

**NEW MEXICO DEPARTMENT
OF TRANSPORTATION**

**REQUEST FOR PROPOSALS
ENGINEERING CONSULTANT SERVICES**



NM DOT

**RFP No. 20-13
PN # 6100970
CN # 6100970
STATE FUNDS**

US 491 and Carbon Coal Road

SEPTEMBER 2019

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I. INTRODUCTION

A. PURPOSE OF THIS REQUEST FOR PROPOSALS

The New Mexico Department of Transportation (NMDOT or Department) is requesting proposals from qualified firms or Offerors for the design development of Phase IC, ID and Phase II documents for US 491/Carbon Coal / Ninth Street intersection and proposed connection to Carbon Coal roadway.

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 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 no case will the contract, including any and all renewals thereof, exceed a total of four (4) years in duration from the date of the initial Agreement.

D. PROCUREMENT MANAGER

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

Juanita Sanchez
Procurement and Facilities Management 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

Any inquiries or requests regarding this procurement should be submitted to the Procurement Manager in writing. Offerors may contact ONLY the Procurement Manager regarding the procurement. Other state employees or Evaluation Committee members do not have the authority to respond on behalf of the NMDOT.

E. DEFINITION OF TERMINOLOGY

This section contains definitions and abbreviations that are used throughout this procurement document.

“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 document.

“Business Hours” means 7:45 AM thru 4:30 PM Mountain Standard or Mountain Daylight Time, whichever is in effect on the date given.

“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 57-3-A-1 to 57-3A-7. See NMAC 1.4.1.45. As one example, no information that could be obtained from a source outside this request for proposals can be considered confidential information.

“Contract” means any agreement for the procurement of items of tangible personal property, services or construction.

“Contractor” means any business having a contract with a state agency or local public body.

“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.

“Desirable” The terms “may”, “can”, “should”, “preferably”, or “prefers” identify a desirable or discretionary item or factor (as opposed to “mandatory”).

“Evaluation Committee” means a body appointed by the Agency to perform the evaluation of Offeror proposals.

“Finalist” is defined as an Offeror who meets all the mandatory specifications of this Request for Proposals and whose score on evaluation factors is sufficiently high to merit further consideration by the Evaluation Committee.

“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” The terms “must”, “shall”, “will”, “is required”, or “are required”, identify a mandatory item or factor (as opposed to “desirable”). 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.

“Offeror” is any person, corporation, or partnership who chooses to submit a proposal.

“Procurement Manager” means any person or designee authorized by the Agency to enter into or administer contracts and make written determinations with respect thereto.

“Procurement and Facilities Management Division or PFMD” means the Procurement and Facilities Management Division within the NMDOT Office of Business Support.

“Procuring Agency” means all State of New Mexico agencies, commissions, institutions, political subdivisions and local public bodies allowed by law to entertain procurements.

“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 State reserves the right, however, 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 (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” includes 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 Offerors 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.

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	9/6/19
2.	Pre-proposal Conference (1:30 p.m. MDT)	NMDOT & Offerors	9/18/19
3.	Acknowledgement of Receipt Form ("Appendix C")	Offerors	9/20/19
4.	Deadline to Submit Additional Written Questions	Offerors	9/23/19
5.	Response to Written Questions/RFP Amendments	NMDOT	9/25/19
6.	Submission of Proposal (Due 2:00 p.m. MST)	Offerors	10/8/19
7.	Proposal Evaluation	Evaluation Committee	October 2019
8.	Selection of Finalists	Evaluation Committee	Oct/Nov 2019
9.	Oral Presentation by Finalists (If applicable)	Offeror	Nov/Dec 2019
10.	Best and Final Offers	Offeror	December 2019
11.	Finalize Contract	Offeror/NMDOT	Dec 2019/Jan 2020
12.	Contract Award	NMDOT	Jan/Feb 2020

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 be held on **Wednesday, September 18, 2019**, beginning at 1:30 p.m. Mountain Daylight Time at the NMDOT D-3 Auditorium, 7500 Pan American Boulevard, Albuquerque, New Mexico 87119. Potential Offerors are encouraged to submit written questions in advance of the conference to the Procurement Manager (see Section I, Paragraph D). The identity of the organization submitting the question(s) will not be revealed. Additional written questions may be submitted at the conference. All written questions will be addressed at the conference. A public log will be kept of the names of potential Offerors that attended the pre-proposal conference. Attendance at the pre-proposal conference is highly recommended but not a prerequisite for submission of a proposal.

3. Acknowledgement of Receipt Form

Potential Offerors should email or send by registered or certified mail the "Acknowledgement of Receipt Form" that accompanies this document (See "Appendix C") to have their organization placed on the procurement distribution list. The form should be signed by an authorized representative of the organization, dated and returned by the close of business on **September 20, 2019**.

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

Failure to return this form shall constitute a presumption of receipt and rejection of the RFP, and the potential Offeror's organization name shall 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 **September 23, 2019**. 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 **September 25, 2019** 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 shall be submitted to the NMDOT electronically. Proposals submitted by hard copy or by facsimile will not be accepted.

Electronic proposals must be submitted 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.

ALL OFFEROR MUST SUBMIT ELECTRONIC COPY THROUGH BID EXPRESS FOR REVIEW AND EVALUATION BY THE PROCUREMENT MANAGER OR DESIGNEE NO LATER THAN 2:00 P.M. MDT ON OCTOBER 8, 2019. Proposals received after this deadline will not be accepted. The date and time will be recorded on each proposal.

A public log will be kept of the names of all Offeror organizations that submitted proposals. Pursuant to NMSA 1978, § 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 Request for Proposals. Awarded in this context means the final required state agency signature on the contract(s) resulting from the procurement has been obtained.

7. Proposal Evaluation

The evaluation of proposals will be performed by an evaluation committee appointed by the Agency. This process will take place during the month of **October 2019**. 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, but proposals may be accepted and evaluated without such discussion. Discussions **SHALL NOT** be initiated by the Offerors.

8. Selection of Finalists

The Evaluation Committee will select and Procurement Manager will notify the finalist Offerors in the month(s) of **Oct/Nov 2019**. Only finalists will be invited to participate in the subsequent steps of the procurement. The schedule for the Oral Presentations will be determined at that time.

9. Oral Presentation by Finalists (if applicable)

Finalist Offerors may be required to present their proposals to the Evaluation Committee. The Procurement Manager will schedule the time and location for each Offeror presentation. Presentations, if required, will be held in **Nov/Dec 2019** and will be limited to one (1) hour in duration.

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

Finalist Offerors may be asked to submit revisions to their proposals for the purpose of obtaining best and final offers in **December 2019**. 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 **Dec 2019/Jan 2020**. This date is subject to change at the discretion of the Agency. In the event mutually agreeable terms cannot be reached with the apparent most advantageous Offeror in the time specified, the NMDOT 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(s) of **Jan/Feb 2020**. These dates are subject to change at the discretion of the Agency.

The contract shall be awarded to the Offeror or Offerors 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 conformance with NMSA 1978, § 13-1-172 and applicable procurement regulations. As a Protest Manager has been named in this Request for Proposals, pursuant to NMSA 1978, § 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 15 calendar day protest period shall begin on the day following the award of contracts and will end at 4:30 pm Mountain Standard Time/Daylight Time on the 15th day. Protests must be written and must include the name and address of the protestor and the request for proposal number. It must also contain a statement of the grounds for protest including appropriate supporting exhibits and it must specify the ruling requested from the party listed below. Emailed protests will not be considered as properly submitted. The protest must be mailed or hand delivered to:

New Mexico Department of Transportation
Procurement and Facilities Management Division
Attn: Christina Baca, Director
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 NMAC 1.4.1.

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 (see links below) by the NMDOT Office of the Inspector General, 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 United States Code (23 USC § 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 Contractors' compliance with this procedure. A list of eligible Contractors will be updated by the fifth day of each month and posted on the NMDOT public website (http://dot.state.nm.us/content/dam/nmdot/OIG/Engineering_Design_Eligible_Consultants.pdf).

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

http://dot.state.nm.us/content/nmdot/en/Program_Management.html#d

http://dot.state.nm.us/content/dam/nmdot/OIG/Procedure_Determining_Overhead_Rate10-1-17.pdf

In all cases, all 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 your 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 NMDOT. NMDOT 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 contractual agreement whether or not subcontractors are used. Additionally, the prime contractor must receive approval, in writing, from the agency awarding any resultant contract, before any subcontractor is used during the term of this 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 Registration with the New Mexico Secretary of State pursuant to NMSA 1978, Sections 54-2-1 through 54-2-48.
- 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. NMDOT personnel 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 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.

9. Proposal Offer Firm

Responses to this RFP, including proposal prices for services, will be considered firm for one hundred twenty (120) days after the due date for receipt of proposals or ninety (90) days after the due date for the receipt of a best and final offer, if 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 Agency. 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:

- B. 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.
- C. Confidential data is restricted to:
 - 1. Confidential financial information concerning the Offeror's organization;
 - 2. and data that qualifies as a trade secret in accordance with the Uniform Trade Secrets Act, NMSA 1978 § 57-3A-1 to 57-3A-7.
 - 3. PLEASE NOTE: The price of products offered or the cost of services proposed shall not be designated as proprietary or confidential information.

If a request is received for disclosure of data for which an Offeror has made a written request for confidentiality, the Agency 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.

