

REQUEST FOR PROPOSALS
MARICOPA ASSOCIATION OF GOVERNMENTS (MAG)
FY 2016 INTERSTATE 10 / PAPAGO FREEWAY TUNNEL TRAFFIC OPERATIONS
STUDY



FEBRUARY 16, 2016

TABLE OF CONTENTS

PUBLIC NOTICE.....	i
SCOPE OF SERVICES.....	1
PROPOSAL REQUIREMENTS AND CONTENT	4
PROPOSER’S CHECKLIST.....	7
PROPOSAL DELIVERY AND OPENING.....	8
PROPOSAL EVALUATION AND SELECTION PROCESS	9
ADMINISTRATIVE REQUIREMENTS.....	11
APPENDIX A – LABOR COST ALLOCATION BUDGET	14
APPENDIX B – ARIZONA ADMINISTRATIVE CODE R4-30-301	15
APPENDIX C – PROPOSER’S INFORMATION FORM.....	18
APPENDIX D – DEBARMENT/SUSPENSION CERTIFICATION.....	19
APPENDIX E – TITLE VI AGREEMENT/CONTRACT REQUIREMENTS.....	21
APPENDIX F – PROGRESS REPORT FORMAT SAMPLE	23

PUBLIC NOTICE

REQUEST FOR PROPOSALS

FY 2016 INTERSTATE 10 / PAPAGO FREEWAY TUNNEL TRAFFIC OPERATIONS STUDY

The Maricopa Association of Governments (MAG) is requesting proposals from qualified consultants for the FY 2016 Interstate 10 / Papago Freeway Tunnel Traffic Operations Study. The purpose of the project is to study potential long-term capital improvements to the northern leg of the I-10 Inner Loop for meeting the existing and future travel demand. The project will be completed in a maximum of 24 months from the date of the notice to proceed at a cost not to exceed \$75,000.

Detailed proposal requirements may be obtained by contacting the MAG Office at the address indicated below or may be downloaded from <http://www.azmag.gov>, then "RFPs and RFQs." For further information, please submit questions in writing by email to BHazlett@azmag.gov not later than ten (10) working days prior to proposal acceptance date and time. Any addenda responding to questions will be posted on MAG's website at <http://www.azmag.gov> under "RFPs and RFQs" not later than six (6) working days prior to the closing date of March 30, 2016.

Proposals will be accepted until 8:15 AM MST (Mountain Standard Time) on March 30, 2016, at MAG, 302 North First Avenue, Suite 200, Phoenix, AZ 85003.

SCOPE OF SERVICES

Introduction

The purpose of this Request for Proposals (RFP) is to solicit proposals from qualified consultants for the FY 2016 Interstate 10 / Papago Freeway Tunnel Traffic Operations Study.

Interstate 10 is part of the downtown Phoenix “Inner Loop” system that circles the central business district. The Inner Loop’s north leg is the subject of this study. The project is located along Interstate 10 between reference post 142.14 (expressed in miles) at the 35th Avenue traffic interchange and reference post 148.59 (expressed in miles) at the Washington St/Jefferson St couplet traffic interchange. In addition, the study will consider the influences this Interstate 10 segment has for a half-mile north and south on Interstate 17, a half-mile north on SR-51, and a half-mile east on Loop 202 (SR-202L).

Background

The Maricopa Association of Governments (MAG) is a Council of Governments (COG) that serves as the regional agency for the metropolitan Phoenix area. When MAG was formed in 1967, the elected officials recognized the need for long-range planning and policy development on a regional scale. They realized that many issues such as transportation and air quality affected residents beyond the borders of their individual jurisdictions.

MAG was founded in the spirit of cooperation. MAG members believe that by uniting, they can solve common problems, take an active role in long-range regional issues and address concerns that affect all of the communities.

MAG is the designated metropolitan planning organization (MPO) for transportation planning in the Maricopa metropolitan region. MAG has also been designated by the Governor to serve as the principal planning agency for the region in a number of other areas, including air quality, water quality management and solid waste management. In addition, through an Executive Order from the Governor, MAG develops population estimates and projections for the region.

