



REQUEST FOR PROPOSAL (RFP) – BID# 7550288

**ROUTE 6/10 MULTIMODAL CORRIDOR IMPROVEMENT PROJECT - NEPA AND
CONCEPTUAL DESIGN**

SUBMISSION DEADLINE: Friday, March 11, 2016 at 11:30 AM (ET)

PRE-BID CONFERENCE: NO
 YES **Tuesday, February 23, 2016 at 11:00 AM (ET)**

Mandatory: NO

YES: Any vendor who intends to submit a bid proposal in response to this solicitation must have its designated representative attend the mandatory pre-bid conference. The representative must register at the pre-bid conference and disclose the identity of the vendor whom he/she represents. Because attendance at the pre-bid conference is mandatory, a vendor's failure to attend and register at the pre-bid conference shall result in disqualification of the vendor's bid proposal as non-responsive to the solicitation.

Location: RI Department of Administration -

One Capitol Hill - Conference Room B (2nd Floor)
Providence, RI

Buyer Name: 
Title: CHIEF BUYER

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

SURETY REQUIRED: NO

BOND REQUIRED: NO

DISK BASED BID: NO
 YES: See attached Disk Based Bidding Information

NOTE TO VENDORS:

Vendors must register on-line at the Rhode Island Division of Purchases website at www.purchasing.ri.gov. Offers received without the completed 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
Intermodal Planning Section

**REQUEST FOR LETTERS OF INTEREST/ TECHNICAL
PROPOSALS**

Letters of Interest / Technical Proposals (LOI/TECH) are hereby solicited by the State of Rhode Island's Department of Administration's Division of Purchases on behalf of the Rhode Island Department of Transportation (RIDOT) to acquire professional consultant services for:

RFP 7550288

**Route 6/10 Multimodal Corridor Improvement
Project NEPA Documentation and Conceptual Design
M/DBE GOAL: 10 %**

*The Rhode Island Department of Transportation (RIDOT) has identified the Route 6 and Route 10 highways as priority corridors for infrastructure and transit investment. The **Route 6/10 Multimodal Corridor Improvement Project (6/10 Project)** will evaluate a transportation corridor to include dedicated transit facilities and roadway and bridge infrastructure to improve mobility within the Providence metropolitan area. Additionally, RIDOT and Rhode Island Public Transit Authority (RIPTA) have collaborated on an initial planning analysis to develop a range of potential transit alternatives along these corridors. This effort consists of potential screening criteria of transit modes and routing.*

As governed under the National Environmental Policy Act (NEPA), the proposed 6/10 Project must first undergo an environmental review to determine if there are any potential impacts on the environment as a result of this action. The NEPA statute sets forth a process to evaluate potential impacts as well as requirements for documentation of decisions resulting from that process. The key elements of the process include determining the project's purpose and need and the range of alternatives to be considered; determining potential environmental impacts; coordinating with relevant agencies; involving the public; determining mitigation for unavoidable impacts; and documentation of the analysis and decisions through an environmental impact statement, an environmental assessment, or a categorical exclusion supported by the administrative record.

*In line with the Scope of Services defined herein, RIDOT wishes to procure consultant services to assist in the NEPA review, preparation and documentation with regard to the proposed **6/10 Project**.*

*RIDOT anticipates the award of **ONE (1) CONTRACT** that will have a contract completion date of **TWELVE (12) MONTHS** after the date of authorization to commence work.*

CONFLICT OF INTEREST: All Respondents to this RFP shall be advised that the successful 6/10 NEPA CONSULTANT and any sub-consultant(s) will be precluded from participating in the 6/10 PRELIMINARY ENGINEERING CONTRACT concurrently solicited at this time.

LOI/TECH submittals received must be in accordance with guidelines as outlined in this request and the State's General Conditions of Purchase which can be accessed online through the *Rhode Island Vendor Information Program*, or "RIVIP" as it is known, @

<http://www.purchasing.ri.gov>

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

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

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 three-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.
- Services provided by the successful Consultant - 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 Consultant 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 Consultant 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 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-consultant(s) proposed are clearly identified with the type of work to be performed in response to this RFP.
- Submissions in response to this solicitation are considered to be irrevocable for a period of not less than one hundred twenty (120) days following the established due date and may not be withdrawn without the express written permission of the State Purchasing Agent.

- Responses misdirected to other State locations or which otherwise are not received by the State Division of Purchases by the established due date for any cause will be determined to be late and will not be considered. The office clock, for the purpose of registering the arrival of a document, is in the reception area of the Department of Administration (DOA), Division of Purchases, One Capitol Hill, Providence, Rhode Island.
- Respondents must possess a working familiarity with the guidelines outlined in the Rhode Island Standard Specifications for Road and Bridge Construction, 2010 Edition, which is currently available on-line @ www.dot.state.ri.us.
- Persons or consulting firms practicing engineering services in the State of Rhode Island must possess a proper registration and/ or Certificate of Authorization at the time of submission in accordance with RI Gen Laws 5-8. A copy of the current Rhode Island Certificate of Authorization FOR THE CONSULTANT FIRM *and* current Rhode Island registrations(s) FOR THE INDIVIDUAL(S) who would perform the specified engineering services required must be included in Proposal submission.

The State Board for Design Professionals can be contacted as follows:

**Board for Design Professionals
1511 Pontiac Avenue Building
68-2
Cranston, RI 02920**

**Telephone: (401) 462-9592
Fax: (401) 462-9532
Website: www.bdp.state.ri.us**

- Respondents are advised that all materials submitted to the State for consideration will be considered to be public records as defined in RI Gen Laws 38-2, without exception, and will be released for inspection immediately upon request once an award is made.
- In accordance with RI Gen. Laws 7-1.1-1401, no **foreign corporation** (a corporation established other than in Rhode Island) has the right to transact business in this State until it has procured a Certificate of Authority to do so from the Office of the Secretary of State (401) 222-2357.
- This contract has been assigned a 10% Minority/Disadvantaged Business Enterprise (M/DBE) Goal. In order to comply with this requirement, a detailed disclosure of RI certified M/DBE firm(s) and proposed task assignment(s) to be performed must be included in LOI/TECH Submission along with a copy of current state certification letter(s). M/DBE certifications must be approved at the time of submission to ensure M/DBE compliance and availability. The total cost of the M/DBE work assigned must meet or exceed 10% of the Total Contract costs. Be advised that this requirement will apply for the lifetime of the contract; the PRIME Consultant will be responsible to submit a MONTHLY DBE UTILIZATION REPORT documenting aggregated TOTAL contract costs and TOTAL M/DBE participation to date. TWO (2) copies of the M/DBE Reporting documentation will be forwarded directly to the RIDOT/Office of Business and Community Resources as well as a copy included with pertinent monthly progress report/ invoice package.

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

**RIDOT Office of Business and Community Resources
Room 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 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 Firm.
- **LOBBYING FORM:** Enter known project information on PAGE 1 (DESCRIPTION etc.); Form must be completed and signed by an authorized agent of your Firm.
- **CONFLICTS DISCLOSURE STATEMENT:** In line with directions stated, completed FORM(s) must be signed and submitted accordingly. At a minimum, FORM shall be completed by Board of Directors and key personnel to be assigned to Project.
- **W-9 FORM:** Must be completed and signed by authorized agent of your Firm. ***Form may be downloaded @ www.purchasing.ri.gov***
- **CERTIFICATION FOR TITLE VI ASSURANCE:** Shall be fully-completed and submitted accordingly

All FORMS (except W-9) are attached to solicitation and shall be completed and copies submitted along with each 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 PROPOSALS:

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

- **Letter of Transmittal:** A Letter of Transmittal must accompany each response signed by an owner, officer, or other authorized agent of the consulting firm.
- **RIVIP BIDDER CERTIFICATION FORM:** ALL THREE (3) Pages **MUST** accompany each response submitted. Failure to make a complete submission of this document may result in disqualification. **(SEE GENERAL NOTIFICATIONS).**
- **Proposal Format:** LOI/TECH must be bound or contained in a single volume. All documentation submitted with the proposal must be contained in that single volume. LOI/TECH must be prepared on **8 1/2" x 11"** letter sized white paper printed on both sides sequentially numbered and limited in length to a total of **25 PAGES** – exclusive of table of contents and exhibits, which must be tabbed and included in the bound submission. Font size shall be a minimum of **12 POINTS** for all submittals. ALL documentation in excess of **25 PAGE MAXIMUM** will be removed and discarded. LOI/TECH must contain a Table of Contents that cross-references each requirement with specific pages in the LOI/TECH submission.
- **RIDOT Scope of Work and Addenda:** Respondents shall include as part of LOI/TECH Proposal submission a copy of RIDOT'S original RFP and any supplemental Addenda, as applicable.

Respondents are encouraged to PLEASE LIMIT THE SIZE AND VOLUME of the PROPOSAL provided; the evaluation process will be based on the content of the 25 PAGE technical narrative which should be focused on the defined selection criteria cited in this RFP; Respondents are encouraged to concentrate on this 25 PAGE entry in outlining/preparing their submission.

Additionally, 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.

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. The **TECHNICAL PROPOSAL** submission should contain a Table of Contents that cross-references each RFP requirement with specific page cited. Failure to provide proposals in the exact order with a Table of Contents will be disqualified.

RELEVANT EXPERIENCE/ PAST PERFORMANCE/ CURRENT WORKLOAD

- **Company Introduction:** Respondents are to include a complete description of their consulting firm and other relevant information documenting organizational structure and expertise specific to the services requested.
- **Relevant Firm Experience:** Respondents must demonstrate a minimum of **FIVE (5) YEARS** environmental planning and documentation experience as well as describe the project experience of the Project Team. Respondents must also demonstrate a minimum of **FIVE (5) YEARS** transit route planning and scheduling as well as describe similar project experience of the Project Team.
- **Project Listing:** Respondents are to include a project listing of projects similar in concept to the scope of services defined herein that have been completed within the last **TEN (10) YEARS**. Respondents may submit a **maximum of THREE (3)** Projects for review.

With respect to each project cited, Respondent shall provide the client names, addresses, and contact information (Phone & E-mail). This information is required not only for the Prime Respondent but also for any key Sub-consultants to be assigned to project. By so listing, specific permission is granted to RIDOT to contact said individuals to verify the satisfactory performances of services provided. Respondent acknowledges that RIDOT is granted specific permission to discuss past performance of Respondent and any of its proposed team members on any projects.

- **Current Workload:** Respondents must include a current listing of projects contracted to perform and their anticipated completion dates. This may include only those projects assigned to your environmental and/or planning divisions.
- **Performance Record:** RIDOT will take into consideration not only the quality of previous work performed but also the timeliness of requested submissions, adherence to project schedule, and responsiveness to requests.

STAFF QUALIFICATIONS / PROJECT TEAM

- **Staff Qualifications:** RIDOT seeks the services of experienced environmental and/or planning consulting firms to assist in the conceptual engineering and NEPA documentation for the **6/10 Project**.

The consulting firm selected must designate a **Project Manager** with the authority and expertise to assign personnel to specific tasks and to schedule tasking to complete tasks as required. The Project Manager must be flexible in his/her approach to this contract.

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

- **Change in Personnel:** Management of this contract will be under RIDOT'S Intermodal Planning Section responsible for approval of all staff assigned to the project. RIDOT must be informed of any changes in personnel at any time during the contract term. RIDOT reserves the right to reject personnel and/or if in the event key personnel are no longer available, RIDOT reserves the right to terminate the contract.

- **Organizational Chart** of the proposed project team must be included. The Respondent shall describe how the proposed organizational structure will address the full scope of this project. Project Management and assigned services shall be documented on chart provided. Additionally, please include the name of Project Manager assigned each organization cited on chart.
- **Standard Federal Form 330** (effective 6/8/04) must be completed by the Prime Respondent only and included in each LOI/TECH Proposal. Access to this current form may be obtained through the following website: www.gsa.gov. *NOTE: If Prime chooses to present key personnel resumes as part of SF 330, they need not be submitted separately within Proposal document. If resumes are part of SF 330 please reference accordingly in narrative.*
- **Sub-Consultant(s)**: The Respondent must disclose the identity and work arrangements established between the Prime and proposed Sub-Consultant firm(s), if any, to be assigned to this project. Full disclosure of the proposed project team requires 1) a listing of experienced personnel currently on staff, 2) resumes of proposed personnel to be assigned to this project, including identification of the key Project Manager, and 3) the approximate percentage of each employee's time to be expended on this project. **Please include Cover Letter from SUB to PRIME prefacing each sub-consultant proposal provided.**

PROJECT APPROACH AND WORK PLAN AND PROJECT SCHEDULE

- **Project Approach**: Respondents shall provide a detailed technical synopsis of their proposed services including any technical issues that will or may be confronted especially with regard to the direction received by FTA regarding the Class of Action for the project throughout the NEPA process.
- **Work Plan and Project Schedule**: A detailed work plan and proposed project schedule that addresses each of the project requirements as described in the attached Scope of Work.

FIRM'S SUITABILITY TO PROJECT

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

M/DBE PARTICIPATION

- **M/DBE Requirement**: The contract has been assigned a 10% Minority/Disadvantaged Business Enterprise (M/DBE) Goal. In order to comply with this requirement, a detailed disclosure of RI certified M/DBE firm(s) and proposed task assignment(s) to be performed **MUST be included in LOI/TECH PROPOSAL SUBMISSION** along with a copy of current state certification letter(s). M/DBE certifications must be *approved* at the time of technical proposal submission to ensure DBE compliance and availability.
- **Supplemental Technical Information**: Respondents are encouraged to submit any other technical information deemed useful to provide RIDOT with sufficient information to evaluate the consulting firm's qualifications to perform the requested services.

Once a Final Selection recommendation have been determined, the **selected** Consulting Firm will be required to submit the following documentation to RIDOT for review and acceptance **prior to contract award**:

- **Commitment to Affirmative Action**: Respondents must provide a copy of their current Affirmative Action Plan to the State EEO Office for compliance review and approval.

- **Financial Status:** In line with RIDOT TAC-0255, "Financial Statements for Professional Services Contracts", the selected Consultants will be required to submit a **Financial Review Report** to RIDOT for review. All financial documentation submitted will be kept confidential and on permanent file in the Contract Administration Office.

PRE-PROPOSAL MEETING

Interested Respondents are encouraged to attend a public Pre-Proposal Meeting to be held on TUESDAY, FEBRUARY 23, 2016 @ 11:00 AM at the RIDOA/ Office of Purchases, Conference Room "B", 2nd Floor, One Capitol Hill, Providence, RI 0290.

Any questions relative to the SOW as well as any questions regarding RIDOT procedures and proposal format will be addressed at the Pre-Proposal Meeting. A summary of the Pre-Proposal Meeting will be posted on the Internet as an addendum to this solicitation. It is the responsibility of all interested parties to download this information.

Persons requesting the services of an interpreter for the hearing impaired may obtain those services by calling (401) 222-4971 forty eight (48) hours in advance of the scheduled Meeting.

ON-LINE QUESTIONS

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 5, 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.

SUBMISSION REQUIREMENTS & DUE DATE

Upon review of the Scope of Work (SOW), an "Original" and **FIVE (5) copies** of completed **LOI/TECH PROPOSAL** submissions should be sent to the Division of Purchases by the specified deadline to the address listed below. RIDOT requires that the Proposal submission also be submitted not only in hard copy form but also on CD-ROM attached to the inside cover of each Proposal submission.

Requested documentation is to be either mailed or hand delivered in a sealed envelope marked: "RFP 7550288 - Route 6/10 Multimodal Corridor Improvement Project NEPA Documentation and Conceptual Design" by **MARCH 11, 2016 no later than 11:30 A.M.** to:

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

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

EVALUATION AND SELECTION:

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

<p>1. PROJECT APPROACH</p> <ul style="list-style-type: none"> • Did technical approach provide a full understanding of the project scope and potential tasks and services? • Did the Consulting Firm address their response time and turnaround capabilities? • Was a detailed work plan and proposed project schedule provided? Were all projects requirements addressed? 	<p>0 - 25 POINTS MAX</p>
<p>2. STAFF QUALIFICATIONS</p> <ul style="list-style-type: none"> • Does the Consultant have at least FIVE (5) YEARS of environmental planning and documentation? • Does the Consultant have at least FIVE (5) YEARS of transit route planning and scheduling? • Did the Consultant provide a maximum of THREE (3) similar projects completed within the last TEN (10) YEARS? • Were references and contact information provided for each project presented? • Did the proposed key Sub-Consultants provide the similar requirements and contact information? • Was an organizational chart provided? Were all anticipated technical services represented? 	<p>0 - 25 POINTS MAX</p>
<p>3. PAST PERFORMANCE</p> <ul style="list-style-type: none"> • With regard to the similar projects presented and contacts listed, how was the Consultant's performance rated in terms of quality of work, timeliness of submissions, adherence to project schedule, coordination with stakeholders and responsiveness to requests? 	<p>0 - 20 POINTS MAX</p>
<p>4. RELEVANT EXPERIENCE</p> <ul style="list-style-type: none"> • Was project experience similar in nature to services anticipated in Scope? • Was sub-consultant experience relevant? • Does experience presented by Prime and Sub-Consultants demonstrate a working knowledge of the federal NEPA process, all State and Federal transportation laws as well as experience working for RIDOT? 	<p>0 - 10 POINTS MAX</p>
<p>5. FIRM'S SUITABILITY TO LEVEL OF PROJECT COMPLEXITY</p> <ul style="list-style-type: none"> • Does the Prime and Sub-Consultant(s) possess the technical capacity suitable to the level of project complexity anticipated under this Project? • Does the Prime and Sub-Consultant(s) possess the ability to handle all elements addressed in the project scope in a timely and responsive manner? 	<p>0 - 10 POINTS MAX</p>
<p>6. CURRENT WORKLOAD</p> <ul style="list-style-type: none"> • Was a current listing of active projects provided along with their anticipated completion dates? 	<p>0 - 5 POINTS MAX</p>
<p>7. M/DBE PARTICIPATION</p> <ul style="list-style-type: none"> • Were approved RI M/DBE Certifications provided for each M/DBE firm proposed? • Is the PRIME a RI Certified M/DBE Firm? • If not, how many M/DBE Firms were proposed? To provide what services?? 	<p>0 - 5 POINTS MAX</p>
<p style="text-align: right;">MAXIMUM SCORE:</p>	<p>100 POINTS MAX</p>

Upon completion of the written evaluation of all LOI/TECH submissions, the Technical Review Committee may, at its discretion, contact the top-ranked candidate consulting firm(s) to be called for formal interviews. Such interviews will be factored into the final evaluation and ranking of candidates.

The TEC'S final selection recommendations will then submitted to the RIDOT Advisory Consultant Selection Panel for consideration and approval. With the support of the Director of Transportation, the final selection recommendations will be presented to the State's Architectural / Engineering Consultant Services Selection Committee for consideration. Upon final selection approval from the Director of Administration, all respondents will be notified that a final selection has been made.

NEGOTIATION / AUDIT STATUS

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

For information regarding all documents required for INDIRECT COST RATE submissions, the **RIDOT AUDIT HANDBOOK** can be found on the RIDOT website @ www.dot.ri.gov listed under the "Contractors and Consultants" link.

CONTRACT AWARD

The successful Respondent must be prepared to provide necessary data to support all costs associated with project expenditures.

Notwithstanding the above, the State reserves the right to accept or reject any or all options, proposals, 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.

The State may, at its sole option, elect to require presentation(s) by respondents clearly in consideration for award. Other submissions, certifications, or affirmations may be required, as appropriate.

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

SCOPE OF WORK

FOR

Route 6/10 Multimodal Corridor Improvement Project NEPA Documentation and Conceptual Design

Project Overview

The Rhode Island Department of Transportation (RIDOT) has identified the Route 6 and Route 10 highways as priority corridors for infrastructure and transit investment. The **Route 6/10 Multimodal Corridor Improvement Project (6/10 Project)** will evaluate a transportation corridor to include dedicated transit facilities and roadway and bridge infrastructure to improve mobility within the Providence metropolitan area. Additionally, RIDOT and Rhode Island Public Transit Authority (RIPTA) have collaborated on an initial planning analysis to develop a range of potential transit alternatives along these corridors. This effort consists of potential screening criteria of transit modes and routing.

TASK 1: PROJECT MANAGEMENT AND ADMINISTRATION

Objectives:

- Y Monitor, organize, and control manpower assignments, work effort, submission of deliverables, schedules and costs associated with the team's effort.
- Y Maintain continual control of the progress of work as part of this agreement and ensure that all elements are being coordinated among all interested parties in accordance with direction from RIDOT.
- Y To ensure that the 6/10 Project is developed in a manner that is consistent with RIDOT's quality standards.

Work Elements:

- 1.1 Project Procedures Manual – Prepare a project procedures manual that defines project goals, assigns project responsibilities, details the scope of services, and defines the Consultant and RIDOT and prepare meeting minutes.
- 1.2 Coordination Meetings – Prepare for and conduct:
 - Weekly project management meetings with the consultant and sub-consultants
 - Weekly project coordination meetings with RIDOT and key stakeholders, including, but are not limited to, Rhode Island Public Transit Authority (RIPTA); the municipalities within the Providence metropolitan area; and the Rhode Island MPO.
- 1.3 Progress Reports/Invoices – Develop monthly invoices and progress reports.
- 1.4 QA/QC – Develop a Quality Assurance/Quality Control (QA/QC) Manual for approval by RIDOT; all deliverables and materials submitted will adhere to the approved QA/QC Manual.

TASK 1 Deliverables:

- Y Project Procedures Manual
- Y Meeting Notices, Agendas, Materials and Minutes
- Y Monthly Progress Reports and Invoices
- Y Monthly Project Schedule Updates
- Y QA/QC Manual

TASK 2 – DATA COLLECTION

Objectives:

- Y Gather available information on existing conditions along the transportation corridors.

Work Elements:

- 2.1 Base Control Survey including Utilities – Gather available survey information for the transportation corridors.
- 2.2 Existing Geotechnical Data – Gather available soil survey information along the transportation corridor alternatives.
- 2.3 Traffic Counts – Conduct traffic counts including vehicular, bicycle and pedestrian movement along key intersections and segments of the transportation corridor alternatives.
- 2.4 Existing Structural Analysis/Inspection – Gather existing structural inspection reports.
- 2.5 Origin/Destination Data – Gather available origin/destination data and/or boarding/alighting information from RIPTA to develop ridership projections for the Project.
- 2.6 Local Comprehensive and State Guide Plans – Gather and review all published Providence metropolitan area comprehensive plans and state guide plan elements included in this transportation corridor.

TASK 2 Deliverables:

- Y Documented survey plans and reports
- Y Documented Geotech Data

- Y Documented Traffic Counts
- Y Documented Structural Report
- Y Documented RIPTA bus Ridership Origin/Destination Data
- Y Documented Local Comprehensive and State Guide Plans

TASK 3 – OUTREACH

Objectives:

- Y Provide an interactive, collaborative and credible public process.
- Y Solicit input from local citizens, local and regional government agencies and interest groups.
- Y Provide public ideas and recommendation that can inform the design.

Work Elements:

- 3.1 Public and Agency Involvement Plan – Prepare a public and agency involvement plan outlining the program to engage key stakeholders, community and business interests, the public, environmental justice communities, and federal, state and local agencies. The major public involvement tasks should include but not be limited to:
 - Scoping
 - Environmental Justice Outreach and Analysis
 - Stakeholder Interactions
 - Federal, State and Local Agency Coordination
 - Public Outreach Opportunities
 - Web/Social Media/Traditional Media
 - Documentation

The plan will also include how the project will adhere to Section 508 compliance on all public documents and communications.
- 3.2 Community Outreach Program – Prepare a program that engages the public and provides an efficient way to share information between the consultant team and the public.
- 3.3 Public Information Meetings – Assist RIDOT in holding general public information meetings during the NEPA and Conceptual Design Phase. The consultant will consider, at a minimum, the following meetings:
 - Public Information Meeting (4 meetings)
 - Informal Neighborhood/Local Official Meetings (4 meetings)
 - Draft EA/EIS Meetings/Hearings (2 meetings)
- 3.4 Stakeholder and Interagency Meetings – Meet with stakeholders identified in Task 1.3 above, and other state and local public agencies as required.
- 3.5 Project Website – Provide a project website that includes project information and up-to-date project development updates including public meeting updates.

TASK 3 Deliverables:

- Y Public Involvement Plan
- Y Meeting notes, handouts and graphics
- Y Project Website

TASK 4 – ALTERNATIVES ANALYSIS

Objectives:

- Y Conduct analysis of transportation corridor alternative alignments and station locations for a minimum of three to five alternatives excluding the No-Build alternative
- Y Identify the Proposed Preferred Alternative for the Project

Work Elements:

For the 6/10 Project, RIDOT has completed a preliminary planning phase to assist in the NEPA phase. The work completed to date has focused on project development activities to assist the NEPA/Conceptual Design phase of the Project once a Consultant was selected. The NEPA/Conceptual Design Consultant will receive these initial assessments at the kick-off meeting for this Project and will continue the Alternatives Analysis process through to the successful selection of a Preferred Alternative. The Alternatives Analysis task will be supported by the following work elements:

- 4.1 Screening Criteria – Develop a set of screening criteria consistent with an FTA project development process including both a Tier I and Tier II screening to include traffic operations.
- 4.2 Conceptual Designs – Refine and update the conceptual layouts to support the Alternatives Analysis process.
- 4.3 Transit Mode – Develop list of modes that could be considered for the Project including potential for Bus Rapid Transit, Light Rail, Heavy Rail, Trolley Bus, Traditional Bus, and others that could be considered for the proposed potential alignment of the 6/10 Project.
- 4.4 Tier I and Tier II Alternatives Analyses – Develop an initial range of reasonable alternatives considering mode, alignment, station locations, and potential operating plans. Develop a tiered Alternatives Analysis, identifying a minimum of three to five alternatives in addition to the No-Build alternative to advance for further consideration.
- 4.5 Order-of-Magnitude Capital and Operation and Maintenance (O&M) Cost Estimates – Develop capital and operating and maintenance costs for the Tier II Alternatives.
- 4.6 Travel Demand Forecasting – Develop ridership estimates for the Tier II Alternatives utilizing the State’s Metropolitan Planning Organization’s (MPO) updated travel demand model (TDM) and federal STOPS model.
- 4.7 Preferred Alternative – Make recommendation for a Preferred Alternative based on the Tier I and Tier II screening process.

TASK 4 Deliverables:

- Y Alternatives Analysis Technical Report (including identification of a preferred alternative)

TASK 5 – OPERATIONS ANALYSIS / SERVICE PLANNING

Objectives:

- Y Develop operating plans for the proposed 6/10 Project alternatives that support the Alternatives Analysis in Task 4.
- Y Develop operating plans for a modified future RIPTA bus service adjacent to (and potentially along) the 6/10 Project.
- Y Develop traffic circulation analysis to demonstrate impacts of alternatives considered for the Project and support the selection of the Locally Preferred Alternative.

Work Elements:

- 5.1 Service Analysis – Work with RIDOT and RIPTA to document the existing transit service mapping within the study area (including RIPTA and any privately operated services). Use the existing service maps to demonstrate the need for an expanded transit corridor including justification within the Project Purpose and Need (Task 6.1). For each alternative, propose changes to the surface bus service network to support the introduction of a 6/10 Project; changes should be designed to maximize transit ridership while maintain the quality of service for local trips within the corridor.

- 5.2 Proposed Service Plan – Work with RIPTA to develop transit service plan alternatives including a service plan layout with options to include RIPTA service within the 6/10 Project alignment and prepare a layout that envisions RIPTA continuing to operate within mixed-traffic; service running times and schedule; frequency of service and vehicle needs. Operating plan must also include modifications to nearby routes or the addition of new feeder routes which may intersect the corridor.
- 5.3 Pedestrian/Bicycle and Traffic Circulation Analysis – RIDOT is evaluating the traffic impacts along Route 6/10 between the Route 6/10 interchange and the Interstate 95 interchange for existing conditions and up to four (4) variations of proposed final conditions based on the inclusion of a fixed transit guideway and a reduction in capacity. This analysis is being done in VISSIM, SYNCHRO (v8.0 or higher), and AASIDRA will need to be reviewed, verified and potentially built upon. In addition to this analysis, the NEPA/Conceptual Design consultant will need to prepare and document the vehicular and pedestrian/bicycle flow analysis for the study area roadways and intersections for the future No Build and each Build alternative. These estimates will be prepared for both the weekday morning and weekday evening peak hours to support the Alternatives Analysis task. Pedestrian/Bicycle flow will also be calculated at key intersections and corridor segments under the future build scenarios. Both positive and negative impacts on traffic will be identified.
- 5.4 Operations Report – Prepare an operations report for the Preferred Alternative identifying the following service attributes:
 - Vehicle running times
 - Service Frequencies
 - Peak and total fleet requirements
 - Daily and annual vehicle hours of service
 - Vehicle maintenance window requirements
 - Operational capacity requirements
 - Infrastructure needs to support the operating plan (including signals, communication and power systems, if appropriate)
 - Operational impact on future transportation system expansion

TASK 5 Deliverables:

- Y RIPTA Bus Operations Report
- Y Traffic Circulation Analysis Report
- Y 6/10 Project Operations Report

TASK 6 – NEPA DOCUMENTATION

Objectives:

- Y Identify and document all required environmental approvals at the local, state and federal levels.
- Y Prepare, review, and analyze environmental data from existing and proposed conditions.
- Y Identify appropriate mitigation approaches to address any projected negative environmental impacts.
- Y Prepare NEPA documents for public review, in accordance with FTA’s NEPA Regulations

Work Elements:

- 6.1 Purpose and Need – Update and finalize the draft Purpose and Need Statement prepared for the Project by RIDOT and RIPTA.
- 6.2 NEPA Class of Action – Work with FTA and RIDOT to prepare a proposed Class of Action for the Project through the NEPA process. For the purposes of this Scope of Work, assume a Draft and Final Environmental Impact Statement (EIS) would be required.
- 6.3 Regulatory Requirements – Discuss how the proposed Project would comply with the regulatory requirements of each environmental resource affected.

- 6.4 Meetings and Agency Coordination – Assume FTA as lead federal agency, engage the FTA at the completion of each Project milestone during the course of the project; Coordinate with FTA, RIDOT and other necessary agencies (such as FHWA, a potential cooperating agency) during the preparation of Technical Reports that support the NEPA compliance. The Consultant will assume a minimum of five environmental agency meetings to confirm methodology, on-going analysis and draft results prior to finalizing draft and final NEPA documentation.
- 6.5 NEPA Initiation Package – This subtask pertains specifically to initial coordination with FTA to accomplish a general approval of the overall scope of work, clearly define agency roles and responsibilities, and identify any agency specific issues/concerns regarding the Project. While this scope of work is written assuming an EIS, the Consultant will need to coordinate with FTA staff toward a final decision on the appropriate NEPA Class of Action. The consultant will facilitate FTA coordination and provide strategic guidance to RIDOT.
- 6.6 Request for Entry into Project Development – Prepare the request to enter the Project Development (PD) phase under MAP-21 consistent with FTA’s guidelines.
- 6.7 Scoping (assuming EIS) – prepare Notice of Intent (NOI) to be published in the Federal Register; lead preparation for agency scoping meetings and public scoping meetings; prepare scoping report that will document the outreach process and incorporate comments received into the environmental process.
- 6.8 Affected Environment and Environmental Consequences – Develop the technical approach and methodology for the NEPA review process and submit for RIDOT approval. Determine the affected environment and identify the potential impacts to environmental resources that would be impacted or benefited by the Project. Resources to be studied as part of the NEPA evaluation process for this Project may include, but are not limited to the resources listed below. A final list will be determined in conjunction with FTA in the detailed project work plan, budget and schedule. Consultant will develop a stand-alone technical report for each resource that will fully document existing conditions, impacts of the No-Build and Build Alternatives, methodology, and include as appendices all references cited and other technical supporting material. These technical reports will be the basis for the EIS.
 - Land Use
 - Socioeconomic Conditions
 - Environmental Justice Populations (in compliance with Executive Order 12898)
 - Traffic and Transportation Systems
 - Air Quality
 - Noise
 - Vibration
 - Water Quality/Stormwater
 - Wetlands
 - Waterways
 - Fish, Wildlife and Plants
 - Parks and Recreation Areas (Section 4(f) of the U.S. Department of Transportation Act of 1966)
 - Visual Environment
 - Historic, Architectural, Archaeological and Cultural Resources (Section 106 of the National Historic Preservation Act)
 - Hazardous Materials and Solid Waste
 - Safety and Security

The Consultant, in conjunction with RIDOT and FTA, will also identify strategies to avoid, minimize or mitigate identified impacts. This will include coordination with appropriate resource agencies throughout the NEPA process for impacts identified during the development of the technical reports to support the NEPA Documentation. Specific avoidance, minimization and mitigation strategies will be developed and included as necessary by resource area, based on the following approaches:

- Avoiding the impact altogether by not taking a certain action or parts of an action
- Minimizing impacts by limiting the degree or magnitude of the action and its implementation
- Rectifying the impact by repairing, rehabilitating, or restoring the affected environment

- Reducing or eliminating the impact over time by preservation and maintenance operations during the life of the action
 - Compensating for the impact by replacing or providing substitute resources or environments
- 6.9 Construction Impacts – Identify construction impacts of the Project and a proposed sequencing that minimizes impact. For unavoidable impact, develop proposed mitigation.
- 6.10 Cumulative Impacts and Benefits – Consultant will develop a scope for the Cumulative Impacts analysis that defines the geographic extent and time frame of the analysis, prior projects and reasonably foreseeable future projects to include in the analysis, and methodology for conducting the analysis. Following approval by FTA, Consultant will prepare the draft EIS section.
- 6.11 Public Circulation - Print and distribute the draft and final document, CD, and Executive Summary in compliance with Section 508 and NEPA regulations.
- 6.12 Responses to Comments on Draft NEPA Documentation – Document all comments received on the draft NEPA document and prepare a response to comments to be included in the final NEPA document.
- 6.13 NEPA Documentation – For the purposes of this Scope of Work, assume a Draft and Final Environmental Impact Statement (EIS) would be required. Consultant shall develop a draft detailed outline of the DEIS for RIDOT and FTA approval. The Consultant will also prepare a Record of Decision (ROD) based on comments received during public and agency circulation of FEIS. The ROD should include a summary of responses to comments received, as well as a summary of disposition of comments.
- 6.14 Section 106 –
- Existing Conditions:
- Assist RIDOT in establishing an Area of Potential Effect (APE)
 - Review and obtain existing cultural and historic resource information
 - Identify and map previously designated and inventoried cultural and historic resources and field verify
 - Include an evaluation for National Register eligibility of resources not previously identified
 - Obtain a State Archeologist permit
- Environmental Consequences
- Determine the nature and extent of potential impacts within areas that have a moderate to high likelihood of containing archeological resources
 - Evaluate impacts to cultural and historic resources taking into consideration direct construction impacts, vibration impacts and changes in setting that adversely affect resources.
- Mitigation
- Describe proposed mitigation measures for impacts to archeological resources.
 - Describe proposed mitigation measures for impacts to cultural and historic resources.
 - If necessary, draft a Programmatic Agreement to handle any additional cultural, historic or archeological resources.

TASK 6 Deliverables:

- Y Proposed Class of Action
- Y Request Package for Entry into Project Development
- Y Technical Reports for Each Resource Studied
- Y Detailed EIS or EA Outline
- Y Draft NEPA Documentation (assume Draft EIS)
- Y Final NEPA Documentation (assume Final EIS)
- Y Draft Record of Decision (ROD) or Finding of No Significant Impact (FONSI)

TASK 7 – CONCEPTUAL DESIGN

Objectives:

- Y Develop a level of design sufficient for NEPA analysis and documentation
- Y Develop conceptual designs to support the New Starts Application

Work Elements:

Conceptual Design will build on the data collected in Task 2 and will include work elements that refine the conceptual designs of the transportation corridor alternatives completed in Task 4 to a level sufficient for NEPA Documentation analysis of the preferred build alternative. The additional design and cost estimation will be used to increase the accuracy of the impact assessment for the preferred alternative, and help clarify the nature, extent and cost of mitigation for adverse impacts, including ROW acquisition (if needed). The level of design modification of the preferred alternative shall be dictated by the comments received on the NEPA Documentation and the requirements of agencies to satisfy the NEPA process. The work elements for this task will include:

- 7.1 Design Criteria/Basis of Design – Develop a design criteria document for review and approval by RIDOT, FTA and cooperating agencies to be further refined as the project moves into the formal design phase.
- 7.2 Transit Guideway and Roadway – Develop roadway and transit guideway conceptual designs based on federal, state and local design standards; review horizontal and vertical alignments along the 6/10 Project corridor; develop conceptual sections; develop roadway and guideway conceptual layout plans including all off-site improvements; coordinate station locations, surface parking (where proposed), drop-off areas, and site access; determine ADA accessible routes as well as between specific site amenities (i.e. stations, platforms, parking, connections to local street network, etc.); identify major utility lines/corridors within the project area and prepare overview of utility requirements; determine preliminary wetland impacts and landscape considerations; assess preliminary drainage requirements including permitting requirements.
- 7.3 Station Layout – Develop station site access including pedestrian and bicycle access, parking layout (if proposed) at station locations, pick-up/drop-off areas and accommodations for transit bus access; Develop defining architectural features for the 6/10 Project; prepare architectural renderings of key focus areas for the Project for purposes of public outreach, stakeholder coordination and to demonstrate 3D visual elements of the Project; assess and prepare emergency egress code review and compliant pedestrian/bicycle access.
- 7.4 Capital and O&M Cost Estimates – Prepare rough order of magnitude capital and O&M cost estimates for the infrastructure elements of the project consistent with FTA New Starts level cost estimates and in support of the FTA New Starts application (prepared under separate contract).
- 7.5 Schedule – Develop cost-loaded implementation schedule demonstrating project cash flow and the project development phases including final design, construction, and commissioning.

TASK 7 Deliverables:

- Y Design Criteria
- Y Draft Conceptual Design Plans
- Y Final Conceptual Design Plans
- Y Capital Cost Estimates
- Y O&M Cost Estimates
- Y Project Schedule and Cash Flow

-END OF SCOPE-

CONSULTANTS

**CERTIFICATION REGARDING DEBARMENT, SUSPENSION
AND OTHER RESPONSIBILITY MATTERS
PRIMARY COVERED TRANSACTIONS FOR PRIME CONSULTANTS
AND LOWER TIER PARTICIPANTS (SUBCONSULTANTS ETC.)**

Appendix B - - certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion – Lower Tier Covered Transactions

INSTRUCTIONS FOR CERTIFICATION:

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.

2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

4. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, have the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.

5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.

6. The prospective lower tier participant further agrees by submitting this proposal that it will include this clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower Tier Covered Transaction," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Nonprocurement List.

8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

Certification Regarding Debarment, Suspension, ineligibility And Voluntary Exclusion - - Lower Tier Covered Participants

1. The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.

2. Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

**CERTIFICATION REGARDING DEBARMENT, SUSPENSION
AND OTHER RESPONSIBILITY MATTERS
PRIMARY COVERED TRANSACTIONS**

In accordance with the code of Federal Regulations, Part 49 CFR Section 29.510, the prospective primary participant _____ (name of Authorized Agent), _____ (Title), being duly sworn (or under penalty of perjury under the laws of the United States), certifies to the best of his/her knowledge and belief, that its principals:

- a. Are not presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from covered transactions by any Federal department or agency;
- b. Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
- c. Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification;
- d. Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.

Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall list exceptions below.

Exceptions will not necessarily result in denial of award, but, will be considered in determining contractor responsibility. For any exception noted, indicate below to whom it applies, the initiating agency, and the dates of the action. Providing false information may result in criminal prosecution or administrative sanctions. If an exception is noted the contractor must contact the Department to discuss the exception prior to award of the contract.

Signature of Authorized Agent

Date

Certification for Federal-Aid Construction/Consultant Contracts

IN ACCORDANCE WITH PUBLIC LAW 101-1210 SECTION 319 (DEPARTMENT OF THE INTERIOR AND RELATED AGENCIES) THE PROSPECTIVE PARTICIPANT CERTIFIES, BY SIGNING AND SUBMITTING THIS BID OR PROPOSAL, TO THE BEST OF HIS/HER KNOWLEDGE AND BELIEF, THAT:

1. No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any Federal agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
2. If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any Federal agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, Title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

The prospective participant also agrees by submitting his or her bid or proposal that he or she shall require that the language of this certification be included in all lower tier subcontracts, which exceed \$100,000 and that all such subrecipients shall certify and disclose accordingly.

(R.I.D.O.T. APPENDIX C)

INSTRUCTIONS FOR COMPLETION OF SF-LLL, DISCLOSURE OF LOBBYING ACTIVITIES

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to Title 31, U.S.C. Section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a covered Federal action. Use the SF-LLL-A Continuation Sheet for additional information if the space on the form is inadequate. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a followup report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, state and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in item 4 checks "Subawardee," then enter the full name, address, city, state and zip code of the prime Federal recipient. Include Congressional District, if known.
6. Enter the name of the Federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number, Invitation for Bid (IFB) number, grant announcement number, the contract, grant, or loan award number, the application/proposal control number assigned by the Federal agency). Include prefixes, e.g., "RFP-DE-90-001."
9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, state and zip code of the lobbying entity engaged by the reporting entity identified in item 4 to influence the covered Federal action.
(b) Enter the full names of the individual(s) performing services, and include full address if different from 10(a). Enter Last Name, First Name, and Middle Initial (MI).
11. Enter the amount of compensation paid or reasonably expected to be paid by the reporting entity (item 4) to the lobbying entity (item 10). Indicate whether the payment has been made (actual) or will be made (planned). Check all boxes that apply. If this is a material change report, enter the cumulative amount of payment made or planned to be made.
12. Check the appropriate box(es). Check all boxes that apply. If payment is made through an in-kind contribution, specify the nature and value of the in-kind payment.
13. Check the appropriate box(es). Check all boxes that apply. If other, specify nature.
14. Provide a specific and detailed description of the services that the lobbyist has performed, or will be expected to perform, and the date(s) of any services rendered. Include all preparatory and related activity, not just time spent in actual contact with Federal officials. Identify the Federal official(s) or employee(s) contacted or the officer(s), employee(s), or Member(s) of Congress that were contacted.
15. Check whether or not a SF-LLL-A Continuation Sheet(s) is attached.
16. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

Public reporting burden for this collection of information is estimated to average 30 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (03-48-00-46), Washington, D.C. 20503.

DISCLOSURE OF LOBBYING ACTIVITIES

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352 - 0348-0046
(see reverse for public burden disclosure)

<p>1. Type of Federal Action:</p> <p><input type="checkbox"/> a. contract <input type="checkbox"/> b. grant <input type="checkbox"/> c. cooperative agreement <input type="checkbox"/> d. loan <input type="checkbox"/> e. loan guarantee <input type="checkbox"/> f. loan insurance</p>	<p>2. Status of Federal Action:</p> <p><input type="checkbox"/> a. bid/offer/application <input type="checkbox"/> b. initial award <input type="checkbox"/> c. post-award</p>	<p>3. Report Type:</p> <p><input type="checkbox"/> a. initial filing <input type="checkbox"/> b. material change</p> <p>For Material Change Only: year _____ quarter _____ date of last report _____</p>
<p>4. Name and Address of Report Entity:</p> <p><input type="radio"/> Prime <input type="radio"/> 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 type="checkbox"/> no</p>		
<p>16. Information requested through this form is authorized by title 31 U.S.C. section 1352. this disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.</p>	<p>Signature: _____</p> <p>Print Name: _____</p> <p>Title: _____</p> <p>Telephone No: _____ Date: _____</p>	
<p>For Federal use Only:</p>		<p>Authorized for Local Reproduction Standard Form – LLL-A</p>

DISCLOSURE OF LOBBYING ACTIVITIES

CONTINUATION SHEET

Reporting Entity: _____ Page _____ of _____

CONFLICTS DISCLOSURE POLICY

To ensure that the Rhode Island Department of Transportation (RIDOT) maintains the continued confidence and trust of the people of Rhode Island in carrying out its mission, prospective vendors must disclose any family (or other personal) relationships, associations or connections that the vendor, its affiliates, or employees, may currently have with any RIDOT employee. A Conflicts Disclosure Statement shall be submitted to RIDOT from the following:

- Owners;
- Directors;
- Principals;
- Officers, board members, or individuals with corporate authority;
- If the vendor is a partnership, the applicant's partners;
- If the vendor is a limited liability company, its members and managers;
- Employees with decision-making authority, including executive directors, managers or individuals in a similar position with corporate authority; and
- Shareholders with a controlling interest.

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

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