11. No Obligation

This RFP in no manner obligates the Agency 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 Agency.

13. Sufficient Appropriation

Any contract awarded as a result of this 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 Agency's decision as to whether sufficient appropriations and authorizations are available will be accepted by the Contractor as final.

14. Legal Review

NMDOT 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 agreement 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 Section 10-16-13 NMSA 1978 no state agency or political subdivision of the State shall 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 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 Agency, they thereby 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 the 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, which 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.

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 Contract between NMDOT and the Contractor will follow the format specified by the Agency and contain the terms and conditions as set forth in “Appendix B” (Contract for Federal Funding/State Funding). NMDOT reserves the right to negotiate with a successful Offeror provisions in addition to those contained in this RFP.

The Agency discourages exceptions from the contract terms and conditions as set forth in the RFP Sample Contract. Such exceptions may cause a proposal to be rejected as nonresponsive when, in the sole judgment of the Agency (and its evaluation team), 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 Agency's terms and conditions, as contained in this Section or in “Appendix B”, that Offeror must propose specific alternative language. The Agency 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 NMDOT 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 Contract. In the event the Offeror's proposal conflicts with the RFP, the RFP governs, and, in the event the Agreement conflicts with the proposal, the Agreement 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 (the RFP process prior to selection as successful Offeror), 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 (the RFP process prior to selection as successful Offeror) is an explicit agreement by the Offeror that the contractual terms and conditions contained herein 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 NMDOT.

21. Contract Deviations

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

22. Contract Negotiations

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

23. Offeror Qualifications

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

24. Right to Waive Minor Irregularities

The Evaluation Committee reserves the right to waive minor irregularities. The Evaluation Committee also reserves the right to waive mandatory requirements provided that all of the otherwise responsive proposals failed to meet the same mandatory requirements and the failure to do so does not otherwise materially affect the procurement. This right is at the sole discretion of the Evaluation Committee.

25. Change in Contractor Representatives

The NMDOT reserves the right to require a change in contractor representatives if the

assigned representative(s) is (are) not, in the opinion of the NMDOT, adequately meeting the needs of the Agency.

26. Notice of Penalties

The Procurement Code, NMSA 1978, § 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 Agency in agreement with the Evaluation Committee reserves the right to accept all or a portion of a potential Offeror's proposal.

28. Right to Publish

Throughout the duration of this procurement process and contract term, Offerors and contractors must secure from the Agency written approval prior to the release of any information that pertains to the potential work or activities covered by this procurement and/or Agency 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 Request for Proposals shall become the property of the NMDOT.

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 Agency.

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 Agency'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 NMDOT, the version maintained by the NMDOT 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 20 hours per week over a six (6) month period during the term of the 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 (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.

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. Pay Equity Reporting Requirements

If the Offeror has ten (10) or more employees OR eight (8) or more employees in the same job classification, Offeror must complete and submit the required reporting form (PE10-249 or PE250, depending on their size at the time) with their bid or proposal for evaluation purposes.

For contracts that extend beyond one (1) calendar year, or are extended beyond one (1) calendar year, Offeror must also agree to complete and submit the required form annually within thirty (30) calendar days of the annual bid or proposal submittal anniversary date and, if more than 180 days has elapsed since submittal of the last report, at the completion of the contract.

Should Offeror not meet the size requirement for reporting at contract award but subsequently grows such that they meet or exceed the size requirement for reporting, offer must agree to provide the required report within ninety (90) calendar days of meeting or exceeding the size requirement.

Offeror must also agree to levy these reporting requirements on any subcontractor(s) performing more than 10% of the dollar value of this contract if said subcontractor(s) meets, or grows to meet, the stated employee size thresholds during the term of the contract. Offeror must further agree that, should one or more subcontractor not meet the size requirement for reporting at contract award but subsequently grows such that they meet or exceed the size requirement for reporting, offer will submit the required report, for each such subcontractor, within ninety (90) calendar days of that subcontractor meeting or exceeding the size requirement.

36. 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's company:
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;
 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 within a three year period preceding this offer, had 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 State Purchasing Agent or other party to this Agreement if, at any time during the term of this Agreement, 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 this Agreement. However, the disclosure will be considered in the determination of the Contractor's responsibility and ability to perform under this Agreement. Failure of the Contractor to furnish a disclosure or provide additional information as requested will render the Offeror nonresponsive.

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 this Agreement. 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 State Purchasing Agent or other party to this Agreement.

If it is later determined that the Contractor knowingly rendered an erroneous disclosure, in addition to other remedies available to the Government, the State Purchasing Agent or Central Purchasing Officer may terminate the involved contract for cause. Still further the State Purchasing Agent or Central Purchasing 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 Central Purchasing Officer.

37. New Mexico Preferences

To ensure adequate consideration and application of NMSA 1978, § 13-1-21 (as amended), Offerors must include a copy of their preference certificate with their proposal. Certificates for preferences must be obtained through the New Mexico Department of Taxation & Revenue <http://www.tax.newmexico.gov/Businesses/in-state-veteran-preference-certification.aspx>.

- A. New Mexico Business Preference
- B. New Mexico Resident Veterans Business Preference

An agency shall not award a business both a resident business preference and a resident veteran business preference.

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

38. 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, Sections 10-16-1 through 10-16-18, NMSA 1978, regarding contracting with a public officer or state employee or former state employee have been followed.

39. Equal Employment Opportunity

A. **The following requirements shall apply to state-funded contracts:** In connection with this RFP and the Contract, Offerors and the Offeror shall not discriminate against any employee or applicant for employment because of race, color, religion, sex, national origin, age, marital status, being physically challenged, or on the basis of sexual preference.

Offerors and the Offeror shall take affirmative action to insure that all applicants are treated fairly during employment, without regard to their race, color, religion, sex, national origin, age, marital status, being physically challenged, or on the basis of sexual preference.

Such action 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 DOT-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 DOT-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 tri annual basis. The approved FFY 2018-2020 DBE goal is established at 15.51% for federal-aid highway construction and design of which 15.51% will be attained through race neutral measures, and race conscious portion is 0.00%.

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 Department's DBE Program as required by 49 CFR Part 26 and as approved by DOT, is incorporated herein by reference and made part of this agreement. If any provision of the DBE Program conflicts with 49 CFR Part 26, the provisions of 49 CFR Part 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 Department may impose sanctions as provided for under part 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 NMDOT shall receive interpretations from USDOT, which shall be binding on NMDOT, sub-recipients, and contractors.

DBE Obligations – The NMDOT and the Offeror agree to ensure that DBEs as defined in 49 CFR Part 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 or sex in the performance of DOT-assisted contracts. The Offeror shall carry out applicable requirements of 49 CFR 26 in the award and administration of DOT-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 NMDOT deems appropriate, which may 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 Offeror shall certify, by signing the 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 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 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. Submission of this certification is a prerequisite for making or entering into the Contract imposed by 31 U.S.C. Section 1352. 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 shall also agree 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.

- The Offeror shall furnish all necessary information and reports and shall permit access to its books, records, and accounts by the NMDOT 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> by going to "Doing Business with Us", Quick link "Civil Rights." You may also contact The Construction and Civil Rights Bureau (CCRB) at (505) 629-9890 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 identifies the different sections of your proposal by creating a bookmark on the PDF document.. Offerors are strongly encouraged to limit their proposals to a maximum of thirty (30) pages. Exclusions to this limitation will be the letter of introduction, table of contents, covers, proposal summary, dividers, other information, i.e., letters of appreciation, etc., 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 may 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;
- g) acknowledge receipt of any and all amendments to this RFP.

IV. SPECIFICATIONS

A. Information

The contract is scheduled to begin in or around Jan/Feb 2020. NMDOT 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/requirements, or provide the mandatory forms, will deem your proposal non-responsive.

1. General Information

Offerors must identify the Principal member or officer of the firm 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 in direct responsible 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

Offerors must describe or provide a work plan to perform the services required by the project scope. Describe your firm's specialized problem solving techniques or approaches, innovative practices/ideas, and advantages your team brings or offers to the project. Provide 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

Offeror's 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. Provide information that demonstrates your firm's ability to perform the services required for this project. 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. Clearly identify the lead engineer who will be directly responsible for the project. Include in the organizational chart the percentage of time each team member will spend or commit to providing services toward the project. Provide brief resumes for the lead engineer and key project team members, describing why each team member was selected for this project, highlighting relevant project experience and knowledge of NMDOT procedures. Indicate if a subcontractor is affiliated with the prime contractor as an affiliated company, firm, or business. Also identify the firms or teams list of current projects.

4. Past Record of Performance

Offeror's must demonstrate through historical documentation that the firm 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. Describe 3-5 past projects, specifying relevance to the current project. Include client references (names, addresses, email address and telephone numbers) for each project.

5. Proximity to or Familiarity with Site Location

Offerors must identify your familiarity with the project area and your understanding of the project scope. Offeror's 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. 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 Agency's best interest to support in-state businesses. Indicate the volume of work to be produced in New Mexico by a New Mexico firm or firms. 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

Firms 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" ("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 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 and Facilities Management 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. Pay Equity Reporting Requirements(Section II.C.34)

Offerors submitting a proposal shall comply with the requirements of Executive Order 2009-049, New Mexico Pay Equity Initiative. **The Executive Order and required forms can be obtained from the following link:**

http://www.generalservices.state.nm.us/statepurchasing/Pay_Equity.aspx

Contractors with less than 10 employees are exempt from the reporting requirements unless 8 or more individuals are in the same job classification.

Contractors with 8 or more employees in the same job classification are required to comply with the Executive Order.

If your firm meets any of the criteria below, for exemption from the Employee Pay Equity Requirements, a statement must be submitted in this section of your proposals indicating that your firm is EXEMPT from the reporting requirements.

- a. Contractors with fewer than ten (10) employees are exempt, unless they have at least eight (8) employees in the same job classification as per the reporting forms.

- b. Contractors receiving a contract resulting from an emergency procurement are exempt, unless they hold other contracts that would already subject them to the requirement.
- c. Out-of-state contractors that have no facilities and no employees working in New Mexico are exempt, if the contract is directly with the out-of-state contractor and fulfilled directly by the out-of-state contractor, and not passed through a local vendor. PLEASE NOTE: If an out-of-state contractor has employees working in the State of New Mexico, whether or not those employees reside in the state, the contractor is subject to the reporting requirements.

11. Resident Business and Resident Veteran's Preference (Does not apply to federally funded projects)

Pursuant to NMSA 1978, 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 of the total possible points to a resident business; or
- (2) ten percent 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 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, a State Agency shall not award an Offeror points for both a Resident Business Preference and a Resident Veteran's Preference. If the Offeror qualifies for both he/she 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 now being processed through the New Mexico Department of Taxation & Revenue. If you have a preference certification number that was issued by the New Mexico State Purchasing Division please follow the link below to apply for a new Resident Business or Veteran Business Preference number.

<http://www.tax.newmexico.gov/businesses/pages/in-statepreferencecertification.aspx>

IF YOU DO NOT QUALIFY FOR A RESIDENT BUSINESS OR RESIDENT VETERAN PREFERENCE PLEASE PROVIDE A STATEMENT STATING YOU DO NOT QUALIFY IN THIS SECTION OF YOUR PROPOSAL. IF YOU DO NOT QUALIFY FOR EITHER PREFERENCE YOUR PROPOSAL WILL BE ACCEPTED, HOWEVER YOU WILL NOT RECEIVE POINTS FOR PREFERENCE.

12. Form - Proposed Work Participation Chart (“Appendix G”)

NOTE: A firm will not offer services as “the prime” on any NMDOT Quality Based Selection (QBS) RFP where the prime Offeror performs less than 35% of all contractual services. The percentage 35 means in price and in actual contract work.

13. Form A-1013, Design or Other Consultant Offeror’s List (“Appendix H”)

14. Form A-1036, Confidentiality and Non-Disclosure Agreement (“Appendix I”)

V. EVALUATION

A. Evaluation Factors/Points

The NMDOT 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)	
7. Volume of Work Currently Being Performed	(Up to 4 pt Deduction)
8. New Mexico Preference Advantage (state funded proj.)	(5-10 Points 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 for clarification of the response as specified in Section II, Paragraph B.7.
3. The Evaluation Committee may use other sources of information to perform the evaluation as specified in Section II, Paragraph C.22.
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 NMDOT, 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, however, that a serious deficiency in the response to any one factor may be grounds for rejection regardless of overall score. 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 – PROJECT INTRODUCTION AND SCOPE OF WORK

Scope of Work – CN 6100970, RFP 20-13, US 491 and Carbon Coal Road

General Information:

Control Number: CN 6100970
Project Number: CN 6100970
Type of Work: Oversight of Final Design development of McKinley County roadway construction project (Carbon Coal Road Improvements construction documents), Phase IC, Phase ID and Phase II documents for US 491/Carbon Coal intersection and connection to proposed Carbon Coal roadway. Both projects (Carbon Coal Road and US 491/Carbon Coal intersection) will be combined for project certification and will be let as one construction package.

Posted Route: US 491 and Carbon Coal Road (Undesignated McKinley County Road)

Begin/End Mile Posts: US 491 (MP 1.50 to 2.50) / Carbon Coal Road (MP 0.0 to MP 5.15)

Termini: US 491 (0.5 mile south of US 491/Ninth St. intersection to 0.5 north of US 491 intersection) / Carbon Coal Road (Mentmore Rd. to US 491)

Total Study Length: 6.15 miles

NMDOT District: 6

County: McKinley County

Functional Classification: US 491 – Arterial / Carbon Coal (County Road) - undesignated

Terrain Type: Rolling

Construction Programmed Year: 2021

Anticipated Letting Date: July 2021

Project Development Engineer: Andrew Gallegos

Urban or Rural: Urban (US 491) / Rural (Carbon Coal)

Existing Conditions:

- A) Carbon Coal Road – Carbon Coal road is currently a dirt road that connects McKinley County Road 4 (Mentmore Road) to McKinley County Road 7 (Chino Road). Carbon Coal Road is an unpaved, undesignated road maintained by McKinley County. The right-of-way for the roadway is not established. There do not appear to be any utilities either along or crossing the existing roadway within the corridor. There is no

development along the corridor and the only defined access to the Carbon Coal roadway is to an existing material pit.

The proposed Carbon Coal Road alignment will be used to transport materials and shipping cargo from US 491 to the existing railroad spur facility along Mentmore Road. An expansion of this facility is proposed and the increased activity at this facility will require the construction of Carbon Coal Road to accommodate the increased traffic to and from this facility. Future development will most likely occur along this roadway as the traffic volumes increase.

McKinley County previously obtained funding to initiate the design of the Carbon Coal Roadway Improvements. These plans have been developed and submitted to McKinley County. NMDOT received additional funding through the New Mexico legislature for this project. NMDOT will perform the oversight of the design and construction of both the Carbon Coal Roadway Improvements and the US 491/Carbon Coal/Ninth Street Intersection Improvements. Consequently, the existing Carbon Coal Roadway Improvements construction documents will need to be modified to comply with all applicable NMDOT Standards and Specifications.

- B) US 491/Carbon Coal/Ninth Street Intersection – The existing Carbon Coal Road (unpaved) currently intersects with McKinley County Road 7 (Chino Road). From this intersection, Chino Road is a paved roadway, which runs south and connects to US 491 and Ninth Street at an existing signalized intersection.

US 491 connects Gallup to the Four Corners, Shiprock, Window Rock and other communities within the Navajo Nation. US 491 is classified as a major arterial with significantly high Average Annual Daily Traffic. The turning volumes at the US 491/Chino Road/Ninth Street signalized intersection are relatively low since there is little development directly connected to this signalized intersection. On a typical weekday, the left turn movements are average for an intersection of this size and a single left turn lane in all directions is adequate. However, during the weekends, when there is increased activity along Ninth Street, the dual left turns for southbound US 491 to eastbound Ninth Street are frequently utilized and often full.

The existing signalized intersection satisfactorily accommodates the existing traffic from both a safety and operational standpoint. However, the expanded railroad facility will significantly increase the traffic volumes utilizing this intersection. The increased traffic and turning volumes at this intersection are expected to be more than 50% larger commercial vehicles carrying either material or cargo to the railroad spur. Consequently, this intersection will need to be widened and the length of the turn bays will need to be modified to accommodate the increased traffic turning volumes and larger vehicles expected to use this signalized intersection. The intersection modifications are expected to require the relocation of all the traffic signal equipment.

US 491 has two through lanes both northbound and southbound through the intersection and approximately 10 foot outside shoulders. Northbound US 491 has a single dedicated

left turn lane and a single dedicated right turn lane. The northbound approach also has an additional twelve-foot lane that is not used, but could be re-striped as a secondary left turn lane. Southbound US 491 has dual dedicated left turn lanes and a single dedicated right turn lane. Left turns in both directions on US 491 are protected only movements. Chino Loop (Eastbound) has a single through lane, single dedicated left turn lane and a single dedicated right turn lane. Ninth Street (Westbound) has a single through lane, a single dedicated left turn lane and a shared through/right turn lane. Left turns from Ninth Street/Chino Loop are protected/permissive. All four approaches to the intersection have raised medians. US 491 also has corridor roadway lighting, which runs through the intersection, and each mast arm at all four quadrants of the intersection have luminaires attached to them.

As indicated previously, this intersection is along the route between Gallup and Window Rock, Shiprock and many communities within the Navajo Nation. Consequently, pedestrian activity is high within this intersection. There is no curb and gutter or sidewalks within the limits of the intersection. The traffic signals do have pedestrian indications, but the intersection does not currently have ADA accommodations.

Ninth Street/Chino Loop has cattleguards crossing the entire width of the roadway approximately 100 feet from US 491. The cattleguards also appear to assist in managing the drainage in the area. There does not appear to be a central storm drain system or inlets along US 491. The pavement within the intersection is cracked, rutted and shoved in several locations.

Fees:

It is the intent of the NMDOT to negotiate a fixed price for each of the following services:

- Coordination and oversight of the development of the McKinley County roadway construction documents for Carbon Coal Road Improvements to comply with all applicable NMDOT Standards and Specifications.
- Preliminary and Final Design of US 491/Carbon Coad/Ninth Street Intersection Improvements and connection to Chino Road and Carbon Coal Road.
- All coordination necessary to obtain final certification for both the Carbon Coal Roadway Improvements and US 491/Carbon Coal/Ninth Street intersection Improvements.
- All coordination necessary to obtain final ROW maps for both Carbon Coal Roadway Improvements and US 491/Carbon Coal/Ninth Street intersection Improvements.
- Consolidation of construction documents to bid both the Carbon Coal Roadway Improvements and US 491/Carbon Coal/Ninth Street intersection Improvements as one project.
- Based on available funding, NMDOT may elect to negotiate a fixed price for Phase III (Construction Engineering Services) for this project by Contract Amendment or elect to pursue new RFP.

Scope of Work:

1. Coordination/Oversight of the development of McKinley County's Carbon Coal Roadway Improvements construction documents to certify compliance with all applicable NMDOT Standards and Specifications.

a. Description

This work consists of coordinating design review meetings with McKinley County and their representatives with NMDOT staff. The staff will include District 6 staff and representatives from the General Office that will be involved with reviewing, approving and certifying all components of the roadway design to ensure it complies with all applicable NMDOT Standards and Specifications. The Engineer will be responsible for coordinating all typical plan review meetings (preliminary design (30% completion), pre-final design (60% completion) and final design (90% completion)), documenting attendance at these meetings, establishing an agenda for each meeting, distributing plans and project estimates before each meeting, providing meeting minutes after each meeting. The consultant will work directly with McKinley to coordinate modifications to the existing construction documents while coordinating the changes through the NMDOT PDE/Project Manager. The Engineer will also be responsible for reviewing each plan submittal to ensure all previous comments have been addressed accordingly.

b. Deliverables

Provide ten (10) hard copies and an electronic file (.pdf format) of both the construction documents, contract book and roadway estimate for each plan submittal for distribution to the NMDOT staff.

2. Preliminary and Final Design US 491/Carbon Coal/Ninth Street Intersection Improvements from milepost 1.5 to milepost 2.0.

a. Description:

This work includes the preparation of plans and associated documents required to advertise and let the projects, and coordination of all design review meetings.

It is the intention of the Department to develop and let the Carbon Coal Roadway Improvements and US 491 / Carbon Coal / Ninth Street Intersection Improvements projects together in one package. However, this task will involve development of the US 491 / Carbon Coal / Ninth Street Intersection Improvements project independently. Another task will be established to combine the projects into one plan set for letting.

The Engineer shall conduct a Preliminary Field Review (PFR). The PFR will establish the scoping for the US 491 / Carbon Coal / Ninth Street Intersection Improvements project. The PFR will identify the basis of the design package and design elements that will need to be included in the final design and construction documents.

Following the submittal, review and approval of the PFR, the Engineer will be responsible for development of the Final Design plans for the US 491/ Carbon Coal / Ninth Street Intersection Improvements. The design development process will conform to the NMDOT Location Studies procedure (with the exclusion of Phase A/B) will include Phase IC, Phase ID and Phase II documents for US 491/Carbon Coal / Ninth Street intersection and the proposed connection to Carbon Coal roadway.

Preparation of these plans will include but is not limited to survey, pavement cores, pedestrian curb ramp design according to Public Right of Way Access Guidelines (PROWAG), and drainage accommodations and details, traffic signal and roadway lighting relocation plans, signing and striping plans.

Provide preliminary (30% completion), pre-final (60% completion), constructability review, and final (90% completion) for the individual projects. Each submittal shall be accompanied by an estimate of construction costs. Project plans shall be prepared using NMDOT standards for general content and format.

The design plans shall include, but are not limited to, the following:

- General Sheets
 - Title Sheet
 - Vicinity Map
 - Project Layout Sheet (if applicable)
 - Index of Sheets
 - Summary of Quantities
 - General Notes
 - Environmental commitments
- Miscellaneous Sheets
 - Typical Sections
 - Miscellaneous Details
 - Surfacing Schedule
 - Structure Quantities
 - Miscellaneous Quantities
 - Curb and Gutter Layouts
 - Erosion and Sediment Control
 - Seeding and Landscaping (if applicable)
 - Grading Plans (if applicable)
 - Visual/Aesthetic Details
- Plan and Profiles Sheets
- Turnout Plan and Profiles Sheets (if applicable)
- Traffic Control Plans
 - Notes
 - Sequence of Construction
 - Sign Face Details

- Traffic Control Plans: The Engineer is to develop a proposed sequence of construction and traffic control plan for the construction of the project.
- Permanent Signing and Striping Plans
- Drainage Plans
 - Plan and Profile
 - Structure Sections
- Traffic Signal and Roadway Lighting Plans
- Standard Drawings

The Engineer shall submit the draft contract book at each design submittal beginning at the pre-final (60%) submittal. In developing the draft contract book, the Engineer shall use the NMDOT PS&E Section's most recent boilerplate contract book. The draft contract book shall include, but is not limited to, the following:

- Project Specific Notices to Contractors
- Standard Notices to Contractors
- Project Specific Special Provisions

b. Deliverables

The Engineer shall submit and distribute ten (10) bound sets of plans (11" x 17" reduced) and one (1) CD containing an electronic file (.pdf format) of plans for each design submittal. Each submittal shall be accompanied by an estimate of construction costs. The Engineer shall submit and distribute five (5) bound sets of the draft contract book at each design submittal beginning at the pre-final (60%) submittal. The Engineer shall provide minutes of all meetings, including comments received, and responses which include corrective action to the PDE. These minutes and design reports will be submitted within two (2) weeks of the plan review meeting.

All design data and computer-aided-drafting (CAD) drawing files supplied under contract shall be produced and submitted to the NMDOT in a native Autodesk® (.dwg) file format at the current department standard version. The NMDOT is currently utilizing Autodesk® AutoCAD 2013 and Autodesk® AutoCAD Civil 3D 2013 as its standard version.

3. Development of overall construction documents to include Carbon Coal Road Improvements and US 491/Carbon Coal/Ninth Street Intersection Improvements.

a. Description

This work includes the combining of the McKinley County plans for the Carbon Coal Roadway Improvements Project and the US 491/Carbon Coal Road/ Ninth Street Intersection Improvements into one package for letting. Previous tasks have identified separate design review submittals for both projects. The Engineer may decide to consolidate the construction documents prior to the final review (PS&E review). However, the final design review meeting (PS&E) will be for the

consolidated project. The consolidated plans will contain summary quantities for the entire project, identify any individual project units which the quantities should be attributed to and should also tabulate the individual quantities for both the Carbon Coal Road Improvements and US 491/Carbon Coal/Ninth Street Intersection Improvements projects. . The Engineer shall identify which sheets within the design package should be stamped and sealed by McKinley County's project engineer and which should be stamped and sealed by the Engineer. The Engineer shall check all quantities for consistency throughout the plan set and ensure all items either meet NMDOT Standard Specifications or are associated with a project specific Special Technical Specification the has been submitted, reviewed and approved to NMDOT. The Engineer will be responsible for addressing all comments associated with the final design submittal (PS&E) and submitting the final documents for production.

b. Deliverables

The Engineer shall submit and distribute ten (10) bound sets of plans (11" x 17" reduced) and an electronic file (.pdf format) of plans for the final design review meeting (PS&E). This submittal shall include an estimate of construction costs for the consolidated project. The Engineer shall submit and distribute five (5) bound sets of the draft contract book at this submittal. The Engineer shall provide minutes of all meetings, including comments received, and responses, which include corrective action to the PDE. These minutes and design reports will be submitted within two (2) weeks of the PS&E review meeting.

The Engineer shall also submit an original set of signed and sealed plans (11" x 17" reduced) and an electronic file (.pdf format) of plans for production along with a final project estimate of construction costs.

4. Project Certification to include both Carbon Coal Road Improvements and US 491/Carbon Coal/Ninth Street Intersection Improvements.

This work includes obtaining all project certifications for both the Carbon Coal Road Improvements and US 491/Carbon Coal/Ninth Street Intersection Improvements projects. All certifications must be obtained prior to conducting the consolidated final design review (PS&E) meeting.

5. Aerial Photography, Survey, and Mapping for US 491 / Carbon Coal / Ninth Street Intersection Improvements:

a. Description

The Engineer/Surveyor shall provide required location and topographic survey for the entire project limits suitable for planning and design, including design of pedestrian curb ramps. 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 PDE for review by the Survey and Lands Engineering staff.

b. Deliverables

Survey files, Survey notes, Survey control sheet stamped by a Professional Surveyor licensed in New Mexico.

All survey and mapping files shall be produced and submitted to the NMDOT in a native Autodesk® (.dwg) file format at the current department standard version. The NMDOT is currently utilizing Autodesk® AutoCAD 2018 and Autodesk® AutoCAD Civil 3D 2018 as its standard version. Electronic files submitted shall include, but are not limited to, geometry, points, surfaces, alignments, aerial imagery if acquired for photogrammetric mapping, coordinate system details, calibration reports, survey notes, survey field books (electronic and scanned field books with structure details), and survey data collection files.

6. Existing ROW Research of US 491 / Carbon Coal / Ninth Street Intersection Improvements

a. Establish Existing ROW

This work will include establishing existing ROW. 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.

b. Preliminary Property Ownership Maps

For the purposes of driveway and turnout accesses and permitting, and 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 shape files. 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 PDE for review by the Survey and Lands Engineering staff.

c. Encroachment Research

If identified, encroachments shall be included in the survey information, and should include owners name and address with perpendicular distance(s) from right of way.

d. ROW Maps

If new ROW maps are required, this will be negotiated and amended to the Contract.

