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**CITY OF GREENVILLE,  
NORTH CAROLINA  
AS LEAD PLANNING AGENCY OF THE  
GREENVILLE URBAN AREA METROPOLITAN PLANNING  
ORGANIZATION (MPO)**

**Request for Proposals #: 17-18-47**

**Eastern North Carolina Regional Freight Mobility Plan**

The City of Greenville, on behalf of the Greenville Urban Area Metropolitan Planning Organization, Rocky Mount Urban Area MPO, Goldsboro Urban Area MPO, New Bern Urban Area MPO, Eastern Carolina Rural Planning Organization (RPO), Down East RPO, Mid-East RPO, Upper Coastal RPO, Peanut Belt RPO, Albemarle RPO and in coordination with the North Carolina Department of Transportation (NCDOT), is seeking proposals from qualified professional service firms necessary to develop a Regional Freight Mobility Plan for the Planning Area serviced by the above referenced organizations.

**Date of Issue: May 18, 2018  
Proposal Opening Date: June 22, 2018  
At 2:00pm ET  
Direct all inquiries concerning this RFP to:**

Ryan Purtle  
Transportation Planner/ MPO Coordinator  
Greenville Urban Area Metropolitan Planning Organization  
Email:RPurtle@Greenvillenc.gov  
Phone: 252-329-4476



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## **CITY OF GREENVILLE, NORTH CAROLINA**

### **Request for Proposal #**

**17-18-47**

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For internal State agency processing, including tabulation of proposals in the Interactive Purchasing System (IPS), please provide your company's Federal Employer Identification Number or alternate identification number (e.g. Social Security Number). Pursuant to G.S. 132-1.10(b) this identification number shall not be released to the public. **This page will be removed and shredded, or otherwise kept confidential**, before the procurement file is made available for public inspection.

**This page is to be filled out and returned with your proposal.  
Failure to do so may subject your proposal to rejection.**

**ID Number:**

---

Federal ID Number or Social Security Number

---

Vendor Name



# CITY OF GREENVILLE, NORTH CAROLINA

Greenville Urban Area Metropolitan Planning Organization

1500 Beatty Street  
Greenville, NC 27834

<b>Refer <u>ALL</u> inquiries regarding this RFP to:</b>  <b>Ryan Purtle</b> <b>Transportation Planner/MPO Coordinator</b> <b>(252) 329-4476</b> <b>RPurtle@Greenvillenc.gov</b>	<b>Request for Proposal # 17-18-47</b>
	<b>Proposals will be publicly opened on: July 6, 2018</b>
	<b>Contract Type: Professional Services</b>
	<b>Description: Eastern North Carolina Regional Freight Mobility Plan</b>
	<b>Using Agency: Greenville Urban Area MPO</b>
	<b>Requisition No.: None</b>

In compliance with this Request for Proposals, and subject to all the conditions herein, the undersigned Vendor offers and agrees to furnish and deliver any or all items upon which prices are bid, at the prices set opposite each item within the time specified herein. By executing this proposal, the undersigned Vendor certifies that this proposal is submitted competitively and without collusion (G.S. 143-54), that none of its officers, directors, or owners of an unincorporated business entity has been convicted of any violations of Chapter 78A of the General Statutes, the Securities Act of 1933, or the Securities Exchange Act of 1934 (G.S. 143-59.2), and that it is not an ineligible Vendor as set forth in G.S. 143-59.1. False certification is a Class I felony. Furthermore, by executing this proposal, the undersigned certifies to the best of Vendor's knowledge and belief, that it and its principals are not presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from covered transactions by any Federal or State department or agency. As required by G.S. 143-48.5, the undersigned Vendor certifies that it, and each of its sub-Contractors for any Contract awarded as a result of this RFP, complies with the requirements of Article 2 of Chapter 64 of the NC General Statutes, including the requirement for each employer with more than 25 employees in North Carolina to verify the work authorization of its employees through the federal E-Verify system. G.S. 133-32 and Executive Order 24 (2009) prohibit the offer to, or acceptance by, any State Employee associated with the preparing plans, specifications, estimates for public Contract; or awarding or administering public Contracts; or inspecting or supervising delivery of the public Contract of any gift from anyone with a Contract with the State, or from any person seeking to do business with the State. By execution of this response to the RFP, the undersigned certifies, for your entire organization and its employees or agents, that you are not aware that any such gift has been offered, accepted, or promised by any employees of your organization.

**Failure to execute/sign proposal prior to submittal shall render proposal invalid and it WILL BE REJECTED.  
Late proposals cannot be accepted.**

VENDOR:		
STREET ADDRESS:	P.O. BOX:	ZIP:
CITY & STATE & ZIP:	TELEPHONE NUMBER:	TOLL FREE TEL. NO:
PRINCIPAL PLACE OF BUSINESS ADDRESS IF DIFFERENT FROM ABOVE (SEE INSTRUCTIONS TO VENDORS ITEM #10):		
PRINT NAME & TITLE OF PERSON SIGNING ON BEHALF OF VENDOR:	FAX NUMBER:	
VENDOR'S AUTHORIZED SIGNATURE:	DATE:	EMAIL:

Offer valid for at least 60 days from date of proposal opening, unless otherwise stated here: \_\_\_\_\_ days. After this time, any withdrawal of offer shall be made in writing, effective upon receipt by the agency issuing this RFP.

**ACCEPTANCE OF PROPOSAL**

If any or all parts of this proposal are accepted by the State of North Carolina, an authorized representative of the City of Greenville shall affix his/her signature hereto and this document and all provisions of this Request For Proposal along with the Vendor proposal response and the written results of any negotiations shall then constitute the written agreement between the parties. A copy of this acceptance will be forwarded to the successful Vendor(s).

<b>FOR CITY USE ONLY:</b> Offer accepted and Contract awarded this ____ day of _____, 20____, as indicated on The attached certification, by _____ (Authorized Representative of the City of Greenville)
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## INTRODUCTION

The City of Greenville, on behalf of the Greenville Urban Area Metropolitan Planning Organization, Rocky Mount Urban Area MPO, Goldsboro Urban Area MPO, New Bern Urban Area MPO, Eastern Carolina Rural Planning Organization (RPO), Down East RPO, Mid-East RPO, Upper Coastal RPO, Peanut Belt RPO, Albemarle RPO and the North Carolina Department of Transportation (NCDOT), is seeking proposals from qualified professional service firms necessary to develop a Regional Freight Mobility Plan for the planning area serviced by the above referenced organizations within the NCDOT Divisions 1, 2 and 4.

This effort is a coordinated response to the increased need to study and plan efficient multi-modal freight routes at the regional level. The National Freight Policy, created under the Moving Ahead for Progress in the 21st Century Act (MAP-21) created the requirement that States develop a Statewide Freight Plan with NCDOT completing the North Carolina Freight Plan in 2017. This plan shall integrate existing long range transportation plans and existing freight related plans and shall be developed cooperatively between the partner organizations, the North Carolina Department of Transportation (NCDOT), Federal Highway Administration (FHWA), local government agencies, economic and community development professionals and private business/industry professionals. The Eastern North Carolina Regional Freight Plan is intended to take a more in depth look at freight movement and deficiencies within the region to reinforce the Statewide Plan and provide more defined strategies to develop the freight network within the defined study area.

