

**REQUEST FOR PROPOSALS**

**NORTHWEST VALLEY LOCAL TRANSIT SYSTEM STUDY  
(NWVLTSS)**



January 27, 2012

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## **PUBLIC NOTICE**

### **REQUEST FOR PROPOSALS:**

**FY 2012-2013**

### **NORTHWEST VALLEY LOCAL TRANSIT SYSTEM STUDY (NWLTS)**

The Maricopa Association of Governments (MAG) is requesting proposals from qualified consultants for the FY 2012-2013 Northwest Valley Local Transit System Study. The study purpose is to identify opportunities and strategies for improving the existing transit service in the northwest valley and to develop a short, mid, and long range local transit plan that effectively provides local transit and para-transit circulation options within the northwest valley and also connects to the regional transit system. The project will be completed in a maximum of twelve (12) months from the date of the notice to proceed at a cost not to exceed \$238,000.00.

Detailed proposal requirements may be obtained by contacting the MAG Office at the address indicated below or may be downloaded from <http://www.azmag.gov/>, under "RFPs and RFQs." For further information, please submit questions in writing by fax to the attention of Marc Pearsall at (602) 254-5094, or by e-mail to [mpearsall@azmag.gov](mailto:mpearsall@azmag.gov) not later than eight (8) working days prior to the closing date of February 24, 2012. Any addenda responding to questions will be posted on MAG's Web site at <http://www.azmag.gov> under "RFPs and RFQs" not later than five (5) working days prior to the closing date of February 24, 2012.

Proposals will be accepted until 12:00 PM noon MST (Mountain Standard Time) on February 24, 2012, at MAG, 302 North 1st Avenue, Suite 300, Phoenix, AZ 85003. MAG's business hours are 8:00 AM to 5:00 PM, MST, Monday through Friday.

## **SCOPE OF SERVICES**

### **Introduction**

The Maricopa Association of Governments (MAG) is requesting proposals from qualified consultants for a study to identify opportunities and strategies for improving the existing transit service and developing an integrated local transit system in the northwest valley that effectively connects to the regional transit system. Communities that will participate in the study include El Mirage, Glendale, Peoria, Surprise, Youngtown, and the surrounding unincorporated portions of Maricopa County which include the communities of Sun City, Sun City West and Sun City Grand; agencies that will participate in this study include Arizona Department of Transportation (ADOT) and the Regional Public Transportation Authority (RPTA-Valley Metro). Additional stakeholders will also be included through a public involvement process. The Northwest Valley Local Transit System Study will recommend: (1) options for making the existing or planned transit service more efficient; (2) a market-defined local transit system in the northwest valley for the short, mid, and long range time frames that also connects to the regional transit system; (3) the cost of implementing such a transit system; (4) funding strategies needed to implement an integrated local transit system; and (5) an implementation road map.

### **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 study area boundaries are as follows: Loop 101 (Agua Fria Freeway) to the east, Crozier Road (Wittmann, AZ.) to the west, Dove Valley Road to the north, and Northern Avenue to the south. See Appendix G for the study area boundaries.

The study area has experienced an extended period of rapid population growth, as now confirmed in the 2010 US Census. In addition, the study area has also seen employment growth. However, due to the economic downturn, certain bus routes have reduced levels of service, others have been suspended, and planned regional services may be significantly delayed. This study sets out to address these concerns. The study has two purposes: (1) the first is to identify potential efficiencies in the current service and (2) the second, which is the most important, is to develop a comprehensive, market-defined, local transit system plan that meets the internal mobility needs of the subarea and ties the subarea to the regional transit system.

MAG and its stakeholders have completed or are in the process of completing several studies that are relevant to this project. Some of those studies include, the Regional Transit Framework Study (RTFS), the Commuter Rail System Study (CRSS), the BNSF Railway Grand Avenue Commuter Rail Corridor Development Plan (BNSF-CRCDP), Sustainable Transportation Land Use Integration Study (STLUIS), the RPTA-Valley Metro Regional Paratransit Study, and various other regional transit studies.

The RTFS identified regional transit needs beyond what is currently funded through the Regional Transportation Plan (RTP). The Framework helped establish a regional transit vision for 2050, with more detailed project descriptions for the year 2030. The study process was more "market-based" than past transit planning efforts in the MAG region and took into consideration system compatibility factors such as land use, local plans and policies, and other regional and statewide efforts. The Framework included three potential scenarios for developing the future transit system, based on funding levels identified in six peer regions. Within each scenario, the Framework recommended improvements for three specific types of High Capacity Transit service: (1) Bus Rapid Transit (BRT); (2) Light Rail Transit (LRT); and (3) Commuter Rail Transit (CRT).

The CRSS and BNSF-CRCDP established priorities for implementing commuter rail service through an evaluation of ridership potential, ridership forecasting, operating strategies, cost effectiveness, capital and operating costs, vehicle technology, and implementation options. The study identified a future 110-mile system to provide higher speed transit connections across the region.

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Other finalized studies include, but are not limited to, the I-10 Hassayampa Valley Study and the I-8 and I-10 Hidden Valley Study. Other relevant studies for this project that are currently underway include, but are not limited to, the Central Phoenix Framework Study and the Sustainable Transportation and Land Use Study. The consultant is expected to review all necessary studies, executed or underway, pertinent to this project.

The proposed tasks for this study have been developed to provide the following result:

A comprehensive, phased, market-defined, fully integrated local transit system plan for the northwest valley that effectively connects to the regional transit system. In addition, a financial and implementation road map that outlines the strategies needed to be performed by the individual jurisdictions, the subarea, and the region in implementing such a transit plan.

**Proposed Tasks**

In preparing a proposal for consideration by MAG, the consultant should go beyond the study intent specified in the paragraph above in order to fully identify all opportunities and strategies for improving the existing transit service and developing a phased and fully integrated local transit system in the northwest valley that also connects to the regional transit system. The consultant is encouraged to be creative in developing a sound, market based, analytical approach which achieves the goals for this project. The consultant is urged to be as specific as possible when describing the activities that will be performed to support each task. The consultant is also urged to make maximum use of matrices, tables, and drawings in working papers produced for the project to ensure conciseness and clarity and to minimize the amount of text required. In preparing a proposal for consideration by MAG, the consultant will not be limited to the proposed tasks specified below. Based upon professional experience, additional tasks may be warranted.

Task 1                      Refine Scope of Services, Project Schedule, Project Management Plan, and Study Area

The consultant will hold a kick-off meeting and refine the Scope of Services and project schedule, and also prepare a project management plan that includes the appropriate quality assurance measures. In addition, throughout the course of this project, inquiry and discussion may result in some revisions to the Scope of Services and Project Schedule. As necessary, the consultant will refine the Scope of Services for this project based upon professional experience and input from MAG. 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. This work will be performed under the general direction of the MAG project manager.

The consultant, in coordination with the project manager, will review and refine the proposed study area by, for example, either reducing its size, splitting it into cores, phases, or other options. A refined study area is key in developing a phased, effective, comprehensive, and market-based transit plan.

Task 2                      Planning Process Coordination, Monitoring, and Public Involvement Plan

Effective communication will be essential for the success of this study. Under this task, the consultant will engage agency staff and the general public in the planning process. Activities under this task will include the following:

- A. Prepare and implement a proactive public involvement program, taking into account ongoing public involvement in related planning studies and other activities. The program should provide opportunities for obtaining input from and presenting study findings to northwest valley residents, city staff, existing and potential transit customers, employers, and the business community. Elements of the public involvement program should include the following: stakeholder interviews, including engaging communities of concern; a survey to gauge public perceptions about transit service; participation in existing public forums and social media; fact sheets or newsletters; presentation materials; and a final project brochure for distribution. Proposers are encouraged to identify additional tools and opportunities to encourage effective public and agency involvement in the study process.

- B. Establish and support a Project Management Team (PMT), composed of staff from MAG, the City of El Mirage, the City of Glendale, the City of Peoria, the City of Surprise, the Town of Youngtown, Maricopa County (to represent the Sun City, Sun City West and Sun City Grand communities); Maricopa County Department of Transportation(MCDOT), Arizona Department of Transportation (ADOT) and the Regional Public Transportation Authority (RPTA-Valley Metro). The PMT will meet regularly to provide input and review work products.
- C. Provide briefings and presentations to cities and towns, transit agencies, and MAG committees.

**Task 3**

**Existing and Future Population, Transportation, and Land Use Conditions**

The consultant will collect, evaluate, and summarize existing and future socioeconomic and demographic data, as well as transportation and land use information necessary to determine the market need for the subarea's short, mid, and long range transit options. The analysis will help to develop a market-defined local transit system in the northwest valley that can connect to the regional transit system. General activities under this task include a review and summary of the following elements:

- A. Subarea socioeconomic and demographic data.
- B. Relevant transportation, transit, and land used studies, plans and reports across the local, subarea, region, and the state level that relate to the tasks for this study (e.g. Building a Quality Arizona, the RPTA's Transit Life Cycle Program, etc.).
- C. Existing and planned activity centers, land use data (including planned communities), development codes and plans (general and/or specific area plans).
- D. Transit ridership and market demand data.
- E. Regional travel demand forecasts from the MAG TransCAD model (available forecast years include 2010, 2015, 2021, 2025, 2031).
- F. Inventory and documentation of current transit infrastructure including bus stops, transit centers, park and rides, pedestrian accessibility, etc.
- G. Review and document the existing and planned transit service in the subarea and identify if the service is operating efficiently or if minor and/or cost neutral modifications can help in increasing ridership and improve the transit customer experience.
- H. Identify and document best practices and strategies of local transit systems.

**Task 4**

**Northwest Valley Local Transit Service Needs: Short, Mid, and Long Range**

The consultant will perform a subarea analysis and determine the phased transit needs for the short, mid, and long range time frames. This analysis will include an identification of potential transit modes (e.g., circulators, local fixed route service, demand response, etc.) and their application within the subarea. The evaluation of needs will also consider both local circulation and opportunities to connect with the existing and planned regional transit system. Activities will include the following components:

- A. Potential transit supportive policies and guidelines to encourage transit ridership and access to transit.
- B. Development of a draft short, mid, and long range northwest valley local transit service plan based on market demand, options for seniors and people with disabilities, services to provide for local circulation and connections to activity centers,

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connections to the existing and planned regional transit system, federal compliance, etc.

- C. Proposed level of service for each corridor, routing alignments, infrastructure improvements (including bus stops), and service modes.
- D. Proposed lifeline level of transit service for each phase. The lifeline level of service is the base level of transit service that maintains internal and regional connectivity for subarea residents, in particular the transit dependent populations.
- E. Opportunities to connect to neighboring and regional transit service.

**Task 5**

**Financial Analysis**

Based on the needs identified in Task 4, the consultant will perform a financial analysis that includes funding options and the various costs for all of the services being considered. The analysis will include the following components:

- A. Funding requirements, including annual capital and operating costs.
- B. Funding strategies and opportunities, including potential local funding options for the northwest valley.

**Task 6**

**Northwest Valley Local Transit System Plan**

The consultant will prepare the comprehensive, phased, and market-based Northwest Valley Local Transit System Plan. The plan should balance the service requirements for the short, mid and long term needs from Task 4 with the financial analysis of Task 5. The Transit Plan will include the following components for each phase:

- A. Options and recommendations for a transit service operator.
- B. Routing alignments, service levels (including a lifeline level of service), and required infrastructure.
- C. Detailed financial plan.
- D. Development of performance measures and a service evaluation plan for meeting, outperforming, or addressing underperforming service.
- E. Outlines of the strategies or tasks needed to be performed by the individual jurisdictions, the subarea, and the region in implementing the transit plan identified in this study.

**Task 7**

**Study Record**

- A. Assemble all final products(hard copy and electronic) from the study tasks into a complete study record.

**Deliverable Products**

The products of this project are listed below. Each working paper should present information in a succinct manner with extensive use of tables, matrices and drawings. The working papers ultimately will be consolidated into a final report. An administrative draft of each working paper will be submitted in both electronic and hard copy format to the MAG project manager for review. Comments from the MAG project manager will be incorporated into the working paper by the consultant, before it is distributed for external review. Comments received during the external review process will be incorporated into the working paper by the consultant, which will then become a chapter in the draft final report.

1. Working Paper 1 - Revised Scope of Services, Project Schedule, Project Management Plan, and Refined Study Area.
2. Working Paper 2 - Project Support and Public Involvement Plan.
3. Working Paper 3 - Existing and Future Population, Transportation, and Land Use Conditions.
4. Working Paper 4 - Northwest Valley Local Transit Service Needs: Short, Mid, and Long Range.
5. Working Paper 5 - Financial Analysis.
6. Northwest Valley Local Transit System Plan.
7. Compilation of all electronic and hard copy study working papers, documents, and reports.

## **PROPOSAL REQUIREMENTS**

### **Project Schedule and Cost**

The estimated time frame for this project is 12 (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 at a cost not to exceed \$238,000.00. The date of the notice to proceed is anticipated to be March 26, 2012.

### **Proposal Delivery**

1. Ten (10) copies of the proposal must be submitted by 12:00 noon (Mountain Standard Time) on February 24, 2012.

Maricopa Association of Governments  
Attention: Marc Pearsall  
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, immediately after the submittal deadline, at 12:05 PM on February 24, 2012, at the MAG Offices, Agave Room, 302 North 1st Avenue, Suite 100 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.

2. Any questions regarding this Request for Proposals should be submitted in writing to Marc Pearsall by fax at (602) 254-6490 or by email at [mpearsall@azmag.gov](mailto:mpearsall@azmag.gov) not later than eight (8) working days prior to the closing date of February 24, 2012. Responses to questions submitted will be posted on MAG's Web site at <http://www.azmag.gov> under "RFPs and RFQs" not later than five (5) working days prior to the closing date of February 24, 2012. Additional information regarding MAG activities, including Committee meeting schedules, may be found on the MAG Web site at <http://www.azmag.gov>.
3. A proposer's 'pre proposal' conference for the project has been scheduled for 1:00 PM, February 10, 2012, at the MAG Offices, Ironwood Room, 302 North 1st Avenue, Suite 200, Phoenix, AZ 85003. 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 [mpearsall@azmag.gov](mailto:mpearsall@azmag.gov).

**Proposal Content**

It is required that the proposal:

1. Be limited to a maximum length of 30 (thirty) pages, not 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 to a contract. Blank pages do not count towards the maximum length of 30 (thirty) pages. Use of 8.5 x 11 size paper and vertical format is encouraged.
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.

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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.
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", page 6 of this RFP, have been included.**

- A. Ten (10) copies of the proposal with a maximum of thirty (30) 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 qualifications and other twelve points of pertinent information as described in "Proposal Content", pages 7-8 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 12:00 noon (Mountain Standard Time) on February 24, 2012.

## **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 March 5, 2012 and in-person interviews may be scheduled for the week of March 5, 2012. 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 sample 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
  - 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

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- 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 <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.
  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			
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			
<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		\$0.00	
<b>Total Prime Reimbursable Expenses</b>		\$0.00	\$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		\$0.00	
<b>GRAND TOTAL</b>		\$ -	\$ -	\$ -	\$ -	\$ -		\$ -	

**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.
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.

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.

## **Maricopa Association of Governments(MAG) RFP FY2012-2013 Northwest Valley Local Transit System Study**

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.

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;
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.