7. Drainage for US 491 / Carbon Coal / Ninth Street Intersection Improvements:

a. Description

Prepare Preliminary and Final Drainage Reports in accordance with the 2018 NMDOT Drainage Design Manual and published revisions. The Drainage Report will require a detailed study of the project area and recommendations are to be developed to correct any problems found during the study. The Engineer will develop a comprehensive hydrologic analysis of the roadway drainage system which may include offsite watershed flows in addition to roadway runoff. These results will be utilized to conduct a hydraulic analysis of the existing drainage system, and analysis of the proposed drainage system to ensure the system meets the current NMDOT performance requirements. The Engineer will also provide recommendations as identified as a need during the Preliminary Field Review.

Prior to performing a preliminary drainage study, the Engineer shall meet with the assigned Drainage Engineer to review and agree on hydrologic and hydraulic methods to be used for analysis of existing and proposed drainage structures. Proposed methodology shall be consistent with the 2018 NMDOT Drainage Design Manual. Alternative methods may be considered but will require justification and prior approval by the assigned Drainage Engineer. The Preliminary Drainage Report (PDR) shall analyze existing and preliminary proposed conditions for the Design Flood and Check Flood. The PDR shall include preliminary design and locations of drop inlets, trunk lines, other preliminary drainage data, and dimensions of CME's and ponds needed. The PDR shall summarize the results of the preliminary drainage analysis.

A sealed Final Drainage Report shall be prepared for the selected alternative. The Final Drainage Report is basically a refinement of the Preliminary Drainage Report and shall incorporate all pertinent design data into a concise document. The Final Drainage Report must document any changes necessary as a result of the project's final design. A Draft Final Drainage Report shall be submitted before the 90% Plan Review.

National Pollutant Discharge Elimination System (NPDES)

For final design elements only, The Engineer shall prepare an erosion and sediment control plan, including SWPPP Information Sheet, in accordance with the requirements of the NMDOT NPDES handbook dated January 1997, or current edition. The completed plans shall include the Final Stabilization Temporary Erosion and Sediment Control measures in accordance with the NPDES requirements.

b. Deliverables

The Engineer shall provide one electronic file each (.pdf format) of the Preliminary and Final Drainage Reports to the Department as well as all electronic data and modeling utilized in the development of the drainage analysis.

8. Geotechnical for US 491 / Carbon Coal / Ninth Street Intersection Improvements:

a. Description

Field Exploration activities (soil borings/rock cores) will be performed by the NMDOT Geotechnical Field Exploration Unit with samples delivered to the consultant's laboratory for testing. The consultant will provide a field geologist to complete exploration logs and determine sample types and frequency in the field.

Preliminary Geotechnical Report Data Collection Activities

The following activities shall be conducted for the development of the Preliminary Geotechnical Report for this project area.

Field Reconnaissance

Determine the nature, range and extent of major geologic units. The following tasks shall be performed:

- Geologic literature search
- Compilation of a preliminary geologic map
- Briefing of geologic conditions
- Perform initial geophysical testing (seismic refraction)

Field Geologic Mapping

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

Preliminary Geotechnical Report

The Preliminary Geotechnical Report shall document the results of preliminary geotechnical report data collection activities. The preliminary geologic and geotechnical study of the project location with recommendations regarding the impacts, effects and possible mitigation measures associated with highway construction throughout the impacted project area, shall be provided.

Final Geotechnical Report Activities

The following activities shall be conducted for the development of the Final Geotechnical Report:

Geotechnical Exploration Plan

A geotechnical exploration plan proposed for the geotechnical investigation to be performed during Preliminary Design shall be developed. The Engineer shall submit the exploration plan to the State Materials Bureau, Geotechnical Design Section for review and approval prior to mobilization for this activity.

Geotechnical Investigation and Laboratory Testing

Geotechnical exploration shall follow the procedures, requirements and guidelines as outlined in the latest edition of the NMDOT Materials Geotechnical Manual, AASHTO design guidelines and applicable FHWA-NHI documents. The Final Geotechnical Report shall present data collected during the geotechnical investigation. Information shall include at least the following:

- Project location map
- Description of the project scope
- Presentation of the field investigations
- Station to station descriptions of the earth materials encountered during the field investigation
- Perform laboratory testing and soil classification in accordance with Laboratory test results including consolidation, triaxial, direct shear, point load and unconfined compression tests, moisture content, sieve analysis, Atterberg limits, and electrochemical tests performed in accordance with AASHTO standards.
- Geophysical test results
- Plan and profile sheets with test holes or pits shown in plan and profile views.

Geotechnical Design Recommendations

Final design recommendations shall include the following, if applicable:

- Stabilization/densification of unsuitable embankment or native soils
- Slope stability/steepened slope design
- Retaining wall type selection analysis
- Mitigation of settlements
- Rock excavation and blasting requirements
- Rock fall mitigation
- Maximum cut slope angles in soil and rock
- Shrink and swell factors of earthwork
- Groundwater affecting the project/need for cut-off trenches
- Special treatments, i.e. use of geotextiles, soil nails, pressure grouting, etc.

Final Geotechnical Report and Design Calculation Package

The Final Geotechnical Report shall document the results of the field exploration and laboratory testing, geotechnical design recommendations and analyses, and retaining wall design recommendations and analyses as necessary to provide for a stable roadside slope.

Geotechnical Design Calculation Package

Provide a geotechnical design calculation package to the State Geotechnical Engineer upon completion of analyses documenting all design methods and calculations.

b. Deliverables

The Engineer shall provide two (2) bound copies and one electronic file (.pdf format) of the Preliminary and Final Geotechnical Reports and the Geotechnical Design Calculation Package to the Department.

9. Sub-Surface Utility Engineering (SUE) and Coordination for US 491 / Carbon Coal / Ninth Street Intersection Improvements (Utility Certification required for entire project):

The Engineer will be responsible for coordinating with all affected public and private utilities whose facilities conflict with the propose intersection design and may require relocation. Quality Level B is assumed for this project. QL-B involves the application of appropriate surface geophysical methods to determine the existence and horizon position of virtually all utilities within the project limits. This activity is called “Designating”. For areas of critical concern, Quality Level A (“Locating”) may be required.

10. Environmental Services for US 491 / Carbon Coal / Ninth Street Intersection Improvements (Environmental Certification required for entire project):

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.

The Engineer shall be responsible for completing the environmental investigations and documentation process for all preliminary and final design items in this RFP. The Engineer shall work closely with the NMDOT Environmental Bureau to ensure all potential issues and concerns have been closed, investigated, evaluated and documented throughout the design process.

11. Environmental Services for McKinley County's Carbon Coal Roadway Improvements

To meet minimum environmental requirements and NMDOT policy for state-funded projects, the Engineer shall perform the following environmental investigations, documentation and permitting:

- Biological surveys conducted by qualified biologists including a biological survey report and biological evaluation for threatened and endangered species, location of Ordinary High Water Mark(s), existing vegetation and wildlife, and, if necessary, an official Biological Assessment for Endangered Species Act compliance regulatory agency review and approval. Survey methodology and reporting shall conform to NMDOT Biological Report format standards available at https://dot.state.nm.us/content/dam/nmdot/Infrastructure/EDS/biological_report_and_for_mat_standards.pdf;
- A cultural resource survey conducted by permitted archaeologists and historians including a report and all appropriate forms and attachments, following the guidelines set forth in 4.10.15 NMAC;
- Clean Water Act Section 401 & 404 permitting, if warranted by impacts to regulated Waters of the U.S.
- Preparation of a state-level Categorical Exclusion (CE) for the project, documenting project adherence to applicable state and federal environmental laws and regulations. Contact NMDOT Environmental Bureau for a state-level CE checklist.

12. Public Involvement Program

The Public Involvement Program (PIP) must be submitted to the NMDOT Environmental Program Manager (through PDE) prior to the first public information meeting. Public information meetings will be held to solicit comments and concerns on the project from local stakeholders, affected agencies, and the traveling public in order to evaluate valid recommendations from them for inclusion in the design of the project prior to construction. The PIP must be prepared in conformance with Context Sensitive Solution (CSS) methodologies and procedures and shall be developed by the Engineer for the project and will ensure the project values the issues of safety, mobility, and community values during each design phase of the project.

The CSS Plan calls for an interdisciplinary team approach that will include the collaboration of technical professionals, FHWA, NMDOT, and Bernalillo County representatives, other applicable governments, representatives from local businesses, transportation facility users and the general public. The objective of the CSS Plan is to develop a process where the context of the project area can be incorporated into the project purpose and need statement.

13. 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 sub-contractors 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.

a. Meetings

This work will include coordination with the Department's PDE in scheduling design review and other meetings.

b. Agency Coordination

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 appropriate local, county, and state agencies, the public and other interested agencies will be contacted to insure that the community and governmental concerns are identified and considered for inclusion in the design development of the project. It is anticipated that coordination with the agencies listed below will be required during the design and construction of this project:

- Federal Highway Administration (FHWA)
- New Mexico Department of Transportation (NMDOT)
- McKinley County

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

14. Quality Control Plan

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

NMDOT Shall Provide:

The NMDOT will furnish the following to the Engineer. However, the NMDOT 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.

- A Project Development Engineer from the NMDOT staff to serve as an engineering liaison for the project.
- Current traffic counts.
- Current ESALs and 20 year projected ESALs.
- Available crash data

- As-Built Plans
- Pavement recommendations (the NMDOT may require the Engineer to provide the necessary field testing)
- NMDOT staff to provide oversight of Utility Coordination
- Review of all reports and plans.

APPENDIX B - CONTRACT FOR STATE FUNDING

Project No.: _____
Control No.: _____
Termini _____
County _____
NMDOT No.: _____
Vendor No.: _____

**NEW MEXICO DEPARTMENT OF TRANSPORTATION
CONTRACT FOR ENGINEERING SERVICES (STATE)**

INTRODUCTION

This Agreement is between **New Mexico Department of Transportation** (“Department”), and _____ (“Contractor”). This Agreement is effective as of the date of the last party to sign on the signature page.

RECITALS

1. Whereas, the Department desires to contract with the Contractor for Engineering Services required for the design and preparation of plans for the project herein specified.
2. Whereas, the Contractor has expressed a willingness to perform the work as outlined in Appendix A and Article I, Paragraph 13.

NOW, THEREFORE, IN CONSIDERATION OF THE COVENANTS CONTAINED HEREIN, it is mutually agreed between the Department and Contractor that:

ARTICLE I
AGREEMENT ON THE PART OF THE CONTRACTOR

1. The Contractor shall maintain a Professional Engineer registration during the duration of the work called for by this Contract.
2. The Contractor agrees to perform and/or furnish the services including all labor, materials, equipment, and transportation necessary for the design and preparation

- of plans and estimates required for construction in accordance with the terms and time frame(s) set out in Appendix A and Article I, Paragraph 17, hereto and the content, directive and intent of which is incorporated herein by reference.
3. Compensation for work for subsequent phases as applicable to the project, and associated special services based upon direct and indirect costs shall be negotiated at the conclusion of the previous phase.
 - a. These phases shall be based on the man-hours required to complete the plans from Final Scoping stage through Field Design Inspection.
 - b. Compensation shall be paid based on a percentage of work tasks submitted and approved as correct. Further, 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.
 4. After receipt of the letter of Notice to Proceed from the Department, the Contractor shall commence work on the Contract which shall be completed in accordance with the Project Schedule and completion date(s) set forth in Article I, Paragraph 17. The terms "satisfactory completion" or "satisfactorily completed" for the purpose of assessing liquidated damages under this paragraph, shall mean:
 - a. Return in satisfactory condition all of the Department's loaned documents and materials specifically including Department's survey books and field notes; and
 - b. Delivery to Department of Contractor's work product under this Contract including, but not limited to, the design information, standard drawings, field notes and other pertinent documents. Such delivery means actual transfer of possession in the form approved by the Department incorporating all required plan corrections and clarifications.
 - c. Acceptance, in writing, by the Department of the Contractor's work.
 5. Should the Contractor fail to satisfactorily complete the work and services on or before the Contract completion date(s) as provided for in this Contract, liquidated damages shall be assessed and withheld from final payment, in the amount of Two Hundred Fifty Dollars (\$250) per day or one-quarter of one percent per day of the Contractor's sum fee, whichever is less. If liquidated damages assessed herein exceed the amount of money due the Contractor as retainage under Article II,

Paragraph 9, the Contractor shall be liable to pay the Department the amount of such excess. Provided that if the Contractor finds it impossible for reasons beyond their control to complete the work within the specified contract time, the Contractor may, 30-days prior to the applicable completion date, make a written request to the Department for an extension setting forth therein the reasons justifying the request. If the work has been delayed because of conditions beyond the control and without fault of the Contractor, the Department shall extend the time for completion in such amount as the conditions justify. The extended time for completion shall then be in full force and affect the same as though it were the original time for completion.

6. The Contractor has total responsibility for the accuracy, completeness, and correctness of plans and related data prepared under the terms of this Contract and shall check all material accordingly. The plans will be reviewed by the Department for conformity with Department procedures and contract terms. 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 Plans.
7. The design and details furnished by the Contractor shall conform to the New Mexico State Department of Transportation Standard Specifications for Highway and Bridge Construction (latest edition), AASHTO, ASTM, MUTCD, 23 Code of Federal Regulations, when applicable and other laws, rules, and regulations as applicable and in effect as of the date of execution of this Contract.
8. The Contractor shall sign all documents and shall be fully responsible for the accuracy of all work prepared under this Contract as specified in Appendix "A". In the event that negligent errors or omissions are discovered in the Contractor's work, the Contractor's responsibility shall include (but not be limited to) the following:
 - a. Upon notification by the Department of an error or omission, immediately provide at no cost to the Department, all Engineering Services required to correct the error and/or omission.
 - b. Assume the cost required to correct an engineering error and/or omission.
9. The Department shall be named as additional insured in respect to General Liability on the Contractor's Insurance Certificate which shall also have Professional Liability coverage with limits as stated on the Contractor's insurance certificate with a three year extended reporting period with respect to events which occurred but were not reported during the term of the Policy. The policy shall

protect against any negligent act, error, or omission arising out of the professional services that includes coverage for acts by others for whom the Contractor is legally responsible. The policy shall apply to the activities of all Design, Engineering, and Construction Management Professionals who are employed by the Contractor and assigned to the project.

10. The Contractor shall provide full insurance coverage payable to the Department to cover loss due to fire, water loss, or other hazard to any drawings, documents, survey books, and any or all other materials belonging to the Department while under the care of the Contractor. The amount of this insurance will be based upon the reasonable replacement cost of the documents and shall be in effect prior to the Department's Notice to proceed.
11. To the fullest extent permitted by law and subject to the provisions of NMSA, 1978, Section 56-7-1, 1971 (as amended), the Contractor shall defend, indemnify, and hold harmless the Department, acting through its agents, representatives, and employees from and against claims, damages, losses, and expenses (including but not limited to attorney's fees, courts costs, and the cost of appellate proceedings), arising out of or resulting from the Contractor's duty to defend, hold harmless, and indemnify the Department from the Contractor's professional negligent acts, errors, mistakes, or omissions. Contractor's duty to defend, hold harmless, and indemnify the Department shall arise in any connection with any claim, damage, loss, or expense that is attributable to or caused any negligent act, error, or omission of the Contractor or anyone directly or indirectly employed by the Contractor or anyone for whose acts they are liable. This agreement to indemnify shall not extend to liability, claims, damages, losses, or expenses, including attorney's fee, arising out of (1) the preparation or approval of maps, drawings, opinions, reports, surveys, change orders, design or specifications by the Department, or the agents or employees of the Department, or (2) the giving of or failure to give directions or instructions by the Department, where such giving of or failure to give directions or instructions by the Department is the primary cause of bodily injury to persons or damages to property. For purposes herein the Contractor is not considered an agent of the Department.
12. As work progresses, the Contractor may submit certified billings to the Department not more than once a month. These billings will be based on the percentage completed. All such billings will be submitted on the Department's standard billing form.
13. The Contractor agrees that the fee described in Article II, Paragraph 7, is just and

fair compensation for the services listed below. The services for CN _____ include:

Phase Insert correct phase(s) here:

INSERT SCOPE

14. The Contractor agrees to maintain all books, documents, papers, accounting records, and other evidence pertaining to costs incurred and to make such materials available at their respective offices at all reasonable times during the Contract period and for five (5) years from the date of final payment under the Contract for inspection by the Department.
15. The Contractor shall attend project meetings and such conferences with the Department and other parties as may be necessary in connection with this work.
16. The Contractor, its consultants, or subcontractors who perform work for the Department shall comply with all federal, state, and local laws and ordinances applicable to the work called for herein.
17. The Contractor, its consultants, or subcontractors who perform work for the Department shall comply with the following completion dates:

INSERT PROJECT SCHEDULE

ARTICLE II **AGREEMENTS ON THE PART OF THE DEPARTMENT**

1. The Department shall make available to the Contractor such Department records as may be available and pertinent for the purpose of the work herein described.
2. The Department shall make available to the Contractor, all its pertinent standards, and Department's Special Provisions and Supplemental Specifications. The Contractor can purchase these documents and standards from the appropriate NMDOT division.
3. The Department shall furnish all applicable design criteria.
4. The Department's acceptance of the Contractor's formal submittals shall be given in writing in all instances.
5. The Department agrees to assign a Project Development Engineer to function as

- a coordinator and liaison agent to expedite the Department's reviews and approvals of all stages of the Contractor's work.
6. The Department shall furnish the Contractor, at no cost to the Contractor, the documents and information as listed in Appendix A.
 7. Total compensation during the term of this Agreement shall not exceed \$ _____, unless otherwise agreed to in writing by the parties hereto, which amount does not include applicable gross receipts taxes in exchange for the Contractor's completion of _____. The parties may, subject to successful negotiation, agree to further compensation for additional services, as described in Appendix A. Unless extensions are granted under this Contract, this total amount may be reduced by assessment of liquidated damages in accordance with Article I, Paragraph 5. The Department will not compensate the Contractor for services or other deliverables provided prior to the full execution of the Contract, after the expiration of the Contract, or in excess of the Contract value, unless the Contract dollar amount is duly amended prior to providing the services or deliverables.
 8. Partial payments may be made monthly as the work progresses when accompanied by a certified statement of work accomplished in accordance with Article I, Paragraph 12.
 9. The Contractor's satisfactory completion of the Contract as defined in Article I, Paragraph 3 shall be a prerequisite for final payment. Final payment including any retainage will be made within thirty (30) days after the work has been approved and accepted by the Departments Chief Executive Officer or duly authorized representative. Retainage shall be _____ computed at 5% of the total contract amount and will be set aside as security for full performance under the terms of this agreement. Retainage will be held by Phase and released upon the successful completion of _____. No retainage will be held for Phase III Services. 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.
 10. Subject to the provisions of Article II, Paragraphs 8 and 9, within fifteen (15) days after the date the Department receives written notice from the Contractor that payment is requested for services or items of tangible personal property delivered on site and received, the Department shall issue a written certification of complete or partial acceptance or rejection of the services or items of tangible personal property. If the Department finds that the services or items of tangible personal property are not acceptable, it shall, within thirty (30) days after the date of receipt

of written notice from the Contractor that payment is requested, provide to the Contractor a letter of exception explaining the defect or objection to the services or delivered tangible personal property along with details of how the Contractor may proceed to provide remedial action. Upon certification by the Department that the services or items of tangible personal property have been received and accepted, payment shall be tendered to the Contractor within thirty (30) days after the date of certification. If payment is made by mail, the payment shall be deemed tendered on the date it is postmarked. After the thirtieth (30th) day from the date that written certification of acceptance is issued, late payment charges shall be paid on the unpaid balance due on the Contract to the Contractor at the rate of one and one-half (1½) percent per month.

