



REQUEST FOR PROPOSAL (RFP) – BID# 7549069  
COMMUTER RAIL PLANNING ASSISTANCE

**SUBMISSION DEADLINE: Friday, November 14, 2014 at 11:30 AM (ET)**

**PRE-BID CONFERENCE:**

NO

YES Thursday, October 30, 2014 at 11:30 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:** RIDOT/TRAFFIC MANAGEMENT CENTER CONFERENCE ROOM  
TWO CAPITOL HILL  
PROVIDENCE, RI

**Buyer Name:** Lisa Hill  
**Title:** Chief Buyer

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

**SURETY REQUIRED:** NO

**BOND REQUIRED:** NO

**DISK BASED BID:**  NO

YES: See attached Disk Based Bidding Information

**NOTE TO VENDORS:**

Vendors must register on-line at the Rhode Island Division of Purchases website at [www.purchasing.ri.gov](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 Transportation  
Intermodal Planning

**RFP 7549069**

**COMMUTER RAIL PLANNING ASSISTANCE: TRACK CAPACITY, RIDERSHIP AND TITLE VI ANALYSIS**  
**DBE GOAL: NONE**

**INTRODUCTION:** The Rhode Island Department of Administration / Division of Purchases, on behalf of the Rhode Island Department of Transportation / Intermodal Planning Section (RIDOT), is seeking to establish a performance-based contract with a professional Consultant firm (CONSULTANT) to perform three primary tasks, along with the required deliverables, relative to commuter rail expansion and service equity usage as defined herein in the project SCOPE OF WORK.

**CONTRACT TERM / CONDITIONS:** RIDOT anticipates the award of ONE (1) contract that will have a maximum contract completion date of **TWO (2) YEARS** after the date of authorization to commence work. Upon contract completion, RIDOT may elect to renew services annually for an additional TWO (2) YEARS contingent upon: (1) results and recommendations generated through this contract and, (2) the State's satisfaction and acceptance of the selected CONSULTANT'S services and deliverables. Delivery of goods and services as described herein shall be deemed acceptance of these requirements.

Respondents are instructed to submit a **TECHNICAL PROPOSAL** response along with a separate **COST PROPOSAL** both described in detail herein.

All pricing submitted will be considered to be *firm and fixed* unless otherwise authorized by RIDOT. It is the intention of RIDOT to award based on fees for services outlined on the required **Cost Proposal** format defined herein. RIDOT will not increase the contract or any purchase order (either dollar amount or time) for items not included in the submitted proposal documents. RIDOT reserves the right to purchase part of the proposal or the entire proposal. *SEE COST PROPOSAL SECTION INSTRUCTION AND FORMAT.*

Proposals received shall be in accordance with guidelines as outlined in this request and the State's General Conditions of Purchase which can be accessed online through the *Rhode Island Vendor Information Program*, or "RIVIP" as it is known, @ [www.purchasing.ri.gov](http://www.purchasing.ri.gov)

**NOTE:** *This is a Request for Proposals (RFP), not an Invitation for Bid: responses will be evaluated on the basis of the relative merits of the proposal, in addition to price. There will be no public opening and reading of responses received by the Office of Purchases pursuant to this request other than to name those Respondents who have submitted proposals.*

**TECHNICAL proposal and COST proposal shall be TWO (2) separate documents. All Respondents are advised to review all sections of this Request carefully and to follow instructions carefully as failure to make a complete submission as described elsewhere herein may result in rejection of the proposal.**

**GENERAL INSTRUCTIONS AND NOTIFICATIONS TO RESPONDENTS**

- 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 **THREE** 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 and submitting a proposal in response to this RFP, and to provide oral or written clarification of its content shall be borne by the CONSULTANT. The State assumes no responsibility for these costs.
- It is intended that an award pursuant to this RFP will be made to a prime CONSULTANT, who will assume responsibility for all aspects of the work. Joint venture(s) will not be considered, but sub-contract(s) are permitted provided the sub-contractor(s) proposed are clearly identified 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 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, unless cited as confidential or proprietary in nature, 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 TECHNICAL PROPOSAL 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.**

- 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 110, 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 TECHNICAL 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.

<b><i>To be completed by PRIME and Sub-Consultant(s):</i></b>	
<b><u>DEBARMENT FORM:</u></b> (ATTACHED)	Must be completed and signed by an authorized agent of your Firm
<b><u>LOBBYING FORM:</u></b> (ATTACHED)	Enter known project information on PAGE 1 (DESCRIPTION etc.); Firm must complete FORM and submit signed by an authorized agent of your Firm.
<b><u>CONFLICTS DISCLOSURE STATEMENT:</u></b> (ATTACHED)	In line with directions stated, completed FORM(s) must be signed and submitted accordingly.