This project will be guided by a technical committee comprised of members of the above listed partner planning organizations, NCDOT and FHWA. In addition to the technical committee it is expected that the selected vendor will facilitate selection of an advisory committee consisting of elected officials, recommended community leaders, economic development professionals, and individuals possessing expertise in transportation logistics and freight movement as it relates to the various modes of transportation.

## NEEDS & PURPOSE

The overall purpose of this plan is to:

1. Conduct a comprehensive regional study of freight, regional key goods/industries, multi-modal alternatives and regional mobility needs;
2. Identify and analyze current and planned freight hubs to develop strategies to increase connectivity to and from industries and key freight routes;
3. Develop a regional vision plan for continued development of the freight network to address congestion, mobility issues and regional challenges to efficient freight movement;
4. Develop a feasible implementation plan, identifying projects, programs and policies, to efficiently guide development of the freight network within the study area according to the regional vision and goals;
5. Identify the link between economic development, land-use planning and freight movement activities to leverage increased regional economic competitiveness

In addition, this plan should also support the North Carolina Statewide Freight Plan by meeting the following objectives, as outlined in MAP-21, for the eastern North Carolina region:

- Identify significant freight system trends, needs, and issues with respect to the State;
- Describe the freight policies, strategies, and performance measures that will guide the freight-related transportation investment decisions of the State;
- Describe how the plan will improve the ability of the State to meet the national freight goals established under section 167 of title 23, United States Code;
- Consider how innovative technologies and operational strategies, including intelligent transportation systems, can improve the safety and efficiency of freight movement;
- Describe mitigation for deterioration of roadway facilities caused by projected travel by heavy vehicles (including mining, agricultural, energy cargo or equipment, and timber vehicles); and
- Inventory facilities with freight mobility issues, such as truck bottlenecks, within the State, including a description of the strategies the State is employing to address those freight mobility issues.

This plan is intended to serve as the freight network master development plan for the area contained in NCDOT's Divisions 1, 2 and 4 (the three divisions are contained within the planning jurisdictions of the partner organizations). In an effort to foster efficiency and collaboration at a regional level, the above organizations are coordinating with the selected consultant to develop a multi-modal freight network vision to support the continuing development of the current network and to plan the future network to address freight movement issues, integrate innovative technologies and strengthen regional economic competitiveness for eastern North Carolina. This plan will guide freight investments to support the region's freight and economic vision and goals for safety, efficiency, equity, community development and sustainability.

The final plan recommendations shall be incorporated by the partner agencies into their organization's specific long range plans to promote regional efficiency and consistency across long range planning documents as it pertains to freight movement and the development of the current and future network.

## GENERAL INFORMATION

The detailed requirements set forth in the Proposal Format are mandatory. Failure by any firm(s) to respond to a specific requirement may result in disqualification. The City reserves the right to accept or reject any or all proposals. Vendors are reminded that proposals will be considered exactly as submitted. Points of clarification will be solicited from proposers at the discretion of the City. Those proposals determined not to be in compliance with provisions of this RFP and the applicable law and/or regulations will not be processed. All costs incurred by the proposer associated with RFP preparations and subsequent interviews and/or negotiations, which may or may not lead to execution of an agreement, shall be borne entirely and exclusively by the proposer.

The information and proposed budget for the contractor selected for contract award will form the basis for negotiation of a contract. The City of Greenville reserves the right to issue a contract without further negotiation using the data contained in the RFP. Failure of a prospective contractor to accept this method of contract development will result in cancellation of the award.

Proposals shall not include the proposer's fee or cost estimate. Proposals will be evaluated solely based upon the criteria established within this RFP. The City of Greenville reserves the right to reject any or all Proposals, or any parts thereof, waive formalities, negotiate terms and conditions, and to select the consultant and service options that best meet the needs of the City and the Greenville Urbanized Area MPO. The project objective is to provide a blueprint for transportation network needs of the community. It is expected that all vendors will be able to furnish satisfactory evidence that they have the ability, experience, and capital to enable them to complete this project. Within thirty (30) days from receiving notice that the City of Greenville has awarded the contract, the firm awarded the contract shall submit to the City of Greenville an action plan and timetable for a proposed scope of services. City/MPO staff will not be conducting meetings with those consultants not selected.

The RFP is comprised of the base RFP document, any attachments, and any addenda released before Contract award. All attachments and addenda released for this RFP in advance of any Contract award are incorporated herein by reference.

## **NOTICE TO VENDORS REGARDING RFP TERMS AND CONDITIONS**

It shall be the Vendor's responsibility to read the Instructions, the City of Greenville's, acting as the LPA and on the behalf of the MPO, terms and conditions, all relevant exhibits and attachments, and any other components made a part of this RFP, and comply with all requirements and specifications herein. Vendors also are responsible for obtaining and complying with all Addenda and other changes that may be issued in connection with this RFP.

If Vendors have questions, issues, or exceptions regarding any term, condition, or other component within this RFP, those must be submitted as questions in accordance with in the instructions in Section 2.5 PROPOSAL QUESTIONS. If the City of Greenville determines that any changes will be made as a result of the questions asked, then such decisions will be communicated in the form of an RFP addendum. The City of Greenville may also elect to leave open the possibility for later negotiation and amendment of specific provisions of the Contract that have been addressed during the question and answer period. Other than through this process, the City of Greenville rejects and will not be required to evaluate or consider any additional or modified terms and conditions submitted with Vendor's proposal. This applies to any language appearing in or attached to the document as part of the Vendor's proposal that purports to vary any terms and conditions or Vendors' instructions herein or to render the proposal non-binding or subject to further negotiation. Vendor's proposal shall constitute a firm offer. By execution and delivery of this RFP Response, the Vendor agrees that any additional or modified terms and conditions, whether submitted purposely or inadvertently, shall have no force or effect, and will be disregarded. Noncompliance with, or any attempt to alter or delete, this paragraph shall constitute sufficient grounds to reject Vendor's proposal as nonresponsive.

If a Vendor desires modification of the terms and conditions of this solicitation, it is urged and cautioned to inquire during the question period, in accordance with the instructions in this RFP, about whether specific language proposed as a modification is acceptable to or will be considered by the City of Greenville. Identification of objections or exceptions to the City of Greenville's terms and conditions in the proposal itself shall not be allowed and shall be disregarded or the proposal rejected.

A Vendor may, however, include a separate page along with its proposal, titled "Request for Proposed Modifications to Terms and Conditions," and identify specific modifications that it requests the City of Greenville to consider. The City of Greenville will evaluate all proposals

without regard to any proposed modifications. Once a proposal has been identified as the one for which an award recommendation has been made but prior to approval of the recommendation, the City of Greenville, in its sole and absolute discretion, may consider any proposed modifications attached to that proposal. Any modification(s) to the terms and condition agreed to by the City of Greenville will be identified in the Certification of Award. Any ambiguity, vagueness, inconsistency or conflict, either internal to such modification(s) or arising when read in conjunction with other portions of the Contract, shall be construed strictly in favor of the City of Greenville. Only those proposed modifications identified in the award certification shall be part of the Contract, and the City of Greenville may ignore all proposed modifications, accept one or more and ignore others, accept all or, through negotiations after an award, agree to compromise language concerning one or more proposed modifications to be incorporated into a contract amendment. By executing and submitting its proposal in response to this RFP, Vendor understands and agrees that the City of Greenville may exercise its discretion not to consider any and all proposed modifications Vendor(s) may request and may accept Vendor's proposal under the terms and conditions of this RFP.

Contact with anyone working for or with the City of Greenville regarding this RFP other than the City of Greenville Contract Lead named on the face page of this RFP in the manner specified by this RFP shall constitute grounds for rejection of said Vendor's offer, at the City of Greenville's election.

### **SMALL PROFESSIONAL SERVICE FIRM (SPSF) PARTICIPATION**

The City of Greenville encourages the use of Small Professional Services Firms (SPSF). Small businesses determined to be eligible for participation in the SPSF program are those meeting size standards defined by Small Business Administration (SBA) regulations, 13 CFR Part 121 in

Sector 54 under the North American Industrial Classification System (NAICS). The SPSF program is a race, ethnicity, and gender neutral program designed to increase the availability of contracting opportunities for small businesses on federal, state or locally funded contracts. SPSF participation is not contingent upon the funding source.

The Firm, at the time the RFP is submitted, shall submit a listing of all known SPSF firms that will participate in the performance of the identified work. The participation shall be submitted on the Department's Subconsultant Form RS-2. The SPSF must be qualified with NCDOT to perform the work for which they are listed. Real-time information about firms doing business with the NCDOT and firms that are SPSF certified through the Contractual Services Unit is available in the Directory of Transportation Firms. The Directory can be accessed on the Department's website at Directory of Firms -- Complete listing of certified and prequalified firms.

The listing of an individual firm in the Department's directory shall not be construed as an endorsement of the firm.

### **PREQUALIFICATION**

NCDOT maintains, on file the qualifications and key personnel for each approved discipline, as well as any required samples of work. Each year on the anniversary date of the company, the firm shall renew their prequalified disciplines. If your firm has not renewed its application as required by your anniversary date or if your firm is not currently prequalified, please submit an application

to the Department prior to submittal of your RFP. An application may be accessed on NCDOT's website at Prequalifying Private Consulting Firms --Learn how to become Prequalified as a Private Consulting Firm with NCDOT. Having this data on file with NCDOT eliminates the need to resubmit this data with each letter of interest. The Firm, subconsultant and sub-firm shall not discriminate on the basis of race, religion, color, national origin, age, disability or sex in the performance of this contract.

## HISTORICALLY UNDERUTILIZED BUSINESSES

Pursuant to General Statute 143-48 and Executive Order #150 (1999), the City of Greenville invites and encourages participation in this procurement process by businesses owned by minorities, women, disabled, disabled business enterprises and non-profit work centers for the blind and severely disabled.

## MWBE POLICY FOR PROFESSIONAL SERVICES OVER \$50,000

It is the policy of the City of Greenville and Greenville Utilities Commission to provide minorities and women equal opportunity for participating in all aspects of the City's and Utilities' contracting and procurement programs, including but not limited to, construction projects, supplies and materials purchases, and professional and personal service contracts.

Service providers responding to this solicitation shall comply with the MWBE program by making Good Faith Efforts to achieve the following aspirational goals for participation.

<b><i>Professional Services</i></b>	<b><i>MBE</i></b>	<b><i>WBE</i></b>
	<b><i>4%</i></b>	<b><i>4%</i></b>

Submitters shall submit MWBE information with their submissions on the forms provided. This information will be subject to verification by the City prior to contract award. As of July 1, 2009, contractors, subcontractors, suppliers, service providers, or MWBE members of joint ventures intended to satisfy City MWBE goals shall be certified by the NC Office of Historically Underutilized Businesses (NC HUB) only. Firms qualifying as "WBE" for the City's goals must be designated as a "women-owned business" by the HUB Office. Firms qualifying as "MBE" for the City's goals must be certified in one of the other categories (i.e.: Black, Hispanic, Asian American, American Indian, Disabled, or Socially and Economically Disadvantaged). According to new Statewide Uniform Certification (SWUC) Guidelines, ethnicity supersedes gender; therefore, firms who are certified as both a "WBE" and "MBE" will satisfy the "MBE" category only. Each goal must be met separately. Exceeding one goal does not satisfy requirements for the other. For required forms and additional information see Attachment E.

The City shall accept NCDOT certified firms on federally funded projects only.

Please note: A service provider may utilize any firm desired. However, for participation purposes, all MWBE firms who wish to do business as a minority must be certified by NC HUB. A complete database of NC HUB certified firms may be found at <http://www.doa.nc.gov/hub/>.

## PROPOSAL SUBMITTAL

Sealed proposals, subject to the conditions made a part hereof and the receipt requirements described below, shall be received at the address indicated in the table below, for furnishing and delivering those items or services as described herein.

Office Address of delivery by any method
<i>PROPOSAL NUMBER:17-18-47</i> Greenville Urban Area MPO 1500 Beatty Street Greenville, NC 27834

**IMPORTANT NOTE:** All proposals shall be physically delivered to the office address listed above on or before the proposal deadline in order to be considered timely, regardless of the method of delivery. **This is an absolute requirement.** All risk of late arrival due to unanticipated delay—whether delivered by hand, U.S. Postal Service, courier or other delivery service is entirely on the Vendor. **It is the sole responsibility of the Vendor to have the proposal physically in this Office by the specified time and date of opening.** The time of delivery will be marked on each proposal when received, and any proposal received after the proposal submission deadline will be rejected. Sealed proposals, subject to the conditions made a part hereof, will be received at the address indicated in the table in this Section, for furnishing and delivering the commodity as described herein.

Vendors are cautioned that proposals sent via U.S. Mail, including Express Mail, may not be delivered by the Mail Service Center to the agency's office on the due date in time to meet the proposal deadline. All Vendors are urged to take the possibility of delay into account when submitting a proposal. **Attempts to submit a proposal via facsimile (FAX) machine, telephone or electronic means, including but not limited to email, in response to this RFP shall NOT be accepted.**

- a) Submit **three (3) signed, original executed** proposal responses, twenty (12) photocopies and twenty (12) electronic copies on CD, DVD or flash drive.
- b) Submit your proposal in a sealed package. Clearly mark each package with: (1) Vendor name; (2) the RFP number; and (3) the due date. Address the package(s) for delivery as shown in the table above. If Proposals are subject to rejection unless submitted with the information above included on the outside of the sealed proposal package.
- c) The electronic copies of your proposal must be provided on separate read-only CD's, DVD's or flash drives. The files on the discs **shall NOT** be password protected, shall be in .PDF or .XLS format, and shall be capable of being copied to other media including readable in Microsoft Word and/or Microsoft Excel.

## PROPOSAL CONTENTS

Vendors shall populate all attachments of this RFP that require the Vendor to provide information and include an authorized signature where requested. Vendor RFP responses shall include the following items and those attachments should be arranged in the following order:

- a) Cover Letter
- b) Title Page: Include the company name, address, phone number and authorized representative along with the Proposal Number.
- c) Firm History and Experience: Proposer is requested to define the overall structure of the firm to include the following:
  - 1. Brief overview of firm's history, primary line of business as well as specialty areas.
  - 2. A description of the firm's principal business location and any other service locations, including the primary office that will service the City. Proposer will indicate the office location that each staff member will be based from.
  - 3. Length of time providing services as described herein.
  - 4. Expected communication responsibilities.
  - 5. Disclose any conflicts or perceived conflicts of interest as well as what procedures your firm utilizes to identify and resolve conflicts of interest.
- d) Qualifications: Proposer is requested to provide a description of the proposed project team, staff qualifications, experience and credentials:
  - 6. Description of service philosophy and what sets your company apart from other consulting firms.
  - 7. Describe similar projects successfully undertaken by your company.
  - 8. Introduce the project team by name with specific roles, qualifications, experience, present client load, distribution of responsibilities, and for each staff member state the anticipated percent of staff time that would be dedicated to this project.
  - 9. Describe detailed history of each proposed project team member identifying work history that is similar to the role as proposed by consulting firm. Identify similarities of team members' previous work history to the role proposed for this master planning effort.
  - 10. Project History Page (maximum of 5 pages, 1 per project): Proposer shall submit up to 5 pages of related project history, with one page dedicated to a single project showcasing similar projects as requested in this request for proposals. Each page shall detail:
    - i. Project title, location, project cost, and year completed; and
    - ii. Project Manager; and
    - iii. Percent of project completed by the proposer's firm; and
    - iv. Proposer firm's role(s) in development of the master plan; and
    - v. Client contact: phone number, email, and address; and Relevant staff from your firm: Identify key staff personnel, their role on that project, and indicate if they are proposed to have a role on the Greenville Urban Area MPO's planning project. If so, identify that proposed role.
    - vi. May include a small graphic of the cover page and/or relevant pages.
  - 11. Indicate current responsibilities of person designated to serve as project lead.
  - 12. State level of organizational responsibility of key project staff members.
  - 13. Include certifications held by Proposer's personnel.
  - 14. Indicate back-up support capability.
- e) Scope of Services: Please include a draft scope of services with a detailed explanation of services offered, provide a detailed report of work proposed to be accomplished by the consultant.
- f) Schedule: Proposals should include a schedule of work associated with the vendor's proposed scope of work.

- g) References: Proposer is requested to provide a list of references with the RFP. Proposer may choose to use some, all, or none of the contacts mentioned in project history pages in item (d).11 above:
15. Provide the contact names and telephone numbers of five (5) references, preferably other municipalities, Counties, or MPO's.
  16. Include name of the client, address, telephone number, and name of main contact.
- h) Completed and signed version of EXECUTION PAGES and signed receipt pages of any addenda released in conjunction with this RFP (if required to be returned).
- i) Completed and signed version of the following:
1. ATTACHMENT A: LOCATION OF WORKERS UTILIZED BY VENDOR
  2. ATTACHMENT B: CITY OF GREENVILLE MWBE FORM PACK
  3. ATTACHMENT C: NCDOT FORM RS-2
  4. ATTACHMENT D: CERTIFICATION REGARDING DEBARMENT, SUSPENSION, INELIGIBILITY AND VOLUNTARY EXCLUSION FOR FEDERAL AID CONTRACTS
  5. ATTACHMENT E: CONFLICT OF INTEREST CERTIFICATION
  6. **If not registered with NCDOT as a vendor**, Completed and signed version of ATTACHMENT F: NCDOT VENDOR REGISTRATION FORM (W-9)
  - ~~6-7.~~ ATTACHMENT G: CERTIFICATION REGARDING LOBBYING

The purpose of the Proposal is to demonstrate the qualifications, service level, competence, and capacity of the firms seeking to become a consultant of record for the City of Greenville. The vendor's proposal should include a Technical Proposal which addresses all the points outlined here as required. Proposals should be held to no more than 30 pages in length; this includes resumes and inserts and be printed on standard 8.5" x 11" paper and be bound. Tab dividers, cover page, letters of commitment from subcontractors, NCDOT's form RS-2, NCDOT's vendor registration form (W-9), certificate of insurance, conflict of interest certification, the City of Greenville MWBE Form Pack and the certification regarding debarment, suspension, ineligibility and voluntary exclusion for federal aid contracts will not be counted toward page limit.

## SELECTION PROCESS

Proposals will be reviewed and evaluated by a Selection Committee comprised of staff members from the various partner organizations, the North Carolina Department of Transportation and the Federal Highway Administration. The Selection Committee shall review all Vendor responses to this RFP to confirm that they meet the specifications and requirements of the RFP. Sealed Proposals shall be opened during a public opening on June 22, 2018 at 2:00pm and distributed to members of the Selection Committee. Proposals received after the above time and date will not be considered. The Selection Committee shall review all qualifying proposal submissions for level of responsiveness to this RFP. The Selection Committee, at the Committee's discretion, **MAY** shortlist two (2) to three (3) qualified firms for in person interviews.

Upon completion of the evaluation and selection process, the City of Greenville will make Award(s) based on the evaluation and post the award(s) to IPS under the RFP number for this solicitation. Award of a Contract to one Vendor does not mean that the other proposals lacked merit, but that, all factors considered, the selected proposal was deemed most advantageous and represented the best value to the City of Greenville, partner organizations, their municipal partners and the North Carolina Department of Transportation.

## SELECTION CRITERIA

All qualified proposals, in conformity of this RFP, shall be evaluated for responsiveness based on the following scoring table:

<b>Criteria</b>	<b>Possible Percentage</b>
<p style="text-align: center;"><b><u>Past Performance</u></b> <b><i>Sub Measures</i></b></p> <ul style="list-style-type: none"> <li>• Quality score of similar work</li> <li>• Proposed schedule feasibility</li> <li>• Responsiveness to RFQ score</li> </ul>	<p style="text-align: center;"><b>35% Total</b> <b><i>Sub Measures</i></b></p> <ul style="list-style-type: none"> <li>• 20%</li> <li>• 10%</li> <li>• 5%</li> </ul>
<p style="text-align: center;"><b><u>Project Manager</u></b> <b><i>Sub Measures</i></b></p> <ul style="list-style-type: none"> <li>• Experience on Similar Projects</li> <li>• Quality of Resume</li> </ul>	<p style="text-align: center;"><b>15% Total</b> <b><i>Sub Measures</i></b></p> <ul style="list-style-type: none"> <li>• 10%</li> <li>• 5%</li> </ul>
<p style="text-align: center;"><b><u>Approach to Project</u></b> <b><i>Sub Measures</i></b></p> <ul style="list-style-type: none"> <li>• Level of Understanding</li> <li>• Innovation of Process</li> </ul>	<p style="text-align: center;"><b>20% Total</b> <b><i>Sub Measures</i></b></p> <ul style="list-style-type: none"> <li>• 10%</li> <li>• 5%</li> </ul>
<p style="text-align: center;"><b><u>Capacity of Team to Complete Project on Schedule and Budget</u></b></p>	<p style="text-align: center;"><b>15% Total</b></p>
<p style="text-align: center;"><b><u>Team Qualifications</u></b> <b><i>Sub Measures</i></b></p> <ul style="list-style-type: none"> <li>• Demonstrated Overall Experience</li> <li>• Demonstrated Long Range Plan Development</li> </ul>	<p style="text-align: center;"><b>15% Total</b> <b><i>Sub Measures</i></b></p> <ul style="list-style-type: none"> <li>• 10%</li> <li>• 5%</li> </ul>
<p style="text-align: center;"><b><u>Total</u></b></p>	<p style="text-align: center;"><b>100%</b></p>

## Scope of Work

The draft scope of work included with Proposals should, at a minimum, follow/address the following elements and parameters:

- Issues, Public Involvement and Plan Focus
  - Define project goals that meet regional objectives and maintain the eastern North Carolina community feel.
  - Develop Public involvement processes to engage the public, stakeholders and the private industry throughout the planning process.
  - Facilitate a comprehensive, continuing and coordinated planning effort regionally to identify and develop the regional vision as it relates to multi-modal freight movement.
  - Development of regional freight planning goals consistent with State and Federal goals in accordance with the State freight performance measures developed in the Statewide Freight Plan.
  
- Data Collection and Analysis
  - Identify existing data sets and previous freight related analysis that exist within the Statewide Freight Plan, Comprehensive Transportation Plans (CTP), Metropolitan Transportation Plans (MTP), Corridor Plans/Studies, transportation hub master plans, Traffic Impact Analysis for large industrial/commercial facilities and any other pertinent transportation planning material that may facilitate efficient freight planning processes for this project and any other locally-driven and/or regional transportation planning project in the future..
  - Identify and explain the incorporation and use of additional tools, such as those required to evaluate land use decisions, economic development and impact, environmental sustainability, cost/benefit analysis and the incorporation of asset planning/management as applicable to the region and project.
  - Provide in depth regional analysis on freight movement within the region outlining deficiencies within the system as it relates to congestions, safety, accessibility and potential for multi-modal considerations.
  
- Recommendations/Implementation Guidance
  - Identify and recommend policies, programs and standards required to support the physical improvement of the multi-modal infrastructure within the region.
  - Identify and recommend a program of Statewide, regional and Division improvement projects to develop the multi-modal freight network within the defined planning area. Recommendations should outline improvement type, potential impacts and opportunities within the region and a planning level cost estimate. Recommendations should also be prioritized within the categories to define

projects that will have the greatest safety, mobility, and economic impact within the region.

- Develop a feasible and cost effective implementation guide that each organization can utilize to guide future decision making at the regional and local levels. A vehicle to continued coordination within the region should be identified and recommended in an effort to implement the plan recommendations region wide efficiently.
- A final report of all planning activities for this project will be prepared to document public outreach, plan development activities, detailed analysis, recommendations/implementation guidance, findings and conclusions.

## RFP SCHEDULE

The table below shows the intended schedule for this RFP. The City of Greenville will make every effort to adhere to this schedule.

<b>Event</b>	<b>Date and Time</b>
Issue RFP	5:00pm May 18, 2018
Optional Mid-Advertisement Q & A Session	10:00am June 8, 2018
Deadline to Submit Written Questions	2:00pm June 11, 2018
Submit Proposals	2:00pm June 22, 2018
Interviews	Week of June 25-29, 2018
Contract Award	August 2018
Contract Effective Date	To be Determined

Proposals received after the proposal deadline of June 22, 2018 will not be opened. The Selection Committee will hold a mid-advertisement or “pre” submittal “Q & A” session to address any questions regarding this document on **June 8, 2018 at 10:00am at the City of Greenville Public Works Administration Building Main Conference Room (1500 Beatty Street, Greenville, NC 27834)**. All submitted questions regarding this document shall be published as an addendum to this RFP.

The Greenville Urban Area MPO, in consultation with the Selection Committee and partner organizations/agencies, shall negotiate contract terms with the selected vendor. Execution of a contract and official issuance of Notice to Proceed is expected to occur in August 2018.

## PROPOSAL QUESTIONS

Upon review of the RFP documents, Vendors may have questions to clarify or interpret the RFP in order to submit the best proposal possible. To accommodate the Proposal Questions process, Vendors shall submit any such questions by the above due date.

Written questions shall be emailed to RPurtle@Greenvillenc.gov by the date and time specified above. Vendors should enter “RFP #17-18-47: Questions” as the subject for the email. Questions submittals should include a reference to the applicable RFP section and be submitted in a format shown below:

Reference	Vendor Question
RFP Section, Page Number	Vendor question ...?

Questions received prior to the submission deadline date, the City of Greenville’s, acting as the LPA and on the behalf of the MPO, response, and any additional terms deemed necessary by the City of Greenville will be posted in the form of an addendum to the Interactive Purchasing System (IPS), <http://www.ips.state.nc.us> and to the City of Greenville RFP listing at [www.greenvillenc.gov](http://www.greenvillenc.gov), and shall become an Addendum to this RFP. No information, instruction or advice provided orally or informally by any City of Greenville personnel, whether made in response to a question or otherwise in connection with this RFP, shall be considered authoritative or binding. Vendors shall rely *only* on written material contained in an Addendum to this RFP.

## CONTRACTUAL ARRANGEMENTS

The successful Consultant will be required to enter into a contract with the City of Greenville after award is recommended by the Selection Committee and awarded by the City Council of the City of Greenville. This contract will be invoiced monthly consistent with the following provisions:

- The Vendor must submit one monthly invoice within fifteen (15) calendar days following the end of each month in which work was performed.
- Invoices must be submitted to:
  - Greenville Urban Area MPO
  - Attn: Ryan Purtle, Transportation Planner
  - 1500 Beatty Street
  - Greenville, NC 27834
- Invoices must be submitted to the Contract Lead in hard copy on the Contractor’s official letterhead stationery and must be identified by a unique invoice number. All invoice backup reports and spreadsheets must be provided in electronic format.
- Invoices must bear the correct contract number and purchase order number to ensure prompt payment. The Vendor’s failure to include the correct purchase order number may cause delay in payment.
- Invoices must include an accurate description of the work for which the invoice is being submitted, the invoice date, the period of time covered, the amount of fees due to the Vendor and the original signature of the Vendor’s project manager.

The City of Greenville, acting as the LPA and on the behalf of the MPO, encourages the Vendor to identify opportunities to reduce the total cost the MPO. A continuous improvement effort consisting of various ideas to enhance business efficiencies will be discussed at the periodic Business Review Meetings.

Payments to the Consultant will be made based upon the completion of tasks and receipt of monthly progress reports, which shall include at a minimum:

1. Summary of activities during the period
2. Adherence to schedule, project milestones, and budget
3. Problems encountered during the period, and
4. Projected activities for the next period
5. Copies of planning documents produced to date such as:
  - Meeting minutes
  - Inventory data
  - Maps, charts, tables, graphs

## E-Verify

The Contractor shall comply with the requirements of Article 2 of Chapter 64 of the North Carolina General Statutes. Further, if the Contractor utilizes a Subcontractor, the Contractor shall require the Subcontractor to comply with the requirements of Article 2 of Chapter 64 of the North Carolina General Statutes. By submitting a proposal, The Proposer represents that their firm and its Subcontractors are in compliance with the requirements of Article 2 Chapter 64 of the North Carolina General Statutes.

## IRAN Divestment Act

All contractors, vendors, and/or bidders listed within any proposal relating to this RFP hereby certifies that it is not on the Iran Final Divestment List created by the North Carolina State Treasurer pursuant to N.C.G.S. 147-86.58. The contractors, vendors, and/or bidder listed within any proposal relating to this RFP will not utilize on the contract with the City Of Greenville any subcontractor that is listed on the Iran Final Divestment List created by the North Carolina State Treasurer pursuant to N.C.G.S. 147-86.58.

## Byrd Anti-Lobbying Amendment, 31 U.S.C. 1352, as amended by the Lobbying Disclosure Act of 1995, P.L. 104-65 [to be codified at 2 U.S.C. § 1601, et seq.]

Contractors who apply or bid for an award of \$100,000 or more shall file the certification required by 49 CFR part 20, "New Restrictions on Lobbying." Each tier certifies to the tier above that it will not and has not used Federal appropriated funds to pay any person or organization for influencing or attempting to influence an officer or employee of any agency, a member of Congress, officer or employee of Congress, or an employee of a member of Congress in connection with obtaining any Federal Contract, grant or any other award covered by 31 U.S.C. 1352. Each tier shall also disclose the name of any registrant under the Lobbying Disclosure Act of 1995 who has made lobbying contacts on its behalf with non-Federal funds with respect to that Federal Contract, grant or award covered by 31 U.S.C. 1352. Such disclosures are forwarded from tier to tier up to the recipient.

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## **ATTACHMENT A: LOCATION OF WORKERS UTILIZED BY VENDOR**

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In accordance with NC General Statute 143-59.4, the Vendor shall detail the location(s) at which performance will occur, as well as the manner in which it intends to utilize resources or workers outside of the United States in the performance of this Contract. The City of Greenville will evaluate the additional risks, costs, and other factors associated with such utilization prior to making an award. Please complete items a, b, and c below.

**a) Will any work under this Contract be performed outside the United States?**  YES  NO

If the Vendor answered "YES" above, Vendor must complete items 1 and 2 below:

1. List the location(s) outside the United States where work under this Contract will be performed by the Vendor, any sub-Contractors, employees, or other persons performing work under the Contract:
  
  
  
  
  
  
  
  
  
  
2. Describe the corporate structure and location of corporate employees and activities of the Vendor, its affiliates or any other sub-Contractors that will perform work outside the U.S.:

**b) The Vendor agrees to provide notice, in writing to the City of Greenville, of the relocation of the Vendor, employees of the Vendor, sub-Contractors of the Vendor, or other persons performing services under the Contract outside of the United States**  YES  NO

NOTE: All Vendor or sub-Contractor personnel providing call or contact center services to the State of North Carolina under the Contract **shall** disclose to inbound callers the location from which the call or contact center services are being provided.

**c) Identify all U.S. locations at which performance will occur:**

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## ATTACHMENT B: CITY OF GREENVILLE MWBE FORM PACK

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### Instructions

The submitter shall provide the following forms:

FORM 1—Sub-Service Provider Utilization Plan

This form provides the amount of sub-contracted work proposed on the project for MWBE. This proposed participation is based on the current scope of work. Submitter must turn in this form with submission. If the submitter does not customarily subcontract elements of this type of project, do not complete this form. Instead complete FORM 2.

FORM 2--Statement of Intent to Perform work without Sub-Service Providers

This form provides that the submitter does not customarily subcontract work on this type of project.

Sub-Service Provider Utilization Commitment

Submitted by the selected service provider after negotiation of the contract and prior to Award, this form lists the MWBE firms committed to participate on the project. This commitment will reflect any changes in the Plan due to adjustments in project scope.

NOTE: A firm is expected to maintain the level of participation proposed in FORM 1 – Sub-Service Provider Utilization Plan – unless there is a negotiated change in the service required by the City. A firm is also encouraged to increase MWBE participation in the Utilization Commitment as a result of ongoing Good Faith Efforts.

Proof of Payment Certification

Submitted by the selected service provider with each payment application, listing payments made to sub-consultants. This form is not provided with the submission.

*In addition to the forms provided above, each service provider must provide a discussion of its diverse business policies and procedures to include the good faith efforts it employed to utilize minority and women-owned firms on this project. This discussion must include:*

- 1. Outreach efforts that were employed by the firm to maximize the utilization of MWBE's.*
- 2. A history of MWBE firms used on similar projects; and*
- 3. The percentage participation of MWBE firms on these projects.*

*NOTE: Those service providers submitting FORM 2 should discuss and provide documentation to justify 100% performance without the use of subconsultants (both majority and minority) per the statements of the form.*

Minimum Compliance Requirements: All written statements, signed forms, or intentions made by the Submitter shall become a part of the agreement between the Submitter and the City for performance of contracts. Failure to comply with any of these statements, signed forms, or intentions or with the minority business guidelines shall constitute a breach of the contract. A finding by the City that any information submitted (either prior to award of the contract or during the performance of the contract) is inaccurate, false, or incomplete, shall also constitute a breach of the contract. Any such breach may result in termination of the contract in accordance with the termination provisions contained in the contract. It shall be solely at the option of the City whether to terminate the contract for breach or not. In determining whether a Submitter has made Good Faith Efforts, the City will evaluate all efforts made by the Submitter and will determine compliance in regard to quantity, intensity, and results of these efforts.

# Sub-Service Provider Utilization Plan

## FORM 1

(Must be included with submission if subcontracting any portion of work)

We \_\_\_\_\_, do certify that on the  
 \_\_\_\_\_  
 (Company Name)

\_\_\_\_\_ we propose to expend a minimum of  
 \_\_\_\_\_%  
 (Project Name)

of the total dollar amount of the contract with certified **MBE** firms and a minimum of  
 \_\_\_\_\_% of the total dollar amount with **WBE** firms.

Name, Address, & Phone Number of Sub-Service Provider	*MWBE Category	Work description	% of Work

\*Minority categories: Black, African American (**B**), Hispanic or Latino (**L**), Asian American (**A**) American Indian (**I**),

Female (**F**) Socially and Economically Disadvantaged (**S**) Disabled (**D**)

The undersigned intends to enter into a formal agreement with MWBE firms for work listed in this schedule conditional upon execution of a contract with the current scope proposed by the Owner.

The undersigned hereby certifies that he/she has read the terms of this agreement and is authorized to bind the submitter to the agreement herein set forth.

Date: \_\_\_\_\_

Name & Title of Authorized Representative \_\_\_\_\_

Signature of Authorized Representative \_\_\_\_\_

# Statement of Intent to Perform work without Sub-Service Providers FORM 2

(Must be included with submission if not subcontracting any portion of work)

We, \_\_\_\_\_, hereby certify that it is our intent to perform 100% of the work required for the \_\_\_\_\_ contract.

(Project Name)

In making this certification, the Proposer states the following:

- i. It is a normal and customary practice of the Proposer to perform all elements of this type of contract with its own workforce and without the use of subconsultants. *The Proposer has substantiated this by providing documentation of at least three (3) other projects within the last five (5) years on which they have done so.*

**Check box to indicate documentation is attached.**

- ii. The Proposer has a valid business reason for self-performing all work on the Contract as opposed to subcontracting with a MWBE. The Proposal must describe the valid business reason for self-performing, and the Proposer must submit with its Bid or Proposal documentation sufficient to demonstrate to the Authority reasonable satisfaction the validity of s such assertions.

**Check box to indicate documentation is attached.**

- iii. If it should become necessary to subcontract some portion of the work at a later date, the Proposer will notify the City and institute good faith efforts to comply with all requirements of the MWBE program in providing equal opportunities to MWBEs to subcontract the work. **The firm will also submit a Request to Change MWBE Participation Form (even if the final subconsultant is not MWBE).**

The undersigned hereby certifies that he or she has read the terms of this certification and is authorized to bind the Proposer in accordance herewith.

Date: \_\_\_\_\_

Name & Title of Authorized  
Representative \_\_\_\_\_

Signature of Authorized  
Representative \_\_\_\_\_

# Sub-Service Provider Utilization Commitment

(Must be submitted after contract negotiation and prior to Award)

We \_\_\_\_\_, do certify that on the  
 (Company Name)  
 \_\_\_\_\_ (Project) we will expend a minimum of \_\_\_\_\_% of the  
 total dollar amount of the contract with certified **MBE** firms and a minimum of \_\_\_\_\_% of the  
 total dollar amount of the work with **WBE**.

Name, Address, & Phone Number of Sub-Service Provider	*MWBE Category	Work description	% of Work

\*Minority categories: Black, African American (**B**), Hispanic or Latino (**L**), Asian American (**A**) American Indian (**I**),

Female (**F**) Socially and Economically Disadvantaged (**S**) Disabled (**D**)

The undersigned will enter into a formal agreement with MWBE firms for work listed in this schedule. Failure to fulfill this commitment may constitute a breach of contract.

The undersigned hereby certifies that he/she has read the terms of this commitment and is authorized to bind the submitter to the commitment herein set forth.

Date: \_\_\_\_\_

Name & Title of Authorized Representative \_\_\_\_\_

Signature of Authorized Representative \_\_\_\_\_

# REQUEST TO CHANGE MWBE PARTICIPATION

(Submit changes only if recipient of intent to award letter, continuing through project completion.)

Project: \_\_\_\_\_

Bidder or Prime Consultant: \_\_\_\_\_

Name & Title of Authorized Representative: \_\_\_\_\_

Address: \_\_\_\_\_ Phone #: \_\_\_\_\_

\_\_\_\_\_ Email Address: \_\_\_\_\_

Original Total Contract Amount: \$ \_\_\_\_\_

Total Contract Amount (including approved change orders or amendments):

\$ \_\_\_\_\_

Will this request change the dollar amount of the contract?  Yes  No

If yes, give the total contract amount including change orders and proposed change:

\$ \_\_\_\_\_

The proposed request will do the following to overall MWBE participation (please check one):

Increase  Decrease  No Change

Name of subconsultant: \_\_\_\_\_

Service provided: \_\_\_\_\_

## Proposed Action:

\_\_\_ Replace subconsultant

\_\_\_ Perform work in-house

For the above actions, you must provide one of the following reasons (Please check applicable reason):

\_\_\_ the listed MBE/WBE, after having had a reasonable opportunity to do so, fails or refuses to execute a written contract.

\_\_\_ The listed MBE/WBE is bankrupt or insolvent.

    The listed MBE/WBE fails or refuses to perform his/her subcontract or furnish the listed materials.

\_\_\_ The work performed by the listed subconsultant is unsatisfactory according to industry standards and is not in accordance with the plans and specifications; or the subconsultant is substantially delaying or disrupting the progress of the work.



Pay Application No. _____
Purchase Order No. _____

## Proof of Payment Certification

### MWBE Contractors, Suppliers, Service Providers

Project Name: \_\_\_\_\_

Prime Service Provider: \_\_\_\_\_

Current Contract Amount (including change orders): \$\_\_\_\_\_

Requested Payment Amount for this Period: \$\_\_\_\_\_

Is this the final payment?  Yes  No

Firm Name	MWBE Category*	Total Amount Paid from this Pay Request	Total Contract Amount	Total Amount Remaining

\*Minority categories: Black, African American (**B**), Hispanic or Latino (**L**), Asian American (**A**) American Indian (**I**),

Female (**F**) Socially and Economically Disadvantaged (**S**) Disabled (**D**)

Date: \_\_\_\_\_

Certified By: \_\_\_\_\_

\_\_\_\_\_

Name

\_\_\_\_\_

Title

\_\_\_\_\_

Signature

**ATTACHMENT C: NCDOT FORM RS-2**

**PRIME CONSULTANT  
TO BE USED WITH PROFESSIONAL SERVICES CONTRACT ONLY  
RACE AND GENDER NEUTRAL**

*TIP No. and/or Type of Work (Limited Services)*

*(Consultant/Firm Name and Federal Tax Id)*

<i>SERVICE / ITEM DESCRIPTION</i>		<i>Anticipated Utilization</i>
<b>TOTAL UTILIZATION:</b>		
<b>RECOMMENDED BY:</b>		
CONSULTANT:		
*BY:		
TITLE:		<input type="text"/>
SPSF Status:	Yes <input type="checkbox"/>	No <input type="checkbox"/>

**“PRIME CONCONSULTANT” (FORM RS-2) RACE AND GENDER NEUTRAL**

**Instructions for completing the Form RS-2:**

1. Complete a Prime Consultant Form RS-2 for the prime consultant firm.
2. Insert TIP Number and /or Type of Work (Limited Services)
3. Complete the Consultant/Firm name and Federal Tax ID Number for the primary firm information.
4. Enter Service/Item Description – describe work to be performed by the Prime Firm
5. Enter Anticipated Utilization – Insert dollar value or percent of work to the Prime Firm
6. \*Signature of the Prime Consultant **is required** on each RS-2 Form to be submitted with the Letter of Interest (LOI) to be considered for selection
7. Complete “SPSF Status” section - Check the appropriate box regarding SPSF Status, check Yes if SPSF or No if not SPSF

**ATTACHMENT D: CERTIFICATION OF DEBARMENT, SUSPENSION,  
INELIGIBILITY, ETC...**

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**CERTIFICATION REGARDING DEBARMENT, SUSPENSION, INELIGIBILITY  
AND VOLUNTARY EXCLUSION FOR FEDERAL AID CONTRACTS**

(Compliance with 49CFR, Part 29)

I hereby certify that neither the below identified firm nor its principals are presently suspended, proposed for debarment, declared ineligible, or voluntarily excluded from entering into contract by any federal agency, or any department, agency, or political subdivision of any State and will immediately notify the City of Greenville and the Greenville Urban Area MPO of any such actions.

Name of Consultant / Firm \_\_\_\_\_

By: \_\_\_\_\_ Date \_\_\_\_\_  
Signature of Authorized Representative

Title: \_\_\_\_\_

Instructions for Certification

1. By signing and submitting this certification with the proposal, the prospective lower tier participant is providing the certification set out below.
2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the Department may pursue available remedies, including suspension and/or debarment.
3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted. If at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
4. The terms 'covered transaction', 'debarred', 'suspended', 'ineligible', 'lower tier covered transaction', 'participant', 'person', 'primary covered transaction', 'principal', 'proposal', and 'voluntarily excluded', as used in this clause, have the meanings set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549.
5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the Department or agency with which this transaction originated.
6. The prospective lower tier participant further agrees by submitting this proposal that it will include this clause titled " Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Nonprocurement List.
8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant are not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the Department may pursue available remedies, including suspension and/or debarment.

<http://www.gpo.gov/fdsys/granule/CFR-2004-title49-vol1/CFR-2004-title49-vol1-part29/content-detail.html>

**ATTACHMENT E: CERTIFICATION OF CONFLICT OF INTERESTS**

**CONFLICT OF INTEREST CERTIFICATION FOR  
CONSULTANTS/CONTRACTORS**

I certify that I have no present conflict of interest, that I have no knowledge of any conflict of interest that my firm may have, and that I will recuse myself from any capacity of decision making, approval, disapproval, or recommendation on any contract if I have a conflict of interest or a potential conflict of interest.

Consultants/Contractors are expected to safeguard their ability to make objective, fair, and impartial decisions when performing work for the MPO, and therefore may not accept benefits of any sort under circumstances in which it could be inferred by a reasonable observer that the benefit was intended to influence a pending or future decision of theirs, or to reward a past decision. Consultants performing work for the MPO should avoid any conduct (whether in the context of business, financial, or social relationships) which might undermine the public trust, whether or not that conduct is unethical or lends itself to the appearance of ethical impropriety.

For purposes of determining any possible conflict of interest, all firms, must disclose if any Greenville Urban Area Metropolitan Planning Organization Board Members, Employee(s), Advisory Committee Member(s), of if any of its agencies is also an owner, corporate officer, agency, employee, etc., of their business.

Indicate either “yes” (a MPO employee, elected official, or agency is also associated with your business), or “no”. If yes, give person(s) name(s) and position(s) with your business.

Yes \_\_\_\_\_ No \_\_\_\_\_

Name(s)

Position(s)

Name(s)	Position(s)

I realize that violation of the above mentioned standards could result in the termination of my work for the City of Greenville and the MPO.

DATE: \_\_\_\_\_ SIGNATURE: \_\_\_\_\_

Company: \_\_\_\_\_ NAME: \_\_\_\_\_  
(Typed or Printed)

Address: \_\_\_\_\_ TITLE: \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_

PHONE NO: \_\_\_\_\_ E-MAIL \_\_\_\_\_

# ATTACHMENT F: NCDOT VENDOR REGISTRATION FORM, W-9

SUBSTITUTE FORM W-9

## VENDOR REGISTRATION FORM NORTH CAROLINA DEPARTMENT OF TRANSPORTATION

Pursuant to Internal Revenue Service (IRS) Regulations, vendors must furnish their Taxpayer Identification Number (TIN) to the State. If this number is not provided, you may be subject to a 20% withholding on each payment. To avoid this 20% withholding and to insure that accurate tax information is reported to the Internal Revenue Service and the State, please use this form to provide the requested information exactly as it appears on file with the IRS.

INDIVIDUAL AND SOLE PROPRIETOR: ENTER NAME AS SHOWN ON SOCIAL SECURITY CARD  
CORPORATION OR PARTNERSHIP : ENTER YOUR LEGAL BUSINESS NAME

NAME: \_\_\_\_\_

MAILING ADDRESS: STREET/PO BOX: \_\_\_\_\_

CITY, STATE, ZIP: \_\_\_\_\_

DBA / TRADE NAME (IF APPLICABLE): \_\_\_\_\_

BUSINESS DESIGNATION:  INDIVIDUAL (use Social Security No.)  SOLE PROPRIETOR (use SS No. or Fed ID No.)  
 CORPORATION (use Federal ID No.)  PARTNERSHIP (use Federal ID No.)  
 ESTATE/TRUST (use Federal ID no.)  STATE OR LOCAL GOVT. (use Federal ID No.)  
 OTHER / SPECIFY \_\_\_\_\_

SOCIAL SECURITY NO. \_\_\_\_\_ - \_\_\_\_\_ - \_\_\_\_\_ (Social Security #)

OR

FED.EMPLOYER IDENTIFICATION NO. \_\_\_\_\_ - \_\_\_\_\_ - \_\_\_\_\_ (Employer Identification #)

COMPLETE THIS SECTION IF PAYMENTS ARE MADE TO AN ADDRESS OTHER THAN THE ONE LISTED ABOVE:

REMIT TO ADDRESS: STREET / PO BOX: \_\_\_\_\_  
CITY, STATE, ZIP: \_\_\_\_\_

Participation in this section is voluntary. You are not required to complete this section to become a registered vendor. The information below will in no way affect the vendor registration process and its sole purpose is to collect statistical data on those vendors doing business with NCDOT. If you choose to participate, circle the answer that best fits your firm's group definition.

What is your firm's ethnicity? ( Prefer Not To Answer,  African American,  Native American,  Caucasian American,  Asian American,  Hispanic American,  Asian-Indian American,  Other: \_\_\_\_\_ )

What is your firm's gender? ( Prefer Not to Answer,  Male,  Female) Disabled-Owned Business? ( Prefer Not to Answer,  Yes,  No)

### IRS Certification

Under penalties of perjury, I certify that:

1. The number shown on this form is my correct taxpayer identification and
2. I am not subject to backup withholding because: (a) I am exempt from backup withholding, or (b) I have not been notified by the IRS that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding, and
3. I am a U.S. person (including a U.S. resident alien).

The IRS does not require your consent to any provision of this document other than the certifications required to avoid backup withholding. For complete certification instructions please see IRS FORM W-9 at <http://www.irs.gov/pub/irs-pdf/fw9.pdf>.

NAME (Print or Type) \_\_\_\_\_

TITLE (Print or Type) \_\_\_\_\_

SIGNATURE \_\_\_\_\_

DATE \_\_\_\_\_

PHONE NUMBER \_\_\_\_\_

To avoid payment delays, completed forms should be returned promptly to:

NC Department of Transportation  
Fiscal/Commercial Accounts  
1514 Mail Service Center  
Raleigh, North Carolina 27699-1514

PHONE (919) 733-3624 FAX (919) 715-3700

## **ATTACHMENT G: CERTIFICATION REGARDING LOBBYING**

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### Certification for Contracts, Grants, Loans, and Cooperative Agreements

The undersigned [Contractor] 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 an 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 making lobbying contacts to 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 [as amended by "Government wide Guidance for New Restrictions on Lobbying," 61 Fed. Reg. 1413 (1/19/96). Note: Language in paragraph (2) herein has been modified in accordance with Section 10 of the Lobbying Disclosure Act of 1995 (P.L. 104-65, to be codified at 2 U.S.C. 1601, *et seq.*)]

(3) The undersigned shall require that the language of this certification be included in the award documents for all sub-awards at all tiers (including sub-Contracts, sub-grants, and Contracts under grants, loans, and cooperative agreements) and that all sub-recipients 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 31, U.S.C. § 1352 (as amended by the Lobbying Disclosure Act of 1995). 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.

[Note: Pursuant to 31 U.S.C. § 1352(c)(1)-(2)(A), any person who makes a prohibited expenditure or fails to file or amend a required certification or disclosure form shall be subject to

a civil penalty of not less than \$10,000 and not more than \$100,000 for each such expenditure or failure.]

The Contractor, \_\_\_\_\_, certifies or affirms the truthfulness and accuracy of each statement of its certification and disclosure, if any. In addition, the Contractor understands and agrees that the provisions of 31 U.S.C. A 3801, *et seq.*, apply to this certification and disclosure, if any.

\_\_\_\_\_ Signature of Contractor's Authorized Official

\_\_\_\_\_ Name and Title of Contractor's Authorized Official

\_\_\_\_\_ Date