



ARKANSAS DEPARTMENT OF TRANSPORTATION

ArDOT.gov | IDriveArkansas.com | Scott E. Bennett, P.E., Director

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December 1, 2017

The Honorable Bart Castleberry  
Mayor of Conway  
1201 Oak Street  
Conway, AR 72032

Re: Highway 64 (Oak Street) Signal Upgrades

Dear Mayor Castleberry:

Reference is made to the City's recent request that the Department begin project development on the Oak Street Signal Upgrade projects recently approved by Metroplan. We are in possession of City Resolution No. R-17-39 authorizing you to enter into agreements with the Department for the project.

In order to proceed, you and the City Attorney must sign the enclosed Agreement of Understanding and return it to the Department. Also, the City must submit a check (made payable to the Arkansas Department of Transportation) in the amount of \$1,000 to be matched with \$4,000 in Federal-aid funds for Department administrative costs associated with preliminary engineering. Upon receipt of these items, the Department will execute the Agreement of Understanding and return a signed copy to you. When submitting the Agreement to the Department for execution, you will also need to sign Attachment M and complete Attachment N.

If you have any questions, please contact Daniel Siskowski or Carlos Meredith in our Program Management Division at (501) 569-2481.

Sincerely,

Kevin Thornton  
Assistant Chief Engineer – Planning

Enclosure

c: Deputy Director and Chief Engineer  
Program Management  
Consultant Contracts Administrator  
Roadway Design  
Transportation Planning and Policy  
District 6

KDT/DTS/dts

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Ref. 1738

**AGREEMENT OF UNDERSTANDING  
BETWEEN  
THE CITY OF CONWAY  
AND  
THE ARKANSAS DEPARTMENT OF TRANSPORTATION**

In Cooperation with the  
U.S. Department of Transportation, Federal Highway Administration

RELATIVE TO

Design and construction of **Highway 64 (Oak Street) Traffic Operations Improvements**, (hereinafter be called the "Project") as a Federal-aid Surface Transportation Block Grant Program Attributable (STBGP GT 200K) project.

WHEREAS, funding in Fixing America's Surface Transportation (FAST) Act includes 80% Federal-aid funds to be matched with 20% non-federal funds for certain city projects; and

WHEREAS, **the City of Conway** (hereinafter called "Sponsor") has expressed its desire to use Federal-aid funds for the eligible Project and to provide necessary matching cash share for such funds; and

WHEREAS, the Sponsor has transmitted City Resolution No. R-17-39 to the Arkansas Department of Transportation (hereinafter called the "Department") authorizing the Mayor to execute agreements and contracts with the Department for the Project; and

WHEREAS, funding participation will be as follows, subject to the amount of Federal-aid funds and obligation limitation approved and available for the Project:

	<u>Maximum Federal %</u>	<u>Minimum Sponsor %</u>
Preliminary Engineering by Consultant	80	20
Right-of-Way/Utilities	80	20
Construction	80	20
Construction Engineering by Consultant	80	20
Department Administrative Costs	80	20

WHEREAS, the Sponsor knows of no legal impediments to the completion of the Project; and

WHEREAS, it is understood that the Sponsor and the Department will adhere to the General Requirements for Recipients and Sub-Recipients Concerning Disadvantaged Business Enterprises (DBEs) (Attachment A) and that, as part of these requirements, the Department may set goals for DBE participation in the Project, ranging from 0% to 100%, that are practical and related to the potential availability of DBEs in desired areas of expertise.

WHEREAS, the parties agree, unless specifically stated otherwise, that the provisions of this agreement are not intended to created or confer a third party benefit or right in any person or entity, not a party to this agreement.

IT IS HEREBY AGREED that the Sponsor and the Department, in cooperation with the Federal Highway Administration (FHWA), will participate in a cooperative program for implementation and will accept the responsibilities and assigned duties as described hereinafter.

THE SPONSOR WILL:

1. Initially submit to the Department \$1,000 (20%) to be matched by \$4,000 (80%) Federal-aid funds for Department administrative costs associated with state preliminary engineering, which include but are not limited to, on site meetings, environmental review, and plan and specification review. The Sponsor's final cost for this phase will be determined by actual Department charges to preliminary engineering.
2. Be responsible for hiring a consultant engineering firm(s) in accordance with the Local Agency Consultant Selection Procedures (Attachment B) to provide engineering services which include environmental documentation, preliminary engineering, and construction engineering for the Project. **NOTE: FHWA authorization and Department approval must be given prior to issuing a work order to the consultant for federal funds to be allowed in this phase.**
3. Be responsible for hiring a software vendor in accordance with the Procurement of Adaptive Signal Control Technology Procedures (Attachment B1) to provide design of an adaptive signal control technology system for the Project. **NOTE: FHWA authorization and Department approval must be given prior to issuing a work order to the consultant for federal funds to be allowed in this phase.**
3. Prepare plans, specifications, and a cost estimate for construction. A registered professional engineer must sign the plans and specifications for the Project. (See Attachment C for items to be included in the bid proposal.)
4. Make periodic payments to the consultant and software vendor for design of the Project and request reimbursement from the Department. Reimbursement requests should be submitted, at minimum, every three (3) months and not more than once per month.
5. Understand that **expenditures for preliminary or construction engineering performed by the Sponsor's forces are not eligible for reimbursement with federal funds.**
6. Prepare the necessary environmental documentation as required by FHWA and conduct any required public involvement meetings and public hearings.
7. Ensure that the plans and specifications are developed using the Department's standard drawings and Standard Specifications for Highway Construction (latest edition).
8. Ensure that the plans and specifications comply with the Americans with Disabilities Act (ADA), the American Association of State Highway and Transportation Officials (AASHTO) design standards, and all other applicable state and federal regulations, including airport clearance when necessary, for the type of work involved.
9. Before acquiring property or relocating utilities, contact the Department's Right of Way Division to obtain the procedures for acquiring right-of-way and adjusting utilities in compliance with federal regulations. **NOTE: Failure to notify the Department prior to initiating these phases of work may result in all project expenditures being declared non-participating in federal funds.**
10. Acquire property in accordance with the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, as amended (commonly referred to as the "Uniform Act").

11. Ensure the preparation of utility adjustment and right-of-way plans are in accordance with Arkansas State Highway Commission Policy.
12. Provide a copy of the registered deed or other approved documentation and an appropriate certification stating the Sponsor's clear and unencumbered title to any right-of-way to be used for the Project (See Attachment D). **NOTE: Any property that is to become Department right-of-way must be acquired in the Department's name.**
13. Submit plans at 30%, 60%, and 90% completion stages for Department review.
14. Submit a certification letter (Attachment E), including all items noted, to the Department when requesting authority to advertise the Projects for construction bids.
15. Advertise for bids in accordance with federal procedures as shown in Attachment F. **NOTE: FHWA authorization and Department approval must be given prior to advertising for construction bids.**
16. Forward a copy of all addenda issued for the Project during the advertisement to the Department.
17. After bids are opened and reviewed, submit a Certification Letter Requesting Concurrence in Award (Attachment G), including all items noted, to the Department.
18. Prior to awarding the construction contract, submit a check for \$1,000 to be matched by \$4,000 (80%) Federal-aid funds for Department administrative costs on the Project during construction. The Sponsor's final share of cost for this phase will be determined by actual Department charges to construction engineering.
19. Notify the Department in writing who the Sponsor designates as its full-time employee to be in responsible charge of the day to day oversight of the Project (Attachment H). The duties and functions of this person are:
  - Oversee project activities, including those dealing with cost, time, adherence to contract requirements, construction quality and scope of Federal-aid projects;
  - Maintains familiarity of day to day project operations, including project safety issues;
  - Makes or participates in decisions about changed conditions or scope changes that require change orders and/or supplemental agreements;
  - During construction, visits and reviews the project on a daily basis;
  - Reviews financial processes, transactions and documentation to ensure that safeguards are in place to minimize fraud, waste, and abuse;
  - Directs project staff, Sponsor or consultant, to carry out project administration and contract oversight, including proper documentation;
  - Be aware of the qualifications, assignments and on-the-job performance of the Sponsor and consultant staff at all stages of the project.
20. Prior to issuing the notice to proceed to the Contractor, hold a pre-construction meeting with the Contractor and invite the Department's Resident Engineer assigned to the Project.
21. Ensure that all work, material testing and acceptance, and inspection is conducted in accordance with the Department's Standard Specifications for Highway Construction (latest edition), Manual of Field Sampling and Testing Procedures, and Resident Engineer's Manual

and with the plans, specifications, and all other applicable FHWA and Department procedures for the Project.

22. Make periodic payments to the consultant for construction engineering for the Project and request reimbursement from the Department. Reimbursement requests should be submitted, at minimum, every three (3) months and not more than once per month.
23. Make payments to the contractor for work accomplished in accordance with the plans and specifications and then request reimbursement from the Department on the Construction Certification and Reimbursement Request (CCRR) form (Attachment I). Reimbursement requests should be submitted, at minimum, every three (3) months and not more than once per month.
24. Attach LPA Report of Daily Work Performed (Attachment J) for all days that correspond with each CCRR submittal.
25. Prior to executing the work, submit construction contract change orders to the Department's Resident Engineer in charge of reimbursements for review and approval.
26. Upon completion of the Project, hold a final acceptance meeting for the Project and submit the LPA Final Acceptance Report form certifying that the Project was accomplished in accordance with the plans and specifications (Attachment K). This form must be signed by the engineer performing construction inspection on the Project, the Department's Resident Engineer assigned to the project, the Sponsor's full-time employee in responsible charge, and the Sponsor's Mayor.
27. Maintain accounting records to adequately support reimbursement with Federal-aid funds and be responsible for the inspection, measurement and documentation of pay items, and certification of all work in accordance with the plans and specifications for the Project and for monitoring the Contractor and subcontractor(s) for compliance with the provisions of FHWA-1273, Required Contract Provisions, Federal-aid Construction Contracts, and Supplements.
28. Pay all unpaid claims for all materials, labor, and supplies entered into contingent or incidental to the construction of said work or used in the course of said work including but not limited to materials, labor, and supplies described in and provided for in Act Nos. 65 and 368 of 1929, Act No. 82 of 1935, and Acts amendatory thereof.
29. Agree that any and all claims for damages to property or injury to persons caused by any act or omission, negligence, or misconduct from the performance of work by the Sponsor's contractor on the Project shall be the sole responsibility of the Sponsor's contractor and in this regard the Sponsor shall require the contractor on the Project to procure and maintain a General Public Liability Insurance Policy during the duration of the Project which shall be endorsed to include broad form general liability and complete operations coverage on the Project. The contractor shall furnish the Sponsor with documentation of proof of liability insurance coverage with submission of the signed contract.
30. Agree that any claims, liability, costs, expenses, demands, settlements, or judgments arising from misconduct or the negligent acts or omissions of the Sponsor, its employees, agents or contractors in the performance of the Project and this Agreement must be presented to the Sponsor. Further, the Sponsor by acceptance of this grant, agrees that the Department and the Arkansas State Highway Commission, as the pass-through entity, have no duty or

responsibility for the design, construction, maintenance or operation of the Project that is the subject of this grant, and, therefore shall have no liability related to the design, construction, maintenance or operation of the Project. The Sponsor also agrees to assume all risks associated with the work to be performed by its agents, employees, and contractors under this grant and Agreement and the Department and the Arkansas State Highway Commission, as the pass-through entity, shall not be responsible or liable for any damages whatsoever from the actions of the Sponsor, its employees, agents and contractors.

31. Assure that its policies and practices with regard to its employees, any part of whose compensation is reimbursed from federal funds, will be without regard to race, color, religion, sex, national origin, age, or disability in compliance with the Civil Rights Act of 1964, the Age Discrimination in Employment Act of 1967, The Americans with Disabilities Act of 1990, as amended, and Title 49 of the Code of Federal Regulations Part 21 (49 CFR 21), Nondiscrimination in Federally-Assisted Programs of the Department of Transportation.
32. Retain all records relating to inspection and certification, the Contractor's billing statements, and any other files necessary to document the performance and completion of the work in accordance with requirements of 49 CFR 18.42 - Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments (Attachment L).
33. Grant the right of access to the Sponsor's records pertinent to the Project and the right to audit by the Department and Federal Highway Administration officials.
34. Be responsible for 100% of all project costs incurred should the Project not be completed as specified.
35. Be responsible for 100% of any and all expenditures which may be declared non-participating in federal funds, including any such award by the State Claims Commission.
36. Sign and transmit to the Department the Certification for Grants, Loans, and Cooperative Agreements (Attachment M), which is necessary for Project participation.
37. Repay to the Department the federal share of the cost of any portion of the Project if, for any reason, federal participation is removed due to actions or inactions of the Sponsor, its agents, its employees, or its assigns or the Sponsor's consultants or contractors or their agents. Such actions or inactions shall include, but are not limited to, federal non-participation arising from problems with design plans, specifications, construction, change orders, construction inspection, or contractor payment procedures. The Sponsor understands and agrees that the Department may cause necessary funds to be withheld from the Sponsor 's Motor Fuel Tax allotment should the Sponsor fail to pay to the Department any required funds, fail to complete the Project as specified, or fail to adequately maintain or operate the Project.
38. Be responsible for all costs not provided by the Federal Highway Administration.
39. Repay to the Department the federal share of the cost of this project if for any reason the Federal Highway Administration removes federal participation.

40. Retain total, direct control over the Project throughout the life of all project improvements outside of the Department's right-of-way and **not, without prior approval from the Department:**
- sell, transfer, or otherwise abandon any portion of the Project;
  - change the intended use of the Project;
  - make significant alterations to any improvements constructed with Federal-aid funds; or
  - cease maintenance or operation of a project due to the Project's obsolescence.
41. Be responsible for satisfactory maintenance and operation of all improvements and for adopting regulations and ordinances as necessary to ensure this. Failure to adequately maintain and operate the Project in accordance with Federal-aid requirements may result in the Sponsor's repayment of federal funds and may result in withholding all future Federal-aid.
42. Submit to the Department a Single Audit in accordance with the Office of Management and Budget (OMB) Circular A-133 each fiscal year that the Sponsor expends more than \$500,000 of Federal-aid from any federal source including, but not limited to, the U.S. Department of Transportation. The fiscal year used for the reporting is based on the Sponsor's fiscal year. The \$500,000 threshold is subject to change after OMB periodic reviews.
43. Make no alterations to the improvements constructed with Federal-aid funds without first consulting with the Department.
44. Promptly notify the Department if the Project improvements outside of the Department's right-of-way are rendered unfit for continued use by natural disaster or other cause.
45. Complete and transmit to the Department both pages of the Federal Funding Accountability and Transparency Act (FFATA) Reporting Requirements (Attachment N).

THE DEPARTMENT WILL:

1. Maintain an administrative file for the project and be responsible for administering Federal-aid funds.
2. Review environmental documentation as prepared by the Sponsor.
3. Review designs, plans, and specifications submitted by the Sponsor.
4. Notify the Sponsor when right-of-way and/or utility plans are approved and the Sponsor may proceed with right-of-way acquisition and/or utility adjustments.
5. Ensure substantial compliance with federal contracting requirements through review of the bidding proposal for inclusion of required federal forms, review of the administration of the DBE program provisions, and general compliance with 23 CFR 635.
6. Advise the Sponsor when to proceed with advertisement of the Project for construction bids.
7. Review and concur in award of the construction contract for the Project.
8. Ensure that the Sponsor and the Sponsor's consultant provide adequate supervision and inspection of the Project by performing periodic inspections with the Sponsor's representatives and their consultant to verify that the work being performed by the Sponsor's contractor, and documented and certified by the Sponsor, meets the requirements of the Project plans, specifications, and all applicable FHWA and Department procedures. The Department intends to perform these inspections, at a minimum, when the construction work is approximately 10% and 50% completed. The Department will also participate in the final inspection of the Project.
9. Review and approve any necessary change orders for project/program eligibility.
10. Reimburse the Sponsor 80% (Federal-aid share) for eligible construction costs approved in the CCRR form (Attachment I). This reimbursement will be limited to the maximum Federal-aid amount and to the federal amount available at the time payment is requested. If the payment requested exceeds the Federal-aid available at the time, the difference will be reimbursed as additional Federal-aid for the Project becomes available.
11. Subject to the availability of Federal-aid allocated for the Project, pay the Sponsor the remaining amount due upon completion of the Project and submittal of the certified LPA Final Acceptance Report form (Attachment K).
12. Be reimbursed for costs involved in performing all the services listed above.