Interstate 10 is part of the downtown Phoenix “Inner Loop” system that circles the central business district. For this project, the Inner Loop’s north leg is the subject of this study. More specifically, the project is located along Interstate 10 between reference post 142.14 (expressed in miles) at the 35th Avenue traffic interchange and reference post 148.59 (expressed in miles) at the Washington St/Jefferson St couplet traffic interchange. In addition, the study will consider the influences this Interstate 10 segment has for a half-mile north and south on Interstate 17, a half-mile north on SR-51, and a half-mile east on Loop 202 (SR-202L). The study segment presently carries between 180,000 and 280,000 vehicles per day and represents some of the highest travel demand in the Valley.

This segment has two system interchanges, the Interstate 17 “Stack” and SR-51/SR-202L “Mini-Stack,” and is presently constructed with between six- and ten-general purpose lanes and two high occupancy vehicle (HOV) lanes in both directions. A prominent feature for this Interstate 10 segment is the Margaret T. Hance Deck Park Tunnel that begins at Third Avenue and ends at Third Street for a distance of a half-mile.

Access is provided through general purpose traffic interchanges at 35th Avenue, 27th Avenue (partial to/from I-10 on the west), 19th Avenue (partial to/from I-10 on the east), Seventh Avenue, Seventh Street, 16th Street (partial to/from I-10 on the west), and the Washington St/Jefferson St one-way couplet. Additional direct HOV (DHOV) traffic interchanges are provided at Fifth Avenue-Third Avenue (to/from I-10 on the west), Third Street (to/from I-10 on the east), between Interstate 10 West and Loop 202/Red

Mountain Freeway and between Interstate 10 East and SR-51/Piestewa Freeway in the Mini-Stack system interchange.

ADOT recently completed a traffic safety study for the majority of this study segment. The study identified various low-cost, short term, and operational recommendations for improving the traffic flow based upon the existing geometry of the freeway and its current traffic interchanges. For the purposes of this project, MAG is requesting that these recommendations be considered as a basis for potential long-term capital improvements. It is recognized that the Deck Park Tunnel represents a constraint and that further widening to this portion of Interstate 10 is prohibitive. However, building upon the recommendations from the safety study, the question about ramp braiding and introducing collector-distributor lanes needs to be considered in identifying a long-term permanent solution for meeting the existing and future travel demand. The following scope of services is recommended for this project.

PROPOSED TASKS

The Proposer is encouraged to be creative in developing a sound analytical approach which achieves the goals for this project. The Proposer is urged to be as specific as possible when describing the activities that will be performed to support each task. The Proposer 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 Proposer will not be required to adhere strictly to the proposed tasks specified below. Additional tasks may be warranted.

Task 1. Initiate Project

The CONSULTANT will initiate this study with necessary reviews to become familiar with this segment of Interstate 10, including, but not limited to, the following activities: collection of technical data and meetings with the project's partners for obtaining background and perspective. Products from this task will include a project management plan brief with time line for completing the study's tasks.

Task 2. Establish Alternatives

The CONSULTANT will establish a process for identifying alternatives that could accommodate the travel demand for this segment of Interstate 10 based upon current MAG socioeconomic datasets forecasted for the 2040 horizon. A microsimulation model is recommended for this project to identify the precise pinch-points and to determine possible remedies, such as braided ramps and/or collector distributor ramps and roads, which would facilitate the travel demand in advance of the segment's two system interchanges at Interstate 17 and SR-51/Loop 202. Based upon the established alternatives, the CONSULTANT will produce line work to evaluate sight distance for safety and the horizontal- and vertical-suitability for their implementation. For purposes of this study, it is recommended that up to three conceptual alternatives be established.

Task 3. Analyze Alternatives

The CONSULTANT will establish an evaluation process with criteria approved by the project planning partners. Criteria for this project may include, but not be limited to, the following: capacity, accessibility, constructability, safety, land use impacts, social, and cost. Using the established criteria, the CONSULTANT will perform the appropriate studies to evaluate the alternatives.

Task 4. Develop Study Recommendations and Implementation Study

The CONSULTANT will work with the project's partners to provide summaries of the alternative's evaluation and conduct appropriate screening to identify a recommendation.

Included in this recommendation will be a format for identifying appropriate public outreach in future phases of this project as it is incorporated as recommendations for the MAG Regional Transportation Plan. An Implementation Strategy is recommended for identifying the potential phasing of long-term capital improvements through a cash-flow strategy identified by MAG and its planning partners.

Task 5. Document Project

The CONSULTANT will develop a project report documenting this Study's process, findings, recommendations, and implementation strategy. An appropriate level of engineering detail will be provided in the project report. All CAD/Engineering files during this study would be made available for future design and construction phases.

Deliverable Products:

Required products of this project are listed below. An administrative draft of each deliverable will be submitted in electronic form and, when requested, hard copy format, to the MAG project manager for review. Comments from the MAG project manager will be incorporated into the deliverable by the CONSULTANT, before it is distributed for external review. Comments received during the external review process will be incorporated into the final drafts.

1. Deliverable 1. Project initiation with project management plan brief with time line for completing the study's tasks.
2. Deliverable 2. Using a microsimulation model, or similar product, that will facilitate the travel demand in advance of the segment's two system interchanges at I-17 and SR-51/Loop 202, establish three conceptual alternatives. The CONSULTANT will produce line work to evaluate sign distance for safety and the horizontal- and vertical- suitability for the alternatives implementation.
3. Deliverable 3. Establish an evaluation process with criteria approved by the project planning partners. Using the established criteria, the CONSULTANT will perform the appropriate studies to evaluate the alternatives.
4. Deliverable 4. Summarize the alternative evaluation and conduct appropriate screening to identify study recommendations and implementation strategy.
5. Deliverable 5. Develop a project report documenting the Study's process, findings, recommendations, and implementation strategy.

PROPOSAL REQUIREMENTS AND CONTENT

Project Schedule and Cost

The estimated time frame for this project is 24 months from the date of the notice to proceed, with intermediate deliverables due in accordance with the schedule as agreed between MAG and the Proposer(s) at a cost not to exceed \$75,000. The date of the notice to proceed is anticipated to be June 6, 2016.

Proposal Content

It is required that the proposal include the following items in the same order as they are listed below. Failure to provide the requested information may result in rejection of the proposal. Brief and concise submittals are encouraged. The total number of pages must not exceed 45, entirely on letter size (8.5 x 11 inches), excluding the resumes, the cover letter, tabs, appendices, and forms. Blank pages are not included in the total page count. The outside packaging of the submittal must be clearly marked with the Project Title, the RFP Due Date, and the Proposer's name.

1. **Identification.** A cover letter or equivalent which includes:
 - a. The title of this solicitation.
 - b. Proposer's name and business address.
 - c. The name, title, mailing address, and telephone number and email address of the principal contact.
 - d. Signature from a representative or officer authorized to bind the CONSULTANT.
2. **Table of Contents.**
3. **Organization and Approach.** A brief statement describing the Proposer's organization and outlining its approach to completing the work required by this solicitation. This statement shall briefly illustrate the Proposer's overall understanding of the project.
4. **Work Plan.** A concise explanation of how the Proposer 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.
5. **Preliminary Schedule.** A project schedule in bar-chart format will indicate all work plan tasks and their durations. The schedule shall clearly identify project deliverable dates.
6. **Staffing Plan.** 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.

7. **Résumés.** Include résumés for major staff members assigned to the project. These résumés should focus on their experience in this type of project.
8. **Budget.** A completed labor cost allocation budget formatted as noted in Appendix A.
9. **Recent Examples.** Proposer's recent experience in performing work similar to that anticipated herein. This description shall include the following:
 - a. Date of the project.
 - b. Name and address of client organization.
 - c. Name and telephone number of the individual in the client organization that had management responsibility for the project.
 - d. Brief description of the project.
 - e. Proposer team members involved and their roles.
10. **Additional Information.** Any additional information that the Proposer believes would be useful to MAG in evaluating the proposal.

----- Forms and Appendices -----

11. **Rules of Professional Conduct Certification Statement.** A signed statement, located on the last page of Appendix B, certifying that CONSULTANT will comply with, in all respects, the rules of professional conduct set forth in A.A.C. R4-30-301 (Appendix B), which is the official compilation of Administrative Rules and Regulations for the State of Arizona.
12. **Information Form.** A completed Proposer's Information Form (Appendix C). If applicable, completed Proposer's Information Form for each Subconsultant proposed for this project.

By signature on the Proposers Information Form, the consultant certifies that:

 - a. The submission of the offer did not involve collusion or other anti-competitive practices.
 - b. The Proposer will not discriminate against any employee or applicant for employment in violation of 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.
13. **Debarment and Suspension Certification.** As required by 49 CFR 29 (Debarment and Suspension), certification of Consultant's eligibility to receive Federal funds and a copy of such certification for which may be furnished to ADOT or other government entities. A certification to this effect is included in this RFP as Appendix D and must be submitted by Proposer in order for Proposer to be considered responsible and their proposal to be considered responsive.
14. **Conflict of Interests.** Each Proposer shall document within its proposal any potential conflicts of interests. A conflict of interest shall be cause for disqualifying a Proposer from consideration. A potential conflict of interest includes, but is not limited to:

MAG RFP for FY 2016 Interstate 10 / Papago Freeway Tunnel Traffic Operations Study

- a. Accepting an assignment where duty to the client would conflict with the Proposer'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 shall be the final determining body as to whether a conflict of interest exists.

15. **Confidential Portions Identification.** In accordance with Arizona Administrative Code R2-7-103, CONSULTANT may designate as confidential portions of a Proposal. A summary index of any such designation must be included in the Table of Contents or cover letter in the Proposal documents. If MAG determines to disclose the information provided, MAG shall inform the CONSULTANT in writing of such determination.
16. **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 all required information as specified in "Proposal Requirement" have been included.

1. Nine (9) copies of the proposal with a maximum of 45 pages.
2. Cover letter signed by a party authorized to bind the entity submitting the proposal.
3. Description of Proposer's organization and approach to work required by the solicitation.
4. Work plan including preliminary schedule, staffing plan, résumés, and similar experience.
5. Labor cost allocation budget.
6. Signed certification of Proposer's compliance with the rules of professional conduct set forth in A.A.C. R4-30-301.
7. Signed Proposer's Information Form for Prime consultant and for any proposed Subconsultants. Must be signed by a party authorized to bind the entity submitting the proposal.
8. Documentation of any potential conflicts of interest.
9. Debarment and Suspension Certification form.
10. Proposal submitted not later than March 30, 2016.

PROPOSAL DELIVERY AND OPENING

1. Nine (9) copies of the proposal must be submitted by 8:15 am Mountain Standard Time (MST), March 30, 2016, to the following address:

Maricopa Association of Governments
Attention: Bob Hazlett
302 North First Avenue, Suite 200
Phoenix, AZ 85003

Timely receipt of proposals shall be determined by the date and time the proposal is received at the above address. No late submissions, facsimile, or electronic submissions shall be accepted after the time indicated. Hand delivery is therefore encouraged to assure timely receipt. Proposals received after the deadline shall be stamped for time and date and returned unopened to the Proposer.

Proposals will be opened publicly and the name of each entity submitting a proposal will be read at 8:20 AM MST on March 30, 2016 at the MAG Offices, Room, 302 North First Avenue, Suite 200, Phoenix, AZ 85003.

All material submitted in response to this solicitation becomes the property of MAG and shall 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 and shall be included in the proposal. Upon receipt of written notification, MAG will review any portions of the proposal that the Proposer considers to be confidential and will then make a determination on what should be released. MAG will also notify the Proposer in writing of the determination and provide an opportunity for the Proposer to respond to the decision prior to releasing the proposal.

2. Any questions regarding this Request for Proposals should be submitted in writing to Bob Hazlett, Senior Engineering Project Manager by email at BHazlett@azmag.gov not later than ten (10) working days prior to the closing date of March 30, 2016. Responses to questions submitted will be posted on the MAG Web site at <http://www.azmag.gov> under "RFPs and RFQs" not later than six (6) working days prior to the closing date of March 30, 2016. Additional information regarding MAG activities, including Committee meeting schedules, may be found on the MAG Web site <http://www.azmag.gov>.

PROPOSAL EVALUATION AND SELECTION PROCESS

1. **Evaluation Criteria.** All proposals will be evaluated by a group consisting of MAG staff and member agencies. Evaluation criteria include, but are not limited to, 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 RFP.
 - c. Education and relevant experience of personnel in providing similar services. Only those personnel assigned to work directly on each area should be cited.
 - d. Proven track record in this area of study. Proposer should clearly 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 deliver required products and services, 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. **Interviews.** On the basis of the above evaluation criteria, selected firms submitting proposals may be interviewed prior to the selection of a consultant. 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 likely to be selected for the 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 will, in its judgment, best meet MAG's needs, despite any differences in estimated project costs between the proposer and all others.
 - d. Negotiate a contract that covers selected parts of a proposal, or a contract that will be interrupted for a period, or canceled, for lack of funds.
 - e. Conform with the State of Arizona Public Records law(s).
5. **Contact with MAG or MAG Member Agency Employees.** All firms interested in this RFQ/RFP (including the firm's employees, representatives, agents, lobbyists, attorneys, and subconsultants) will refrain, under penalty of disqualification, from direct or indirect contact for the purpose of influencing the selection or creating bias in the selection process with any person who may play a part in the selection process. This policy is intended to create a level playing field for

all potential firms, and to protect the integrity of the selection process. All questions on this selection process should be addressed to the authorized representative at MAG.

6. **MAG Approval.** A recommendation for approval of the consultant selection shall be made by the MAG Executive Director to the MAG Regional Council. The decision of the Regional Council is final.

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 Subconsultants, payments to any Subconsultants, 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: Workers' 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 (3) years.

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

7. Non-Discrimination:
 - a. During the performance of this procurement, MAG, its Consultants, Subconsultants, assignees and successors shall:
 - i. Not discriminate on the basis of race, color, national origin, or sex and shall carry out applicable requirements of 49 CFR Part 26 in the performance of this Contract. Failure by the Consultant to carry out these requirements is a material breach of this Contract, which may result in the termination of this Contract, disqualification from proposing on other Contracts or other remedy as the State deems appropriate.
 - ii. Comply with Executive Order 2009-09, "Prohibition of Discrimination in Employment by Government Contractors and Subcontractors," which is hereby included in its entirety by reference and considered a part of this Contract.
 - iii. Comply with the provisions of Executive Order 11246, entitled "Equal Employment Opportunity," as amended by Executive Order 11375, and as supplemented in Department of Labor Regulations (41 CFR Part 60). Said

provisions are made applicable by reference and are hereinafter considered a part of this Contract.

- iv. Post in conspicuous places available to employees and applicants for employment, the following notice:

“It is the policy of this company not to discriminate against any employee, or applicant for employment, because of race, color, religion, creed, national origin, sex, age, handicapped, or disabled veterans and Vietnam era veterans. Such actions shall include, but are not limited to: employment, upgrading, demotion, transfer, recruitment, or recruitment advertising; laying-off or termination; rates of pay or other compensation; and selection for training, and on-the-job training. Also, it is the policy to ensure and maintain a working environment free of harassment, intimidation and coercion.”

- v. Comply with the Regulations relative to nondiscrimination in Federally-assisted programs of the U.S. Department of Transportation (hereinafter USDOT), 49 CFR 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.
 - vi. Not discriminate on the grounds of race, color, sex, or national origin in the selection and retention of Subconsultants, including procurement of materials and leases of equipment. The Consultant shall not participate either directly or indirectly in the discrimination prohibited by Section 21.5 of the Regulations, including employment practices.
 - vii. In all solicitations either by competitive bidding or negotiations made by the Consultant for work to be performed under a subcontract, including procurement of materials or leases of equipment, notify each potential Subconsultant or supplier of the Consultant's obligations under this Contract and the Regulations relative to nondiscrimination on the ground of race, color, or national origin.
 - viii. 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 State to be pertinent to ascertain compliance with such Regulations, orders and instructions. Where any information required of a Consultant is in the exclusive possession of another who fails or refuses to furnish this information, the Consultant shall so certify to the State as appropriate, and shall set forth what efforts it has made to obtain the information.
- b. In the event of the Consultant's noncompliance with the NONDISCRIMINATION provision of this solicitation, the State shall impose such Contract sanctions as the State or FHWA may determine to be appropriate, including but not limited to:
 - i. Withholding of payments to the Consultant under the Contract until the Consultant complies, and/or;
 - ii. Cancellation, termination, or suspension of the Contract, in whole or in part.
 - c. The Consultant shall include the provisions of paragraph a.i through a.viii in every subcontract with Subconsultants, DBEs and Non-DBEs, including procurement of materials and equipment leases, unless exempt by the Regulations or directives issued pursuant thereto.
 - d. The Consultant shall take such action with respect to any Subconsultants or procurement as the State or the Federal Aviation Administration (FAA), FHWA and the Federal Transit

Administration (FTA) may direct as a means of enforcing such provisions including sanctions for noncompliance. Provided, however, that in the event the Consultant becomes involved in or is threatened with litigation with a Subconsultant or supplier as a result of such direction, the Consultant may request the State to enter into such litigation to protect the interests of the State, and in addition, the Consultant may request the United States to enter into such litigation to protect the interests of the United States.

8. Affirmative Action

The Consultant shall take the following affirmative action steps with respect to securing supplies, equipment or services under the terms of this Contract.

- a. Include qualified firms owned by socially and economically disadvantaged individuals on solicitation lists.
- b. Assure that firms owned by socially and economically disadvantaged individuals are solicited whenever they are potential sources.
- c. When economically feasible, dividing total requirements into smaller tasks or quantities so as to permit maximum participation by firms owned by socially and economically disadvantaged individuals.
- d. Where the requirement permits, establish delivery schedules which shall encourage participation by firms owned by socially and economically disadvantaged individuals.
- e. Use the services and assistance of ADOT DBE Supportive Services Program, the Small Business Administration, the Office of Minority Business Enterprise of the Department of Commerce and the Community Services Administration as needed

APPENDIX B – ARIZONA ADMINISTRATIVE CODE R4-30-301

CH. 30

BOARD OF TECHNICAL REGISTRATION

R4-30-301

**ARTICLE 3. REGULATORY PROVISION
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 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).

COMPLIANCE WITH RULES OF PROFESSIONAL CONDUCT CERTIFICATION

I hereby certify to the best of my knowledge and belief that _____
(Name of Consulting Firm)

and I _____ as the _____ shall comply with, in all
(Name) (Title)

respects, the rules of professional conduct set forth in A.A.C. R4-30-301.

(Signature)

(Print Name)

(Date)

APPENDIX C – PROPOSER’S INFORMATION FORM

Consultants proposing as prime Consultants or Subconsultants on Maricopa Association of Governments’ (MAG) projects are required to complete this form and return it with your proposal.

If you have any questions about this information form, please call the MAG Fiscal Services Manager, (602) 254-6300.

