



REQUEST FOR PROPOSAL (RFP) – BID# 7547369

DEVELOPMENT & IMPLEMENTATION OF TRANSPORTATION ASSET MANAGEMENT PLAN (TAMP) AND SUPPORT SERVICES

SUBMISSION DEADLINE: Friday, January 24, 2014 at 11:30 AM (ET)

PRE-BID CONFERENCE: NO
 YES **Tuesday, January 07, 2014 at 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: RI DEPARTMENT OF TRANSPORTATION
2 CAPITOL HILL - TRANSPORTATION MGT. CTR. CONFERENCE ROOM
PROVIDENCE, RI

Buyer Name: LISA HILL
Title: CHIEF BUYER

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

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

RHODE ISLAND DEPARTMENT OF TRANSPORTATION

RFP 7547369

DEVELOPMENT AND IMPLEMENTATION OF A TRANSPORTATION ASSET MANAGEMENT PLAN AND SUPPORTIVE SERVICES

I. INTRODUCTION:

Historically, asset management – the principle of taking into account the full life-cycle cost of funding decisions when administering and managing an agency’s assets – has been a critical element of the transportation planning process. In July 2012, Congress enacted *Moving Ahead for Progress in the 21st Century* (MAP-21) which codifies asset management principles into law.

Consistent with MAP-21, the Rhode Island Department of Transportation (RIDOT) seeks to develop a risk-based **Transportation Asset Management Plan (TAMP)** for the National Highway System (NHS) and Non-NHS state and municipal roads that are eligible for the Federal-Aid Highway Program. RIDOT will take an inventory of its assets and determine the highest priorities for repair and then craft a strategy to best address those issues. RIDOT’S TAMP will describe our asset inventory, condition, monitoring, analysis, prioritization, repair and long term strategies to be undertaken to maintain or improve the state of good repair of those assets and shall contain at a minimum the following specific elements:

1. A summary listing of highway and highway related assets on the NHS and Non-NHS state and municipal roads that are eligible for the Federal-Aid Highway Program in the State, including a description of the condition of those assets;
2. Asset management objectives and measures;
3. Performance gap identification;
4. Lifecycle cost and risk management analysis;
5. A financial plan; and
6. Investment strategies.
7. Investment Plan that is STIP-ready

II. PROJECT DESCRIPTION:

The Rhode Island Department of Transportation (RIDOT) is committed to developing a comprehensive asset management program to improve and sustain at acceptable levels the condition of its highway infrastructure. To achieve this goal, the Rhode Island Department of Administration / Office of Purchases, on behalf of RIDOT, is seeking to acquire professional consultant services (CONSULTANT) to develop a **Transportation Asset Management Plan (TAMP)** that complies with MAP-21 and accords with current and future Federal Highway Administration (FHWA) guidance for developing a TAMP (www.fhwa.dot.gov/asset/tamp/workplan.pdf), as well as to provide other related tasks and deliverables.

The TAMP shall focus on highway and highway-related assets on the NHS and Non-NHS state and municipal roads that are eligible for Federal Aid. Other physical assets, including maintenance facilities and equipment, drainage facilities, TMC devices (camera, electronic message signs etc.) and guardrails, shall be included in the TAMP provided data is ready and available and RIDOT determines that the inclusion of the additional data will not delay the final development of the TAMP. At this time no transit assets will be included as part of the RIDOT TAMP.

Ultimately, RIDOT expects the TAMP to be a framework for future decision making, one that fosters continuous improvement in the infrastructure maintenance and preservation of all state transportation assets. As part of a performance based federal-aid program the TAMP is intended to be the driver for the state of good repair through statewide transportation improvement program (STIP) investments.

In addition to the TAMP, the CONSULTANT will also be required to develop an **Asset Management User Manual (MANUAL)** that clearly and simply defines asset management practices and establishes a working protocol for utilization within RIDOT. This MANUAL will be considered a living document that will require updating as required to maintain compliance with MAP-21 requirements and applicable federal regulations. The MANUAL shall be submitted both in hard copy and in electronic format. The electronic version shall be web-based, flexible, linked, and easily updatable as well as viewer/user friendly. The electronic version shall also have the media capability to be viewed on a PC, tablet and mobile device.

