



REQUEST FOR PROPOSAL (RFP) – BID# 7511367

A/E SERVICES FOR RELOCATION OF RIDOT MATERIALS AND QUALITY ASSURANCE TESTING LABORTORY - DOT

SUBMISSION DEADLINE: Friday, October 25, 2013 at 11:30 AM (ET)

PRE-BID CONFERENCE: NO
 YES Thursday, October 10, 2013 1:30 PM (ET)

Mandatory: NO
 YES: Any vendor who intends to submit a bid proposal in response to this solicitation must have its designated representative attend the mandatory pre-bid conference. The representative must register at the pre-bid conference and disclose the identity of the vendor whom he/she represents. Because attendance at the pre-bid conference is mandatory, a vendor's failure to attend and register at the pre-bid conference shall result in disqualification of the vendor's bid proposal as non-responsive to the solicitation.

Location: 55 COLORADO AVENUE, WARWICK, RI 02888

Buyer Name: LISA HILL
Title: CHIEF BUYER - DOT

QUESTIONS Prospective bidders are hereby notified that all questions pertaining to this contract must be submitted to the Department of Transportation in writing through its website at <http://www.dot.ri.gov/contracting/bids> by accessing the questions & answers menu located within the 'contracting', then 'bidding opportunities' link. Response to the submitted questions will also be posted under this link as an addendum as appropriate. Phone calls will not be accepted.

SURETY REQUIRED: NO

BOND REQUIRED: NO

PUBLIC COPY (R.I. Gen. Law 37-2-18(j)): This requirement applies to all public works projects (vertical and horizontal) exceeding Five Hundred Thousand (\$500,000) dollars and any combination of base bid plus all alternates.

DISK BASED BID: NO
 YES: See attached Disk Based Bidding Information

NOTE TO VENDORS:

Vendors must register on-line at the Rhode Island Division of Purchases website at www.purchasing.ri.gov. Offers received without the completed four-page Rhode Island Vendor Information Program (RIVIP) Generated Bidder Certification Cover Form attached may result in disqualification.

THIS IS NOT A BIDDER CERTIFICATION FORM

REQUEST FOR PROPOSAL
RI Department of Transportation

RFP NO. 7511367

**A/E SERVICES FOR RELOCATION OF RIDOT MATERIALS AND QUALITY
ASSURANCE TESTING LABORATORY, WARWICK RI**

DBE GOAL: 10%

INTRODUCTION:

The Rhode Island Department of Administration / Office of Purchases, on behalf of the Rhode Island Department of Transportation (RIDOT) is seeking to establish contractual services with a qualified architectural firm (**ARCHITECT**) to provide renovations and conversion of the existing building located at 55 Colorado Avenue Warwick, Rhode Island 02888 to house the new RIDOT Materials and Quality Assurance Testing Laboratory. Hereafter referred to as **DOT Materials Test Lab**.

The selected ARCHITECT will be required provide complete architectural and engineering services including, but not limited to: building programming; project design and engineering; interior design services; furniture, fixtures and equipment assistance, construction documentation preparation; cost estimating at milestone deliverable phases; bidding phase services including complete bidding documents; construction administration through project close out; and provisions for complete "record drawing" documentation.

Potential Respondents to this solicitation are hereby advised that the ARCHITECT awarded a contract pursuant to this solicitation, and its affiliated and subsidiary companies (whether partially or wholly owned) shall be precluded from bidding on any future consulting or construction solicitations which may arise from or relate to the services described in this solicitation. In addition, any sub-consultants or sub-contractors engaged by the ARCHITECT who performs any services arising from this solicitation shall be precluded to bid on any future consulting or construction solicitations which may arise from or relate to the services described in this solicitation.

BACKGROUND:

In January 2013, RIDOT purchased the former United Printing Company property located at 55 Colorado Ave. in Warwick RI. This 52,500SF site must now be converted and renovated to accommodate both a materials testing laboratory and administrative office and conference space.

The RIDOT Materials Section is responsible for the quality assurance; sampling and testing of all materials (i.e. concrete, asphalt, steel, paint, etc.) utilized in RIDOT highway & bridge construction and maintenance projects. A more detailed explanation of the section's responsibilities can be found within the DOT website (www.dot.ri.gov).

The current DOT Materials Test Lab (and office space) currently occupies approximately 12,000SF and is located in the basement of Two Capitol Hill, Providence, RI 02903. It is undersized, inefficient and antiquated.

The new DOT Materials Test Lab will occupy approximately 30,000SF and must be designed with an elaborate zoned heating filtration and ventilation air handling systems to provide consistent humidity, temperature, fume, dust and particle control for the individual laboratory spaces. A portion of the building may need to be constructed for vibration and for noise control purposes. Office and conference space for approximately 40 administrative staff will also be part of the build-out.

It should be noted that recent structural and environmental reports indicated the building is structurally and mechanically sound. RIDOT is not aware of any hazardous materials on site.

CONTRACT TERM / CONDITIONS: RIDOT anticipates the award of **ONE (1)** contract that will have a maximum contract completion date of **TWELVE (12) MONTHS** after the date of authorization to commence work. Services under this contract shall include **Programming/Pre-Design, Design Development and Construction Documents, Construction Administration and Close Out** as defined herein.

Proposals received shall be in accordance with guidelines as outlined in this request and the State's General Conditions of Purchase which can be accessed online through the *Rhode Island Vendor Information Program*, or "RIVIP" as it is known, @

<http://www.purchasing.ri.gov>

NOTE: This is a Request for Proposals (RFP), not an Invitation for Bid: responses will be evaluated on the basis of the relative merits of the proposal. There will be no public opening and reading of responses received by the Office of Purchases pursuant to this request other than to name those Respondents who have submitted proposals. All Respondents are advised to review all sections of this Request carefully and to follow instructions carefully as failure to make a complete submission as described elsewhere herein may result in rejection of the proposal.

GENERAL NOTIFICATIONS

- All Respondents shall register online at the RIVIP'S Internet website @ www.purchasing.ri.gov
- A fully completed signed **RIVIP Bidder Certification Cover Sheet** – All four pages shall accompany response submitted. Failure to make a complete submission inclusive of this three-page document may **result in disqualification**. A copy of this 4-PAGE certification form should be in all proposals (originals and copies) submitted to the state for consideration.
- Should there be a need for assistance in registering and/or downloading any document, call (401) 574-8100 for RIVIP HELP DESK technical assistance. Office Hours: 8:30 AM – 4:00 PM.
- The State does not require E-VERIFY compliance in any of its purchasing and/or hiring of services; however, Respondents are hereby advised that in line with the Federal Acquisition Regulations any federal contract based on the services requested may require that the State obtain evidence of E-VERIFY compliance from the successful Respondent.
- The Rhode Island Department of Transportation, in accordance with Title VI of the Civil Rights Act of 1964, 42 U.S.C. §§ 2000d - 2000d-4 and 49 C.F.R. Part 21, Nondiscrimination in Federally-Assisted Programs of the Department of Transportation – Effectuation of Title VI of the Civil Rights Act of 1964, issued pursuant to such Act, hereby notifies all bidders that it will affirmatively insure that in any contract entered into pursuant to this advertisement, Disadvantaged Business Enterprises will be afforded full opportunity to submit bids in response to this invitation and will not be discriminated against on the grounds of race, color, sex, national origin, age, or disability in consideration for an award.
- All costs associated with developing or submitting documents in response to this Request and/or in providing oral or written clarification of its content shall be borne by the Respondent. The State assumes no responsibility for these costs.
- It is intended that an award pursuant to this Request will be made to a Prime Respondent, who will assume responsibility for all aspects of the work. Joint venture(s) will not be considered, but subcontract(s) are permitted provided that Sub-Respondent(s) proposed are clearly identified along with the type of work to be performed in response to this RFP.
- Submissions in response to this solicitation are considered to be irrevocable for a period of not less than one hundred and twenty (120) days following the established due date and may not be withdrawn without the express written permission of the State Purchasing Agent.
- Responses misdirected to other State locations or which otherwise are not received by the State Division of Purchases by the established due date for any cause will be determined to be late and will not be considered. The office clock, for the purpose of registering the arrival of a document, is in the reception area of the Department of Administration (DOA), Division of Purchases, 2nd Floor, One Capitol Hill, Providence, Rhode Island.
- Persons or firms practicing architectural/ engineering services in the State of Rhode Island must possess a proper

registration and/ or Certificate of Authorization in accordance with Rhode Island General Laws. A copy of the current Rhode Island Certificate of Authorization FOR THE FIRM *and* current applicable Rhode Island registrations(s) FOR THE INDIVIDUAL(S) who would perform the work **MUST BE INCLUDED BEHIND THE FRONT PAGE OF EACH COPY OF THE PROPOSAL.**

Any Respondent who does **NOT** have a current Certificate of Authorization for the firm and applicable current Rhode Island registration(s) **MUST** acknowledge non-compliance with this requirement and confirm *in writing* that, if selected for the project, will expedite acquisition of a Rhode Island registration(s) and Certificate of Authorization ***prior to award.*** The letter of acknowledgement **MUST BE INCLUDED BEHIND THE FRONT PAGE OF EACH COPY OF THE PROPOSAL.**

The State Board for Design Professionals can be contacted as follows:

**Board for Design Professionals
1511 Pontiac Avenue
Building 68-2
Cranston, RI 02920**

**Telephone: (401) 462-9592
Fax: (401) 462-9532
Website: www.bdp.state.ri.us**

- Respondents are advised that all materials submitted to the State for consideration will be considered to be public records as defined in RI Gen Laws 38-2, without exception, and will be released for inspection immediately upon request once an award is made.
- In accordance with RI Gen. Laws 7-1.1-99, no **foreign corporation** (a corporation established other than in Rhode Island) has the right to transact business in this State until it has procured a Certificate of Authority to do so from the Office of the Secretary of State (401) 222-3040 or at www.sos.ri.gov. **IF APPLICABLE, A COPY OF RESPONDENT'S CERTIFICATE OF AUTHORITY SHALL BE INCLUDED AS PART OF THE SUBMITTED RFP LOCATED BEHIND THE FRONT PAGE OF EACH COPY OF THE PROPOSAL.**

Any Respondent who does **NOT** have a current Certificate of Authority for the firm must acknowledge non-compliance with this requirement and confirm *in writing* that, if selected for this project, will expedite acquisition of the Certificate of Authority ***prior to award.*** **This letter of acknowledgement MUST BE INCLUDED BEHIND THE FRONT PAGE OF EACH COPY OF THE PROPOSAL.**

- **This project has been assigned a 10% Disadvantaged Business Enterprise (DBE) Goal.** In order to comply with this requirement, a detailed disclosure of RI certified DBE firm(s) and their task assignment(s) to be performed **SHALL be included in the TECHNICAL PROPOSAL SUBMISSION** along with a copy of current state certification letter(s). The total cost of the DBE work assigned shall meet or exceed 10% of the annual Total Contract costs. **Be advised that this requirement will apply to for the lifetime of the contract.** A list of current Rhode Island State certified DBE firms may be obtained through the State MBE Office @ www.mbe.ri.gov. Any questions should be directed to:

**RIDOT Office of Business and Community Resources
Room 108, Two Capitol Hill
Providence, RI 02903
(401) 222-3260**

REQUIRED FORMS

Besides the ***RIVIP Bidder Certification Cover Sheet*** -as required at the State level and obtained through the RIVIP website, RIDOT also requires that the following **THREE (3) FORMS** be completed and included in your submission package in line with federal regulations and departmental policy. These FORMS will be reviewed for completeness and at the point of award will be made part of contract document.

- **DEBARMENT FORM:** Shall be completed and signed by an authorized agent of your Agency.
- **LOBBYING FORM:** Enter known project information on PAGE 1 (DESCRIPTION etc.); Agency shall complete FORM and submit signed by an authorized agent of your Agency.
- **CONFLICTS DISCLOSURE STATEMENT:** In line with directions stated, completed FORM(s) shall be signed and submitted accordingly.

Also all proposals shall include the Respondent's FEIN or Tax Identification number as evidenced by an IRS Form W-9; Form may be downloaded @ www.purchasing.ri.gov and submitted as follows:

- **W-9 FORM:** For W-9 only, ONE (1) unbound "original" copy shall be completed and signed by authorized agent of your Firm.

NOTE: All FORMS (except W-9) are attached to solicitation and shall be completed and copies submitted along with each TECHNICAL PROPOSAL submission. ("Original" & copies). Please note, for W-9 form only, one (1) unbound "Original" copy is required at time of submission. Copies of W-9 need not be included in individual proposal submissions.

TECHNICAL PROPOSAL CONTENT AND FORMAT

Upon review of the Scope of Work (SOW), TECHNICAL PROPOSAL submissions ("ORIGINAL" plus SIX (6) COPIES) shall include at a minimum the following information for RIDOT review and subsequent final selection recommendation. RIDOT requires that the Technical Proposal submission be submitted not only in hard copy form but also on CD-ROM. Clearly labeled CD ROM should be attached to the inside cover of EACH Technical Proposal submission. RIDOT requires that the electronic version of said Proposals be submitted in Adobe PDF format.

All information requested below must be organized in the exact order in which the following RFP requirements are presented with page numbers in consecutive order. TECHNICAL PROPOSAL submission should contain a Table of Contents that cross-references each RFP requirement with specific page cited.

The TECHNICAL PROPOSAL submission shall NOT contain any references to PROJECT COST. Inclusion of cost information within the Technical Proposal submission may result in disqualification.

Upon review of the Scope of Work (SOW), TECHNICAL PROPOSAL submissions shall include, at a minimum, the following information for RIDOT review and subsequent final selection recommendation:

- **Letter of Transmittal:** A Letter of Transmittal shall accompany each response signed by an owner, officer, or other authorized agent of the firm.
- **RIVIP BIDDER CERTIFICATION FORM:** ALL FOUR (4) Pages shall accompany each response submitted. Failure to make a complete submission of this document may result in disqualification. (SEE GENERAL NOTIFICATIONS).
- **Proposal Format:** TECHNICAL PROPOSAL shall be bound or contained in a single volume. All pages of the proposal are to be numbered in consecutive order. All documentation submitted with the proposal shall be contained in that single volume. TECHNICAL PROPOSAL shall be prepared on 8 1/2" x 11" letter sized white paper printed on both sides sequentially numbered and limited in length to a total of **40 PAGES** – exclusive of exhibits, which shall be tabbed and included in the bound submission. Font size shall be a minimum of **12 POINTS** for all submittals. ALL documentation in excess of **40 PAGE MAXIMUM** will be removed and discarded. TECHNICAL PROPOSAL shall contain a Table of Contents that cross-references each requirement with specific pages in the TECHNICAL PROPOSAL submission.
- **RIDOT Scope of Work and Addenda:** Respondents shall include as part of TECHNICAL PROPOSAL submission, as an exhibit, a copy of RIDOT'S original RFP and any supplemental Addenda, as applicable.

BACKGROUND AND PREVIOUS EXPERIENCE:

- **Company Introduction:** Respondents are to include a complete description of their organizational structure and other relevant information documenting the firm's professional practice and areas of specialization.
- **Relevant Experience:** Respondents are to include a comprehensive listing of at least **FIVE (5)** Laboratory/Research/Testing Facility projects similar in concept to the project being proposed. Projects identified shall not only be of similar size and scope to the proposed project but also shall have been completed within the last TEN (10) YEARS
- **Project References:** Names, addresses, and contact information of previous clients/owners of relevant experience projects cited above. By so listing, specific permission is granted to RIDOT to contact said individuals to verify the satisfactory performances of the services provided. Respondent acknowledges that RIDOT is granted specific permission to discuss past performance of Respondent and any proposed team members on any projects.
- **Existing Workload:** Respondents are to include a current listing of all projects contracted to perform inclusive of anticipated completion dates.

ORGANIZATION AND STAFFING:

- **Staff Qualifications:** Respondents are to include an overview of experienced personnel presently on staff including resumes, curricula vitae or statements of prior experience and/or qualification of key personnel to be assigned to project. Staff assignments and concentration of effort for each staff member are to be addressed.

Sub-Respondent(s): As applicable, disclosure of any sub-respondent firm(s)' organizational structure and business background as well as the type of work they will perform **must** be documented in response to this Request. Full disclosure of the proposed team to be assigned this project is required in the **Technical Proposal**.

EACH member of the proposed Architectural Team shall have at least **TEN (10) YEARS** of similar project experience AND shall have participated in the successful completion of at least **FIVE (5)** Laboratory/Research/Testing Facility Projects. Evidence of required experience must be provided.

RIDOT shall be informed in writing of any changes in personnel at any time during the contract term. RIDOT reserves the right to reject personnel and/or if in the event key personnel are no longer available reserves the right to terminate this agreement.

- **Standard Federal Form 330** (REV. 6/2004) shall be completed (**BY PRIME ONLY**) and included in response to this RFP. Access to this current form may be obtained through the following website: www.qsa.gov.
- **10% DBE Goal Fulfillment:** This contract has been assigned a 10% Disadvantaged Business Enterprise (DBE) Goal. In order to comply with this requirement, a detailed disclosure of RI certified DBE firm(s) and proposed task assignment(s) to be performed **MUST be included in TECHNICAL PROPOSAL SUBMISSION** along with a copy of current state certification letter(s). DBE certifications must be approved at the time of technical proposal submission to ensure DBE compliance and availability. The total cost of the DBE work assigned must meet or exceed 10% of Total Contract costs. Be advised that this requirement will apply to total costs for the lifetime of the contract; the selected ARCHITECT will be responsible to submit a **MONTHLY DBE UTILIZATION REPORT** documenting aggregated TOTAL contract costs and TOTAL DBE participation to date. TWO (2) copies of the DBE Reporting documentation will be forwarded directly to the RIDOT/Office of Business and Community Resources as well as a copy included with monthly progress report/ invoice package.

PROJECT WORK PLAN/ SCHEDULE:

- **Project Approach:** Respondents shall provide a detailed technical synopsis of their proposed services based on the SOW requested by RIDOT including any technical issues that will or may be confronted at each phase of the project. Alternative approaches and/or methodologies to accomplish the intended results of this solicitation are

encouraged. However, proposals that depart from or materially alter the terms, requirements or SOW as defined by this Request will be rejected and considered non-responsive.

- **Work Plan:** Respondent shall submit a complete and comprehensive project work plan inclusive of proposed deliverables and activity milestones associated with each defined task. Plan shall include detail of coordination of State's 1% Art requirement as defined under RIGL 42-75.2-4.
- **Project Schedule:** Respondent shall provide a project schedule for delivery of anticipated tasks and proposed deliverables.
- **Supplemental Information:** Respondents are encouraged to submit any other information deemed useful to provide RIDOT with sufficient relevant information to evaluate the firm's qualifications and technical approach to the project.

MANDATORY SITE VISIT AND PRE-PROPOSAL CONFERENCE

A **mandatory Site-Visit and Pre-Proposal Conference** for the purpose of clarifying the Scope of Work and intent of this Request, as well as the evaluative criteria to be employed in the State's review of proposals received will be held on **THURSDAY, OCTOBER 10, 2013 @ 1:30 P.M.** at the project location **55 COLORADO AVENUE, WARWICK, RI 02888.** **Formal Attendance will be recorded.** Since attendance is mandatory, all attendees must disclose the **identity of the firm** he/she represents; failure to do so shall result in disqualification in the Respondent's proposal submission.

Persons requiring the services of an interpreter for the hearing impaired may obtain those services by calling (401) 222-5300 (Voice), (401) 222-5301 (TTY), (401) 222-5736 (Fax) or **interpreter@cdhh.ri.gov** (email) fourteen days in advance of the Conference.

ON-LINE QUESTIONS

Any pertinent questions subsequent to this solicitation may be posted at RIDOT'S "*Bidding Opportunities*" web page accessible at: **http://www.dot.state.ri.us/contracting/bids** and follow the link to "?" to submit questions for this solicitation. Responses to questions submitted for the subject project will also be posted under the same questions menu. A determination will be made by RIDOT, in coordination with the Division of Purchases, whether an addendum will be required. The Q & A Forum will disable 7 FULL CALENDAR DAYS prior to the due date for this project. Therefore, questions will not be accepted **after Midnight on OCTOBER 17, 2013.**

SUBMISSION REQUIREMENTS AND DUE DATE

TECHNICAL PROPOSAL ("Original" plus SIX (6) COPIES) are to be submitted. RIDOT requests that the Technical Proposal submission be submitted not only in hard copy form but also on **CD-ROM**. Clearly labeled CD ROM should be attached to the **inside cover of each Technical Proposal submission.** RIDOT requires that the electronic version of said Proposals be submitted in **Adobe PDF** format.

Requested documentation is to be either mailed or hand-delivered in a sealed envelope marked "**RFP 7511367 - A/E Services For Relocation of RIDOT Materials And Quality Assurance Testing Laboratory, Warwick RI**" by **FRIDAY, OCTOBER 25, 2013 no later than 11:30 A.M.** to:

<p>BY COURIER OR MAIL: RI Department of Administration Division of Purchases (2nd fl) One Capitol Hill Providence, RI 02908-5855</p>
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NOTE: Proposals received after the above-referenced due date and time will not be considered. SEE GENERAL INSTRUCTIONS AND NOTIFICATIONS.

TECHNICAL EVALUATION AND SELECTION

A Technical Evaluation Committee (TEC) will be convened comprised of RIDOT personnel responsible for the project under consideration. A written evaluation and ranking of each proposal will be prepared by this Committee incorporating factors based on the following:

SELECTION CRITERIA:		
1.	<p>FIRM'S CAPABILITY, CAPACITY, AND STAFF QUALIFICATIONS Proposals must provide answers to the following questions:</p> <ul style="list-style-type: none"> • What experience does the Respondent have with projects of a similar size, scope and use; has a list of at least FIVE (5) projects completed in the last TEN (10) years been provided? • Does the Proposal illustrate that the Project Manager and the proposed Design Team have the background and experience necessary for a successful renovation project. • Does the Respondent and the architectural team EACH possess at least TEN (10) YEARS of similar project experience AND shall have participated in the successful completion of at least FIVE (5) Laboratory/Research/Testing Facility Projects? • Has an organization chart of the Respondent and any sub-consultants been provided for the project? • Have the required RI DBE certifications been provided and the services disclosed for the proposed DBE participants? • Is the Cost Estimator familiar with projects made up of the use groups defined as to be part of the program? • Is the staff to be assigned to the project, including a project manager, sub-contractors, engineers and others properly, identified? Does the level of effort for each appear adequate? • Does the Respondent describe their current workload and the availability of their personnel to perform the project? Is it feasible? • Does the Respondent have LEED® Accredited Professionals on Staff? 	0-50 POINTS
2.	<p>QUALITY OF THE PROJECT WORK PLAN / SCHEDULE Inclusive Of Proposed Deliverables And Activity Milestones Proposals must provide answers to the following questions:</p> <ul style="list-style-type: none"> • Does the plan illustrate the Respondent has analyzed, interpreted and understood issues presented by this project? • Does the plan provide solutions for the issues presented by the project in a manner likely to meet the needs of the client and other customers and end users? • Does the proposed plan appear sensitive to budget and time constraints? • Does the plan address relevant design and program issues, by providing possible solutions? • Does the plan include a discussion of value engineering and LEED® standards? 1% Art requirement?? • Does the Respondent identify both constraints and opportunities posed by this project? • Is there a project schedule provided by the Respondent and is that schedule achievable (not overly optimistic or needlessly long)? 	0-25 POINTS
3.	<p>PROJECT REFERENCES Proposals must provide answers to the following questions:</p> <ul style="list-style-type: none"> • Were the project references provided related to projects of a similar size, scope and use to the proposed project? • Did the Respondent's final project provide a good design and program fit? • Did the Respondent identify problems and issues in a timely and complete manner? • Were technical, budget and aesthetic issues fairly balanced with a good outcome resulting? • Were the projects cited designed on time and within budget? If YES, what was the budget and what was the number of change orders for each project cited? • Did the Respondent adequately research relevant design and program issues? • Was the Respondent's design process characterized by effective communication, clear graphic and verbal presentations and appropriate inclusion of all designated stakeholders? 	0-25 POINTS
MAXIMUM SCORE		100 POINTS

Upon completion of the written evaluation of all technical submissions, the TEC may, at its discretion, contact the top-ranked candidate firm(s) to be called for formal interviews. Such interviews will be factored into the final evaluation and ranking of candidates.

The TEC'S final selection recommendation will then submitted to the RIDOT Advisory Consultant Selection Panel for consideration and approval. With the support of the Director of Transportation, the final RIDOT selection recommendation will be presented to the State's Architectural / Engineering Consultant Services Selection Committee for consideration. Upon final selection approval from the Director of Administration, all respondents will be notified that a final selection has been made.

FIXED FEE NEGOTIATION AND CONTRACT AWARD

The **selected** ARCHITECT will be directed to submit a formal FEE Proposal for RIDOT review and acceptance. The Fee Proposal shall be submitted as a LUMP SUM price. This shall be a fixed fee (dollar amount) which includes, as a separate line item, an allowance for expected reimbursables of \$10,000.00 defined as filing/application fees as required, printing, postage, and out of state travel not related to visits to project team members, as approved by RIDOT. Also additional maximum allowances for specific services as defined herein for inclusion in FEE proposed pricing.

The FEE Proposal shall indicate the number and type of professionals to be employed and the hourly rate, including overhead, for each and shall include full services as listed in the RFP including all deliverables for all phases of the project including but not limited to schematic design, design development, contract documents specifications and bidding phase, bidding for Furniture,/Fixtures and Equipment, LEED ® application (if applicable) and verification services, application to utility company for any rebates available, construction administration and commissioning, and close out phases of work.

The FEE Proposal shall include continued probable cost estimates and value engineering and redesign services (including re-submittal of documents) at no additional cost.

Additionally, **prior to contract award**, the selected ARCHITECT will be required to submit the following documentation under separate cover to RIDOT for review and acceptance:

- **Commitment to Affirmative Action:** The selected Consultants will be required to provide a copy of their firm's current Affirmative Action Plan for submission to the State EEO Office for compliance review and approval.
- **Financial Status:** For contracts that **equal or exceed \$500,000.00**, the selected Consultant will be required to submit **Audited Financial Statements** to RIDOT for review and entry in Consultant's file for duration of contract term. For contracts totaling **less than \$500,000.00**, the selected Consultant will be required submit a **Financial Review**. All financial documentation submitted will be kept confidential and on permanent file in the RIDOT Contract Administration Office.

Once negotiations have been finalized and all requirements have been met, contractual arrangements will be formally established between RIDOT and the selected ARCHITECT based on the final accepted pricing. The successful ARCHITECT must be prepared to provide necessary data to support all costs associated with contract expenditures.

Notwithstanding the above, the State reserves the right to accept or reject any or all options, proposals, and to act in its best interest.

At any point during the review process, any proposal found to be substantially non-responsive will be dropped from further consideration.

The State may, at its sole option, elect to require presentation(s) by Respondents clearly in consideration for award. Other submissions, certifications, or affirmations may be required, as appropriate.

The State reserves the right to solicit separately for selected initiatives within this Scope of Work.

The State reserves the right to make an award or multiple awards or to reject any or all proposals based on what it considers to be in its best interest.

SCOPE OF SERVICES

FOR

A/E SERVICES FOR RELOCATION OF RIDOT MATERIALS AND QUALITY ASSURANCE TESTING LABORATORY, WARWICK RI

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ATTACHMENT "A" – DOT Test Lab –Design Services Matrix

I. BACKGROUND AND PURPOSE

The State of Rhode Island and the Department of Transportation (RIDOT) has recently purchased a 52,500 SF building located at 55 Colorado Avenue in Warwick, RI to house the **Materials & Quality Assurance Testing Laboratory** and assigned staff, approximately 40 employees.

Staff located at 2 Capitol Hill in Providence will be relocated to this new facility.

The proposed project is designed to improve and enhance the environment in which RIDOT serves the State relative to the quality and integrity of quality assurance testing procedures and protocols for numerous transportation projects performed on an ongoing basis.

The completed facility shall occupy approximately 30,000SF and comply with AASHTO national standards and shall be accredited as an AASHTO compliant facility.

Construction specialties include vibration isolation, noise containment, humidity and temperature controlled environments; indoor air quality, dust control and numerous other requirements are required to be incorporated into the project in accordance with RIDOT'S needs across the spectrum of laboratory, storage and office needs. Additionally, RIDOT may allocate some portion of the building, based on the results of programming, to other State Departments or private research laboratories. Providing adequate design for shell and core space to these potential tenants for their future build-out (i.e. plumbing/HVAC/electrical provisions) is included within this scope of work and basic services.

The project covered by services under this solicitation shall be in accordance with the Purchase Order and Agreement issued by the RI Department of Administration, Division of Purchases.

II. PROJECT DESCRIPTION

The parcel, located at 55 Colorado Avenue in Warwick, RI is approximately 6 acres in area and is adjacent to the RIDOT Highway and Bridge Maintenance facility located at 360 Lincoln Avenue. The proximity of this laboratory and research facility will promote consolidation of common agency needs and increase efficiencies. The parcel is improved with a one story 52,500 SF masonry building that shall be retrofitted into a state of the art materials testing laboratory with space for administrative offices, a research library and storage of materials.

As a result of the specialized nature of these laboratories and rigorous AASHTO standards, extensive improvements to M/E/P, Fire Protection, HVAC, exhaust air, humidity, temperature controls, water service and distribution and other technical requirements will need to be incorporated into the scope of work.

The project scope will involve the design and construction of several laboratories, storage areas, materials handling facilities and office areas in support of the main mission.

Laboratory Spaces include (**SEE ATTACHMENT "A"**):

- Binder Laboratory
- Bituminous Laboratory
- Cement Laboratory
- Chemistry Laboratory
- Course Aggregate Laboratory
- Concrete Laboratory
- Fine Aggregate Laboratory
- Polymer Steel Laboratory
- Research Laboratory
- Soils Laboratory
- Laboratory Stockroom
- Strength Laboratory

NOTE: Some of the above listed Laboratories may be combined – programming and space planning exercises will be confirmed.

The program may be adjusted as necessary to meet budgetary considerations. **The preliminary conceptual estimate of Construction Costs is approximately \$4,000,000.00.**

III. SCOPE OF SERVICES

1. The selected Architect (ARCHITECT) shall provide design services and construction documents. The construction documents shall contain all necessary documentation to bid and construct the project and obtain all necessary approvals and permits. This shall include, but not be limited to, stamped architectural and engineering drawings and complete specifications. Drawings shall be prepared utilizing AutoCAD release 2010 or higher.
2. Attend programming meetings with RIDOT and/or its project representatives to determine the scope of project.
3. Meet with all code/permitting agencies having jurisdiction over this project. If variances are required from any applicable code or ordinance, attend all meetings and assist owner as required such that approvals and permits may be obtained.
4. Document existing conditions.
5. Provide progress documents for RIDOT and/or its project representatives review at 30%, 60% and 90% completion. Provide final stamped drawings at 100% completion.
6. Include design services for State required Art Project(s) equivalent to 1% value of the Construction Cost in accordance with State Law.
7. National Grid (Electric and Gas) Rebates:
 - a. The design team shall obtain and review current National Grid rebate guidelines and determine applicability.
 - b. All applicable equipment shall be specified to meet or exceed efficiency standards and compliance requirements for the rebate program. Note that some efficiency measures are no longer eligible for rebates because they are now required by state building code, and shall be specified to meet or exceed minimum code even for in-kind replacement projects.
 - c. The architects and engineers shall be responsible for completing the rebate applications and submitting them to the project manager for review and submission. Rebates, if any, are paid to State of Rhode Island General Fund.
8. Attend Pre-Bid Conference before Construction Bid Opening and prepare Bid Addenda as needed.
9. Review submitted construction Contractor bids and attends a Pre-Award meeting with the Apparent Low Bidder to ensure proposed pricing is compliant with project specifications.
10. Attend the Pre-Construction meeting with RIDOT and/or its project representatives and selected Contractor.
11. Review all shop drawings.
12. Construction Administration Services:
 - a. ARCHITECT shall visit the project as needed and required by RIDOT to attend progress meetings and observe work in progress. ARCHITECT shall provide meeting minutes and submit a written report containing the observations of each visit. Consultants to the ARCHITECT shall review the work in progress at regularly scheduled intervals and submit a written report for each visit.