**Maricopa Association of Governments(MAG) RFP FY2012-2013 Northwest Valley Local Transit System Study**

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 \_\_\_\_\_, 2012, in the County of \_\_\_\_\_,

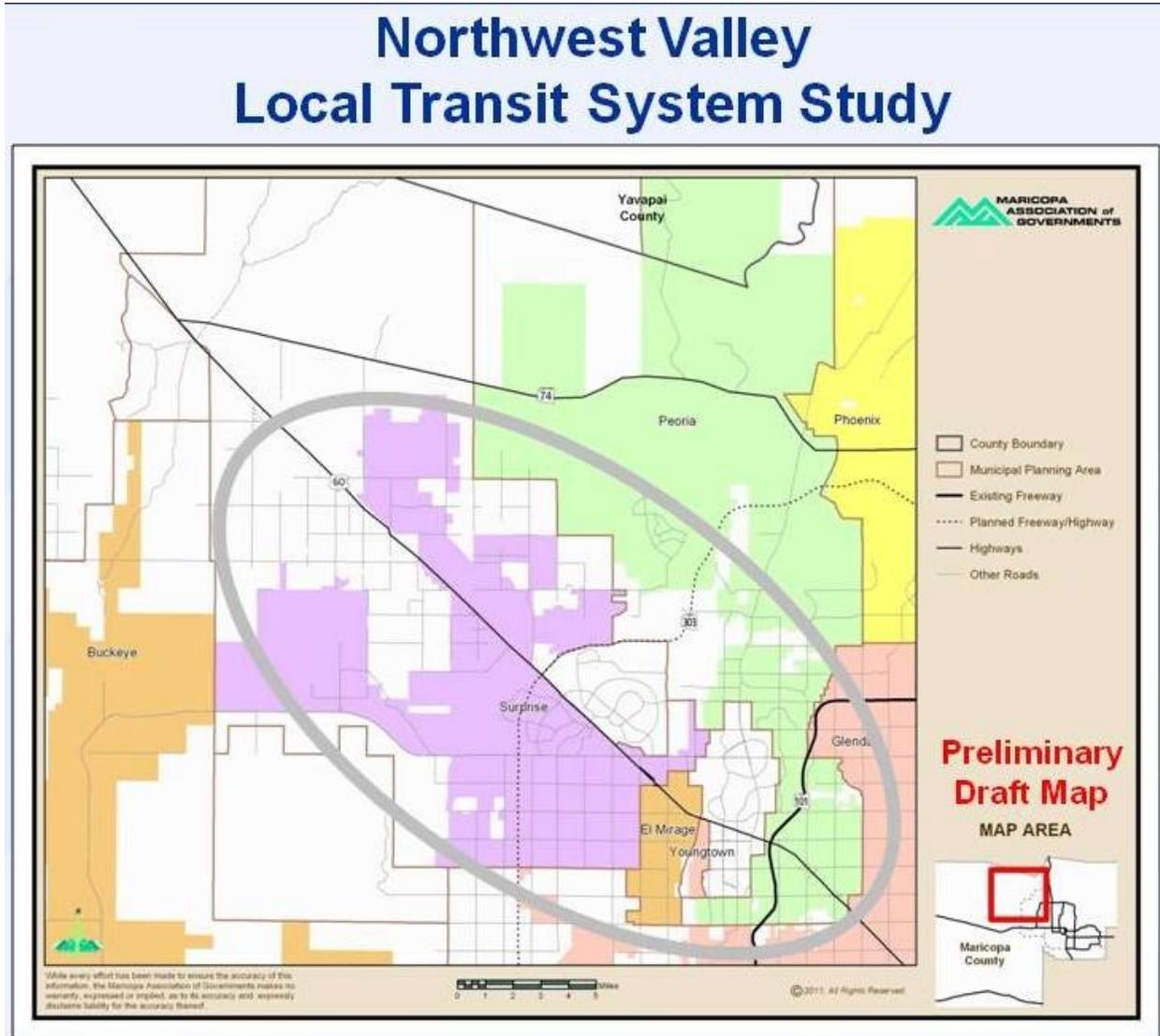
State of \_\_\_\_\_

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

# NORTHWEST VALLEY LOCAL TRANSIT SYSTEM STUDY (NWLTS)

## APPENDIX G

### STUDY AREA MAP



GENERAL AREA OF STUDY - SUBJECT TO ADJUSTMENT