



**Arizona Department of Transportation**  
**Intermodal Transportation Division**  
206 South Seventeenth Avenue Phoenix, Arizona 85007-3213

Janice K. Brewer  
Governor

Floyd Roehrich, Jr.  
State Engineer

October 15, 2009

John S. Halikowski  
Director

**INFORMATION BULLETIN NO. 09-13**

**TO:** ADOT Project Managers  
Resident Engineers  
Consultant Engineering Firms

**FROM:** Engineering Consultants Section (ECS)

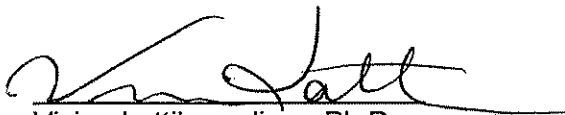
**SUBJECT:** 2010-2011 CONSULTANT PREQUALIFICATION

Please note that all current ECS consultant prequalifications will expire December 31, 2009. Firms must re-prequalify to submit SOQ proposals for ECS contracts beginning January 1, 2010. The attached Prequalification Application Package covers the two calendar year period beginning January 1, 2010 through December 31, 2011.

In order to submit a Statement of Qualifications proposal and be considered for selection for ECS contracts after December 31, 2009, firms must complete and submit the attached Prequalification Application. Prequalification Application Packages are also available on the ECS website (<http://www.azdot.gov/Highways/ECS/>) by clicking on the 2010-2011 Consultant Prequalification Package link.

**Firms are requested to complete their Prequalification Application and submit them to the Engineering Consultants Section (ECS) by email via one single PDF document to [ECSPrequalification@azdot.gov](mailto:ECSPrequalification@azdot.gov).** Upon approval of a firm's prequalification application, the firm is notified by e-mail and is added to the ECS mailing list for future contract solicitations, information bulletins, etc.

If you have any questions regarding this bulletin, please contact Engineering Consultants Section at (602) 712-7525.

  
Vivien Lattibeaudiere, Ph.D.  
Director  
Engineering Consultant Section

**ARIZONA DEPARTMENT OF TRANSPORTATION  
ENGINEERING CONSULTANTS SECTION**



**2010 - 2011**

**CONSULTANT PREQUALIFICATION PACKAGE**

**(Period Covered: January 1, 2010 through December 31, 2011)**



**Email completed Application Package to: [ECSPreQualification@azdot.gov](mailto:ECSPreQualification@azdot.gov)**

**(Submit as ONE PDF Document)**



# Arizona Department of Transportation

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Janice K. Brewer  
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October 15, 2009

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State Engineer

Dear Consultant:

Attached is a copy of the Year 2010 - 2011 Consultant Prequalification Packet. Please note that this prequalification application covers a two calendar year period beginning January 1, 2010 through December 31, 2011.

In order to submit a Statement of Qualifications proposal and be considered for selection for an ECS contract, your firm must be currently prequalified. Your submittal will also notify ECS of your firm's interest in doing consulting work with the Department, and the type of work your firm is seeking to perform.

Prequalification applications may be filed with ECS at any time throughout the year. Prequalification forms may be completed by accessing the ECS website at <http://www.azdot.gov/Highways/ECS/> and clicking on the Consultant Prequalification link.

Upon approval of your prequalification application, you will be notified by e-mail and your firm will be retained on our ECS mailing list for future contract solicitations. You will be notified by e-mail of all current advertisements, upcoming projects, information bulletins, etc. However, firms should not solely rely on these notifications. Consultants are responsible for regularly checking newspapers and/or visiting the ECS website for up-to-date information on contract solicitations. This information is also available at our web site at <http://www.azdot.gov/Highways/ECS/>

**Complete your firm's PreQualification application and submit it as ONE PDF DOCUMENT to the Engineering Consultants Section (ECS) by email to: [ECSPreQualification@azdot.gov](mailto:ECSPreQualification@azdot.gov)**

Questions may be directed to Engineering Consultants Section at (602) 712-7525.

Sincerely,

Vivien Lattibeaudiere, Ph.D.  
Director  
Engineering Consultants Section

## ENGINEERING CONSULTANTS SECTION

### Instructions and Information for Filing Application for Consultant Prequalification



All firms desiring to offer their services as a Prime Consultant for Architectural and Engineering consultant services for the Arizona Department of Transportation (ADOT) advertised by the Engineering Consultants Section (ECS) must make application for prequalification. Prequalification covers a two calendar year period beginning January 1, 2010 through December 31, 2011. Prequalification applications may be filed with ECS at any time throughout the year. Firms must have an application on file with ECS in order to submit a proposal.

