



REQUEST FOR PROPOSAL (RFP) – BID# 7548888

HIGH SCHOOL HIGHWAY SAFETY INTERACTIVE AWARENESS PROJECT

**SUBMISSION DEADLINE: Friday, August 08, 2014 at 11:30 AM (ET)**

PRE-BID CONFERENCE:  NO  
 YES **Friday, July 25, 2014 at 10:00 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: **TELECONFERENCE AS FOLLOWS:**

AUDIO - DIAL-IN: 712-432-1212(MEETING ID 532-791-851)

WEB - MEETING LINK: <https://join.freeconferencecall.com/532-791-851>

MEETING WALL: <https://www.freeconferencecall.com/wall/532-791-851>

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](http://www.purchasing.ri.gov). Offers received without the completed four-page Rhode Island Vendor Information Program (RIVIP) Generated Bidder Certification Cover Form attached may result in disqualification.

**THIS IS NOT A BIDDER CERTIFICATION FORM**

## REQUEST FOR PROPOSAL

Rhode Island Department of Administration/Division of Purchases  
on behalf of  
Rhode Island Department of Transportation  
Office on Highway Safety

**RFP 754888**  
**High School Highway Safety Interactive Awareness Project**  
**DBE GOAL: NONE**

### PROJECT BACKGROUND AND CONCEPT:

The Rhode Island Department of Transportation/Office on Highway Safety (RIDOT/OHS) uses multi-faceted approaches to support our core mission of reducing fatal and serious injury crashes. OHS currently focuses their efforts on SEVEN (7) core behavioral/demographic issue areas:

- Impaired Driving
- Occupant Protection (seat belts)
- Speed
- Distracted Driving
- Young Drivers
- Motorcycles; and
- Other Road Users (non-motorists)

RIDOT seeks to obtain the services of multiple experienced highway safety CONSULTANT(S) that will provide proven comprehensive programming to instill this highway safety messaging to local high schools and middle schools statewide. The programming/presentations should be evidence-based, interactive, and appropriately catered to Rhode Island laws and statistics.

The content should incorporate all core issue areas as described in this narrative. The presentations should be engaging and involve student participation. Each scheduled school presentation shall conclude in a single day. The presentation length will be proposed by the selected CONSULTANT(S) based on prior experience. The CONSULTANT(S) will work with the individual schools to accommodate their schedules.

The overarching goal of the statewide program will focus on these young drivers to incite positive behavioral changes related to these highway safety program areas in particular: ***Distracted Driving, Speed, Impaired Driving and Occupant Protection***. Each individual presentation made to each school, as well as the overall program, is required to have an evaluation component that measures the potential behavioral change. Each monthly invoice will be accompanied by a MONTHLY PROGRESS REPORT, summarizing the work performed that month along with the individual "PRE" and "POST" electronic surveys conducted by the CONSULTANT(S) for each of the scheduled schools identified. The project will conclude with a comprehensive FINAL COMPREHENSIVE EVALUATION REPORT detailing the behavioral changes indicated as a result of the total presentations performed and survey data collected.

The selected CONSULTANT(S)' **presentation schedule** will be determined based on the number of requests received from the various schools. The CONSULTANT(S) will be responsible to schedule and coordinate the targeted date/time and venue with each of the selected schools. The RIDOT/OHS will receive a copy of the school presentation schedule for the CONSULTANT(S) for review in advance of the starting presentation.