ARTICLE III
PROVISIONS RELATING TO PERSONNEL

1. Employment of Employees of Public Agencies. Unless otherwise approved by the Department in writing, during the life of the project, the Contractor shall not (1) employ any professional or technical employee(s) who are part-time, full-time, or who have been in the employment of the New Mexico Department of Transportation during the life of this project, or (2) 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 New Mexico Department of Transportation for any reason whatsoever. The Contractor shall comply with all applicable federal and state statutes, rules, and regulations.
2. No Solicitation of Contract. Signed and dated "Certification of Consultant" and "Certification of Department of Transportation" are attached hereto and made a part hereof. The Department may terminate this Contract based on any misrepresentation of the Contractor on the Certification of Consultant.

ARTICLE IV
MISCELLANEOUS PROVISIONS

1. The term "Supplemental Contract" and "Amended Contract" are used interchangeably in this Contract.
2. The words Department, NMDOT, and New Mexico Department of Transportation are used interchangeably in this Contract.

3. The term "Scope of Services" includes Appendix A and Article I, Paragraph 13, unless the Contract clearly states otherwise.
4. Conference and Inspection. Duly authorized representatives of the Department shall have the right to inspect the work under this Contract. If federal funds are to be used for professional services, the duly authorized representatives of the Department, the Federal Highway Administration, and the Comptroller General of the United States, shall have access to any books, documents, papers, and records of the Contractor which are directly pertinent to the Contract, for the purpose of making an audit, examination, excerpts, and transcriptions. Conferences shall be held when necessary at the request of either party to this Contract. The Contractor agrees that the cost of these conferences is a part of the above fee. If federal funds are to be used for professional services, reimbursement will be limited to costs which are allowable under Federal Cost Principles contained in 48 CFR, Chapter 1, Part 31, Federal Acquisition Regulation (FAR 31).
5. Ownership of Work Products. All documents and materials including, but not limited to, tracings, drawings, estimates, field notes, investigations, design analysis, structural calculations and studies, which are prepared in the performance of this Contract are to be and remain the property of the Department and are to be delivered to the Department not later than the termination date of this Contract, before the final payment is made to the Contractor. The Contractor is liable for replacement, if these materials are destroyed or lost prior to transferring possession to the Department. Nothing produced in whole or in part by the Contractor under this Contract shall be the subject of an application for copyright by or on behalf of the Contractor. This Paragraph shall be included in all sub-contracts.
6. Delays. The parties both agree to perform their obligations hereunder with due diligence and to cooperate with one another in a timely and good-faith manner in order that the work covered hereby may be completed within the time frame(s) provided by Appendix A and Article I, Paragraph 17.
 - a. In the event of delays under this Contract caused by the Department, the Contractor is entitled to receive a reasonable extension of time as provided in Article I, Paragraph 5, but in no event will the Contractor terminate work under this Contract for delays caused by the Department.
 - b. If a delay is attributable to the Contractor's fault or to matters within their control, extensions will not be granted. The Contractor may be subject to possible assessment of liquidated damages.

7. Notice to Proceed. The Department is not liable and will not pay the Contractor for any work performed before a Notice to proceed is received by the Contractor from the Department. After execution of this Contract, and after a letter of authorization from the Department to proceed, the Contractor shall then proceed immediately with the scope of services delineated in Appendix A and Article I, Paragraph 13.
8. Assignment. The Contractor shall not assign, sublet, subcontract, or transfer any interest, right or obligation in this Contract without the written consent of the Department.
9. Changes in Scope of Work. Additions to or deletions from Appendix A and Article I, Paragraph 13 provided herein may be made, and the compensation to be paid to the Contractor and the time for completion may be adjusted accordingly by mutual agreement of the contracting parties. Whenever an alteration in character of work results in a change in the nature of the design, thereby increasing or decreasing the cost of the performance, an amended contract shall be executed authorizing the Contractor to perform work in accordance with the changed requirements and setting forth the amended fee and time for completion. The Contractor is not authorized to do any work beyond that work called for in Appendix A and Article I, Paragraph 13, without an executed amended contract.
10. Termination for Default. The Department and the Contractor hereby agree to the full performance of the covenants herein. If the Contractor, for any cause, fails to carry on the work in an acceptable manner including failure to perform in accordance with the time schedule in Article I, Paragraph 17, the Department will give notice in writing of such neglect or default, the corrective measures to be taken and delineate a reasonable period of time within which to take such measures. Contractor's failure to comply with such notice and to rectify the delay or default as therein provided shall subject this Contract to immediate termination by the Department. The Department may terminate the Contract for cause by delivery to the Contractor of a Notice of Termination. In the event of termination for default the Department shall compensate the Contractor for work on the project which has been previously delivered and received before the date of termination and which work has been approved and accepted by the Department, less liquidated damages. The Department shall be entitled to recover all direct, indirect, and consequential costs for completion of all unfinished scope of work as delineated in Appendix A and Article I, Paragraph 11, whether through its own employees or by contract.

11. Termination for the Convenience of the Department. The Department may also terminate performance of work under this Contract in whole or in part for its own convenience in the absence of any default by the Contractor. A termination for the convenience of the Department shall be effected by delivery to the Contractor of Notice of Termination specifying the extent to which performance of work under the Contract is terminated and the date upon which termination becomes effective. Within ten (10) days of the effective date of termination, the Contractor shall deliver to the Department all design plans, construction estimates, drawings, documents, survey books and any or all other materials developed under this Contract. Should this Contract be terminated for the convenience of the Department, the Contractor shall receive the following as full compensation hereunder:
 - a. Actual direct and indirect costs, expenses, and salary expenses which are incurred prior to the effective date of termination;
 - b. Gross receipts tax owed or incurred at the time of contract termination; and
 - c. All expenses incurred by Contractor in computing the costs, sums, and expenses set forth in Paragraphs “a” and “b” above.
12. Suspension of Work. The Department may order the Contractor in writing to suspend all or part of the work for such period of time as it determines to be appropriate for its convenience. Such suspension order will be treated as a delay caused by the Department under Paragraph 6 above and entitles Contractor to receive a reasonable time extension.
13. Improper Exercise of Authority. It is further understood and agreed that the Contractor shall not in any way exercise any portion of the authority or sovereign powers of the State of New Mexico or the authority or powers of the New Mexico Department of Transportation Commission or the Department’s Chief Executive Officer, and shall not make any agreements or commitments or in any way represent itself as an agent of the State of New Mexico.
14. Binding on Successors. Insofar as authorized by law, this Contract shall be binding upon the parties hereto, their successors, executors, administrators, and assigns.
15. This Writing is the Contract in its Entirety. This instrument embodies the whole contract of the parties. There are no promises, terms, conditions, or obligations other than those contained herein. This Contract shall supersede all previous communications, representations, or agreements either verbal or written between the parties hereto.
16. Term. This Contract terminates **four years from the date of execution.**
17. Subcontracting. Upon written approval of the Department, the Contractor may

- subcontract all or part of survey, drainage, landscape architectural work, and a portion of the roadway design work for this project as described in Appendix A and Article I, Paragraph 11. Any subcontract entered into by the Contractor for an amount in excess of \$10,000 shall contain all the provisions of this Contract.
18. Appendices. Appendix A and Appendix B Appendix C and Appendix D are attached hereto and incorporated herein by reference. Such appendices contain the following materials:
- a. Appendix A: Scope of Services.
 - b. Appendix B: Insurance Certificates
 - c. Appendix C: Cost Summary
 - d. Appendix D: Campaign Contribution Form
19. Status of Contractor. The Contractor, and its agents and employees, are independent contractors performing professional services for the Department and are not employees of the State of New Mexico. The Contractor, and its agents and employees, shall not accrue leave, retirement, insurance, bonding, use of state vehicles, or any other benefits afforded to employees of the State of New Mexico as a result of this Contract.
20. Appropriations. The terms of this Contract are contingent upon sufficient appropriations and authorizations being made by the Legislature of New Mexico or the Congress of the United States if federal funds are involved, for the performance of this Contract. If sufficient appropriations and authorization are not made by the Legislature or the Congress of the United States, if federal funds are involved, this Contract shall terminate upon written notice being given by the Department to the Contractor. The Department is expressly 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 sufficient appropriations are available shall be accepted by the Contractor and shall be final.
21. Release. The Contractor, upon final payment of the amount due under this Contract, 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 Contract. The Contractor agrees not to purport to bind the State of New Mexico to any obligation not assumed herein by the State of New Mexico, unless the Contractor has express written authority to do so, and then only within the strict limits of that authority.

22. Confidentiality. Any confidential information provided to or developed by the Contractor in the performance of this Contract 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.
23. Conflict of Interest. The Contractor warrants that they presently have no interest and shall not acquire any interest, direct or indirect, which would conflict in any manner or degree with the performance of services required under this Contract. If the Contractor serves as a representative for other entities or agencies, public or private, within the project area during the term of this Contract, Contractor shall immediately notify the Department for evaluation of potential conflict(s). The Contractor shall comply with any applicable provisions of the New Mexico Governmental Conduct Act, the New Mexico Financial Disclosures Act and the campaign disclosure provisions of the Procurement Code. The Contractor has completed a Campaign Contributions Disclosure Form which is attached to this Agreement as Exhibit D.
24. Notice. The New Mexico criminal statutes impose felony penalties for illegal bribes, gratuities, or kickbacks in the procurement of this Contract. In addition, the New Mexico Procurement Code, Sections 13-1-28 through 13-1-199, NMSA 1978, imposes civil and criminal penalties for its violation.
25. Legal Compliance. The Contractor shall comply with all applicable federal, state and local laws, and Department regulations and policies in the performance of this Contract, including, but not limited to laws governing civil rights, equal opportunity compliance, environmental and cultural resources requirements, right-of-way acquisition, workplace safety, employer-employee relations, and all other laws governing operation of the workplace, including laws and regulations hereafter enacted. The Contractor shall ensure that the requirements of this compliance are made a part of each subcontract on this project at all tiers.
26. Applicable Law. This Contract shall be governed by the laws of the State of New Mexico.
27. Consent to Jurisdiction and Venue. The Contractor hereby consents to and agrees to the exclusive jurisdiction of the Courts of the State of New Mexico for the resolution of any disputes arising under or resulting from this Contract which cannot be resolved informally and hereby waive any objection to the personal jurisdiction of the Courts of the State of New Mexico over the Contractor. It is expressly understood and recognized by the parties hereto that the venue for litigation of issues, claims, or all other judicial matters arising or resulting from this

agreement shall be in the Santa Fe County District Court.

28. Third Party Beneficiary Clause. No provision of this Contract creates in the public, or any member thereof, a third party beneficiary or to authorize anyone not a party to the Contract to maintain a suit for wrongful death, bodily and/or personal injury to a person, damage to property, and/or any other claim(s) whatsoever pursuant to the provisions of this Contract.
29. New Mexico Tort Claims Act. No provision of this Contract establishes any waiver of immunity from liability for alleged tortuous conduct of any employee of the Department or the Contractor arising from the performance of this Contract apart from that set forth in the New Mexico Tort Claims Act, NMSA 1978, Section 41-4-1, et seq.
30. Requirements for New Mexico Employees Health Coverage.
 - a. For all Contracts solicited and awarded on or after January 1, 2008: If the Consultant 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, Consultant must agree to:
 - (1) 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 Consultant and the State exceed one million dollars; or
 - (2) 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 Consultant and the State exceed \$500,000 dollars; or
 - (3) 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 Consultant and the State exceed \$250,000 dollars.
 - b. Consultant must agree 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 by a representative of the state.

- c. Consultant must agree to advise all employees of the availability of State publicly financed health care coverage programs.
- d. 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 Consultant 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

31. Employee Pay Equity Reporting

This provision shall apply to contracts awarded through and Invitation to Bid or a Request for Proposals. The Executive Order and required forms can be obtained from the following link:

http://www.generalservices.state.nm.us/statepurchasing/Pay_Equity.aspx

October 1, 2010 and beyond contract requirements:

Contractor agrees if it has ten (10) or more employees OR eight (8) or more employees in the same job classification, at any time during the term of this contract, to complete and submit the required reporting form (PE10-249 or PE250, depending on their size at the time) either within thirty (30) calendar days of contract award (if the contract did not result from a solicitation) or on the annual anniversary of the initial report submittal for contracts up to one (1) year in duration (if the contract did result from a solicitation).

For contracts that extend beyond one (1) calendar year, or are extended beyond one (1) calendar year, Contractor also agrees to complete and submit the required form annually within thirty (30) calendar days of the annual contract anniversary date of the initial submittal date and, if more than 180 calendar days has elapsed since submittal of the last report, at the completion of the contract.

Should Contractor not meet the size requirement for reporting at contract award but subsequently grows such that they meet or exceed the size requirement for reporting, Contractor agrees to provide the required report within ninety (90) calendar days of meeting or exceeding the size requirement. That submittal date shall serve as the basis for submittals required thereafter.

Contractor also agrees to levy these reporting requirements on any sub-consultant(s) performing more than 10% of the dollar value of this contract if said sub-consultant(s) meets, or grows to meet, the stated employee size thresholds during the term of the contract. Contractor further agrees that, should one or more sub-consultant not meet the size requirement for reporting at contract award but subsequently grows such that they meet or exceed the size requirement for reporting, Contractor will submit the required report, for each such sub-consultant, within ninety (90) calendar days of that sub-consultant meeting or exceeding the size requirement. Subsequent report submittals, on behalf of each such sub-consultant, shall be due on the annual anniversary of the initial report submittal. Contractor shall submit the required form(s) to the State Purchasing Division of the General Services Department, and other departments as may be determined, on behalf of the applicable sub-consultant(s) in accordance with the schedule contained in this paragraph. Contractor acknowledges that this sub-consultant requirement applies even though Contractor itself may not meet the size requirement for reporting and be required to report itself.

Contractor shall not be required to report more frequently than annually unless more than 180 calendar days has elapsed since submittal of the last report and the contract has reached completion. The requirement for reporting at contract completion shall not apply in the case of a one-time fulfillment of a purchase order.

In witness whereof, each party is signing this Agreement on the date stated opposite that party's signature.

NEW MEXICO DEPARTMENT OF TRANSPORTATION

By: _____
Secretary/Designee

Date: _____

INSERT CONTRACTOR NAME

By: _____
Signature
Name: _____

Date: _____

Title: _____

APPROVED AS TO FORM AND LEGAL SUFFICIENCY BY THE DEPARTMENT'S OFFICE OF GENERAL COUNSEL

By: _____
Assistant General Counsel

Date: _____

I certify that _____, I.D. No. _____ is registered with the Taxation and Revenue Department for payment of gross receipts tax.

By: _____
Taxation and Revenue Department

Date: _____

Contract No.: _____
Vendor No.: _____
Project No.: _____
Control No.: _____

CERTIFICATION OF CONTRACTOR

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) to solicit or secure this Contract.
- b. Agreed, as an express or implied condition for obtaining the contract, to employ or retain the services of any firm or person in connection with carrying out the Contract, 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) any fee, contribution, donation, or consideration of any kind for, or in connection with, procuring or carrying out the Contract.
- d. As Per OMB Circular A-133 Compliance Supplement, April 1999, or as amended, _____ certifies that the organization and its principals are (FIRM) 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 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: _____

Contract No.: _____
Vendor No.: _____
Project No.: _____
Control No.: _____

Engineering Firm: _____

NO SOLICITATION OF CONTRACT

CERTIFICATION OF NEW MEXICO DEPARTMENT OF TRANSPORTATION

I, _____, as Deputy Secretary or Designee of the Department of Transportation of the State of New Mexico do hereby certify, that the above 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 Contract 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: ACKNOWLEDGEMENT OF RECEIPT FORM

Request for Proposals No. 20-13
PN: 6100970
CN: 6100970
US 491 and Carbon Coal Road

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 **September 20, 2019**. 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
New Mexico Department of Transportation
Procurement and Facilities Management Division
PO Box 1149, Room #113
Santa Fe, New Mexico 87504-1149
Ph. (505) 629-8790
E-Mail: Juanita.Sanchez@state.nm.us

APPENDIX D – PROJECT/CONTRACT LISTING FORM

Offerors shall list all current contracts with the NMDOT, containing similar work(s) to the scope of work as contained in the RFP. This form shall only include the contract(s) that the proposing Offeror has with the NMDOT; subcontractor information is not required.

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 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: CAMPAIGN CONTRIBUTION DISCLOSURE FORM

Pursuant to NMSA 1978, § 13-1-191.1 (2006), any person 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 shall void an executed contract or cancel a solicitation or proposed award for a proposed contract 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.

THIS FORM MUST BE FILED BY ANY PROSPECTIVE CONTRACTOR WHETHER OR NOT THEY, THEIR FAMILY MEMBER, OR THEIR REPRESENTATIVE HAS MADE ANY CONTRIBUTIONS SUBJECT TO DISCLOSURE.

The following definitions apply:

“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.

“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 either 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.

“Family member” means spouse, father, mother, child, father-in-law, mother-in-law, daughter-in-law or son-in-law.

“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.

“Person” means any corporation, partnership, individual, joint venture, association or any other private legal entity.

“Prospective contractor” means a person who 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 qualifies for a sole source or a small purchase contract.

“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: 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

Proposed Work Participation Chart

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

APPENDIX H

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

Form No. A-1036
New 12/02

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 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: _____