The Consultant Prequalification Package includes:

#### 1) **Consultant Prequalification Information Page**

Information provided will be used to develop the ECS consultant prequalification list. The Department must be notified within 10 calendar days of any change in address, phone, e-mail address or other contact information.

#### 2) **Consultant Technical Capability Information Page**

Firms are required to demonstrate technical qualifications and experience to perform ADOT engineering services.

#### 3) **Registration & Licensing Information Page**

ADOT requires that engineering firms, as well as, the principal/ officer and other key personnel of the engineering firm who is responsible for an ADOT contract, be properly registered to practice in the State of Arizona. Names and registration number of any members of your firm who are registered to practice in the State of Arizona should be listed. In addition, please provide your firm's technical registration number and/or contractor's license number.

Firms wishing further information on Technical Registration for Architects, Assayers, Engineers, Geologists, Home Inspectors, and Land Surveyors may contact the Arizona Board of Technical Registration, 1110 W. Washington Street, Suite 240, Phoenix, AZ 85007, Phone: (602)-364-4930 or visit their website [www.btr.state.az.us](http://www.btr.state.az.us).

For information on Contractor Licensing, contact the Arizona Registrar of Contractors, 3838 North Central Avenue, Suite 400, Phoenix, AZ 85012, Phone: (602)542-1525 or visit their website [www.azroc.gov](http://www.azroc.gov).

For information on Real Estate Licensing, contact the Arizona Department of Real Estate, 2910 North 44th St., Suite 100, Phoenix, AZ 85018, Phone: (602) 771-7799 or visit their website [www.re.state.az.us](http://www.re.state.az.us).

#### 4) **Consultant Financial Information Page**

Firms must demonstrate financial viability and the understanding and use of the components of a compliant accounting system that meets Federal Acquisition Regulations. Prime consulting firms and subconsultants interested in or have been

awarded Cost Plus Fixed Fee and Lump Sum type contracts shall provide evidence and/or a statement attesting that the firm has a compliant accounting system, in accordance with the Generally Accepted Accounting Principles (GAAP), Federal Acquisition Regulation (FAR) Part 31, applicable Cost Accounting Standards (CAS), and ADOT Cost Allowability Guidelines.

## 5) Attachments

The following attachments are required as part of the prequalification application and must be uploaded as part of one PDF file:

1. Transmittal Letter: A letter must be submitted, signed by the owner or corporate officer attesting that all information contained in the application for consultant prequalification is true and accurate.

The following statements or disclosures must be incorporated in your firm's Transmittal Letter:

- A. I, \_\_\_\_\_, certify that all statements and supporting documentation submitted in this application package are true and correct to the best of my knowledge as of the date of this submittal and include all material information necessary to identify and explain the operations of \_\_\_\_\_(firm name). I hereby authorize and request any person, agency or firm to furnish any pertinent information requested by the Arizona Department of Transportation deemed necessary to verify the statements made in this application. This certification constitutes a material representation. Any misrepresentation will be grounds for denying or revoking prequalification and for initiating action under federal or state laws concerning false statements.
  - B. As an officer of this firm, or pursuant to the attached letter of authorization, I am duly authorized to certify the information requested herein;
  - C. \_\_\_\_\_ (firm name) shall comply with all state and federal equal opportunity and nondiscrimination requirements and conditions of employment in accordance with A.R.S. Title 41 Chapter 9, Article 4 and Executive Order No. 99-4 dated March 26, 1999.
  - D. A disclosure of your firm and Principals current status regarding FHWA Suspension/Debarment actions, ineligibility, voluntary exclusion and convictions and/or civil judgments per FHWA Order 2000.2A: Nonprocurement suspension and debarment process.
2. Affirmative Action/Disadvantage Business Enterprises: Submit a copy of your firm's policy and/or a statement regarding Affirmative Action and use of Disadvantaged Business Enterprises (DBE).

The following statement must be incorporated in your firm's Affirmative Action Plan:

Equal Employment Opportunity Policy Statement: It is the policy of this company not to discriminate against any employee, or applicant for employment, because of race, color, religion, creed, national origin, sex, age, disabilities, or disabled veterans and Vietnam era veterans. Such actions shall include, but are not limited to, employment, upgrading,

demotion, transfer, recruitment, or recruitment advertising; laying-off or termination; rates of pay or other compensation; and selection for training, and on-the-job training. Also, it is the policy to insure and maintain a working environment free of harassment, intimidation and coercion.