IT IS FURTHER AGREED that should the Sponsor fail to fulfill its responsibilities and assigned duties as related in this Agreement, such failure may disqualify the Sponsor from receiving future Federal-aid highway funds.

IT IS FURTHER AGREED, that should the Sponsor fail to pay to the Department any required funds due for project implementation or fail to complete the Project as specified in this Agreement, or fail to adequately maintain or operate the Project, the Department may cause such funds as may be required to be withheld from the Sponsor's Motor Fuel Tax allotment.



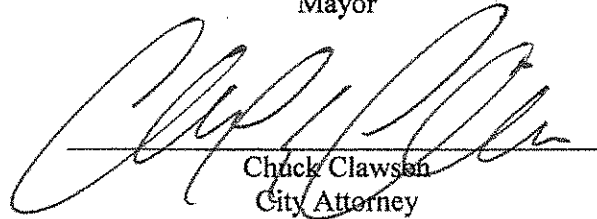
IN WITNESS WHEREOF, the parties thereto have executed this Agreement this 2 day of April, 2017: 2014

ARKANSAS DEPARTMENT OF  
TRANSPORTATION

CITY OF CONWAY

\_\_\_\_\_  
Scott E. Bennett, P.E.  
Director

  
\_\_\_\_\_  
Bart Castleberry  
Mayor

  
\_\_\_\_\_  
Chuck Clawson  
City Attorney

**ARKANSAS DEPARTMENT OF TRANSPORTATION  
NOTICE OF NONDISCRIMINATION**

The Arkansas Department of Transportation (Department) complies with all civil rights provisions of federal statutes and related authorities that prohibit discrimination in programs and activities receiving federal financial assistance. Therefore, the Department does not discriminate on the basis of race, sex, color, age, national origin, religion (not applicable as a protected group under the Federal Motor Carrier Safety Administration Title VI Program), disability, Limited English Proficiency (LEP), or low-income status in the admission, access to and treatment in the Department's programs and activities, as well as the Department's hiring or employment practices. Complaints of alleged discrimination and inquiries regarding the Department's nondiscrimination policies may be directed to Joanna P. McFadden Section Head - EEO/DBE (ADA/504/Title VI Coordinator), P. O. Box 2261, Little Rock, AR 72203, (501) 569-2298, (Voice/TTY 711), or the following email address: [joanna.mcfadden@ardot.gov](mailto:joanna.mcfadden@ardot.gov).

Free language assistance for Limited English Proficient individuals is available upon request.

This notice is available from the ADA/504/Title VI Coordinator in large print, on audiotape and in Braille.

GENERAL REQUIREMENTS  
FOR  
RECIPIENTS AND SUB-RECIPIENTS  
CONCERNING DISADVANTAGED BUSINESS ENTERPRISES

It is the policy of the U. S. Department of Transportation that disadvantaged business enterprises (DBEs) as defined in 49 CFR Part 26 shall have the maximum opportunity to participate in the performance of contracts financed in whole or in part with Federal funds under this Agreement. Consequently, the DBE requirements of 49 CFR Part 26 apply to this Agreement.

The recipient or its contractor agrees to ensure that DBEs as defined in 49 CFR Part 26 have the maximum opportunity to participate in the performance of contracts and subcontracts financed in whole or in part with Federal funds provided under this Agreement. In this regard all recipients or contractors shall take all necessary and reasonable steps in accordance with 49 CFR Part 26 to ensure that DBEs have the maximum opportunity to compete for and perform contracts. Recipients and their contractors shall not discriminate on the basis of race, color, national origin, or sex in the award and performance of DOT-assisted contracts.

If as a condition of assistance the recipient has submitted and the Department has approved a disadvantaged business enterprise affirmative action program, which the recipient agrees to carry out, this program is incorporated into this financial assistance agreement by reference. This program shall be treated as a legal obligation and failure to carry out its terms shall be treated as a violation of this financial assistance agreement. Upon notification to the recipient of its failure to carry out the approved program, the Department shall impose such sanctions as noted in 49 CFR Part 26, Subpart F, which sanctions may include termination of the Agreement or other measures that may affect the ability of the recipient to obtain future DOT financial assistance.

The recipient shall advise each sub-recipient, contractor or subcontractor that failure to carry out the requirements set forth in 49 CFR Part 26, Subsections 26.101 and 26.107 shall substitute a breach of contract and after the notification of the Department, may result in termination of the agreement or contract by the recipient or such remedy as the recipient deems appropriate.

(NOTE: Where appropriate, the term "recipient" may be modified to mean "sub-recipient", and the term "contractor" modified to include "subcontractor".)

## LOCAL AGENCY CONSULTANT SELECTION PROCEDURES

### **Section I – Application**

These procedures apply to federally funded contracts for engineering and design services for projects. The federal laws and regulations that govern the procurement of engineering and design related services with Federal-aid highway funds are:

- 23 U.S.C. 112 “Letting of contracts”.
- 23 CFR 172 “Administration of Engineering and Design Related Service Contracts”,
- 49 CFR 18 “Uniform Administration Requirements for Grants and Cooperative Agreements to State and Local Governments” or more commonly known as the “Common Rule”,
- 40 U.S.C. Chapter 10 Subchapter VI, paragraphs 541-544 or commonly called the “Brooks Act”.

In accordance with the above federal laws and regulations, the Arkansas Department of Transportation (ARDOT) has approved these procedures for use by the Local Agency for the “competitive negotiation” method of procurement as defined in 23 CFR 172.5, Methods of Procurement.

The Local Agency will use these procedures for Federal-aid contracts and may elect to use them for non-Federal-aid contracts.

These procedures do not apply to design-build Contracts.

### **Section II – Advertisement for Letters of Interest (LOIs).**

The Local Agency may employ a consultant engineering firm when a need exists for engineering services and it is in the Local Agency’s best interest to employ an engineer or engineering firm.

As a minimum, the Local Agency will advertise in a statewide newspaper, the ARDOT’s website and the Local Agency’s website (if available), advising that consultant engineering services are being sought. In addition, the Local Agency may advertise in appropriate national trade magazines or websites for specialized services. Interested firms must furnish a Letter of Interest with primary contact information and Architect-Engineer Qualifications Standard Form 330 Parts I and II. The advertisement will be for either a specific single project, a group of projects, or for an indefinite delivery of projects to be determined at a later date with specific task orders issued for each project.

When the Local Agency advertises a specific project, the advertisement will describe the work in general terms so that firms may evaluate their interest in performing the desired services.

When the Local Agency advertises a group of projects, a general description of work will be furnished. Firms will be asked to specify the projects they are interested in performing. When the Local Agency decides to proceed with a certain project, those firms having expressed interest in that project will be considered for selection.

When the Local Agency advertises for an indefinite delivery of projects with later specified task orders, the advertisement will include a general description of work for the project tasks.

### **Section III – Selection Committee.**

The Local Agency will designate a Selection Committee (Committee) to evaluate and analyze the LOIs and Proposals.

### **Section IV – Evaluation of LOIs.**

The Committee will evaluate each consultant firm based on the following:

No.	Evaluation Factors for LOIs	Maximum Points Possible
1	Professional staff including the education, experience, number of personnel available, and any partnerships with sub-consultants	10
2	General and professional reputation, including responsiveness to civil rights and equal employment opportunity requirements and opportunities	10
3	Past work performance	10
4	Experience with projects of a similar nature as those advertised	10
	Total Points for LOI	40

Following their review, the selection committee will prepare a short list of engineering firms and recommend to the Local Agency that these firms submit detailed proposals for further evaluation.