<b><i>To be completed by PRIME only:</i></b>	
<b><u>W-9 FORM: **</u></b>	Must be completed and signed by authorized agent of your Firm. Form may be downloaded @ <a href="http://www.purchasing.ri.gov">www.purchasing.ri.gov</a> .
<b><u>CERTIFICATION FOR TITLE VI ASSURANCE:</u></b> (ATTACHED)	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.**

## **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:

Respondents are encouraged to ***PLEASE LIMIT THE SIZE AND VOLUME*** of the TECHNICAL PROPOSAL provided; the evaluation process will focus on the content of the 25 PAGE technical narrative so firms are encouraged to focus on this entry in preparing their submission. RIDOT requests ***SPIRAL BOUND PROPOSALS PLEASE***; the use of 3-RING binders is discouraged due to the limited storage capacity both at RIDOT and RIDOA.

TECHNICAL PROPOSAL shall contain a ***Table of Contents*** that cross-references each RFP requirement with specific page cited.

- **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 THREE (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.

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.

Your technical narrative should be outlined in the exact order in which the following RFP requirements are presented and limited to 25 PAGES in length. This information is specific to the technical selection criteria to be evaluated and scored. The TECHNICAL PROPOSAL submission shall NOT contain any references to PROJECT COST. Inclusion of cost information within the Technical Proposal submission may result in disqualification.

## **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.
- **Prior 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.

#### **ORGANIZATION AND STAFFING:**

- **Staff Qualifications:** Respondents are to include an overview of experienced KEY PERSONNEL including resumes; staff assignments and concentration of effort for each staff member identified are to be addressed. Respondents must demonstrate adequately trained staff necessary to complete each of the specified project tasks in a timely manner. Respondents shall include any applicable certification(s) and/or professional registration(s) which are pertinent to this project initiative.
- **Sub-Respondent(s):** As applicable, disclosure of any sub-respondent firm(s)' as well as the type of work they will perform **must** be documented in response to this Request. Full disclosure of the proposed team to be assigned this project is required in the Technical Proposal. If applicable, please include Cover Letter from SUB to PRIME prefacing each sub-consultant proposal provided.
- **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, if applicable, cited on chart.

#### **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 Schedule:** Respondent shall provide a project schedule for delivery of anticipated tasks and proposed deliverables.

- **Supplemental Information:** Respondents are encouraged to submit any other information deemed useful to provide RIDOT with sufficient relevant information to evaluate the firm's qualifications and technical approach to the project.

**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 fixed fee price and shall be inclusive of all services/deliverables as defined in the project SCOPE OF WORK. Pricing for subconsultant services and reimbursable expenses shall also be defined along with supporting documentation for said services and fees proposed.
- **COST PROPOSAL** prices submitted will be considered **firm and fixed**. 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** 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 formatted total contract cost and pricing policy as cited could result in disqualification.**

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

A **Pre-Proposal Conference** for the purpose of clarifying the Scope of Work and intent of this Request, as well as the evaluative criteria to be employed in the State's review of proposals received will be held on **OCTOBER 30, 2014 @ 11:00 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.*

Any pertinent questions subsequent to this solicitation may be posted at RIDOT'S "*Bidding Opportunities*" web page accessible at: **www.dot.ri.gov** 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 NOVEMBER 8, 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 7549069 - COMMUTER RAIL PLANNING ASSISTANCE: TRACK CAPACITY, RIDERSHIP AND TITLE VI ANALYSIS" by **NOVEMBER 14, 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. 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.

**SELECTION CRITERIA:**

<ol style="list-style-type: none"> <li>1. FIRM'S CAPABILITY, CAPACITY, AND STAFF QUALIFICATIONS 0-30 POINTS</li> <li>2. QUALITY OF THE PROJECT APPROACH/ Inclusive Of Proposed Deliverables And Activity Milestones 0-30 POINTS</li> <li>3. PROJECT SCHEDULE 0-10 POINTS</li> <li>4. COST PROPOSAL (Evaluated separately) 0-30 POINTS</li> </ol>		<b>Technical Criteria</b>
<b>MAXIMUM SCORE 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.

**Technical Proposals receiving scores of less than 55 POINTS out of the 70 eligible POINTS will NOT be scored for cost and will be disqualified.**

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 will be submitted to the State Purchasing Agent for final approval and contract execution.

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.*

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## **SCOPE OF WORK**

For

### **COMMUTER RAIL PLANNING ASSISTANCE: TRACK CAPACITY, RIDERSHIP AND TITLE VI ANALYSIS**

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#### **INTRODUCTION:**

Commuter rail service from Boston to Providence began in 1988, two years after the completion of Providence Station. Service is operated by the Massachusetts Bay Transportation Authority (MBTA) in exchange for capital funds from the Rhode Island Department of Transportation (RIDOT). In December 2010, service extended southward from Providence to TF Green Airport at the Warwick InterLink. Over a year later, in April 2012, a second expansion brought MBTA trains even further south to Wickford Junction in North Kingstown, RI. The MBTA currently provides service to TF Green Airport and Wickford Junction via the South County Operating Agreement with RIDOT.

The MBTA commuter rail trains share the Northeast Corridor (NEC) in Rhode Island with AMTRAK'S Acela and Regional Service trains. Additionally, freight trains operated by Providence and Worcester Railroad travel as far south as the Port of Davisville. The tracks on the Northeast Corridor are owned and maintained by AMTRAK, and the third track - the "FRIP" - was built by RIDOT on AMTRAK right of way. The FRIP extends from the Boston Switch in Central Falls south to Quonset Point in North Kingstown.

Although RIDOT is neither the operator of the commuter rail service nor the owner of the tracks, the organization is responsible for all new train station development and construction. Additionally, RIDOT is responsible for investigating other infrastructure improvements that could enhance commuter rail service south of Providence (e.g. additional tracks).

RIDOT is advertising this request for consultant services as a task identified in the Rhode Island FY 2015 Unified Planning Work Program. The task's primary effort involves studying the feasibility of extending

the NEC'S third track south from Warwick to Kingston Station. Secondary activities included in this contract will aid in the development of an updated Title VI Plan.

**TASK 1: NORTHEAST CORRIDOR CAPACITY ANALYSIS**

In 2006, Rhode Island completed the Freight Rail Improvement Project (FRIP), a 22-mile third track from Central Falls to Quonset. Although the project's name suggests otherwise, the track is also used for passenger rail activities. The absence of additional capacity elsewhere along the Northeast Corridor in Rhode Island limits service expansion. This task seeks to evaluate the feasibility of extending the third track roughly 18 miles from the current terminus (near milepost 176) to Kingston Station (milepost 158.1), or potentially adding strategic sidings along this segment to enhance capacity. The task will culminate in a feasibility report.

The study will look at potential rail alignments, and it will also conceptually consider the potential for overhead catenary infrastructure should electrification be pursued.

**TASK 1.1:** Identify environmental issues (regulatory issues, potential NEPA classification, state and federal permitting, major environmental issues/resources/impacts, etc.)

***Deliverable 1.1:*** Effort will begin at Notice to Proceed (NTP). DRAFT TASK 1.1 results shall be formally submitted in hard copy (2) and electronically to project POC within 18 MONTHS of NTP. Accepted TASK 1.1 results shall be incorporated in the FINAL FEASIBILITY REPORT to be submitted to RIDOT by final contract completion date.

**TASK 1.2:** Identify physical obstacles/hindrances to expansion (e.g. bridges)

***Deliverable 1.2:*** Effort will begin at NTP. DRAFT TASK 1.2 results shall be formally submitted in hard copy (2) and electronically to project POC within 18 MONTHS of NTP. Accepted TASK 1.2 results shall be incorporated in the FINAL FEASIBILITY REPORT to be submitted to RIDOT by final contract completion date.

**TASK 1.3:** Develop capacity improvement alternatives

***Deliverable 1.3:*** Effort will begin at NTP. DRAFT TASK 1.3 results shall be formally submitted in hard copy (2) and electronically to project POC within 18 MONTHS of NTP. Accepted TASK 1.3 results shall be incorporated in the FINAL FEASIBILITY REPORT to be submitted to RIDOT by final contract completion date.

**TASK 1.4:** Develop a range of probable costs (trackwork, bridges, drainage, utilities, right-of-way, earthwork, etc.) for each alternative considered

***Deliverable 1.4:*** Effort will begin at NTP. DRAFT TASK 1.4 results shall be formally submitted in hard copy (2) and electronically to project POC within 18 MONTHS of NTP. Accepted TASK 1.4 results shall be incorporated in the FINAL FEASIBILITY REPORT to be submitted to RIDOT by final contract completion date.

## **TASK 2: RIDERSHIP OBSERVATIONS AND SURVEY**

### ***Quarterly Weekday Ridership Counts***

This task will include quarterly, all-day ridership counts at each of the THREE (3) Rhode Island commuter rail stations. An observational count will be conducted once every three months during the lifetime of the Contract. Each count will tally embarkations and disembarkations for each train on a weekday (ideally on the same day of the week). As of June 1, 2014, **TF Green Airport** and **Wickford Junction** each have 10 weekday round trips, averaging about 400 total riders each per weekday. **Providence** Station has eighteen (18) inbound trains and nineteen (19) outbound, averaging about 4,000 to 5,000 total riders per weekday.

### ***Bi-Annual Weekend All Day Counts- PROVIDENCE STATION ONLY***

Every six months all-day counts will be conducted only at the **Providence** Station on a Saturday (9 round trips) and a Sunday (7 round trips).

### ***Passenger Surveys***

One (1) passenger survey, to be conducted at all THREE (3) existing Rhode Island commuter rail stations, shall be conducted within nine (9) months of the NTP. The survey will inquire about trip destinations, home origin, mode of accessing the rail station, trip purpose and frequency, demographics, etc. The survey is intended to follow the format of RIDOT'S 2012 passenger survey, found at: [http://www.dot.ri.gov/documents/about/intermodal/2012 Commuter Rail Survey.pdf](http://www.dot.ri.gov/documents/about/intermodal/2012%20Commuter%20Rail%20Survey.pdf).

**TASK 2.1:** Quarterly weekday observational ridership counts at three RI commuter rail train stations Quarterly counts to begin within three months of NTP. For each of the three stations, the summary report will include the number of embarking and disembarking passengers for each eastbound and each westbound train throughout the entirety of the day.

***Deliverable 2.1:*** Each quarterly summation report shall be submitted to RIDOT within TWENTY-ONE (21) DAYS of each quarterly count.

**TASK 2.2:** Bi-annual weekend observational ridership counts conducted at **Providence Station only**. Weekend counts to begin within three (3) months of NTP. Bi-annual summary report will include the number of embarking and disembarking passengers for each eastbound and each westbound train throughout the entirety of the Saturday and the Sunday.

***Deliverable 2.2:*** Each bi-annual summation report shall be submitted to RIDOT within TWENTY-ONE (21) DAYS of each bi-annual count.

**TASK 2.3:** ONE (1) passenger survey summarizing ridership patterns at each of the three Rhode Island commuter rail stations. . The passenger surveys should be conducted within nine (9) months of the NTP.

***Deliverable 2.3:*** The completed passenger survey report shall be submitted to RIDOT within SIXTY (60) DAYS of the final rail survey date.

**TASK 3: TITLE VI/SERVICE EQUITY ANALYSIS**

Utilizing the cited Federal Transit Administration’s (FTA) Title VI Circulars, the CONSULTANT will provide technical assistance in collecting data and conducting assessments of the level of commuter rail service in targeted minority and low-income communities in RI.

RIDOT'S current Title VI Program report encompasses 2012-2015. Since the creation of this document, federal guidelines have changed. RIDOT needs to adhere to the guidance from FTA Circulars 4702.1B and 4703.1 when submitting their next three-year plan, due in April 2015. This task entails assisting RIDOT in reviewing these circulars and updating their plan.

The FTA issued Circular 4702.1B in 2012, which defines Title VI and Environmental Justice compliance procedures for recipients of FTA-administered transit program funds. Specifically, the FTA requires recipients, including RIDOT, to “evaluate significant system-wide service changes and proposed improvements at the planning and programming stages to determine whether those changes have a discriminatory impact.” In the event of a service change, the CONSULTANT will perform the service equity analysis.

**TASK 3.1:** Data collection and analysis on service coverage, population demographics, and Limited English Proficiency (LEP) population by community using the Four-Factor Analysis; may include mapping.

***Deliverable 3.1:*** Work under this task will begin as soon as practically feasible to assist in meeting an April 1, 2015 completion date for the Title VI Plan update.

**TASK 3.2:** Technical assistance and recommendations to enhance the RIDOT Public Participation Plan, the LEP Plan, and outreach activities

***Deliverable 3.2:*** Work under this task will begin as soon as practically feasible to assist in meeting an April 1, 2015 completion date for the Title VI Plan update.

**TASK 3.3:** Assure Title VI Program compliance with FTA Circulars 4702.1B and 4703.1

***Deliverable 3.3:*** Work under this task will begin as soon as practically feasible to assist in meeting an April 1, 2015 completion date for the Title VI Plan update.

**TASK 3.4:** Perform Service Equity Analysis in the event of a service change

***Deliverable 3.4:*** Deliverables created through this task shall be completed in a timely manner with respect to the anticipated date of the service change.

**POINT OF CONTACT AND REPORT SUBMISSIONS**

The designated point of contact (POC) for the project will be the assigned Intermodal Planning Project Manager; all reporting shall be submitted to his/her attention by the scheduled due dates. The CONSULTANT should not consider this a staff resource. It is the CONSULTANT'S responsibility to obtain all necessary information, to complete all tasks and prepare and submit the required deliverables to the POC. Reports will be disseminated by the POC for formal review and acceptance by RIDOT. Any comments will be forwarded in writing to the CONSULTANT for further revision until formally accepted.

All reporting shall be submitted to the POC in both electronic and hard copy for review and comment.

**-END -**

RFP 7549069

COMMUTER RAIL PLANNING ASSISTANCE: TRACK CAPACITY, RIDERSHIP AND TITLE VI ANALYSIS

MAXIMUM 2-YEAR COST PROPOSAL: ITEMIZED PER TASK

CONSULTANT NAME:	
Street Address/PO Box	
City/State/Zip	
(Area Code) Phone #	

Respondents must indicate in the space provided their firm fixed price or (fee) for each of the services and deliverables proposed below. These services and deliverables are the only charges that will be eligible to be paid to the CONSULTANT and shall include all associated costs of delivering services covered by this Request

TASK	TASK DESCRIPTION/ COST PER SUB-TASK	TASK TOTALS	ASSOCIATED DELIVERABLE(S) / MILESTONES PER SUB-TASK	DUE DATE
1	Northeast Corridor Capacity Analysis			
	1.1 \$ _____		1.1 _____	1.1 _____
	1.2 \$ _____		1.2 _____	1.2 _____
	1.3 \$ _____		1.3 _____	1.3 _____
	1.4 \$ _____		1.4 _____	1.4 _____
	<b>TOTAL TASK 1</b>	\$ _____		
2	Ridership Observations and Survey			
	1.1 \$ _____		1.1 _____	1.1 _____
	1.2 \$ _____		1.2 _____	1.2 _____
	1.3 \$ _____		1.3 _____	1.3 _____
		<b>TOTAL TASK 2</b>	\$ _____	
3	TITLE VI/ Service Equity Analysis			
	1.1 \$ _____		1.1 _____	1.1 _____
	1.2 \$ _____		1.2 _____	1.2 _____
	1.3 \$ _____		1.3 _____	1.3 _____
	1.4 \$ _____		1.4 _____	1.4 _____
	<b>TOTAL TASK 3</b>	\$ _____		
<b>TOTAL 2-YEAR CONTRACT</b>		\$ _____		

Narrative Disclosure

**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

## **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> <div style="display: flex; align-items: flex-start;"> <input style="width: 30px; height: 20px; margin-right: 5px;" type="checkbox"/> <ul style="list-style-type: none"> <li>a. contract</li> <li>b. grant</li> <li>c. cooperative agreement</li> <li>d. loan</li> <li>e. loan guarantee</li> <li>f. loan insurance</li> </ul> </div>	<p>2. Status of Federal Action:</p> <div style="display: flex; align-items: flex-start;"> <input style="width: 30px; height: 20px; margin-right: 5px;" type="checkbox"/> <ul style="list-style-type: none"> <li>a. bid/offer/application</li> <li>b. initial award</li> <li>c. post-award</li> </ul> </div>	<p>3. Report Type:</p> <div style="display: flex; align-items: flex-start;"> <input style="width: 30px; height: 20px; margin-right: 5px;" type="checkbox"/> <ul style="list-style-type: none"> <li>a. initial filing</li> <li>b. material change</li> </ul> </div> <p style="margin-top: 10px;">For Material Change Only:  year _____ quarter _____  date of last report _____</p>
<p>4. Name and Address of Report Entity:</p> <div style="display: flex; justify-content: space-between;"> <input checked="" type="checkbox"/> Prime <input type="checkbox"/> Subawardee </div> <p style="margin-left: 100px;">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> <ul style="list-style-type: none"> <li><input type="checkbox"/> a. retainer</li> <li><input type="checkbox"/> b. one-time fee</li> <li><input type="checkbox"/> c. commission</li> <li><input type="checkbox"/> d. contingent fee</li> <li><input type="checkbox"/> e. deferred</li> <li><input type="checkbox"/> f. other, specify: _____</li> </ul>	
<p>12. Form of Payment (check all that apply):</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> a. cash</li> <li><input type="checkbox"/> b. in-kind; specify: nature _____ value _____</li> </ul>		
<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><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 \_\_\_\_\_

## **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.