Solicitation Information
July 27, 2016

RFP# 7550823

TITLE: Rhode Island Statewide Travel Demand Model Contract

Submission Deadline: Wednesday August 24, 2016 at 11:00 AM (Local Time)

Questions concerning this solicitation must be received by the Division of Purchases at thomas.bovis@purchasing.ri.gov no later than **8/5/2016 at 4 PM (LT).** Questions should be submitted in a *Microsoft Word attachment.* Please reference the RFP# on all correspondence. Questions received, if any, with responses will be posted on the Internet as an addendum to this solicitation. It is the responsibility of all interested parties to download this information.

SURETY REQUIRED: No
BOND REQUIRED: No

Thomas Bovis
Interdepartmental Project Manager

Applicants must register on-line at the State Purchasing Website at www.purchasing.ri.gov

Note to Applicants:
Offers received without the entire completed RIVIP Generated Bidder Certification Form attached may result in disqualification.

THIS PAGE IS NOT A BIDDER CERTIFICATION FORM

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Section 1: Introduction

The Rhode Island Department of Administration's Division of Purchases, on behalf of the Division of Planning, is soliciting proposals from a qualified firm or firms to provide the technical support necessary to ensure that the Rhode Island State Travel Demand Model (RISM) is maintained, updated, improved, and utilized in a timely manner. This Request for Proposals (RFP) seeks to identify potential providers for the above-mentioned services starting approximately September 1, 2016 until August 31, 2020. Contracts may be renewed at the discretion of the Division of Planning and based on the availability of funds (see Terms of Contract section for details). All proposals shall be in accordance with the terms of this Request for Proposals (RFP) and the State's General Conditions of Purchase, which may be obtained from the Rhode Island Division of Purchases at www.purchasing.ri.gov.

This is a Request for Proposals, 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 Division of Purchases pursuant to this Request, other than to name those who have submitted proposals.

INSTRUCTIONS AND NOTIFICATIONS TO OFFERORS:

1. Potential vendors are advised to review all sections of this RFP carefully and to follow instructions completely, as failure to make a complete submission as described elsewhere herein may result in rejection of the proposal.
2. Alternative approaches and/or methodologies to accomplish the desired or intended results of this procurement are solicited. However, proposals which depart from or materially alter the terms, requirements, or scope of work defined by this RFP will be rejected as being non-responsive.
3. All costs associated with developing or submitting a proposal in response to this RFP, or to provide oral or written clarification of its content shall be borne by the vendor. The State assumes no responsibility for these costs.
4. Proposals are considered to be irrevocable for a period of not less than 120 days following the opening date, and may not be withdrawn, except with the express written permission of the State Purchasing Agent.
5. All pricing submitted will be considered to be firm and fixed unless otherwise indicated herein.
6. Proposals misdirected to other state locations, or which are otherwise not present in the Division of Purchases at the time of opening for any cause will be determined to be late and will not be considered. For the purposes of this requirement, the official time and date shall be that of the time clock in the reception area of the Division of Purchases.
7. It is intended that an award pursuant to this RFP will be made to a prime vendor, or prime vendors in the various categories, who will assume responsibility for all aspects of the work. Joint venture and cooperative proposals will not be considered. Subcontracts are permitted, provided that their use is clearly indicated in the vendor's proposal and the subcontractor(s) to be used is identified in the proposal.

8. All proposals should include the vendor's FEIN or Social Security number as evidenced by a W9, downloadable from the Division's website at www.purchasing.ri.gov.
9. The purchase of services under an award made pursuant to this RFP will be contingent on the availability of funds.
10. Vendors are advised that all materials submitted to the State for consideration in response to this RFP will be considered to be Public Records as defined in Title 38, Chapter 2 of the General Laws of Rhode Island, without exception, and will be released for inspection immediately upon request once an award has been made.
11. Interested parties are instructed to peruse the Division of Purchases website on a regular basis, as additional information relating to this solicitation may be released in the form of an addendum to this RFP.
12. Equal Employment Opportunity (G.L. 1956 § 28-5.1-1, et seq.) – § 28-5.1-1 Declaration of policy – (a) Equal opportunity and affirmative action toward its achievement is the policy of all units of Rhode Island state government, including all public and quasi-public agencies, commissions, boards and authorities, and in the classified, unclassified, and non-classified services of state employment. This policy applies to all areas where State dollars are spent, in employment, public services, grants and financial assistance, and in state licensing and regulation.
13. In accordance with Title 7, Chapter 1.2 of the General Laws of Rhode Island, no foreign corporation, a corporation without a Rhode Island business address, shall have the right to transact business in the State until it shall have procured a Certificate of Authority to do so from the Rhode Island Secretary of State (401-222-3040). This is a requirement only of the successful vendor(s).
14. **The contract has been assigned a 10% Disadvantaged Business Enterprise (DBE) Goal**. In order to comply with this requirement, a detailed disclosure of RI certified DBE firm(s) and proposed task assignment(s) to be performed MUST be included in TECH PROPOSAL SUBMISSION along with a copy of current state certification letter(s). DBE certifications must be approved at the time of technical proposal submission to ensure DBE compliance and availability. The total cost of the DBE work assigned must meet or exceed 10% of the Total Contract costs. Be advised that this requirement will apply for the lifetime of each contract; PRIME consultants will be responsible to submit a MONTHLY DBE UTILIZATION REPORT documenting aggregated TOTAL contract costs and TOTAL DBE participation to date. The DBE Reporting will be 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 at www.mbe.ri.gov.

Section 2: Background and Purpose

Overview

The Rhode Island State Planning Council, the Metropolitan Planning Organization (MPO) for the state, is responsible for developing and maintaining a statewide travel demand forecasting model. The Rhode Island Department of Administration Division of Planning's Statewide Planning Program (RISPP), serve as staff to the MPO. The RISPP in association with the Rhode Island Department of Transportation (RIDOT), created a statewide Travel Demand Model (TDM) in the 1990s, called the Rhode Island Statewide Model (RISM), that incorporated demographic data and a roadway network system to comply with the air

quality and congestion management requirements of the 1990 Clean Air Act Amendment (CAAA) and 1991 Intermodal Surface Transportation Efficiency Act (ISTEA).

Over the years the RISM has been updated and expanded, most recently in an update that was completed in June 2016. These revisions were designed to improve the model's accuracy and simplify its use. Information on the RISM can be found at http://www.planning.ri.gov/statewideplanning/transportation/travel.php.

The RISM consists of a statewide, four step model developed and operated in the Caliper Corporation's TransCAD 6 transportation planning GIS environment. The RISM is a daily model, with peak and off-peak travel times, and includes vehicle, transit bus, and commuter rail modes of travel. The contractor responding to this RFP will need to be able to demonstrate familiarity with this type of technology and technical environment.

This contract will provide the RISPP with the technical support necessary to ensure that the RI Statewide Travel Demand Model is maintained, updated, and utilized in a timely manner to ensure that the State meets federal and state transportation planning requirements under Fixing America's Surface Transportation (FAST) Act and succeeding acts, other relevant federal regulations pursuant thereto, and related state laws and regulations.

Section 3: Scope of Work

Travel Demand Model

The contractor shall utilize the Rhode Island State Model (RISM) to perform model runs of the RISM as required by RISPP in cooperation with the Rhode Island Department of Transportation (RIDOT), Rhode Island Public Transit Authority (RIPTA), and Rhode Island Department of Environmental Management (RIDEM) to determine current and future travel demand estimates for scenarios to be examined for analysis. The Contractor shall update the RISM on an annual basis, as outlined below. In addition, the Contractor shall develop new model applications/tasks, which are described in further detail under the New Model Applications/Tasks section below. All steps in the transportation modeling effort shall be documented and incorporated into the Rhode Island State Model Update, Technical Paper #166.

Travel Demand Model Maintenance

The Contractor shall maintain and enhance the RISM as directed for proper performance and compatibility with the latest software platform released by the TransCAD vendor, Caliper Corporation, to reflect current data availabilities and integrate updated/extended forecasts and the latest planning assumptions for future years, at five-year intervals, though year 2040 (and 2045 when appropriate in 2020).

The RISM's base level model data was recently updated in 2016 and an automated link was established for a more streamlined process when updating the road travel time and counts calibration data from RIDOT to the RISM. All other data elements listed below require manual processing from RIDOT and RISPP into the RISM.

It is the expectation of RISPP that this contract will result in the successful completion of the following minimum maintenance services to the RISM according to the following schedule:

Annual Update

The following tasks shall be completed annually:

- The Contractor shall update the following traffic count data from the RIDOT GIS data set :
    - Travel time data utilizing the most recent FHWA's National Performance Management Research Data Set (NPMRDS). The Contractor will pull this data directly from RIDOT's database using the recently created SQL server query and will incorporate this resulting data into the RISM.
    - Should supplemental real-time travel time data such as from INRIX or HERE vehicle probe data become available, the Contractor shall work with RIDOT, and or its contractor to modify the travel count SQL query to utilize this data.
    - Vehicle Miles Traveled (VMT) data utilizing RIDOT's annual HPMS submission. RISPP will acquire this data from RIDOT, link and spatially join the data to the road network file, and send it to the Contractor for inclusion into the RISM.
- The Contractor shall update the roadway network with the following:
    - The Contractor shall review and compare the RISM line layer with the latest RIDOT GIS road centerline coverage. If needed, the Contractor shall make any adjustments to the RISM line layer to ensure the road network links remain up-to-date.
    - RISPP will acquire from RIDOT the latest line work parameters (speed, lanes, ramps, direction, functional classification, etc.) and provide them to the Contractor. The Contractor shall perform quality control/assurance on the model network to verify proper topology and coding of the line work and for proper functioning of the model, especially in the event that the data has changed from the previous year.
    - Review network coding of planned transportation investments, and adjust to reflect the latest planning assumptions regarding project completions through the year 2040, at five-year intervals. RISPP, along with RIDOT, will provide the contractor with GIS line work (including functional classification, directionality, turning movements) for new planned roadway investment projects. The contractor will add the planned investments to the roadway network and assign the appropriate line work parameters.
- The Contractor shall incorporate adjustments to roadway networks, traffic counts, TAZ and centroid structures, demographic, VMT, and other pertinent data from Massachusetts and Connecticut and/or MPOs in those states for the purpose of updating external network data. RISPP shall seek to acquire this data. The Contractor shall render it into a usable form within the RISM.
- Transit Network
    - RISPP will provide the Contractor with the latest Rhode Island Public Transit Authority (RIPTA) bus routes, stop locations, flex service areas, route schedules, park n' ride locations, ridership boarding/alighting count data, and General Transit Feed Specifications (GTFS) for the Contractor to update in the RISM.
    - RISPP will provide the Contractor with the latest MBTA commuter rail service and network changes, ridership boarding/alighting count data, existing or

planned/programmed though horizon year 2040, or any other commuter rail service provided in Rhode Island. The Contractor shall incorporate this updated data into the RISM.

- The Contractor shall adjust the model for items including but not limited to, the State's Highway Performance Monitoring System (HMPS), seasonal adjustment factor to determine appropriate VMT, and congestion to divide the daily VMT into peak and off-peak periods.
- For each annual update, the Contractor shall review and run the model and its forecast years following incorporation of above identified data listed under the Annual Update.
- Maintain/convert the RISM as necessary to function within the most currently available TransCAD version software. The current RISM is formatted for TransCAD version 6.0. Conversion, as required, will include all necessary data import, adjustment, and re-calibration to ensure proper functioning of the model and demonstrate consistency of the model's output with pre-conversion parameters.

5-Year Major Update in 2020

For the 5-year major update to the RISM expected in 2020 the following tasks shall be completed:

- Demographic forecasts characteristics – RISPP will prepare data for the Contractor relating to population, household, and employment, in 5-year intervals, for Rhode Island from sources including the 2020 U.S. Census when available, American Community Survey, the U.S. Census Transportation Planning Package, the Rhode Island Department of Labor and Training, and the U.S. Bureau of Labor Statistics. The Contractor shall incorporate this data into the RISM.
- The Contractor shall review and update all items listed under the Annual Update.
- The Contractor shall update and adjust the Traffic Analysis Zones (TAZ) and centroid connectors based on the updated demographic data and items included under the Annual Update.
- Use this exercise to validate the forecast years and update as needed.

As Needed Basis

As directed by RISPP, and in cooperation with RISPP, the Contractor shall provide the following on-call services:

- Current and future travel demand by roadway segment
- Current and future congested/traffic conditions
- Current and future demand by transit systems
- Origins and destinations for vehicles utilizing a particular major roadway
- Run future year build/no-build scenarios upon request
- Predicting impacts to the transportation system if a significant change is made to the network, such as the conversion of the Route 6/10 Connector from a limited access expressway into a boulevard, the addition of a bus rapid transit line, new commuter rail station or new highway interchange, or other regionally significant projects.

The Contractor shall plan for approximately two (2) such occurrence per year, for a total of eight (8) such analysis over the duration of the contract.

Additional services, as requested by RISPP, will also include:

- Model Data Requests - The Contractor shall assist RISPP in responding and fulfilling data requests related to the RISM. The requests for data related to the RISM typically come from other Rhode Island state agencies (most typically from RIDOT, RIDEM, and RIPTA) and private contractors completing work at the local, state, regional, or national level. These requests typically involve exporting the RISM model data and are estimated to occur around two (2) times per year. Upon RISPP's acceptance and approval of the data requests, RISPP will forward the request to the Contractor, who shall respond directly in a timely manner to the requesting party with such data.
- MPO Recertification - The Contractor shall participate in and prepare information relative to the travel demand modeling work performed under this contract and present it as part of the FHWA / FTA required MPO recertification process. It is anticipated that the contractor's participation in the MPO recertification process will consists of one (1) to two (2) meetings. RISPP's recertification process occurs every four (4) years and is expected in early 2018.
- Review of transportation and planning documents for model validations as requested including:
    - Drafts of the Transportation Improvement Program (TIP)
    - Drafts of TIP Amendments when needed for major projects
    - Drafts of the Long Range Transportation Plan (LRTP)

New Model Applications / Tasks

The Contractor shall develop the following new model applications/tasks for the RISM (see list below). All Contractor proposals shall detail how each of the New Model Tasks/Applications will be accomplished, as well as a proposed schedule that starts work in the first year of the contract for delivery to RISPP.

- Transit Assignment Procedure
  Currently the RISM makes mode choice decisions at the Transportation Analysis Zone (TAZ) level, which are based on 2010 U.S. Census geography. The current RISM contains a total of 1,190 TAZs. A mode choice equation compares the travel times and costs for walking to access transit (both bus transit and commuter rail transit), driving to access transit, and driving without using transit and then calculates the percent of people for each TAZ pair that will use each of those travel modes. There are different mode choice equations for each trip purpose including in-vehicle wait time and cost. In addition, home-based work trips are assumed to take place at a peak traffic period, and travel times are adjusted accordingly. Trips for purposes other than work are assumed to occur outside of the peak travel time, and thus travel times for this trip purpose assume freely flowing traffic. Currently, most of the variables in the mode choice model are TAZ to TAZ specific and they are created in the process of calculating these congested and uncongested travel times. As a result it is not necessarily known what route is used by each trip that uses transit. This is however, not the case for trips involving just driving, for these trips are assigned to each roadway link they travel on.

The Contractor shall incorporate into the RISM a Transit Assignment Procedure and assign each transit trip determined in the mode choice step to an actual transit route or routes. So instead of an output that only identifies the number of trips involving transit, the RISM shall be able to provide information about the entire trip, from walking to the transit station, all of the transfers (including if there is a mode shift from bus to commuter rail for example), and then walking to the final destination.

- RIPTA Onboard Ridership Survey Data
  The Contractor shall incorporate data from RIPTA's Transit Onboard Ridership Survey into the RISM. RIPTA's Onboard Bus Ridership Survey is planned to occur during the fall of 2016 and will be distributed to bus passengers. Based on the content and results of the survey, data items that shall be incorporated into the RISM include, but shall not be limited to rider origin/destination, on/off stop information, trip characteristics, and passenger characteristics. The intent of incorporating this data is to improve the RISM accuracy regarding who is using bus transit and the rider's demographic characteristics that can be integrated geographically into the model.

- RIDOT's Onboard MBTA Commuter Rail Ridership Survey Data
  The Contractor shall incorporate data from RIDOT's Onboard Commuter Rail Ridership Survey into the RISM. RIDOT's Onboard Commuter Rail Ridership Survey is planned to occur during the Spring/Summer of 2016 and will be distributed to passengers utilizing Rhode Island's MBTA commuter rail stations - Providence Station, T.F. Green Airport, and Wickford Junction. Based on the content and results of the survey, data items that shall be incorporated into the RISM include, but shall not be limited to rider origin/destination, on/off stop information, trip characteristics, and passenger characteristics. The intent of incorporating this data is to improve the RISM accuracy regarding who is using commuter rail and the rider's demographic characteristics that can be integrated geographically into the model.

- Truck Model Component
  The Contractor shall develop a freight truck model component for the RISM. The truck model component shall utilize the following:
  - Quick Response Freight Manuel (QRFM) for truck trip generation. Currently, the RISM determines employment in terms of Retail and Non-Retail. However, if additional breakdown of employment data is available, that should be discussed with RISPP for use in the truck trip generation.
  - Using the QRFM truck impedance functions for the truck trip distribution to create a "seed" truck trip table.
  - Utilize the matrix estimator in TransCAD to calibrate the truck trip table for the base year ADT.
  - Review FHWA's Freight Analysis Framework or any other information available with RISPP to estimate truck growth trends and produce a future year truck trip table.

- Time of Day Model
  Currently the RISM forecasts travel demand based on conditions of an average day. It does not account for conditions at different times of day and does not provide for much accuracy when comparing peak verses non-peak travel demand. The Contractor shall develop a Time of Day Model which shall break up the average day into segments, a combination of morning peak, midday, afternoon peak, and rest of the day. Travel times by time of day, for multiple modes are needed for this component. The RISM shall be enabled to capture the change in travel times that result from congested conditions during the morning and afternoon peaks.

- Diversified Trip Purposes
  Currently, the RISM generates trips based on an average number of trips individuals can be expected to make, based on their demographic characteristics, in three categories: 1) home-based work, 2) home-based other, and 3) non-home based trips. This translates to trips to work from home, trips to non-work locations from home, and trips originating outside of the home. However many trips taken in a day do not necessarily involve just work or home. The Contractor shall develop diversified trip purposes into the RISM for a more accurate understanding of travel behavior. For example, home-based other should be split into shopping, school, etc., while the non-home based trips should be split into non-home based work and non-home based other.

- Stratifying the Model by Income/Auto Sufficiency
  To improve the RISM's accuracy, the Contractor shall add the demographic characteristics of individual travelers and the number of vehicles available in each household into the RISM.

- Bus Speed Model
  Currently, the RISM assigns bus travel times by taking the assigned roadway speed limit and adds 20 percent to replicate typical driving behavior. The Contractor shall develop a more accurate method to account for bus travel times by establishing a relationship between the travel times on the RISM's roadway links and the actual recorded bus trip times from RIPTA. This process shall also enable the RISM to distinguish run times by the type of bus line, for example urban local, suburban express, or rapid lines.

Training / Technical Support

Staff from RISPP, RIDOT, RIPTA, and RIDEM are all seen as the primary users of potential RISM data. The contractor should be prepared to assist staff of these State agencies, as well as provide some degree of interagency coordination as it relates to the RISM.

This will consist of the Contractor providing training sessions to enhance the in-house capabilities of agency staff and provide the opportunity for its members to become capable in utilizing the RISM for transportation and air quality modeling applications.

- The Contractor shall provide eight (8) formal sessions, lasting around four (4) hours per session, at intervals determined by RISPP and structured to provide an introduction to the concepts associated with the tasks and to provide opportunities for hands-on processing of the travel demand model.
    - The Contractor shall provide this formal training in a classroom-type setting for up to twelve (12) attendees per session. Dates must be coordinated with RISPP.
    - The Contractor will be responsible for coordinating the space and equipment needs for these sessions and will prepare training materials for the class.
    - The materials shall be presented in binders provided by Contractor that are suitable for update on a regular basis.
- The Contractor shall also provide informal training, structured to provide ongoing technical support. Key state agency staff will be identified and assigned to work with the Contractor's Project Team, at least on a part-time basis. As tasks are being conducted, the Contractor's Project Team, as listed in Attachment B – The Cost Proposal Form Budget Detail Sheet, will involve the state agency staff in hands-on operations to reinforce their formal training.
- The Contractor shall also be prepared to conduct annual educational presentations, as needed, to a wider and more general audience of potential users of the data.
- The Contractor shall be prepared to represent and accompany RISPP staff at meetings and presentations regarding the RISM as needed. The Contractor shall be prepared, when requested, to present and respond to questions regarding the RISM at these meetings.
- The Contractor shall provide on-call technical support to RISPP, RIDOT, RIPTA, and RIDEM in the operation and management of the RISM throughout the contract.
- The Contractor shall provide on-call telephone and email support to RISPP, RIDOT, RIPTA, and RIDEM in travel demand modeling, model forecasting, and travel demand model related air quality questions throughout the duration of the contract.
- The Contractor shall brief RISPP on new or innovative modeling programs/techniques as they are developed.

Model Documentation

The Contractor shall provide written documentation to RISPP related to updates and enhancements completed to the RISM throughout the duration of the contract. Documentation shall be provided at the following points in the contract:

- Written narrative shall be prepared annually after the completion of each annual update to document methodologies, findings, and work performed as outlined under the Scope of Work, Travel Demand Model Maintenance, Annual Update. This update to Technical Paper #166, Rhode Island Statewide Model Update shall include:
    - Chapter 1: Introduction
    - Chapter 3: Transportation Analysis Zones
    - Chapter 4: Roadway Network
    - Chapter 5: Model Calibration
    - Chapter 6: TransCAD Model Setup

- Written narrative shall be prepared after the completion of work outlined under the Scope of Work, Travel Demand Model Maintenance, 5-Year Major Update in 2020. This documentation shall be prepared to incorporate work completed under 5-Year Major Update in 2020 into Technical Paper #166, Rhode Island Statewide Model Update. This written narrative shall document methodologies, findings, and work performed as it relates to the following chapters:
    - Chapter 1: Introduction
    - Chapter 3: Traffic Analysis Zones
    - Chapter 4: Roadway Network
    - Chapter 5: Model Calibration
    - Chapter 6: TransCAD Model Setup

- Written narrative shall be prepared after the completion of work outlined under the Scope of Work, New Model Applications/Tasks. This documentation shall be prepared to incorporate work completed under New Model Applications/Tasks into Technical Paper #166, Rhode Island Statewide Model Update. This written narrative shall document methodologies, findings, and work performed as it relates to the following items listed under New Model Applications/Tasks:
    - Transit Assignment Procedure
    - Incorporation of Data from RIPTA's Onboard Ridership Survey Data
    - Incorporation of Data from RIDOT's Onboard MBTA Commuter Rail Ridership Survey Data
    - Truck Model Component
    - Time of Day Model
    - Diversified Trip Purposes
    - Stratifying the Model by Income/Auto Sufficiency
    - Bus Speed Model

- The documentation outlined in the above in this section shall be provided by the Contractor in draft and final written reports submitted to RISPP for distribution to appropriate agencies for review.
- The Contractor will present analysis results at interagency and public meetings, if requested.
- The Contractor will respond to public and agency comments related to analysis methodologies and findings.
- The Contractor will prepare the final report.
- The Contractor shall provide all model files in a digital format ready to be used by RISPP, and other their consultants, for micro-simulations or specific model runs based on additional scenarios.

Products and Deliverables Schedule

The Contractor shall provide the following deliverables as described under each task and should be provided according to the following schedule:

<u>September 2016 – July 2017</u>

- Model Documentation
    - Annual Update

    - New Model Applications / Tasks
- Training
    - Two (2) formal training sessions
    - Annual educational presentation, if needed

September 2017 – July 2018

- Model Documentation
    - Annual Update
    - New Model Applications / Tasks
- Training
    - Two (2) formal training sessions
    - Annual educational presentation, if needed
- MPO Recertification Support
    - To present and respond to questions on the RISM for the RISPP FHWA / FTA Recertification Process (estimated 1-2 meetings)

July 2018 – June 2019

- Model Documentation
    - Annual Update
- Training
    - Two (2) formal training sessions
    - Annual educational presentation, if needed

July 2019 – June 2020

- Model Documentation
    - Annual Update
    - 5-Year Update
- Training
    - Two (2) formal training sessions
    - Annual educational presentation, if needed

Section 4: Technical Proposal

Respondent's Technical Proposals should be formatted as ring bound documents with at least 5 tabs, the contents of which are outlined below.

Certificates and Forms (TAB 1)

This tab shall include the following:

1. A completed and signed three-page RIVIP Bidder Certification Cover Form, available at http://www.purchasing.ri.gov/ .
2. A copy of any current Rhode Island Certificate of Authorization (RICOA) for the firm and copies of current Rhode Island registration(s) for professionals who would perform the work. (Firms

that do not have a RICOA or Rhode Island professional registration must include a letter acknowledging the intent and requirement to expeditiously acquire said Certifications.)

3. One completed and signed W-9 Form downloaded from the RI Division of Purchase's at http://www.purchasing.ri.gov/ by clicking on RIVIP, then General Information and then Standard Forms. Form W-9 should only be included in the original copy binder.
4. Certification Regarding Debarment, Suspension, and Other Responsibility Matters: Must be completed and signed by an authorized agent of the Firm.
5. Disclosure of Lobbying Activities Form: Enter known project information on Page 1 (Description etc.); Firm must complete Form and submit signed by an authorized agent of the Firm.
6. Title VI Assurances Certification
7. DBE Utilization Plan
8. Good Faith Effort Form (GFE)
9. In addition to the narrative above, the respondent must submit Standard Form 330 (available on the RI Division of Purchasing website, www.purchasing.ri.gov/RIVIP/publicdocuments/form330.pdf.

Note: All forms should be attached to the solicitation. Completed forms and copies should be submitted along with each Technical Proposal (original & copies). The GFE is provided for use only if needed. Debarment, Lobbying, Title VI, and DBE Forms are located as Attachments. 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 each copy of the proposal submissions.

Executive Summary (TAB 2)

This tab shall include the following:

1. An Executive Summary that highlights the contents of the Technical Proposal and provides State evaluators with a broad understanding of the respondent's technical approach, ability, and capacity.
2. A Table of Contents.

Staff Qualifications and Experience (TAB 3)

This tab shall include the following:

1. Staff Qualifications/Experience of the respondent and project principals - Describe the respondent's general experience as well as its experience and qualifications with projects of a similar size, scope and use specific to the proposed tasks. Identify the overall project manager, project managers for each proposed tasks, other consultants, as well as other members of the project team and the percentage of their time to be spent on any task. (Supplemental information such as personnel information for key staff including resumes and final work products of similar projects may be appended to the technical proposal, but should not exceed 30 pages.)

Project Approach and Understanding of Work (TAB 4)

This section shall include the following information:

1. Description of the consultant's understanding of the state's requirements, including the result(s) intended and desired. The approach and/or methodology to be employed for each proposed task, and a work plan for accomplishing the results proposed. For each proposed task, identify the project manager, and all other members of the project team and an estimate of time allocations.
2. A discussion and justification of the methods proposed and the technical issues that will or may be confronted at each stage of the project.
3. The work plan description shall include a list of project deliverables and a detailed monthly proposed timeline with milestones that will be employed to administer the different project components, and the task assignments of staff members and level of effort for each linked to the cost proposal and project deliverables. As many of the project components described do not have a fixed start date, the timelines for these components can be written in a format where the month following the start date is "Month 1," the subsequent month is "Month 2" and so on. For limited ongoing tasks, such as the regular data requests, no timeline will be required.

Relevant Experience and Expertise (TAB 5)

This tab shall include the following information:

1. A description of the business background of the respondent (and all subcontractors proposed), including a description of their financial position;
2. The respondent's status as a Disadvantaged Business Enterprise (DBE), certified by the Rhode Island Department of Administration, and/or a subcontracting plan which addresses the state's goal of ten (10) percent participation by DBE's. For further information, call the MBE Officer at (401) 574-8670; and
3. Any other information the respondent deems relevant to the evaluation process.
4. References including client name, address, contact person, telephone number, email, project start and end date, as well as a project description. References should be for similar or related projects that proposed key staff members for this project have worked.

Miscellaneous Instructions

The technical proposal (TAB 3, TAB 4, and TAB 5 above) should: be no more than twenty (20) pages in length; include the qualifications and related background of the contractor; and, include responses to each area of the required Scope of Work. Supplemental information such as personnel information for key staff including resumes and final work products of similar projects may be appended to the technical proposal, but should not exceed 30 pages. Ensure that the material submitted does not contain personal information (i.e. home addresses, emails, and phone numbers on employee resumes).

Section 5: Cost Proposal

Complete Attachment B forms (separately sealed and signed), including the prescribed Cost Proposal form (B-1) stating a lump sum fixed fee price, the Itemized Cost Proposal form (B-2) itemizing out each

task according to fiscal financial year, and Other Expenditures Detail form (B-3), for all tasks proposed in the offeror's technical proposal.

Section 6: Evaluation and Selection

The RISPP will commission a review team to evaluate and score all proposals that are complete and minimally responsive using the criteria described below. The evaluation of any item may incorporate input from sources other than the bidder's response and supplementary materials submitted by the bidder. Those other sources could include assessments made by evaluators based on findings recorded from reference checks (including but not limited to those supplied by the bidder), prior experience with or knowledge of bidder's work, responses to follow-up questions posed by the State and/or oral presentations by the bidders if requested by the review team. The State may elect to use any or all of these evaluation tools.

The review team may contact any, all, or some of the bidders with questions and clarifications at any point during the process at its own discretion. The review team may also require vendors to provide an oral presentation or be interviewed as part of the evaluation.

The review team will present written findings, including the results of all evaluations, to the State Purchasing Agent or designee, who will make the final selection for this solicitation. When a final decision has been made and a contract awarded, a notice will be posted on the Rhode Island Division of Purchases website.

Because the evaluation takes into consideration both the technical and cost components in a value based approach, the lowest costing bidder may not necessarily be awarded a contract.

Proposals will be reviewed by a Technical Review Committee comprised of staff from state agencies. To advance to the Cost Evaluation phase, the Technical Proposal must receive a minimum of 60 (75 percent) out of a maximum of 80 technical points. Any technical proposals scoring less than 60 points will not have the cost component opened and evaluated. The proposal will be dropped from further consideration.

Proposals scoring 60 technical points or higher will be evaluated for cost and assigned up to a maximum of 20 points in cost category, bringing the potential maximum score to 100 points.

The Division of Planning reserves the exclusive right to select the individual(s) or firm (vendor) that it deems to be in its best interest to accomplish the project as specified herein; and conversely, reserves the right not to fund any proposal(s).

Proposals will be reviewed and scored based upon the following evaluation criteria:

Evaluation Criteria	Possible Points
Project Approach and Work Plan Project approach, including the proposed work plan and timeline, as well as a demonstrated understanding of the activities described in the Scope of Work, FHWA and FTA's travel demand model recommended provisions, the GIS environments described, and the Rhode Island context.	25 points
Offeror's Past Performance and Relevant Experience Ability of the consultant team to manage the project effectively based on its experience in Rhode Island and New England and in managing projects of similar size, scope, and complexity. Past performance as reflected by the evaluation of private persons and officials of other government entities that have retained the services of the firm will be considered strongly.	20 points
Capacity, Resources, and Level of Effort to Accomplish Tasks Capacity to perform the services as related by workload and the availability of adequate personnel, equipment, and facilities to perform the services expeditiously. Include a list of all staff and sub-consultants and the hours or percentage of time they will spend on the project by task.	15 Points
Staff Qualifications Demonstrated, relevant experience and knowledge of the offeror's staff members who will work on the project.	15 Points
DBE Proposal	5 Points
Total Possible Technical Points	80 Points
Cost calculated as lowest responsive cost proposal divided by (this cost proposal) times 20 points*	20 Points
Total Possible Points	100 Points

*The Low bidder will receive one hundred percent (100%) of the available points for cost. All other bidders will be awarded cost points based upon the following formula:

(low bid / vendors bid) * available points

For example: If the low bidder (Vendor A) bids $65,000 and Vendor B bids $100,000 for monthly cost and service fee and the total points available are Twenty (20), vendor B's cost points are calculated as follows:

$65,000 / $100,000 * 20= 13

Points will be assigned based on the offeror's clear demonstration of his/her abilities to complete the work, apply appropriate methods to complete the work, create innovative solutions and quality of past performance in similar projects.

Applicants may be required to submit additional written information or be asked to make an oral presentation before the technical review committee to clarify statements made in their proposal.

Section 7: Proposal Submission

Offerors are encouraged to submit written questions to the Division of Purchases. No other contact with State parties will be permitted. Interested offerors may submit proposals to provide the services covered by this Request on or before the date and time listed on the cover page of this solicitation. Responses received after this date and time, as registered by the official time clock in the reception area of the Division of Purchases, will not be considered.

Responses (an original plus four (4) copies) should be mailed or hand-delivered in a sealed envelope marked "RFP# 7550823" to:

RI Department of Administration
Division of Purchases
One Capitol Hill
2nd Floor
Providence, RI 02908-5855

NOTE: Proposals received after the above-referenced due date and time will not be considered. Proposals misdirected to other State locations or those not presented to the Division of Purchases by the scheduled due date and time will be determined to be late and will not be considered. Proposals faxed, or emailed, to the Division of Purchases will not be considered. The official time clock is in the reception area of the Division of Purchases.

Response Contents

Responses shall include the following:

1. A completed and signed R.I.V.I.P generated bidder certification cover sheet downloaded from the RI Division of Purchases at http://www.purchasing.ri.gov/ .
2. One only completed and signed W-9 downloaded from the RI Division of Purchases at http://www.purchasing.ri.gov/ .
3. A **separate Technical Proposal** describing the qualifications and background of the applicant and experience with similar projects, and all information described in this solicitation. The Technical Proposal is limited to thirty (30) pages (this excludes any appendices). As appropriate, include resumes of key staff that will provide services covered by this request.
4. A **separately signed and sealed Cost Proposal** on Attachment B (forms B-1, B-2, B-3) provided below.
5. In addition to the multiple hard copies of proposals required, the respondent is requested to provide their technical proposal only in electronic format (CD or flash drive). Microsoft Word or PDF format is preferable. Only 1 electronic copy is requested and it should be placed in the proposal marked "original."

Terms of Contract

The contract will begin approximately September 1, 2016 and end August 31, 2020. The scope of the work may be modified by the Rhode Island Statewide Planning Program (RISPP) prior to beginning work on a given task. RISPP retains the options of granting contract extensions with additional funding if available and if the level of work is expanded by mutual written consent. Progress reports, broken out by task, are required to be submitted with invoices, and shall identify progress (percentage) of task completion. If necessary, deficiencies in performance of services and/or failure to supply deliverables in a complete, comprehensive, and timely manner will be documented in writing by RISPP. Should a pattern of dissatisfaction become apparent, RISPP reserves the right to terminate the contract.

Title VI – The Rhode Island Department of Administration, 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.

Attachment A

Reference Documents and Data

Below is a list of documents that vendors may wish to review before submitting a proposal for the Rhode Island Statewide Model Maintenance Contract request for proposals. They provide information on the background and technical specifications of the Rhode Island Statewide Model

All documents are available at:

http://www.planning.ri.gov/statewideplanning/transportation/

and specifically on the Rhode Island State Travel Demand Model at

http://www.planning.ri.gov/statewideplanning/transportation/travel.php

Documents

Air Quality Update for the Rhode Island Long Range Transportation Plan 2035 Update, November 2012

Rhode Island Statewide Model Update, 2006 Updated 2011, Technical Paper #157

Attachment B-1

Attachment B-1
Cost proposal
Include in a separately sealed cost proposal envelope please

The Contractor has determined that its budget for work to be performed under this Agreement is as follows:

Date:

To: The Department of Administration, Division of Purchases, 2nd floor
One Capitol Hill, Providence, RI 02908-5855

Project: RFP- State of Rhode Island Statewide Travel Demand Model Contract

Submitted by: Firm Name and Address

_____

_____

_____

_____

(Please include in the firm's legal name, contact name, address, telephone, and contact email address.

Fee Proposal Lump Sum Price

$			,				,				.		

The cost submitted here in includes all work described in the Request for Proposal (RFP). The bidder's price reflects all elements included in its technical proposal in response to the RFP.

Acknowledgements

The bidder acknowledges receipt of addendum issued to the RFP and dated:

Addendum 1 _____

Addendum 2 _____

Addendum 3 _____

Addendum 4 _____

Fee Proposal Form Signature(s)

_____ _____

(Authorized Official: Name and Title) (Signature)

Attachment B-2

Attachment B-2
Itemized Cost Proposal by Task and Fiscal Year

Expense Category by Task	**Expenditures** (Fixed Fee Price)			
	Year 1 FY 2017	**Year 2 FY 2018**	**Year 3 FY 2019**	**Year 4 FY 2020**
1. RISM Maintenance (Annual, 5-Year Update, As Needed Basis)				
2. New Model Applications / Tasks				
Transit Assignment Procedure				
RIPTA Onboard Ridership Survey Data				
RIDOT Onboard MBTA Commuter Rail Ridership Survey Data				
Truck Model Component				
Time of Day Model				
Diversified Trip Purposes				
Stratifying the Model by Income / Auto Sufficiency				
Bus Speed Model				
3. Training and Technical Support				
4. Model Documentation				
Other Expenditures (see B-3 form on next page)				
Total				

Attachment B-3

Attachment B-3*

OTHER EXPENDITURES DETAIL
Please Include Total with B-1 and B-2, above

EXPENSE CATEGORY	DESCRIPTION	TOTAL $
Supplies and Materials		
Travel **		
Printing		
Office Expense		
Other: *(describe)*		
Indirect Cost		
TOTAL REQUEST		$

* Please include a detail budget sheet for each state fiscal year (July 1–June 30)

** Reimbursement for travel within the continental United States is limited to the per diem rates established by the General Services Administration (GSA). Per diem rates are posted at www.gsa.gov/perdiem.

Attachment C

CONSULTANTS

CERTIFICATION REGARDING DEBARMENT, SUSPENSION

AND OTHER RESPONSIBILITY MATTERS

PRIMARY COVERED TRANSACTIONS FOR PRIME CONSULTANTS

AND LOWER TIER PARTICIPANTS (SUBCONSULTANTS ETC.)

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 pubic (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statues 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

Attachment D

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 follow-up 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 sub-award recipient. Identify the tier of the sub-awardee, e.g., the first sub-awardee of the prime is the 1st tier. Sub-awards include but are not limited to subcontracts, sub-grants and contract awards under grants.
5. If the organization filing the report in item 4 checks "Sub-awardee," 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.

Approved by

03-48-0046

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) 1. Type of Federal Action: a. contract b. grant c. cooperative agreement d. loan e. loan guarantee f. loan insurance	2. Status of Federal Action: a. bid/offer/application b. initial award c. post-award	3. Report Type: a. initial filing b. material change For Material Change Only: year _____ quarter _____ date of last report _____
4. Name and Address of Report Entity: ☐ Prime ☐ Sub-awardee Tier ___, if known: Congressional District, if known:		5. If Reporting Entity in No. 4 is Subawardee, Enter Name and Address of Prime: Congressional District, if known:
6. Federal Department Agency:		7. Federal Program Name/Description: CFDA Number, if applicable: _____
8. Federal Action Number, if known:		9. Award Amount, if known: $_____
10. a. Name and Address of Lobbying Entity: (if individual, last name, first name, mi):		10. b. Individuals Performing Services (including address if different from No. 10a) (last name, first name, mi):
11. Amount of Payment (check all that apply) $_____ ☐ actual ☐ planned		13. Type of Payment (check all that apply): ☐ a. retainer

	☐ b. one-time fee ☐ c. commission ☐ d. contingent fee ☐ e. deferred ☐ f. other; specify: _____
12. Form of Payment (check all that apply): ☐ a. cash ☐ b. in-kind; specify: nature _____ value _____	
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):	
15. Continuation Sheet(s) SF-LLL-A attached: ☐ yes ☐ no	
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.	Signature: Print Name: Title: Telephone No: Date:
For Federal use Only:	Authorized for Local Reproduction Standard Form – LLL-A

Attachment E

Dated: 6/27/2011

CERTIFICATION FOR TITLE VI ASSURANCE

I, _____, _____ a duly authorized representative of
(Name) *(Title)*

_____ do hereby certify that the organization affirmatively agrees to the provisions
(Company)

set forth below:

1. The Certificate.

For all contracts subject to Title VI of the Civil Rights Act of 1964, 42 U.S.C. part 2000d – 2000d4 (the Act) 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 (the Regulations), prospective bidders shall be required to complete a Certification affirming compliance with the Act and the Regulations.

2. Certification.

By submission of a Proposal, each bidder and each person signing a Proposal subject to the Act and the Regulations certifies that the bidder shall affirmatively agree as follows:

(a) Compliance with Regulations:

The bidder shall comply with the regulations relative to nondiscrimination in federally-assisted programs of the Department, 49 C.F.R. Part 21, as they may be amended from time to time.

(b) Nondiscrimination:

The bidder shall not discriminate on the grounds of race, color, sex, national origin, age, or disability in the selection and retention of subcontractors, including procurements of materials and leases of equipment. The bidder shall not participate either directly or indirectly in the discrimination prohibited by section 21.5 of the Regulations, including employment practices when the Contract covers a program set forth in Appendix B of the Regulations.

(c) Solicitations for Subcontractors, Including Procurements of Materials and Equipment:

In all solicitations either by competitive bidding or negotiation made by the bidder for work to be performed under a subcontract, including procurements of materials or leases of equipment, each potential subcontractor or supplier shall be notified by the bidder of its obligations relative to nondiscrimination on the grounds of race, color, sex, national origin, age, or disability.

(d) Information and Reports:

The bidder shall provide all information and reports required by the Regulations or directives issued pursuant thereto, and shall permit access to its books, records, accounts, other sources of information, and its facilities as may be determined by the Department or the Federal Highway Administration to be pertinent to ascertain compliance with such Regulations, orders and instructions. Where any information required of the bidder is in the exclusive possession of another who fails or refuses to furnish this information, the bidder shall so certify to the Department, or the Federal Highway Administration, as appropriate, and shall set forth what efforts it has made to obtain the information.

(e) Sanctions for Noncompliance:

In the event of the bidder's noncompliance with the nondiscrimination provisions, the Department shall impose such contract sanctions as it or the Federal Highway Administration may determine to be appropriate, including, but not limited to:

(1) withholding of payments under the Contract until the bidder complies, and/or

(2) cancellation, termination or suspension of the Contract, in whole or in part.

(f) Incorporation of Provisions:

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.

Attachment F

Exhibit A
SUBRECIPIENT AGREEMENT By and Between [Name of Prime Consultant] and the [Name of Entity]
[Project description]
DBE UTILIZATION PLAN

I, _____ HEREBY DECLARE AND AFFIRM that I am the _____ (Title) - duly authorized representative) with _____ (Name of Prime Contractor/Consultant), and that I have personally reviewed the material and facts set forth in and submitted with this DBE Utilization Plan, including the attached DBE subcontracts. The following correctly represents our commitment to the DBE participation on this contract.

Name DBE Firms and Address	Type of Work to be Performed Contract Amount*	DBE Contract Amount

*Indicate labor only, supply only, F&I, broker

I, _____ HEREBY DECLARE AND AFFIRM that I am the _____ (Title) - duly authorized representative) with

Attachment G

Form GFE - 1
Sheet 10 of 10

DBE GOOD FAITH EFFORTS DOCUMENTATION

CONTRACT ID. NO._____ ___DATE SUBMITTED_____

IF THE DBE GOAL ESTABLISHED FOR THIS CONTRACT HAS NOT BEEN MET OR RIDOT REQUESTS THE SUBMITTAL THEREOF, THE BIDDER IS REQUIRED TO SUBMIT GOOD FAITH EFFORTS AS OUTLINED IN THIS DOCUMENT.

THE BIDDER ACKNOWLEDGES AND CERTIFIES THAT THIS FORM ACCURATELY REPRESENTS THE INFORMATION CONTAINED HEREIN.

BIDDER _____SIGNATURE_____

TITLE_____

ADDITIONAL DATA TO SUPPORT DEMONSTRATION OF GOOD FAITH EFFORTS

NOTE: ATTACH ADDITIONAL PAGES, IF NECESSARY

DBE GOOD FAITH EFFORTS DOCUMENTATION

CONTRACT ID. NO._____ _____DATE SUBMITTED_____

IF THE DBE GOAL ESTABLISHED FOR THIS CONTRACT HAS NOT BEEN MET OR RIDOT REQUESTS THE SUBMITTAL THEREOF, THE BIDDER IS REQUIRED TO SUBMIT GOOD FAITH EFFORTS AS OUTLINED IN THIS DOCUMENT.

THE BIDDER ACKNOWLEDGES AND CERTIFIES THAT THIS FORM ACCURATELY REPRESENTS THE INFORMATION CONTAINED HEREIN.

BIDDER _____SIGNATURE_____

TITLE_____

EFFORTS MADE TO ASSIST DBEs OBTAIN BONDING, LINES OF CREDIT, INSURANCE, ETC.

EFFORTS MADE TO PROVIDE INTERESTED DBEs IN OBTAINING BONDING, LINES OF CREDIT, INSURANCE, NECESSARY EQUIPMENT, SUPPLIES, MATERIALS, OR RELATED ASSISTANCE OR SERVICES, EXCLUDING SUPPLIES AND EQUIPMENT THE SUBCONTRACTOR PURCHASES OR LEASES FROM THE PRIME CONTRACTOR OR ITS AFFILIATES.

DBEs ASSISTED	ASSISTANCE OFFERED	DATES SERVICES OFFERED AND/OR PROVIDED

NOTE: ATTACH ADDITIONAL PAGES IF NECESSARY

DBE GOOD FAITH EFFORTS DOCUMENTATION

CONTRACT ID. NO. _____ DATE SUBMITTED_____

IF THE DBE GOAL ESTABLISHED FOR THIS CONTRACT HAS NOT BEEN MET OR RIDOT REQUESTS THE SUBMITTAL THEREOF, THE BIDDER IS REQUIRED TO SUBMIT GOOD FAITH EFFORTS AS OUTLINED IN THIS DOCUMENT.

THE BIDDER ACKNOWLEDGES AND CERTIFIES THAT THIS FORM ACCURATELY REPRESENTS THE INFORMATION CONTAINED HEREIN.

BIDDER _____ SIGNATURE_____

TITLE_____

TECHNICAL ASSISTANCE AND INFORMATION PROVIDED TO DBEs

EFFORTS MADE TO PROVIDE INTERESTED DBEs WITH ADEQUATE INFORMATION ABOUT THE PLANS, SPECIFICATIONS, AND REQUIREMENTS OF THE BID DOCUMENTS TO ASSIST THE DBEs IN RESPONDING TO A SOLICITATION.

IDENTIFY THE DBEs ASSISTED, THE INFORMATION PROVIDED, AND THE DATE OF CONTACT. ATTACH COPIES OF SUPPORTING DOCUMENTS.

DBEs ASSISTED	INFORMATION PROVIDED	DATE OF CONTACT

Form GFE -1
sheet 7 0f 10

DBE GOOD FAITH EFFORTS DOCUMENTATION

CONTRACT ID. NO. _____ DATE SUBMITTED_____

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BIDDER _____ SIGNATURE_____

TITLE_____

NAMES OF AGENCIES CONTACTED TO PROVIDE ASSISTANCE

NAMES OF AGENCIES AND THE DATES THESE AGENCIES WERE CONTACTED TO PROVIDE ASSISTANCE IN CONTACTING, RECRUITING, AND USING DBE FIRMS. IF THE AGENCIES WERE CONTACTED IN WRITING, ATTACH COPIES OF SUPPORTING DOCUMENTS.

NAME OF AGENCY	METHOD AND DATE OF CONTACT	RESULTS

NOTE: ATTACH ADDITIONAL PAGES IF NECESSARY.

Form GFE - 1
sheet 6 0f 10

DBE GOOD FAITH EFFORTS DOCUMENTATION

CONTRACT ID. NO. _____ DATE SUBMITTED_____

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BIDDER _____SIGNATURE_____

TITLE_____

ADVERTISEMENTS OR PROOFS OF PUBLICATION.

NAMES AND DATES OF EACH PUBLICATION IN WHICH A REQUEST FOR DBE PARTICIPATION FOR THE PROJECT WAS PLACED BY THE BIDDER. ATTACH COPIES OF PUBLISHED ADVERTISEMENTS OR PROOFS OF PUBLICATION.

PUBLICATIONS	DATES OF ADVERTISEMENT

DBE GOOD FAITH EFFORTS DOCUMENTATION

CONTRACT ID. NO. _____ **DATE SUBMITTED**_____

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BIDDER _____ **SIGNATURE**_____

TITLE_____

ADDITIONAL INFORMATION REGARDING ITEM(S) OF WORK THAT THE BIDDER MADE AVAILABLE TO DBE FIRMS (Continued From Sheet 4)

ITEM(S) OF WORK MADE AVAILABLE, NAMES OF SELECTED FIRMS AND DBE STATUS, DBEs THAT PROVIDED QUOTES, PRICE QUOTE FOR EACH FIRM, AND THE PRICE DIFFERENCE FOR EACH DBE IF THE SELECTED FIRM IS NOT A DBE.

ITEM(S) OF WORK MADE AVAILABLE(CONT.)	NAME OF SELECTED FIRM AND FED. TAX ID	DBE OR NON-DBE	NAME OF REJECTED FIRM(S)	QUOTE IN DOLLARS	PRICE DIFFERENCE IN DOLLARS

NOTE: ATTACH ADDITIONAL PAGES IF NECESSARY.

IF THE FIRM SELECTED FOR THE ITEM IS NOT A DBE, PROVIDE THE REASON(S) FOR THE SELECTION ON A SEPARATE PAGE AND ATTACH.

PROVIDE NAMES, ADDRESSES, AND TELEPHONE NUMBERS FOR THE FIRMS LISTED ABOVE.

Form GFE - 1
sheet 4 of 10

DBE GOOD FAITH EFFORTS DOCUMENTATION

CONTRACT ID. NO. _____ DATE SUBMITTED_____

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BIDDER _____SIGNATURE_____

TITLE_____

ITEM(S) OF WORK THAT THE BIDDER MADE AVAILABLE TO DBE FIRMS

IDENTIFY THOSE ITEM(S) OF WORK THAT THE BIDDER MADE AVAILABLE TO DBE FIRMS OR THOSE ITEM(S) THE BIDDER IDENTIFIED AND DETERMINED TO SUBDIVIDE INTO ECONOMICALLY FEASIBLE UNITS TO FACILITATE DBE PARTICIPATION. FOR EACH ITEM LISTED, SHOW THE DOLLAR VALUE AND PERCENTAGE OF THE TOTAL CONTRACT AMOUNT. IT IS THE BIDDER'S RESPONSIBILITY TO DEMONSTRATE THAT SUFFICIENT WORK TO MEET THE GOAL WAS MADE AVAILABLE TO DBE FIRMS.

ITEM(S) OF WORK MADE AVAILABLE	BIDDER NORMALLY PERFORMS ITEM(S) (Y/N)	ITEM(S) BROKEN DOWN TO FACILITATE PARTICIPATION (Y/N)	AMOUNT IN DOLLARS	PERCENTAGE OF CONTRACT

NOTE: ATTACH ADDITIONAL PAGES IF NECESSARY

DBE GOOD FAITH EFFORTS DOCUMENTATION

CONTRACT ID. NO. _____ DATE SUBMITTED_____

IF THE DBE GOAL ESTABLISHED FOR THIS CONTRACT HAS NOT BEEN MET OR RIDOT REQUESTS THE SUBMITTAL THEREOF, THE BIDDER IS REQUIRED TO SUBMIT GOOD FAITH EFFORTS AS OUTLINED IN THIS DOCUMENT.

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BIDDER _____ SIGNATURE_____

TITLE_____

TELEPHONE LOG

DBE(s) CALLED	TELEPHONE NUMBER	DATE CALLED	TIME CALLED	CONTACT PERSON OR VOICE MAIL STATUS

NOTE: ATTACH ADDITIONAL PAGES IF NECESSARY

Form GFE - 1

DBE GOOD FAITH EFFORTS DOCUMENTATION

THIS INFORMATION MUST BE SUBMITTED WITH YOUR BID PROPOSAL IF YOUR BID DOES NOT MEET THE PROJECT DBE REQUIREMENTS, OR WHEN REQUESTED BY RIDOT

CONTRACT ID. NUMBER _____

PROJECT NUMBER _____

FHWA NUMBER _____

COUNTY _____

DATE BID SUBMITTED _____

BIDDER'S NAME _____

SIGNATURE _____

TITLE _____

VENDOR NUMBER _____

DBE GOAL FROM BID PROPOSAL _____

Form GFE - 1
sheet 2 of 10

DBE GOOD FAITH EFFORTS DOCUMENTATION

CONTRACT ID. NO._____DATE SUBMITTED_____

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BIDDER _____SIGNATURE_____

TITLE_____

NAMES OF CERTIFIED DBEs AND THE DATES ON WHICH THEY WERE SOLICITED TO BID ON THIS PROJECT

INCLUDE THE ITEMS OF WORK OFFERED AND THE DATES AND METHODS USED FOR FOLLOWING UP INITIAL SOLICITATIONS TO DETERMINE WHETHER OR NOT DBEs WERE INTERESTED.

NAMES AND FED. TAX ID. OF DBEs SOLICITED	DATE OF INITIAL SOLICITATION	ITEM(S) OF WORK	FOLLOW-UP METHODS AND DATES

NOTE: ATTACH ADDITIONAL PAGES IF NECESSARY
ATTACH COPIES OF SOLICITATIONS, TELEPHONE RECORDS, FAX CONFIRMATIONS, ELECTRONIC INFORMATION, ETC.