



**REQUEST FOR PROPOSAL (RFP) – BID# 7550286**

**INVESTMENT GRADE TRAFFIC AND REVENUE STUDY**

**SUBMISSION DEADLINE: 3/15/16 at 11:30 AM (ET)**

**PRE-BID CONFERENCE:**

NO  
 YES

**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.

  
**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 three-page Rhode Island Vendor Information Program (RIVIP) Generated Bidder Certification Cover Form attached may result in disqualification.

**THIS IS NOT A BIDDER CERTIFICATION FORM**

RHODE ISLAND DEPARTMENT OF TRANSPORTATION

REQUEST FOR PROPOSAL

RFP 7550286

**INVESTMENT-GRADE TRAFFIC AND REVENUE STUDY FOR RIDOT  
TRUCK TOLLING PROGRAM**

**I. INTRODUCTION:**

The Rhode Island Department of Administration / Office of Purchases, on behalf of the Rhode Island Department of Transportation (RIDOT) is soliciting proposals from qualified firms (CONSULTANT) to prepare an investment-grade traffic and revenue study for a truck tolling bridge replacement program in the State. The program, generally referred to as "Rhode Works", is intended to help finance the repair or replacement of several bridges in Rhode Island, most of which are on the Interstate Highway System. A significant portion of the cost for this replacement/repair activity will come from bonds supported by electronic tolls assessed on heavy trucks.

A preliminary traffic and revenue analysis has been completed which identified up to 14 electronic tolling locations. That study was not conducted at a sufficient level of detail to be used in support of actual financing. RIDOT intends to engage a qualified CONSULTANT in response to this RFP to undertake a "Level 3" investment-grade study suitable to meet the needs of rating agencies and the financial community.

The product of the study will be a report suitable for use in support of financing. It may need to be included along with other materials in an Official Statement or other bond documents, and the selected CONSULTANT will be expected to prepare and present summaries of the analysis and revenue forecasts to rating agencies and others in the financial community.

Respondents are instructed to submit a **TECHNICAL PROPOSAL** response along with a separate **COST PROPOSAL** both described in detail herein. Detailed Cost Proposals shall provide for services to be performed over a maximum **EIGHT (8) MONTH** contract term and shall include all materials, equipment, labor, overhead, quality control, and all other elements necessary for the completion of the work.

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. The 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, @

<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.**

## II. GENERAL NOTIFICATIONS

- All Respondents shall register online at the RIVIP'S Internet website @ [www.purchasing.ri.gov](http://www.purchasing.ri.gov)
- A fully completed signed **RIVIP Bidder Certification Cover Sheet** – All three pages shall accompany response submitted. Failure to make a complete submission inclusive of this three-page document may **result in disqualification**. A copy of this 3-PAGE certification form should be in all proposals (originals and copies) submitted to the State for consideration.
- Should there be a need for assistance in registering and/or downloading any document, call (401) 574-8100 for RIVIP HELP DESK technical assistance. Office Hours: 8:30 AM – 4:00 PM.
- The State does not require E-VERIFY compliance in any of its purchasing and/or hiring of services; however, Respondents are hereby advised that in line with the Federal Acquisition Regulations any federal contract based on the services requested may require that the State obtain evidence of E-VERIFY compliance from the successful Respondent.
- The Rhode Island Department of Transportation, in accordance with Title VI of the Civil Rights Act of 1964, 42 U.S.C. §§ 2000d - 2000d-4 and 49 C.F.R. Part 21, Nondiscrimination in Federally-Assisted Programs of the Department of Transportation – Effectuation of Title VI of the Civil Rights Act of 1964, issued pursuant to such Act, hereby notifies all bidders that it will affirmatively insure that in any contract entered into pursuant to this advertisement, Disadvantaged Business Enterprises will be afforded full opportunity to submit bids in response to this invitation and will not be discriminated against on the grounds of race, color, sex, national origin, age, or disability in consideration for an award.
- Services provided by the successful Respondent - and if applicable any sub-contracts generated through this Contract - shall not discriminate on the basis of race, color, national origin, or sex in the performance of this Contract. The Respondent shall carry out applicable requirements of 49 C.F.R., Part 26, Participation of Disadvantaged Business Enterprises in Department of Transportation Financial Assistance Programs, in the award and administration of DOT-assisted contracts. Failure by the Respondent to carry out these requirements is a material breach of this Contract, which may result in the termination of this Contract or such other remedy as the recipient deems appropriate.
- 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 **firm and fixed** unless otherwise indicated 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. The State reserves the right to purchase part of the proposal or the entire proposal.

