



Solicitation Information  
July 13, 2012

**Continuous Recruitment #35**

**TITLE: Continuous Recruitment for Historic Construction and Preservation Contractors**

**SUBMISSION DEADLINE: Continuous Recruitment through December 31, 2015**

<b>PRE-BID/PROPOSAL CONFERENCE: NO</b>
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Questions concerning this solicitation may be e-mailed to the Division of Purchases at [questions@purchasing.ri.gov](mailto:questions@purchasing.ri.gov). Please reference CR #35 on all correspondence. Questions received, if any, will be posted on the Internet as an addendum to this solicitation. It is the responsibility of all interested parties to download this information.

<b>SURETY REQUIRED: NO</b>
<b>BOND REQUIRED: NO</b>

*Lisa Hill*  
Lisa Hill  
Chief Buyer - DOT

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

**NOTE TO VENDORS:**

No offer will be considered that is not accompanied by a completed and signed Bidder Certification Cover Form.

**THIS PAGE IS NOT A BIDDER CERTIFICATION FORM**

## CR-35 - Continuous Recruitment for Historic Construction and Preservation Contractors

The State of Rhode Island, Department of Administration/ Division of Purchases (RIDOA), on behalf of the Rhode Island Department of Transportation (RIDOT) is seeking to establish a qualified/eligible contractor list to provide historic construction and/or preservation services on specialized RIDOT construction contracts. Selection will be in accordance with the terms of this solicitation and the State's General Conditions of Purchase available on-line at [www.purchasing.ri.gov](http://www.purchasing.ri.gov). Interested Respondents must meet the criteria, terms, and conditions, expressed in this solicitation in order to be included under this continuous recruitment listing.

### PURPOSE:

In order to expedite the work and ensure satisfactory competition, RIDOT, with the approval of the Federal Highway Administration (FHWA), is seeking to establish a qualified list of eligible Contractors who will be contacted to submit bids for RIDOT construction contracts that will require repair, restoration and rehabilitation services on historic structures. To ensure that the list of eligible Contractors is dynamic and allows for the addition of new contracting firms, RIDOT in conjunction with RIDOA will issue a **Continuous Recruitment (CR)** that will allow for Contractors to submit their qualifications at any time during the active continuous recruitment period up through the scheduled expiration date of **DECEMBER 31, 2015**. All submissions received by RIDOA will be subsequently forwarded to RIDOT for qualification review and recommendation for inclusion on the active CR 35 listing.

### INSTRUCTIONS AND NOTIFICATIONS TO RESPONDENTS:

- All Respondents shall register online at the RIVIP'S Internet website @ [www.purchasing.ri.gov](http://www.purchasing.ri.gov)
- A fully completed signed **RIVIP Bidder Certification Cover Sheet** – *All three pages* shall accompany response submitted. Failure to make a complete submission inclusive of this three-page document may **result in disqualification**. A copy of this 3-PAGE certification form should be in all proposals (originals and copies) submitted to the State for consideration.
- Should there be a need for assistance in registering and/or downloading any document, call (401) 574-8100 for RIVIP HELP DESK technical assistance. Office Hours: 8:30 AM – 4:00 PM.
- The 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, Non-discrimination 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 Respondents 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 a response to this continuous recruitment and will not be discriminated against on the grounds of race, color, sex, national origin, age or disability in consideration for award.
- 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.
- In accordance with RI Gen. Laws 7-1.1-1401, no **foreign corporation** (a corporation established other than in Rhode Island) has the right to transact business in this State until it has procured a Certificate of Authority to do so from the Office of the Secretary of State (401) 222-2357. If applicable, a copy of Respondent's certificate of authority must be included as part of the submission.

- Potential Respondents are advised to review all sections of this CR solicitation carefully and to follow instructions completely, as failure to make a complete submission as described elsewhere herein may result in rejection of the proposal.
- All costs associated with developing or submitting a response to this CR solicitation, or to provide oral or written clarification of its content shall be borne by the Respondent. The State assumes no responsibility for these costs.
- Responses misdirected to other State locations or which otherwise are not received by the State Division of Purchases by the established due date for any cause will be determined to be late and will not be considered. The office clock, for the purpose of registering the arrival of a document, is in the reception area of the Department of Administration (DOA), Division of Purchases, One Capitol Hill, Providence, Rhode Island.
- Respondents are advised that all materials submitted to the State of Rhode Island for consideration in response to this CR solicitation will be considered to be public records, as defined in Title 38 Chapter 2 of the Rhode Island General Laws, without exception, and will be released for inspection immediately upon request, once a determination has been made.
- Interested parties are instructed to peruse the RIDOA/ Division of Purchases web site @ [www.purchasing.ri.gov](http://www.purchasing.ri.gov) on a regular basis as additional information relating to this CR solicitation may be released in the form of an Addendum to this solicitation.
- RIDOT encourages the utilization of DBE firms on all projects and will monitor any and all DBE participation. 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](http://www.mbe.ri.gov) . Any questions should be directed to:

**RIDOT Office of Business and Community Resources  
Two Capitol Hill, Room 109  
Providence, RI 02903  
(401) 222-3260**

## **EVALUATION AND SELECTION**

### ***This is a Continuous Recruitment solicitation.***

All responses received by RIDOA during the recruitment period will be subsequently forwarded to RIDOT for review and formal recommendation (PASS/FAIL). RIDOT, after review of qualifications received, will then inform RIDOA in writing of all qualified Contractors eligible for inclusion on CR-35 as well as to inform RIDOA of any Contractors who failed to attain eligibility status based on their qualifications presented. Unsuccessful Respondents will be formally notified by RIDOA.

RIDOA will create, augment, and maintain a qualified listing of eligible Contractors for the duration of the recruitment period for *CR-35 Historic Construction and Preservation Contractors*.

## **ACCEPTANCE CRITERIA**

Applicants must satisfactorily meet all of the elements of the qualification process listed below; Qualification submissions must include completed responses to each of the following **NINE (9)** acceptance criteria:

1. **HISTORIC EXPERIENCE:** At least THREE (3) preservation projects completed on balloon-framed wood or masonry structures that required conformity with the *Secretary of the Interior's Standards for Rehabilitation*. (Examples of structures originally constructed prior to the year 1900 are preferred).

Projects must be similar in scope and collectively include work on cast and/or wrought iron; wood structure restoration; masonry restoration; preserving, protecting, and restoring three-coat plaster finishes; lead paint abatement, and working in marine environments. Contractors shall submit a separate project sheet for each of the minimum **THREE (3)** projects. The project sheet will include all of the following information:

- Project scope of work
  - Dates work was started and completed
  - Total contract value
  - Contractor's project team (project manager, superintendent, critical subcontractors)
  - Project owner and architect contact information
  - Minimum of ONE (1) and a maximum of TEN (10) project photos **per project** (4" X 6" minimum size)
  - Explanation of how the work conformed to *Secretary of Interior's Standards for Rehabilitation*, citing which of the TEN (10) STANDARDS applied to the work. The *Secretary of the Interior's Standards for Rehabilitation* is outlined under **APPENDIX A (ATTACHED)**.
2. **EQUIPMENT:** List of Owned/Lease equipment specific to historic construction projects.
  3. **PERSONNEL:** Name and qualifications of the project superintendent or supervisory personnel.
  4. **BONDING:** Contractor's current aggregate bonding obligations and letter from bonding company of future bonding capacity for bid, performance and payment bonds. Letter should state the correct legal name of the bonding company and the address of its home office. Surety companies must be licensed and authorized to conduct business in the State of Rhode Island. All surety companies must be listed with the Department of the Treasury, Fiscal Services, Circular 570 (latest revision published by the Federal Register). Requested correspondence should be included with a separate letter of transmittal by the Local Agent.
  5. **INSURANCE:** Sample Liability Insurance Certificate (ACORD 25) which meets the State of Rhode Island's insurance limits as referenced in the State of RI Procurement Regulations Subsection 12.107.13.  
  
*(Please note that active certificates must document the State of Rhode Island and the Department of Transportation as "Additionally Insured" along with a copy of the Endorsement of Additionally Insured for inclusion in the preparation of contract award documents.)*
  6. **COMPLETED PROJECTS:** A list of the Contractor's most recently completed projects (no less than **FIVE (5)** projects) as prime contractor or subcontractor, including the name of the owner, contact person, phone number, contract value, design architect and/or engineer, award date, and completion date.
  7. **CURRENT PROJECTS:** A list of the Contractor's current ongoing construction contracts (as Prime Contractor or Subcontractor) including the name of the owner, contact person, phone number, design architect and/or design engineer, amount subcontractor(if applicable), uncompleted amount of firm's contract/subcontract.
  8. **RI CONTRACTOR LICENSE:** Any contractor, re-modeler, and subcontractors who are in the business of building or repairing residential or commercial structures must register with the State of Rhode Island Contractors' Registration and Licensing Board as required under RI Gen Laws 5-65-19. Proof of required licenses/registrations **MUST** be included in the submission.

The State Contractors' and Licensing Board can be contacted as follows:

**Contractors' Registration and Licensing Board  
1 Capitol Hill, 2<sup>nd</sup> Floor  
Providence, RI 02908**

**Telephone:** (401) 222-1268  
**Fax:** (401) 222-1940  
**Website:** [www.crb.state.ri.us](http://www.crb.state.ri.us)

9. **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 **FOUR (4)** FORMS be completed and included in your submission package in line with federal regulations and departmental policy.
- CERTIFICATION REGARDING DEBARMENT, SUSPENSION, INELIGIBILITY & VOLUNTARY EXCLUSION - Signature sheet only must be completed by an authorized agent of your Firm and a copy must be submitted along with EACH response.
  - CERTIFICATION REGARDING DISCLOSURE OF LOBBYING ACTIVITIES (SFF-LLL) - Enter known project information on PAGE 1 (DESCRIPTION, etc.). Agency must complete and submit FORM signed by an authorized agent of your Firm and a copy must be submitted along with EACH response.
  - CONFLICTS DISCLOSURE STATEMENT - In line with directions stated, completed FORM(s) must be signed and submitted accordingly. A copy must be submitted along with EACH response.

**SUBMISSION INSTRUCTION AND DELIVERY LOCATION:**

Qualification submissions (**"Original" + FOUR (4) Copies**) should be either mailed or hand-delivered in a sealed envelope marked "*CR #35 – Continuous Recruitment for Historic Construction and Preservation Contractors*" to:

RI Dept. of Administration  
Division of Purchases, 2<sup>nd</sup> floor  
One Capitol Hill  
Providence, RI 02908-5855

All qualification submissions shall be accepted for review by RIDOT commencing the date of this solicitation up until *CR-35 Historic Construction and Preservation Contractors* expiration date DECEMBER 15, 2015.

***The State reserves the right to reject any or all submissions based on failure to meet the criteria set forth herewith.***

**-END-**

## **APPENDIX A**

### *Secretary of the Interior's Standards for Rehabilitation:*

- 1) A property will be used as it was historically or be given a new use that requires minimal change to its distinctive materials, features, spaces, and spatial relationships.
- 2) The historic character of a property will be retained and preserved. The removal of distinctive materials or alteration of features, spaces, and spatial relationships that characterize a property will be avoided.
- 3) Each property will be recognized as a physical record of its time, place, and use. Changes that create a false sense of historical development, such as adding conjectural features or elements from other historic properties, will not be undertaken.
- 4) Changes to a property that have acquired historic significance in their own right will be retained and preserved.
- 5) Distinctive materials, features, finishes, and construction techniques or examples of craftsmanship that characterize a property will be preserved.
- 6) Deteriorated historic features will be repaired rather than replaced. Where the severity of deterioration requires replacement of a distinctive feature, the new feature will match the old in design, color, texture, and, where possible, materials. Replacement of missing features will be substantiated by documentary and physical evidence.
- 7) Chemical or physical treatments, if appropriate, will be undertaken using the gentlest means possible. Treatments that cause damage to historic materials will not be used.
- 8) Archeological resources will be protected and preserved in place. If such resources must be disturbed, mitigation measures will be undertaken.
- 9) New additions, exterior alterations, or related new construction will not destroy historic materials, features, and spatial relationships that characterize the property. The new work will be differentiated from the old and will be compatible with the historic materials, features, size, scale and proportion, and massing to protect the integrity of the property and its environment.
- 10) New additions and adjacent or related new construction will be undertaken in such a manner that, if removed in the future, the essential form and integrity of the historic property and its environment would be unimpaired.

**CONSULTANTS**

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

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

**INSTRUCTIONS FOR CERTIFICATION:**

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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\_\_\_\_\_  
Signature of Authorized Agent

\_\_\_\_\_  
Date

## **Certification for Federal-Aid Construction/Consultant Contracts**

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

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

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

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

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

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

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

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

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

# DISCLOSURE OF LOBBYING ACTIVITIES

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

<p>1. Type of Federal Action:</p> <div style="display: flex; align-items: flex-start;"> <input style="width: 30px; height: 30px; margin-right: 10px;" type="checkbox"/> <ul style="list-style-type: none"> <li>a. contract</li> <li>b. grant</li> <li>c. cooperative agreement</li> <li>d. loan</li> <li>e. loan guarantee</li> <li>f. loan insurance</li> </ul> </div>	<p>2. Status of Federal Action:</p> <div style="display: flex; align-items: flex-start;"> <input style="width: 30px; height: 30px; margin-right: 10px;" type="checkbox"/> <ul style="list-style-type: none"> <li>a. bid/offer/application</li> <li>b. initial award</li> <li>c. post-award</li> </ul> </div>	<p>3. Report Type:</p> <div style="display: flex; align-items: flex-start;"> <input style="width: 30px; height: 30px; margin-right: 10px;" type="checkbox"/> <ul style="list-style-type: none"> <li>a. initial filing</li> <li>b. material change</li> </ul> </div> <p>For Material Change Only:  year _____ quarter _____  date of last report _____</p>
<p>4. Name and Address of Report Entity:</p> <input checked="" type="checkbox"/> Prime <input type="checkbox"/> Subawardee Tier ____, if known:  Congressional District, if known: _____	<p>5. If Reporting Entity in No. 4 is Subawardee, Enter Name and Address of Prime:</p>  Congressional District, if known: _____	
<p>6. Federal Department Agency:</p>	<p>7. Federal Program Name/Description:</p> CFDA Number, if applicable: _____	
<p>8. Federal Action Number, if known:</p>	<p>9. Award Amount, if known:</p> \$ _____	
<p>10. a. Name and Address of Lobbying Entity:</p> (if individual, last name, first name, mi): _____	<p>10. b. Individuals Performing Services (including address if different from No. 10a)</p> (last name, first name, mi): _____	
<p>11. Amount of Payment (check all that apply)</p> \$ _____ <input type="checkbox"/> actual <input type="checkbox"/> planned	<p>13. Type of Payment (check all that apply):</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>12. Form of Payment (check all that apply):</p> <input type="checkbox"/> a. cash <input type="checkbox"/> b. in-kind; specify: nature _____ value _____		
<p>14. Brief Description of Services Performed or to be Performed and Date(s) of Service, including officer(s), employee(s), or Member(s) contracted, for Payment indicated in Item 11 (Attach Continuation Sheet(s) SF-LLL-A, if necessary):</p>          		
<p>15. Continuation Sheet(s) SF-LLL-A attached:    <input type="checkbox"/> yes      <input checked="" type="checkbox"/> no</p>		
<p>16. Information requested through this form is authorized by title 31 U.S.C. section 1352. this disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.</p>	<p>Signature: _____</p> Print Name: _____	
	<p>Title: _____</p> Telephone No: _____ Date: _____	
<p><b>For Federal use Only:</b></p>	<p>Authorized for Local Reproduction Standard Form – LLL-A</p>	

# DISCLOSURE OF LOBBYING ACTIVITIES

## CONTINUATION SHEET

Reporting Entity: \_\_\_\_\_ Page \_\_\_\_\_ of \_\_\_\_\_

## **CONFLICTS DISCLOSURE POLICY**

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

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