- b. ARCHITECT shall answer questions from RIDOT and/or its project representatives, Contractor, and issue clarifications, revisions or sketches when required.
13. Review and approve contractor requisitions for payment and change order proposals.
 14. Provide a project punch-list and final inspection at completion of punch-list work.
 15. Review as-built drawings and closeout documentation submitted by the contractor.

Programming/ Pre-Design Services: Programming and master planning deliverables for the above project to include but not limited to:

- Space and functional programming study report for review and prioritization
- Program revisions/adjustments to align scope of work with budget
- A narrative describing the design approach and rationale
- Site Plan showing utilities, landscape, accessibility compliance & required improvements with existing and proposed grading
- Conceptual design floor plans and required elevations
- A minimum of (4) renderings to illustrate the design
- Building Code Review evaluation and report that identifies challenges and variances required, if any
- Construction cost estimates for the work

IV. DESIGN SERVICES INFORMATION (SEE ATTACHMENT "A")

The following must be considered in the proposed design:

- **Site Improvements & Landscaping:** As needed for general landscape restoration associated with the project. Location and existing conditions of loading facilities for both offloading and disposal of materials to be discarded as well as exterior building lighting.
- **Utilities:** The utilities to service the building renovation are included in this project. These include water, sewer, gas, electric telephone/data, and other services. Note: Electric, Water and Gas services lines are currently located in the same room and in close proximity to each other.

A plan to separate these utilities is required as part of the design.

- **Existing Facilities:** Firms shall include in their basic services fee, the necessary time and materials needed to investigate and record the existing utilities and conditions of the building to be renovated. DOT will conduct and/or transmit surveys for existing hazardous materials – confirming the building does not contain ACM or Lead paint hazards.
- **Accessibility:** The project shall include any alterations or new construction necessary to provide ADA accessibility to areas within the project scope as required by building code.
- **Building Infrastructure:** Fire Code/Life Safety improvements, as required by code. Note: The existing fire alarm system is original to the building and is non-addressable; parts are not available.
- **Mechanical, Electrical and Plumbing (M/E/P) Infrastructure** to include enhanced HVAC systems for specialized laboratories and interior environments, electrical equipment, and restroom facilities as required by code.
- **Interior Design:** To include furniture selection, architectural materials and finishes selections.
- **LEED®:** The building renovation project (if applicable) will be designed to meet a minimum of LEED (Leadership in Energy and Environmental Design) Silver Level certification as governed by the US Green Building Council or a similar equivalent standard. All references to LEED certification in this document shall be interpreted to mean LEED Silver or an equivalent standard as approved by the State. In addition, as part of this contract, the architect is to provide all administrative services, prepare any required applications, provide required documentation, etc., as may be required in the LEED Silver Level certification process. The Architect will be responsible for all aspects of this endeavor.

V. DESIGN PROCESS EXPECTATIONS

- **Programming/Pre-Design:** The selected ARCHITECT will begin the project by working with RIDOT and/or its project representatives to establish/review and confirm a program for the Project. As part of this process, the ARCHITECT will provide research findings showing "best practices" utilized at other similar facilities and in accordance with AASHTO requirements.
- **Design Development and Construction Documents:** Documentation is to include the following: Schematic Design, Design Development, and Construction Documents. This would also include progress meetings with authorities having jurisdiction including but not be limited to the Rhode Island Building Code Commission, the Rhode Island State Fire Marshall's Office, Warwick Fire Department, and the Governor's Commission on Disabilities.

The selected ARCHITECT shall be responsible for documenting all existing equipment scheduled for re-use at the new facility and engineering systems to support all new equipment scheduled to be purchased and installed.

- **Construction Administration and Close Out:** The selected ARCHITECT will be responsible to log and maintain all information related to Construction Closeout Procedures from the start of construction until final issuance of final payment to the Contractor. It will be the responsibility of the ARCHITECT to ensure that THREE (3) SETS of approved as-built plans are submitted by the Contractor to RIDOT after approval of all closeout documents.
- **Coordination with RIDOT:** The selected ARCHITECT will coordinate the project design development and construction documents with all appropriate RIDOT stakeholders and/ or its project representatives.
- **Specialty Expertise:** The selected ARCHITECT is required to include the following services as part of the proposed team:
 - M/E/P & Fire Protection Engineers
 - Civil and Landscape Engineers
 - Acoustical Engineers
 - Structural Engineers
 - Others as Required

EACH member of the proposed Architectural Team shall have at least **TEN (10) YEARS** of similar project experience **AND** shall have participated in the successful completion of at least **FIVE (5)** Laboratory/ Research/Testing Facility Projects.

- **Building Commissioning:** An independent commissioning agent will be retained by RIDOT for the Project. The selected firm will be required to coordinate with the commissioning ARCHITECT and the selected Specialty Firms listed above.
- All required meeting time necessary to achieve the specified outcome shall be included in the fee proposal.

VI. PROPOSED DESIGN SCHEDULE

RIDOT wishes to complete final design services and bid the project for construction in accordance with the following list of milestones. This schedule is subject to revision and RIDOT reserves the right to modify this schedule as it finds necessary, in its sole discretion.

Respondents shall submit a concise schedule that outlines all key components to achieve design completion. The following milestones must be incorporated into the schedule:

Programming/Pre-Design DUE BY:	30 days after the Notice to Proceed (NTP)
30% Submission DUE BY:	45 days thereafter
60% Submission DUE BY:	30 days thereafter
95% Submission DUE BY:	45 days thereafter
100% Construction Documents:	20 days thereafter

VII. PROJECT DELIVERABLES

The following deliverables are required for each of the following design submissions:

30% SUBMISSION:

1. Provide **THREE (3)** sets of prints, outline specifications, and construction cost estimate. (Also provide as electronic PDF files.)
2. The 30% submission is to include preliminary / progress Civil, Architectural and M/E/P and Fire Protection plans, elevations, and details with notes and dimensions. (Also provide as electronic PDF files.)

60% SUBMISSION:

1. Provide **THREE (3)** sets of prints, complete specification, and revised construction cost estimate. (Also provide as electronic PDF files.)
2. The 60% submission is to include the Design Development drawings showing Civil, Architectural M/E/P and Fire Protection plans in their developmental stage, elevations, details at 60% stage, schedules, notes and dimensions. The 60% drawings are to be an in progress set of documents for review of materials and layout of spaces by the Owner.

95% SUBMISSION:

1. Provide **THREE (3)** sets of prints, complete specification, and revised construction cost estimate. (Also provide as electronic PDF files.)
2. The 90% submission is to include the Civil, Architectural and M/E/P and Fire Protection plans, elevations, all details, all schedules, notes and dimensions. The 95% drawings are to be a complete coordinated set of documents for final review by the Owner.

FINAL DOCUMENTS:

1. Provide **ONE (1)** set of stamped prints, specifications and revised construction cost estimate. (Also provide as electronic PDF files.)
2. Provide **ONE (1)** set of stamped Mylar reproducible drawings and unbound original specifications for use by the Owner.
3. Provide electronic files of all CAD drawings at the final design submission.
4. Provide **ONE (1)** set of Mechanical, Electrical, and Energy design criteria, calculations and assumptions for the Owner's record. Material submitted to be in a bound format. (Also provide as electronic PDF files.)

All required project deliverables shall be compatible with the following:

- a. **Word Processing:** All word processing submittals shall be compatible with Microsoft Word 2010.
- b. **Spreadsheets:** All spreadsheets submittals shall be compatible with Microsoft Excel 2010.
- c. **Schedules:** Schedules submitted shall be compatible with Microsoft Project 2007 or 2010.
- d. **Computer Aided Drafting (CAD):** All drawings prepared and submitted shall be compatible with AutoCAD (2010 or more recent).

VIII ALLOWANCES

The following contract allowances will be included in the final pricing separately itemized under the following items:

Class 1 Survey and Geotechnical Investigation Allowance	\$15,000
Weather-tightness and Moisture Control Envelope & Slab Investigation Allowance	\$15,000
Additional Services Allowance (subject to DOT approval)	\$50,000
Reimbursable Expenses Allowance (as previously defined)	\$10,000

DOT Test Lab
 DESIGN SERVICES MATRIX ATTACHMENT "A"

	Basic Services	Additional Service	Provided by Owner	Provided by Others	
Architectural Design					
Functional Space Programming	X				
Multiple Preliminary Conceptual Designs	X				
Site Evaluation and Planning	X				
Measured Drawings of Existing Buildings	X				
Schematic Design	X				
Design Development	X				
Construction Documents	X				
Value Analysis	X				
Bidding or Negotiation Assistance	X				
Confirmed Construction Documents	X				
Construction Administration	X				
Site Visits/Inspections	X				
Full Time Project Representation	NOT REQUIRED				
Shop Drawing Review	X				
Evaluation of Substitutions	X				
Change Order Review	X				
Punch List Preparation	X				
Responding to Requests for Information	X				
Record Drawings by Architect	X				
Review of Contractors' Record Drawings	X				
Prep for and Attendance at Regulatory	X				
CADD Plans of Existing Conditions	X				
Engineer and ARCHITECT Coordination	X				
Presentation Models and Perspectives		X			
Renderings & Associated Materials	X				4 renderings included
Extensive environmentally responsible design	X				
LEED Design	X				Filing fees as a Reimbursable Expense
BIM Services	NOT REQUIRED				
Engineers and Architects					
Landscape Architect	X				
Geotechnical		X			Contract Allowance
Asbestos/Lead Survey			X		
Civil Design	X				
Traffic	NOT REQUIRED				
Structural	X				
Mechanical	X				
Electrical	X				
Plumbing	X				
Fire Protection	X				
Site Survey		X			Contract Allowance
Cost Estimating and Cost Management		X			
Code ARCHITECT	X				
Commissioning Agent			X		
EM Global Review	X				
Building Envelope Peer Review		X			Contract Allowance
Information Technology (Tel/Data)	X		X		
Acoustical	X				
Audio / visual	X				
Lighting	X				
Security			X		
Interior Designer	X				
Specification Writer	X				
Signage and Graphics	X				
National Grid Technical Analysts	X				
HVAC System Commissioning			X		
Engineers and Architects other Than Above		X			Contract Allowance

DOT Test Lab
 DESIGN SERVICES MATRIX ATTACHMENT "A"

	Basic Services	Additional Service	Provided by Owner	Provided by Others	
Interior Design and Furnishings					
Selection of Basic Architectural Finishes/Colors	X				
Preparation of Furniture vendor REP	X				
Furniture and Furnishing Specifications	X				
Inventory of Existing Furniture	X				
Furniture Purchasing	X				
Site and Environmental					
Environmental Impact Study/Report	NOT REQUIRED				
Site Survey		X			Contract Allowance
Legal Description	NOT REQUIRED				
Hazardous Materials and Air Quality					
Hazardous Material Management				X	
Asbestos/Lead Survey			X		Provided by Owner
Air Pollution / Air Quality Management	NOT REQUIRED				
Construction Quality					
Testing			X		
Operation & Maintenance Manuals				X	
Preparation of Record Drawings				X	

CONSULTANTS

**CERTIFICATION REGARDING DEBARMENT, SUSPENSION
AND OTHER RESPONSIBILITY MATTERS
PRIMARY COVERED TRANSACTIONS FOR PRIME CONSULTANTS
AND LOWER TIER PARTICIPANTS (SUBCONSULTANTS ETC.)**

Appendix B - - certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion – Lower Tier Covered Transactions

INSTRUCTIONS FOR CERTIFICATION:

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.

2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

4. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, have the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.

5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.

6. The prospective lower tier participant further agrees by submitting this proposal that it will include this clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower Tier Covered Transaction," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Nonprocurement List.

8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

Certification Regarding Debarment, Suspension, Ineligibility And Voluntary Exclusion - - Lower Tier Covered Participants

1. The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.

2. Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

**CERTIFICATION REGARDING DEBARMENT, SUSPENSION
AND OTHER RESPONSIBILITY MATTERS
PRIMARY COVERED TRANSACTIONS**

In accordance with the code of Federal Regulations, Part 49 CFR Section 29.510, the prospective primary participant _____ (name of Authorized Agent), _____ (Title), being duly sworn (or under penalty of perjury under the laws of the United States), certifies to the best of his/her knowledge and belief, that its principals:

- a. Are not presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from covered transactions by any Federal department or agency;
- b. Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against 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 Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, 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 enumerated in paragraph (1)(b) of this certification;
- d. Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.

Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall list exceptions below.

Exceptions will not necessarily result in denial of award, but, will be considered in determining contractor responsibility. For any exception noted, indicate below to whom it applies, the initiating agency, and the dates of the action. Providing false information may result in criminal prosecution or administrative sanctions. If an exception is noted the contractor must contact the Department to discuss the exception prior to award of the contract.

Signature of Authorized Agent

Date

Certification for Federal-Aid Construction/Consultant Contracts

IN ACCORDANCE WITH PUBLIC LAW 101-1210 SECTION 319 (DEPARTMENT OF THE INTERIOR AND RELATED AGENCIES) THE PROSPECTIVE PARTICIPANT CERTIFIES, BY SIGNING AND SUBMITTING THIS BID OR PROPOSAL, TO THE BEST OF HIS/HER KNOWLEDGE AND BELIEF, THAT:

1. No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any Federal agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
2. If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any Federal agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, Title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

The prospective participant also agrees by submitting his or her bid or proposal that he or she shall require that the language of this certification be included in all lower tier subcontracts, which exceed \$100,000 and that all such subrecipients shall certify and disclose accordingly.

(R.I.D.O.T. APPENDIX C)

INSTRUCTIONS FOR COMPLETION OF SF-LLL, DISCLOSURE OF LOBBYING ACTIVITIES

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to Title 31, U.S.C. Section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a covered Federal action. Use the SF-LLL-A Continuation Sheet for additional information if the space on the form is inadequate. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a followup report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, state and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in item 4 checks "Subawardee," then enter the full name, address, city, state and zip code of the prime Federal recipient. Include Congressional District, if known.
6. Enter the name of the Federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number, Invitation for Bid (IFB) number, grant announcement number, the contract, grant, or loan award number, the application/proposal control number assigned by the Federal agency). Include prefixes, e.g., "RFP-DE-90-001."
9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
10.
 - (a) Enter the full name, address, city, state and zip code of the lobbying entity engaged by the reporting entity identified in item 4 to influence the covered Federal action.
 - (b) Enter the full names of the individual(s) performing services, and include full address if different from 10(a). Enter Last Name, First Name, and Middle Initial (MI).
11. Enter the amount of compensation paid or reasonably expected to be paid by the reporting entity (item 4) to the lobbying entity (item 10). Indicate whether the payment has been made (actual) or will be made (planned). Check all boxes that apply. If this is a material change report, enter the cumulative amount of payment made or planned to be made.
12. Check the appropriate box(es). Check all boxes that apply. If payment is made through an in-kind contribution, specify the nature and value of the in-kind payment.
13. Check the appropriate box(es). Check all boxes that apply. If other, specify nature.
14. Provide a specific and detailed description of the services that the lobbyist has performed, or will be expected to perform, and the date(s) of any services rendered. Include all preparatory and related activity, not just time spent in actual contact with Federal officials. Identify the Federal official(s) or employee(s) contacted or the officer(s), employee(s), or Member(s) of Congress that were contacted.
15. Check whether or not a SF-LLL-A Continuation Sheet(s) is attached.
16. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

Public reporting burden for this collection of information is estimated to average 30 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (03-48-00-46), Washington, D.C. 20503.

DISCLOSURE OF LOBBYING ACTIVITIES

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352 - 0348-0046
(see reverse for public burden disclosure)

<p>1. Type of Federal Action:</p> <p><input type="checkbox"/> a. contract <input type="checkbox"/> b. grant <input type="checkbox"/> c. cooperative agreement <input type="checkbox"/> d. loan <input type="checkbox"/> e. loan guarantee <input type="checkbox"/> f. loan insurance</p>	<p>2. Status of Federal Action:</p> <p><input type="checkbox"/> a. bid/offer/application <input type="checkbox"/> b. initial award <input type="checkbox"/> c. post-award</p>	<p>3. Report Type:</p> <p><input type="checkbox"/> a. initial filing <input type="checkbox"/> b. material change</p> <p>For Material Change Only: year _____ quarter _____ date of last report _____</p>
<p>4. Name and Address of Report Entity:</p> <p><input checked="" type="checkbox"/> Prime <input type="checkbox"/> Subawardee Tier ____, if known:</p> <p>Congressional District, if known:</p>		<p>5. If Reporting Entity in No. 4 is Subawardee, Enter Name and Address of Prime:</p> <p>Congressional District, if known:</p>
<p>6. Federal Department Agency:</p>	<p>7. Federal Program Name/Description:</p> <p>CFDA Number, if applicable: _____</p>	
<p>8. Federal Action Number, if known:</p>	<p>9. Award Amount, if known:</p> <p>\$ _____</p>	
<p>10. a. Name and Address of Lobbying Entity:</p> <p>(if individual, last name, first name, mi):</p>	<p>10. b. Individuals Performing Services (including address if different from No. 10a)</p> <p>(last name, first name, mi):</p>	
<p>11. Amount of Payment (check all that apply)</p> <p>\$ _____ <input type="checkbox"/> actual <input type="checkbox"/> planned</p>	<p>13. Type of Payment (check all that apply):</p> <p><input type="checkbox"/> a. retainer <input type="checkbox"/> b. one-time fee <input type="checkbox"/> c. commission <input type="checkbox"/> d. contingent fee <input type="checkbox"/> e. deferred <input type="checkbox"/> f. other; specify: _____</p>	
<p>12. Form of Payment (check all that apply):</p> <p><input type="checkbox"/> a. cash <input type="checkbox"/> b. in-kind; specify: nature _____ value _____</p>		
<p>14. Brief Description of Services Performed or to be Performed and Date(s) of Service, including officer(s), employee(s), or Member(s) contracted, for Payment indicated in Item 11 (Attach Continuation Sheet(s) SF-LLL-A, if necessary):</p>		
<p>15. Continuation Sheet(s) SF-LLL-A attached: <input type="checkbox"/> yes <input checked="" type="checkbox"/> no</p>		
<p>16. Information requested through this form is authorized by title 31 U.S.C. section 1352. this disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.</p>	<p>Signature: _____ Print Name: _____ Title: _____ Telephone No: _____ Date: _____</p>	
<p>For Federal use Only:</p>		<p>Authorized for Local Reproduction Standard Form - LLL-A</p>

DISCLOSURE OF LOBBYING ACTIVITIES

CONTINUATION SHEET

Reporting Entity: _____ Page _____ of _____

CONFLICTS DISCLOSURE POLICY

To ensure that the Rhode Island Department of Transportation (RIDOT) maintains the continued confidence and trust of the people of Rhode Island in carrying out its mission, prospective vendors must disclose any family (or other personal) relationships, associations or connections that the vendor, its affiliates, or employees, may currently have with any RIDOT employee. A Conflicts Disclosure Statement shall be submitted to RIDOT from the following:

- ❖ Owners;
- ❖ Directors;
- ❖ Principals;
- ❖ Officers, board members, or individuals with corporate authority;
- ❖ If the vendor is a partnership, the applicant's partners;
- ❖ If the vendor is a limited liability company, its members and managers;
- ❖ Employees with decision-making authority, including executive directors, managers or individuals in a similar position with corporate authority; and
- ❖ Shareholders with a controlling interest.