Firms wishing to be considered as DBEs may request information from: Arizona Department of Transportation, Civil Rights Office, 1135 N. 22nd Avenue, 2nd Floor, MD 154A, Phoenix, Arizona 85009, or by calling (602) 712-7761; FAX (602) 712-8429.

3. Organizational Structure: A copy or listing of the firm's corporate organizational structure showing parent company, subsidiaries or affiliates - firms interrelated in any manner to the firm, specifically architectural, professional engineering and construction firms. If a corporate organizational structure is not applicable, a statement to that effect must be made, i.e., ABC Consulting is a sole proprietorship and not related to any other firms in any manner.

## 6) Consultant Pre-Qualification Submittal Checklist

To help ensure that the firm has included all required documents in the Prequalification Application Packet, complete checklist of items included in the completed Packet. Include this completed form as the last page of the Prequalification Packet being submitted to ECS.

**All completed Prequalification documents must be pulled together into one PDF document and emailed to [ECSPreQualification@azdot.gov](mailto:ECSPreQualification@azdot.gov)**

ECS will review the pre-qualification applications for completeness and compliance with requirements stated above. Firms submitting all of the required information and satisfactorily meeting requirements shall be approved and notified by email. Pre-qualified firms will be retained on the ECS mailing list to receive notifications of future contract solicitations.

Consultants shall notify ECS of significant changes in the firms' information, such as, address changes, organizational and/or ownership changes, email address changes, etc. within 10 calendar days. Prior to the expiration of a two-calendar-year prequalification period, all currently pre-qualified firms will receive a letter from ECS notifying them of renewal dates and the process.

Subconsultants are not required to be pre-qualified but are encouraged to do so.

## DISQUALIFICATION

Once pre-qualified, a consultant may be disqualified from responding to SOQ requests for ADOT contracts as a prime or subconsultant for a number of reasons including, but not limited to, if the consultant:

1. Failed to report any changes submitted in their pre-qualification submittal and/or, contract obligations, or if the consultant suffers any conditions that could adversely affect their capability to effectively fulfill the terms of the contract.
2. Falsified any document or misrepresented any material fact in information furnished to the Department.
3. Breached a current or previous contract with the Department.
4. Defaulted on a contract with the Department or any public agency.

5. Was deemed by ADOT to have made significant or egregious errors or omissions in previous contract(s).
6. Has a documented unsatisfactory work performance record/evaluation history with the Department in the areas of producing quality work, project team issues, completion of timely work product, effective communication with the Department, submission of required information, meeting contract terms and conditions, timely delivery of documentation and/or deliverables for closing out a contract.
7. Repeatedly failed to submit Progress Payment Reports, Contract Modifications and other required contract documents in a timely manner.
8. Failed to repay ADOT for overbilled charges based on the results of pre-award or incurred cost audits.
9. Repeatedly failed to pay subconsultants in a timely manner in accordance with Prompt Pay law (A.R.S. § 28-411) as outlined in Section 4.05 of these Rules.
10. Failed to report key personnel change or made unauthorized key personnel change without ADOT approval.
11. Failed to notify ECS of changes within 30 calendar days of any change in ownership, corporate officers or general partners, relocation of offices, license or registration, major financial conditions such as bankruptcy, receivership, reorganization, or other condition that could affect the consultant's capability to effectively fulfill the terms of the contract.
12. Was suspended, allowed its license to lapse or otherwise became unlicensed to do business in the State
13. Destroyed, damaged or lost accounting records, files, cost proposals, invoices and backup data representing substantial parts or all documents related to the contract in violation of the Records Retention provision of the contract.

If any of the above conditions exist, ECS shall notify the consultant in writing of ADOT's intention to disqualify the consultant and the reasons and time period of the disqualifications, the required solutions or remedy (if appropriate) and set a deadline for cure. If no progress is made to address the issues within the established time, the ECS Director shall notify the consultant in writing that the firm has been disqualified from responding to SOQs until such time as the firm communicates and is able to demonstrate in writing to ECS that they have cured the issues for which they were disqualified. The consultant may appeal the ECS Director's decision to the State Engineer within 10 calendar days of the ECS notification. The State Engineer's decision shall be final.