AGREEMENT TERM / CONDITIONS: Services anticipated under this Agreement will have a maximum contract completion date of **EIGHTEEN (18) MONTHS** after the date of authorization to commence work. Upon contract conclusion, RIDOT may elect at its sole discretion to renew annually for an additional TWO (2) YEARS considering: **(1)** results and recommendations generated through this contract and, **(2)** the State's satisfaction and acceptance of the selected CONSULTANT'S services and deliverables. Delivery of goods and services as described herein shall be deemed acceptance of these requirements. ***Should the Contract be extended, at RIDOT'S discretion, each additional YEAR'S hourly rates will be increased a maximum 3% over the previous YEAR'S documented rates.***

Respondents are instructed to submit a **TECHNICAL PROPOSAL** response along with a *separately sealed* **PRICE PROPOSAL** both described in detail 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, in addition to price. 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. **TECHNICAL proposal and PRICE proposal must be TWO (2) separate documents.** 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) and 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.
- 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) 222-2357. **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. FAILURE TO DO SO MAY RESULT IN AUTOMATIC DISQUALIFICATION.**
- Although there is **NO DBE GOAL** assigned to this project, RIDOT encourages the utilization of DBE Firms on all projects. At the point of project completion RIDOT will determine and assess the overall DBE participation, if any, which will be attributed to the fulfillment of the Department's annual DBE Goal requirement.

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 **FIVE (5) 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.
- **W-9 FORM:** For W-9 only, ONE (1) unbound "original" copy shall be completed and signed by authorized agent of your Firm. Form may be downloaded @ www.purchasing.ri.gov .

- **CERTIFICATION FOR TITLE VI ASSURANCE:** Shall be fully-completed and submitted accordingly

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: ("ORIGINAL" + SIX (6) COPIES)

GENERAL FORMAT:

- **Letter of Transmittal:** A Letter of Transmittal must accompany each response signed by an owner, officer, or other authorized agent of your firm.
- **RIVIP BIDDER CERTIFICATION FORM:** ALL FOUR (4) Pages **MUST** accompany each response submitted. Failure to make a complete submission of this document may result in disqualification. (**SEE GENERAL NOTIFICATIONS**).
- **TECHNICAL PROPOSAL Format:** TECHNICAL PROPOSAL must be bound or contained in a single volume. All documentation submitted with the proposal must be contained in that single volume. TECHNICAL Proposal must be prepared on **8 1/2" x 11"** letter sized white paper sequentially numbered and limited in length to a total of 25 PAGES – exclusive of "exhibits", which must 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 25 PAGE MAXIMUM will be removed and discarded. TECHNICAL PROPOSAL must contain a Table of Contents that cross-references each requirement with specific pages in the submission.
- **RIDOT Scope of Work and Addenda:** Respondents shall include as part of the TECHNICAL PROPOSAL submission 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 similar projects and/or clients served similar in concept to the project being proposed. Previous collaborations and partnerships between firms should be disclosed and are encouraged with regard to this initiative.

- **Client References:** Respondents shall provide the names, addresses, and telephone numbers of at least **THREE (3)** previous clients who are familiar with the services provided by your firm within the last **FIVE (5) YEARS**. This information is required not only for the Respondent but also for any key sub-consultants to be assigned to project. 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 of its proposed team members on any projects.
- **Existing Workload:** Respondents are to include a current listing of all projects contracted to perform specific to transportation planning and asset management services.

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 qualifications of the following required personnel categories to be assigned to project:

LEAD PROJECT MANAGER - The TAMP will be created under the direct supervision of a Lead Project Manager (LPM) with strong experiences among asset preservation techniques, financial forecasting, planning, and other business exposures. The LPM must have at least **TEN (10) YEARS** experience. Professional engineering licensing for this role is optional, however, other applicable licensing and certifications in areas defined above will be considered.

PRINCIPLE INVESTIGATOR (PI) - Personnel fulfilling this role must have at least **TEN (10) YEARS** experience and possess an educational background in planning, finance, business, engineering, or another discipline. The PI can be a licensed Rhode Island Professional Engineer with active status; however, the engineering licensing for this role is optional.

STAFF ENGINEER (SE) – At least one individual assigned this category **MUST** be a licensed Rhode Island Professional Engineer. The PI and/or SE will have direct supervision over the Technical Writer(s) and General Support staff. All individuals assigned this category must have at least **FIVE (5) YEARS** of highway engineering and/or highway construction/maintenance experience.