1. GENERAL INFORMATION:

Name of Firm: _____

Street Address: _____

City, State, Zip: _____

Telephone Number: _____ Fax Number: _____

Email Address: _____

Web address: _____ Year firm was established: _____

Is this firm a prime consultant? Yes _____ No _____

Is this firm a subconsultant? 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 – 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 Subconsultants: (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 Subconsultants 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 Subconsultants, 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 _____, 201____, in the County of _____,

State of _____

Notary Public

APPENDIX E – TITLE VI AGREEMENT/CONTRACT REQUIREMENTS

The Maricopa Association of Governments, in accordance with the provisions of Title VI of the Civil Rights Act of 1964 (78 Stat. 252.42 U.S.C. §§ 2000d-4) and the Regulations, hereby notifies all advertisement, disadvantaged business enterprises will be afforded full and fair opportunity to submit bids 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.

The contractor shall comply with the following non-discrimination acts:

State Executive Order No. 99-4 Amending 75-5 which mandates that all persons, regardless of race, color, religion, sex, age, national origin or political affiliation, shall have equal access to employment opportunities.

Section 503 of the Rehabilitation Act of 1973, as amended, which prohibits discrimination in the employment or advancement in employment of qualified persons because of physical or mental handicap

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 (hereinafter includes consultants) will comply with the Acts and the Regulations relative to Non-discrimination in Federally-assisted programs of the U.S. Department of Transportation, Federal Highway Administration or the Arizona Department of Transportation, as they may be amended from time to time, which are herein incorporated by reference and made a part of this contract.
2. **Non-discrimination:** The contractor, with regard to the work performance by it during the contract, will not discriminate on the grounds of race, color, or national origin in the selection and retention of subcontractors, including procurements of materials and leases of equipment. The contractor will not participate directly or indirectly in the discrimination prohibited by the Acts and the Regulations, including employment practices when the contract covers any activity, project, or program set forth in Appendix B of 49 CFR Part 21.
3. **Solicitations for Subcontracts, 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 will be notified by the contractor of the contractor's obligations under this contract and the Acts and Regulations relative to Non-discrimination on the grounds of race, color, or national origin.
4. **Information and Reports:** The contractor will provide all information and reports required by the Acts, the Regulations, and directives issued pursuant thereto and will permit access to its books, records, accounts, other sources of information, and its facilities as may be determined by the Recipient, the Federal Highway Administration or Arizona Department of Transportation to be pertinent to ascertain compliance with such Acts, Regulations, and instructions. Where any information required of a contractor is in the exclusive possession of another who fails or refuses to furnish the information, the contractor will so certify to the Recipient, the Federal Highway Administration, or Arizona Department of Transportation, as appropriate, and will set forth what efforts it has made to obtain the information.
5. **Sanctions for Noncompliance:** In the event of a contractor's noncompliance with the Non-discrimination provisions of this contract, the Recipient will impose such contract sanctions as it or the Federal Highway Administration or Arizona Department of Transportation, may determine to be appropriate, including, but not limited to:
 - a. withholding payments to the contractor under the contract until the contractor complies; and/or
 - b. cancelling, terminating, or suspending a contract, in whole or in part.

6. **Incorporation of Provisions:** The contractor will include the provisions of paragraphs one through six in every subcontract, including procurements of materials and leases of equipment, unless exempt by the Acts, the Regulations and directives issued pursuant thereto. The contractor will take action with request to any subcontract or procurement as the Recipient, the Federal Highway Administration, or Arizona Department of Transportation may direct as a means of enforcing such provisions including sanctions for noncompliance. Provided, that if the contractor becomes involved in, or is threatened with litigation by a subcontractor or supplier because of such direction, the contractor may request the Recipient to enter into any litigation to protect the interests of the Recipient. In addition, the contractor may request the United States to enter into the litigation to protect the interests of the United States. During the performance of this contract, the contractor, for itself, its assignees, and successors in interest (hereinafter referred to as the "contractor") agrees to comply with the following non-discrimination statutes and authorities; including but not limited to:

Pertinent Non-Discrimination Authorities:

- Title VI of the Civil Rights Act of 1964 (42 U.S.C. § 2000d *et seq.*, 78 stat. 252), (prohibits discrimination on the basis of race, color, national origin); and 49 CFR Part 21.
- The Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, (42 U.S.C. § 4601), (prohibits unfair treatment of persons displaced or whose property has been acquired because of Federal or Federal-aid programs and projects);
- Federal-Aid Highway Act of 1973, (23 U.S.C. § 324 *et seq.*), (prohibits discrimination on the basis of sex);
- Section 504 of the Rehabilitation Act of 1973, (29 U.S.C. § 794 *et seq.*), as amended, (prohibits discrimination on the basis of disability); and 49 CFR Part 27;
- The Age Discrimination Act of 1975, as amended, (42 U.S.C. § 6101 *et seq.*), (prohibits discrimination on the basis of age);
- Airport and Airway Improvement Act of 1982, (49 USC § 471, Section 47123), as amended, (prohibits discrimination based on race, creed, color, national origin, or sex);
- The Civil Rights Restoration Act of 1987, (PL 100-209), (Broadened the scope, coverage and applicability of Title VI of the Civil Rights Act of 1964, The Age Discrimination Act of 1975 and Section 504 of the Rehabilitation Act of 1973, by expanding the definition of the terms "programs or activities" to include all of the programs or activities of the Federal-aid recipients, sub-recipients and contractors, whether such programs or activities are Federally funded or not);
- Titles II and III of the Americans with Disabilities Act, which prohibit discrimination on the basis of disability in the operation of public entities, public and private transportation systems, places of public accommodation, and certain testing entities (42 U.S.C. §§ 12131-12189) as implemented by Department of Transportation regulations at 49 C.F.R. parts 37 and 38;
- The Federal Aviation Administration's Non-discrimination statute (49 U.S.C. § 47123) (prohibits discrimination on the basis of race, color, national origin, and sex);
- Executive Order 12898, Federal Actions to Address Environmental Justice in Minority Populations and Low-Income Populations, which ensures discrimination against minority populations by discouraging programs, policies, and activities with disproportionately high and adverse human health or environmental effects on minority and low-income populations;
- Executive Order 13166, Improving Access to Services for Persons with Limited English Proficiency, and resulting agency guidance, national origin discrimination includes discrimination because of limited English proficiency (LEP). To ensure compliance with Title VI, you must take reasonable steps to ensure that LEP persons have meaningful access to your programs (70 Fed. Reg. at 74087 to 74100);
- Title IX of the Education Amendments of 1972, as amended, which prohibits you from discriminating because of sex in education programs or activities (20 U.S.C. 1687 *et seq.*).

APPENDIX F – PROGRESS REPORT FORMAT SAMPLE

[Consultant Letterhead]

[Date]

[MAG Project Manager]

Maricopa Association of Governments
302 North First Avenue, Suite 200
Phoenix, Arizona 85003

Re: Progress Report No. [#] and Invoice for the Period of [Month] 20[Year]

[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:

[Month, Day, Year], with the MAG project manager to review data collected for the facilities.

[Month, Day, Year], with the Advisory Committee to obtain input on the data collection process.

[Month, Day, Year], with MAG staff to review comments on preliminary database.

[Month, Day, Year], 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 [Month, Day, Year].

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:

[Month, Day, Year], met with MAG staff to finalize the outline for the Inventory Technical Report.

[Month, Day, Year], 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: The following meetings were held:

[Month, Day, Year], 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: The following meeting was held:

A meeting was held on [Month, Day, Year] 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: The following meeting was held:

A meeting was held on [Month, Day, Year] to discuss the differences between the capacity calculations for this study versus previous studies.

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 [Month, Day, Year].

Invoice:

The enclosed invoice is for the third progress payment of \$[Enter Dollar Amount]. The total amount billed to date is \$[Enter Dollar Amount].

Sincerely,

[Project Manager Name]

[Project Manager Title]

Enclosure