### **Section V – Request for Proposal (RFP).**

The Local Agency will prepare a scope of work statement and request proposals from the engineering firms on the short list. For projects with FHWA oversight, the Local Agency will forward the scope of work statement to ARDOT to forward to FHWA for review and approval before soliciting RFPs. A Local Agency's scope of work will typically include the following:

1. A detailed description of the work
2. Services that will be furnished by the Local Agency
3. Services expected of the consultant
4. Project conditions of the work
5. Special conditions of the work
6. Assurance of participation of Disadvantaged Business Enterprises (DBE) in Federal-aid projects. The Local Agency may establish a DBE goal of a certain percentage of the work for DBE's to assure DBE's participation in Federal-aid projects. When a DBE goal is specified, the Local Agency will ensure that a certified DBE(s) performs the identified engineering work and that the payments to the DBE(s) verify that the goal was reached. The establishment of a DBE goal does not preclude a DBE from being the prime consultant for the project.

The short-listed firms should submit proposals that contain the following:

1. A cover letter with primary contact information
2. A detailed work plan that identifies the major tasks of work
3. A list of major concerns associated with completing the work
4. A detailed work schedule for specific projects as requested
5. A manpower estimate for specific projects as requested
6. Updated Standard Form 330 Parts I and II if necessary

The Committee will review the proposals with particular attention to the following evaluation factors and the consideration of Section IV. The evaluation factors and their relative importance will be listed in the RFP if any of the factors are different from the list below.

No.	Evaluation Factors for Proposals	Maximum Points Possible
1	Obvious indication that the scope of work is clearly understood	10
2	Comprehensive, coherent, and detailed work plan	10
3	Realistic work schedule when applicable	10
4	Proposed working office location, need for a local office, and any local representative*	5
5	Identification of sub-consultants and responsiveness to DBE goals and opportunities	5
6	Total Points for LOI	40
	Total Points for Proposals	80

\*Locality preference may be used on a project by project basis where it is not based on political boundaries.

Based on these various items, the Committee will rank the firms in order of preference and submit the list to the Local Agency who will either:

1. Select one firm to enter negotiations with;

2. Select multiple firms for an indefinite delivery contract; or
3. Select two or more firms to interview (a firm may present additional information concerning their proposal at the interview). After the interviews, the Committee will re-evaluate the firms based on the interview and the same evaluation factors as noted previously. The ranked list will be submitted to the Local Agency for review and final selection.

The contract file will contain records of the rankings and supporting data; however, the rankings will not be public information. Copies of the LOI advertisement, the rankings, and supporting data shall be submitted to ARDOT for the contract file.

### **Section VI – Negotiation and Contract Preparation.**

Once a firm is selected for negotiation for a specific job or a group of projects, it will prepare a draft contract including a cost estimate for the project. The other firms on the short list will be advised of the firm selected, subject to successful negotiations.

More than one firm may be selected for an indefinite delivery contract. The contract will establish a maximum cost for the contract as well as an expiration date. As individual task orders are issued, individual task order cost estimates will be negotiated.

The selected firm will prepare a draft contract based on a sample contract furnished by the ARDOT. In accordance with the principles of 23 CFR 172, the draft contract must include an overhead rate that is approved by the ARDOT. The overhead rate shall be verified by an audit by a certified public accountant on behalf of the consultant if the contract exceeds \$250,000. If the contract is less than \$250,000, the overhead rate shall also be verified by an audit by a certified public accountant on behalf of the consultant if at least one of the following conditions applies:

1. when there is insufficient knowledge of the consultant's accounting system;
2. when there is previous unfavorable experience regarding the reliability of the consultant's accounting system; or
3. when the contract involves procurement of new equipment or supplies for which cost experience is lacking.

Pursuant to this requirement, the ARDOT will notify the Local Agency if an audit by a certified public accountant for the selected firm is necessary. The certified audit needs to be provided by the selected firm prior to the submission of the final draft contract.

The Local Agency will review the draft contract proposal and either approve it as submitted or enter into negotiations with the selected firm to establish a contract and contract amount that the Local Agency deems is fair and reasonable. If a satisfactory contract cannot be negotiated with the selected firm, negotiations will be formally terminated. The Local Agency will then enter into negotiations with the second ranked firm. If negotiations with that firm fail, the Local Agency will formally terminate those

negotiations and begin to negotiate with the third ranked firm, and so on. If the Local Agency cannot negotiate a satisfactory contract with any of the firms on the short list, the Local Agency shall either:

1. Request proposals from additional firms who have submitted LOIs and are considered competent and qualified; evaluate and rank the firms based on the criteria described in Section V; and continue the negotiation process, or
2. Terminate all negotiations and begin the selection process again.

When the Local Agency and the consultant agree on a negotiated contract, the consultant will prepare a final draft and submit it to the Local Agency and ARDOT for review. After review and a determination that it is acceptable, the consultant will sign the contract. The Local Agency will then execute the contract. The contract will subsequently be submitted to ARDOT for final review and approval. When approved, copies of the signed contract will be distributed within the Local Agency and to the consultant.

For projects with FHWA oversight and for indefinite delivery contracts utilizing federal funds, the ARDOT will forward the initial and final drafts of the contract to FHWA for review and comment. The FHWA approves the final executed contract by stamp and signature and retains a copy.

After the Local Agency executes an indefinite delivery contract, it will assign specific projects by task order for the duration of the contract period. The consultant will prepare each task order based on the scope of work furnished by the Local Agency. The task order will include a manpower estimate and cost. The Local Agency will review the task order and approve it as submitted or negotiate with the consultant to establish a task order and task order amount that the Local Agency deems is fair and reasonable. After review and a determination that the task order is acceptable, the consultant will sign the task order. The Local Agency will execute the task order. The task order will subsequently be submitted to ARDOT for final review and approval. When approved, copies of the signed task order will be distributed within the Local Agency and to the consultant. For projects with FHWA oversight, the ARDOT will forward the initial and final drafts of the task order to FHWA for review and comment. The FHWA approves the final executed task order by stamp and signature and retains a copy.

### **Section VII – Monitoring the Contract.**

The Local Agency may identify staff members as key liaisons for specific projects or for technical matters during the administration of the contract period.

The Local Agency will:

1. Maintain the contract files.
2. Arrange and attend periodic progress meetings.
3. Coordinate reviews and approval actions with other agencies when necessary.

4. Review progress payments.
5. Coordinate questions from the consultant.
6. Negotiate any change or amendment to the contract and submit to ARDOT for review and approval.
7. Prepare an evaluation of the consultant's performance after completion of the contract. A copy of the evaluation shall be submitted to the ARDOT.

### **Section VIII – Consultant Liability**

The Local Agency will include a contract requirement that the consultant will warrant that all services and work products provided as part of the contract are free from defects in workmanship at the time of acceptance and that the work conforms to the requirements of the contract. This warrant is effective regardless of the degree of inspection and acceptance by the Local Agency or others.

If the consultant is required to correct or re-perform any work or services, the work will be performed at no cost to the Local Agency, and any work or services corrected or re-performed by the consultant shall also be warranted that it is free from defects in workmanship. If the consultant fails or refuses to correct or re-perform, the Local Agency may, by contract or otherwise, correct or replace the deficient items or services with similar work or services, and charge the cost to the consultant or make an equitable adjustment in the consultant's reimbursement.

Acceptance is an act of an authorized representative of the Local Agency by which the Local Agency approves specific services, as partial or complete performance of the contract. Correction is the elimination of a defect.



## **Procurement of Adaptive Signal Control Technology Procedure**

### **Technical Review Committee**

There will be a Technical Review Committee (Committee) comprised of LPA and ARDOT staff. The Committee shall have responsibility for determination of the most qualified interested bidder as provided during the rating and scoring of Qualitative Proposals as provided in "Competitive Selection of Bidders".

### **Competitive Selection of Bidders**

The Request for Proposals ("RFP") shall consist of the criteria package including qualifications of similar type work, instructions to bidders, bid proposal forms, provisions for contracts, general and special conditions, and basis for evaluation of proposals. Proposals may be excluded from further consideration if not adequately qualified as determined by the Committee during the evaluation of proposals.

### **Criteria Package**

The purpose of the criteria package is to furnish sufficient information for companies to prepare Technical and Price proposals. The company submitting the successful proposal shall design and construct the project in accordance with the criteria package.