- 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, 2<sup>nd</sup> Floor, One Capitol Hill, Providence, Rhode Island.
- Respondents are advised that all materials submitted to the State for consideration will be considered to be public records as defined in RI Gen Laws 38-2, without exception, and will be released for inspection immediately upon request once an award is made.
- In accordance with RI Gen. Laws 7-1.1-99, no foreign corporation (a corporation established other than in Rhode Island) has the right to transact business in this State until it has procured a Certificate of Authority to do so from the Office of the Secretary of State (401) 222-2357.
- Although there is **NO DBE GOAL** assigned to this project, RIDOT encourages the utilization of DBE Firms on all projects. At the point of project completion RIDOT will determine and assess the overall DBE participation, if any, which will be attributed to the fulfillment of the Department's annual DBE Goal requirement.

### **III. 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.***

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

Upon review of the Scope of Work (SOW), **TECHNICAL PROPOSAL** 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 THREE (3) 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 FIVE (5) 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 requires 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.

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

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

#### **BACKGROUND AND PREVIOUS EXPERIENCE:**

- **Point of Contact:** Respondents must provide the NAME, TITLE, OFFICE LOCATION and CONTACT INFORMATION (E-Mail and Phone Number) of the primary Point of Contact to whom clarification questions can be forwarded.
- **Company Introduction:** Respondents are to include a complete description and other relevant information documenting the firm's professional practice and expertise relative to the services requested. At least **FIVE (5) YEARS** of experience providing investment grade traffic and revenue forecasts for toll facilities is required.
- **Relevant Experience:** Respondents shall list all toll facility financings (typically revenue bonds) which have been successfully undertaken based on traffic and revenue estimates over the last **TEN (10) YEARS**. The list should include the approximate date of studies and project financing, location of the project, client name, and an indication whether the project is yet in operation.

- **Client References:** Provide the names and contact information (telephone and e-mail address) of **THREE (3)** client references associated with specific projects for which traffic and revenue forecasting services have been provided in the last **TEN (10) YEARS**. 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 similar projects contracted to perform along with their anticipated completion dates.

**ORGANIZATION AND STAFFING:**

- **Staff Qualifications:** Respondents are to include an overview of experienced personnel presently on staff including resumes, curricula vitae or statements of prior experience and/or qualification of key personnel to be assigned to project. Staff assignments and concentration of effort for each staff member are to be addressed.
- **Sub-Respondent(s):** As applicable, disclosure of any sub-respondent firm(s)' organizational structure and business background as well as the type of work they will perform **must** be documented in response to this Request. Full disclosure of the proposed team to be assigned this project is required in the Proposal.

**PROJECT WORK PLAN/ SCHEDULE:**

- **Project Approach:** Respondents shall provide a detailed technical synopsis of their proposed services based on the SOW requested by the RIDOT including any technical issues that will or may be confronted at each stage of the project. *Alternative* approaches and/or methodologies to accomplish the intended results of this solicitation are encouraged. However, proposals that depart from or materially alter the terms, requirements or SOW as defined by this Request will be rejected and considered non-responsive.
- **Work Plan:** Respondent shall submit a complete and comprehensive project work plan inclusive of proposed deliverables and activity milestones associated with each defined task.
- **Project Schedule:** Proposers shall include in their proposal a detailed schedule for each of the major tasks listed herein, or other tasks that may be defined by the Respondent. The schedule should also include preliminary estimates of when coordination meetings will be required during the course of the study.
- **Reporting Requirements:** Any technical memorandums and/or reports generated will be submitted both in hard copy and electronically for ease of review. The successful CONSULTANT will be prepared to discuss findings in a coordinated team meeting environment should this be required.
- **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 total contract budget itemized per defined PROJECT TASK inclusive of proposed deliverables/activity milestones and anticipated delivery date associated with each task as defined in the Respondent's TECHNICAL PROPOSAL.
- **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.
- 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.**

**V. QUESTIONS RELATING TO SOLICITATION**

Any pertinent questions subsequent to this solicitation may be posted at the RIDOT'S "Bidding Opportunities" web page accessible at: <http://www.dot.ri.gov/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. 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 MARCH 9, 2016**. Upon the close of questions, all questions received and responses posted by RIDOT will be subsequently posted as a formal ADDENDUM on the RIVIP Website and therefore incorporated as part of this RFP.

**VI. SUBMISSION REQUIREMENTS AND DUE DATE**

**TECHNICAL PROPOSAL ("Original" plus FIVE (5) 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# 7550286 – INVESTMENT-GRADE TRAFFIC AND REVENUE STUDY FOR PROPOSED RIDOT TRUCK TOLLING PROGRAM" by **MARCH 15, 2016 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 NOTIFICATIONS)**

**VII. 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 Respondent'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.

<b><u>SELECTION CRITERIA:</u></b>		
<b>1.</b>	<b>STAFF QUALIFICATIONS</b>	<b>0-30 POINTS</b>
<b>2.</b>	<b>QUALITY OF THE PROJECT WORK PLAN/SCHEDULE</b>	<b>0-20 POINTS</b>
<b>3.</b>	<b>RELEVANT EXPERIENCE</b>	<b>0-20 POINTS</b>
		<b>70.0 <u>TECHNICAL POINT MAX</u></b>
<i>Technical Proposals receiving scores of <b>less than 50 POINTS</b> out of the 70 eligible POINTS will NOT be scored for cost and will be disqualified.</i>		
<b>4.</b>	<b>COST PROPOSAL (Evaluated separately)</b>	<b>0-30 POINTS</b>
		<b>30.0 <u>COST POINT MAX</u></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. Upon final selection acceptance, the selected CONSULTANT will be required to sign a Letter of Agreement based on this RFP, the CONSULTANT'S Technical and Cost Proposal Responses, and any other terms, conditions, operating procedures, reporting requirements and other technical provisions and administrative controls that need to be clarified. RIDOT will forward a *Recommendation to Award* to the Department of Administration/ Office of Purchases including the signed Letter of Agreement and all

required Insurance Certifications. The Office of Purchases will review and determine whether to proceed to award at which time a Purchase Order will be issued. RIDOT will then issue a formal Notice to Proceed.

*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

### **INVESTMENT-GRADE TRAFFIC AND REVENUE STUDY FOR RIDOT TRUCK TOLLING PROGRAM**

#### **BACKGROUND**

Rhode Island has a significant backlog of bridge rehabilitation and replacement needs, both on and off the Interstate System. The use of tolling as a source of revenue to fund these needed improvements is the basic foundation of the "Rhode Works" program.

The "Rhode Works" program envisions the use of All Electronic Toll (AET) collection, using a combination of electronic tolls (E-ZPass<sup>®</sup>) and video tolling for vehicles without E-ZPass<sup>®</sup>. Under the program, tolling would be limited to heavy trucks, specifically vehicles in FHWA Classification 8 and above. In general, this includes all truck combination vehicles; that is, with a cab and either one or two trailers. Single-unit trucks (Class 7 and below) and passenger cars would be excluded from tolling.

Based on preliminary analysis, up to 14 bridges or bridge combinations have been identified for potential tolling. All tolling locations will involve the charging of tolls in both travel directions.

Enabling legislation for the "Rhode Works" program has established two discount programs for truck tolling, each of which will be limited to trucks equipped with E-ZPass<sup>®</sup> transponders:

- Individual trucks (with unique E-ZPass<sup>®</sup> tag IDs) will be charged only once per day for tolls at any given tolling point in a single travel direction. This will apply only to individual trucks (not trucking company accounts) and repeat trips must be in the same travel direction. A round trip, where the same truck passes through the same tolling point one time in both travel directions, will be fully charged for both trips; and
- A maximum daily charge will be established, per day, for each individual truck (unique tag ID) of total tolls within the State. The daily maximum amount will be established at two times the through trip toll rate for trucks on I-95 (Connecticut to Massachusetts).

As noted above, all electronic tolling will be used, and no provisions will be made for cash collection. Trucks not equipped with E-ZPass<sup>®</sup> will be tolled through license plate video imaging and post billing of charges. Because video tolling, and post billing, incurs additional collection costs, and an increase in uncollectable tolls and leakage, separate toll rates will be established for E-ZPass<sup>®</sup> versus video users, with video users assessed a higher rate. The incremental amount, or surcharge, assessed to video transactions would be set to offset anticipated higher costs of collection, including additional leakage potential. RIDOT may also consider differential rates between single trailer and tandem trailer truck vehicle combinations. This will need to be further evaluated as part of this traffic and revenue study, but tolls will be limited to combination truck vehicles, Class 8 and above.

**PREVIOUS STUDIES AND AVAILABLE DATA**

A preliminary traffic and revenue analysis was completed in 2015. This study included a limited truck license plate survey and development of approximations of heavy truck travel patterns and a preliminary diversion analysis. The results of that study will be made available to the selected CONSULTANT for this investment-grade study. However, it should be assumed that trip pattern information will need to be revalidated and significantly enhanced as part of the investment-grade study.

As part of preliminary planning for the “RhodeWorks” program, an economic impact study was also completed. RIDOT also has a freight plan under development; all information will be made available to the selected CONSULTANT. Additionally, enabling legislation authorizing the truck tolling program, and defining the specifics of discounts and other parameters, will also be provided.

When available, RIDOT will provide the selected CONSULTANT with traffic counts by major vehicle classification at several locations along major routes in the State. These may not coincide directly with toll collection locations, but can be used in developing overall traffic profiles and historical growth patterns. RIDOT can also provide CONSULTANT with information on existing truck restrictions and load limits on competing alternative routes which will need to be taken into consideration in this traffic and revenue analysis.

**PROJECT TASKS and DELIVERABLES**

It is expected that this investment-grade traffic and revenue study will encompass **EIGHT (8)** basic tasks. A description of work activities and deliverable items to be included in each of the tasks is summarized below.

**TASK 1: Project Initiation; Data Assembly and Review**

At the outset of this Task, the CONSULTANT will refine the study work plan and prepare a detailed schedule of activities. A Project Management Plan will be developed and submitted to RIDOT for review and approval. A kick-off meeting will take place in Providence, led by the CONSULTANT’s Project Manager and other key staff, along with the RIDOT Project Manager and other RIDOT staff to be involved in the work. Critical background information and assumptions on the “Rhode Works” program will be discussed in detail. Agreements will be reached on the types of information to be collected, and the specific sources of that data.

**TASK 1: Deliverable(s)**

TASK 1 will also include a review of previous studies, most notably information from the preliminary traffic and revenue study. A brief technical memorandum will be submitted at the conclusion of TASK 1 summarizing information obtained and reviewed, as well as detailed assumptions and other information about the “Rhode Works” program.

**TASK 2: Field Data Collection Program**

While some information would be provided to the CONSULTANT from previous studies and existing data files, a significant original field data collection effort will be required of the CONSULTANT undertaking the investment-grade traffic and revenue study. This will include updated automated and manual

classification counts at up to 14 proposed tolling locations to field verify the current volume of heavy trucks (generally combination vehicles) of FHWA Classification 8 and higher. Automated counts must be capable of classifying vehicles at highway speeds for critical mainline sections. It is not recommended that "tube counters" be used for this purpose, since they would typically be difficult to keep in place under heavy traffic volumes and heavy truck traffic levels. The proposal should specify the technologies to be used in obtaining automated classification counts since this is so critical to developing reasonable traffic and revenue forecasts, since only a certain subset of total vehicles will actually be priced.

Automated counts at a minimum of 10 "control" locations should be obtained for a continuous 7-day period; more limited counts extending at least 72 hours on interior weekdays should be obtained at other locations. Manual classification counts should be conducted at the "control" locations for a continuous 12-hour period, in both travel directions. These will then be correlated against machine records to ensure appropriate calibration of the data collection process.

Of particular importance, will be the assembly of information about truck travel patterns and frequency of use. As mentioned above, the preliminary traffic and revenue analysis study included license plate surveys at approximately 15 locations, although these did not necessarily coincide exactly with currently defined tolling locations. This data was used to develop an approximation of truck travel patterns, on a "superzone" basis. This will need to be considerably refined for the investment grade study. The proposer should discuss, in detail, methods to be used to develop refined estimates of travel patterns.

In planning this important data collection effort, proposers should recognize the unique nature of the tolling system and the fact that there has been well publicized opposition from the trucking industry to the proposed "Rhode Works" truck tolling program. If any types of direct surveys that are undertaken, these should include steps to minimize any potential bias arising from the anticipated opposition from the trucking industry.

The CONSULTANT is encouraged to use any available databases of goods movement patterns or other previously established travel patterns of truck trips to, from or through the state of Rhode Island; data such as information from the FAF data base, or other commercially available databases on truck patterns and commodity flows are encouraged. The CONSULTANT should recognize, however, that heavy trucks will be assessed tolls whether loaded or empty. Most commodity flow databases provide information about actual shipments, but may not include information about truck movements when empty. The proposer should indicate how this will be addressed.

It is also important to obtain information regarding the frequency of use of the bridges by individual trucks, recognizing the discount programs which will need to be considered. It is important to recognize that individual trucks passing through the same tolling point, more than one time per day in a single direction, will not be charged after the first trip. This applies to individual trucks, and not simply company accounts. It also is limited to a single travel direction; that is, a truck passing through the same location in the opposite direction will be charged for both trips.

The CONSULTANT should also conduct extensive speed and delay runs on the facilities which will have tolling and logical alternative routes. This should include an inventory of truck restrictions (such as load limits or prohibition of through truck trips) and any specific factors which could limit certain routes in accommodating truck traffic.

**TASK 2: Deliverable(s)**

A detailed Technical Memorandum, summarizing the results of the extensive data collection effort, shall be submitted at the conclusion of TASK 2

**TASK 3: Economic Growth Analysis**

The CONSULTANT will be required to provide 30-YEAR traffic and revenue forecasts for each of up to 14 tolling points. This will require a review of economic growth forecasts, historic truck traffic growth trends, national freight traffic growth forecasts and other relevant material.

The CONSULTANT is advised that the current Rhode Island statewide travel demand model does not include separate truck trip tables. The model does include statewide projections of population and employment, but not specific growth projections for truck travel. The CONSULTANT will need to use other sources, including historical trends, to develop defensible truck traffic growth forecasts.

**TASK 3: Deliverable(s)**

A brief Technical Memorandum shall be submitted at the end of TASK 3 summarizing truck traffic growth forecasts.

**TASK 4: Truck Travel Demand Model**

The CONSULTANT will develop a specialized travel demand model or other analytical tool to estimate truck traffic diversions and other behavioral responses to the implementation of all electronic tolling. As noted above, RIDOT can provide the CONSULTANT with access to the existing statewide model, which is actually maintained by a companion agency in Rhode Island; the Department of Administration. The model includes just under 1600 traffic zones. It does not include separate truck travel patterns.

The CONSULTANT conducting the investment grade traffic and revenue study also must fully recognize the unique behavioral characteristics of commercial vehicles in response to tolls. This should include assembly and review of historical research information on the topic, including any prior studies by the National Cooperative Highway Research Program (NCHRP) or National Cooperative Freight Research Program (NCFRP). A detailed analysis should be undertaken of truck operating costs and factors which influence those costs, such as differences in fuel consumption between free-flow traffic on freeways versus stop-and-go traffic on alternative routes. The proposer should indicate if any market research surveys would be undertaken to refine models to estimate truck diversions in response to tolling.

The specialized model will need to be sufficiently large to include alternative routes outside the State of Rhode Island. For example, some through truck trips traveling along I-95 between, say, Connecticut and the Boston area, may choose to shift to I-395 plus a portion of the Massachusetts Turnpike to avoid tolls within Rhode Island. The model should be well calibrated and a Technical Memorandum shall be submitted at the conclusion of the Task providing an indication of calibration and validation measures.

The model should clearly articulate available alternative routes, including any specific limitations or factors which would limit the attractiveness of these routes. Any tolls on alternative routes, such as the Massachusetts Turnpike or the Pell Bridge in Newport, Rhode Island, also must be incorporated into the modeling process. Finally, the model should recognize the progressive deterioration of conditions on alternative routes resulting from truck diversions to avoid tolls.

**TASK 4: Deliverable(s)**

At the completion of this task, the CONSULTANT will submit a detailed Technical Memorandum documenting the model and evidence of its validity.

**TASK 5: Rate Sensitivity and Diversion Analysis**

The model will then be used by the CONSULTANT to test alternative truck toll rates at each of up to 14 truck tolling points within Rhode Island. The anticipated truck diversions to alternative routes should be estimated for each location and at each of several alternative toll rates. The CONSULTANT shall also test differential rates between single-trailer and tandem-trailer types of vehicles, although it has not yet been determined whether there will be two different rates charged.

The tolling point should be evaluated in combination. The CONSULTANT may assume that no more than three (3) alternative combinations, or scenarios, will need to be tested. The preliminary study looked at several scenarios, ranging from 8 to as many as 14 locations. The number and definition of each scenario will be determined at the outset of the work.

The tolling points will be at individual locations, and there will be toll-free travel permitted between these locations. An individual trip may pass through several unique tolling points. Depending on the attractiveness and availability of alternative routes, a single truck may elect to pay a toll at some locations on the trip, while diverting around other locations. The analytical tool developed for the analysis should be able to permit this "split decision" of route choice selection.

**TASK 5: Deliverable(s)**

At the conclusion of the task, the CONSULTANT shall submit a detailed Technical Memorandum summarizing the results of the toll sensitivity analysis. This should include provision of appropriate curves and tables relating diversion and revenue potential at progressively higher rates. The final selection of locations, and individual rate combinations at different locations, will be based on the results of this toll sensitivity analysis.

The TASK 5 technical memorandum should also include the estimation of truck traffic impacts on specific alternative routes. The magnitude and nature of diversions may also aid in determining maximum potential rates at each location. This includes both local diversions within Rhode Island as well as diversions entirely outside the State.

**TASK 6: Base Case Revenue Estimates**

The CONSULTANT shall provide 30-YEAR forecasts by location and in total, for each of up to three (3) scenarios. These will include transactions and revenue. The CONSULTANT will apply appropriate annualization factors, recognizing unique daily truck traffic variations based on 7-DAY counts obtained in TASK 2 above, and more extended counts at various locations currently maintained by RIDOT.

TASK 6 will also include estimation of the impact of the two (2) currently anticipated discount programs. Eligibility for discounts will be limited to trucks using electronic toll collection, E-ZPass®. The truck traffic and revenue estimates must also be segregated by E-ZPass® versus non- E-ZPass® categories. In conducting the diversion impact analysis in TASK 5, the CONSULTANT should estimate the proportion of trucks which will be equipped with E-ZPass®, and include a nominally higher toll rate for those vehicles without transponders.

The CONSULTANT will also perform a "leakage" analysis, particularly with respect to non- E-ZPass® transactions, assumptions regarding the processing and billing of video transactions will be provided to the CONSULTANT in consultation with other Consultants involved in the toll system planning and

development process. The Traffic and Revenue Consultant, with assistance from the Toll Facilities Consultant, will develop estimates of uncollectable tolls, including:

- From unreadable plates;
- From unbillable transactions; and
- From billed but uncollected transactions.

Base case revenue estimates will be provided for each scenario, with and without leakage. The leakage analysis can be applied at the scenario level, and need not be applied by individual tolling point locations.

**TASK 6: Deliverable(s)**

The base case revenue forecasts and associated analysis in TASK 6 will be summarized in a detailed Technical Report.

**TASK 7: Sensitivity Tests and Risk Assessments**

RIDOT recognizes that there is an inherent level of uncertainty in any forecast of traffic and revenue; and also that the proposed truck tolling program is relatively unprecedented. As such, extensive sensitivity testing should be undertaken, and included in the FINAL Traffic and Revenue Report, to provide the reader with insights as to a possible range impacts on base case revenue estimates (above or below the base case forecast) and the general risk which can be anticipated. Sensitivity tests shall include, but not necessarily be limited to:

- Alternative assumptions regarding vehicle operating cost or commercial vehicle values of time, both higher and lower;
- Alternative assumptions for E-ZPass® penetration in the truck market, both higher and lower;
- Alternative assumptions regarding leakage and payment levels;
- The hypothetical impact of higher than anticipated diversions, particularly during the first year of truck toll operations, arising from protest or organized resistance from the truck industry;
- Potential for business relocations, particularly truck operators;
- Alternative truck traffic growth rate assumptions, both higher and lower; and
- Alternative assumptions regarding gas price and availability.

**TASK 7: Deliverable(s)**

At the conclusion of TASK 7, the CONSULTANT shall submit a detailed Technical Memorandum summarizing assumptions made in the sensitivity analysis test.

**TASK 8: Documentation and Meetings**

TASK 8 will include development of the FINAL Traffic and Revenue Report, other routine reports such as monthly progress reports and documentation of meetings, and a series of coordination efforts and meetings during the course of the study. The CONSULTANT shall identify the anticipated number of meetings, and approximately when these will occur. A minimum of **FOUR (4)** in-person meetings in Rhode Island is expected.

**TASK 8: Deliverable(s)**

The Traffic and Revenue Report will be submitted in **DRAFT REPORT** for review/comment by RIDOT staff and their representatives. A minimum of **THREE (3) WEEKS** should be provided for the review.

The **CONSULTANT** will submit the **FINAL REPORT** within **TWO (2) weeks** of receiving comments from RIDOT and their representatives.

The **FINAL** Traffic and Revenue Report will fully describe the analysis performed, the data collected, methods used, the traffic and revenue forecasts and the results of extensive sensitivity testing.

**PROJECT SCHEDULE**

All elements of the study shall be completed in no more than **EIGHT (8) MONTHS** from notice-to-proceed. This includes delivery of the **FINAL** Traffic and Revenue Study Report, after allowing reasonable review time of the **DRAFT** report. To facilitate this, the **DRAFT REPORT** shall be submitted to RIDOT at least **FIVE (5)** weeks before this final completion deadline.

The **CONSULTANT** shall submit monthly written progress reports during the course of the work. As a minimum, bi-weekly status calls will be needed between the **CONSULTANT** Project Manager and the RIDOT Project Manager as well as other staff as appropriate.

**-END OF SCOPE-**

**INVESTMENT-GRADE TRAFFIC AND REVENUE STUDY FOR RIDOT TRUCK TOLLING PROGRAM**

COST PROPOSAL: ITEMIZED PER TASK

DATE SUBMITTED	
CONSULTANT NAME	
Street Address / PO Box	
City/State/Zip	
(Area Code) Phone #	
Authorized Agent/TITLE	

**CONSULTANTS 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**

<u>TASK</u>	<u>TASK DESCRIPTION</u>	<u>COST PER TASK</u>	<u>ASSOCIATED DELIVERABLE(S) / MILESTONES</u>	<u>DELIVERABLE(S) DUE DATE</u>
1	Project Initiation; Data Assembly and Review	\$		
2	Field Data Collection Program	\$		
3	Economic Growth Analysis	\$		
4	Truck Travel Demand Model	\$		
5	Rate Sensitivity and Diversion Analysis	\$		
6	Base Case Revenue Estimates	\$		
7	Sensitivity Tests and Risk Assessments	\$		
8	Documentation and Meetings	\$		
<b>TOTAL CONTRACT</b>		<b>\$</b>		

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