



REQUEST FOR PROPOSAL (RFP) – BID# 7548544

**PROFESSIONAL SERVICES AND ITS TECHNICAL SUPPORT TO THE RIDOT
TRANSPORTATION MANAGEMENT CENTER**

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

PRE-BID CONFERENCE: NO
 YES Wednesday, March 26, 2014 at 9:00 AM (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: Interested parties are encouraged to attend a **SITE VISIT** of the RIDOT/ TMC, Room 126, Two Capitol Hill, Providence, RI on **Wednesday, March 26, 2014 @ 9:00 AM** immediately followed @ **10:00 AM** by a **PRE-PROPOSAL MEETING** to be held in the RIDOT / TMC Conference Room.

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

Transportation Management Center

REQUEST FOR LETTERS OF INTEREST/ TECHNICAL PROPOSALS

LETTERS OF INTEREST/ TECHNICAL Proposals (LOI/TECH) are hereby solicited by the State of Rhode Island Department of Administration/ Division of Purchases on behalf of the Rhode Island Department of Transportation (RIDOT) to acquire professional transportation program development and technical support services for:

RFP 7548544

**PROFESSIONAL CONSULTANT SERVICES AND ITS TECHNICAL SUPPORT TO THE
RIDOT TRANSPORTATION MANAGEMENT CENTER (RIDOT/TMC)**

DBE GOAL: 10%

INTRODUCTION

The Rhode Island Department of Transportation (RIDOT) has operated an on-site Transportation Management Center since 1998 and has developed a comprehensive transportation technology program entitled "RhodeWays". The RhodeWays ITS Program combines both computer and communication technologies in an effort to enhance transportation operations and public safety statewide providing a seamless network designed to inform and guide the traveling public. The current base of RIDOT ITS Operations is located in RIDOT'S Home Offices located at Two Capitol Hill, Providence RI 02903 and a back up operation is located at RIDOT'S Highway and Bridge Maintenance Facility located at 360 Lincoln Avenue, Warwick, RI 02888.

Since 1999, the RIDOT/TMC has procured professional consultant services to provide on-site TMC operational support and administrative services. The purpose of this RFP will be to continue these ongoing TMC technical support services; this current TMC initiative will require a minimum of FOUR (4) full-time M-F "on-site" administrative/technical personnel to be assigned to the Providence TMC location. Required on-site staff will include 1-Project Engineer, 1-Staff Engineer and 2-Field Technicians; additionally ONE (1) "on-call" presence is required to provide 24/7 ITS assistance as circumstances warrant. The project must also be assigned a designated off-site Project Manager who will be required - at a minimum- to meet weekly with Transportation Management Center Manager/ Staff as well as attend scheduled monthly progress reporting meetings.

Because of the advanced technology involved in meeting the objectives of the RhodeWays ITS Program, the selected Consultant shall demonstrate not only significant technical capabilities but also the commitment and flexibility to provide the level of services required as cited in the scope of work defined herein.

The RIDOT anticipates the award of ONE (1) CONTRACT that will have a contract completion date of THREE (3) YEARS after the date of authorization to commence work. At RIDOT'S discretion, this Contract may be renewed annually for TWO (2) additional years; the maximum term of any award resulting from this request shall be FIVE (5) years pending funding availability and consultant performance.

CONFLICT OF INTEREST: The successful Consultant will be assigned to participate in a wide spectrum of RIDOT TMC activities. Due to this significant role, the successful Consultant and any sub-consultant(s) will be precluded from participating in any resultant TMC/ITS solicitations derived from RFPS prepared by the Consultant as part of this contract. RIDOT will be the sole judge as to whether or not any conflict of interest exists.

LOI/TECH submittals received must 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>

All Respondents are advised to review all sections of this request thoroughly and to follow the instructions carefully. Failure to make a complete submission as described elsewhere herein may result in rejection of the proposal.

Note: This is a Request for Letters of Interest combined with Technical Proposals, not an Invitation for Bid. Evaluation will be on the basis of the merits of the proposal submitted. There will be no public opening of responses received by the Division of Purchases pursuant to this solicitation other than to name those firms who have responded.

