

REQUEST FOR PROPOSALS

**MARICOPA ASSOCIATION OF GOVERNMENTS (MAG)
REGIONAL CONCEPT OF TRANSPORTATION OPERATIONS**

**Maricopa Association of Governments
March 17, 2002**

CONTENTS

<u>Section</u>	<u>Page</u>
PUBLIC NOTICE	3
SCOPE OF WORK	4
PROPOSAL REQUIREMENTS	12
PROPOSAL EVALUATION	15
ADMINISTRATIVE REQUIREMENTS	17
<u>APPENDIX A</u> ARIZONA ADMINISTRATIVE CODE R4-30-301	
<u>APPENDIX B</u> LABOR COST ALLOCATION BUDGET	
<u>APPENDIX C</u> PROPOSER'S REGISTRATION FORM	
<u>APPENDIX D</u> PROGRESS REPORT FORMAT	
<u>APPENDIX E</u> KEY DBE REGULATORY REQUIREMENTS	

PUBLIC NOTICE

REQUEST FOR PROPOSALS

MAG REGIONAL CONCEPT OF TRANSPORTATION OPERATIONS PLAN

The Maricopa Association of Governments (MAG) is requesting proposals from qualified consultants to develop a plan that will describe the Regional Concept of Transportation Operations. The resulting plan and concept will serve as the basis for future improvements to surface transportation operations in the MAG region. The estimated time frame for this project is twelve months from the date of the notice to proceed and the cost is not to exceed \$250,000.

Detailed proposal requirements may be obtained by contacting the MAG Office at the address indicated below or by visiting the MAG Website at: www.mag.maricopa.gov/Newpages/about.htm. A proposers conference will be held on March 29th, 2002 at 10:00 a.m. at the MAG Office, 302 North 1st Avenue, 2nd Floor, Saguaro Room. For further information, please contact Dr. Sarath Joshua, ITS & Safety Program Manager at (602) 254-6300 or email to sjoshua@mag.maricopa.gov.

Proposals will be accepted until 12:00 noon (Pacific Standard Time) on April 15, 2002, at MAG, Third floor, 302 North 1st Avenue, Phoenix, Arizona 85003.

SCOPE OF WORK

INTRODUCTION

The Maricopa Association of Governments (MAG) is requesting proposals from qualified consultants to develop a Regional Concept of Transportation Operations (RCTO) for the Phoenix metropolitan region. The need for developing a comprehensive RCTO was recognized during the development of the MAG Intelligent Transportation Systems (ITS) Strategic Plan Update, April 2001. The basic framework for developing a RCTO was established in the Plan. This project will involve a review of existing infrastructure, resources, policies and practices in surface transportation operations. It is anticipated that the project will lead to the establishment of a framework and institutional agreements that will lead to a higher level of integration and coordination among agencies responsible for transportation operations in the region. The project is expected to lead to an action plan that can produce both short-term results as well as recommend longer term strategies for the region.

PROJECT OBJECTIVES

Objective #1: Enhance regional mobility through improved regional transportation operations

Objective #2: Establish criteria to measure transportation system performance

- a. Identify/develop and adopt effective system performance measures - a starting set of measures with currently available data and a migration path for future
- b. Develop a process for monitoring and reporting system performance
- c. Identify resources required for implementation - personnel, equipment, communications, data collection and analysis
- d. Identify agency roles and responsibilities - Lead agency, oversight, products/reports frequency

Objective #3: Institutional Arrangements

- a. Document existing institutional practices related to transportation operations. Review existing inter-governmental agreements, Memorandums of Understanding and Policies, Guidelines and Procedures (PGP)
- b. Recommend possible improvements

Objective #4: Identify Goals for Operations

- a. Identify interim goals and dates
- b. Identify a five-year goal

PROPOSED TASKS

The CONSULTANT is encouraged to be creative in developing innovative approaches that will help achieve the objectives of this project. The CONSULTANT is urged to be as specific as possible when describing the activities that will be performed to support each task. A good understanding of the National and the Regional ITS Architectures is essential for achieving project objectives. The CONSULTANT is urged to make maximum use of charts, tables and drawings in technical memorandums produced for the project to insure conciseness and clarity and to minimize the amount of text required. In preparing a proposal for consideration by MAG, the CONSULTANT is encouraged to be innovative in responding to tasks.

Task 1: Establish Mission and Vision for ITS Concept of Operations

- 1.1 Develop a Vision and a Mission statement for the project.
- 1.2 Brief Transportation Review Committee (TRC) on the project and its goals and objectives

Deliverable: Vision and Mission statements developed through a facilitated discussion with the project's Technical Advisory Committee. Provide a formal briefing to the MAG Transportation Review Committee on the project and its goals.

Task 2: Document Existing Policies and Practices in the Region

- 2.1 Develop an inventory/listing of existing policies and practices related to transportation operations in the region
- 2.2 Review the practice of signal priority/preemption systems for emergency vehicles
- 2.3 Document any existing or planned regional and local policies on transit priority
- 2.4. Develop flow charts depicting the chain of command for existing operational practices/policies for ADOT, DPS and all MAG member agencies with freeway interchanges - Phoenix, Mesa, Tempe, Scottsdale, Chandler, Glendale, Goodyear, Peoria, Maricopa County
- 2.5 Describe existing institutional framework for coordination of regional transportation operations and management
- 2.6 Identify current annual funding amounts and sources that are used to support transportation operations and management
- 2.7 Conduct a mini-workshop to present draft findings

Deliverable: Technical Memorandum No. 1: Vision, Mission and Summary

of Existing Policies and Practices in Transportation Operations

Task 3: Identify the Best Practices for Each System

Identify and summarize the best operational practices for:

1. Freeway Management
2. Arterial Management
3. Incident Management (freeways & arterials)
4. Transit System Management
5. Highway-Rail Intersections
6. Emergency (transportation) Management
7. Regional Multimodal Traveler Information

Each summary shall highlight:

- Practices that may serve as good examples for the region.
- Practices that may be implemented in the region within 3 - 5 years

Deliverable: Technical Memorandum No. 2: Summary of Best Practices

Task 4: Identify and Define Operational Goals and Performance Measures

- 4.1 Define policies and practices to target, which could include:
 - Freeway Management
 - Arterial Management
 - Incident Management
 - Transit System Management
 - Highway-Rail Intersections
 - Emergency (transportation) Management
 - Regional Multimodal Traveler Information
- 4.2 Establish realistic operational goals -- for 3-yr & 5-yr horizons
- 4.3 Establish quantitative or qualitative performance measures for each operational goal
- 4.4 Define service or system maintenance/reliability goals
- 4.5 Establish quantitative or qualitative performance measures for each maintenance/reliability goal

Deliverable: Technical Memorandum No. 3: Goals & Performance Measures

Task 5: Recommend Policies and Practices Needed to Achieve Operational Goals

- 5.1 Identify areas where it may be essential to establish regional operations policies and practices for achieving the established goals
- 5.2 Recommend new and/or modifications to existing policies and practices to achieve the 3-year goals, if applicable

Deliverable: Technical Memorandum No.4: Policies and Practices Needed to Achieve Operational Goals

Task 6: Necessary Institutional Arrangements

- 6.1 Identify enhancements to current institutional arrangements, that may be necessary for achieving the operational goals
- 6.2 Identify existing and potential agreements joint operating, maintenance and procurement agreements if applicable
- 6.3 Recommend funding practices and levels of operations and maintenance

Deliverable: Technical Memorandum No. 4: Institutional Arrangements

Task 7: Identify Resources Required for Implementation

- 7.1 Define resources that will be required to successfully implement the concept of operations
- 7.2 Identify basic infrastructure required, such as a Traffic Management Center with connectivity to adjacent jurisdictions
- 7.3 Recommend minimum staffing levels that would be required for a small, medium and large city for different levels of operations
- 7.4 Develop a typical budget that would be needed to sustain the required levels of operations and maintenance of the system
- 7.5 Identify alternate resource solutions such as contracted services

Deliverable: Technical Memorandum No. 5: Resources Required for Implementation

Task 8: Develop a Multimedia Presentation

The product from this task will be utilized by ITS staff from member agencies to present the goals and objectives of this project to the agency management.

- 8.1 Develop a computer-based multimedia presentation that provides an overview of the RCTO, resource commitments required and potential benefits to the traveling public and stakeholder agencies.
- 8.2 Present a draft to the TAC for review and approval.
- 8.3 Provide 50 copies of the presentation on CD with appropriate labeling and covers.

Deliverable: A Multimedia Presentation on the Regional Concept of Transportation Operations.

Task 9: Develop a Memorandum of Understanding on the RCTO

- 9.1 Develop a Draft Memorandum of Understanding on the RCTO to indicate regional buy-in and support for the RCTO and the commitment to provide required resources to implement it
- 9.2 Review and approval of Draft MOU by the signatories
- 9.3 Coordinate with MAG and member agencies in the execution of the MOU

Deliverable: The Memorandum of Understanding on the Regional Concept of Transportation Operations

Task 10: Transportation Operations Manual

This task will produce a key product from this project that will assist agencies implement the recommendations. The proposed approach for developing the manual must consider the multimodal nature of the transportation system and also incorporate practical transition paths for reaching operational goals.

- 10.1 Develop the outline for a Regional Transportation Operations Manual
- 10.2 Develop two chapters of this Operations Manual:
 - 10.2.1 Coordination of traffic operations at the freeway and arterial interface;
 - 10.2.2 Corridor traffic management.

Deliverable: Transportation Operations Manual Outline & Initial Chapters

Task 11: Final Report, Executive Summary and Presentations

Develop a Final Report and a four-page Executive Summary. Prepare and deliver three formal presentations on the project results to the MAG Transportation Review Committee, MAG Management Committee and MAG Regional Council.

Deliverable: Regional Concept of Transportation Operations, Executive Summary

Due in 12 months from project kick-off meeting. The presentations may be scheduled beyond the 12 month project schedule.

PROJECT MANAGEMENT

The CONSULTANT's Project Manager and other key team members will participate in all project oversight meetings. The Project Manager for MAG is Dr. Sarath Joshua. Project oversight will be provided through a Technical Advisory Committee (TAC) that will consist of the MAG Project Manager, MAG ITS Committee and other key ITS stakeholders in the region. Draft versions of all project deliverables will be provided to the MAG Project Manager for review and approval prior to distribution at TAC meetings. The TAC will review and comment on each of the project deliverables. TAC meetings will be held at 10:30 AM following the monthly MAG ITS Committee meetings. MAG ITS Committee meetings will be scheduled for 9 AM on the first Wednesday of each month. All TAC meetings will be held at the downtown MAG office building. The CONSULTANT will also be required to meet and/or communicate with the MAG Project Manager on an as needed basis for project coordination purposes.

DELIVERABLE PRODUCTS

All anticipated project deliverables are listed under project task descriptions. Each Technical Memorandum(TM) should present information in a succinct manner utilizing tables, matrices and drawings. A draft TM will be submitted in electronic format to the MAG project manager for review at least a week prior to its presentation to the TAC. Any comments received from the MAG project manager will be incorporated into the TM by the CONSULTANT before hard copies are distributed to the TAC. A minimum of two-weeks will be provided for review of draft TMs by TAC members. Comments received during the review process will be incorporated into the TM by the CONSULTANT. Each finalized TM document will be made available to the TAC at the following meeting.

Thirty (30) copies of all draft and final versions of TMs shall be delivered for distribution at TAC meetings. One electronic version of all final products will be delivered to the MAG project manager. The format for electronic text files shall be Microsoft Word 2000.

Draft Final Report & Draft Executive Summary

Each Technical Memorandum will be condensed to form a chapter in the Draft Final Report. A four-page Draft Executive Summary will be produced. A three-week period for TAC review of the Draft Final Report and the Draft Executive Summary will be included in the proposed project schedule.

Executive Summary and Presentations

One hundred (150) copies of the finalized Executive Summary will be delivered at least two weeks prior to the first formal presentation.

Final Report and Electronic Documents

Upon approval of the Final Report by MAG Regional Council the following shall be to MAG delivered within 10-days.

One camera-ready original of the Final Report

Fifty (50) copies of the Final Report

One copy of the Final Report in specified electronic format

30 copies of a CD containing all finalized project documents & project presentations

PROPOSAL REQUIREMENTS

PROJECT COST AND SCHEDULE

The estimated time frame for this project is twelve months from the date of the notice to proceed and the project cost is not to exceed \$250,000. The date of the notice to proceed is anticipated to be August 1, 2002. The Final Report shall be submitted twelve months from the date of the notice to proceed.

PROPOSAL DELIVERY

1. Ten (10) copies of the proposal must be submitted by 12:00 noon (Pacific Standard Time) on April 15, 2002 to:

Maricopa Association of Governments
Attention: Dr. Sarath Joshua
MAG ITS & Safety Program Manager
302 North 1st Avenue, Third Floor
Phoenix, Arizona 85003

Timely receipt of proposals will be determined by the date and time the proposal is received at the above address. Therefore, hand delivery is encouraged to assure timely receipt.

All material submitted in response to this solicitation becomes the property of MAG and will not be returned.

2. Any questions regarding this Request for Proposals should be directed to the attention of Dr. Sarath Joshua at MAG, 302 North 1st Avenue, Suite 300, Phoenix, Arizona 85003, or by telephone at (602) 254-6300. The MAG fax number is (602) 254-6490 and questions can be posed electronically at sjoshua@mag.maricopa.gov
3. A proposers conference for the project has been scheduled for Friday, March 29, 2002 at 10:00 a.m. in the Saguaro Room at the MAG Office, 302 North 1st Avenue, Phoenix, Arizona.

PROPOSAL CONTENT

It is required that the proposal:

1. Be limited to a maximum length of 75 pages, including cover letter, résumés, and appendices.
2. Be prefaced by a brief statement describing the proposer's organization and outlining its approach to completing the work required by this solicitation. This statement should illustrate the proposer's overall understanding of the project.
3. Contain a work plan which concisely explains how the consultant will carry out the objectives of the project. In the work plan, the proposer should describe each project task and proposed approach to the task as clearly and thoroughly as possible.
4. Include a preliminary schedule for the project in bar-chart format. Indicate all work plan tasks and their durations. The schedule shall clearly identify project deliverable dates and TAC meetings.
5. Contain a staffing plan for the project. The plan should include the following in table format:
 - a. A project organization chart, identifying the project manager.
 - b. Names of key project team members and/or subconsultants. Only those personnel who will be working directly on the project should be cited.
 - c. The role and responsibility of each team member.
 - d. Percent effort (time) of each team member for the contract period.
 - e. The role and level of MAG technical staff support, if any.
6. The Disadvantaged Business Enterprise (DBE) participation goal for this project is 11 percent. DBEs proposed are required to be certified by ADOT or the City of Phoenix. Each proposal shall include the following information to meet the DBE requirements:
 - a. A clear and concise description of the work that each DBE will perform; and
 - b. The dollar amount of the participation of each DBE firm participating;
or

- c. If the 11 percent goal is not met, evidence of good faith efforts to meet the goal.
7. Include résumés for major staff members assigned to the project. These résumés should focus on their experience in this type of project.
8. Each firm submitting a proposal is required to certify that it will comply with, in all respects, the rules of professional conduct set forth in A.C.R.R. R4-30-301 (see Appendix A), which is the official compilation of Administrative Rules and Regulations for the State of Arizona.
9. Include proposer's recent experience (last five years) in performing work similar to that anticipated herein. This description shall include the following:
 - a. Date of project.
 - b. Name and address of client organization.
 - c. Name and telephone number of individual in the client organization who is familiar with the project.
 - d. Short description of project.
 - e. Consultant team members involved and their roles.
10. A labor cost allocation budget formatted as noted in Appendix B.
11. All firms proposing on this project will be required to include a "Proposer's Registration Form" (See Appendix C) in the submitted proposal. In addition, a "Proposer's Registration Form" is required to be included for each subcontractor proposed for this project
12. Each firm shall document within its proposal any potential conflicts of interest. A conflict of interest shall be cause for disqualifying a CONSULTANT from consideration. A potential conflict of interest includes, but is not limited to:
 - a. Accepting an assignment where duty to the client would conflict with the CONSULTANT'S personal interest, or interest of another client.
 - b. Performing work for a client or having an interest which conflicts with this contract.
 - c. Employing personnel who worked for MAG or one of its member agencies within the past three years.

MAG will be the final determining body as to whether a conflict of interest exists.

PROPOSAL EVALUATION

1. The following evaluation criteria will be used by the selection panel to evaluate and rank proposals:

CRITERIA	POINTS
Demonstrated understanding of the project undertaking	15
Clarity of proposal, realistic approach, technical soundness, and enhancements to elements outlined in this Request for Proposals	25
Experience of Project Manager and other project personnel in similar projects. Only those personnel assigned to work directly on the project should be cited.	25
Proven track record in this area of study. Proposers should identify the principal people who worked on past projects and the amount of time they devoted to the work effort.	10
Availability of key personnel throughout the project effort.	10
Ability and commitment to complete the project within the specified time period, meet all deadlines for submitting products, and insure quality control.	10
Recognition of work priorities and flexibility to deal with change and contingencies	5
TOTAL	100

2. On the basis of the above evaluation criteria, a few selected firms submitting proposals may be interviewed prior to the selection of a CONSULTANT. Firms selected for interviews will be notified no less than seven days prior to the interview. MAG strongly suggests that the project manager and key member of the consultant team be present at the interview.
3. The Maricopa Association of Governments may conduct discussions with offerors who submit proposals determined to be reasonably susceptible of being selected.

4. The Maricopa Association of Governments reserves the right to:
 - a. Cancel this solicitation
 - b. Reject any and all proposals and re-evaluate
 - c. Select the proposal(s) that, in its judgment, will best meet its needs.
 - d. Negotiate a contract that covers selected parts of a proposal, or a contract that will be interrupted for a period or terminated for lack of funds.

ADMINISTRATIVE REQUIREMENTS

1. This request for proposals is for a cost-reimbursement plus fee contract.
2. During the course of the project, a monthly progress report must be submitted within ten (10) working days after the end of each month until the final report is submitted. Each report should include a narrative of the activities performed during the month, an estimated percent complete for each project task, monthly and cumulative costs by task, activities of any subcontractors, payments to any subcontractors, a discussion of any notable issues or problems being addressed, and a discussion of anticipated activities for the next month (see Appendix B for format).
3. MAG shall retain ten percent (10%) of the lump sum amount, withheld from each invoice, as final payment until completion of the project to the satisfaction and acceptance of work. Final payment shall be made after acceptance of the final product and invoice.
4. An audit examination of the CONSULTANT'S records may be required.
5. The firm that is selected will be required to comply with Titles VI and VII of the Civil Rights Act of 1964. The contractor will comply with Executive Order 11246, entitled Equal Employment Opportunity, as amended by Executive Order 11375 and as supplemented in Department of Labor Regulations (41 CFR Part 60). The contractor will also be required to comply with all applicable laws and regulations of the U.S. Department of Transportation.
6. The firm selected will be required to comply with MAG insurance requirements, which may include: Workmen's Compensation, Architects and Engineers Professional Liability Insurance, Comprehensive General Liability Insurance, Business Automobile Liability Insurance, and Valuable Papers Insurance.
7. The firm selected is required document any potential conflicts of interest during the contract period. A conflict of interest shall be cause for disqualifying a CONSULTANT from consideration or terminating a contract if the conflict should occur after the contract is made. A potential conflict of interest includes, but is not limited to:
 - a. Accepting an assignment where duty to the client would conflict with the CONSULTANT'S personal interest, or interest of another client.
 - b. Performing work for a client or having an interest which conflicts with this contract.

- c. Employing personnel who worked for MAG or one of its member agencies within the past three years.

MAG will be the final determining body as to whether a conflict of interest exists.

- 8. The firm that is selected will be required to comply with MAG Disadvantaged Business Enterprise (DBE) Program requirements. The annual overall DBE goal is 11 percent. See Appendix E for a summary of “MAG’s Key DBE Regulatory Requirements”. A complete copy of MAG’s DBE Program is available on the MAG website at www.mag.maricopa.gov.

APPENDIX A

ARIZONA ADMINISTRATIVE CODE R4-30-301

ARTICLE 3. REGULATORY PROVISION

R4-30-301. Rules of professional conduct:

- A. All registrants shall comply substantially with the following standards of professional conduct:
1. A registrant shall not submit any materially false statements or fail to disclose any material facts requested in connection with his application for certification.
 2. A registrant shall not engage in fraud, deceit, misrepresentation, or concealment of material facts in advertising, soliciting, or providing professional services to members of the public.
 3. A registrant shall not knowingly sign, stamp, or seal any plans, drawings, blueprints, land surveys, reports, specifications, or other documents not prepared by the registrant or his bona fide employee.
 4. A registrant shall not knowingly commit bribery of a public servant as proscribed in A.R.S. 13-2602, or knowingly commit commercial bribery as proscribed in A.R.S. 13-2605, or violate any Federal statute concerning bribery.
 5. A registrant shall comply with all Federal, State, and local building, fire, safety, real estate, and mining codes, and any other laws, codes, ordinances, or regulations pertaining to the registrant's professional practice.
 6. A registrant shall not violate any State or Federal criminal statute involving fraud, misrepresentation, embezzlement, theft, forgery, or breach of fiduciary duty, where the violation is related to the registrant's professional practice.
 7. A registrant shall apply the technical knowledge and skill which would be applied by other qualified registrants who practice the same profession; a contemporary "Manual of Surveying Instructions" issued by the Bureau of Land Management, United States Department of Interior and in effect prior to May 23, 1983 to the extent applicable to that professional engagement.
 8. A registrant shall not accept an assignment where the duty to a client or the public would conflict with the registrant's personal interest or the interest of another client without full disclosure of all material facts of the conflict to each person who might be related to or affected by the project or engagement in question.
 9. A registrant shall not accept compensation for services related to the same project or professional engagement for more than one party without making full disclosure to all such parties and obtaining the express written consent of

all parties involved.

10. Except as provided in Paragraph 11 of this rule, a registrant shall not accept any professional engagement or assignment outside his professional registration unless:
 - a. He is qualified by education, technical knowledge, or experience to perform such work, and
 - b. Such work is both necessary and incidental to the work of his profession on that specific engagement or assignment.

A registered professional engineer may accept professional engagements or assignments in branches of engineering other than that branch in which he has demonstrated proficiency by registration, but only if he has the education, technical knowledge, or experience to perform such engagements or assignments.

11. Except as otherwise provided by law, code, ordinance, or regulation, a registrant may act as the prime professional for a given project and select collaborating professionals; however, the registrant shall perform only those professional services for which he is qualified by registration to perform and shall seal and sign only the work prepared by him or by his bona fide employee working under his direct supervision.
12. A registrant shall make full disclosure to all parties concerning:
 - a. Any transaction involving payments to any person for the purpose of securing a contract, assignment, or engagement, except for actual and substantial technical assistance in preparing the proposal; or
 - b. Any monetary, financial, or beneficial interest the registrant may hold in a contracting firm or other entity providing goods or services, other than the registrant's professional services, to a project or engagement.
13. A registrant shall not solicit, receive, or accept compensation from material, equipment, or other product or services suppliers for specifying or endorsing their products, goods, or services to any client or other person without full written disclosure to all parties.

8/31/83 Supp. 834

APPENDIX B

LABOR COST ALLOCATION BUDGET

SAMPLE

CONSULTANTS											
Person	Total Hourly Rate	1	2	3	4	5	6	7	8	Total Hours	Total Cost
(NAME)	\$0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	\$00.00
(NAME)	\$0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	\$00.00
(NAME)	\$0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	\$00.00
(NAME)	\$0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	\$00.00
Total Hours		0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	\$00.00
Total Cost		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	
Hours Inception to Date		0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	

REIMBURSABLE EXPENSES		EXPENSES BY TASK									
Description		1	2	3	4	5	6	7	8	Total Cost	
Office Supplies		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Computer Time		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Travel		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Miscellaneous		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
*any other category as needed (e.g., aerial photos)		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Total Reimbursable Expenses		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00

SUBCONTRACTORS		HOURS BY TASK									
Company		1	2	3	4	5	6	7	8	Total Cost	% of Grand Total
(NAME)		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	
(NAME)		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	

Total Cost		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	
Hours Inception to Date		0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	

GRAND TOTAL		TOTAL COSTS BY TASK									
Description		1	2	3	4	5	6	7	8	Total	
Consultant Cost		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	
Reimbursable Expenses		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	
Subcontractors		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	
Sub-Total		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	
Fee@	0.10	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	
GRAND TOTAL		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	

APPENDIX C

PROPOSER'S REGISTRATION FORM

PROPOSER'S REGISTRATION FORM

All firms proposing as prime contractors or subcontractors on Maricopa Association of Governments (MAG) projects are required to be registered. **Please complete this form and return it with your proposal.**

If you have any questions about this registration form, please call Becky Kimbrough, Fiscal Services Manager, (602) 254-6300.

1. GENERAL INFORMATION:

Name of Firm: _____

Street Address:
City, State, ZIP _____

Mailing Address:
City, State, ZIP _____

Telephone Number: _____
Fax Number: _____
E-mail address: _____
Web address: _____
Year firm was established: _____

Check all that apply:

Is this firm a prime consultant? _____
Is this firm a sub-consultant? _____ Identify specialty: _____
Is this firm a certified DBE? _____ If so, by whom? _____

Is this firm currently debarred? _____
Is this firm currently the subject of debarment proceeding? _____

2. FINANCIAL INFORMATION

Firm's annual gross receipts (average of last 3 years):

_____ <\$300,000
_____ \$300,000 - \$599,999
_____ \$600,000 - \$999,999
_____ \$1,000,000 - \$4,999,999
_____ >\$5,000,000

Information will be maintained as confidential to the extent allowed by federal and state law.

The undersigned swears that the above information is correct. Any material misrepresentation may be grounds for terminating any contract which may be awarded and initiating action under federal and state laws concerning false statements.

Name, Title

Date

APPENDIX D

PROGRESS REPORT FORMAT

PROJECT COSTS BY TASK FORMAT

(Consultant's Letterhead)

TIN 23-6016952 (TAXPAYER ID NUMBER)

IN ACCOUNT WITH: Maricopa Association of Governments
302 North First Avenue, Suite 300
Phoenix, Arizona 85003

ATTENTION: Dorothy Gillette, MAG Fiscal Services

PROFESSIONAL SERVICES: (NAME OF PROJECT)
Contract # ____ dated (MM/DD/YY)

Project Costs by Task
(DATE OF INVOICE)

Task Number	Description	Estimated Task Budget	Estimated Completion To Date		Amount Previously Billed	Amount This Invoice
			Percentage	Amount		
1	Data Collection	\$0.00	0%	\$0.00	\$0.00	\$0.00
2	Inventory	\$0.00	0%	\$0.00	\$0.00	\$0.00
3	Forecasts	\$0.00	0%	\$0.00	\$0.00	\$0.00
4	Demand/Capacity Analysis and Facility Requirements	\$0.00	0%	\$0.00	\$0.00	\$0.00
5	Alternatives	\$0.00	0%	\$0.00	\$0.00	\$0.00
6	Evaluation of Alternatives	\$0.00	0%	\$0.00	\$0.00	\$0.00
7	Recommendations	\$0.00	0%	\$0.00	\$0.00	\$0.00
8	Implementation	\$0.00	0%	\$0.00	\$0.00	\$0.00
	TOTAL BUDGET	\$0.00	0%	\$0.00	\$0.00	\$0.00

NOTE: The total amount billed for each task in the task budget cannot exceed 100% of the original budget.

(Hours and Costs by Task Format)

INVOICE #3
PERIOD: March 1999
COSTS AND HOURS BY TASK

CONSULTANTS											
Person	Direct Labor Hourly Rate	1	2	3	4	5	6	7	8	Total Hours	Total Cost
(NAME)	\$0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	\$0.00
(NAME)	\$0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	\$0.00
(NAME)	\$0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	\$0.00
(NAME)	\$0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	\$0.00
Total Hours		0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	\$0.00
Total Cost		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	
Hours Inception to Date		0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	

EXPENSES BY TASK										
Description	1	2	3	4	5	6	7	8	Total Cost	
Postage	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Photocopy/Printing	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Travel	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Telephone	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Miscellaneous	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Aerial Photos	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Total Reimbursable Expenses	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00

SUBCONTRACTORS											
Person	Hourly Rate	HOURS BY TASK								Total Hours	Total Cost
		1	2	3	4	5	6	7	8		
(NAME)	\$0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	\$0.00
(NAME)	\$0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	\$0.00
Total Hours		0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	\$0.00
Total Cost		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	
Hours Inception to Date		0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	

GRAND TOTAL											
Description		TOTAL COSTS BY TASK								Total	
		1	2	3	4	5	6	7	8		
Consultant Cost		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Consultant Overhead@	1.80	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Reimbursable Expenses		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Subcontractors		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Sub-Total		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Fee@	0.10	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
GRAND TOTAL		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00

PROGRESS REPORT FORMAT - SAMPLE

(Consultant's Letterhead)

April 5, 2000

(MAG Project Manager)
Maricopa Association of Governments
302 North First Avenue, Suite 300
Phoenix, Arizona 85003

Re: Progress Report No. 3 and Invoice for the Period of March 2000

For Each Task, the consultant is to provide the percent of work completed to date, a narrative describing the work accomplished, data obtained, problems encountered, meetings held and reports and/or data produced. It is the responsibility of the consultant to document that the work accomplished for each task during the reporting period is commensurate with the amount of money billed for the task in the invoice.

The narrative describing the work accomplished should be of sufficient detail to enable the Project Manager to clearly understand the progress on the task during the reporting period. Wherever possible, the consultant should submit along with the progress report appropriate documentation of work accomplished, such as partial or complete draft technical reports or working papers, etc.

TASK 1 - DATA COLLECTION

Percent of Work Completed: 100 percent.

Work Accomplished: A database in both hard copy and electronic format was developed and a methodology for keeping the database current was established.

Data Obtained: Information on the transportation facilities was secured for each of the facilities in the study area. The data included, but was not limited to: name, location, and current and historical traffic levels.

Meetings Held: The following meetings were held in connection with the data collection effort:

March 21, 2000, with the Advisory Committee to obtain input on the data collection process.

March 23, 2000, with MAG staff to review comments on preliminary database.

March 25, 2000, with the public and special interest groups to obtain input on the distribution of the database.

Reports or Data Produced: A database in electronic format was produced and provided to MAG staff on March 29, 2000.

TASK 2 - INVENTORY

Percent of Work Completed: 100 percent.

Work Accomplished: A facilities inventory was completed, and the data obtained in Task 1 were compiled into a Draft Inventory Technical Report for distribution to the Advisory Committee.

Data Obtained: See Task 1.

Meetings Held: The following meetings were held:

March 1, 2000, met with MAG staff to finalize the outline for the Inventory Technical Report.

March 10, 2000, met with the MAG project manager to obtain suggestions on methods for comparing facility information.

Reports or Data Produced: A draft Inventory Technical Report was produced and distributed to members of the Advisory Committee for review and comment.

TASK 3 - FORECASTS

Percent of Work Completed: 100 percent.

Work Accomplished: Forecasts of travel demand on inventoried facilities were prepared for 2000, 2010 and 2020. The forecasts were consistent with County control totals reviewed by the Advisory Committee last month. The forecasts included a breakdown by facility type.

Data Obtained: See Task 1.

Meetings Held: March 21, 2000, met with MAG staff to discuss comments on preliminary forecast results.

Reports or Data Produced: A draft forecasts report was produced and distributed to members of the Advisory Committee for review and comment.

TASK 4 - DEMAND/CAPACITY ANALYSIS AND FACILITY REQUIREMENTS

Percent of Work Completed: 60 percent.

Work Accomplished: An hourly capacity was computed for each of the inventoried facilities using the federal guidance provided by MAG staff.

Data Obtained: See Task 1.

Meetings Held: A meeting was held on March 25, 2000 to discuss the differences between the capacity calculations for this study versus previous studies.

Reports or Data Produced: None. However, a draft set of capacity estimates is enclosed documenting the assumptions and data input used to prepare the estimates.

TASK 5 - ALTERNATIVES

Percent of Work Completed: 25 percent.

Work Accomplished: Other regional plans were examined to determine the type of alternatives that were used to meet future demand.

Data Obtained: Regional plans from San Diego, Los Angeles, Denver, Seattle Tucson and Chicago were collected.

Meetings Held: On March 18, 2000, a meeting was held with planners for the Pima Association of Governments to discuss alternatives.

Reports or Data Produced: None.

TASK 6 - EVALUATION OF ALTERNATIVES -- Work on this task has not begun.

TASK 7 – RECOMMENDATIONS -- Work on this task has not begun.

TASK 8 – IMPLEMENTATION -- Work on this task has not begun.

Problems Encountered:

Some of the capacity calculations prepared for the study were different from the capacity calculations used in previous studies. These differences were discussed and resolved at a meeting held with MAG staff on March 25, 2000.

Invoice: The enclosed invoice is for the third progress payment of \$17,679.20. The total amount billed to date is \$48,250.00.

Sincerely,

Project Manager Name
Project Manager Title

APPENDIX E

MAG'S KEY DBE REGULATORY REQUIREMENTS

**MAG'S KEY DBE REGULATORY REQUIREMENTS
SUMMARY OF MAG'S KEY DISADVANTAGED BUSINESS ENTERPRISE
(DBE) PROGRAM REQUIREMENTS FOR CONSULTANT CONTRACTS**

The Disadvantaged Business Enterprise (DBE) requirements in the Code of Federal Regulations Title 49, Part 26 will apply to this contract. A complete copy of MAG's DBE Program is available on the MAG website at: www.mag.maricopa.gov. Please contact Becky Kimbrough, DBE Liaison Officer, at 602-254-6300 with any questions.

DBE Participation Goal and Reporting:

The DBE participation goal for this contract is 11 percent of the contract award. DBEs used for this contract are required to be certified by the Arizona Department of Transportation or the City of Phoenix prior to the award of the contract. A list of Certified DBE organizations is available at the Civil Rights Office of the Arizona Department of Transportation (602-712-7761) or the City of Phoenix, Equal Opportunity Department (602-262-6790).

The CONSULTANT will be required to report monthly on:

- (1) the utilization of any subcontractors (DBE and Non-DBEs), number of hours worked, and costs incurred; and
- (2) any payments made to subcontractors (DBEs and non-DBEs).

Contractor and Subcontractor Assurance:

MAG will incorporate into each contract it signs with a Prime Contractor, and require in each subcontract (that a Prime Contractor signs with a Subcontractor), the following assurance:

"The Contractor, Subrecipient or Subcontractor shall not discriminate on the basis of race, color, national origin, or sex in the performance of this contract. The contractor shall carry out applicable requirements of 49 CFR 26 in the award and administration of USDOT-assisted contracts. Failure by the contractor to carry out these requirements is a material breach of this contract, which may result in the termination of this contract or such other remedy as MAG deems appropriate."

Prompt Payment Provision:

"The Prime Contractor will pay Subcontractors for satisfactory performance of contracts no later than fourteen (14) calendar days from the date that the Prime Contractor receives payment from MAG. The Prime Contractor will also return retention payments to the Subcontractor within fourteen (14) calendar days from the date of satisfactory completion of work."

Prime Contractors Shall:

- Provide the Subcontractor with the name, address and phone number of the person to whom all invoices/billings and statements shall be sent.
- Pay Subcontractors and suppliers within fourteen (14) days of receipt of payment from MAG.
- Stipulate the reason(s) in writing to the subcontractor and to MAG for not abiding by the prompt payment provision. Some possible reasons include:
 1. Failure to provide all required documentation
 2. Unsatisfactory job performance
 3. Disputed work
 4. Failure to comply with other material provisions of the contract
 5. Third-party claims filed or reasonable evidence that a claim will be filed
 6. Reasonable evidence that the contract cannot be completed for the unpaid balance of the contract sum or a reasonable amount for retainage.

Subcontractors Shall:

1. Submit invoices or billing statements to the Prime Contractor's designated contact person in an appropriate format and in a timely manner. The format and the timing of billing statements shall be specified in the contract(s) between the Prime Contractor and the Subcontractor(s).
2. Notify MAG in writing of any potential violation of the prompt payment provision.

MAG will implement appropriate mechanisms to ensure compliance with the requirements of all program participants.

The mechanisms MAG may use, include, but are not limited to:

1. MAG will notify Subcontractors (DBE and Non-DBEs) of the Prime Contractor's responsibility for prompt payment and encourage Subcontractors to notify MAG in writing with any possible violations to the prompt payment mechanism.
2. Withholding payment from Prime Contractors that do not comply with the prompt payment provision noted above, where it has been determined by the MAG DBE Liaison Officer that delay of payment to the Subcontractor is not justified.
3. Stopping work on the contract until compliance issues are resolved.
4. Terminating the contract.