Disqualification may take one of the following forms:

- A. Discipline-Based Administrative Suspension – a temporary or permanent loss of pre-qualification within a specified discipline which would prevent the consultant from pursuing any additional work with ADOT within the particular discipline. If the suspension is temporary, a time period must be stated along with action needed by the consultant to lift the suspension.
- B. Full Administrative Suspension – a temporary or permanent loss of pre-qualification that would prevent the consultant from pursuing any additional work with ADOT in any discipline. If the suspension is temporary, a time period must be stated along with action needed by the consultant to lift the suspension.

## ENGINEERING CONSULTANTS SECTION

### Consultant Prequalification Information Page



Submittal is for :  Parent Company  Branch Subsidiary

Firm Name: \_\_\_\_\_ Date: \_\_\_\_\_

Please check as applicable:  Arizona –Owned Firm  
 Out-of State Owned Firm  
 Arizona Certified DBE Firm Certification Number: \_\_\_\_\_

Type of Ownership  Corporation  Partnership  
 Sole Proprietorship  Limited Liability Company (LLC)

Federal Tax Identification Number \_\_\_\_\_

AZ Certified Small Business Enterprise  Yes  No Certificate No: \_\_\_\_\_

Was the Firm Prequalified with ADOT/ECS During the Last Prequalification Period?  Yes  No

**Mailing Addresses:**

Primary Location :	Firm Name: _____ Firm Primary Contact: _____ Street Address: _____ City, State, Zip: _____ Phone: _____, _____ Fax: _____, _____ E-Mail Address: _____ Website: _____
Other Location:	Firm Name: _____ Primary Contact: _____ Street Address: _____ City, State, Zip: _____ Phone: _____, _____ Fax: _____, _____ E-Mail Address: _____
Other Location:	Firm Name: _____ Primary Contact: _____ Street Address: _____ City, State, Zip: _____ Phone: _____, _____ Fax: _____, _____ E-Mail Address: _____

List of current owners or officers of the firm and their titles

Name	Title

## ENGINEERING CONSULTANTS SECTION

### Consultant Technical Capability Information Page



Number of years experience as a Prime Consultant? \_\_\_\_ Number of years experience as a Subconsultant? \_\_\_\_

Number of professional staff (e.g., civil engineers, surveyors, landscape architects) certified or licensed in Arizona and permanently employed by the firm \_\_\_\_\_

Total number of all full-time personnel employed in Arizona \_\_\_\_\_ Total number of all firm personnel \_\_\_\_\_

Please check the types of professional or technical services your firm provides and firm employees are qualified to provide; the number of Arizona employees in the discipline; number of years the firm has provided these services; average number of years of staff's professional experience; and entities for which the firm currently provides this type of work, including ADOT.

Services	✓	Total Number of Arizona Employees in Discipline	Number of Years Firm Has Provided Services	Average Number of Years of Staff's Professional Experience	List Entities for Which Firm Currently Provide this Type of Work (including ADOT)
Archaeological/Historical Surveys	<input type="checkbox"/>				
Architecture	<input type="checkbox"/>				
Bridges/Structures	<input type="checkbox"/>				
Civil Engineering/General Roadway design	<input type="checkbox"/>				
Construction Administration/Management	<input type="checkbox"/>				
Drainage	<input type="checkbox"/>				
Electrical Engineering	<input type="checkbox"/>				
Environmental	<input type="checkbox"/>				
Geological	<input type="checkbox"/>				
Hydrology/Hydraulics	<input type="checkbox"/>				
ITS/FMS	<input type="checkbox"/>				
Landscape Architecture	<input type="checkbox"/>				
Materials Testing/Geotechnical	<input type="checkbox"/>				
Mechanical Engineering	<input type="checkbox"/>				
Research	<input type="checkbox"/>				
Right of Way	<input type="checkbox"/>				
Sanitary/Wastewater	<input type="checkbox"/>				
Surveying	<input type="checkbox"/>				
Traffic Engineering	<input type="checkbox"/>				
Transportation Planning	<input type="checkbox"/>				
Utilities/Railroad	<input type="checkbox"/>				
Other (Specify)	<input type="checkbox"/>				
Other (Specify)	<input type="checkbox"/>				
Other (Specify)	<input type="checkbox"/>				





## ENGINEERING CONSULTANTS SECTION

### Consultant Financial Information Page



Prime consulting firms and subconsultants interested in or have been awarded Cost Plus Fixed Fee and Lump Sum type contracts shall provide evidence and/or a statement attesting that the firm has a compliant accounting system, in accordance with the Generally Accepted Accounting Principles (GAAP), Federal Acquisition Regulation (FAR) Part 31, applicable Cost Accounting Standards (CAS), and ADOT Cost Allowability Guidelines.