GENERAL INSTRUCTIONS AND NOTIFICATIONS TO RESPONDENTS:

- All Respondents **MUST** register online at the RIVIP Internet website @ <http://www.purchasing.ri.gov>.
- A fully-completed signed *RIVIP Bidder Certification Cover Sheet* – All four pages **MUST** accompany **EACH** response submitted. Failure to make a complete submission inclusive of this four-page document may **result in disqualification**.
- Should there be a need for assistance in registering and/or downloading any document, call (401) 574-8100 and request the 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.
- It is intended that an award pursuant to this RFP will be made to a PRIME Respondent who will assume all aspects of the work. Joint Venture(s) will not be considered, but sub-contract(s) are permitted, provided the Sub-Respondent(s) proposed are clearly identified along with the type of work to be performed in response to this RFP.
- All costs associated with developing or submitting documents in response to this solicitation 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.
- Submissions in response to this solicitation are considered to be irrevocable for a period of not less than one hundred 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, One Capitol Hill, Providence, Rhode Island.
- Respondents must possess a working familiarity with the guidelines outlined in the *Rhode Island Standard Specifications for Road and Bridge Construction, 2004*, and subsequent revisions which is currently available on-line @ www.dot.ri.gov.

- Respondents must possess a working knowledge and demonstrate experience with Intelligent Transportation Systems and Transportation Management Centers.
- Persons or firms practicing engineering services in the State of Rhode Island must possess a proper registration and/ or Certificate of Authorization in accordance with RI Gen Laws 5-8. A copy of the current Rhode Island Certificate of Authorization FOR THE FIRM *and* current Rhode Island registrations(s), FOR THE INDIVIDUAL(S) who would perform the specified engineering services required must be included behind the front page of each copy of the proposal **at the time of submission.**

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 7-1.1-1401, 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 MUST BE INCLUDED AS PART OF THE SUBMITTED LOI/TECH 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 the 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 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 LOI/TECH 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 for the lifetime of each contract; PRIME Consultants 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 pertinent monthly progress report/ invoice package.

A list of current Rhode Island State certified DBE firms may be obtained through the State's MBE Office website @ **www.mbe.ri.gov**. Any questions should be directed to:

**RIDOT Office of Business and Community Resources
Room 109, Two Capitol Hill
Providence, RI 02903
(401) 222-3260**

ADDITIONAL 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 LOI/TECH 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.

INSTRUCTIONS FOR PROPOSALS:

Upon review of the Scope of Work (SOW), LOI/TECH submissions must include, at a minimum, the following information for RIDOT review and subsequent final selection recommendation:

- **Letter of Transmittal:** A Letter of Transmittal must accompany each response signed by an owner, officer, or other authorized agent of the 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).*
- **Proposal Format:** LOI/TECH must be bound or contained in a single volume. All documentation submitted with the proposal must be contained in that single volume. LOI/TECH 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. LOI/TECH must contain a Table of Contents that cross-references each requirement with specific pages in the LOI/TECH submission.
- **RIDOT Scope of Work and Addenda:** Respondents shall include as part of LOI/TECH Proposal submission a copy of RIDOT'S original RFP and any supplemental Addenda, as applicable.

RELEVANT EXPERIENCE/ PAST PERFORMANCE/ CURRENT WORKLOAD

- **Company Introduction:** Respondents are to include a complete description of the firm and other relevant information demonstrating organizational structure expertise with transportation management centers, ITS architecture and systems integration, telecommunications, engineering and operational disciplines.
- **Relevant Firm Experience:** Respondents must demonstrate the firm's management experience in coordinating multi-year, complex contracts related to ITS and TMC Support **within the last TEN (10) Years**. Respondents must also provide

specific ITS experience in areas defined in the Scope. They must also demonstrate a knowledge and understanding of the type of activities undertaken at RIDOT'S TMC as relates to ITS program planning and implementation.

Names, addresses, and telephone numbers of a **THREE (3)** previous clients who are familiar with the services provided by your firm must be included. 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 services provided. In addition, RIDOT may use any and all of its resources to contact other TMC Offices to evaluate performance of Respondents' proposed team members on other projects. Respondent acknowledges that RIDOT is granted specific permission to discuss past performance of Respondent and any of its proposed team members on any projects.

- **Current Workload:** Respondents must include a current listing of ITS projects contracted to perform, anticipated completion dates and percent availability for each proposed staff member. This may include only those projects assigned to your firm's ITS Division.
- **Performance Record:** RIDOT will take into consideration not only the quality of previous work performed but also the timeliness of requested submissions and adherence to project schedule.

STAFF QUALIFICATIONS / PROJECT TEAM

- **Staff Qualifications:** RIDOT seeks a multi-disciplined team to perform numerous work assignments to be performed concurrently. Requirements will include a comprehensive knowledge of telecommunications and ITS standards, familiarity with other State DOT agencies and best practices as well as the current condition of the overall transportation technology industry. The firm selected must designate a **Project Manager** with the authority and expertise to assign personnel to specific tasks and to schedule tasking to complete tasks as required. The Project Manager must be flexible in his/her approach to this contract.

Respondents are to include 1) a listing of experienced personnel currently on staff, 2) resumes of proposed personnel to be assigned to this project and 3) the approximate percentage of each employee's time to be expended on this project.

Management of this contract will be under RIDOT'S Traffic Management Section responsible for approval of all staff assigned to the project. RIDOT must be informed 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 the contract.

- **Organizational Chart** of the proposed project team must be included. The Respondent shall describe how the proposed organizational structure addresses the full scope of this project. Project Management and assigned services shall be documented on chart provided. Additionally, please include name of Project Manager assigned each organization cited on chart.
- **Standard Federal Form 330** must be completed by the Prime Respondent only and included in LOI/TECH Proposal. Access to this current form may be obtained through the following website: www.gsa.gov
- **Sub-Consultant(s):** The Respondent must disclose the identity and work arrangements established between the Prime and proposed Sub-Consultant firm(s), if any, to be assigned to this project. Full disclosure of the proposed project team requires 1) a listing of experienced personnel currently on staff, 2) resumes of proposed key personnel to be assigned to this project and 3) the approximate percentage of each employee's time to be expended on this project. Please include Cover Letter from SUB to PRIME prefacing each sub-consultant proposal provided.

PROJECT APPROACH AND WORK PLAN AND PROJECT SCHEDULE

- **Project Approach:** Respondents are to provide a detailed technical synopsis of their proposed approach based on the RIDOT Scope of Work (SOW) described herein. This submittal must include a discussion of special approaches towards achieving customer/client expectations using creative and proven methods and innovative approaches to meet tasking requirements.

Discuss your firm's ability to respond and the process for responding to on-call requests for the services associated with a broad range of likely assignments in each of the functional areas described in the Scope. Provide your answer in terms of response time, reaction and turnaround capabilities.

- **Work Plan and Project Schedule:** A detailed work plan and proposed project schedule that addresses each of the project requirements described in the Scope including a listing of the measurable tasks, activities, and deliverables that will be used in administering the contract. The work plan must include sufficient itemized detail for all activities that will result in approvals of required on-site (4) and on-call (1) TMC personnel assigned and task definition. The assigned off-site Project Manager must be available to meet *-at a minimum-* weekly with assigned Transportation Management Center Manager/Staff during the contract period, as well as attend monthly progress reporting meetings. The Project Manager must be flexible in his/her approach to this contract.

FIRM'S SUITABILITY TO PROJECT

- **Firm's Suitability To Project Needs:** As part of the evaluation process, RIDOT will take into consideration the size and scope of the project proposed in determining the technical suitability of a firm to provide the requested services. RIDOT will assess each firm's technical capacity and relative firm size in relationship to the level of project complexity and scope.

DBE PARTICIPATION

- **Mandatory RI DBE Certification Requirement:** This contract awarded has been assigned a 10% Disadvantaged Business Enterprise (DBE) Goal. Evaluation will include a review of the proposed RI certified DBE firm(s) and proposed task assignment(s) to be performed. DBE certifications must be *approved* at the time of technical proposal submission to ensure DBE compliance and availability.

A list of current Rhode Island State certified DBE firms may be obtained through the State's MBE Office website @ www.mbe.ri.gov.

- **Supplemental Technical Information:** Respondents are encouraged to submit any other technical information deemed useful to provide RIDOT with sufficient information to evaluate the firm's qualifications to perform the requested services.

Once a Final Selection recommendation has been determined, the *selected* Consultant will be required to submit the following documentation to RIDOT for review and 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 Contract Administration Office.

SITE VISIT AND PRE-PROPOSAL MEETING

Interested parties are encouraged to attend a SITE VISIT of the RIDOT/ TMC, Room 126, Two Capitol Hill, Providence, RI on **WEDNESDAY, MARCH 26, 2014 @ 9: 00 AM** immediately followed @ **10:00 AM** by a PRE-PROPOSAL MEETING to be held in the RIDOT/ TMC Conference Room.

NO QUESTIONS WILL BE ANSWERED DURING THE SITE VISIT. Any questions relative to the SOW and the TMC as well as any questions regarding RIDOT procedures and proposal format will be addressed at the Pre-Proposal Meeting. ***The site visit and meeting will be limited to no more than THREE (3) HOURS in total.***

A summary of the Pre-Proposal Meeting will be posted on the Internet as an addendum to this solicitation. It is the responsibility of all interested parties to download this information.

PROPOSAL QUESTIONS AND SUBMISSION REQUIREMENTS

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 APRIL 2, 2014.

Upon review of the Scope of Work (SOW), an "Original" and **SIX (6) copies** of completed LOI/TECH PROPOSAL submissions should be sent to the Division of Purchases by the specified deadline to the address listed below. RIDOT recommends that the Technical Proposal submission also 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 recommends 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 NO. 7548544 – PROFESSIONAL CONSULTANT SERVICES AND ITS TECHNICAL SUPPORT TO THE RIDOT TRANSPORTATION MANAGEMENT CENTER (RIDOT/TMC) by APRIL 11, 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:

Detailed LOI/TECH submittals will be evaluated by RIDOT through the standard Consultant Selection Process. A Technical Review Committee (TEC) will be convened comprised of members of the RIDOT Division responsible for the project under consideration. A written evaluation and ranking of each proposal will be prepared by the TEC incorporating factors based on the following selection criteria:

TECHNICAL SELECTION CRITERIA:

| | |
|---|--------------------------|
| 1. PROJECT APPROACH inclusive of proposed Work Plan and Project Schedule | 0 – 20 POINTS MAX |
| 2. STAFF QUALIFICATIONS | 0 - 20 POINTS MAX |
| 3. PAST PERFORMANCE in terms of quality of work, timeliness of submissions and adherence to project schedule | 0 - 20 POINTS MAX |
| 4. CURRENT WORKLOAD | 0 - 15 POINTS MAX |
| 5. PAST / RELEVANT EXPERIENCE | 0 - 10 POINTS MAX |
| 6. FIRM'S SUITABILITY TO LEVEL OF PROJECT COMPLEXITY | 0 - 10 POINTS MAX |
| 7. DBE PARTICIPATION in terms of disclosure of RI certified DBE Firm(s) and assigned tasks | 0 - 5 POINTS MAX |
| MAXIMUM SCORE | 100 POINTS MAX |

Evaluation will also consider commitment to Affirmative Action and DBE Participation. Upon completion of the written evaluation of all LOI/TECH submissions, the Technical Review Committee 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.

NEGOTIATION / AUDIT STATUS

The selected Consultant will be directed to submit a formal financial proposal to the RIDOT, and negotiations will be completed on a cost plus fixed fee basis. The selected Consultant and/or Sub-consultant(s) may be required to undergo a pre-award audit conducted by the RIDOT Audit Division. Pre-award audits may be waived when and if sufficient and current audited cognizant data is available through a previous audit performed by another State/Federal agency or an audit performed by another local governmental agency. This use of an independent audit must be submitted, reviewed and deemed acceptable by RIDOT Audit Division prior to contract award.

CONTRACT AWARD

Contractual arrangements will be established on a cost plus fixed fee basis. The successful Respondent must be prepared to provide necessary data to support all costs associated with project 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 make an award or multiple awards or to reject any or all proposals based on what it considers to be in this best interest.

SCOPE OF WORK FOR

PROFESSIONAL CONSULTANT SERVICES AND INTELLIGENT TRANSPORTATION SYSTEMS (ITS) TECHNICAL SUPPORT TO THE RIDOT TRANSPORTATION MANAGEMENT CENTER (RIDOT/TMC)

PROJECT CONCEPT AND BACKGROUND

The Rhode Island Department of Transportation (RIDOT) has had a Transportation Management Center since 1998 and has developed a comprehensive transportation technology program entitled "*RhodeWays*". The Intelligent Transportation Systems (ITS) *RhodeWays* program combines both computer and communication technologies in an effort to enhance transportation operations and public safety statewide by providing a seamless network designed to inform and guide the traveling public. The current base of the RIDOT ITS Operations is located in the RIDOT building in room 126, Two Capitol Hill, Providence RI 02903 and a back up facility located at RIDOT'S Highway and Bridge Maintenance Headquarters, 360 Lincoln Avenue, Warwick, RI 02888.

Since 1999, RIDOT has procured professional consultant services to provide on-site technical, operational and engineering support services. The purpose of this RFP will be to continue these ongoing support services as described in the RIDOT ITS Deployment Plan and the RIDOT ITS Regional Architecture Plan available for review through the RIDOT/TMC website at <http://www.tmc.dot.ri.gov>. This current TMC initiative will require a minimum of four (4) full – time staff for "on-site" presence in the TMC Monday through Friday (2-Field Technicians, 1–Project Engineer and 1-Staff Engineer) with one "on-call" presence as circumstances warrant. The project must also be assigned a designated off-site Project Manager who will be required – at a minimum- to meet weekly with Transportation Management Center Manager/ Staff as well as attend scheduled monthly progress reporting meetings.

Professional and technical services solicited in this contract shall include, but are not limited to, providing strategic development planning and engineering support; designing, implementing and maintaining several ITS system technologies; technical strategic and maintenance support; operational testing, technology/operations research, evaluation of existing and proposed systems, collaborative and partnership support and development. These tasks support crucial technical and program aspects of the Transportation Management Center (TMC)

Because of the advanced technology involved in meeting the objectives of the *RhodeWays* ITS program at the RIDOT/TMC, the selected respondent shall demonstrate not only significant technical capabilities as cited above but also the commitment and flexibility to provide the level of services required in the scope of work defined herein to maintain and upgrade the comprehensive transportation technology program at the RIDOT/TMC and provide ITS technical assistance on-site and off-site support as needed and as required by the TMC Manager.

CONFLICT OF INTEREST

Since support services may include evaluation of technical proposals, the successful Consultant, and any Sub-Consultants assigned under this Contract will be precluded from participating in any resultant TMC/ITS solicitations derived from RFPs prepared as part of this Contract. RIDOT will be the sole judge as to whether or not any conflict of interest exists.

CONTRACT TERM /CONDITIONS

The RIDOT anticipates the award of **ONE (1)** contract that will have a contract completion date of **THREE (3) YEARS** after the date of authorization to commence work. At RIDOT'S discretion this Contract may be extended annually for an additional **TWO (2) Years**; the maximum term of any award resulting from this request shall be **FIVE (5) years** pending funding

availability and consultant performance. Notice of Contract Award/Purchase Order will be issued in accordance with the *State's Purchasing Regulations and General Conditions of Purchase*, copies of which are available at www.purchasing.ri.gov. Delivery of goods and services as described herein shall be deemed acceptance of these requirements.

WORK ASSIGNMENTS BY FUNCTIONAL AREAS

A broad range of work assignments are anticipated under this contract requiring ITS and TMC technical expertise. Respondents must describe in detail how they propose to address or perform each of the tasks in the following functional areas. The tasks listed under each functional area detail general and specific task assignments; however, work requirements may not be limited to the tasks as described.

I. PARTNERSHIP/COLLABORATION SUPPORT SERVICES:

RIDOT support and State Government technical support shall include, but not limited:

- To provide assistance to Rhode Island Statewide Planning, Division of Information Technology (DoIT), Oshean Fiber, Department of Public Safety (RISP, E911; etc) in accordance with the MOA, Rhode Island Emergency Management Agency (RIEMA). RIDOT/TMC support shall also include RIDOT Infrastructure Development, Public Affairs, Management Information System (MIS), Contract Administration, Office of Performance Metrics, Chief Engineer's Office, Traffic Research and all sections as described in the RIDOT organizational chart as well supportive services at the back-up TMC located at RIDOT'S Highway and Bridge Maintenance Headquarters, 360 Lincoln Avenue, Warwick RI 02888 .
- Video sharing integration services to support sharing video with RIDOT partners and stakeholders; including MOU development for each partner.
- Incident Management Task Force at-meeting consulting and topic/agenda development support.
- Congestion Management Task Force support through the provision of the appropriate information gleaned through data mining and performance measures analysis. Such data shall also be provided to RIDOT division/units as appropriate for congestion management support.
- Collaboration services with other RIDOT sections, the University of Rhode Island (URI), I-95 Corridor Coalition, ITS Rhode Island and similar groups.
- Maintenance and Engineering support to the Interactive Traveler Assistance System (ITAS) at the T.F. Green Airport and the backup Transportation Management Center located at Maintenance Headquarters. RIDOT/TMC support shall include, but not be limited to, hardware and server equipment and replacement of defective equipment, software updates for the train (MBTA) and bus (RIPTA) schedules and maintaining the kiosk at T.F. Green Airport and software configuration changes as needed or requested.

II. TELECOMMUNICATION AND SUPPORT SERVICES

Shall consist of, but not be limited to:

- Providing technical guidance for communications planning, analysis, evaluation, and implementation;
- Developing communication plans and architecture, incorporating wide area network (WAN) and/or local area network (LAN) technologies as needed to address TMC communications needs.
- Implementing the "2012 Communications Study" and updating the study in 2015.

- Assisting in CCVE image integration into the TMC "bridge", TMC website, E-911, TMC and other media outlets.
- Assisting with HAR frequency coordination/FCC license filing.
- Evaluating and recommending products and services for the network, system and communication architectures.
- Performing conformance tests on communication protocols such as the National Transportation Communications for ITS protocol (NTCIP).
- Investigating and documenting current communications configurations within RIDOT.
- Assisting in acquiring all licenses, permits, and approvals required associated with wire-line and wire-less technologies and installations.
- Providing identification of communication center/electrical and other environmental needs.

III. TECHNICAL GUIDANCE/ PROGRAM DEVELOPMENT

Shall consist of, but not be limited to:

- Providing on-site and off-site ITS technical assistance and guidance for TMC systems, programs, telecommunications and computer support services. Providing technical guidance consistent with new ITS product developments and best practices. Conducting studies and evaluations of systems and operational performance to provide guidance on improving the efficiency and lowering the costs of operating the TMC. Continuing program development and assisting in ITS implementation. The measurement of on-site and off-site support and technical assistance required will be defined by the TMC Manager.
- Providing guidance on improving the efficiency and lowering the costs of operating the TMC through research on upgrades, modifications, or replacement of existing ITS equipment.
- Development, implementation, and maintenance of new tools or identifying existing tools to be used to capture, monitor and report on system performance and benefits data. Providing training in all areas showing a need; all training is to be provided under RIDOT direction.
- Providing technical guidance and evaluations within RIDOT/TMC as well as field maintenance of ITS equipment.
- Reviewing and providing technical input on draft RIDOT documents (such as RFPs, Specifications, recommended practices, etc.) relative to ITS deployment.
- Providing assistance in the negotiations for obtaining services and engaging in public/private partnerships.
- Assisting with video sharing.
- Providing support with presentations and public information materials.
- Providing support to the TMC Manager as chair of the Incident Management Task Force.
- Providing recommendations and guidance toward improving RIDOT/TMC efficiency with a focus on lowering operating costs.
- Providing support for media interaction and public awareness.

- Assisting with development of functional requirements for future equipment and system deployments.
- Conducting studies of recommended practices, lessons learned, and evaluation of other successful TMC operations as requested. Providing guidance on improving the efficiency and lowering the cost of operating the TMC. Providing assistance in contracting for TMC support services. Evaluating and recommending products and services for proposed network system and communication architectures.
- Developing performance measures reports and statistical reports for RIDOT internal use (and for posting on the TMC website, when appropriate). Preparing RIDOT Director's performance measures documents. Utilizing data mining and data extraction to provide analysis and evaluation of TMC operations and performance metrics; especially pertaining to incident management, safety and travel time.
- Assisting with project and program documentation, such as life cycle cost analysis of equipment; recommendations for an equipment replacement program and equipment upgrades; budget forecasts, equipment cost estimates, and collaboration with TMC management to develop TMC budgets as it relates to ITS needs and priorities. Providing recommendations for wireless services and communication line consolidations citing cost savings and benefits to the TMC.
- Updating and revising the RIDOT ITS Deployment plans and provide problem solving and resolution documentation. Assisting in implementing updates of the ITS Deployment Plan, revisions to and compliance with the State ITS Regional Architecture Plan, Operator Manuals, Annual Reports – Benefits Derived documentation; as well as other plans, and technical reports as required during the term of the contract.
- Reviewing and advising on innovative financing projects and procurement procedures including grant proposal assistance and assisting in TMC budget preparation and ITS equipment life-cycle analysis. Assisting with project documentation and program documentation, budget estimates, and/or air quality assessments.
- Reviewing and providing technical input on draft RIDOT documents (such as RFPs, specifications, recommended practices, etc.) relative to ITS deployment. Providing guidance on improving the efficiency and lowering the costs of operating the TMC through research, upgrades, modifications, or replacement of an existing ITS equipment. Recommending cost saving procurement approaches and appropriate design plans, specifications and configurations.
- Conducting studies of recommended practices, lessons learned, and evaluation of other successful TMC operations, as requested. Providing guidance on improving the efficiency and lowering the costs of operating the TMC. Providing assistance in contracting for TMC support services. Evaluating and recommending products and services for proposed network, system and communication architectures.
- Providing operator training to improve performance and professionalism and support data compilation, data mining and analysis needed for developing performance measures and the Quarterly Statistical reports. Developing and providing refresher training of operators as needed.
- Providing support with presentations and public information materials, and media interaction when required.

IV. ENGINEERING SERVICES

Shall consist of, but not be limited to:

- Reviewing, commenting and advising on design plans, specifications and recommendations for field devices, including controllers, fiber, electrical network, HVAC and other technical aspects of the TMC including computer security.

- Reviewing and commenting on ITS design and construction bid documents and assisting with environmental and/or other related site issues associated with ITS Deployment.
- Providing engineering support services on construction support, system expansion, data base content, ITS mainstreaming opportunities, and network coordination;
- Assisting in developing RFP(S) and in RFP review and evaluation as needed.
- Evaluating contractor compliance with stated RIDOT ITS and system requirements including mainstreaming design services and providing advice on construction efforts and review shop drawings when appropriate.
- Recommending cost saving procurement approaches.
- Developing detailed specifications for equipment upgrade, replacement, and deployment; including ITS construction standards. In support of the "2012 Communications Study", providing wireless and fiber optic communication systems design, installation, testing and planning assistance to reduce operational costs to the TMC.
- Providing ITS construction oversight and inspection, including the training of RIDOT personnel.
- Creating new and/or updated engineering and support documentation. Updating network/communications system documentation. Providing standards, specifications and/or functional requirements of ITS equipment and system deployments and assisting with contract TMC equipment including verification of electrical breakers and outlets. Updating network diagrams and video systems topology.

V. NETWORK SUPPORT, SYSTEM MAINTENANCE AND INTEGRATION SERVICES

Shall consist of, but not be limited to:

- Maintaining the TMC network, servers, and administering the video switching equipment. Recommending and implementing information systems backup strategies, contingency plans and network security. Evaluating current systems and recommending improvements and upgrades. Testing new ITS products and strategies to achieve the best performance. Facilitating the purchasing of best value ITS devices (such as cameras and electronic message boards) for the TMC and conducting testing/acceptance protocols of installed ITS equipment.
- Setting up the TMC for emergency operations (such as: winter storms, hurricanes, flooding, etc.) when directed. Monitoring and maintaining computers and communication equipment at the TMC during the emergency operation.
- Performing updates and maintaining the *RhodeWays* database. Ensuring database accuracy and collecting information required for performance measures. Supporting data mining and data extraction for performance metrics.
- Administering, maintaining and supporting the TMC website. Adding new camera images to TMC website. Recording visits to the TMC website. Adding monthly performance metrics, quarterly reports and other documents to the website when requested.
- Providing internal (TMC) and field maintenance support services to include routine field checks of all ITS equipment and repair or refer to contractor for repair or replacement. Running diagnostics to evaluate functions and performance of ITS equipment. Maintaining and troubleshooting all RIDOT ITS field equipment: cameras, electronic message boards, Highway Advisory Radio, Radar Vehicle Detectors, etc. to maintain the current level of service and "up time". Testing all new reconfigured and repaired ITS equipment used by the

TMC. Evaluating performance and acceptance of all new or upgraded systems.

- Providing support services on ITS Standards Implementation.
- Providing technical assistance on testing and acceptance of equipment.
- Providing network administration/ evaluation of current systems with recommendations.
- Assisting in evaluation of RFP responses and vendor compliance for System Integration.
- Providing website support.
- Providing data mining and data extraction enhancements.
- Providing network support, systems maintenance and integration services.
- Providing field maintenance support services to perform routine field checks of all ITS equipment and providing TMC operator training in operational procedures, systems, and database usage.
- Providing refresher training of operators, as needed.

-END OF SCOPE-

REFERENCES:

The TMC website www.tmc.dot.ri.gov has "TMC Statistics & Reports" and "Travel Time" sections which contain documents that may be of value to the firms responding to the Scope of Work.

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 style="text-align: right;">Authorized for Local Reproduction Standard Form -- LLL-A</p> | |

DISCLOSURE OF LOBBYING ACTIVITIES

CONTINUATION SHEET

Reporting Entity: _____ Page _____ of _____

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

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.

CONFLICTS DISCLOSURE STATEMENT

RE: _____

I, _____ hereby certify as follows:

I am employed as a _____ of _____
[TITLE] [COMPANY]
 and to the best of my knowledge:

PLEASE CHECK THE APPROPRIATE BOX:

- I have no family or personal relations currently employed either on a full-time or part-time basis at the Rhode Island Department of Transportation.
- I do have family or personal relations currently employed at the Rhode Island Department of Transportation. Please list their name(s), title(s), and RIDOT Division(s) (if known):

| NAME | TITLE | RIDOT DIVISION |
|------|-------|----------------|
| | | |
| | | |
| | | |

If necessary, please add any additional names as attachments hereto.

FOR ILLUSTRATIVE PURPOSES, FAMILY RELATIONS SHALL INCLUDE, WHETHER BY BLOOD, ADOPTION OR MARRIAGE, ANY OF THE FOLLOWING RELATIONSHIPS:

Father, Mother, Son, Daughter, Brother, Sister, Grandfather,
 Grandmother, Grandson, Granddaughter, Father-In-Law, Mother-In-Law,
 Brother-In-Law, Sister-In-Law, Son-In-Law, Daughter-In-Law,
 Stepfather, Stepmother, Stepson, Stepdaughter, Stepbrother,
 Stepsister, Half-Brother Or Half-Sister, Niece, Nephew, And Cousin

❖ *If you are unsure whether a relationship, association, or connection you have may need to be disclosed, please consult with RIDOT's Legal Office at (401) 222-6510.*

SIGNATURE

DATE

By signing this form you: (1) certify that the information contained in this form is complete and accurate to the best of your knowledge; and (2) acknowledge your continuing obligation to complete and submit a new Disclosure form when there is any change in your family or personal relations during the course of this Contract.

This document is used for internal RIDOT purposes only in order to address and avoid any potential conflicts at the inception of the contract process and to avoid any impropriety or the appearance of impropriety during the contract process. Any disclosures made hereto will not prejudice prospective vendors from selection.

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.