



<i>MaineDOT use only</i>
TEDOCS #: _____
RFP#: _____
PROGRAM: _____

AMENDMENT #1 – 8/29/2019
MAINE DEPARTMENT OF TRANSPORTATION
REQUEST FOR PROPOSALS
FOR
Multi-Scale Multi-Season Land-Based Erosion Modeling and Monitoring for Infrastructure
Management
RFP # T201908002

The State of Maine Department of Transportation (“MaineDOT”) is seeking proposals for a research project to develop a slope stability model that will be used to create an effective multi-scale assessment toolkit that aids in monitoring, forecasting, and prioritizing areas of erosion and slope instability.

1. **APPENDICES:** The attached appendices are hereby incorporated into this Request for Proposals (RFP).
 - Appendix A – Proposer’s General Information Form
 - Appendix B – Proposer’s Detailed Cost Proposal Form which can be found on MaineDOT’s website at <http://www.maine.gov/mdot/cpo/> under the “Doing Business” Quick Link tab
 - Appendix C – Consultant General Conditions dated April 6, 2015

2. **PROPOSALS ARE TO BE RECEIVED AT MAINEDOT NO LATER THAN:**

Date Due: **9/25/2019 10/2/2019**
Local Time: **2:00 p.m.**

Proposals must be received prior to the time and date for which they are due.

Late Proposals: Any proposal, portion of a proposal, or unrequested proposal revision received at MaineDOT after the time and date specified above **will not** be accepted.

3. **REQUESTS FOR CLARIFICATION / RFP AMENDMENTS.**

During the proposal preparation period, all requests for clarification and/or requests for additional information must be submitted via e-mail to the RFP Coordinator referenced in this section no later than **5:00 p.m.** on **9/4/2019**. MaineDOT reserves the right to answer or not answer any question received. Late requests for clarification will not be accepted. Responses to clarification requests will be placed on the MaineDOT website: <http://www.maine.gov/mdot/cpo/rfps/> no later than close of business on **9/13/2019**.

All requests for clarification and/or requests for additional information regarding this RFP must be submitted in writing via email and directed to the RFP Coordinator listed below. Such correspondence must reference the RFP# and Project name in the subject line.

Name: Kimbalie Lawrence
Title: Contract Grant Specialist
Office: Contract Procurement Office
Email: Kimbalie.lawrence@maine.gov

IT WILL BE THE PROPOSER'S RESPONSIBILITY TO CHECK THE REFERENCED WEBSITE FOR CLARIFICATIONS AND ANY NEW AMENDMENTS TO THE RFP. (Note: The Proposer must include reference to all amendments in their response to this RFP.)

4. PROPOSAL REQUIREMENT – SCOPE OF WORK

A. Project Background

Soil erosion susceptibility is a condition of intrinsic soil properties, soil states (e.g., soil moisture, frozen vs. recently thawed), geology, land cover, topography, and external forces (seismic events or applied load). In the New England region, erosion-prone zones have been the main sources of erosion, particularly when major storms occur. With recent and continuing climate change influencing weather patterns (specifically causing an increase in high-intensity rainfall events, and rainfall events following snow events), soil erosion and landslides are a major concern for planners, designers, and maintainers of transportation networks and other critical infrastructure. With minimal operational resources and funding available for maintenance and repairs, effective screening tools used for modeling, monitoring, and forecasting erosion can aid in assessing erosion and landslide susceptibility, which is critical for regional operations and planning.

A screening tool that incorporates probabilistic approaches is needed to synthesize forecasted data, measurements from various platforms (satellite-based retrievals and in situ information), and models (i.e. slope stability, landslide, water) in cases where retrievals and measurements do not exist. The analysis and prediction from the land-atmosphere tools should be flexible in order to incorporate multi-scale coupling of information (which may have data resolutions and interactions between meters and kilometers), processes, and representation of variables. These will incorporate landslide modules, stream flow routing modules, and other capacities (including forecasting/analysis and facilitation of improved measurement) at the nexus of weather, climate, engineering, and other natural and infrastructural considerations. This represents a unique interdisciplinary opportunity to address infrastructure concerns related to erosion and/or landslides due to intensified seasonal effects and precipitation in a changing climate in New England.

B. Scope of Work

The objective of this research project is to develop a slope stability model that will be used to create an effective multi-scale assessment toolkit that aids in monitoring, forecasting, and prioritizing areas of erosion and slope instability.

Task 1: Literature Review and Survey. Identify current state-of-the art modeling capabilities and collect existing slope stability and landslide map data. This task will include a literature review of modeling capabilities suitable for the New England region, as related to weather and/or climatology (e.g., land/hydro models and datasets, and their unique characteristics in the region), terrain and slope stability/landslide models, and soils properties (except for rock slopes). A survey is required to gather existing map data from New England state's Departments of Transportation and other state agencies.

Task 2: Modeling. Based on results from the literature review, existing map data, and data sets from other relevant sources, identify critical parameters and create model outputs of soil slope stability and potential erosion areas or instability. Other data sources can include Land Data Assimilation Systems (LDAS), Land Information Systems (LIS), erosion/sediment transport data, landslide inventory maps, landslide potential modules, landslide hazard or risk maps, and other relevant geophysical data.

Task 3: Ground Truthing and Monitoring. Identify locations with a wide range of risks at a variety of scales for ground truthing. Upon Technical Committee approval of locations, monitor for in situ measurements needed for verification, validation, and calibration of modeling results. Identify and evaluate

field scale with geophysical exploration methods or other non-invasive screening technologies. These methods may include, but are not limited to, seismic monitoring or imaging, electromagnetic induction (EMI), ground-penetrating radar (GPR), and electrical resistivity tomography or imaging. Provide comparison data between model outputs and ground truthing. Modify parameters and model as necessary, based on comparative analysis.

Task 4: Toolkit Development. Develop a system toolkit prototype for use in risk assessment by transportation infrastructure planners and decision makers. The researcher will present examples to the Technical Committee on how to identify and prioritize potential erosion hazards by using the toolkit (i.e., LDAS/LIS web-based application, GIS tool). The toolkit should be accessible to a wide variety of users with varying levels of technical expertise.

Task 5: Finalize System Toolkit. Refine, adjust, and modify the system toolkit based on feedback from the Technical Committee. A user manual must accompany the toolkit.

Project Schedule:

The proposer will provide an estimated timeline of how long each task will require to complete within the 24-month project. Tasks can overlap. It should also include estimated dates of deliverables for reports and meetings as stated in the Meeting and Report requirements section below.

EXAMPLE Project Schedule - Deliverables and Meetings

Year 1												
Months	1	2	3	4	5	6	7	8	9	10	11	12
Tasks												
Task 1												
Task 2												
Task 3												
Task 4												
Task 5												
Year 2												
Months	1	2	3	4	5	6	7	8	9	10	11	12
Tasks												
Task 1												
Task 2												
Task 3												
Task 4												
Task 5												

Example:

- Progress Meeting #1: Year 1, Month 5
- Task 1 Report: Year 1, Month 6
- Progress Meeting #1: Year 1, Month 10
- Task 2 Report: Year 1, Month 11
- Etc.

Meetings with Technical Committee: The goal of Technical Committee meetings is to provide input and feedback to the Proposer to ensure the research is useful to the Technical Committee. The proposal should provide for a minimum of six (6) meetings with the Technical Committee, established to monitor the progress of the project. Technical Committee meetings will include a kick-off meeting at the start of the project, as well as regular meetings, the frequency of which will ultimately be determined by the Technical Committee (e.g. quarterly, biannually, at the conclusion of every major task, etc.). The Technical Committee will meet to hear a presentation of the Draft Final Report in order to facilitate enhancements to the Final Report. The proposal should propose a potential meeting schedule for the Technical Committee to consider. Meetings and/or presentations will likely be conducted remotely via teleconference or webinar.

Reports: The Proposer will be required to prepare and distribute the reports listed below. More information on the reports can be found on the [NETC website](#).

Post-Task Reports: One (1) electronic copy, prepared and emailed to the NETC Coordinator after each task is completed. Report should include documentation of the research project to-date (completed task) and the proposed next steps (proposed task). The report should arrive no later than ten (10) working days after the scheduled end date for the proposed task. The Coordinator will email the reports to the Technical Committee. The Technical Committee will review and provide their comments and feedback to the Proposer via a Technical Committee meeting and/or email within three (3) weeks of receiving the Post-task Report.

Post-task Report deliverables must also be included in the project schedule. Please see the Proposal Preparation Guidelines for more information.

Quarterly Progress Reports: One (1) electronic copy prepared and emailed to the NETC Coordinator on a calendar quarter basis, to arrive no later than ten (10) working days after the end of the calendar quarter. The Coordinator will email the Quarterly Progress Report to the Technical Committee.

Draft Final Report: One (1) electronic copy of the Draft Final Report will be prepared and distributed via email to the members of the Technical Committee for their review. Principal Investigators should allow ninety (90) days in the project schedule for completion of the review of the Draft Final Report. This time period includes/allows for the resolution of the Technical Committee's comments and feedback, and approval from the Technical Committee Chairperson. Upon receipt of approval, the Proposer can submit the Final Report to the NETC Coordinator.

Implementation Plan: NETC recognizes that research results are not automatically put into practice upon completion of the research project, and publication of the Final Report. Effective implementation is more likely when researchers and user agencies collaborate to plan for implementation. Therefore, NETC requires that all Final Reports include an Implementation Plan and Technology Transfer Strategy for incorporating the research results/products. The Implementation Plan should be drafted by the awarded Proposer, working closely with the Technical Committee, and included as a chapter in the Final Report. The plan should include specific tasks and activities to be carried out by the Technical Committee members and/or others within their respective agencies, in order to put the research results into practice. Examples of such tasks include: incorporating specifications, results or details into appropriate documents; conducting pilot projects in order to demonstrate research results; or conducting training and/or workshops.

While the Implementation Plan will likely change as the research progresses, at a minimum, the proposal should indicate:

- The product expected from the research.
- The stakeholders or intended audience that will most likely be impacted by the research results.
- Potential impediments to implementation such as added costs, needed training, etc.
- Potential activities necessary for successful plan implementation.
 - This may include presenting at the Highway Geology Symposium and/or the Mass DOT Transportation Innovation Conference.

Final Report: Upon receipt of approval from the Technical Committee Chairperson, the Proposer will provide one (1) bookmarked ADOBE™ .PDF of the Final Report to the NETC coordinator for a final ‘quality control check’. Upon submittal of the Final Report to the NETC Coordinator, Proposers should allow thirty (30) days in the project schedule for completion of the Coordinator's review and posting on the NETC website.

Technology Transfer Strategy and Toolbox: NETC requires that each project include a Technology Transfer Strategy and Toolbox as a deliverable, to be provided by the Proposer. The Technology Transfer Strategy should indicate the type of activities (workshops, webinars, demonstrations, etc.) that would be considered the most effective means for disseminating the results of the study to potential users. The Toolbox will include a one (1) page fact sheet, a project poster, and a project closeout webinar, all of which will be posted on the NETC website. Implementation of the research results should be viewed as a priority in the Scope of Work. The Technology Transfer Strategy and Toolbox should be submitted as a chapter in the Final Report. The Toolbox components should also be submitted with the Final Report. Due to scheduling difficulties, the project closeout webinar may take place after the project contract end date has passed. The Proposer will not receive additional compensation for participation in the webinar.

Funds Available: \$150,000

Budget:

Proposer will outline a budget for the project.

Deviation from the Scope of Work: In the event that the Proposer deems it necessary to deviate from the Scope of Work (cost, principal tasks, time to complete, etc.) in order to accomplish the objectives of the research project, such deviation should be noted, with the reasons for the deviation clearly stated in the proposal.

5. TECHNICAL PROPOSAL SCORING CRITERIA

- a) **Understanding of the Problem (25) Points:** A clear and succinct statement that demonstrates an understanding of both the problem and the research objectives is desired. A review of current state-of-the-art techniques, and a description of how the proposed work will create new knowledge that will benefit the Departments of Transportation and the New England Transportation Consortium (NETC) shall be presented.
- b) **Research Approach (25) Points:** The evaluation of the research approach will consider consistency with the objectives, and the scientific and practical aspects of the research methodology. This evaluation will include such items as the approach to data collection, cooperative features, innovative concepts, and the reliability of any equipment being proposed for use. Consideration will also be given to whether or not the approach is sufficiently detailed, both in terms of work and budget allocations by task.
- c) **Application of Results (15) Points:** The evaluation will include a realistic appraisal of the prospects for successful accomplishment of project objectives. The evaluation will consider the statements in the proposal, indicating how the anticipated results will be reported, and how they could be used to improve transportation engineering or transportation evaluation practices; e.g., mathematical models, design techniques, field or laboratory test procedures, changes in highway specifications, impact methodologies,

etc. Consideration will also be given if there might be financial or institutional barriers to the implementation of products from research.

- d) **Proposer's Qualifications (35) Points:** Proposals are desired from individuals having demonstrated capability and expertise in the subject area. The evaluation will be based on the evidence provided in the proposal pertaining to both the experience of, and the indicated amount of effort by the awarded Proposer(s).

6. TECHNICAL PROPOSAL RATING AND SELECTION PROCESS

- a. Technical Proposal Rating. Technical Proposals will be reviewed and rated using the Scoring Criteria outlined in this RFP.
- b. MaineDOT, at its sole discretion, reserves the right to recognize and waive minor informalities and irregularities found in proposals received in response to this RFP.
- c. This is a Qualifications Based Selection (QBS) process and therefore, Cost Proposals will not be used to select the successful Proposer. Once the successful Proposer has been selected, the government estimate will be compared against the successful Proposer's Cost Proposal and contract negotiations will begin.
- d. Contract history with the State of Maine, whether positive or negative, may be considered in rating proposals even if not provided by the Proposer.

The goals of the evaluation process are to ensure fairness and objectivity in review of the proposals and to ensure that the contract is awarded to the Proposer whose proposal provides the best value ("Best Value") to the State of Maine. To determine Best Value, MaineDOT takes into consideration the quality of the services to be supplied as described in the proposal and their conformity with the specifications set out in the RFP. MaineDOT reserves the right to disqualify from consideration any Proposer with "Unsatisfactory" or "Below Standard" performance ratings on previous work for MaineDOT, if MaineDOT determines that such disqualification is in the best interest of the State.

7. COST PROPOSAL

Cost Proposal and Elements of Supporting Data must be submitted as outlined in MaineDOT's Non-Construction Proposal Instructions and on MaineDOT Consultant Detailed Cost Proposal Form that can be found at <http://www.maine.gov/mdot/cpo/doingbusiness/> which consists of the following:

The Consultant's Cost Proposal which must include the following:

- a. **Completed Consultant's Detailed Cost Proposal Form**
<http://www.maine.gov/tools/whatsnew/attach.php?id=428565&an=1>
 - RFP Number, project location, phase of work, firm name and address and a contact name and e-mail address.
 - **Direct Labor Expenses / Employee Classifications:**
The Proposal must include each employee's direct labor expenses based on their actual rate of pay along with each employee's respective classification of labor. If using an average rate for a classification, please indicate the employee's names and classifications on the Appendix A-1 Form.
 - **Proposed Overhead Rate:**

The Proposal shall reflect the Consultant's most current approved Overhead Rate. If there are changes to the Overhead Rate after contract execution, the Consultant must submit an updated Audited Overhead Report or Complied Overhead Rate to MaineDOT's Office of Audit for approval and acceptance.

- **Fixed Fee/Profit:**

The proposed fixed fee or profit is based on project specific factors such as degree of risk, relative difficulty of work, size of job, etc., and must fall within the range of 6% - 15%.

- **Itemized Direct Non-Salary Expenses (Direct Expenses):**

Project specific expenses such as printing, tolls, mileage (current mileage rate is ~~\$.44~~\$0.45 per mile), postage, Subconsultant costs, etc., that are not included in the Direct Labor, Profit and Overhead.

- **Total Proposed Cost:**

The maximum amount proposed - the sum of all Direct Labor, Overhead, Direct Expenses and Fixed Fee/Profit.

b. **Proposal Attachments**

- **Proposer's General Information Form (Appendix A):**

Must be completed and accompany your Proposal.

- **Acknowledgement of Amendments:**

The Proposer shall include reference to all amendments in their response to this RFP.

c. **Contract Requirements**

*The following documents are **NOT** required with the RFP Submittal – They will be required by the successful Proposer for the development of the resulting contract.*

- **Appendix A-1 Form:** ([click to open form](#))

This form shall be completed utilizing the proposed Overhead and Profit Rates used to complete the Consultant's Detailed Cost Proposal Form. The employee's names and classifications listed are those that will or potentially will be working on the specified project. The employee's rates listed must be actual rates paid to them and shall be supportable via certified payroll. For an Adjustable Burdened Rate payment method, any changes to the Appendix A-1 Form after contract execution shall be sent to the Contract Specialist with supporting documentation prior to any changes in billing. This form must be signed by an authorized financial or payroll representative of the Proposer's firm.

- **Wage Rate Waiver Form (when applicable):** ([click to open form](#))

Proposers with employee direct labor rates that are greater than MaineDOT's \$50.00 cap must submit their Appendix A-1 Form, accompanied by a Wage Rate Waiver Form to MaineDOT for approval.

- **Disadvantaged Business Enterprise (DBE) Form:** ([click to open form](#))

The DBE Form must reflect all Subconsultants used on a specified project; identifying whether they are DBE, WBE or Non-DBE and the percentage of the Subconsultant work that is proposed of the total contract value. The DBE Form shall also reflect whether the Prime Consultant themselves are a DBE.

- **Insurance Certificates:**

Insurance Certificates (Accord Form) must accompany your Proposal. Insurance shall not reference a specific project. Minimum coverages include, but depending on the project may not be limited to the following:

- ✓ Professional Liability or Negligent Acts, Errors and Omissions Policy - \$1,000,000 per claim and annual aggregate
- ✓ Commercial General Liability, listing MaineDOT as additional insured - \$1,000,000 per occurrence and \$2,000,000 in the aggregate.

f. **Proposal Package Submittal:** Proposal packages must be mailed/delivered as follows:

Regular Mail Proposal Delivery	Hand Carried Proposer Delivery	Hand Carried Proposals from Federal Express (Use First) or UPS Delivery
Address to: Kimbalie Lawrence MaineDOT 16 State House Station Augusta, ME 04333-0016	Address to: Kimbalie Lawrence MaineDOT Receptionist Public Entrance Transportation Building Capitol Street Augusta, ME 04333-0016	Address to: Kimbalie Lawrence MaineDOT Mailroom 24 Child Street Augusta, ME 04333-0016

9. **TERMS & CONDITIONS / FUNDING SOURCE / GENERAL INFORMATION**

- a. The contract resulting from this RFP will be governed by the most recent version of MaineDOT’s Consultant General Conditions. A copy of the Consultant General Conditions is available at the MaineDOT website. Go to <http://www.maine.gov/mdot/cpo/docs/general/consultant-general-conditions.pdf>
- b. This project will be funded with FHWA funds. The Federal Contracting Provisions for this funding source are also contained in the above referenced Consultant General Conditions.
- c. This RFP does not commit MaineDOT to pay any costs incurred in submitting your proposal, making studies or designs for preparing the proposal or in procuring or sub-contracting for services or supplies related to the proposal.

10. **AWARD**

MaineDOT reserves the right to make one or multiple awards as a result of this RFP process.

- 11. **CONTRACT TERM:** The initial contract term shall be for a period of Two (2) years, commencing upon approval of the contract documentation. MaineDOT reserves the right to modify the initial contract term at its sole discretion, as well as awarding additional phases of the Project when it is in the best interest of the State.

12. **DISADVANTAGED BUSINESS ENTERPRISES**

General Considerations: Because of the prospective use of federal funds, Maine DOT’s Civil Rights Office may, at their option, participate in the committee meetings to advise and monitor Title VI (CRA 1964) and *Disadvantaged Business Enterprise* (DBE) concerns. Selection criteria, including an *Affirmative Action Questionnaire*, schedule of meetings, reports, etc. will be made available to the affirmative officer who will evaluate the adequacy of the *affirmative action*.

Certified DBE

MaineDOT Certified Disadvantaged Business Enterprise (DBE) Proposers are encouraged to apply as the prime Consultant for this work. It is important the DBE Consultants take advantage of this RFP to at least gain entry to the MaineDOT Prequalification List for transportation project related services. Non -DBE Consultants shall ensure that DBEs have the maximum opportunity to participate in the performance of any project contract

in accordance with MaineDOT current requirements for DBE utilization when utilizing Subconsultants. Consultants certified by another state’s transportation agency must be certified by MaineDOT.

Current requirements may be found at the MaineDOT website, “Certified Disadvantaged and Women Business Enterprise” directory available at; <http://www.maine.gov/mdot/civilrights/dbe/>, or by contacting:

**Maine Department of Transportation
ATTN: Sherry Tompkins, Civil Rights Unit
Civil Rights Office
16 State House Station
Augusta, ME 04333
Tel#: 207-624-3066
Fax#: 207-624-3021**

13. NON-APPROPRIATION

Proposer acknowledges that MaineDOT is a governmental entity and that the validity of any contract entered into by MaineDOT is dependent upon the availability of public funding under the authority of its statutory mandate. Although the issuance of this RFP manifests MaineDOT's intent to honor its terms and to seek funding to fulfill any contractual obligations arising in connection with it, by law any such obligations are subject to available budgetary appropriations by the Maine Legislature and, therefore, this agreement does not create any obligation on behalf of MaineDOT in excess of such appropriations. Therefore, notwithstanding any other provision of this RFP and any contract resulting therefrom, if at any time the Maine Legislature fails to appropriate, de-appropriates or appropriates insufficient funds to meet the obligations established pursuant thereto, or if for any reason MaineDOT is denied legal authority by the Maine Legislature or the Court system to expend funds appropriated for such purposes, then MaineDOT may terminate any contractual relationship established as a result of this solicitation and shall not be penalized for doing so.

14. FREEDOM OF ACCESS ACT - CONFIDENTIALITY.

Interested parties are advised that under Maine’s Freedom of Access Act, Title 1 M.R.S.A. Chapter 13 §402 (3), et seq., “Public Records” (as that term is defined in Title 1 M.R.S.A. Chapter 13 §402(3)) are available for public inspection and copying once an award notification has been made.

As a general matter, information submitted in response to this RFP will be considered to be “Public Records” available for public inspection and copying once an award notification has been made. If, however, a Proposer believes that parts of its Proposal fall within one or more of the exceptions to the definition of “Public Records” set forth in Title 1 M.R.S.A. Chapter 13 §402(3), that Proposer may submit those parts of its Proposal, with each page marked “Confidential” in a separate envelope marked “Confidential”. Included in the envelope should be a non-confidential statement of the basis for Proposer’s claim that those parts of its Proposal fall within one or more of the exceptions to the definition of “Public records”. Designating part of a Proposal “Confidential” does not by itself ensure that those parts of the Proposal will remain confidential.

In the event that MaineDOT receives a request to inspect or copy those parts of the Proposer’s Proposal marked confidential, MaineDOT will notify Proposer that such a request has been received. Any Proposer claiming documents are confidential shall, within 14 days of receiving MaineDOT’s notice, send MaineDOT a list identifying each document that it claims is confidential. If MaineDOT agrees that the documents so identified fall within one of the exceptions to the definition of “Public Records”, MaineDOT

will notify the party requesting disclosure that the documents will be withheld. If the party seeking disclosure files a legal action to gain access to the confidential information, then the Proposer must retain counsel and file for a protective order. Proposer's failure to join the action and secure a protective order shall constitute a waiver of its claim that the information is confidential. MaineDOT will comply with the order issued by the reviewing court.

15. DEBARMENT CERTIFICATION

By submitting to this RFP, I certify to the best of my knowledge and belief that the aforementioned organization, its principals, and any subcontractors named in this proposal:

- a. Are not presently debarred, suspended, proposed for debarment, and declared ineligible or voluntarily excluded from bidding or working on contracts issued by any governmental agency.
- b. Have not within three (3) years of submitting the proposal for this contract been convicted of or had a civil judgment rendered against them for:
 - i. fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a federal, state or local government transaction or contract.
 - ii. violating Federal or State antitrust statutes or committing embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
 - iii. 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
 - iv. have not within a three (3) year period preceding this proposal had one or more federal, state or local government transactions terminated for cause or default.

Failure to provide this certification may result in the disqualification of the Firm's proposal, at the discretion of MaineDOT.



Proposer's General Information Form

1. CONTACT INFORMATION*:

a. Firm Name: _____	b. Office Phone No.: _____	c. Cell Phone No.: _____
d. Prequalification Contact First & Last Name: <input type="checkbox"/> Mr. <input type="checkbox"/> Ms. _____	e. Title: _____	f. Prequalification Contact E-mail Address: _____
g. Firm's Web Address: _____		h. Name of Firm's President/Managing Officer: _____

2. CORPORATE INFORMATION*:

a. Type (select one): <input type="checkbox"/> Individual <input type="checkbox"/> Partnership <input type="checkbox"/> Minority Owned <input type="checkbox"/> Woman Owned <input type="checkbox"/> Small Business <input type="checkbox"/> S Corporation <input type="checkbox"/> Limited Liability Company <input type="checkbox"/> Corporation (State of origin): _____ <input type="checkbox"/> Other: _____	b. Firm's DUNS Number: _____ <hr/> c. Firm's Federal EIN: _____ <hr/> d. Firm's State of Maine Vendor/Customer No.: <input type="checkbox"/> VC _____ OR <input type="checkbox"/> VS _____	
f. Is your firm a Disadvantaged Business Enterprise (DBE)? <input type="checkbox"/> Yes <input type="checkbox"/> No If yes, are you certified as such by MaineDOT's Civil Rights Office? <input type="checkbox"/> Yes <input type="checkbox"/> No		
h. Is your firm's Corporate Headquarters located in Maine? <input type="checkbox"/> Yes <input type="checkbox"/> No What is the address of your Corporate Headquarters: _____		

3. AFFIRMATIVE ACTION*:

a. Does your firm have a current Equal Employment Opportunity policy and plan? <input type="checkbox"/> Yes <input type="checkbox"/> No	b. Is your firm aware of Equal Employment Opportunity (EEO) responsibilities? <input type="checkbox"/> Yes <input type="checkbox"/> No	c. Is your firm aware of MaineDOT's goals for utilization of DBE firms? <input type="checkbox"/> Yes <input type="checkbox"/> No
---	--	--

4. DEBARMENT, SUSPENSION, INELIGIBILITY, OR EXCLUSION*:

By submitting to this RFP, I certify to the best of my knowledge and belief that the aforementioned organization, its principals, and any subcontractors named in this proposal:

- c. Are not presently debarred, suspended, proposed for debarment, and declared ineligible or voluntarily excluded from bidding or working on contracts issued by any governmental agency.
- d. Have not within three years of submitting the proposal for this contract been convicted of or had a civil judgment rendered against them for:
 - v. fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a federal, state or local government transaction or contract.
 - vi. violating Federal or State antitrust statutes or committing embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
 - vii. 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
 - viii. have not within a three (3) year period preceding this proposal had one or more federal, state or local government transactions terminated for cause or default.

Failure to provide this certification may result in the disqualification of the Firm's Proposal, at the discretion of MaineDOT.

5. CERTIFICATION*:

By submittal of this form, I certify that this firm has not been debarred, suspended, declared ineligible or voluntarily excluded from contracts by the Federal Government or any State Agency within the last 3 years?

Check Here to Agree

By submittal of this form, I certify that I have thoroughly read and understand all of the information contained in this RFP.

Check Here to Agree

By submittal of this form, I certify that I have reviewed the Firm's Technical and Cost Proposals (Submittal Package) to ensure that all of the required documents are included in the Firm's submittal.

Check Here to Agree

By submittal of this form, I certify that all of the information contained in the Firm's Submittal Package are true and accurate and that I am an Authorized Signatory Officer of the Firm.

Check Here to Agree

By submittal of this form, I certify that the typed name (a) is intended to have the same force as a manual signature, (b) is unique to myself, (c) is capable of verification, (d) is under the sole control of myself, (e) is linked to data in such a manner that it is invalidated if the data are changed. (10 M.R.S.A. §9501 et seq.)

Check Here to Agree

By submittal of this form, I certify that I acknowledge any and all amendments in response to this RFP.

Check Here to Agree

a. Typed Name of Submitting Authorized Officer:

b. Title:

c. Date:
