

**REQUEST FOR PROPOSALS**

**MARICOPA ASSOCIATION OF GOVERNMENTS (MAG)  
TOWN OF GILA BEND SMALL AREA TRANSPORTATION STUDY**



in association with

**MARICOPA COUNTY DEPARTMENT OF TRANSPORTATION  
TOWN OF GILA BEND**

**September 13, 2011**

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## **PUBLIC NOTICE**

### **REQUEST FOR PROPOSALS**

#### **FY 2012 TOWN OF GILA BEND SMALL AREA TRANSPORTATION STUDY**

The Maricopa Association of Governments (MAG) is requesting proposals from qualified consultants for the FY 2012 Town of Gila Bend Small Area Transportation Study. The Gila Bend Small Area Transportation Study will formally accept and incorporate the recommended transportation framework identified in the MAG Interstate 8/10 Hidden Valley Transportation Framework Study as part of the Town of Gila Bend's transportation network. The Study will also inventory existing conditions, identify deficiencies, forecast needs, develop transportation policy, and identify and analyze alternative solutions that will increase mobility and access for the residents of Gila Bend, regional commuters, and freight throughout the Gila Bend Planning Area. The final product of this Study is to develop a comprehensive transportation master plan that will guide the development of the Town and the region for the future.

The project will be completed in a maximum of ten (10) months from the date of the notice to proceed at a cost not to exceed \$95,000. The date of the notice to proceed is anticipated to be December 1, 2011, with a contract completion date estimated to be September 30, 2012.

Detailed proposal requirements may be obtained by contacting the MAG Office at the address indicated below or may be downloaded from [www.azmag.gov](http://www.azmag.gov), under "RFPs and RFQs" For further information, please submit questions in writing by fax to the attention of Tim Strow, MAG Project Manager, at (602) 254-6490, or by e-mail to [Tstrow@azmag.gov](mailto:Tstrow@azmag.gov) not later than eight (8) working days prior to the closing date of October 11, 2011. Any addenda responding to questions will be posted on MAG's website at [www.azmag.gov](http://www.azmag.gov) under "RFPs and RFQs" not later than five (5) working days prior to the closing date of October 11, 2011.

Proposals will be accepted until 11:00 AM MST (Mountain Standard Time) on October 11, 2011, at MAG, 302 North 1st Avenue, Suite 300, Phoenix, AZ 85003. MAG will not accept facsimile or electronically transmitted proposals. MAG will also not accept deliveries past the proposal due date and time.

## **SCOPE OF WORK**

### **Introduction**

The Maricopa Association of Governments (MAG) is requesting proposals from qualified consultants for the Town of Gila Bend Small Area Transportation Study (STUDY).

### **Background**

MAG is the designated Metropolitan Planning Organization (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.

The Town of Gila Bend is located at the junction of Interstate 8 and State Route 85 making it an important location for regional travel in the state. Recent annexations and planned developments make it critical that the Town of Gila Bend develop a multimodal transportation network that ties the newly annexed areas and planned developments into a cohesive transportation network.

MAG is requesting proposals from qualified consultants for the STUDY. The STUDY will formally accept and incorporate the recommended transportation framework identified in the MAG Interstate 8/10 Hidden Valley Transportation Framework Study as part of the Town of Gila Bend's transportation network. The study will inventory existing conditions, identify deficiencies, forecast needs, develop transportation policy, and identify and analyze alternative solutions that will increase mobility and access for the residents of the Town of Gila Bend, regional commuters and freight throughout the Gila Bend Planning Area. The final product of this study is to develop a comprehensive transportation master plan that will guide the development of the town and the region for the future.

This project will develop a small area transportation plan for the Town of Gila Bend planning area that will ultimately be implemented at multiple jurisdictional levels. The project is estimated to take ten months to complete from the notice to proceed at a cost not to exceed \$95,000.

Funding for the STUDY is being provided by MAG, Maricopa County Department of Transportation (MCDOT) and by the Town of Gila Bend. The STUDY will be conducted in cooperation with the Arizona Department of Transportation, Federal Highway Administration, Arizona State Land Department, Bureau of Land Management, and the Arizona Fish and Game Department.

### **PRELIMINARY SCOPE OF SERVICES**

MAG, MCDOT, and Town of Gila Bend staff have developed the following preliminary scope of work for developing a small area transportation plan for the Town of Gila Bend planning area. This agency partnership has formed a project Study Review Team (SRT) for this project. The SRT requests interested consultants to submit a work program and project using this preliminary scope of service as a basis for their proposal.

**Task 1: Project Initiation**

Product: Work Plan

In cooperation with the SRT, 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**

Product: Public Involvement Plan and Public Involvement Summaries

In cooperation with the SRT, 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. Document the findings that result from public involvement events in one or more Public Involvement Summaries. Due to the limited budget, the selected consultant will not be required to conduct an extensive public outreach effort for this STUDY. MAG staff will be responsible for the majority of the public outreach efforts.

**Task 3**            **Data Collection and Forecasting**

Product:            Working Paper 1 - Existing and Future Conditions

Conduct an inventory of existing conditions within the Town of Gila Bend’s planning area, including but not limited to the following activities:

- Interview STUDY partners and other affected interests.
- Review the Town of Gila Bend circulation element goals, policies, and design standards.
- Review/coordinate with existing/ongoing transportation studies in the area.
- Describe current land use patterns.
- Review existing city/county comprehensive plans.
- Identify multi-modal transportation currently in operation.
- Describe characteristics of the physical and cultural environment.

The modeling results and recommended transportation framework identified in the MAG I-8/I-10 Hidden Valley Framework Study will be used for the build-out analysis in Task 3 and will be modified based on recent annexations and land use modifications that have occurred in the Town of Gila Bend planning area. The consultant will need to 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:

- 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 Gila Bend General Plan. Other sources of information include jurisdictions within the STUDY area, developers, and other sources, as appropriate.
- Coordinate with 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 written summaries following all meetings.

**Task 4            Develop Transportation Network Alternatives**

Product:            Working Paper 2 - Network Alternatives

Develop multiple network alternatives for the STUDY area, and assemble up to three (3) alternative bundles based on needs and deficiencies identified in Task 3 and incorporating 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.

Alternatives will be presented to the SRT for review and comment prior to evaluation. The consultant will prepare written summaries following all meetings.

**Task 5            Evaluate Transportation Network Alternatives**

Product:            Working Paper 3 - Alternatives Analysis and Draft Recommendations

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, including land use patterns.
  
- Environmental Justice/Title VI.
  
- Engineering.
  
- Estimated general costs for right-of-way and construction.
  
- Benefit/Cost analysis.

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 Policies and Standards**

Product:            Working Paper 4 - Transportation Policies and Standards

The consultant will update the current Town of Gila Bend Circulation Element transportation policies used to establish minimum design criteria for modifying and constructing transportation facilities within the Town of Gila Bend. Task 6 will also address but not be limited to:

- Right-of-way considerations.
  
- Street cross-sections.

- Transit amenities.
- Bikeways.
- Pedestrian facilities.

Recommendations will be presented to the SRT for review and comment prior to the development of final transportation policy and standards.

**Task 7            Develop Transportation Master Plan Recommendations**

Product:            Final Report and Executive Summary

Based on technically sound methodology established in Task 1 and with the consideration of SRT, stakeholder and public input, develop a transportation master plan for the Gila Bend Planning 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 plan. This program should include (as appropriate) corridor definitions, construction projects, policies, strategies, and standards used to establish minimum design criteria for transportation facilities, and assignment of jurisdictional responsibility and other tasks.

Identify current and future sources and mechanisms of funding that may be available for the implementation of the network, please include nontraditional options; public/private partnerships, toll roads, regional taxation, special districts, etc.

Document the STUDY and its final recommendations in a final report and in an abbreviated form as an executive summary.

**Key Deliverable Study Products**

- Work Plan.
- 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.
- Working Paper 4 - Transportation Policies and Standards.
- Final Report.

- ☐ Executive Summary.

## **PROPOSAL REQUIREMENTS**

### **Project Schedule and Cost**

The estimated time frame for this project is ten (10) 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) at a cost not to exceed \$95,000. The date of the notice to proceed is anticipated to be December 1, 2011, with a contract completion date estimated to be September 30, 2012. Further, out of necessity for planning within the STUDY area, MAG advises the consultant select the project's framework recommendation within **seven (7) months** of the 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. It is recommended that the consultant clearly demonstrate in their proposal their proposal techniques and/or special skill sets their team may possess to ensure completion within the estimated ten (10) month schedule.

### **Proposal Delivery**

1. **Ten (10)** copies of the proposal must be submitted by 11:00 AM Mountain Standard Time (MST) on October 11, 2011. Of these copies, one **must** be identified as an **Original Document** (on the cover) with **original signatures** on the cover letter and the proposer's registration form(s) (Appendix C of this RFP, this includes subconsultants). No electronic images of signatures are allowed in this original copy.

Maricopa Association of Governments  
Attention: Tim Strow  
302 North 1st Avenue, Suite 300  
Phoenix, AZ 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 11:05 AM MST on October 11, 2011, at the MAG Offices, Palo Verde Room, 302 North 1st Avenue, Suite 300, Phoenix, AZ 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 Proposer designates a portion of its proposal as confidential, it shall isolate and identify in writing the confidential portions in 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 the Proposer in writing of the determination and provide the Proposer an opportunity to respond to the decision prior to releasing the proposal.

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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@azmag.gov](mailto:Tstrow@azmag.gov) not later than eight (8) working days prior to the closing date of October 11, 2011. Responses to questions submitted will be posted on the MAG Web site at [www.azmag.gov](http://www.azmag.gov) under “RFPs and RFQs” not later than five (5) working days prior to the closing date of October 11, 2011. Additional information regarding MAG activities, including Committee meeting schedules, may be found on the MAG website at [www.azmag.gov](http://www.azmag.gov).
  
3. A proposer’s conference for the project has been scheduled for 2:00 PM MST, September 22, 2011, at the MAG Office, Cholla conference room, 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 by email at [Tstrow@azmag.gov](mailto:Tstrow@azmag.gov).

**Proposal Content**

It is required that the proposal:

1. Be limited to a maximum length of 25 (twenty-five) pages (8.5" x 11" is preferred; the proposal may include tabloid 11" x 17" pages as appropriate) including a cover letter, résumés, and any appendices. The proposer is asked to exercise judgement in the number of tabloid (11" x17") pages used in their proposal. The cover letter must be signed by a party authorized to bind the entity submitting the proposal to a contract. Blank pages are not included in the total page count.
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. 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.

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.A.C. 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.
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 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.

By signature on the Proposer’s Registration Form, the Proposer certifies that:

- a. The submission of the offer did not involve collusion or other anti-competitive practices.
  - b. The Proposer shall not discriminate against any employee or applicant for employment in violation of the Federal Executive Order 11246.
  - c. The Proposer has not given or offered to give, and does not intend to give at any time hereafter any economic opportunity, future employment, gift, loan, gratuity, special discount, trip favor, or service to a public servant in connection with the submitted offer
  - d. Failure to sign the offer, or the falsity of a statement in a signed offer, shall void the submitted offer or any resulting contracts, and the Proposer may be debarred.
11. 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.

12. All Proposers are required, as specified in 49 CFR 29 (Debarment and Suspension), to certify its eligibility to receive federal funds and a copy of which certification may be furnished to ADOT or other government entities. A certification to that effect is included in this RFP as Appendix F and must be submitted by a Proposer in order for the Proposer to be considered responsible and their Proposal to be considered responsive.

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13. Anti-Lobbying: MAG complies with the provisions of Section 1352 of Title 31, U.S. Code (Public law 101.121) as codified in Title 48, Federal Acquisition Regulations Subpart 3.8 and Subpart 52.203-11 and 23 CFR 630.112(c)(5). That legislation prohibits Federal funds from being expended by a recipient or any lower tier sub-recipients of a Federal contract, grant, loan, or cooperative agreement to pay any person for influencing or attempting to influence a Federal agency or Congress in connection with the award of any Federal contract, the making of any Federal grant or loan, or entering into any cooperative agreement, including the extension, continuation, renewal, amendments or modification of any Federal contract, grant, loan or cooperative agreement.

## **PROPOSER'S CHECKLIST**

**Before submitting a proposal, please make sure that all required information as specified in "Proposal Requirements", pages 6-7 of this RFP have been included.**

- A. Ten (10) copies of the proposal with a maximum of 25 (twenty-five) pages.
- B. Cover letter signed by a party authorized to bind the entity submitting the proposal.
- C. Description of proposer's organization and approach to work required by the solicitation.
- D. Description of a work program and project for Tasks 1-7 as described in "Proposal Content", pages 1-5 of this RFP.
- E. Work plan including preliminary schedule, staffing plan, resumes, and similar experience.
- F. Statement of proposer's certification of compliance with Rules of Professional Conduct.
- G. Labor cost allocation budget.
- H. Signed Proposer's Registration Form for prime contractor and for any proposed subcontractors. Must be signed by a party authorized to bind the entity submitting the proposal.
- I. Documentation of any potential conflicts of interest.
- J. Debarment and Suspension Certification form.
- K. Proposal submitted not later than 11:00 AM MST, October 11, 2011.

## **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 ensure 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 may be made during the week of October 24, 2011, and in-person interviews may be scheduled for the same week. It is anticipated that firms selected for interviews will be contacted approximately one (1) 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 Proposers 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.

## **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 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.
6. 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.

7. Non-Discrimination: MAG, in accordance with Title VI of the Civil Rights Act of 1964, 78 Stat. 252, 42 U.S.C 2000d to 2000d-4 and Title 49, the Civil Rights Restoration Act of 1987 (Public Law 100.259). Code of Federal Regulations, Department of Transportation, Subtitle A, Office of the Secretary, Part 21, Nondiscrimination in Federally-assisted programs of the Department of Transportation issued pursuant to such Act, hereby notifies all Proposers that it will affirmatively insure that in any contract entered into pursuant to this solicitation, minority business enterprises will be afforded full opportunity to submit Proposals in response to this invitation and will not be discriminated against on the grounds of race, color, or national origin in consideration for an award. Any contract resulting from this RFP shall contain Title VI compliance language as specified in Appendix D of this RFP.

**APPENDIX A**

**ARIZONA ADMINISTRATIVE CODE R4-30-301**

**CH. 30**

**BOARD OF TECHNICAL REGISTRATION**

**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

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- 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 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](http://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.

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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 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)	12500	\$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
<b>Total Labor With Overhead and Fee</b>		\$ -	\$ -	\$ -	\$ -		\$ -
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
PM 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
<b>Total Prime Reimbursable Expenses</b>		\$ -	\$ -	\$ -	\$ -		\$ -
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	
<b>Total Subconsultant Costs</b>		\$ -	\$ -	\$ -	\$ -		\$ -
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	
<b>Total Labor With Overhead and Fee</b>		\$0.00	\$0.00	\$0.00	\$0.00		\$0.00
<b>Total Prime Reimbursable Expenses</b>		\$0.00	\$0.00	\$0.00	\$0.00		\$0.00
<b>Total Subconsultant Costs</b>		\$0.00	\$0.00	\$0.00	\$0.00		\$0.00
<b>GRAND TOTAL</b>		\$ -	\$ -	\$ -	\$ -		\$ -

v-6.10.2008

**APPENDIX C**

**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 \_\_\_\_\_  
Is this firm a prime consultant? \_\_\_\_\_ Yes \_\_\_\_\_ No  
Is this firm a sub-consultant? \_\_\_\_\_ Yes \_\_\_\_\_ No  
If so, Identify specialty: \_\_\_\_\_  
Is this firm a certified DBE? \_\_\_\_\_ Yes \_\_\_\_\_ No  
If so, by whom? \_\_\_\_\_  
Is this firm currently debarred? \_\_\_\_\_ Yes \_\_\_\_\_ No  
Is this firm currently the subject of debarment proceeding? \_\_\_\_\_ Yes \_\_\_\_\_ No

2. FINANCIAL INFORMATION

Firm’s annual gross receipts (average of last three 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**

### **TITLE VI AGREEMENT/CONTRACT REQUIREMENTS**

During the performance of this contract, the contractor, for itself, its assignees and successors in interest (hereinafter referred to as the "contractor") agrees as follows:

1. **Compliance with Regulations:** The contractor shall comply with the Regulation relative to nondiscrimination in federally-assisted programs of the Department of Transportation (hereinafter, "DOT") Title 49, Code of Federal Regulations, Part 21, as they may be amended from time to time, (hereinafter referred to as the Regulations), which are herein incorporated by reference and made a part of this contract.
2. **Nondiscrimination:** The contractor, with regard to the work performed by it during the contract, shall not discriminate on the grounds of race, color, national origin, or sex in the selection and retention of subcontractors, including procurements of materials and leases of equipment. The contractor shall not participate either directly or indirectly in the discrimination prohibited by section 21.5 of the Regulations, including employment practices when the contract covers a program set forth in Appendix B of the Regulations.
3. **Solicitations for Subcontractors, Including Procurements of Materials and Equipment:** In all solicitations either by competitive bidding or negotiation made by the contractor for work to be performed under a subcontract, including procurements of materials or leases of equipment, each potential subcontractor or supplier shall be notified by the contractor of the contractor's obligations under this contract and the Regulations relative to nondiscrimination on the grounds of race, color, national origin, or sex.
4. **Information and Reports:** The contractor shall provide all information and reports required by the Regulations or directives issued pursuant thereto, and shall permit access to its books, records, accounts, other sources of information, and its facilities as may be determined by the Arizona Department of Transportation or the Federal Highway Administration to be pertinent to ascertain compliance with such Regulations, orders and instructions. Where any information required of a contractor is in the exclusive possession of another who fails or refuses to furnish this information the contractor shall so certify to the Arizona Department of Transportation, or the Federal Highway Administration as appropriate, and shall set forth what efforts it has made to obtain the information.
5. **Sanctions for Noncompliance:** In the event of the contractor's noncompliance with the nondiscrimination provisions of this contract, the Arizona Department of Transportation shall impose such contract sanctions as it or the Federal Highway Administration may determine to be appropriate, including, but not limited to:
  - a. withholding of payments to the contractor under the contract until the contractor complies, and/or
  - b. cancellation, termination or suspension of the contract, in whole or in part.

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6. Incorporation of Provisions: The contractor shall include the provisions of paragraphs 1 through 5 in every subcontract, including procurements of materials and leases of equipment, unless exempt by the Regulations, or directives issued pursuant thereto. The contractor shall take such action with respect to any subcontract. or procurement as the Arizona Department of Transportation or the Federal Highway Administration may direct as a means of enforcing such provisions including sanctions for non-compliance: Provided, however, that, in the event a contractor becomes involved in, or is threatened with, litigation with a subcontractor or supplier as a result of such direction, the contractor may request the Arizona Department of Transportation to enter into such litigation to protect the interests of the Arizona Department of Transportation, and, in addition, the contractor may request the United States to enter into such litigation to protect the interests of the United States.

**APPENDIX E**

**PROGRESS REPORT FORMAT SAMPLE**

(Consultant's Letterhead)

April 15, 2010

(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 2010

*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, 2010, with the MAG project manager to review data collected for the facilities.

March 21, 2010, with the Advisory Committee to obtain input on the data collection process.

March 23, 2010, with MAG staff to review comments on preliminary database.

March 25, 2010, with the public and special interest groups to obtain input on the distribution of the database.

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Reports or Data Produced: A database in electronic format was produced and provided to MAG staff on March 29, 2010

### **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, 2010, met with MAG staff to finalize the outline for the Inventory Technical Report.

March 10, 2010, 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, 2010, 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, 2010 to discuss the differences between the capacity calculations for this study versus previous studies.

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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, 2010, 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, 2010.

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

**APPENDIX F**

**DEBARMENT/SUSPENSION CERTIFICATION**

STATE OF \_\_\_\_\_ )

SS. \_\_\_\_\_ )

COUNTY OF \_\_\_\_\_ )

I, \_\_\_\_\_ of the City of \_\_\_\_\_, in the County of \_\_\_\_\_ and the State of \_\_\_\_\_, of full age, being duly sworn according to the law of my oath depose and say that:

In accordance with the terms of U.S. DOT regulations, “Nonprocurement Suspension and Debarment,” 2 CFR Part 1200, which adopts and supplements the provisions of U.S. Office of Management and Budget (U.S. OMB) “Guidelines to Agencies on Government-wide Debarment and Suspension (Nonprocurement),” 2 CFR Part 180:

1. Proposer certifies to the best of its knowledge and belief, that it and its principals, including its first tier subcontractors: (a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded or disqualified from covered transactions by any Federal department or agency; (b) Have not within a three-year period preceding its latest application or proposal been convicted of or had a civil judgment rendered against any of them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction, or contract under a public transaction; violation of any Federal or State antitrust statute; or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making any false statement, or receiving stolen property; (c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses listed in subparagraph (1)(b) of this certification; (d) Have not within a three-year period preceding this certification had one or more public transactions (Federal, State, or local) terminated for cause or default.
  
2. Proposer certifies that it and its principals, including its first tier subcontractors will treat each lower tier contract or lower tier subcontract under the Project that (a) equals or exceeds \$25,000, (b) is for audit services, or (c) requires the consent of a Federal official, as a covered contract for purposes of 2 CFR Part 1200 and 2 CFR Part 180, and will otherwise comply with the Federal requirements of 2 CFR Part 1200 and 2 CFR Part 180, and will assure that each lower tier participant involved in the Project is not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded or disqualified from participation in this transaction by any Federal department or agency;

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3. Proposer certifies that if, later, it or its principals, including any of its first tier subcontractors, become aware of any information contradicting the statements of subparagraphs (1)(a) through (d) above, it will promptly provide any necessary information to MAG;
4. If Proposer or any of its principals, including any of its first tier subconsultants or lower tier participants, is unable to certify to the statements within paragraphs 1, 2, and 3 above, the Proposer shall indicate so on its Signature Page.
5. The Proposer further certifies that their firm is not currently debarred, suspended, or proposed for debarment or suspension by the State of Arizona, or any subdivision thereof.
6. Proposer agrees to notify MAG of any change in the status or facts certified above, should one occur, until such time as the Contract is actually executed by MAG, and thereafter during performance of the Contract.

Dated: \_\_\_\_\_

\_\_\_\_\_  
Signature of Proposer

\_\_\_\_\_  
Printed/Typed Name of Proposer

Corporate seal (if applicable)

Sworn to before me this \_\_\_\_ day of \_\_\_\_\_, 2011, in the County of \_\_\_\_\_,

State of \_\_\_\_\_

\_\_\_\_\_  
Notary Public