

**REQUEST FOR PROPOSALS  
FOR A CONSULTANT TO DEVELOP AN EMERGING TRANSPORTATION  
TECHNOLOGY STRATEGIC PLAN FOR THE ST. LOUIS REGION**

*Solicitation # 091416-TCHPLN*



**EAST-WEST GATEWAY  
Council of Governments**

Creating Solutions Across Jurisdictional Boundaries

***1 S. Memorial Drive, Suite 1600  
St. Louis, MO 63102***

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***August 24, 2016***

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**Request for Proposals  
for  
A Consultant to Develop Strategic Plan**

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East-West Gateway Council of Governments (the Council) is seeking proposals from a consultant or a team of consultants to develop a strategic plan for the St. Louis region that addresses the integration of emerging transportation technology into the Council's transportation planning processes.

Submittals are due no later than 1:00 p.m. local time on September 14, 2016 to the following address:

"RFP – # 091416-TCHPLN"  
c/o Mr. James M. Wild  
Executive Director  
East-West Gateway Council of Governments  
1 S. Memorial Drive, Suite 1600  
St. Louis, MO 63102-2451

Section III contains the formatting, content, and other requirements for a submittal. ***Unless otherwise due to extenuating circumstances and approved by the Council in advance, any submittals received after the date and time listed above will be rejected and returned unopened.***

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**Attachments\***

- A Price Proposal
- B Firm Responsibility Information
- C Affirmative Action Checklist
- D Contract Terms & Conditions Comments
- E RFP Minimum Requirements Checklist
- F D/S/W/MBE Participation Form
- G Letter of Intent to Perform as a D/S/W/MBE
- H Certification Regarding Lobbying

\*Fillable / savable version of Attachments A through H can be found on the Council's website at [www.ewgateway.org/RFPs/rfps.htm](http://www.ewgateway.org/RFPs/rfps.htm)

**Appendices\*\***

- 1 *Reserved – Not part of this solicitation*
- 2 Draft Contract Terms & Conditions
- 3 Conflicts of Interest Policy

\*\*Appendices are available on the Council's website at [www.ewgateway.org/RFPs/rfps.htm](http://www.ewgateway.org/RFPs/rfps.htm)

The Council is the metropolitan planning organization (MPO) and the regional Council of Governments (COG) for the bi-state, eight county St. Louis metropolitan area. The Council's service area includes: the City of St. Louis, Franklin County, Jefferson County, St. Charles County, and St. Louis County in Missouri and Madison County, Monroe County, and St. Clair County in Illinois (the St. Louis Region or Region). As the MPO for the St. Louis Region, the Council is responsible for developing and adopting plans related to the Region's surface transportation system, including the Region's Long-Range Transportation Plan (LRTP) (currently *Connected2045*), which offers the vision and priorities for the St. Louis transportation system and serves as the framework for regional transportation decision-making and investments.<sup>1</sup> The Council also develops a short-range transportation plan for the St. Louis Region – the Transportation Improvement Program (TIP) – which is a financial and implementation schedule for projects in the Region that receive federal transportation funding. The projects that are included in the TIP are prioritized based on the guiding principles described in the LRTP and each project must be consistent with the LRTP.

In addition to the long- and short-range transportation plans, the Council implements planning projects that are designed to analyze and refine the Region's transportation needs and develop solutions that utilize current transportation models and technology. The Council and its stakeholders recently completed a comprehensive update of the Region's Intelligent Transportation System (ITS) Architecture and developed a Strategic Deployment Plan.<sup>2</sup> This Architecture provides a framework for the planning and development of technology projects that improve the safety and efficiency of travel in the Region.

Recent advancements in transportation technology will potentially impact all modes of travel in the St. Louis Region, as well as the Region's economy. It is important for local and state agencies to understand what emerging transportation technology will mean to them and what potential strategies exist to assist in deployment of the technology within the St. Louis Region. Similarly, the Council needs to identify the potential impacts of this technology on the Region's transportation infrastructure and take steps to integrate it into the Council's transportation planning processes. To this end, the Council is seeking proposals from a consultant, or team of consultants (the Consultant), to prepare an analysis and a strategic plan to address these potential impacts. The purpose of the work described in this RFP is to develop an Emerging Transportation Technology Strategic Plan that will help guide the St. Louis Region in making informed decisions about transportation investments related to developing technologies and identify the most appropriate way to integrate emerging technologies into existing infrastructure and the transportation planning process.

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<sup>1</sup> The Council's long-range transportation plan can be found on-line at: <http://www.ewgateway.org/trans/longrgplan/longrgplan.htm>.

<sup>2</sup> The Region's ITS Architecture can be found on-line at: <http://www.ewgateway.org/trans/ITS/its.htm>.

### A. Tasks

The tasks described below are broadly defined and the Council's expectation is that each submittal it receives in response to this RFP will *clearly describe* the responding firm's recommended approach to each task and the deliverables (i.e. what work will the firm undertake to accomplish each task?). Firms are encouraged to propose an approach that will allow the Council to accomplish its goals for the project, even if this approach is unique or different than what is described in this Section II. Please note that if the responding firm has a recommended approach that is different from that expressed below, the responding firm's submittal should clearly explain this approach and how it will allow the Council to achieve its goals for the project.

#### ***Task #1 – Project Management/Administration***

The Consultant must oversee all aspects of the project. The Consultant must meet regularly with the Council throughout the project period. At the beginning of the project, the Consultant and the Council will hold an in-person kick-off meeting to discuss the Consultant's approach and recommendations for the project, the project schedule, communication protocols, and the project outcomes. The Consultant must hold regular conference calls and meetings with the Council staff throughout the project period. The number of meetings and format will be determined by the Consultant in consultation with the Council. Following each meeting, the Consultant must prepare and submit a brief meeting summary that captures the main talking points of the meeting, the action items, and the team member responsible for completing the action items. The Consultant must conduct a minimum of two presentations to present its findings: one presentation to the Council's Executive Advisory Committee and one presentation to the Council's Board of Directors. The Council anticipates that these presentations will be conducted at the conclusion of Task 6; however, the timing of the presentations will be finalized based on the recommendations of the Consultant.

Each submittal must include a proposed project schedule. The final project schedule will be approved by the Council and the Consultant must adhere to the approved schedule. Please refer to Part C of this Section II for more information regarding the time constraints associated with the project and the requirements for the project schedule that must be submitted.

The Consultant must submit regular invoices and progress reports to the Council and provide the Council with the information that it needs to complete its reports to the funding agencies. The Consultant will need to be available to answer any follow-up questions regarding its work or the information provided in its reports.

#### ***Task #1 Deliverables:***

- ❖ *Presentations (minimum of 2)*
- ❖ *Invoices, in approved format*
- ❖ *Project Schedule, in approved format*
- ❖ *Progress reports, in approved format*
- ❖ *Project meeting summaries, in approved format*
- ❖ *Other information, as needed*

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### **Task #2 – Surveys & Interviews**

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Interagency coordination is critical to the process of understanding and preparing for emerging transportation technology and its impact on the region. The Consultant will conduct surveys and interviews with representatives of all relevant (e.g. counties, cities, transportation technology firms, etc.) public and private firms, organizations, and agencies. Each responding firm's submittal **must** include a list that identifies the types of public and private entities that the firm recommends be surveyed and interviewed, including leading transportation technology firms. The submittal **must** also describe the recommended number of surveys and interviews that the responding firm has assumed for the project (e.g. a total of 25 entities surveyed and 10 persons interviewed). The final number of surveys and interviews and the specific persons / entities to be surveyed and interviewed will be determined by the Council based upon the Consultant's recommendation.

The survey and interview outcomes will assist in developing an Emerging Transportation Technology Strategic Plan for the St. Louis Region and are meant to improve the Consultant's understanding of:

- current activities related to emerging transportation technology both in the St. Louis Region and across the U.S.
- likely future changes in the field and potential deployment time tables
- whether affected businesses and major jurisdictions in the St. Louis Region have sufficient information/understanding of emerging transportation technologies
- how important new transportation technology is to the Region's major jurisdictions and business community
- the factors (such as safety, mobility, logistics, etc.) that are most important to the Region's local and state public agencies and businesses
- whether major jurisdictions and businesses in the St. Louis Region have established funding strategies for deploying new transportation technology

#### **Task #2 Deliverables:**

- ❖ *Documentation of public and private agency surveys and interviews*

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### **Task #3 – Research & Analysis**

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The Consultant will conduct research and review the existing studies, plans, data, documents, etc. that have examined the Region's transportation infrastructure and those related to emerging transportation technologies. This work includes, but is not limited to:

- A review of:
  - existing studies, plans, data, documents, etc. that examine the land- use and transportation infrastructure within the St. Louis region
  - recent emerging transportation technology documents, studies, deployment plans, footprint analysis documents, pilot programs' outcomes and recommendations, and long-range transportation plans that have addressed integration of emerging transportation technology

- the most recent St. Louis ITS Architecture related documents
- existing and proposed federal rulemaking for emerging transportation technology
- *Connected2045's* ten Guiding Principles and federal performance measures

Based on its research and review, the Consultant must complete an analysis of and prepare a report that addresses existing and emerging transportation technology and describes the:

- likely trends and issues that will impact deployment of new transportation technology, both in the St. Louis Region and across the U.S., and
- existing physical, policy or other challenges and impediments to deploying emerging transportation technology in the St. Louis Region.

### **Task #3 Deliverable:**

- ❖ *Report describing existing and emerging transportation technology and conditions*

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### **Task #4 – White Paper**

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Based on the work completed in Tasks 2 and 3, the Consultant will develop a white paper that includes:

- Interview and survey results (Task 2)
- A summary of existing and emerging transportation technology and conditions (Task 3)
- Overview of developing transportation technology, both in the St. Louis Region and nationally, including:
  - Timeframe for deployment of new technology
  - Phases of deployment of new transportation technology (likelihood that one type of technology will be deployed over the other)
  - Impact of new transportation technology on the existing transportation network and transportation modes
  - Impact of existing and proposed laws and regulations governing emerging transportation technology
- Impact of emerging transportation technology on Connected2045 ten Guiding Principles and federal performance measures
- Impact of emerging transportation technologies on implementation of projects in the St. Louis Regional ITS Strategic Deployment Plan and Architecture Report
- Identification of implementation challenges and institutional issues
- Identification of potential costs and funding sources for deployment, operation, and maintenance of emerging transportation technology
- Identification of potential workforce needs and training requirements
- Recommendations or strategies on how to integrate emerging transportation technology into the Region's existing transportation infrastructure

### **Task #4 Deliverables:**

- ❖ *Draft white paper, in editable format*
- ❖ *Final white paper, in editable format*
- ❖ *Relative supportive materials such as graphics, data, case study examples, or sample documents*

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### **Task #5 – Recommendations**

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The Consultant will work closely with the Council to develop a set of recommendations that addresses how the Council can best integrate emerging transportation technology into the development of the LRTP and the Council's other transportation planning activities, with a particular focus on how the Council can integrate this technology into a project and policy-based framework. Since these recommendations will be used to inform the development of the Council's LRTP, the Council will necessarily rely on the recommendations to inform investment decisions and project implementation priorities developed as part of the TIP process. Finally, the recommendations must take into consideration the Region's current ITS Architecture and Strategic Deployment Plan. These recommendations must be a substantive set of best practices that go beyond a mere bullet list of suggestions.

#### **Task #5 Deliverables:**

- ❖ *Draft recommendations, in editable format*
- ❖ *Final recommendations, in editable format*

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### **Task #6 – Emerging Transportation Technology Strategic Plan**

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The Consultant will build upon the findings and analysis in previous tasks to develop an Emerging Transportation Technology Strategic Plan (the Plan) that provides strategies for addressing emerging transportation technologies and the technology's likely impact on the St. Louis Region. The Plan must be a substantive document that will help guide the Region in making informed decisions about transportation investments related to developing technologies and identifying the most appropriate way to integrate emerging technologies into existing infrastructure and the transportation planning process. The Plan must also draw on the previous deliverables to offer guidance about how the Council and affected local agencies can adopt and deploy emerging transportation technology in the St. Louis Region. The Plan must also address how emerging technologies will impact the Region's current ITS Architecture and Strategic Deployment Plan and how these documents can or should be updated to keep pace with the changing transportation technology landscape.

#### **Task #6 Deliverables:**

- ❖ *Draft Emerging Transportation Technology Strategic Plan, in editable format*
- ❖ *Final Emerging Transportation Technology Strategic Plan, in editable format*
- ❖ *Relative supportive materials such as graphics, data, case study examples, or sample documents*

<b>B. Deliverables</b>
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Throughout the contract term, the Consultant must submit all draft and final work to the Council for review and comment. The Consultant must submit each work product electronically, in both native and \*.pdf format. At the conclusion of this project, the final versions of the reports and other deliverables described in this RFP must be packaged together and delivered to the Council on an external storage device. Throughout the course of the project, all deliverables must be delivered to the Council by the

due dates specified in the agreed upon schedule and using a method agreed upon by the Consultant and the Council.

### C. Project Schedule

The anticipated schedule for this project is December 1, 2016 through June 16, 2017. All contract work must be completed no later than June 16, 2017 unless the project period is changed using the methods described in the agreement between the Council and the Consultant. The project period may be adjusted to accommodate the actual start date of the project.

Each firm responding to this RFP must include in its submittal a recommended project schedule that, at a minimum, shows the estimated date of completion for each of the tasks and dates when the work products will be delivered to the Council. ***Submittals that do not contain a project schedule may be deemed non-responsive and rejected.***

**A. Formatting & Other Requirements**

Submittals must conform to the following parameters\*:

<b>Page #</b>	No more than 25 pages, exclusive of the required attachments
<b>Page Size</b>	8.5" X 11"
<b>Page Orientation</b>	Portrait, Landscape, or Both
<b>Margins</b>	1"
<b>Font Size</b>	Not less than 11 point font
<b>Font Type</b>	No requirement

\*The submittal requirements listed above **do not** apply to work samples.

Each responding firm must provide both printed and electronic copies of its submittal, including attachments and work sample. In addition to the parameters noted above, the submittal must adhere to the requirements described below for both the print and electronic versions.

**Print Version – Submittal w/ Attachments included**

<b># of Copies</b>	6
<b>Tabbing</b>	Divide with tabs, organized in accordance with the outline provided in Part B below*
<b>Binding</b>	No binder clips, paper clips, etc. (can use spiral binding, 3-ring binder, etc.)*

\*The tabbing and binding requirements **do not** apply to work samples. **Note that the work samples may be included as part of the printed submittal or may be submitted as separately bound documents.**

**Electronic Versions**

<b>Submittal + Attachments</b>	1 copy in *.pdf format
<b>Attachment A</b>	1 copy in *.xls or *.xlsx format
<b>Work Samples</b>	1 copy of each, in *.pdf format
<b>Storage Format</b>	1 CD, DVD, or other external storage device (e.g. USB flash drive)

Several attachments require a signature and **both** the print and electronic versions of these attachments **must include a signature**. A list of these attachments is provided below.

<b>B</b>	Firm Responsibility Information
<b>D</b>	Contract Terms & Conditions Comments
<b>E</b>	RFP Minimum Requirements Checklist
<b>F</b>	D/S/W/MBE Participation Form
<b>G</b>	Letter of Intent to Perform as a D/S/W/MBE
<b>H</b>	Certification Regarding Lobbying

#### **B. Content**

All of the items listed below must be addressed and included in each submittal. ***If all of these items are not provided in a firm's submittal, then the Council may deem the firm's submittal non-responsive and may not evaluate the submittal.***

The Council reserves the right to waive minor errors, omissions, or technicalities as determined to be in the best interest of the Council and that do not impede the Council's ability to evaluate a responding firm's quality of work, experience, or capability to perform the requested work.

In addition to the items noted below, each firm should ensure that its submittal provides any information that will be relevant to the evaluation process (see Section IV).

#### ***Sub-Part 1 – Approach & Qualifications***

1. **Letter of Interest.** This letter must summarize the firm's approach to the project and describe how the firm is particularly qualified to complete the work described in Section II. The letter must also commit the submittal for a minimum of 90 calendar days and be signed by a firm principal. ***The letter must include the name, phone number, and e-mail address of the person who the Council should contact in the event that questions arise regarding the firm's submittal.***
  
2. **Project Approach.** The general scope of work for the project has been developed by the Council's staff and is provided in Section II. Each firm's submittal must include further detail about the specific methodology or approach that the firm intends to use to complete the project. Specifically, the description should, at a minimum, address each task listed in Section II and the following:
  - (a) The firm's approach, including project management, and how this approach will benefit the Council and allow the Council to accomplish its goals for the project.
  - (b) Any unique methods that the firm may employ to complete the project and why these methods are particularly well-suited to the project.
  - (c) A proposed project schedule (see Section II, Part C).

3. **Qualifications.** Each submittal must indicate the qualifications of the responding firm as it relates to the services requested in this RFP. The qualifications should be described in a brief narrative regarding the firm's capabilities to carry out the project, including special assets, areas of expertise, analytical tools, or data sources to which the firm has access. The qualification summary must also include the following:
- (a) **Experience Summaries** – For each key person that will be assigned to the project, the submittal must include an experience summary. The summary should clearly identify the key person's prior experience on similar projects, in similar roles, and outline the responsibilities the person will have in the context of the Council's project. An experience summary must be provided for the following key personnel, as applicable:
    - ❖ Account management personnel
    - ❖ Project management
    - ❖ Personnel with specialized experience needed to complete the work*Full resumes may be included as an attachment to the submittal.*
  - (b) **Team Organization Chart** – A graphic representation of the team members that will be assigned to the project. The chart must show:
    - (i) the hierarchy of the team structure (i.e. who reports to who for purposes of the project);
    - (ii) the name and title of each individual show in the organization chart;
    - (iii) the firm for which each key person works; and
    - (iv) the role the key person will have during the project (e.g. Project Manager).
  - (c) **Addresses** – The address of the office in which each key person currently works.

***Changes to Key Personnel – By responding to this RFP, a firm agrees that the key personnel that the firm identifies in its submittal will be available for the entirety of the project, throughout the term of the contract, as long as that individual is employed by the responding firm or unless the Council agrees to a change in key personnel.***

- (d) **Prior Work Experience** – Each submittal must include a description of no less than 3 projects similar in type and scope to the project described in this RFP. The projects described in the submittal must have been undertaken by the responding firm within the previous 3 years. In addition, for **each** project described, the submittal must include all of the following information:
  - (i) Project name and location.
  - (ii) Client point of contact to include: name, phone number, and e-mail address.
  - (iii) Brief project description.
  - (iv) Completion date for both: scheduled completion date and actual completion date.
  - (v) Budget information for both: initial project budget and the final project expenditures.

- (vi) If applicable, an explanation for any deviations in project completion dates or any deviations in the project budget.

*Note that the Council understands that, due to confidentiality agreements, some of the above information may be considered confidential; therefore, the Council does not expect firms to provide any confidential information in response to this Section III, Sub-Part 1, #3(d). However, to the extent possible, firms should avoid using project descriptions from those clients that restrict information sharing. If this cannot be avoided, then a responding firm must provide as much non-confidential information as possible. The information provided must allow the Council to determine that the firm's projects meets the requirements described in Section III, Sub-Part 1, #3(d) and that the firm has a history of completing its projects on time and within budget. Responding firms should be aware that if the Council is not provided sufficient information, then the firm's submittal may be deemed non-responsive and rejected.*

- (e) *Work Sample(s)* – Each responding firm must submit 6 printed and bound copies and 1 electronic copy of at least 2 work sample that demonstrate that the responding firm has developed the type of plan described in this RFP. The work samples must have been produced by the responding firm for a project completed within the previous 3 years.
- (f) *References* – Each responding firm must provide at least 3 professional references. These references should be entities or organizations for which the responding firm has completed work. The reference information provided in the submittal must include all of the following point of contact information:
- (i) Organization's name.
  - (ii) Contact person's name, phone number, and e-mail address.

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#### **Sub-Part 2 – Project Price**

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The Council intends to award a single, firm fixed price contract for the services described in this RFP. Each submittal must include a price proposal. Each firm must submit its price proposal using *Attachment A – Price Proposal* (Attachment A). Attachment A is available in \*.xlsx format on the Council's website at [www.ewgateway.org/RFPs/rfps.htm](http://www.ewgateway.org/RFPs/rfps.htm). This spreadsheet may only be modified as noted in the file.

*The Council reserves the right to reject, as non-responsive, submittals that **do not** include:*

- ❖ *Attachment A in the required format*
- ❖ *All of the information requested in Attachment A*
- ❖ *A price for each component of the project, including any optional services (if applicable)*
- ❖ *Pricing information for subcontractors*

*The Council reserves the right to select any portion of the proposed services, only the optional services, or any combination of the offered / optional services and the final project costs will be determined based upon the services selected.*

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#### ***Sub-Part 3 – Firm Responsibility Information***

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Each responding firm must provide in its submittal a signed Attachment B – *Firm Responsibility Information* (Attachment B). This information will be used during Step 1 of the evaluation process and may be provided to the selection committee during other stages of the evaluation process. ***A submittal that does not include the information necessary for the Council to make its determination regarding a firm’s responsibility may result in the Council determining that the responding firm is not responsible and, therefore, is ineligible to be awarded a contract for the project.***

Attachment B includes several forms, as follows:

1. Corporate Profile
2. Financial & Resource Capacity
  - (a) Time Availability for Key Personnel
3. Insurance Coverage
4. Legal Proceedings
5. Statement of Past Performance
6. Conflicts of Interest Questionnaire & Disclosure Statement
7. Certification Regarding Debarment and Suspension

Each form in Attachment B must be completed in its entirety. A responding firm is **not** permitted to substitute its own format or information for the forms included in Attachment B.

The Council does not expect a responding firm to provide any confidential or proprietary information on any form contained in Attachment B; however, the Council does expect a responding firm to provide sufficient information that the Council can use to make a responsibility determination.

***Responding firms should be aware that the Council may deem a firm’s submittal non-responsive and reject the submittal for: (1) failure to sign Attachment B; (2) failure to provide all of the information requested in Attachment B; or (3) failure to provide sufficient information for the Council to make a responsibility determination. The Council reserves the right to waive minor errors, omissions, or technicalities in Attachment B as determined to be in the best interest of the Council.***

Additional instructions are provided in Attachment B.

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#### ***Sub-Part 4 – Other Forms & Certifications***

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1. Affirmative Action Checklist. Each responding firm must complete and submit *Attachment C – Affirmative Action Checklist*.
2. Contract Terms & Conditions. The draft contract terms and conditions are provided in Appendix 2. These terms will govern the project and may change if circumstances warrant it; however, any terms required by state or federal rules, regulations, or statutes or by the Council’s agreement with a funding agency, are non-negotiable and are not subject to change. Each

responding firm must review the terms and complete, sign, and submit *Attachment D – Contract Terms & Conditions Comments*, which will notify the Council of the firm’s questions or concerns about the contract terms and conditions.

*Please note that certain appendices referred to in Appendix 2 (e.g. Appendix I (Scope of Work) and Appendix II (Milestone Payment Schedule)) will not be included in Appendix 2 because these appendices are developed by the Council and the Consultant during contract negotiations.*

3. RFP Checklist. Each responding firm must complete, sign, and submit *Attachment E – RFP Minimum Requirements Checklist*.
  
4. D/S/W/MBE Participation. The Council encourages D/S/W/MBE participation. D/S/W/MBE includes: disadvantaged, small, women-owned, and minority business enterprises. Please refer to Section VII for more information about what constitutes a certified D/S/W/MBE. In order to document the D/S/W/MBE participation for the project, each responding firm must submit **ONE** of the following, as applicable:
  - (a) *No D/S/W/MBE Participation* – If the D/S/W/MBE participation for the project is 0%, the submittal must include a statement that there is no D/S/W/MBE participation for the project.

**OR**

  - (b) *Some D/S/W/MBE Participation* – If the responding firm is a D/S/W/MBE or intends to hire / has hired a D/S/W/MBE to perform work for the project, then the submittal must include **each** of the following:
    - (i) *Attachment F – D/S/W/MBE Participation Form*.
    - (ii) *Attachment G – Letter of Intent to Perform as a D/S/W/MBE for **each** certified D/S/W/MBE*.
  
5. Lobbying Certification. Each responding firm must complete, sign, and submit *Attachment H – Certification Regarding Lobbying*. This certification will also be included as part of any contract that is awarded for the project.

The Council’s selection of a firm to provide the services described in this RFP will be conducted in accordance with the Council’s purchasing policies and procedures. Unless otherwise noted in this RFP, the Council will open and review each submittal that the Council received by the deadline described in Section IX, Part C. Each submittal will be evaluated according to the steps and criterion listed in this Section IV.

Upon successful selection approval, the Council will make the contract award to a responsible firm which provided a submittal that is most advantageous to the Council. The Council reserves the right to select a firm other than the one that offered the lowest proposed price or to select a firm other than the one with the highest rank (i.e. #1) if doing so would be in the best interest of the Council. The Council also reserves the right to make a selection for the project based solely on the information contained in the submittal and without conducting any discussions with any firm. If the Council decides to conduct discussions, it will proceed as described below.

***Discussions and Clarifications***

At its option, and if the Council determines that it is in its best interest, the Council may conduct additional discussions with any firm at any time prior to making a final selection. These discussions may pertain, but are not limited to: clarifying information contained in the firm’s submittal or provided by the firm to the Council, clarifying information contained in the solicitation documents, obtaining additional information from the firm, negotiating the scope of work / submittal, permitting a firm to modify its submittal, etc. As part of this process, the Council may elect to conduct oral discussions, request more information, and request presentations concerning the firm’s project approach and its ability to meet the project’s requirements, including the budget. In general, the Council will conduct these discussions with a firm that is in the “competitive range.” Competitive range means that the firm has a reasonable chance of being selected for the contract award, when relevant factors are considered (e.g. price, other evaluation / selection factors); however, the Council may choose to conduct these discussions with all firms that provided a submittal or only those firms that were deemed responsible and that provided a responsive submittal.

If these discussions lead the Council to determine that the solicitation documents were unclear or otherwise deficient and need to be modified, then the Council will follow the procedures described in Section V, Part I.

**A. Step 1 – Responsiveness / Firm Responsibility**

During Step 1 of the evaluation process, the Council will review a submittal to ensure that it meets all of the minimum RFP requirements and that the responding firm is responsible. Each factor is described in more detail below. No points are assigned during this step of the evaluation process. Rather, the Council reviews the submittal and assigns either a “yes” or a “no” for each item of information reviewed.

1. Responsiveness. In order to be deemed responsive, a submittal must meet all of the minimum RFP requirements, as these requirements are described in Section III. A submittal that does not meet the minimum RFP requirements may be rejected as non-responsive and may not continue to future steps of the evaluation and selection process. *The Council reserves the right to waive*

*minor errors, omissions, or technicalities as determined to be in the best interest of the Council and that do not impede the Council's ability to evaluate a responding firm's quality of work, experience, or capability to perform the requested work.*

2. **Firm Responsibility.** The Council will not award a contract for the project to a firm that the Council determines is not responsible. For each responsive submittal, the Council will conduct a review of the firm's responsibility. The Council may make its determination regarding firm responsibility based upon the responding firm's submittal, reference evaluations, a review of the firm's financial situation, and any other information the Council requests or determines is relevant to its determination. Many of the factors described in this Section IV, Part A, #2 may also be used in the next steps of the evaluation process. ***A submittal that does not include the information necessary for the Council to make its determination regarding firm responsibility may result in the Council determining that the responding firm is not responsible and, therefore, ineligible to be awarded a contract for the project.***
- (a) **Definition** – A “responsible” firm is one that:
- (i) does not have any corporate, legal, or financial barriers to successful performance,
  - (ii) has, or has the ability to obtain, the financial and resource capacity to successfully complete the work described in this RFP within the estimated performance period,
  - (iii) has a satisfactory performance record, and
  - (iv) is not currently suspended or debarred or is not currently being considered for suspension or debarment.
- (b) **Factors** – The Council's determination of firm responsibility may include an evaluation of the following factors:
- (i) The firm's corporate profile. *Does the submittal provide a clear description of the firm and demonstrate that the firm has stability and the organizational controls necessary to perform all of the services throughout the entire contract period?*
  - (ii) The firm's current financial and resource capacity. *Does the submittal indicate that the firm has the necessary financial strength and resources (e.g. staff, facilities) or the ability to obtain the resources needed to successfully complete the project?*
  - (iii) The firm's past performance and record of integrity and business ethics. *Does the submittal indicate that the firm has a history of successful performance, no history of violating laws, regulations, or rules, and no history of a lack of integrity or business ethics?*
  - (iv) The firm's status regarding suspension or debarment? *Is the firm currently suspended or debarred by any state or federal authority? Is the firm currently being considered for suspension or debarment by any state or federal authority?*

**B. Step 2 – Submittal Evaluation**

A selection committee will evaluate each submittal that is deemed to be responsive and that is deemed to be from a responsible firm. The selection committee's evaluation will be conducted using the scoring and ranking processes described below.

***Sub-Part 1 – Scoring Process***

Each submittal will be evaluated and assigned point values as indicated in Sub-Part 4 below. Based on the outcome of the computations performed, each firm will receive a total score from each member of the selection committee.

***Sub-Part 2 – Ranking Process***

After each selection committee member has independently scored each submittal, the committee will discuss each firm's submittal, any additional information obtained by the Council or from Step 3, and the individual scores. Based on these discussions, the selection committee will, as a group, rank the firms based on a consensus of the committee members.

***Sub-Part 3 – Short Listing Process (Optional)***

If the Council determines that interviews are necessary, the Council will create a "short-list" of firms. The Council will create this short-list from the highest ranking firms. The short-listed firms will continue to Step 4 of the evaluation process. Those firms that are not short-listed will not be invited for interviews or selected for contract award. The Council is in no way required to create a short-list or to select a certain minimum or maximum number of firms for a short-list.

If the Council determines that interviews are not necessary, then the evaluation process will proceed directly to Step 5. At its option, the Council may proceed from Step 2 to Step 4 and not conduct Step 3 of the evaluation process.

***Sub-Part 4 – Scoring Criteria***

1. **Qualifications & Experience (35 points).** The qualifications and experience of the firm and the key personnel assigned to the project. The factors that the selection committee may consider include, but are not limited to:
  - ❖ The qualifications of the firm, the subcontractors, and the key personnel assigned to the project
  - ❖ The firm's, the subcontractors', and the key personnel's prior experience performing planning work similar to the work described in Section II
  - ❖ The firm's experience working with governmental entities similar to the Council
  - ❖ The firm's project descriptions and work sample(s) clearly indicate that the firm has the experience sought by the Council

2. Project Understanding (30 points). The firm's understanding of the project requirements, scope of work, and any conditions that may affect the project. The factors that the selection committee may consider include, but are not limited to:
  - ❖ The firm provided a clear and concise written submittal that demonstrates that the firm understands the scope of work and the Council's goals for the project
  - ❖ The firm's submittal demonstrates a thorough approach or methodology for providing the requested services
  - ❖ The firm and the key personnel are familiar with the Council and its mission / purpose, the project area, any local / regional conditions that may affect the project, and the stakeholders and other constituents that will be affected by the project
  - ❖ The firm has dedicated sufficient personnel to the project so that the project deadlines can be met
  - ❖ The project manager and other key personnel have committed sufficient time to the project so that the project deliverables can be provided within the contract period
  
3. Past Performance (20 points). The firm's past performance on other projects. The factors that the selection committee may consider include, but are not limited to:
  - ❖ The project descriptions provided by the firm indicate that the firm has consistently completed its projects on time and within budget
  - ❖ The firm's statement of past performance indicates that the firm has a history of successfully completing projects and working closely with clients
  - ❖ The firm's project descriptions and work samples demonstrate that the key staff persons assigned to the Council's project have worked in similar roles on prior projects
  
4. Project Price (10 points). The factors that the selection committee may consider include, but are not limited to:
  - ❖ The reasonableness and adequacy of the proposed project price, as compared to the other price proposals submitted for the project
  
5. D/S/W/MBE Participation (5 points). The level of D/S/W/MBE participation the firm will provide and the experience of the D/S/W/MBEs included on the responding firm's project team. The factors that the selection committee may consider include, but are not limited to:
  - ❖ The firm's committed level of D/S/W/MBE participation for the project
  - ❖ The D/S/W/MBEs included on the project team have the experience necessary to complete the work that the responding firm has assigned to the D/S/W/MBE

**C. Step 3 – Reference Checks (Optional)**

The Council may elect to contact the references of the top-ranked or short-listed firms. The reference check process, if conducted, will proceed as follows:

1. Reference Check Forms. Each reference will be sent a reference check form via e-mail. The reference will be provided the option to provide a reference in one of two ways: (a) complete the form and return it via e-mail or fax; or (b) complete the form over the phone.
2. Deadline. Each reference will be provided a deadline by which he / she must return the completed reference check form or provide a reference over the phone. In the event that a firm's reference does not meet the deadline, the Council may, at its option, contact the responding firm to obtain an alternate reference.
3. Results. No points will be assigned to a firm based upon the reference checks. The reference check forms will be provided to the selection committee to use during Step 4 of the evaluation process. Even if no interviews are conducted, the Council may determine that reference checks will be conducted and the reference check results may be used by the Council or the selection committee to determine the final firm ranking (see Steps 2 and 5).

**D. Step 4 – Interviews (Optional)**

At its option, the Council may invite the short-listed firms to attend an oral interview. The Council will notify each short-listed firm that it has been selected for an interview. The selection committee will evaluate each firm as described below.

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**Sub-Part 1 – Scoring Process**

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Each firm will be evaluated and assigned point values as indicated in Sub-Part 2 below. Based on the outcome of the computations performed, each firm will receive a total score from each member of the selection committee.

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**Sub-Part 2 – Scoring Criteria**

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1. Qualifications & Experience (25 points). The qualifications and experience of the firm and the key personnel assigned to the project. The selection committee will consider the information provided by the responding firm's key team members present at the interview. The information that the selection committee may consider include, but are not limited to:
  - ❖ Whether or not the project team has the qualifications sought by the Council
  - ❖ Whether or not the project team has the experience necessary to successfully complete the project
  - ❖ Whether or not the project team has experience working with governmental entities similar to the Council and navigating the challenges that this may present

2. Project Understanding (25 points). The firm's understanding of the project requirements, scope of work, and any conditions that may affect the project. The selection committee will consider the information provided by the responding firm's key team members present at the interview. The information that the selection committee may consider include, but are not limited to:
  - ❖ Whether or not the project team understands the scope of work and the Council's goals for the project and how best to accomplish the work
  - ❖ Whether or not the project team's proposed project approach or methodology will allow the Council to achieve its goals, including the team's proposed approach to project collaboration, communications, etc.
  - ❖ Whether or not the project team are familiar with the Council and its mission / purpose, the project area, any local / regional conditions that may affect the project, and the stakeholders and other constituents that will be affected by the project and understands how each of these will affect the project work and the needed approach

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**E. Step 5 – Final Firm Ranking**

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1. Post-Interview Final Ranking. If interviews are conducted, then, at the conclusion of Steps 1 through 4 of the evaluation process, the selection committee will develop a final ranking of the interviewed firms based on a consensus of the committee members using the information obtained throughout the evaluation process. The rank for each firm that was not short-listed for an interview will be the rank established by the selection committee during Step 2. The Council will note each firm's rank on a Firm Selection Form according to the final firm ranking determined by the selection committee (e.g. 1, 2, 3, 4).
2. No Interviews Conducted. If the Council does not conduct interviews, then the final firm ranking will be the selection committee's consensus ranking that was established during Step 2. The Council will note each firm's rank on a Firm Selection Form.

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**F. Step 6 – Selection & Negotiations**

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The final selection and contract award process will proceed as described below. The award process is considered open and on-going until all final negotiations have concluded.

1. Board Approval. After the conclusion of Step 5 and any other discussions / negotiations with the firm, the firm that provided a submittal that is most advantageous to the Council will be recommended to the Council's Board of Directors for contract award and approval of the contract price (this may be a firm that did not receive the highest rank after all stages of the evaluation process (i.e. #1) if it is in the best interest of the Council). If the Board of Directors approves the selection recommendation and contract price, then the Council can begin negotiations with the selected firm.
2. Firm Notifications. Once the Board of Directors has approved the selection recommendation and contract price, the Council will notify the selected firm that it has been awarded the contract. The Council may notify the unsuccessful firms of the results at any time after the

Board of Directors has approved the selection recommendation and contract price. The Council may, at its option, elect to notify unsuccessful firms only after all negotiations have been concluded and a contract has been executed.

3. Contract Negotiations. The Council may negotiate the contract terms and, at its option, refine the scope of work. As part of the negotiation process, the Council may elect to conduct oral discussions, request clarifications, and request presentations concerning the firm's project approach and its ability to meet the contract's requirements. If the Council cannot successfully negotiate a contract with the selected firm, then the Council may formally, and in writing, end all negotiations with the selected firm and may elect to:
- (a) proceed to negotiate with the next available firm in the order of selection ranking until a contract is successfully reached or negotiations with all ranked firms end; or
  - (b) close the procurement process without conducting any negotiations with other firms.

*During contract negotiations – with the exception of minor elements of cost, changes needed due to scope refinement, or due to good cause, the Council will not negotiate the project cost and the price provided in the selected firm's final price proposal and approved by the Board of Directors will be the final contract price.*

**A. Modifications of the Solicitation Documents**

During the procurement process (including the evaluation and selection process), if the Council determines that this RFP is unclear, information is missing, or is otherwise deficient, the Council may decide to modify the solicitation documents by issuing an Addendum. In the event the solicitation documents are modified, the Council will determine how the evaluation and selection process will proceed (i.e. revert back to Step 2) and will explain this process in the Addendum document. The Council will notify the appropriate firms (e.g. the highest ranked, those in the competitive range) and provide instructions on how to provide a modified submittal. The Council is not required to notify any firms that had a submittal that was deemed non-responsive or any firms that were not deemed responsible. *The Council is under no obligation to modify the solicitation documents or provide any particular firm an opportunity to change its submittal. At all times, the Council will make its decisions based upon what is in the Council's best interest.*

**B. Withdrawing a Submittal**

A responding firm may withdraw or modify its submittal up to date and time noted in Section IX, Part C. A responding firm that wishes to withdraw or modify its submittal must provide a written notice (signed and on company letterhead) to the Council's designated point of contact identified in Section IX, Part A. Except as noted in Section V, Part A, once the deadline specified in Section IX, Part C has passed, a responding firm will not be permitted to withdraw or modify its submittal, unless the Council determines that it is in the Council's best interest to permit a firm to do so.

**C. No Obligation to Award Contract or Pay for Cost to Develop Submittal**

This RFP does not commit the Council to award a contract, to pay for any costs incurred in the preparation of a submittal, or to procure or contract for any particular goods or services.

**D. Cancellation of this Request**

The Council reserves the right to accept or reject any or all of the submittals received as a result of this RFP. The Council may also cancel this RFP, in whole or in part, at any time including, but not limited to, after the Council's Board of Directors has authorized the Executive Director to enter into a contract. The Council will make these determinations based upon what is in the Council's best interest.

**E. Unauthorized Communications**

After the release of this RFP, a responding firm's contact regarding this RFP or the subject of this RFP must be limited to the person identified in Section IX, Part A. Unless the person contacted is the person identified in Section IX, Part A, any communication (whether oral or written) about this RFP or the subject of this RFP with any person or organization listed below is prohibited and may result in the responding firm's disqualification from the procurement process.

1. Members of the evaluation team or selection committee.
2. A Council staff member.
3. A member of the Council's Board of Directors or other committees.

*The restrictions noted here apply equally to any of the responding firm's subcontractors or joint venture partners.*

**F. Gratuities, Favors, Gifts Prohibited**

A responding firm is prohibited from offering any gratuity, favor, gift, or anything of monetary value to any officer, employee, agent, director, or Board or committee member of the Council for the purpose of influencing a favorable disposition toward the firm's selection for contract award or otherwise affecting the procurement process. *The restrictions noted here apply equally to any of the responding firm's subcontractors or joint venture partners.*

**G. Non-Endorsement**

If a firm is selected for contract award, the firm shall not issue any news releases or other statements pertaining to the award or the agreement that state or imply the Council's endorsement of the firm's services.

**H. Public Records & Information**

Responding firms should be aware that any information submitted in response to this RFP might be subject to disclosure under the Missouri Sunshine Act or the Federal Freedom of Information Act. The Council will handle all requests for information related to this RFP in accordance with applicable federal and state statutes. The Council will not disclose any information submitted in response to this RFP *prior* to the selection and retention of a consultant unless the firm provides the Council with written authorization or the Council is compelled to disclose the information by law or judicial decree.

I. Contract Type

The Council anticipates awarding a single, firm fixed price contract paid based upon milestone completion / delivery of products. ***The payments issued by the Council under the contract will be for only completed milestones, and, except as stated in Appendix 2, Paragraph 10, Part (c)(vi), payments for partial milestones completed or percent work completed are not authorized.***

J. Project Funding

The Council anticipates funding the project using a combination of federal funds from the U.S. Department of Transportation through the Missouri Department of Transportation and the Illinois Department of Transportation and local funds. The total funding available for this project is less than \$100,000.

The Consultant shall not discriminate on grounds of the race, color, religion, sex, disability, age, national origin, or ancestry of any individual in the selection and retention of subcontractors, including procurement of materials and leases of equipment. The Consultant shall not participate either directly or indirectly in the discrimination prohibited by 49 CFR Subtitle A, Part 21.5 including employment practices.

These nondiscrimination requirements apply to all solicitations either by competitive bidding or negotiation made by the Consultant for work to be performed under a subcontract, including procurement of materials or equipment. The Consultant shall notify each potential subcontractor or supplier of these requirements relative to nondiscrimination on grounds of the race, color, religion, sex, disability, age, national origin, or ancestry of any individual.

**A. The Council's DBE Program**

East-West Gateway Council of Governments has adopted a Disadvantaged Business Enterprise Program (DBE) to insure that DBEs, which includes small (S), women-owned (W), and minority owned (M) business enterprises (collectively D/S/W/MBE), have an equal opportunity to participate in Council projects. D/S/W/MBEs are encouraged to provide a submittal as prime contractors for this project. Non-disadvantaged firms are encouraged to use D/S/W/MBEs as subcontractors or form joint ventures on the project. All D/S/W/MBE participation will be governed by the Council's DBE Program.

**B. Definitions**

1. Disadvantaged Business. The term "Disadvantaged Business" means a small business concern:
  - (a) which is at least 51 percent owned by one or more socially and economically disadvantaged individuals, or, in the case of any publicly owned business, at least 51 percent of the stock is owned by one or more socially and economically disadvantaged individuals; and
  - (b) whose management and daily business operations are controlled by one or more of the socially and economically disadvantaged individuals who own it.
  
2. Presumption of Disadvantage. Members of the following named groups will be presumed to be both socially and economically disadvantaged by the Council:
  - (a) Black Americans,
  - (b) Hispanic Americans,
  - (c) Native Americans,
  - (d) Asian Pacific Americans,
  - (e) Asian Indian Americans,
  - (f) women (regardless of race, ethnicity or origin), and
  - (g) persons certified as socially and economically disadvantaged by the Small Business Administration (SBA) under the SBA Section 8(a) program.
  
3. Women's Business Enterprise & Minority Business Enterprise. The terms "Women's Business Enterprise" and a "Minority Business Enterprise" have the meanings set forth by the Missouri Office of Equal Opportunity (MoOEO), found at: [http://oeo.mo.gov/oeo\\_certifications/](http://oeo.mo.gov/oeo_certifications/).
  
4. Small Business Enterprise. The term "Small Business Enterprise" is defined in accordance with the SBA's definition, as follows:
  - (a) *"... a small business concern is one that is independently owned and operated, is organized for profit, and is not dominant in its field. Depending on the industry, size standard eligibility is based on the average number of employees for the preceding twelve months or on sales volume averaged over a three-year period."*

- (b) The Council will use the SBE size standards provided in 13 CFR Part 121 (as it may be amended from time-to-time) to determine a small business enterprise's eligibility.

**C. Certifications**

1. DBE. In order to be considered a DBE, a firm must be certified and registered as a DBE with the Missouri Department of Transportation (MoDOT) or the Illinois Department of Transportation (IDOT). The MoDOT and IDOT directories can be found at the following URLs:
  - (a) [MoDOT MRCC Directory](#)
  - (b) [IDOT UCP Directory](#)
2. W/MBE. In order to be considered a WBE or MBE, a firm must be certified and registered with MoDOT, IDOT, or MoOEO. The MoOEO W/MBE directory can be found here: <https://apps1.mo.gov/oeo/>.
3. SBE. In order to be considered an SBE, a firm must certify that it meets the definition of a small business, as indicated above.

*A D/S/W/MBE may include in its submittal a copy of its MoDOT, IDOT, MoOEO, or SBA certification.*

**D. DOT Requirements**

Federal regulations require that responding firms take affirmative steps to ensure that D/S/W/MBEs have an equal opportunity to participate in and are used, when possible, on projects that are wholly or partially funded with DOT grant funds. These affirmative steps include:

1. placing qualified D/S/W/MBEs on solicitation lists for subcontracts or joint ventures;
2. assuring that D/S/W/MBEs are solicited whenever they are potential sources of work or supplies;
3. dividing total project requirements, when economically feasible, into smaller tasks or quantities to permit maximum participation by D/S/W/MBEs;
4. establishing delivery schedules, where the solicitation documents permit, which encourage participation by D/S/W/MBEs; and
5. using the services and assistance, as appropriate, of the SBA and the Minority Business Development Agency of the Department of Commerce.

In the course of this RFP and the evaluation and selection process, a responding firm (bidder or offeror whose direct economic interest would be affected by the award of the contract) may file a protest when, in the firm's opinion, actions were taken by the Council's staff or the selection committee which could unfairly affect the outcome of the evaluation and selection process.

All protests should be in writing and directed to:

Executive Director  
East-West Gateway Council of Governments  
1 S. Memorial Drive, Suite 1600  
St. Louis, MO 63102

Protests should be made immediately upon the occurrence of the incident in question, but no later than three days after the responding firm received notification of the outcome of the evaluation and selection process. The protest should clearly state the grounds for the protest.

Upon receipt of the protest, the Executive Director will review the actual procedures followed during the evaluation and selection process and the documentation available. If it is determined that the action(s) unfairly changed the outcome of the evaluation and selection process, negotiations with the selected firm will cease until the matter is resolved.

**A. Inquiry Submission & Deadline**

Inquiries regarding this RFP must be submitted no later than 1:00 p.m. local time on September 12, 2016. The Council will not accept any inquiries after this date and time. Inquiries include questions about or requests for clarification of the information contained in this RFP or about the project in general. All inquiries must be submitted to:

Staci Alvarez  
Grant/Contract Compliance Administrator  
East-West Gateway Council of Governments  
1 S. Memorial Drive, Suite 1600  
St. Louis, MO 63102  
(314) 421-4220 ext. 263  
[staci.alvarez@ewgateway.org](mailto:staci.alvarez@ewgateway.org)

**B. Q & A – Addendums Posted On-Line**

In order to ensure that all firms receive the same information about this RFP or the project, the Council will post its response to any inquiry on its website at [www.ewgateway.org/RFPs/rfps.htm](http://www.ewgateway.org/RFPs/rfps.htm). Each firm should visit the Council’s website periodically to check for any additional information. If a firm wishes to have a printed copy of the information mailed to it, then the firm must mail or e-mail a written request to the person identified in Section IX, Part A. This request must be received no later than 1:00 p.m. local time on September 12, 2016.

**C. Submission Date, Time & Address**

Submittals are due no later than 1:00 p.m. local time on September 14, 2016 to the following address:

“RFP – # 091416-TCHPLN”  
c/o Mr. James M. Wild  
Executive Director  
East-West Gateway Council of Governments  
1 S. Memorial Drive, Suite 1600  
St. Louis, MO 63102-2451

A submittal will **not** be accepted if it is:

- ❖ Faxed
- ❖ E-mailed

Section III contains the formatting, content, and other requirements for a submittal. ***Unless otherwise due to extenuating circumstances and approved by the Council in advance, any submittals received after the date and time listed above will be rejected and returned unopened.***

*All submittals, including any attachments, appendices, and work samples, that are received in response to this RFP will become the exclusive property of the Council and will not be returned to the responding firm unless otherwise noted in this RFP or the Council determines that returning the submitted materials is warranted.*

**D. Optional Pre-Submittal Meeting**

***On September 2, 2016 the optional pre-submittal meeting was cancelled.***

**E. Interviews**

Interviews, if conducted, are tentatively scheduled for Thursday, October 6, 2016. It is anticipated that each firm selected for an interview will be notified of the interview no later than September 26, 2016.

**F. Solicitation Schedule**

Below is a tentative schedule for this solicitation. This schedule may be modified, as needed.

Description	Date
Pre-Submittal Meeting	Cancelled
Submittals due	9/14/16
Selection Committee review / firm short-listing*	9/22/16
Interview notices sent*	9/26/16
Interviews* / firm selected for contract award	10/6/16
Board meeting / contract award approval	10/26/16
Selection notifications sent	10/27/16

*\*Note that short-listing and interviews are optional and may not be conducted.*

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## **ATTACHMENTS**

*Fillable / Savable versions of the attachments are available on-line at:*

[www.ewgateway.org/RFPs/rfps.htm](http://www.ewgateway.org/RFPs/rfps.htm)

Emerging Transportation Technology Strategic Plan RFP  
Solicitation # 091416-TCHPLN  
Attachment A - Price Proposal, Prime

Attachment A - Price Proposal

Tasks		PRIME CONTRACTOR																Total	
		Staff #1		Staff #2		Staff #3		Staff #4		Staff #5		Staff #6		Staff #7		Staff #8			
		Hrs	Costs	Hrs	Costs	Hrs	Costs	Hrs	Costs	Hrs	Costs	Hrs	Costs	Hrs	Costs	Hrs	Costs		
1 - Project Management / Administration			\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00	0	\$0.00
2 - Surveys & Interviews			\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00	0	\$0.00
3 - Research & Analysis			\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00	0	\$0.00
4 - White Paper			\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00	0	\$0.00
5 - Recommendations			\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00	0	\$0.00
6 - Emerging Transportation Technology Strategic Plan			\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00	0	\$0.00
<b>Hours &amp; Raw Labor Costs Subtotal</b>		<b>0</b>	<b>\$0.00</b>	<b>0</b>	<b>\$0.00</b>	<b>0</b>	<b>\$0.00</b>	<b>0</b>	<b>\$0.00</b>	<b>0</b>	<b>\$0.00</b>	<b>0</b>	<b>\$0.00</b>	<b>0</b>	<b>\$0.00</b>	<b>0</b>	<b>\$0.00</b>	<b>0</b>	<b>\$0.00</b>
<b>O/H Rate</b>	<b>Rate</b>																		
	<b>0</b>																		
<b>Fixed Fee Rate</b>	<b>Rate</b>																		
	<b>0</b>																		
<b>ODCs</b>																			<b>\$0.00</b>
<b>Prime Total</b>		<b>0</b>	<b>\$0.00</b>	<b>0</b>	<b>\$0.00</b>	<b>0</b>	<b>\$0.00</b>	<b>0</b>	<b>\$0.00</b>	<b>0</b>	<b>\$0.00</b>	<b>0</b>	<b>\$0.00</b>	<b>0</b>	<b>\$0.00</b>	<b>0</b>	<b>\$0.00</b>	<b>0</b>	<b>\$0.00</b>

Other Direct Costs (ODCs)			
Item	Unit	Rate	Total
Airfare	0	\$0.00	\$0.00
Meals	0	\$54.00	\$0.00
Lodging	0	\$143.58	\$0.00
Ground Transportation	0	\$0.00	\$0.00
Car Rental	0	\$0.00	\$0.00
Parking	0	\$0.00	\$0.00
Mileage	0	\$0.54	\$0.00
Printing #1	0	\$0.00	\$0.00
Printing #2	0	\$0.00	\$0.00
Delivery #1	0	\$0.00	\$0.00
Delivery #2	0	\$0.00	\$0.00
Subcontractor #1	1	\$0.00	\$0.00
Subcontractor #2	1	\$0.00	\$0.00
Subcontractor #3	1	\$0.00	\$0.00
Subcontractor #4	1	\$0.00	\$0.00
Subcontractor #5	1	\$0.00	\$0.00
Subcontractor #6	1	\$0.00	\$0.00
Subcontractor #7	1	\$0.00	\$0.00
<b>Total ODCs</b>			<b>\$0.00</b>

<i>Out-of-Region Travel</i>	<i>\$0.00</i>
<i>In-Town Travel</i>	<i>\$0.00</i>
<i>Printing/Delivery</i>	<i>\$0.00</i>
<i>Subcontractors</i>	<i>\$0.00</i>
<i>Total</i>	<i>\$0.00</i>

Assumptions:

Emerging Transportation Technology Strategic Plan RFP  
Solicitation # 091416-TCHPLN  
Attachment A - Price Proposal, Sub #1

Attachment A - Price Proposal

Tasks		SUBCONTRACTOR																Total	
		Staff #1		Staff #2		Staff #3		Staff #4		Staff #5		Staff #6		Staff #7		Staff #8			
		Hrs	Costs	Hrs	Costs	Hrs	Costs	Hrs	Costs	Hrs	Costs	Hrs	Costs	Hrs	Costs	Hrs	Costs		
1 - Project Management / Administration			\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00	0	\$0.00
2 - Surveys & Interviews			\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00	0	\$0.00
3 - Research & Analysis			\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00	0	\$0.00
4 - White Paper			\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00	0	\$0.00
5 - Recommendations			\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00	0	\$0.00
6 - Emerging Transportation Technology Strategic Plan			\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00	0	\$0.00
<b>Hours &amp; Raw Labor Costs Subtotal</b>		<b>0</b>	<b>\$0.00</b>	<b>0</b>	<b>\$0.00</b>	<b>0</b>	<b>\$0.00</b>	<b>0</b>	<b>\$0.00</b>	<b>0</b>	<b>\$0.00</b>	<b>0</b>	<b>\$0.00</b>	<b>0</b>	<b>\$0.00</b>	<b>0</b>	<b>\$0.00</b>	<b>0</b>	<b>\$0.00</b>
<b>O/H Rate</b>	<b>Rate</b>																		
	<b>0</b>																		
<b>Fixed Fee Rate</b>	<b>Rate</b>																		
	<b>0</b>																		
<b>ODCs</b>																			<b>\$0.00</b>
<b>Subcontractor Total</b>		<b>0</b>	<b>\$0.00</b>	<b>0</b>	<b>\$0.00</b>	<b>0</b>	<b>\$0.00</b>	<b>0</b>	<b>\$0.00</b>	<b>0</b>	<b>\$0.00</b>	<b>0</b>	<b>\$0.00</b>	<b>0</b>	<b>\$0.00</b>	<b>0</b>	<b>\$0.00</b>	<b>0</b>	<b>\$0.00</b>

Other Direct Costs (ODCs)			
Item	Unit	Rate	Total
Airfare	0	\$0.00	\$0.00
Meals	0	\$54.00	\$0.00
Lodging	0	\$143.58	\$0.00
Ground Transportation	0	\$0.00	\$0.00
Car Rental	0	\$0.00	\$0.00
Parking	0	\$0.00	\$0.00
Mileage	0	\$0.54	\$0.00
Printing #1	0	\$0.00	\$0.00
Printing #2	0	\$0.00	\$0.00
Delivery #1	0	\$0.00	\$0.00
Delivery #2	0	\$0.00	\$0.00
<b>Total ODCs</b>			<b>\$0.00</b>

<i>Out-of-Region Travel</i>	<i>\$0.00</i>
<i>In-Town Travel</i>	<i>\$0.00</i>
<i>Printing/Delivery</i>	<i>\$0.00</i>
<i>Total</i>	<i>\$0.00</i>

**Assumptions:**

## ATTACHMENT B Firm Responsibility Information

### Emerging Transportation Technology Strategic Plan, # 091416-TCHPLN

Each responding firm must provide in its submittal a fully completed Attachment B - Firm Responsibility Information. This Attachment B includes several forms, as follows:

- (1) Corporate Profile
- (2) Financial & Resource Capacity
  - (a) Time Availability for Key Personnel
- (3) Insurance Coverage
- (4) Legal Proceedings
- (5) Statement of Past Performance
- (6) Conflicts of Interest Questionnaire & Disclosure Statement
- (7) Certification Regarding Debarment and Suspension

Each form in this Attachment B must be completed in its entirety. Please type the information into the forms using Adobe Reader or other compatible Adobe product. The forms in this Attachment B contain rules, which means that many of the boxes / spaces will auto fill depending on your answers to the questions. If you have any issues with the forms please contact the Council's staff person designated in Section IX, Part A of the solicitation documents.

**A responding firm is *NOT* permitted to substitute its own format or information for the forms included in this Attachment B.**

If you need additional space to provide the information requested in this Attachment B, please use the form titled "Additional Information."

An authorized representative of the responding firm **must sign and date** the certification provided below. **A typed signature is not acceptable.**

The Council does not expect responding firms to provide any confidential or proprietary information on any form contained in this Attachment B; however, the Council does expect a responding firm to provide sufficient information that the Council can use to make a responsibility determination. Incomplete or inaccurate information is not acceptable.

**A submittal that does include the information necessary for the Council to make its determination regarding a firm's responsibility may result in the Council determining that the responding firm is not responsible and is, therefore, ineligible to be awarded a contract for the project.**

**Responding firms should be aware that the Council may deem a firm's submittal non-responsive and reject the submittal for:**

- (1) Failure to sign this Attachment B,**
- (2) Failure to provide all of the information requested in this Attachment B, or**
- (3) Failure to provide sufficient information for the Council to make a responsibility determination.**

**The Council reserves the right to waive minor errors, omissions, or technicalities in this Attachment B as determined to be in the best interest of the Council.**

### CERTIFICATION

**By signing below, I certify that I am authorized to sign this Attachment B on behalf of my firm and that the information contained in each of the forms contained in this Attachment B (as noted in #1 - 7 above) is accurate and complete to the best of my knowledge.**

Responding Firm \_\_\_\_\_

Name & Title of Authorized Official \_\_\_\_\_

Signature of Authorized Official \_\_\_\_\_

Date \_\_\_\_\_

# ATTACHMENT B Firm Responsibility Information

Emerging Transportation Technology Strategic Plan, # 091416-TCHPLN

## #1 - Corporate Profile

Each submittal must include a Corporate Profile Form for the prime contractor. **Firms that intend to use subcontractors or work in some form of joint venture partnership must provide this form for each subcontractor or joint venture partner.**

This form is for the Prime Contractor.       This form is for a Subcontractor.       This form is for a Joint Venture Partner.

Firm Name \_\_\_\_\_ Phone Number \_\_\_\_\_

**Business Address**

Street \_\_\_\_\_ City \_\_\_\_\_ State \_\_\_\_\_ Zip Code \_\_\_\_\_

Year Established \_\_\_\_\_ In which State was your firm organized or incorporated? \_\_\_\_\_

Type of Ownership \_\_\_\_\_ DUNS # \_\_\_\_\_  No DUNS #

Is your firm registered to do business in Missouri?  Yes  No      Is your firm registered to do business in Illinois?  Yes  No  N/A

**Firms must be properly registered to do business prior to beginning work for the project. If the IL business registration "N/A" box is checked, then only a MO business registration is required for the project.**

In the space provided below, please describe your firm's core business.

What is the estimated percentage of total revenues that your firm generates from the type of services described in the solicitation documents? \_\_\_\_\_

Does your firm have a former name / year established?  Yes  No      Does your firm have a parent company or a subsidiary?  Yes  No

If your firm has a former name, year established, a parent company, or a subsidiary, in the space provided below, please describe your firm's former name, year established, parent company name and location, or subsidiary name and location, as applicable.

Emerging Transportation Technology Strategic Plan, # 091416-TCHPLN

**#2 - Financial & Resource Capacity**

Answer each of the questions below regarding your firm's financial and resource capacity. The Council may request that your firm submit additional information or documentation regarding the information provided on this form.

A responding firm is **not** required to include this form in its submittal for the firm's subcontractors or joint venture partners; however, the Council reserves the right to request this information for the firm's subcontractors or joint venture partners.

Responding Firm \_\_\_\_\_

**Financial Capacity**

1. Does your firm currently have sufficient financial resources to meet its obligations?  Yes  No
2. Does your firm currently have access to, or does it have the ability to access, a line of credit or similar financial resources?  Yes  No
3. Within the previous 3 years has your firm had an independent, external audit performed for any of the following (**check all that apply**)?  
 Financial Statements  Internal control over financial reporting  Compliance  None  
*Indicate the period covered by your firm's most recent audit: \_\_\_\_\_*  
*Did the audit reveal any material misstatements, control deficiencies, or failure to comply with applicable standards?*  Yes  No  N/A  
*Applicable standards include, but are not limited to, the Federal Acquisition Regulation or FAR and Generally Accepted Accounting Principles or GAAP. These standards do not necessarily apply to every firm.*
4. Within the previous 5 years, has your firm ever been unable to perform or complete a project due to insufficient financial resources?  Yes  No
5. Is your firm currently or, within the previous 3 years, has your firm been involved in any bankruptcy or reorganization?  Yes  No
6. Can your firm provide copies of its financial statements, audit reports, or other information to demonstrate its current financial condition?  Yes  No

**Resource Capacity**

1. Does your firm have staff, software, or other resources that it can use to effectively manage a contract with the Council?  Yes  No
2. Does your firm have staff, software, or other resources that it can use to account for project costs and submit timely invoices to the Council?  Yes  No
3. Does your firm have access to, or have the ability to access, the resources necessary to successfully complete the Council's project?  Yes  No  
***Resources include, but are not limited to, staff, office space, subcontractors, software, materials, etc.***
4. Does your firm have the capacity to successfully complete the Council's project within the estimated performance period?  Yes  No  
***This should be measured after considering your firm's current and anticipated work commitments and the time frame estimated for the project (see Section II of the solicitation documents).***

***Please complete the Time Availability for Key Personnel form that is provided on the next page.***

**If you have more information you would like to provide about your firm's financial or resource capacity, please use page 12 of this Attachment B.**

## ATTACHMENT B Firm Responsibility Information

Emerging Transportation Technology Strategic Plan, # 091416-TCHPLN

### #2 - Financial & Resource Capacity - (a) Time Availability for Key Personnel

For each key person that will be assigned to the project, please provide the information requested below. The information regarding current or anticipated projects should reflect only those projects that will be or likely will be occurring during the estimated performance period of the project (see Section II of the solicitation documents). The key personnel listed below should be the same persons identified in Section III, Part B, Sub-Part 1, #3 of the solicitation documents.

Responding Firm \_\_\_\_\_

Name & Title	Project Role	Firm	List of Current or Anticipated Projects	% of Time Committed to Other Projects	Hrs. Committed to the Council's Project

**Attach as many of these forms as needed to capture all of your firm's key personnel.**

## ATTACHMENT B Firm Responsibility Information

Emerging Transportation Technology Strategic Plan, # 091416-TCHPLN

### #3 - Insurance Coverage

A responding firm, and each subcontractor hired to work on the project, will be required to meet certain minimum insurance coverage requirements if the firm is awarded a contract for the project. The Council's standard insurance coverage requirements are described in the *Draft Contract Terms & Conditions*, Paragraph 5. **Please select one of the options listed below.**

Responding Firm \_\_\_\_\_

- #1 - My firm's current insurance coverage meets the Council's standard insurance coverage requirements.
- #2 - My firm's current insurance coverage does not meet the Council's standard insurance coverage requirements, but my firm is able to obtain the coverage necessary to meet the Council's requirements.
- #3 - My firm's current insurance coverage does not meet the Council's standard insurance coverage requirements and my firm will not be able to obtain the coverage necessary to meet the Council's requirements. My firm's current insurance coverage is described below.

Please indicate which types of insurance coverage your firm currently carries and indicate the amount of coverage your firm carries. If professional liability insurance is not required for the project (see the *Draft Contract Terms & Conditions*, Paragraph 5), check the "N/A" box.

- Commercial General Liability Insurance Coverage Aggregate  Per Occurrence
- Commercial Automobile Liability Insurance Coverage Per Accident
- Professional Liability Insurance Coverage  N/A Aggregate  Per Claim

The final insurance coverage requirements will be determined by the Council, in consultation with the firm selected for the contract award. The Council reserves the right to require higher or lower insurance coverage requirements where warranted. The final insurance coverage requirements will be included in any contract entered into between the Consultant and the Council.

Once the contract is awarded, the Consultant may be required to submit proof that it has the agreed upon type and amount of insurance (see the *Draft Contract Term & Conditions*, Paragraph 5).

**Emerging Transportation Technology Strategic Plan, # 091416-TCHPLN**

### #4 - Legal Proceedings

The following questions ask a responding firm to indicate whether or not it has had any legal proceedings or does have any on-going or pending legal proceedings (i.e. arbitration, complaint, administrative process, court action, etc.). The answers that your firm provides to the questions below should be answered "Yes" only if: ***The legal proceeding was filed by an owner, client, contractor, or governmental entity against your firm for any project within the previous 5 years.***

Responding Firm \_\_\_\_\_

**Has your firm had a legal proceeding or does it have an on-going or pending legal proceeding that meets the criteria listed above and that was due to:**

**Your firm's non-performance?**     Yes     No    *If "Yes," was non-performance related to:*

- Failure to complete a project on time?     Yes     No     N/A
- Failure to complete a project at all?     Yes     No     N/A
- Unsatisfactory performance?     Yes     No     N/A
- Providing products of a poor quality?     Yes     No     N/A

**Your firm's breach or default of contract?**     Yes     No    *If "Yes," were the proceedings based on:*

- Misfeasance?     Yes     No     N/A
- Error?     Yes     No     N/A
- Omission?     Yes     No     N/A
- Failure to perform?     Yes     No     N/A
- Other? \_\_\_\_\_  N/A

**Your firm's violation of:**

- State law?     Yes     No
- Federal law?     Yes     No

State or federal rules or regulations related to:

- business ethics?     Yes     No
- conflicts of interest?     Yes     No
- the procurement process?     Yes     No

*Please provide any additional information that you believe will help the Council make a determination regarding your firm's responsibility in light of the legal proceedings described above.*

## ATTACHMENT B Firm Responsibility Information

Emerging Transportation Technology Strategic Plan, # 091416-TCHPLN

### #5 - Statement of Past Performance (pg. 1 of 2)

The following questions ask a responding firm to provide information about its past performance on the Council's projects, other publicly funded projects, or in general. Each responding firm must indicate whether or not it has successfully completed past projects.

Responding Firm \_\_\_\_\_

Has your firm ever performed work for the Council?  Yes  No

*If "Yes," in the space provided below, please describe the project (i.e. name, dates, etc.), your firm's role in the project (i.e. prime contractor), and indicate whether your firm successfully completed the project.*

In the previous 3 years, has your firm ever performed work on other publicly funded projects?  Yes  No

*If "Yes," in the space provided below, please describe a few of the most recent projects (i.e. names, dates, clients, etc.), your firm's role in the projects (i.e. prime contractor), and indicate whether your firm successfully completed the projects.*

N/A If your firm has not worked for the Council or on other publicly funded projects, then, in the space provided below, please describe your firm's performance on a few of its most recent projects (i.e. names, dates, clients, etc.), your firm's role in the projects (i.e. prime contractor), and indicate whether your firm successfully completed the projects.

Emerging Transportation Technology Strategic Plan, # 091416-TCHPLN

#5 - Statement of Past Performance (pg. 2 of 2)

As it relates to contracts your firm has or has had with the Council:

Is your firm currently in breach or default of a contract?  Yes  No  N/A

Is your firm currently delinquent or past due on any monies owed to the Council?  Yes  No  N/A

*Firms that are currently in breach or default of a Council contract or that owe the Council monies may be deemed ineligible for a contract award.*

In the previous 3 years, has your firm ever had a client (e.g. person / entity contracting with your firm) that:

Terminated the contract for breach or default?  Yes  No *If "Yes," please indicate the # of times this has occurred.* \_\_\_\_\_

Sued to compel performance?  Yes  No *If "Yes," please indicate the # of times this has occurred.* \_\_\_\_\_

Sued to recover damages including, but not limited to: upon alleged breach of contract, misfeasance, error or omission, or other alleged failure of your firm to perform as required by the contract?  Yes  No *If "Yes," please indicate the # of times this has occurred.* \_\_\_\_\_

Called upon a surety to perform the work?  Yes  No *If "Yes," please indicate the # of times this has occurred.* \_\_\_\_\_

*Please provide any additional information that explains any "Yes" answers to the questions on this page 2 of 2 or any other information that you believe will help the Council make a determination regarding your firm's responsibility in light of the performance issues described on this form.*

**Emerging Transportation Technology Strategic Plan, # 091416-TCHPLN**

**#6 - Conflicts of Interest Questionnaire & Disclosure Statement (pg. 1 of 2)**

**Instructions**

The Council's Conflicts of Interest Policy was included as part of the solicitation documents for the above captioned project. Please refer to this policy for a description of the Council's policies and procedures regarding this Conflicts of Interest Questionnaire & Disclosure Statement (Statement). The definition for each relevant term used in this Statement can also be found in the Council's Conflicts of Interest Policy.

Each responding firm must complete this Statement in full and include a copy in its submittal.

(A) If the responding firm answers "Yes" to any of the questions, then the responding firm must check box #1 below and attach the following: (i) the applicable question number; (ii) a concise description of the conflict; (iii) an explanation as to why the situation does not affect the firm's ability to objectively perform the contract or does not / will not present an unfair competitive advantage to the firm; and (iv) a concise description of the efforts the firm has taken, or proposes to take, to mitigate the effects of the interest.

(B) If the responding firm answers "No" to each question, then the responding firm must check box #2 below certifying that there is no interest and that, to the best of its knowledge and belief, there is no affiliation / relationship that exists that is relevant to a possible conflict of interest.

**When completing this questionnaire, please keep the following in mind:**

1. "Organizations that are expected to benefit from the project / solicitation" are those organizations that are listed in Section V, Part E of the solicitation documents.
2. References to the firm's "employees" include all personnel of the responding firm, including part-time, contract, or temporary employees.
3. References to committees or sub-committees refer to every committee or sub-committee of the Council or STARRS including the Board of Directors of each organization. These references also include those committees set-up to monitor, oversee, or coordinate specific projects. Membership on any committee or sub-committee includes non-voting or ex officio membership.
4. References to the "firm" include the firm's proposed subcontractors / subconsultants; therefore, the answers given below must take into account the prior, present, or planned activities, relationships, contracts, or financial interests of the subcontractors / subconsultants.

**Responding Firm** \_\_\_\_\_

**Questions**

**I. INTERESTS - The questions below relate to the prior, present, or planned interests of the responding firm. Please refer to the Council's Conflicts of Interest Policy for the definition of "prior," "present," and "planned" interests. A firm must respond "Yes" to the question if the firm has an interest, including if the interest is in regard to the Council itself, STARRS, or the organizations that are expected to benefit from the project / solicitation.**

- A. **Prior Interest** - In the past year (from the date the solicitation was issued) did the firm engage in activities, relationships, or contracts or have any financial interests that are directly related to the Council's project?  Yes  No
- B. **Prior Interest** - Has the firm ever engaged in activities, relationships, or contracts or have any financial interests that were conducted / engaged in as a prior part or phase of the Council's project?  Yes  No
- C. **Present Interest** - Is the firm presently engaged in activities, relationships, or contracts or does the firm presently have any financial interests that are directly related to the Council's project?  Yes  No
- D. **Planned Interest** - Does the firm have any planned activities, relationships, or contracts or financial interests that are directly related to the Council's project?  Yes  No

**II. COMMITTEES & SUB-COMMITTEES - The questions below relate to the membership on or participation in meetings of the committees and sub-committees of the Council and STARRS. Please refer to note #3 in the Instructions for information about what is meant by "committee" or sub-committee."**

- A. Are any of the firm's employees presently members of any Council or STARRS committees or sub-committees?  Yes  No
- B. In the past year (from the date the solicitation was issued) were any of the firm's employees members of any Council or STARRS committees or sub-committees?  Yes  No

Emerging Transportation Technology Strategic Plan, # 091416-TCHPLN

#6 - Conflicts of Interest Questionnaire & Disclosure Statement (pg. 2 of 2)

II. COMMITTEES & SUB-COMMITTEES, con't.

C. Did any of the firm's employees attend any Council or STARRS committee or sub-committee meeting where the project / solicitation was discussed?  Yes  No

III. COMMUNICATIONS - The questions below relate to communications with the staff / personnel of the Council, STARRS, the organizations that are expected to benefit from the project / solicitation, or any member of Council or STARRS committees or sub-committees. Communications include oral discussions and e-mails or other written correspondence. *A firm must answer "Yes" to the question only if the firm's communications were in regard to the project / solicitation and were with any person other than the person identified in Section IX, Part A of the solicitation documents.*

A. Did any of the firm's employees communicate with any staff / personnel of the Council?  Yes  No

B. Did any of the firm's employees communicate with any staff / personnel of STARRS?  Yes  No

C. Did any of the firm's employees communicate with any staff / personnel of the organizations that are expected to benefit from the project / solicitation?  Yes  No

D. Did any of the firm's employees communicate with any member of Council or STARRS committees or sub-committees?  Yes  No

IV. SPECIFICATIONS / SCOPE OF WORK FOR PROJECT / SOLICITATION - The questions below relate the development of the specifications / scope of work for the project / solicitation. "Assist" includes providing any information that was used to create the specifications / scope of work for the project / solicitation, except for information that was provided as part of a request for information or similar formal process initiated by the Council. *A firm must answer "Yes" to the question if the assistance was provided directly to the Council itself or if it was provided to STARRS, any of the organizations that are expected to benefit from the project / solicitation, or any member of Council or STARRS committees or sub-committees.*

A. Did any of the firm's employees assist with the development of the specifications / scope of work for the project / solicitation?  Yes  No

Based on the information contained in this Statement (please check one):

#1 -- My firm does / may have an interest, as described in the Council's Conflicts of Interest Policy, and I have provided the information required by Part A of the Instructions above (Additional Information MUST be attached). *A firm must check box #1 if the firm answered "Yes" to any of the questions in this Statement.*

OR

#2 -- My firm does not have an interest, as described in the Council's Conflicts of Interest Policy, and that, to the best of my knowledge and belief, there is no affiliation that exists that is relevant to possible conflicts of interest. *A firm may only check box #2 if it answered "No" to each question in this Statement.*

Please note that if a box is not checked, then the Council will assume that your firm has a conflict of interest and may disqualify it from the procurement process or may deem your firm's submittal non-responsive.

**Emerging Transportation Technology Strategic Plan, # 091416-TCHPLN**

**#7 - Certification Regarding Debarment and Suspension**

Please read the certification below and check the appropriate box. If you are unable to provide this certification, then you must provide an explanation in the space provided below.

**Responding Firm** \_\_\_\_\_

**#1 - I certify that, to the best of my knowledge and belief, that the responding firm and its principals:**

- (a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded by any State or Federal department or agency;
- (b) Have not within a three-year period preceding its submission for the above captioned project 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 (b) of this certification; and
- (d) Have not within a three-year period preceding its submission for the above captioned project had one or more public transactions (Federal, State or local) terminated for cause or default.

**#2 - I am unable to certify to any of the statements in this certification. An explanation must be provided in the space below.**

## ATTACHMENT B Firm Responsibility Information

Emerging Transportation Technology Strategic Plan, # 091416-TCHPLN

### Additional Information

Use this page to provide any information that you either could not provide on Forms #1 - 7 or that you believe is relevant to the Council's responsibility determination. You may attach as many of these sheets that you need.

Please make sure that you indicate which form and question for which you are providing additional information (i.e. Form #7, Box #2; Form #1, Former Firm Names, etc.)

Responding Firm \_\_\_\_\_

## ATTACHMENT C Affirmative Action Checklist

### Emerging Transportation Technology Strategic Plan, # 091416-TCHPLN

Responding Firm \_\_\_\_\_

*Please answer each of the questions below.*

1. Does your firm have an affirmative action plan?  Yes  No

2. What date was the plan adopted?  N/A Date

3. In the spaces below, provide the name and contact information for your firm's affirmative action officer.  My firm does not have a person who is responsible for affirmative action matters.

Name \_\_\_\_\_ Title \_\_\_\_\_

Phone Number \_\_\_\_\_ E-mail \_\_\_\_\_

4. How many persons are employed by your firm? \_\_\_\_\_

## ATTACHMENT D Contract Terms & Conditions Comments

### Emerging Transportation Technology Strategic Plan, # 091416-TCHPLN

Use this form to notify the Council about any concerns you may have about the draft contract terms and conditions. The draft contract terms and conditions can be found as Appendix 2 on the Council's website at [www.ewgateway.org/RFPs/rfps.htm](http://www.ewgateway.org/RFPs/rfps.htm). These concerns can include, but are not limited to: questions, comments, or requests for changes.

If the draft contract terms and conditions are acceptable and you do not have any questions, comments, or requests for changes, please check the "No" box.

If you have any questions, comments, or request for changes please check the "Yes" box and use the space provided below to explain your concerns. Please make sure that you reference the applicable contract Paragraph and Part number.

This form must be signed and returned to the Council with your submittal.

***It is the responsibility of each responding firm to review the draft contract terms and conditions. The Council may not consider a firm's requests for changes to the contract if the firm's concerns are not noted on this form. It is within the Council's sole discretion to consider requests for contract changes that the selected consultant did not include on this form.***

***It is within the Council's discretion to decide whether or not to change any contract terms and conditions, even if concerns are noted on this form. Any terms that are required by state or federal rules, regulations, or statutes or by the Council's agreement with a funding agency are not negotiable and are not subject to change.***

No - The firm does not have any questions, comments, or requests for changes.

Yes - The firm has a question, comment, or request for a change as noted below.

Responding Firm \_\_\_\_\_

Name & Title of Authorized Official \_\_\_\_\_

Signature of Authorized Official \_\_\_\_\_

Date \_\_\_\_\_

## ATTACHMENT E RFP Minimum Requirements Checklist

### Emerging Transportation Technology Strategic Plan, # 091416-TCHPLN

This form includes a list of all of the items that need to be included in your submittal. Some items listed on this form may not be required (shown below with an "N/A" option). For those items that are not listed in Section III, Part B of the RFP, check the "N/A" box. Refer to Section III, Part B of the RFP for a complete description of the items listed below. Review Section III, Part A of the RFP for the Submittal Formatting and Other Requirements, including the number of copies that need to be submitted.

**Sub-Part 1 - Approach & Qualifications**

- 1. Letter of Interest
- 2. Project Approach   
*Includes Project Schedule*
- 3. Qualifications
  - (a) Experience Summaries
  - (b) Team Org Chart  N/A
  - (c) Addresses
  - (d) Prior Work Experience
  - (e) Work Sample(s)  N/A
  - (f) References

**Sub-Part 2 - Project Price**

Attachment A

**Sub-Part 3 - Firm Responsibility Information**

Attachment B

**Sub-Part 4 - Other Forms & Certifications**

- 1. Attachment C
- 2. Attachment D
- 3. Attachment E
- 4. D/S/W/MBE Participation
  - (a) 0% Statement  N/A
  - (b) Attachments F & G  N/A
- 5. Attachment H  N/A

**Responding Firm** \_\_\_\_\_

**Name & Title of Authorized Official** \_\_\_\_\_

**Signature of Authorized Official** \_\_\_\_\_

**Date** \_\_\_\_\_

## ATTACHMENT F D/S/W/MBE Participation Form

**Emerging Transportation Technology Strategic Plan, # 091416-TCHPLN**

**Total Proposed Project Costs**

### D/S/W/MBE Information

<b>Type of Firm (Check all that apply)</b>	<b>Name &amp; Address</b>	<b>\$ Value of Work</b>	<b>Estimated % Participation</b>
1. <input type="checkbox"/> DBE <input type="checkbox"/> SBE <input type="checkbox"/> WBE <input type="checkbox"/> MBE	<input style="width: 95%; height: 30px;" type="text"/>	<input style="width: 95%; height: 30px;" type="text"/>	<input style="width: 95%; height: 30px;" type="text"/>
2. <input type="checkbox"/> DBE <input type="checkbox"/> SBE <input type="checkbox"/> WBE <input type="checkbox"/> MBE	<input style="width: 95%; height: 30px;" type="text"/>	<input style="width: 95%; height: 30px;" type="text"/>	<input style="width: 95%; height: 30px;" type="text"/>
3. <input type="checkbox"/> DBE <input type="checkbox"/> SBE <input type="checkbox"/> WBE <input type="checkbox"/> MBE	<input style="width: 95%; height: 30px;" type="text"/>	<input style="width: 95%; height: 30px;" type="text"/>	<input style="width: 95%; height: 30px;" type="text"/>
4. <input type="checkbox"/> DBE <input type="checkbox"/> SBE <input type="checkbox"/> WBE <input type="checkbox"/> MBE	<input style="width: 95%; height: 30px;" type="text"/>	<input style="width: 95%; height: 30px;" type="text"/>	<input style="width: 95%; height: 30px;" type="text"/>
5. <input type="checkbox"/> DBE <input type="checkbox"/> SBE <input type="checkbox"/> WBE <input type="checkbox"/> MBE	<input style="width: 95%; height: 30px;" type="text"/>	<input style="width: 95%; height: 30px;" type="text"/>	<input style="width: 95%; height: 30px;" type="text"/>
<b>Total</b>		<input style="width: 95%; height: 30px;" type="text"/>	<input style="width: 95%; height: 30px;" type="text"/>

In general, any work performed by a firm that is not a D/S/W/MBE cannot be counted toward the D/S/W/MBE participation for the project. This includes work that a D/S/W/MBE subcontracts to a non-D/S/W/MBE. A D/S/W/MBE that has been included as part of the project team must disclose its intent to subcontract a portion of its work to a non-D/S/W/MBE.

**Will any of the D/S/W/MBEs listed above subcontract out any of its work to a non-D/S/W/MBE?**     Yes     No

*If "Yes," please provide a description of the work that will be subcontracted to a non-D/S/W/MBE and the estimated percentage of work to be subcontracted.*

*The undersigned submits the above list of D/S/W/MBEs that will be used to accomplish, at least in part, the work described in the solicitation documents.*

**Responding Firm** \_\_\_\_\_

**Name & Title of Authorized Official** \_\_\_\_\_

**Signature of Authorized Official** \_\_\_\_\_

**Date** \_\_\_\_\_

**ATTACHMENT G**  
**Letter of Intent to Perform as a D/S/W/MBE**

**Emerging Transportation Technology Strategic Plan, # 091416-TCHPLN**

**Prime Contractor Name** \_\_\_\_\_

The undersigned intends to perform work in connection with the above captioned project as one of the following (*check one*):

- a prime contractor       a subcontractor  
 a joint venture       other (*please specify*)

The undersigned represents that it is a certified (*check all that apply*):

- DBE       SBE  
 WBE       MBE

The undersigned is prepared to perform the work described below in connection with the above captioned project.

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What is the dollar value of the undersigned's work? \_\_\_\_\_

In general, any work performed by a firm that is not a D/S/W/MBE cannot be counted toward the D/S/W/MBE participation for the project. This includes work that a D/S/W/MBE subcontracts to a non-D/S/W/MBE. A D/S/W/MBE that has been included as part of the project team must disclose its intent to subcontract a portion of its work to a non-D/S/W/MBE.

**Will the undersigned subcontract out any of its work to a non-D/S/W/MBE?**       Yes       No

*If "Yes," please provide a description of the work that will be subcontracted to a non-D/S/W/MBE and the estimated percentage of work to be subcontracted.*

-----

*The undersigned submits this letter of intent to perform as a D/S/W/MBE and certifies that it is prepared to perform the work described in this letter for the dollar value indicated above and that the information provided in this letter is accurate and true to the best of his/her knowledge.*

**D/S/W/MBE Name** \_\_\_\_\_

**Name & Title of Authorized Official** \_\_\_\_\_

**Signature of Authorized Official** \_\_\_\_\_

**Date** \_\_\_\_\_

## ATTACHMENT H Certification Regarding Lobbying

### Emerging Transportation Technology Strategic Plan, # 091416-TCHPLN

The undersigned certifies, to the best of his or 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 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 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.
- (3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

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.

**Responding Firm** \_\_\_\_\_

**Name & Title of Authorized Official** \_\_\_\_\_

**Signature of Authorized Official** \_\_\_\_\_

**Date** \_\_\_\_\_