**DETAILED REQUIREMENTS:**

1. Each award issued will be for **TWO (2) YEARS** beginning at the time of contract award in 2014 and concluding on September 30, 2016.
2. The TOTAL BUDGET is limited to a maximum **\$250,000.00** for all awards executed under this project.
3. The selected CONSULTANT(S) will be required to reach a minimum of **TEN (10)** and a maximum of **FIFTY (50)** schools for each Contract YEAR.
4. The selected CONSULTANT(S) will be required to reach a **minimum of 10,000 participants** at the conclusion of the 2-YEAR contract period.
5. The CONSULTANT(S) will be responsible for working with the schools to schedule and coordinate the presentations with input from RIDOT/OHS.
6. Content should be tailored to the middle school or high school audience, depending on where the presentation is taking place.
7. The CONSULTANT(S) will conduct "PRE" and "POST" electronic surveys with each school they attend as well as analyze and submit this data along with each monthly invoice.
8. Schools are required to conduct and promote the surveys as a prerequisite of participation in the programs. Presentations will not take place at any school unless the school definitively agrees to complete the "PRE" and "POST" survey processes.
9. It is the CONSULTANT(S)' responsibility to coordinate and collect with the selected school the "PRE" survey results in advance of their appearance at each school as well as the "POST" results following their appearance at each school. **Monthly invoices submitted without documented "PRE" and "POST" survey results and analysis will not be paid.**

**COST AND REIMBURSEMENT:**

**The TOTAL COST for all awards executed under this project shall not exceed \$250,000.00 (MAX).** This shall include a minimum of TEN (10) and a maximum of FIFTY (50) presentations, including complete monthly survey evaluation and analysis, and a **FINAL REPORT** due at the end of each contract YEAR and the **FINAL COMPREHENSIVE EVALUATION REPORT** due upon conclusion of the 2-YEAR contract on SEPTEMBER 30, 2016.

The CONSULTANT(S) will provide a detailed cost breakdown that will show the specific costs per presentation.

The CONSULTANT(S) will invoice monthly and be reimbursed based on the number of presentations conducted. It is the CONSULTANT(S)' responsibility to collect the "PRE" survey results in advance of each appearance as well as the "POST" results following each appearance. Invoices submitted without "PRE" & "POST" survey results and analysis will **not** be paid. The total contract value may not be paid if the fifty (50) presentations are not conducted by September 30, 2016. **Final reimbursement must be submitted no later than OCTOBER 15<sup>th</sup> of each Contract Year.** Monthly payment will be withheld if the required monthly progress report is not included with the associated invoice/survey data.

The final payment will be withheld until the **FINAL COMPREHENSIVE EVALUATION REPORT** is submitted to the RIDOT/OHS. This shall include a detailed analysis of all "PRE" and "POST" knowledge for each school visited within each Contract Year. Documentation submitted shall be provided in both electronic and in bound hard copy format (2COPIES).

**GENERAL NOTIFICATIONS:**

- All Respondents **MUST** register online at the Rhode Island Vendor Information Program (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.
- 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.
- All pricing submitted will be considered to be **firm and fixed** unless otherwise indicated herein.
- 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, 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 MUST 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 not required, **Disadvantaged Business Enterprise (DBE)** participation is encouraged on all RIDOT projects. A list of current Rhode Island State certified DBE firms may be obtained through the State's MBE Office website @ [www.mbe.ri.gov](http://www.mbe.ri.gov). Any questions should be directed to:

**Office of Business and Community Resources**  
**Room 112, 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:** Must be completed and signed by an authorized agent of your Agency.
- **LOBBYING FORM:** Enter known project information on PAGE 1 (DESCRIPTION etc.); Agency must complete FORM and submit signed by an authorized agent of your Agency.
- **CONFLICTS DISCLOSURE STATEMENT:** In line with directions stated, completed FORM(s) must be signed and submitted accordingly.
- **W-9 FORM:** Must be completed and signed by authorized agent of your Firm. **Form may be downloaded @ [www.purchasing.ri.gov](http://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.***

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

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

#### **INSTRUCTIONS FOR RFP SUBMISSION CONTENT AND FORMAT**

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

- **Letter of Transmittal:** A Letter of Transmittal shall accompany each response signed by an owner, officer, or other authorized agent of the firm.
- **RIVIP Bidder Certification Form:** ALL FOUR (4) Pages shall accompany each response submitted. Failure to make a complete submission of this document will result in disqualification. (***SEE GENERAL NOTIFICATIONS***).
- **Proposal Format:** TECHNICAL PROPOSAL ("**Original**" plus **SIX (6) COPIES**) and a *separately sealed COST PROPOSAL (3 COPIES)* are to be submitted *simultaneously*. **Technical Proposal** shall be bound or contained in a single volume. All documentation submitted with the proposal shall be contained in that single volume. Technical Proposal shall be prepared on **8 1/2" x 11"** letter sized white paper sequentially numbered and limited in length to a total of **25 PAGES** – exclusive of exhibits, which shall be tabbed and included in the bound submission. Font size shall be a minimum of **12 POINTS** for all submittals. ALL documentation in excess of 25 PAGE MAXIMUM will be removed and discarded. Technical Proposal shall contain a Table of Contents that cross-references each requirement with specific pages in the technical submission.
- RIDOT recommends 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 recommends that the electronic version of said Proposals be submitted in Adobe PDF format.
- **RIDOT Scope of Work and Addenda:** Respondents shall include as part of Technical Proposal submission a copy of RIDOT'S original Scope of Work 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.
- **Client References:** Names, addresses, and telephone numbers of at least THREE (3) previous clients who are familiar with the services provided by your firm shall be included. 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 along with estimated completion dates.

**PROJECT WORK PLAN/ SCHEDULE:**

- **Project Approach:** Respondents shall provide a detailed technical synopsis of their proposed services based on the SOW requested including any technical issues that will or may be confronted at each stage of the project. Proposed approach will be assessed for its feasibility, responsiveness to the SOW, effectiveness and thoroughness.
- **Work Plan:** Proposal must describe in detail the methodology proposed to accomplish the required work. This should include: task identification, activity milestones, and description of delivered work products.
- **Project Timeline/Schedule:** Respondent shall provide anticipated project timeline for services to be performed and delivery of anticipated deliverables.
- **Supplemental Information:** Respondents are encouraged to submit any other information deemed useful to provide RIDOT/OHS with sufficient relevant information to evaluate the firm's qualifications and approach to the project.

**COST PROPOSAL: (THREE (3) "HARD" COPIES ONLY)**

- Respondent is to submit, separate from Technical Proposal, **THREE (3) COPIES** of a completed *signed and sealed* **COST PROPOSAL** using the required format attached.
- **COST PROPOSAL** shall reflect a Lump Sum **COST PER PRESENTATION**. The selected CONSULTANT(S) will be required to reach a minimum of 10,000 PARTICIPANTS by the end of the 2-YEAR contract period.
- **COST PROPOSAL** will reflect the **CONSULTANT(S)' pricing PER PRESENTATION** fully inclusive of labor, overhead, materials, equipment, out of state travel and all other elements necessary for the completion of work. RIDOT will not increase the contract or any purchase order (either dollar amount or time) for items not included in the submitted proposal documents. The RIDOT reserves the right to purchase part of the proposal or the entire proposal.
- **COST PROPOSAL** prices submitted will be considered *firm and fixed*.
- **COST PROPOSAL** shall include a **payment schedule** applicable to the Respondent's offer.
- Describe, in detailed narrative, all aspects of your pricing policy.

**Failure to fully disclose required specified costs and pricing policy could result in disqualification.**

**PRE-PROPOSAL TELECONFERENCE AND ON-LINE QUESTIONS:**

A pre-scheduled **Pre-Proposal Teleconference** for the purpose of clarifying the Scope of Work and intent of this Request, as well as the evaluative criteria to be employed in the State's review of proposals received will be held on **July 25, 2014 @ 10:00 A.M.** in the RIDOT Transportation Management Center, Room 150, Two Capitol Hill, Providence, RI 02903. *Persons requiring the services of an interpreter for the hearing impaired may obtain those services by calling (401) 222-1205 forty-eight hours in advance of the Conference.*

**TELECONFERENCE INSTRUCTIONS:**

**Date and Time:** 07/25/2014 10:00 AM - (US/Eastern)

At the scheduled date and time of the meeting, dial into the conference line. When prompted, enter the meeting ID followed by the pound key.

**AUDIO:**

**Dial-in:** (712) 432-1212  
**Meeting ID:** 532-791-851

To join the online meeting, click on the meeting link listed below and follow the prompts to join the meeting. For 24/7 customer service please call 877-216-7555

**WEB:**

**Meeting Link:** <https://join.freeconferencecall.com/532-791-851>

**Meeting Wall** <https://www.freeconferencecall.com/wall/532-791-851>

Additionally 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 5 FULL CALENDAR DAYS prior to the due date for this project. Therefore, questions will not be accepted **after NOON on AUGUST 2, 2014.**

**SUBMISSION REQUIREMENTS AND DUE DATE**

**TECHNICAL PROPOSAL ("Original" plus SIX (6) HARD COPIES)** and a *separately sealed* **COST PROPOSAL (THREE (3) HARD COPIES)** are to be submitted simultaneously. RIDOT requests that the Technical Proposal submission be submitted not only in hard copy form but also on **CD-ROM**. Clearly labeled CD ROM should be attached to the **inside cover of each Technical Proposal submission**. RIDOT 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 754888 - "HIGH SCHOOL HIGHWAY SAFETY INTERACTIVE ARENESS PROJECT"**" by **AUGUST 8, 2014 no later than 11:30 A.M.** to:

BY COURIER OR MAIL:

RI Department of Administration  
 Division of Purchases (2<sup>nd</sup> 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 INSTRUCTIONS AND NOTIFICATIONS.

**EVALUATION AND SELECTION**

A Technical Evaluation Committee (TEC) will be convened comprised of RIDOT technical personnel responsible for the project under consideration. While cost is one basic determinant for award, it is neither the sole consideration nor necessarily the principle consideration. Additional technical criteria will also be considered specific to the CONSULTANT'S understanding of the RIDOT requirements as specified in this RFP as well as the qualifications, experience, and organization of the firm and its personnel. Submissions will be concurrently reviewed for acceptance by the federal funding agency for formal concurrence. The TEC'S composite scores for all steps of the evaluation process will comprise the official record for the proposal evaluation process; individual evaluation records will not be available for public inspection at any point during or after the evaluation process.

<b><u>SELECTION CRITERIA:</u></b>		
<b>1.</b>	<b>PROJECT INFORMATION</b> <ul style="list-style-type: none"> <li>• What services will be provided?</li> <li>• What will the presentations consist of?</li> <li>• How will it deliver our core messages? Distracted Driving, Seat Belts, Impaired Driving?</li> </ul>	<b>0-30 POINTS</b>
<b>2.</b>	<b>PROJECT IMPACT/REACH</b> <ul style="list-style-type: none"> <li>• How many students will be reached <u>per session</u>?</li> <li>• Will the highway safety messages be retained?</li> </ul>	<b>0-20 POINTS</b>
<b>3.</b>	<b>MEASURABLE PROGRESS</b> <ul style="list-style-type: none"> <li>• How will the electronic surveys be delivered?</li> <li>• How will the evaluation component be included?</li> <li>• Reporting requirements:               <ul style="list-style-type: none"> <li>-Pre- &amp; Post Evaluation PER SCHOOL</li> <li>-Pre &amp; Post Evaluation PER YEAR; COLLECTIVELY</li> <li>-FINAL REPORT due at end of <u>each contract year</u></li> <li>-FINAL COMPREHENSIVE EVALUATION REPORT summarizing ALL activities due at the <u>end of the 2-YEAR contract period</u></li> </ul> </li> </ul>	<b>0-20 POINTS</b>  <b>70.0 <u>TECHNICAL POINT MAX</u></b>
<p><b>Technical Proposals receiving scores of <u>less than 60 POINTS</u> out of the 70 eligible POINTS will NOT be scored for cost and will be disqualified.</b></p>		

4.	<b>COST PROPOSAL (Evaluated separately)</b>	<b>0-30 POINTS</b>  <b>30.0 <u>COST</u> POINT MAX</b>
<b>MAXIMUM TOTAL SCORE</b>		<b>100 POINTS</b>

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

The Review Committee will then evaluate the qualifying **Cost Proposals** and the results will be integrated with the Technical review. This will result in a final ranking and recommended selection.

The findings will then be reviewed and accepted by RIDOT'S Advisory Consultant Selection Panel. With the support of the DOT Director, the final selection recommendation(s) will be submitted to the State Purchasing Agent for final approval and contract execution. Upon completion of formal award process, the RIDOT/OHS will issue a formal Notice to Proceed to each of the successful CONSULTANT(S).

Notwithstanding the above, the State reserves the right to accept or reject any or all options, bids, proposals, to award on the basis of cost alone, 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 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 solicit separately for selected initiatives within this Scope of Work.

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

**-END-**

**RFP 7548888**  
**High School Highway Safety Interactive Awareness Project**  
2 YEAR COST PROPOSAL: ITEMIZED PER YEAR

DATE	
RESPONDENT NAME	
STREET ADDRESS/ P.O. BOX	
CITY/ STATE/ ZIP	
(AREA CODE) PHONE NO.	
AUTHORIZED AGENT / TITLE:	

Respondents must indicate in the space provided below their firm fixed pricing as well as a narrative description of your pricing policy relative to the services proposed. Pricing proposed will be the only charge eligible to be paid to the Respondent, and shall therefore include all associated costs of delivering services covered by this Request:

	YEAR 1	YEAR 2
<u>LUMP SUM COST PER PRESENTATION:</u> Pricing proposed shall be fully inclusive of all labor, overhead, materials, equipment, out of state travel and all other elements necessary for the completion of work.	\$ _____ Per Presentation	\$ _____ Per Presentation

**Disclosure of Pricing Policy:**

## **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><b>1. Type of Federal Action:</b></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><b>2. Status of Federal Action:</b></p> <p><input type="checkbox"/> a. bid/offer/application  <input type="checkbox"/> b. initial award  <input type="checkbox"/> c. post-award</p>	<p><b>3. Report Type:</b></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><b>4. Name and Address of Report Entity:</b></p> <p><input checked="" type="checkbox"/> Prime                      <input type="checkbox"/> Subawardee  Tier ____, if known:</p> <p>Congressional District, if known: _____</p>	<p><b>5. If Reporting Entity in No. 4 is Subawardee, Enter Name and Address of Prime:</b></p> <p>Congressional District, if known: _____</p>	
<p><b>6. Federal Department Agency:</b></p>	<p><b>7. Federal Program Name/Description:</b></p> <p>CFDA Number, if applicable: _____</p>	
<p><b>8. Federal Action Number, if known:</b></p>	<p><b>9. Award Amount, if known:</b></p> <p>\$ _____</p>	
<p><b>10. a. Name and Address of Lobbying Entity:</b></p> <p>(if individual, last name, first name, mi): _____</p>	<p><b>10. b. Individuals Performing Services (including address if different from No. 10a)</b></p> <p>(last name, first name, mi): _____</p>	
<p><b>11. Amount of Payment (check all that apply)</b></p> <p>\$ _____                      <input type="checkbox"/> actual    <input type="checkbox"/> planned</p>	<p><b>13. Type of Payment (check all that apply):</b></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><b>12. Form of Payment (check all that apply):</b></p> <p><input type="checkbox"/> a. cash  <input type="checkbox"/> b. in-kind; specify: nature _____  value _____</p>		
<p><b>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):</b></p>		
<p><b>15. Continuation Sheet(s) SF-LLL-A attached:</b>    <input type="checkbox"/> yes    <input checked="" type="checkbox"/> no</p>		
<p><b>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.</b></p>	<p>Signature: _____</p> <p>Print Name: _____</p> <p>Title: _____</p> <p>Telephone No: _____ Date: _____</p>	
<p><b>For Federal use Only:</b></p>	<p>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.

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\_\_\_\_\_  
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.





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.