" means a person or business that is subject to the competitive sealed proposal process set forth in the Procurement Code or is not required to submit a competitive sealed proposal because that person or business qualifies for a sole source or a small purchase contract.
6. "Representative of a prospective contractor" means an officer or director of a corporation, a member or manager of a limited liability corporation, a partner of a partnership or a trustee of a trust of the prospective contractor.

DISCLOSURE OF CONTRIBUTIONS:

Contribution Made By: _____

Relation to Prospective Contractor: _____

Name of Applicable Public Official: _____

Date Contribution(s) Made: _____

Amount(s) of Contribution(s) _____

Nature of Contribution(s) _____

Purpose of Contribution(s) _____

(Attach extra pages if necessary)

Signature

Date

Title (position)

— OR —

NO CONTRIBUTIONS IN THE AGGREGATE TOTAL OVER TWO HUNDRED FIFTY DOLLARS (\$250) WERE MADE to an applicable public official by me, a family member or representative.

Signature

Date

Title (Position)

APPENDIX F TO RFP 22-12
NEW MEXICO EMPLOYEES HEALTH COVERAGE FORM

1. For all contracts solicited and awarded on or after January 1, 2008: If the Offeror has, or grows to, six (6) or more employees who work, or who are expected to work, an average of at least 20 hours per week over a six (6) month period during the term of the contract, Offeror must agree to:
 - (a) have in place, and agree to maintain for the term of the contract, health insurance for those employees and offer that health insurance to those employees no later than July 1, 2008 if the expected annual value in the aggregate of any and all contracts between Contractor and the State exceed one million dollars; or
 - (b) have in place, and agree to maintain for the term of the contract, health insurance for those employees and offer that health insurance to those employees no later than July 1, 2009 if the expected annual value in the aggregate of any and all contracts between Contractor and the State exceed \$500,000 dollars; or
 - (c) have in place, and agree to maintain for the term of the contract, health insurance for those employees and offer that health insurance to those employees no later than July 1, 2010 if the expected annual value in the aggregate of any and all contracts between Contractor and the State exceed \$250,000 dollars.
2. Offeror must agree to maintain a record of the number of employees who have (a) accepted health insurance; (b) decline health insurance due to other health insurance coverage already in place; or (c) decline health insurance for other reasons. These records are subject to review and audit by a representative of the state.
3. Offeror must agree to advise all employees of the availability of State publicly financed health care coverage programs.
4. For Indefinite Quantity, Indefinite Delivery contracts (price agreements without specific limitations on quantity and providing for an indeterminate number of orders to be placed against it); these requirements shall apply the first day of the second month after the offeror reports combined sales (from state and, if applicable, from local public bodies if from a state price agreement) of \$250,000, \$500,000 or \$1,000,000.

Signature of Offeror: _____ Date _____

**APPENDIX G TO RFP 22-12
PROPOSED WORK PARTICIPATION CHART**

Role	Firm Name	% of Project
Prime		
Sub		
Sub		
Sub		
Sub		
Sum		

APPENDIX H TO RFP 22-12

Form No. A-1013 (Rev. 8/05)

New Mexico Department of Transportation DESIGN OR OTHER CONSULTANT OFFEROR'S LIST

Consulting Firm: _____ **Project No.** _____

Contact Name: _____ **Control No.** _____

RFP Number: _____

Consulting Firm Address: _____

Telephone: _____ **Fax:** _____ **E-Mail:** _____

The Offeror's List will include all sub-consultants contacted by the prime design consultants for consideration for the design team. Failure to submit this form at the time of submittal of the consultant proposal will render the proposal non-responsive.

ALL SUB-CONSULTANTS:

NAME	ADDRESS	TELEPHONE	STATUS: DBE / NON-DBE

APPENDIX I TO RFP 22-12

Form No. A-1036
New 08/03

New Mexico Department of Transportation CONFIDENTIALITY AND NON-DISCLOSURE AGREEMENT

OFFEROR NAME	
CONTROL NUMBER	
PROJECT NUMBER	
TERMINI	

I, _____ (NAME), _____ (TITLE) for the firm of _____, an Offeror for the New Mexico Department of Transportation (Department) on the above-mentioned project, agree that _____ (FIRM NAME) will maintain the confidentiality of all information designated by the Department as “draft” or “confidential” that is gained as a result of our involvement in the above-mentioned project. This includes proprietary information and information designated confidential in accordance with 1.4.1.45 NMAC, and NMSA 1978, Section 13-1-39 (1984).

_____ (FIRM NAME) will maintain security and control over all documents containing such confidential information in our custody. _____ (FIRM NAME) will not make copies of any documents, nor remove documents from the assigned locations, and will return documents to the Department when work with the documents is complete.

_____ (FIRM NAME) will not divulge any confidential information to the media, any member of the public, or any employee of the consultant not involved in this project without the consent of the Department.

Furthermore, _____ (FIRM NAME) agrees not to accept gratuities or favors in exchange for such confidential information. The New Mexico State Procurement Code, NMSA 1978, Sections 13-1-28 through 13-1-199, imposes civil and criminal penalties for its violation.

This agreement is subject to the laws of the State of New Mexico, and all applicable rules and regulations.

Signed: _____ Date: _____

Title: _____

Printed Name: _____

Printed Title: _____