The criteria developer may be either a private practitioner (selected in accordance with normal procedures for selecting design firms) or the staff of the LPA or other entity. Private practitioners involved in developing the criteria are prohibited from being part of the bidding entity. The criteria package may include the following:

- a. Experience with comparable projects;
- b. Financial and bonding capacity;
- c. Managerial resources;
- d. The abilities of the professional personnel;
- e. Past performance
- f. Capacity to meet time and budget requirements'
- g. Knowledge of local or regional conditions;
- h. Recent and current project workload; and the ability of the bidder to complete the work in a timely and satisfactory manner.
- i. Scope of work;
- j. System Engineering Analysis Requirements Matrix Compliance, as applicable
- k. Material quality standards;
- l. Conceptual design criteria and statement of willingness to assist consultant in final determination of detection/communication installation design plans
- m. Performance specifications;
- n. Design and construction schedules;
- o. Stipulation of responsibilities for permits;
- p. Stipulation of responsibility for meeting environmental regulations;

- q. Statement of required compliance with codes and general technical specifications;
- r. Any other requirements the LPA deems necessary.

**Request for Proposal**

Each company submitting a proposal shall submit a Technical Proposal and a Price Proposal.. Proposals shall be segmented into two packages;

- a. **Technical Proposal:** A technical proposal shall include the System Engineering Analysis System Requirements compliance matrix, outline specifications, special notes, technical reports, permit requirements, schedule, and other data requested in response to the RFP. Technical proposals shall be submitted in a sealed package, which identifies the project and the bidder on the outside of the package. Each company shall place the words "**TECHNICAL PROPOSAL**" on the outside of the package. Nothing contained in the technical proposal shall identify the bidder. The System Requirements will require detailed responses to aid in the requirement compliance determinations during the evaluation of the proposals.
- b. **Price Proposal:** Price shall be negotiated with the proposer that is deemed to have the highest technical score. The City or Agency may set an unpublished ceiling price to include in the RFP (See Best Value Selection Below).

Each technical proposal shall be assigned a number. The proposal shall be submitted to each member of the Committee with only the assigned number to identify the bidder (it is intended that the Committee members not know the identity of the bidder during the review and scoring of the technical and schedule aspects of the packages).

The Committee members shall review the compliance documentation and technical data submitted by each company. Prior to issuing their ratings, the Committee members may consult with each other and with any Consultant hired by the LPA to assist with the procurement process. The Committee members shall then independently rate each company's proposal based upon criteria established by the Committee for the project.

The criteria may include the following format example, but shall be adjusted for the particular characteristics of the project prior to the advertisement of RFP:

- |                              |                          |
|------------------------------|--------------------------|
| 1. Qualification Criteria    | Maximum Score: 40        |
| 2. Design and Technical      | Maximum Score: 40        |
| 3. Project Schedule Criteria | Maximum Score: 20        |
|                              | Total Maximum Score: 100 |

The Committee may adjust and refine all of the above criteria and the points assigned to each based on the project type and LPA experience. The Committee may reduce the weight of firm qualification criteria or omit it entirely if it is sufficiently determinative in selection of the most qualified interested bidders. The Committee may omit schedule as criteria when it is a fixed requirement in the RFP.

The Committee members shall, without conferring with one another, submit their criteria scores for each interested bidder to the Committee Chair. The Committed Chair will average the scores of the Committee members for each interested bidder to arrive at a single score.

### **Best Value Selection and Award**

The LPA may establish a fixed ceiling dollar budget for the project in the RFP. With a fixed price established for all proposers, each company would submit only Technical Proposals, as described above. Once the Technical Qualifications scores are compiled, the LPA's Procurement Official, shall set a date for negotiating price proposals, and shall notify the highest technical scored company for an invitation to negotiation. The notification shall include the date, time, and place of the price negotiation. Should negotiation fail, the LPA would have the option to rebid the project, or conversely enter into price negotiations with the next highest rated vendor by Technical Score.

1. The LPA reserves the right to reject all proposals. The LPA Procurement Official will notify all proposers in writing of the LPA's intent to enter into a contract with the highest rated technical score company or the rejection of all proposals.
2. The LPA shall enter into a contract with the company selected as provided above. At the time of the award, the LPA may negotiate minor changes for the purpose of clarifying the design criteria and work to be done, provided that the negotiated changes do not affect the ranking of the proposals based on their adjusted score.

**REQUIRED CONTENTS OF BIDDING PROPOSALS  
FEDERAL-AID SURFACE TRANSPORTATION PROGRAM PROJECTS**

1) **FHWA-1273**

Each set of contract documents shall include FHWA-1273, "Required Contract Provisions, Federal-aid Construction Contracts," and such supplements that may modify the FHWA-1273. Copies of FHWA-1273 and supplements will be provided by the Department.

2) **Anti-Collusion and Debarment Certification**

The certification shall either be in the form of an affidavit executed and sworn to by the bidder before a person who is authorized by the laws of the State to administer oaths or in the form of an unsworn declaration executed under penalty of perjury of the law of the United States. The required form for the Anti-Collusion and Debarment Certification will be provided by the Department. The certification includes:

- Anti-collusion - A statement executed by, or on behalf of the person, firm, association, or corporation submitting the bid certifying that such person, firm, association, or corporation has not, either directly or in-directly, entered into any agreement, participated in any collusion, or otherwise taken any action, in restraint of free competitive bidding in connection with the submitted bid.
- Debarment - A statement regarding debarment, suspension, ineligibility and voluntary exclusion as required by Title 49 of the Code of Federal Regulations, Part 29 (49 CFR 29).

**Failure to submit the executed Certification as part of the bidding documents will make the bid nonresponsive and not eligible for award consideration.**

3) **Lobbying Certification**

This certification is required by 49 CFR 20. The form for this certification will be provided by the Department.

4) **Davis-Bacon Pre-determined Minimum Wage Rates**

Davis-Bacon requirements apply to all projects greater than \$2,000 that are physically located within the existing right-of-way of a functionally classified city street. The Davis-Bacon wage rates will be provided by the Department.

CITY / COUNTY LETTERHEAD

JOB NUMBER  
JOB DESCRIPTION  
COUNTY

Title to the right of way necessary for the construction of this project has been acquired, *or will be acquired*, in accordance with applicable Federal Highway Administration procedures.

↓ indicate total number in each category here. Delete any categories not used in this job.

- \_\_\_ Tract(s)
  - \_\_\_ Options(s)
  - \_\_\_ Paid
  - \_\_\_ Donation(s)
  - \_\_\_ Negotiation Pending\* - include tract number(s) and statement: "It is anticipated that this/these tract(s) will be acquired by (date)."
  - \_\_\_ Condemnation(s) – (include Order of Possession date or date the Court Order was filed)
  - \_\_\_ Condemnation(s) Pending\* - include tract number(s) and anticipated filing date
- \* If applicable

↓delete the statement in each pair that does not apply

There are no displacees on this project.

-Or-

*Relocation Assistance has been provided in accordance with applicable Federal Highway Administration procedures and all displacees have moved from this project. There was/were # displaced (residence(s)/business(es)/personal property/etc) on the project.*

There are no structures located within the right of way area.

-Or-

*All structures have been removed from this project, except for those to be included as demolition items in the highway contract.*

No conflicting utilities are known to exist in the right of way area.

-Or-

*Necessary utility relocation has been, or will be, completed as shown in the attached Utility Status Report.*

There are no railroads involved on this project

-OR-

Tract(s) # \_\_\_ shown above include(s) # \_\_\_ (Permanent/Temporary Construction Easements) for \_\_\_ Railroad.

No right of way in excess of that needed for construction or future maintenance of this project was acquired.

Certified by: \_\_\_\_\_  
(Type name)  
(Type title)

Date: \_\_\_\_\_

CERTIFICATION LETTER  
REQUESTING AUTHORITY TO ADVERTISE

DATE

Mr. Emanuel Banks  
Deputy Director and Chief Engineer  
Arkansas Department of Transportation  
P. O. Box 2261  
Little Rock, AR 72203

Re: Job #  
Job Name  
County

Dear Mr. Banks:

The following documents are submitted concerning the referenced project:

1. One set of plans and specifications.
2. A copy of the preliminary estimate of cost.
3. An unexecuted copy of the bid proposal form.

I certify that the plans, specifications and estimate were prepared by or under the direct supervision of a Professional Engineer licensed to practice in the State of Arkansas and that the plans and specifications comply with the Americans with Disabilities Act (ADA), the American Association of State Highway and Transportation Officials (AASHTO) design standards, and all other applicable state and federal regulations, including airport clearance when necessary, for the type of work involved.

I understand that if any project items are declared non-participating in federal funds due to failure to comply with any State or federal requirements, the **Sponsor** will promptly repay such funds to the Arkansas Department of Transportation (ARDOT). Further, I hereby authorize the Director of the Arkansas State Department of Finance and Administration to transfer such funds from the **Sponsor's** Motor Fuel Tax allotment to the ARDOT's RRA Fund upon notification by the ARDOT Director of that such funds are due ARDOT and have not been paid by the **Sponsor**.

Approval to proceed with advertisement of the project for bids is requested.

Sincerely,

NAME & OFFICE  
(Sponsor's CEO)

Enclosures

## GUIDELINES FOR ADVERTISING AND OPENING BIDS FEDERAL-AID PROJECTS

Upon receipt of written authorization from the Arkansas Department of Transportation, the project may be advertised for bids. The following minimum guidelines for advertising must be met:

- The minimum advertising period is three weeks.
- In addition to meeting the State requirements for advertising for construction projects, the project must be advertised a minimum of two times in a statewide newspaper.
- The notice must contain: (1) the time, date, and place that sealed bids are to be accepted, opened, and publicly read; (2) a brief description of the kind or type of work contemplated; and (3) the place at which prospective bidders may obtain plans and specifications.
- The Sponsor will include the following language in the solicitation for bids:

“The Sponsor hereby notifies all bidders that this contract is subject to applicable labor laws, non-discrimination provisions, wage rate laws and other federal laws including the Fair Labor Standards Acts of 1938. The Work Hours Act of 1962 and Title VI of the Civil Rights Act of 1964 also apply.”
- All bids received in accordance with the terms of the advertisement shall be publicly opened and at a minimum, the total amount bid must be read (the sponsor may choose to read the bids item by item).
- If any bid received is not read aloud, the name of the bidder and the reason for not reading the bid aloud shall be publicly announced at the letting.
- In accordance with 23 CFR 635.110, any procedures and requirements for qualifying and licensing contractors must be approved by the Federal Highway Administration.
- **Negotiation with contractors during the period following the opening of bids and before the award of the contract is not permitted.**

CERTIFICATION LETTER  
REQUESTING CONCURRENCE IN AWARD OF THE CONTRACT

DATE

Mr. Emanuel Banks  
Deputy Director and Chief Engineer  
Arkansas Department of Transportation  
P. O. Box 2261  
Little Rock, AR 72203

Re: Job #  
Job Name  
County

Dear Mr. Banks:

The following documents are submitted concerning the referenced project:

1. One set of bid tabulations.
2. Justification of award (if low bid amount is greater than 10% over the estimate).
3. A check for \$1,000 for ArDOT construction involvement.

I certify that the referenced project was advertised and bids were received in accordance with the regulations governing Federal-aid projects and all other applicable state and federal regulations, and that this process has been reviewed and approved by the City Attorney. Additionally, I certify that the bid is being awarded to the lowest responsive and qualified bidder and that there has not been, nor will there be, any negotiations with the contractor or other bidders regarding the amount bid.

Your concurrence in the award of this contract to CONTRACTOR is requested.

Sincerely,

\_\_\_\_\_  
Mayor

\_\_\_\_\_  
City Attorney

Enclosures



Sponsor Letterhead

*(Designating Full-Time Employee  
in Responsible Charge)*

**DATE**

Mr. Emanuel Banks  
Deputy Director and Chief Engineer  
Arkansas Department of Transportation  
P. O. Box 2261  
Little Rock, AR 72203

Re: **Job Name**  
**County**

Dear Mr. Banks:

The full-time employee in responsible charge of the day to day oversight for the referenced project will be *(insert employee's name)*. This letter certifies that the employee is aware of the duties and functions they are in charge of as outlined in the Agreement of Understanding. They can be contacted at *(insert phone number)* or at *(insert email address)*.

Sincerely,

**NAME & OFFICE**  
**(Sponsor's CEO)**

**CONSTRUCTION CERTIFICATION AND REIMBURSEMENT REQUEST**

Revised: 7/25/17

PAGE 1 OF 2 PAGES

Job No.: _____	Payee/Sponsor: _____	DATE: _____
FAP: _____	address _____	
County: _____	_____	PAY REQUEST # _____
Job Name.: _____	Federal Tax ID No.: _____	FROM: _____ TO: _____

**SPONSOR'S REQUEST FOR PAYMENT**

- 1 Maximum Approved Federal-aid Amount \_\_\_\_\_
- 2 Original Contract Amount \_\_\_\_\_
- 3 Net Changes by Change Orders \_\_\_\_\_
- 4 Present Contract Total \_\_\_\_\_
  
- 5 Present Federal-aid Amount (80% of Line 4 or Amount on Line 1, whichever is less) \_\_\_\_\_
- 6 Work Completed to Date \_\_\_\_\_
  
- 7 Federal Match (80% of Line 6 or amount on Line 5, whichever is less) \_\_\_\_\_
- 8 Previous Reimbursements (Federal) \_\_\_\_\_
  
- 9 **Amount Due this Estimate**   
(subtract Line 8 from Line 7)

**Designated Full Time Employee In Responsible Charge**

The information provided in this document is true and correct and I recommend that payment be made to the Contractor for this work.

By: \_\_\_\_\_ Date: \_\_\_\_\_

Title: \_\_\_\_\_

CHANGE ORDER SUMMARY	ADDITIONS	DEDUCTIONS
Total changes previously approved		
Total approved this Request Period		
<b>TOTALS</b>		
<b>NET CHANGES by Change Order</b> <small>(Line 3 above)</small>		

**Sponsor's CEO**

Payment is requested from the Arkansas Department of Transportation for the Amount Due. I certify that the Contractor and/or subcontractor(s) are complying with the provisions of FHWA-1273, Required Contract Provisions, Federal-aid Construction Contracts, and Supplements; that the work has been completed by the Contractor in accordance with the plans and specifications; and that the Contractor has been paid for this work.

By: \_\_\_\_\_ Date: \_\_\_\_\_

Title: \_\_\_\_\_

DEPARTMENT USE ONLY		
Recommended for Payment in Accordance with Project Agreement  _____ Resident Engineer	Approved for Payment  _____ State Construction Engineer	<b>PAID</b>  Voucher No. _____  Date: _____

**CONSTRUCTION CERTIFICATION AND REIMBURSEMENT REQUEST**

Revised: 7/25/17

**DETAIL ESTIMATE**

JOB NUMBER: \_\_\_\_\_  
 FAP: \_\_\_\_\_  
 JOB NAME: \_\_\_\_\_  
 \_\_\_\_\_  
 SPONSOR: \_\_\_\_\_

REQUEST NO: \_\_\_\_\_ DATE: \_\_\_\_\_  
 FROM: \_\_\_\_\_ TO \_\_\_\_\_  
 CONTRACTOR: \_\_\_\_\_

A ITEM NO.	B DESCRIPTION OF WORK	C SCHEDULED VALUE	D WORK COMPLETED		F MATERIALS PRESENTLY STOCKPILED (NOT IN D or E)	G TOTAL COMPLETED & STOCKPILED TO DATE (D+E+F)	H % COMPLETED (G ÷ C)	I BALANCE TO FINISH (C - G)
			PREVIOUS REQUESTS	THIS PERIOD				
<b>GRAND TOTALS</b>								

Attachment I

COPY OF SPONSOR'S PAYMENT CHECK FOR THIS ESTIMATE MUST BE ATTACHED TO THIS FORM

**Sponsor**  
**LPA Report of Daily Work Performed**

Job Name: _____	Job No.: _____
FAP No.: _____	Contractor: _____
Date: _____	Hours Worked: _____ - _____
Report No.: _____	

<b>Project Conditions</b>		
<u>Site Conditions</u>	<u>Weather</u>	<u>Number of Contractor's Personnel</u>
___ Useable	___ Sunny	___ Laborers
___ Partly Useable	___ Partly Cloudy	___ Carpenters
___ Not Useable	___ Rain	___ Concrete Laborers
Min Temp. (F) ___	Rainfall Amt. (in.) ___	___ Equip. Operators
Max Temp. (F) ___		___ Electricians
<u>Comments</u>		___ Plumbers
		___ Foreman
		___ Other _____
		___ Other _____

<b>Location and Description of Work Performed</b>

<b>Special Instructions and/or Conversations</b>

Signed: _____ <div style="text-align: center; margin-top: 5px;">Designated Full-time Employee</div>
--

**SPONSOR**  
**LPA Final Acceptance Report**

<b>Job Name:</b>		<b>Date:</b>
<b>Job No:</b>	<b>FAP No:</b>	
<b>County:</b>	<b>Route:</b>	
<b>Contractor:</b>		
<b>Date Work Began:</b>	<b>Date Work Completed:</b>	
<b>Attendees:</b>		
<b>Remarks:</b>		
<b>Project Completed in Substantial  Compliance with Plans and Specifications  and Recommended for Final Acceptance by  Sponsor</b>	<b>Recommended for Acceptance in  Accordance with Project Agreement</b>	
<hr style="width: 80%; margin: 0;"/> <b>Engineer</b>	<hr style="width: 80%; margin: 0;"/> <b>ArDOT Resident Engineer</b>	

**Project Recommended for Acceptance**

**Designated Full-time Employee:** \_\_\_\_\_

**I certify that the Contractor and/or subcontractor(s) have complied with the provisions of FHWA-1273, Required Contract Provisions, Federal-aid Construction Contracts, and Supplements; that the project has been completed by the Contractor in accordance with the plans and specifications; that the Contractor has been paid for this work, and the project is hereby accepted.**

\_\_\_\_\_  
**SPONSOR's CEO**

## 49 CFR 18.42

## UNIFORM ADMINISTRATIVE REQUIREMENTS FOR GRANTS AND COOPERATIVE AGREEMENTS TO STATE AND LOCAL GOVERNMENTS

## Post-Award Requirements

## Retention and access requirements for records.

(a) *Applicability.* (1) This section applies to all financial and programmatic records, supporting documents, statistical records, and other records of grantees or subgrantees which are:

(i) Required to be maintained by the terms of this part, program regulations or the grant agreement, or

(ii) Otherwise reasonably considered as pertinent to program regulations or the grant agreement.

(2) This section does not apply to records maintained by contractors or subcontractors. For a requirement to place a provision concerning records in certain kinds of contracts, see Sec. 18.36(i)(10).

(b) *Length of retention period.* (1) Except as otherwise provided, records must be retained for three years from the starting date specified in paragraph (c) of this section.

(2) If any litigation, claim, negotiation, audit or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

(3) To avoid duplicate recordkeeping, awarding agencies may make special arrangements with grantees and subgrantees to retain any records which are continuously needed for joint use. The awarding agency will request transfer of records to its custody when it determines that the records possess long-term retention value. When the records are transferred to or maintained by the Federal agency, the 3-year retention requirement is not applicable to the grantee or subgrantee.

(c) *Starting date of retention period--(1) General.* When grant support is continued or renewed at annual or other intervals, the retention period for the records of each funding period starts on the day the grantee or subgrantee submits to the awarding agency its single or last expenditure report for that period. However, if grant support is continued or renewed quarterly, the retention period for each year's records starts on the day the grantee submits its expenditure report for the last quarter of the Federal fiscal year. In all other cases, the retention period starts on the day the grantee submits its final expenditure report. If an expenditure report has been waived, the retention period starts on the day the report would have been due.

(2) *Real property and equipment records.* The retention period for real property and equipment records starts from the date of the disposition or replacement or transfer at the direction of the awarding agency.

(3) *Records for income transactions after grant or subgrant support.* In some cases grantees must report income after the period of grant support. Where there is such a requirement, the retention period for the records pertaining to the earning of the income starts from the

end of the grantee's fiscal year in which the income is earned.

(4) *Indirect cost rate proposals, cost allocations plans, etc.* This paragraph applies to the following types of documents, and their supporting records: indirect cost rate computations or proposals, cost allocation plans, and any similar accounting computations of the rate at which a particular group of costs is chargeable (such as computer usage chargeback rates or composite fringe benefit rates).

(i) *If submitted for negotiation.* If the proposal, plan, or other computation is required to be submitted to the Federal Government (or to the grantee) to form the basis for negotiation of the rate, then the 3-year retention period for its supporting records starts from the date of such submission.

(ii) *If not submitted for negotiation.* If the proposal, plan, or other computation is not required to be submitted to the Federal Government (or to the grantee) for negotiation purposes, then the 3-year retention period for the proposal plan, or computation and its supporting records starts from the end of the fiscal year (or other accounting period) covered by the proposal, plan, or other computation.

(d) *Substitution of microfilm.* Copies made by microfilming, photocopying, or similar methods may be substituted for the original records.

(e) *Access to records--(1) Records of grantees and subgrantees.* The awarding agency and the Comptroller General of the United States, or any of their authorized representatives, shall have the right of access to any pertinent books, documents, papers, or other records of grantees and subgrantees which are pertinent to the grant, in order to make audits, examinations, excerpts, and transcripts.

(2) *Expiration of right of access.* The right of access in this section must not be limited to the required retention period but shall last as long as the records are retained.

(f) *Restrictions on public access.* The Federal Freedom of Information Act (5 U.S.C. 552) does not apply to records unless required by Federal, State, or local law, grantees and subgrantees are not required to permit public access to their records.

**CERTIFICATION FOR GRANTS, LOANS, AND COOPERATIVE AGREEMENTS**

The undersigned certifies to the best of his knowledge and belief that:

1. No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any Federal agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
2. If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any Federal agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form - LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.
3. The undersigned shall require that the language of this certification be included in the award documents for all sub awards at all tiers (including sub grants, and contracts and subcontracts under grants, sub grants, loans and cooperative agreements) which exceed \$100,000, and that all such sub recipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, Title 31, U.S. Code. 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.



Bart Castleberry  
Mayor of Conway

## **Federal Funding Accountability and Transparency Act (FFATA)**

### **Reporting Requirements**

*(For more information go to <https://www.fsrs.gov/>)*

FFATA was signed on September 26, 2006. The intent is to empower every American with the ability to hold the government accountable for each spending decision. The end result is to reduce wasteful spending in the government. The FFATA legislation requires information on federal awards (federal financial assistance and expenditures) be made available to the public via a single, searchable website, which is [www.USASpending.gov](http://www.USASpending.gov).

A Prime Grant Recipient (Arkansas Department of Transportation (hereinafter called ARDOT)) awarded a new Federal grant greater than or equal to \$25,000 as of October 1, 2010 is subject to FFATA sub-award reporting requirements as outlined in the Office of Management and Budget guidance issued August 27, 2010. **ARDOT is required to file a FFATA sub-award report for any sub-grant awarded to a sub-awardee greater than or equal to \$25,000.** As a sub-awardee, \_\_\_\_\_ shall provide the following information to ARDOT in order to fulfill FFATA reporting requirements:

- ✓ A unique identifier (Dun & Bradstreet DUNS Number) of the sub-awardee receiving the award and the parent entity of the recipient, should the sub-awardee be owned by another entity;
- ✓ The names and total compensation of the five most highly compensated officers of the sub-awardee if the sub-awardee in the preceding Federal fiscal year received 80 percent or more of its annual gross revenues in Federal awards; and \$25,000,000 or more in annual gross revenues from Federal awards; and the public does not have access to information about the compensation of the senior executives of the sub-awardee through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. See FFATA § 2(b)(1).



**Required Sub-Awardee Information**

(A) Sub-Awardee – DUNS Number: 098 563 026 - City of Conway

Parent (if applicable) – DUNS Number: \_\_\_\_\_

(B) In the preceding completed Federal fiscal year, did your business or organization (the legal entity to which the DUNS number entered above belongs) receive (1) 80 percent or more of its annual gross revenues in U.S. federal contracts, subcontracts, loans, grants, subgrants, and/or cooperative agreements; and (2) \$25,000,000 or more in annual gross revenues from U.S. federal contracts, subcontracts, loans, grants, subgrants, and/or cooperative agreements?

Yes /  No (Circle one)

*If "Yes" is selected, answer (C).*

(C) Does the public have access to information about the compensation of the executives in your business or organization (the legal entity to which the DUNS number entered above belongs) through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986?

Yes / No (Circle one)

*If "Yes" is selected, visit <http://www.sec.gov/edgar.shtml> for reference.*

*If "No" is selected, answer (D).*

(D) **If "No" was selected in Question "C"**, complete the following information for the five (5) most highly compensated executives in your business or organization (the legal entity to which the DUNS number entered above belongs). Amount should reflect the Total Compensation Amount in the preceding completed Federal fiscal year in U.S. whole dollars.

**Sub-Awardee Names and Compensation of Most Highly Compensated Officers**

1. Name: \_\_\_\_\_ Amount: \$ \_\_\_\_\_
2. Name: \_\_\_\_\_ Amount: \$ \_\_\_\_\_
3. Name: \_\_\_\_\_ Amount: \$ \_\_\_\_\_
4. Name: \_\_\_\_\_ Amount: \$ \_\_\_\_\_
5. Name: \_\_\_\_\_ Amount: \$ \_\_\_\_\_



**City of Conway, Arkansas  
Resolution No. R-17-39**

**A RESOLUTION EXPRESSING THE WILLINGNESS OF THE CITY OF CONWAY TO UTILIZE FEDERAL-AID SURFACE TRANSPORTATION ATTRIBUTABLE PROGRAM FUNDS FOR AN UPGRADE SIGNALS ALONG OAK STREET**

Whereas, The City of Conway understands Federal-aid Transportation Funds are available at 80% federal participation and 20% local match to upgrade signals along Oak Street, and

Whereas, The City of Conway understands that Federal-aid Funds are available for this project on a reimbursable basis, requiring work to be accomplished and proof of payment prior to actual monetary reimbursement, and

Whereas, this project using federal funding, will be open and available for use by the general public and maintained by the applicant for the life of the project.

**NOW, THEREFORE, BE IT RESOLVED BY THE CITY COUNCIL OF THE CITY OF CONWAY ARKANSAS, THAT:**

Section I: The City of Conway will participate in accordance with its designated responsibility, including maintenance of this project.

Section II: Mayor Bart Castleberry is hereby authorized and directed to execute all appropriate agreements and contracts necessary to expedite the construction of the above stated project.

Section III: The Conway City Council pledges its full support and hereby authorizes the City of Conway to cooperate with Metroplan and the Arkansas State Highway and Transportation Department to initiate action to implement this project.

**THIS RESOLUTION** adopted this 8<sup>th</sup> day of August, 2017.

**Approved:**

**Bart Castleberry**

**Attest:**

**Michael O. Garrett  
City Clerk/Treasurer**



METROPLAN

SMART PLANNING MAKES SMART PLACES.

July 20, 2017

Mayor Bart Castleberry  
City of Conway  
1201 Oak St,  
Conway, AR 72032

Subject: City of Conway Signal Network

Dear Mayor Castleberry:

I am pleased to inform you that the Oak Street Signal Upgrade submitted to Metroplan for funding consideration was selected for federal funding (Metroplan Resolution 17-12). The grant amount of \$600,000 must be matched with \$150,000 in local funds. Funds expended to date, as well as any funds expended prior to a project agreement being established, are not eligible for reimbursement nor can contribute to the local match requirement.

This project is currently scheduled for obligation in FFY 2018 (by September 2018). By accepting this grant the city agrees to monitor progress of the project and ensure that the project meets this timeline.

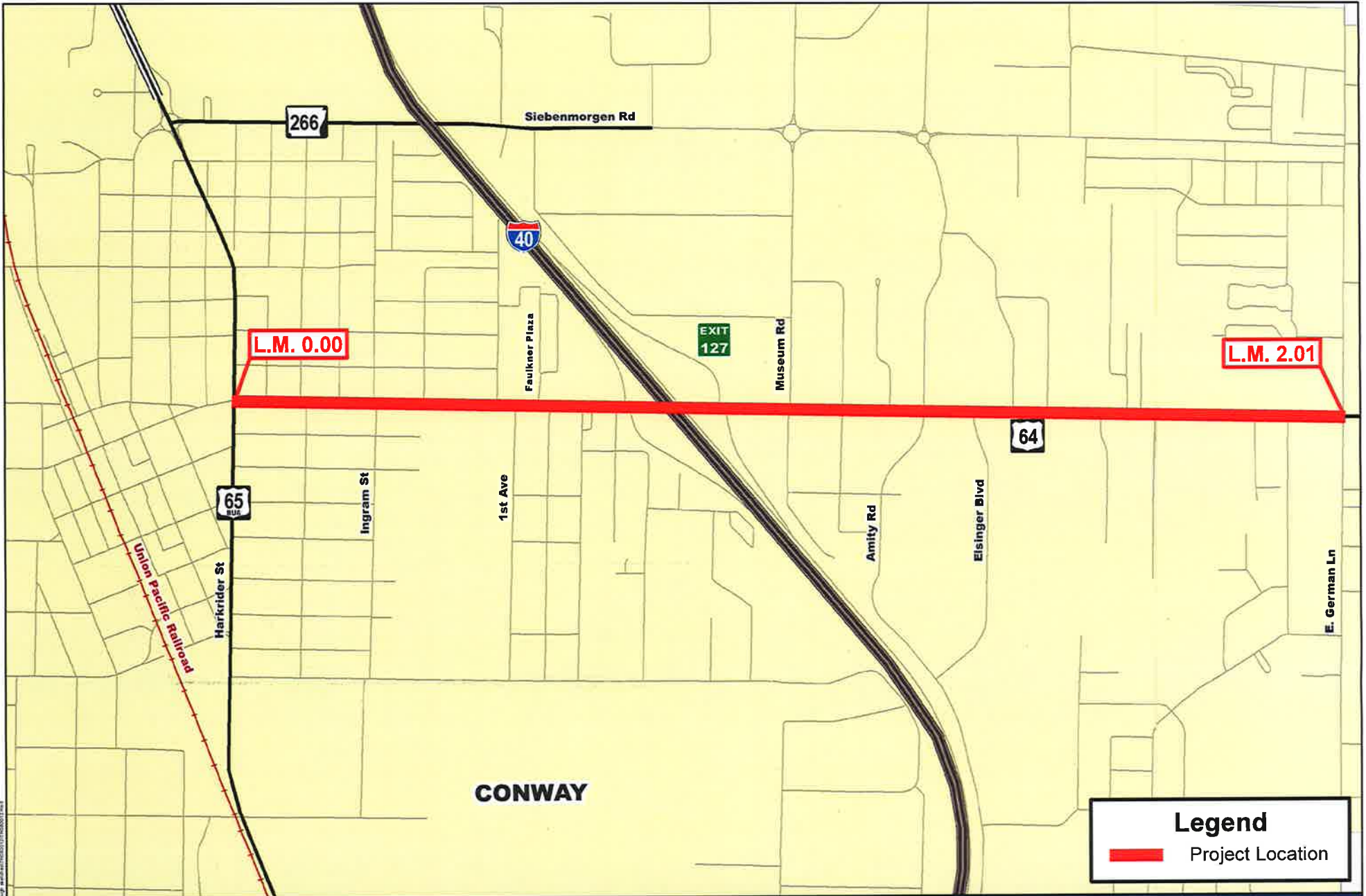
The next steps for the city to proceed with the project are (1) pass the attached resolution indicating the city's willingness to utilize federal funds on the project and (2) submit the resolutions to Metroplan and AHTD and request that a project agreement be set up. This project agreement will set the specific responsibilities of each agency.

I look forward to working with the city on this project and please contact me should you have any questions. I have also notified AHTD of the award and you may direct questions to Daniel Siskowski on the project.

Sincerely,

Casey Covington  
Deputy Director  
Metroplan

cc: Daniel Siskowski  
cc: Finley Vinson



**Legend**

Project Location

**Job 080XXX**  
**Hwy. 64 Traffic Ops. Impvts. (Oak St.) (Conway) (S)**  
 Hwy. 64, Sec. 9  
 Faulkner County

  
 PM: PS: dtsp090: 11/17/2017  
  
**TN080012**

  
 ARKANSAS DEPARTMENT OF TRANSPORTATION