Firm Name \_\_\_\_\_ Fiscal Year End \_\_\_\_\_

Firm Fiscal Officer Name \_\_\_\_\_ Phone Number \_\_\_\_\_

Firm's Annual Professional Services Fees/Income for past 5 Years:

2005 \_\_\_\_\_ 2006 \_\_\_\_\_ 2007 \_\_\_\_\_ 2008 \_\_\_\_\_ 2009 \_\_\_\_\_ N/A \_\_\_\_\_

Firm's Total Annual Income/Revenue for past 5 Years:

2005 \_\_\_\_\_ 2006 \_\_\_\_\_ 2007 \_\_\_\_\_ 2008 \_\_\_\_\_ 2009 \_\_\_\_\_ N/A \_\_\_\_\_

Is the firm familiar with and adheres to the regulations contained in FAR Part 31?  Yes  No

Firms must establish and maintain an accounting system adequate to support costs associated with a contract. Does the firm's accounting system:

1. Identify, segregate and accumulate direct and indirect costs by general ledger account  
 Yes  No
2. Identify, segregate and accumulate unallowable costs in accordance with FAR Part 31  
 Yes  No
3. Use time sheets and expense reports for the identification and segregation of direct and indirect time and expenses incurred  
 Yes  No
4. Maintain a labor distribution system that identifies, segregates and accumulates the cost of direct time by project and indirect time by labor categories  
 Yes  No
5. Firm does not have compliant accounting system, but will do so within 6 months of contract award  
 Yes  No

List allowable cost categories that are generally segregated and excluded from overhead: \_\_\_\_\_

**Attach the firm's most recent annual audited financial statements**, including a balance sheet and income statement. The financials should be dated within one year prior to submittal of the prequalification application. If audited financial statements are not available, the firm may submit unaudited financial statements such as income statements, balance sheets, and working trial balance. These should be signed by an officer of the firm stating that the firm's financial statements present fairly in all material respects the financial condition of the firm.

Explain any extenuating circumstances in comments below:

Comments:

I hereby certify that \_\_\_\_\_ (the firm) plans to apply for all types of ECS contracts and has a compliant accounting system, in accordance with the Generally Accepted Accounting Principles (GAAP), Federal Acquisition Regulation (FAR) Part 31, applicable Cost Accounting Standards (CAS), and ADOT Cost Allowability Guidelines.

OR

I hereby certify that \_\_\_\_\_ (the firm) will only apply for Specific Rates or Cost Per Unit of Work type contracts and will adhere to applicable Cost Accounting Standards (CAS) and ADOT Cost Allowability Guidelines.

Fiscal Officer Name (Print) \_\_\_\_\_ Signature \_\_\_\_\_ Date \_\_\_\_\_

## ENGINEERING CONSULTANTS SECTION

### 2010-2011 Consultant Pre-Qualification Submittal Checklist



To help ensure that the firm has included all required documents in the Prequalification Application Packet, please check the items below that are included in the completed Packet. Include this completed form as the last page of the Prequalification Packet being submitted to ECS.

<input checked="" type="checkbox"/>	Item
<input type="checkbox"/>	Information Page
<input type="checkbox"/>	Technical Capability Information
<input type="checkbox"/>	Registration & Licensing Information
<input type="checkbox"/>	Financial Information complete with all required attachments
<input type="checkbox"/>	<b>Transmittal Letter Certifying</b> <ul style="list-style-type: none"><li>• All statements and supporting documentation submitted in this application package are true and correct to the best of my knowledge as of the date of this submittal and authorize to verify information</li><li>• Officer certification of prequalification information</li><li>• Compliance with state and federal equal opportunity and nondiscrimination requirements and conditions of employment</li><li>• Disclosure of Suspension/Debarment actions, ineligibility, voluntary exclusion and convictions and/or civil judgments per FHWA Order 2000.2A</li></ul>
<input type="checkbox"/>	Affirmative Action/Disadvantaged statement or policy
<input type="checkbox"/>	Organizational structure documents
<input type="checkbox"/>	Other supporting information, resumes, brochures, etc; List

Comments: