

REQUEST FOR PROPOSALS

MARICOPA ASSOCIATION OF GOVERNMENTS (MAG)

**HASSAYAMPA FRAMEWORK STUDY
FOR THE WICKENBURG AREA**



April 23, 2009

CONTENTS

<u>Section</u>	<u>Page No.</u>
PUBLIC NOTICE	1
SCOPE OF WORK	1
PROPOSAL REQUIREMENTS	7
PROPOSAL EVALUATION AND SELECTION PROCESS	9
ADMINISTRATIVE REQUIREMENTS	10
APPENDIX A: ARIZONA ADMINISTRATIVE CODE R4-30-301	
APPENDIX B: LABOR COST ALLOCATION BUDGET	
APPENDIX C: PROPOSER'S REGISTRATION FORM	
APPENDIX D: MAG'S KEY DISADVANTAGED BUSINESS ENTERPRISE (DBE) PROGRAM REQUIREMENTS FOR CONSULTANT CONTRACTS	
APPENDIX E: PROGRESS REPORT FORMAT	

PUBLIC NOTICE

REQUEST FOR PROPOSALS:

HASSAYAMPA FRAMEWORK STUDY FOR THE WICKENBURG AREA

The Maricopa Association of Governments (MAG) is requesting proposals from qualified consultants for an area transportation study the Hassayampa Framework Study for the Wickenburg Area for the northwest Maricopa County corridor from approximately the SR-74/Carefree Highway alignment to the south, encompassing the Town of Wickenburg planning area, north to the US-93/SR-71 junction, 459th Avenue to the west, and to the extension of the proposed Turner Parkway (267th Avenue) to the east. The study area includes the northern planning area of the Town of Buckeye, the Town of Wickenburg planning area, the City of Surprise, and unincorporated portions of Maricopa and Yavapai Counties. This study will develop a transportation framework for the study area that will ultimately be implemented at multiple jurisdictional levels. The project is estimated to take twelve months to complete from the date of the notice to proceed at a cost not to exceed \$75,000.

Detailed proposal requirements may be obtained by contacting the MAG Office at the address indicated below or may be downloaded from <http://www.mag.maricopa.gov/>, under "Employment/RFP's" then "RFPs/RFQs" For further information, please submit questions in writing by fax to the attention of Tim Strow (Project Manager) at (602) 254-6490, or by e-mail to tstrow@mag.maricopa.gov.

Proposals will be accepted until 10:00 a.m. (Mountain Standard Time) on Tuesday, June 2, 2009, at MAG, 302 North 1st Avenue, Suite 300, Phoenix, Arizona 85003.

**Maricopa Association of Governments Request for Proposals
HASSAYAMPA FRAMEWORK STUDY FOR THE WICKENBURG AREA**

SCOPE OF WORK

Introduction

The Maricopa Association of Governments (MAG) is requesting proposals from qualified consultants for the Hassayampa Framework Study for the Wickenburg Area.

Background

The Maricopa Association of Governments is the designated MPO for transportation planning for the metropolitan Phoenix area. MAG is also the designated Air Quality Planning Agency for the region. The MAG membership consists of the 25 incorporated cities and towns within Maricopa County and the contiguous urbanized area, the Gila River Indian Community, the Salt River Pima-Maricopa Indian Community, Fort McDowell Yavapai Nation, Maricopa County, the Arizona Department of Transportation (ADOT), and the Citizens Transportation Oversight Committee (CTOC). ADOT and CTOC serve as ex-officio members for transportation-related issues.

Since adopting the MAG Regional Transportation Plan (RTP) in 2003, and passing of Proposition 400 by the voters of Maricopa County in 2004, development plans for the Hassayampa Valley have been realized at a much higher pace than previously anticipated. The portion in the Town of Buckeye alone represents more than 160 square miles of desert in one of the last large pieces of undeveloped land in the metropolitan Phoenix area. Population projections for the Hassayampa Valley estimate it will be home to approximately 300,000 residents by 2030, and more than 1,000,000 people by its build-out.

In anticipation of the intense growth in population and employment over the next 30 to 50 years in the Hassayampa Valley, MAG and its funding partners completed the Hassayampa Valley Transportation Framework Study, which was accepted by the MAG Regional Council on February 27, 2008. The study area was bounded by the Gila River on the south, a north-south projection of the SR-303L/Estrella Freeway on the east, the SR-74 /Carefree Highway alignment on the north, and 459th Avenue on the west. The Hassayampa Valley Transportation Framework preferred alternative developed a roadway network in the study area, developed and prioritized operational and safety improvements to preserve I-10, and formed a transportation framework for regional connections and roadways within the Hassayampa Valley.

MAG is requesting proposals from consultants for an amendment to the Interstate 10/Hassayampa Valley Transportation Framework Study, where a study would extend the frameworks northern boundary from the SR-74/Carefree Highway alignment, to encompass the Town of Wickenburg planning area and north to the US-93/SR-71 junction in Yavapai County. The study will primarily focus upon the Hassayampa Freeway and its ultimate connection to US-93, the Wickenburg Bypass, US-93/SR-89 Junction, Hidden Waters Parkway, US-60/Grand Avenue corridors, and their connections to the Town of Wickenburg. In addition, the proposed study will potentially evaluate additional corridors in the extended framework planning area that may be needed to facilitate build-out travel demand.

This project will develop a transportation framework for the study area that will ultimately be implemented at multiple jurisdictional levels. The project is estimated to take twelve-months to complete from the notice to proceed at a cost not to exceed \$75,000.

Funding for the study is being provided by MAG with contributions by the Town of Wickenburg. The study will be conducted in cooperation with the Arizona Department of Transportation, Federal Highway Administration, Maricopa County Transportation Department, Town of Buckeye, and the City of Surprise.

This Request for Proposal suggests that the study area for this project be bounded by the SR-74/Carefree Highway alignment, to encompass the Town of Wickenburg planning area, north to the US-93/SR-71 junction in Yavapai county, 459th Avenue on the west, and the extension of the proposed Turner Parkway (267th Avenue) to the east. MAG recognizes the possibility for these boundaries to change as this project progresses.

**Maricopa Association of Governments Request for Proposals
HASSAYAMPA FRAMEWORK STUDY FOR THE WICKENBURG AREA**

PRELIMINARY SCOPE OF SERVICES

MAG and the Town of Wickenburg developed the following preliminary Scope of Work for developing a roadway framework study in the northern Hassayampa Valley. MAG will create a Study Review Team (SRT) for this project. MAG requests interested consultants to submit a proposal using this preliminary Scope of Work as a basis for their proposal.

Task 1 Refine Scope and Budget

Deliverable: Work Plan.

Throughout the course of this project, inquiry and discussion may result in some revisions to the Scope of Work and Project Schedule. As necessary, the CONSULTANT will refine the Scope of Work for this project based upon professional experience and input from MAG. This work will be performed under the general direction of the MAG project manager. The CONSULTANT will prepare documentation of any such revision, including a revised labor/dollar allocation and project task cost breakdown, and submit the revision to MAG for approval.

In cooperation with the SRT, the CONSULTANT will develop a work plan that will include:

- Schedule.
- Study goals and objectives.
- Study area boundary.
- A working definition of "Build-out".
- Detailed study tasks, including technically sound methodologies for identifying 2030 and Build-out travel demand using the MAG Regional Travel Demand Model, and the Statewide Travel Demand Model (in final stages of development) for evaluating and selecting alternatives.
- A strategy to ensure coordination among study partners and other key stakeholders, as well as participation of these parties with the work plan and with the implementation of the study's recommendations.

Task 2 Public Involvement

Deliverable: Public Involvement Plan and Public Involvement Summaries.

In cooperation with the SRT, the CONSULTANT will develop an implementation plan for public involvement that will include the participation of affected interests in the study area. Public involvement activities may include, but are not limited to, the following:

- Public meetings and open houses.
- Community workshops.
- Consultation with elected officials.
- Meetings with agency staff representing jurisdictions within the study area.
- Meetings with developers, freight carriers, and/or other focus groups.

For each of the study's work tasks (when applicable), identify appropriate outreach activities and a detailed strategy for their implementation. Identify the roles and responsibilities of the CONSULTANT, lead agency, and study partners, and indicate how the information acquired during each activity will be applied to the study.

Maricopa Association of Governments Request for Proposals
HASSAYAMPA FRAMEWORK STUDY FOR THE WICKENBURG AREA

Document the findings that result from public involvement events in one or more Public Involvement Summaries.

Task 3 **Data Collection and Forecasting**

Deliverable: Working Paper 1 - Existing and Future Conditions.

The CONSULTANT will conduct an inventory of existing conditions within the study area, including but not limited to the following activities:

- Interview study partners and other affected interests.
- Review and coordinate with existing and/or ongoing transportation studies in the area.
- Describe current land use patterns.
- Review existing city and county comprehensive plans.
- Identify multi-modal transportation currently in operation.
- Describe characteristics of the physical and cultural environment.

Describe future conditions and identify deficiencies within the study area for year 2030 and at Build-out, including, but not limited to, the following activities:

- The CONSULTANT will describe future land use patterns, including reasonable estimates for development of vacant parcels within the study area.
- Establish future population and employment estimates.
- Identify anticipated multi-modal needs.
- Develop an “existing plus committed” transportation framework based on planned and committed roadways; information will be obtained from recently completed and ongoing studies conducted within the study area, such as: the current year MAG Regional Transportation Plan and the Town of Wickenburg General Plan Update. Other sources of information include jurisdictions within the study area, developers, and other sources, as appropriate.
- Coordinate with MAG modeling staff representing the study partners to establish travel demand for 2030 and Build-out using the MAG Regional Travel Demand Model with data for the Statewide Travel Demand Model that affects the study area.
- Identify capacity needs and deficiencies for the year 2030 and Build-out horizon.

Existing and future conditions will be presented to the SRT for review and comment prior to the development of alternatives. The consultant will prepare notes following all meetings.

Task 4 **Develop Transportation Network Alternatives**

Deliverable: Working Paper 2 - Network Alternatives.

The CONSULTANT will develop multiple network alternatives for the study area and assemble up to three alternative bundles based on needs and deficiencies identified in Task 3, and incorporate the goals and objectives established in Task 1. Alternatives should address Build-out scenarios. Each alternative bundle should include a planning level description of the general location, functional classification, and capacity of new facilities, as well as improvements to existing roads. Whenever possible, identify the jurisdictions responsible for implementing the various aspects of each alternative.

**Maricopa Association of Governments Request for Proposals
HASSAYAMPA FRAMEWORK STUDY FOR THE WICKENBURG AREA**

Alternatives will be presented to the SRT for review and comment prior to evaluation. The CONSULTANT will prepare notes following all meetings.

Task 5 Evaluate Transportation Network Alternatives

Deliverable: Working Paper 3 - Alternatives Analysis and Draft Recommendations.

The CONSULTANT will evaluate the feasibility of the transportation network alternative bundles according to the methodology established in Task 1. The feasibility analysis will be conducted at a “fatal flaw” level and consider the following example characteristics for each alternative bundle:

- “Environmental” Natural, Physical, and Social Resources.
- Demographics.
- Environmental Justice and Title VI.
- Engineering.
- Estimated general costs for right-of-way and construction.
- Benefit and Cost.

Alternatives will be presented to the SRT for review and comment prior to the development of final recommendations. The consultant will prepare notes following all meetings.

Task 6 Develop Transportation Network Recommendations

Deliverable: Final Report and Executive Summary.

Based on technically sound methodology established in Task 1 and with consideration of SRT, stakeholder, and public input, the CONSULTANT will develop transportation network recommendations for the study area.

Upon approval of the recommendations, the CONSULTANT will coordinate with the SRT to develop a prioritized program of specific key elements that would be essential to the success of the recommended network. This program should include, as appropriate, corridor definitions, construction projects, policies, strategies, assignment for jurisdictional responsibility, and other tasks.

The CONSULTANT will identify current and future sources and mechanisms of funding that may be available for the implementation of the network. Please include nontraditional options: public and private partnerships, toll roads, regional taxation, special districts, etc.

The CONSULTANT will document the study and it’s final recommendations in a final report, and in an abbreviated executive summary form.

**Maricopa Association of Governments Request for Proposals
HASSAYAMPA FRAMEWORK STUDY FOR THE WICKENBURG AREA**

Key Deliverable Study Products

- Revise Scope and Budget.
- Public Involvement Plan.
- Meeting Summaries.
- Public Involvement Summaries.
- Working Paper 1 - Existing and Future Conditions.
- Working Paper 2 - Network Alternatives.
- Working Paper 3 - Alternatives Analysis and Draft Recommendations.
- Final Report.
- Executive Summary.

Schedule

The estimated time frame for this project is twelve-months from the date of the notice to proceed, with intermediate deliverables due in accordance with the schedule as agreed to between MAG and the CONSULTANT(s). The date of the notice to proceed is anticipated to be July 20, 2009. Further, out of necessity for planning within the study area, MAG advises the CONSULTANT select the project's recommendation within **nine-months** of notice to proceed.

During the first task, MAG will request that the CONSULTANT provide a Gantt chart to establish the interim horizons for work products. We recommend that the CONSULTANT clearly demonstrate in their proposal in their proposal techniques and/or special skill sets their team may possess to ensure completion within the estimated twelve-month schedule.

Proposal Delivery

1. 15 copies of the proposal must be submitted by 10:00 a.m.(Mountain Standard Time) on June 2, 2009.

Maricopa Association of Governments
Attention: Tim Strow
302 North 1st Avenue, Suite 300
Phoenix, Arizona 85003

Timely receipt of proposals will be determined by the date and time the proposal is received at the above address. Hand delivery is therefore encouraged. No late submissions, facsimile, or electronic submissions will be accepted.

Proposals will be opened publicly and the name of each entity submitting a proposal will be read at 10:05 a.m. (MST) on June 2, 2009 at the MAG Offices, Palo Verde Conference Room (2nd Floor), 302 North 1st Avenue, Suite 200 Phoenix, Arizona, 85003.

All material submitted in response to this solicitation becomes the property of MAG and will not be returned. After contract award, the proposals shall be open for public inspection except to the extent that the withholding of information is permitted or required by law. If the offeror designates a portion of its proposal as confidential, it shall isolate and identify in writing the confidential portions in

Maricopa Association of Governments Request for Proposals
HASSAYAMPA FRAMEWORK STUDY FOR THE WICKENBURG AREA

accordance with Arizona Administrative Code R2-7-103; which shall be included in the proposal. Upon receipt of your written notification, MAG will review any portions of the proposal that the proposer considers to be confidential and then make a determination on what should be released. MAG will also notify you in writing of our determination and provide you with an opportunity to respond to our decision prior to releasing the proposal.

2. Any questions regarding this Request for Proposals should be submitted in writing to Tim Strow by fax at (602) 254-6490; or by email at tstrow@mag.maricopa.gov. Responses to questions submitted will be posted on the MAG Web site at www.mag.maricopa.gov. Additional information regarding MAG activities, including Committee meeting schedules, may be found on the MAG Web site www.mag.maricopa.gov.
3. A proposer's conference for the project has been scheduled for 10:00 a.m. (MST), May 8, 2009, Cholla Conference room (2nd Floor), at the MAG Office, Suite 200, 302 North 1st Avenue, Phoenix, Arizona. If you wish to receive notes from the proposer's conference and a list of attendees, please contact the MAG project manager.

**Maricopa Association of Governments Request for Proposals
HASSAYAMPA FRAMEWORK STUDY FOR THE WICKENBURG AREA**

Proposal Content

It is required that the proposal:

1. Be limited to a maximum length of 35 pages, including a cover letter, résumés, and any appendices. The cover letter must be signed by a party authorized to bind the entity submitting the proposal.
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 shall 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 shall 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.
5. Contain a staffing plan for the project. The plan shall 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. Include résumés for major staff members assigned to the project. These résumés should focus on their experience in this type of project.
7. 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 the Rules of Professional Conduct from the Administrative Rules and Regulations for the State of Arizona.
8. 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.
9. A labor cost allocation budget formatted as noted in Appendix B.
10. All firms proposing on this project will be required to include a "*Proposer's Registration Form*" (See

**Maricopa Association of Governments Request for Proposals
HASSAYAMPA FRAMEWORK STUDY FOR THE WICKENBURG AREA**

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.

11. The Disadvantaged Business Enterprise (DBE) requirements in the Code of Federal Regulations Title 49, Part 26 will apply to this Contract. See Appendix D, “MAG’s Key DBE Regulatory Requirements”. A complete copy of MAG’s DBE program is available on request.
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.
 - d. All relationships with MAG and / or any employees of MAG.

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

PROPOSAL EVALUATION AND SELECTION PROCESS

1. All proposals will be evaluated by an evaluation team consisting of MAG staff and MAG member agency staff. Evaluation criteria include the following:
 - a. Demonstrated understanding of the project through a well-defined work plan consistent with program objectives.
 - b. Clarity of proposal, realistic approach, technical soundness, and enhancements to elements outlined in this Request for Proposals.
 - c. Experience of the project manager and other project personnel in similar studies. Only those personnel assigned to work directly on the project should be cited.
 - d. 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.
 - e. Availability of key personnel throughout the project effort.
 - f. Price, except for the procurement of architectural or engineering (A&E) services.
 - g. Ability and commitment to complete the project within the specified time period, meet all deadlines for submitting associated work products, and insure quality control.
 - h. Recognition of work priorities and flexibility to deal with change and contingencies.
2. On the basis of the above evaluation criteria, selected firms submitting proposals may be interviewed prior to the selection of a consultant. Phone interviews and in-person interviews may be scheduled for the week of June 22-26, 2009. It is anticipated that firms selected for interviews will be contacted approximately one week prior to the in-person interview date. MAG strongly suggests that the project manager and key members of the consultant team be present at the in-person interview.
3. MAG may conduct discussions with offerors who submit proposals determined to be reasonably susceptible of being selected for award.
4. MAG reserves the right to:
 - a. Cancel this solicitation.
 - b. Reject any and all proposals and re-advertise.
 - 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.

**Maricopa Association of Governments Request for Proposals
HASSAYAMPA FRAMEWORK STUDY FOR THE WICKENBURG AREA**

ADMINISTRATIVE REQUIREMENTS

1. This Request for Proposals is for a cost-reimbursement plus fixed fee contract.
2. During the course of the project, a monthly progress report is required to be submitted within ten (10) working days after the end of each month until the final report is submitted. Each report shall include a comprehensive 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 E for format).
3. MAG shall retain ten percent (10%) of the contract amount, withheld from each invoice, as final payment until completion of the project to the satisfaction and acceptance of the 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, Commercial General Liability insurance, Business Automobile Liability insurance, and Valuable Papers insurance.
7. The firm selected is required to document any potential conflicts of interest during the contract period. A conflict of interest shall be cause for terminating a contract. 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.

APPENDIX A

ARIZONA ADMINISTRATIVE CODE R4-30-301

ARTICLE 3. REGULATORY PROVISIONS

R4-30-301. Rules of Professional Conduct

All registrants shall comply with the following rules of professional conduct:

1. A registrant shall not submit any materially false statements or fail to disclose any material facts requested in connection with an application for registration or certification, or in response to a subpoena.
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 commit bribery of a public servant as proscribed in A.R.S. § 13-2602, commit commercial bribery as proscribed in A.R.S. § 13-2605, or violate any federal statute concerning bribery.
4. A registrant shall comply with state, municipal, and county laws, codes, ordinances, and regulations pertaining to the registrant's area of practice.
5. A registrant shall not violate any state or federal criminal statute involving dishonesty, fraud, misrepresentation, embezzlement, theft, forgery, perjury, bribery, or breach of fiduciary duty, if the violation is reasonably related to the registrant's area of practice.
6. A registrant shall apply the technical knowledge and skill that would be applied by other qualified registrants who practice the same profession in the same area and at the same time.
7. A registrant shall not accept an engagement if the duty to a client or the public would conflict with the registrant's personal interest or the interest of another client without making a full written disclosure of all material facts of the conflict to each person who might be related to or affected by the engagement.
8. A registrant shall not accept compensation for services related to the same engagement from more than one party without making a full written disclosure of all material facts to all parties and obtaining the express written consent of all parties involved.
9. 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 payments for actual and substantial technical assistance in preparing the proposal; or
 - b. Any monetary, financial, or beneficial interest the registrant holds in a contracting firm or other entity providing goods or services, other than the registrant's professional services, to a project or engagement.
10. 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.
11. If a registrant's professional judgment is overruled or not adhered to under circumstances

Maricopa Association of Governments Request for Proposals
HASSAYAMPA FRAMEWORK STUDY FOR THE WICKENBURG AREA

where a serious threat to the public health, safety, or welfare may result, the registrant shall immediately notify the responsible party, appropriate building official, or agency, and the Board of the specific nature of the public threat.

12. If called upon or employed as an arbitrator to interpret contracts, to judge contract performance, or to perform any other arbitration duties, the registrant shall render decisions impartially and without bias to any party.
13. To the extent applicable to the professional engagement, a registrant shall conduct a land survey engagement in accordance with the April 12, 2001 Arizona Professional Lands Surveyors Association (APLS) Arizona Boundary Survey Minimum Standards, as adopted by the Board on June 15, 2001, the provisions of which are incorporated in this subsection by reference and on file with the Office of the Secretary of State. This incorporation by reference does not include any later amendments or editions and is available at the Board's office and APLS at www.aia.org.
14. A registrant shall comply with any subpoena issued by the Board or its designated administrative law judge.
15. A registrant shall update the registrant's address and telephone number of record with the Board within 30 days of the date of any change.
16. A registrant shall not sign, stamp, or seal any professional documents not prepared by the registrant or a bona fide employee of the registrant.
17. Except as provided in subsections (18) and (19), a registrant shall not accept any professional engagement or assignment outside the registrant's professional registration category unless:
 - a. The registrant is qualified by education, technical knowledge, or experience to perform the work; and
 - b. The work is exempt under A.R.S. § 32-143.
18. A registered professional engineer may accept professional engagements or assignments in branches of engineering other than that branch in which the registrant has demonstrated proficiency by registration but only if the registrant has the education, technical knowledge, or experience to perform such engagements or assignments.
19. Except as otherwise provided by law, 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 the registrant is qualified by registration to perform and shall seal and sign only the work prepared by the registrant or by the registrant's bona fide employee.
20. A registrant who is designated as a responsible registrant shall be responsible for the firm or corporation. The Board may impose disciplinary action on the responsible registrant for any violation of Board statutes or rules that is committed by a non-registrant employee, firm, or corporation.
21. A registrant shall not enter into a contract for expert witness services on a contingency fee basis or any other arrangement in a disputed matter where the registrant's fee is directly related to the outcome of the dispute.

Amended by final rulemaking at 12 A.A.R. 1609, effective July 1, 2006 (Supp. 06-2).

APPENDIX B

LABOR COST ALLOCATION BUDGET

LABOR COST ALLOCATION BUDGET - SAMPLE

Available in Excel on request

PRIME CONSULTANT		Hours by Personnel and Task Description					
Personnel	Raw Direct Hourly Rate	Task 1 (Task Description)	Task 2 (Task Description)	Task 3 (Task Description)	Task 4 (Task Description)	Total Hours	Total Cost
Personnel 1	\$0.0000	0.00	0.00	0.00	0.00	0.00	\$0.00
Personnel 2	\$0.0000	0.00	0.00	0.00	0.00	0.00	\$0.00
Personnel 3	\$0.0000	0.00	0.00	0.00	0.00	0.00	\$0.00
Personnel 4	\$0.0000	0.00	0.00	0.00	0.00	0.00	\$0.00
Personnel 5	\$0.0000	0.00	0.00	0.00	0.00	0.00	\$0.00
Personnel 6	\$0.0000	0.00	0.00	0.00	0.00	0.00	\$0.00
Personnel 7	\$0.0000	0.00	0.00	0.00	0.00	0.00	\$0.00
Personnel 8	\$0.0000	0.00	0.00	0.00	0.00	0.00	\$0.00
Personnel 9	\$0.0000	0.00	0.00	0.00	0.00	0.00	\$0.00
Personnel 10	\$0.0000	0.00	0.00	0.00	0.00	0.00	\$0.00
Personnel 11	\$0.0000	0.00	0.00	0.00	0.00	0.00	\$0.00
Personnel 12	\$0.0000	0.00	0.00	0.00	0.00	0.00	\$0.00
Personnel 13	\$0.0000	0.00	0.00	0.00	0.00	0.00	\$0.00
Personnel 14	\$0.0000	0.00	0.00	0.00	0.00	0.00	\$0.00
Personnel 15	\$0.0000	0.00	0.00	0.00	0.00	0.00	\$0.00
Personnel 16	\$0.0000	0.00	0.00	0.00	0.00	0.00	\$0.00
Personnel 17	\$0.0000	0.00	0.00	0.00	0.00	0.00	\$0.00
Personnel 18	\$0.0000	0.00	0.00	0.00	0.00	0.00	\$0.00
Personnel 19	\$0.0000	0.00	0.00	0.00	0.00	0.00	\$0.00
Personnel 20	\$0.0000	0.00	0.00	0.00	0.00	0.00	\$0.00
Total Task Hours		0.00	0.00	0.00	0.00	0.00	
Total Task Cost		\$0.00	\$0.00	\$0.00	\$0.00		\$0.00
Overhead (or Fringe) Rate (Audited Rate)	1250%	\$0.00	\$0.00	\$0.00	\$0.00		\$0.00
Total Labor with Overhead		\$0.00	\$0.00	\$0.00	\$0.00		\$0.00
Fee (10% max rate)	10%	\$0.00	\$0.00	\$0.00	\$0.00		\$0.00
Total Labor With Overhead and Fee		\$ -	\$ -	\$ -	\$ -		\$ -
PRIME CONSULTANT		Directly Reimbursable Expenses					
Reimbursable Expenses		Task 1	Task 2	Task 3	Task 4		Total Cost
Postage		\$0.00	\$0.00	\$0.00	\$0.00		\$0.00
Copying/Printing		\$0.00	\$0.00	\$0.00	\$0.00		\$0.00
Travel		\$0.00	\$0.00	\$0.00	\$0.00		\$0.00
Local Travel		\$0.00	\$0.00	\$0.00	\$0.00		\$0.00
PI Meeting Materials		\$0.00	\$0.00	\$0.00	\$0.00		\$0.00
Focus Group Incentives		\$0.00	\$0.00	\$0.00	\$0.00		\$0.00
Display Boards		\$0.00	\$0.00	\$0.00	\$0.00		\$0.00
Miscellaneous		\$0.00	\$0.00	\$0.00	\$0.00		\$0.00
Other (Description)		\$0.00	\$0.00	\$0.00	\$0.00		\$0.00
Total Prime Reimbursable Expenses		\$ -	\$ -	\$ -	\$ -		\$ -
SUBCONSULTANTS		Task Hours					
Personnel	Loaded Hourly Rate	Task 1 (Task Description)	Task 2 (Task Description)	Task 3 (Task Description)	Task 4 (Task Description)	Total Hours	Total Cost
Subconsultant 1	\$0.0000	0.00	0.00	0.00	0.00	0.00	\$0.00
Subconsultant 2	\$0.0000	0.00	0.00	0.00	0.00	0.00	\$0.00
Subconsultant 3	\$0.0000	0.00	0.00	0.00	0.00	0.00	\$0.00
Subconsultant 4	\$0.0000	0.00	0.00	0.00	0.00	0.00	\$0.00
Subconsultant 5	\$0.0000	0.00	0.00	0.00	0.00	0.00	\$0.00
Total Task Hours		0.00	0.00	0.00	0.00	0.00	
Total Subconsultant Costs		\$ -	\$ -	\$ -	\$ -		\$ -
		Total Costs By Task					
TOTAL COST SUMMARY		Task 1 (Task Description)	Task 2 (Task Description)	Task 3 (Task Description)	Task 4 (Task Description)		Total Cost
Total Labor With Overhead and Fee		\$0.00	\$0.00	\$0.00	\$0.00		\$0.00
Total Prime Reimbursable Expenses		\$0.00	\$0.00	\$0.00	\$0.00		\$0.00
Total Subconsultant Costs		\$0.00	\$0.00	\$0.00	\$0.00		\$0.00
GRAND TOTAL		\$ -	\$ -	\$ -	\$ -		\$ -