TECHNICAL WRITER (TW) - Technical Writers must have a minimum **TWO (2) YEARS** technical writing experience and shall be familiar with all applicable State and Federal guidelines relative to the project scope.

GENERAL SUPPORT (GS) - GS staff must have a minimum **ONE (1) YEAR** experience providing general office support and computer skills.

OTHER - Respondents may provide additional defined personnel categories in addition to the above categories cited. Technical Proposal must define the specific titling and qualifications for each proposed category along with the percentage of time to be expended on project for each additional category cited. Multiple categories may be proposed but must be definitive as far as services anticipated and relativity to the project scope.

- **Personnel Listing**: The Technical Proposal shall include a Personnel Listing of proposed employees by name and categorical assignment. Resumes for each employee shall be included for RIDOT review of qualifications and previous experience.
- **Sub-Consultant(s)**: As applicable, disclosure of any sub-consultant 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 sub-consultant team in line with the categories and guidelines cited above is required in the Technical Proposal.
- **Standard Federal Form 330** 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.gsa.gov .

RIDOT'S Asset Manager shall be the POC for this project and 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, RIDOT reserves the right to terminate this agreement.

PROJECT WORK PLAN/ SCHEDULE:

- **Project Approach**: Respondents shall provide a detailed technical synopsis of their proposed services based on the SOW requested by the RIDOT including any technical issues that will or may be confronted at each stage 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. The proposed work plan shall also identify the RIDOT resources and level of effort needed from each identified resource.
- **Project Schedule**: Respondent shall provide a project schedule for delivery of anticipated tasks and proposed deliverables that addresses this SOW, and related MAP-21 requirements and rule making, including Transportation Asset Management, (TAM) Transportation Performance Management (TPM) and Metropolitan and Statewide Planning.

- **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.

PRICE PROPOSAL: (THREE (3) "HARD" COPIES ONLY)

- **Letter of Transmittal** shall accompany PRICE Proposal submission signed by an owner, officer, or other authorized agent of the firm.
- Respondent shall submit, separate from Technical Proposal, **THREE (3) COPIES** of a completed *signed and sealed* **PRICE PROPOSAL** using the required format attached.
- **PRICE PROPOSAL** shall reflect the maximum *fully-inclusive* hourly rate cited for each of the required personnel categories cited by RIDOT. Additionally, each personnel category shall also include the overall percentage of project time attributed to each designated category.
- **PRICING** submitted will be considered *firm and fixed*. Fully inclusive hourly rates will include all materials, equipment, labor, overhead, and all other elements necessary for the completion of the work.
- **Eligible Reimbursables:** Project related reimbursables shall be limited to **MILEAGE** and **PRINTING** and shall be itemized and included as part of pricing submittal. (Mileage shall be defined in terms of EST MI/RT x Number of RT x \$0.565/MI. Mileage reimbursement will be updated annually in line with State's accepted mileage allowance.)
- **PRICING** cited shall apply for the **EIGHTEEN (18) MONTH** project term; once contact is awarded, work hours will be negotiated with RIDOT in line with accepted pricing and defined per PROJECT TASKS inclusive of eligible deliverables/activity milestones and anticipated delivery date associated with each task as defined in the Respondent's TECHNICAL PROPOSAL.
- RIDOT will not increase the contract or any purchase order (either dollar amount or time) for items not included in the submitted proposal documents. RIDOT reserves the right to purchase part of the proposal or the entire proposal.
- RIDOT reserves the right to negotiate final pricing with the selected CONSULTANT.

PRE-PROPOSAL MEETING

Although not mandatory, Respondents are strongly encouraged to attend a Pre-Proposal Meeting to be held on **TUESDAY, JANUARY 7, 2014** at the RI Department of Transportation, Two Capitol Hill, Room 126, Providence, RI 02903 at **1:30 P.M.**

At this time any technical questions relative to the SOW as well as any questions regarding RIDOT procedures and proposal format will be addressed. Persons requesting the services of an interpreter for the hearing impaired may obtain those services by calling (401) 222-4971 forty-eight (48) hours 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 JANUARY 17, 2014.**

SUBMISSION REQUIREMENTS AND DUE DATE

All pages of the proposal are to be numbered in consecutive order.

TECHNICAL PROPOSAL ("Original" plus SIX (6) copies) and a *separately sealed* PRICE PROPOSAL (THREE (3) hard copies only) are to be submitted simultaneously. 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.**

Requested documentation is to be either mailed or hand-delivered in a sealed envelope marked: ***RFP# 7547369 – DEVELOPMENT AND IMPLEMENTATION OF A TRANSPORTATION ASSET MANAGEMENT PLAN AND SUPPORTIVE SERVICES*** by **JANUARY 24, 2014 no later than 11:30 A.M.** to:

BY COURIER OR MAIL:
RI Department of Administration
Division of Purchases (2nd fl)
One Capitol Hill
Providence, RI 02908-5855

NOTE: Proposals received after the above referenced due date and time will not be considered. (SEE GENERAL NOTIFICATIONS)

EVALUATION AND SELECTION

PHASE 1: Technical Evaluation And Shortlist Recommendation

Technical and **Price Proposals** will be evaluated separately. **Price Proposals** will remain sealed at RIDOA/Purchases until such time as technical scoring has been completed.

Upon receipt of the Technical Proposal submissions from RIDOA, a Technical Evaluation Committee (TEC) will be convened comprised of RIDOT personnel responsible for the project under consideration to review the technical proposals received based on the technical criteria defined below. The TEC will provide a written **Technical Evaluation** narrative to document each firm's final technical score received.

Before finalizing their review, the TEC may, at its discretion, contact the top-ranked candidate firm(s) for formal interviews. Such interviews will be factored into the final technical valuation and ranking of candidates.

Based on the final technical scores presented, the TEC will compile a short-list which will include only the candidate firms receiving a final technical score of a **60 POINTS or higher** out of the 80 eligible technical points available. Only these technically qualifying firms ("shortlist") will advance to the PRICE evaluation phase of the consultant selection process.

PHASE 2: Price Evaluation and Final Selection Recommendation

RIDOT will request RIDOA to release only the PRICE Proposals of the shortlisted firms for evaluation and final scoring. PRICE Proposals of firm(s) who were not shortlisted will remain sealed at RIDOA.

RIDOT will calculate a PRICE for each firm based on a proposed number of hours for a "mock task" using the fully inclusive hourly rates and percentage of time proposed for each personnel category cited. The short-listed firm calculated at the lowest total price for the estimated task will receive the maximum **TWENTY (20) POINT** allowance for PRICE evaluation.

The next lowest total pricing calculated will be awarded points based on **(a)** the lowest Pricing divided by the next-lowest Pricing to determine the ratio then **(b)** multiplied by the **TWENTY (20) POINT** maximum. All scoring will be rounded up to the nearest one hundredth (0.01) of a point. The process will continue for each of the remaining short-listed PRICE Proposals until all PRICE scores are calculated; scoring results will then be integrated with the technical review scores resulting in a FINAL ranking and recommended selection.

The following defines the aforementioned **Selection Criteria** to be utilized and the maximum assigned scoring for each selection Phase:

SELECTION CRITERIA:		
1.	CONSULTANT'S CAPABILITY, CAPACITY, AND STAFF QUALIFICATIONS <ul style="list-style-type: none"> • What experience does the CONSULTANT have with projects of similar size, scope, and use?; has a list of similar projects completed been provided? • Have THREE (3) client references been submitted for services performed within the last FIVE (5) YEARS? • Does the Proposal indicate that the proposed Team has the background and experience to provide a successful outcome within the timeline established? • Does the CONSULTANT describe their current workload and availability of personnel to perform the project? Is it feasible? • Does the CONSULTANT possess a working understanding of the federal MAP-21 regulations and mandated asset management principles 	0-30 POINTS
2.	QUALITY OF THE PROJECT WORK PLAN / SCHEDULE Inclusive Of Proposed Deliverables And Activity Milestones <ul style="list-style-type: none"> • Does the Plan provide solutions for the issues presented by the project in a manner likely to meet the needs of the Department and other end users? • Does the CONSULTANT identify both constraints and opportunities posed by this project? • Is there a project schedule provided and is that schedule achievable within the timeline established? • Does the Plan illustrate the CONSULTANT has analyzed, interpreted and understand issues presented by this project germane to RIDOT? Is the work plan presented tailored to define RIDOT'S full capabilities and working capacities? 	0-30 POINTS TECHNICAL CRITERIA
3.	SUITABILITY OF APPROACH/METHODOLOGY <ul style="list-style-type: none"> • Does the CONSULTANT'S approach to the project present a working understanding of the federal MAP-21 regulations and mandated asset management principles defined? 	0-20 POINTS
		80.0 TECHNICAL POINT MAX
<p><i>Technical Proposals receiving scores of <u>less than 60 POINTS</u> out of the 80 eligible TECHNICAL POINTS will NOT be scheduled for the interview phase of the evaluation process and will be disqualified from further consideration.</i></p>		
4.	PRICE PROPOSAL (Evaluated separately)	0-20 POINTS
		20.0 PRICE POINT MAX
MAXIMUM TOTAL SCORE		100 POINTS

The findings will then be reviewed and accepted by RIDOT'S Advisory Consultant Selection Panel. With the support of the DOT Director, the ranked findings and selection recommendation will be submitted to the State's Architectural Engineering Consultant Services Selection Committee for final selection consideration.

Additionally, once a Final Selection recommendation has been approved, the selected CONSULTANT will be required to submit the following documentation to RIDOT for review/acceptance prior to contract award:

- **Commitment to Affirmative Action:** Respondents must provide a copy of their firm's current Affirmative Action Plan to the State EEO Office for compliance review and approval.
- **Financial Status:** For projects 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 projects 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 Contracts & Specifications Office.

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.

Evaluation will also consider commitment to the Affirmative Action and DBE Participation. 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 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 WORK

For

DEVELOPMENT AND IMPLEMENTATION OF A TRANSPORTATION ASSET MANAGEMENT PLAN AND SUPPORTIVE SERVICES

I. PROJECT ORGANIZATION

Overall project direction will be provided by the RIDOT Asset Management Council through

your point of contact (POC), John Preiss, P.E., RIDOT Asset Manager. . The selected CONSULTANT should not consider this a staff resource. It is the CONSULTANT'S responsibility to obtain all necessary information, to complete all tasks and prepare and submit the required deliverables to the POC.

II. PROJECT SCHEDULE

The CONSULTANT shall maintain a project schedule throughout the contract duration. The schedule shall accurately address project status, deliverables and scheduled submission. RIDOT shall have a 45-DAY review period for each deliverable and monthly updates shall be prepared for each Asset Management Council Meeting and /or as requested by POC.

III. PROJECT TASKS AND DELIVERABLES:

TASK A - Development of DRAFT Transportation Asset Management Plan

The successful CONSULTANT shall develop a "risk-based" Transportation Asset Management Plan (TAMP) that draws on best practices from other States along with guidance that has been developed through national research efforts including the AASHTO Transportation Asset Management Guide, International transportation programs and other private sector business areas. The TAMP shall include the following:

- a. **Asset Inventory and Conditions:** This section of the TAMP will provide a summary listing of the highway and highway related assets on the NHS, as well as non-NHS state and municipal roads in Rhode Island that are eligible for the Federal-Aid Highway Program, and include a description of the condition of those assets. Other physical assets, including drainage facilities, TMC devices (cameras, electronic message signs, etc.) and guardrails, shall be included in the inventory provided that data is ready and available and RIDOT determines that the inclusion of the additional data will not delay the final development of the TAMP. . At this time no transit assets will be included as part of the RIDOT TAMP.

- b. **Asset Management Objectives and Measures:** This section of the TAMP will define (1) the objectives of the asset management program, (2) the levels of service and measures in RIDOT and in MAP-21, and (3) short-term and long-term condition targets. It is important to note that RIDOT is moving on a parallel track with the development of a Strategic Plan that will outline RIDOT'S vision, core functions (business lines), and values. The successful TAMP CONSULTANT may be asked to coordinate efforts with those of the selected STRATEGIC PLAN Consultant as the objectives and measures of the both the TAMP and the Strategic Plan should incorporate the system and business process elements required to achieve RIDOT'S vision for asset management.

- c. **Performance Gap Identification and Analysis:** This section of the TAMP will identify policy and procedural gaps and recommend specific policy revisions. It will also (1) define short-term and long-term asset management planning horizons, (2) describe traffic growth and demand on the system, (3) present an analysis of future funding scenarios versus condition scenarios, (4) include Value Stream Mapping¹ of core RIDOT activities, and (5) illustrate the performance gap between existing condition levels and future condition levels. The TAMP shall discuss all operational functions of the Department – including State Gas Tax funded Maintenance operations.

- d. **Lifecycle Cost Considerations:** This section of the TAMP will define “lifecycle costs” and explain why they are important. It will also describe the methodology used to address the “lifecycle costs” in the TAMP. Life-Cycle Cost Analysis (LCCA) will follow practices and tools used by the USDOT.

- e. **Risk Management Analysis:** This section of the TAMP will (1) set the context for risk management, (2) define key programmatic risks associated with implementation of the TAMP, (3) define system risks that could adversely affect the NHS, (4) provide a map showing the assets most at risk, (5) include a risk register that provides the appropriate programmatic risk that includes but is not limited to the following for each programmatic risk – likelihood of occurrence, consequences of occurrence, and mitigation activities.

- f. **Financial Plan:** This section of the TAMP will document funding levels for asset management to the extent possible and define (1) the amount of funds expected to be available for asset management and describe the source of those funds, (2) how the identified asset management funds will be allocated in the short-term, and (3) how the identified funds will be allocated in the long-term, as part of the asset management long-term planning horizon. The Financial Plan will also determine the current value of the assets, describe the implications of various funding levels in terms of asset valuation and financial sustainability, and enable GASB34 reporting. This section will include the use of an Asset Sustainability Index for selected asset types. In addition, evaluation and economic investment analysis will follow practices and tools used by USDOT, including HERS-ST, NBIAS, and TERM-Lite.

- g. **Investment Strategies:** This section will describe key work strategies resulting from the analyses of activities documented in previous sections, i.e., gap analysis, life cycle cost

¹ Value Stream Mapping (VSM) - Special type of flow chart that uses symbols known as "the language of Lean" to depict and improve the flow of inventory and information. Rother, Mike; Shook, John (2003). *Learning to See: value-stream mapping to create value and eliminate muda*. Brookline, MA: Lean Enterprise Institute. ISBN 0-9667843-0-8.

considerations, risk assessment, and financial analysis. Investment strategies should include the development of trade-off scenarios shall identify/document the ‘indirect, interrelated, and cumulative’ impacts of these scenarios across many varying aspects. The Consultant shall combine different emphasis areas, such as focusing first on preservation to help decision makers understand the implications of various resource allocation decisions. Investment strategies should also include typical unit costs and typical timing and incorporate a performance-based approach for allocating transportation funds and managing pavement and bridges that is consistent with RIDOT’S existing performance measures inclusive of those described in MAP-21. The use of USDOT’S benefit-cost practice and tools will be incorporated.

- h. **Asset Management Process Enhancements**: This section of the TAMP will document the TAMP governance process: who owns the TAMP, how is it used, how it relates to other documents, and when will it be updated. It will identify priority for asset management improvement and include a process for periodically assessing the asset management process in the future.
- i. **Programmatic Agreement(s)** The CONSULTANT will work closely with RIDOT staff to develop a programmatic agreement template between RIDOT and the Federal Highway Administration (FHWA) for the preservation and maintenance of our assets. This document will be included in the Appendix of the TAMP.
- j. **Organizational Structure**: The CONSULTANT will provide RIDOT with recommended actions including systemic changes in our structural organizational for Asset Management implementation. Include a business process that addresses how assets are managed and prioritized both within and across categories of assets, including a review of policies, guidelines, and human resources that need to be revised/ added to better support asset management at RIDOT (Department wide).
- k. DRAFT STIP Sections for state of good repair for the 2017-2021 STIP
- l. Recommended Next Steps and Next Generation Advancements
- m. **APPENDICES**: The CONSULTANT will include all applicable tables, charts, and documentation in support of the TAMP as “Appendices” to the draft and final TAMP submissions.

TASK A DELIVERABLE(S):

The CONSULTANT will submit both electronic and a hard copy of DRAFT TAMP to the RIDOT Asset Manager for the Asset Management Council for review and comment.

TASK B –Revision and Submittal of FINAL Transportation Asset Management Plan

The CONSULTANT with the RIDOT Asset Manager shall schedule a formal presentation of the DRAFT TAMP to the Asset Management Council.

The RIDOT Asset Management Council will review the DRAFT TAMP submission and provide the CONSULTANT with formal comments and revisions. The CONSULTANT will incorporate all revisions in FINAL TAMP for final review and acceptance by Council.

Any additional comments will be forwarded in writing to the CONSULTANT for further revision to the FINAL TAMP. This process will continue until the FINAL TAMP is formally accepted by the Council.

TASK B DELIVERABLE(S):

The CONSULTANT, upon completion and acceptance of the FINAL TAMP, will submit both electronic and a hard copy to the RIDOT Asset Manager for the Asset Management Council.

TASK C - Preparation of Asset Management User Manual (MANUAL)

The MANUAL shall include at a minimum the following instructional and procedural information for implementation by RIDOT at the managerial and staff levels:

- a. List each asset class and include each level of management responsibilities;
- b. Identify specific activities for each Division and/or Section to ensure the implementation of asset management within RIDOT;
- c. Administrative protocol defined must be in line with RIDOT policies and procedures and subject to all federal and state regulations.
- d. MANUAL shall be submitted both in hard copy and in electronic format. The electronic version shall be web-based, flexible, linked, easily updatable as well as viewer/user friendly. The electronic version shall also have the media capability to be viewed on a PC, tablet and mobile device.

TASK C DELIVERABLE(S):

The CONSULTANT shall submit MANUAL both in hard copy and in electronic format to the RIDOT Asset Manager for the Asset Management Council final review and acceptance.

TASK D - TECHNICAL SUPPORT FOR ASSET MANAGEMENT COUNCIL

Throughout the course of this Contract the selected CONSULTANT is expected to provide periodic technical support and assistance to the RIDOT Asset Management Council as needed including but not limited to the following reporting and administrative requirements:

- Meetings -
 - Initial Kick-Off (Asset Management Council and other appropriate staff)
 - Monthly Status (In Person/Quarterly, Electronic - Skype, GTM/8 annually)
 - and "as-needed"

- Progress Reports
 - Written/Electronically submitted
 - Include staff assigned and hours expended
 - Compare progress to original schedule
 - Identify any and all problems that need resolution

- Review and provide summary description of existing documents that might be valuable for developing the TAMP.

- Assess and document available data, processes and analytical tools that could support TAMP development.

- Prepare a plan for RIDOT Staff interviews to be conducted;

- Prepare notes from interviews with Asset Management Council;

- Prepare a documentation of the SWOT (Strengths, Weaknesses, Opportunities, and Threats) analysis;

- Measurement indicators to support performance measure developments;

- Educational Materials and Delivery

All anticipated deliverables – current and future- submitted in response to this RFP shall include –at a minimum- both electronic and hard copies of meeting presentations, minutes of all meetings, and draft and final plans.

-END OF SCOPE-

**RFP 7547369 - DEVELOPMENT AND IMPLEMENTATION OF A TRANSPORTATION
ASSET MANAGEMENT PLAN AND SUPPORTIVE SERVICES**

CONSULTANT NAME:		
Street Address/PO Box _____		
City/State/Zip _____		
(Area Code) Phone # _____		
Signature/DATE _____		
PRICE PROPOSAL:		
REQUIRED Personnel PER CATEGORY	MAXIMUM Fully-Inclusive Hourly Rate PER CATEGORY	PERCENTAGE OF TIME Expended on Project PER CATEGORY
<i>LEAD PROJECT MANAGER</i>	\$ _____	_____ %
<i>PRINCIPLE INVESTIGATOR</i>	\$ _____	_____ %
<i>STAFF ENGINEER</i>	\$ _____	_____ %
<i>TECHNICAL WRITER</i>	\$ _____	_____ %
<i>GENERAL SUPPORT</i>	\$ _____	_____ %
<i>OTHER(S) (Optional)</i>	\$ _____	_____ %
.	\$ _____	_____ %
.	\$ _____	_____ %
		100% TOTAL
ELIGIBLE REIMBURSEMENT:		
MILEAGE (EST.)	\$ _____ (Breakdown provided as follows: MI/per RT x # RT x \$0.565/MI = \$ _____)	
PRINTING (EST.)	\$ _____	

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: _____</p> <p>Print Name: _____</p> <p>Title: _____</p> <p>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.

The bidder shall include the provisions of paragraphs (a) through (f) in every subcontract, including procurements of materials and leases of equipment, unless exempt by the Regulations or directives issued pursuant thereto.

The bidder shall take such action with respect to any subcontract or procurement as the Department or the Federal Highway Administration may direct as a means of enforcing such provisions, including sanctions for noncompliance; provided, however, that in the event the bidder becomes involved in or is threatened with litigation with a subcontractor or supplier as a result of such direction, the bidder may request the Department to enter into such litigation to protect the interests of the Department and, in addition, the bidder may request the United States to enter into such litigation to protect the interests of the United States.