v-6.10.2008

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 the MAG 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

MAG'S KEY DISADVANTAGED BUSINESS ENTERPRISE (DBE) PROGRAM REQUIREMENTS FOR CONSULTANT CONTRACTS

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 by request to MAG's DBE Liaison Officer, at 602/254-6300.

The Consultant will agree to ensure that DBEs, as defined in 49 CFR 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.

DBE Participation Goal and Reporting:

The DBE participation goal for MAG is 11 percent. DBEs used for this contract must 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 or the City of Phoenix.

The Consultant will be required to report monthly on: (1) the utilization of any subcontractors, and (2) any payments made to subcontractors (DBEs and non-DBEs).

Requirement for Proposal:

All firms proposing on this project will be required to include a completed "Proposer's Registration Form" (See Appendix D) with their proposal. In addition, a completed Proposer's Registration Form must be included with the proposal for any subcontractors used on this project.

General Requirements for Proposals and Contract:

All proposers will be required to include the following information in their proposal and contract:

1. A clear and concise description of the work that each DBE will perform
2. The dollar amount of the participation of each DBE firm participating
3. Written documentation of the proposer's commitment to use a DBE subcontractor(s) whose participation it submits to meet a contract goal
4. If the contract goal is not met, evidence of good faith efforts to meet the goal

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 retainage payments to the Subcontractor within fourteen (14) calendar days from the date of satisfactory completion of work."

Prime Contractors must:

1. Provide the Subcontractor with the name, address and phone number of the person to whom all invoices/billings and statements must be sent.
2. Pay Subcontractors and suppliers within fourteen (14) days of receipt of payment from MAG.
3. Stipulate the reason(s) in writing to the Subcontractor or supplier and to MAG for not abiding by the prompt payment provision. Possible reasons include:
 - a. Failure to provide all required documentation
 - b. Unsatisfactory job performance
 - c. Disputed work

- d. Failure to comply with other material provisions of the contract
- e. Third-party claims filed or reasonable evidence that a claim will be filed
- f. Reasonable evidence that the contract cannot be completed for the unpaid balance of the contract sum or a reasonable amount for retainage.

Subcontractors must:

- 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 must 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 who do not comply with the prompt payment provision noted above, where it has been determined by the MAG DBELO 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.

MAG will verify that the work committed to DBEs, at the time of the contract award, is actually performed by DBEs. This will be accomplished by:

- 1. Requiring Prime Contractors to report Subcontractor(s) (DBE and Non-DBEs) work performed in each monthly progress report along with an indication of the number of hours worked, any costs incurred and the amounts paid to the DBE(s).
- 2. Ensuring that DBE participation is credited toward the overall goal or contract goal(s) only when payments **are actually made** to DBE firms.

APPENDIX E

PROGRESS REPORT FORMAT

(Progress Report Format - SAMPLE)

(Consultant's Letterhead)
April 15, 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 15, 2000, with the MAG project manager to review data collected for the facilities.

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

Enclosure