

**REQUEST FOR PROPOSALS**  
**CENTRAL VIRGINIA LONG RANGE TRANSPORTATION PLAN UPDATE**  
**YEAR 2035**  
**ISSUED BY THE**  
**REGION 2000 LOCAL GOVERNMENT COUNCIL**  
**DECEMBER 22, 2008**

**I. INTRODUCTION**

The Region 2000 Local Government Council (the Council) will receive proposals from qualified and experienced transportation planning/engineering firms to undertake a long-range transportation plan update for the Central Virginia Metropolitan Planning Organization (CVMPO). This plan will fulfill Federal Highway Administration (FHWA) planning requirements specified in 23 CFR 450.322. The plan will address the seven (7) planning factors from the SAFETEA-LU transportation bill, successor to the Transportation Equity Act for the Twenty-first Century (TEA-21), and Environmental Justice requirements. The Council is the regional government organization providing staff support and services for the CVMPO. The CVMPO is the designated metropolitan planning organization (MPO) for the Lynchburg, Virginia area.

**II. BACKGROUND**

The first transportation plan developed for the Lynchburg Urbanized Area was in 1965, the *Lynchburg Area Transportation Study (LATS)*. This plan projected highway needs twenty years to 1985. A subsequent study updated this plan with a horizon year of 2000, known as the *Year 2000 Transportation Plan*.

The 1991 Intermodal Surface Transportation Efficiency Act (ISTEA) required each MPO to develop a long-range (twenty year), multimodal transportation plan to provide a blueprint for how the transportation system should develop to move people and goods in the most efficient, cost-effective, and environmentally-sensitive manner possible. An update of the *Year 2000 Transportation Plan* was developed and adopted by the MPO in 1995. This plan projected transportation needs to year 2015 and is known as the *Lynchburg Area Year 2015 Interim Constrained Long-Range Transportation Plan*. This plan was fiscally constrained and incorporated all modes of transportation within the study area.

Subsequent to the 2015 Plan update, the *Lynchburg Area Long-Range Transportation Plan Year 2025* was adopted in January, 2001. This was also a constrained plan. Additionally, the Central Virginia Long Range Transportation Plan Year 2030 was adopted in December, 2005, also a constrained plan.

SAFETEA-LU requires each long-range transportation plan to be updated every five years. The CVMPO's transportation plan must again be updated by December, 2010.

### **III. GENERAL INFORMATION**

**1. Issuing Office:** Region 2000 Local Government Council  
828 Main Street, 12<sup>th</sup> Floor  
Lynchburg, VA 24504  
434.845.3491

**2. Issuing Date:** December 22, 2008

**3. Closing Date/Time**

In order for a proposal to be considered, it must be received and date stamped by the Issuing office by 4:00 p.m. (E.S.T.) on January 23, 2009.

**4. Late Proposals and/or Modifications**

Late proposals and modifications will not be accepted after the closing date.

**5. Proposal Submission**

One original and eleven (11) copies (all bound) of the proposal shall be submitted with one outer wrapping, securely sealed, and clearly addressed as follows;

Mr. Robert E. White, AICP  
Deputy Director  
Region 2000 Local Government Council  
828 Main Street, 12<sup>th</sup> Floor  
Lynchburg, VA 24504

Contents of the proposal must remain valid for at least ninety (90) days following the closing date.

**6. Consultant Understanding of Requirements**

It is the responsibility of the consultant to inquire about and clarify any requirements of the request for proposals. All inquiries should be addressed to Council staff at the Issuing Office. If a response by the Council staff cannot be fulfilled, the Council staff may direct inquiries to VDOT's Lynchburg District Planner, depending on the type of inquiry received.

**7. Oral Presentation/Interview**

Written proposals will be evaluated and three to four finalists may be selected for an oral presentation/interview before the CVMPO Project

Management Team. The firms selected for the oral presentation/interview will be notified and a date and time arranged for this. The oral presentation/interview must include the project manager and key staff proposed for the project.

This RFP does not request firms to furnish cost proposals for services. This information will be requested at the contract negotiation stage. This contract will be a lump sum fee contract.

#### **8. CVMPO Management Team/Negotiations**

A Project Management Team will be formed consisting of Council staff and selected members of the Transportation Technical Committee (TTC). This Team will be responsible for reviewing proposals, interviewing qualified candidates, and making a final recommendation of a consultant for this project.

Following oral presentation/interviews and ranking of proposing consultants, negotiations shall be conducted with the firm ranked first. If a contract that is satisfactory, reasonable, and advantageous to the CVMPO can be negotiated, it will be signed with the selected consultant. If no agreement can be reached with the firm ranked first, the second ranked firm will be contacted for negotiations.

#### **9. Proposal Binding**

The contents of the proposal, in its entirety, submitted by the accepted consultant and accepted by the CVMPO, unless modified by the CVMPO, shall become an attachment to and part of the contract between the consultant and the Council on behalf of the CVMPO.

#### **10. Rejection of Proposals**

The CVMPO reserves the right to develop an optional services contract at a later time and to reject any and all proposals received by reason of this request and to readvertise or to negotiate separately in such a manner that best serves the CVMPO.

The CVMPO reserves the right to select all or parts of the selected consultant's proposal as a basis for a contractual agreement on behalf of the CVMPO.

The CVMPO also reserves the right to develop an optional services contract that allows the CVMPO to divide the project's work so that a portion may be performed as optional services. The CVMPO may elect to exercise its option with the firm first contracted to conduct the non-optional services. Failure to reach agreement on the optional services activities with the selected firm would require the CVMPO to readvertise to firms to conduct the optional services through a contract.

The proposal submitted by the consultant, as accepted by the CVMPO in whole or in part, shall become an attachment to and part of the contract between the consultant and the Council on behalf of the CVMPO.

**11. Incurring Costs**

The Council, as staff to the CVMPO, is not liable for any costs incurred by the consultants prior to execution or issuance of a contract. After contract approval, costs not specifically delineated in the contract or its attachment as eligible for reimbursement will be disallowed.

**12. Project Director:** Robert E. White, AICP  
Deputy Director  
Region 2000 Local Government Council  
828 Main Street, 12<sup>th</sup> Floor  
Lynchburg, VA 24504  
434.845.3491

**13. Virginia Fair Employment Contracting Act**

The contract must certify compliance with the following provision of the Virginia Fair Employment Contracting Act: The contractor will not discriminate against any employee or applicant for employment because of race, religion, color, age, sex, or national origin unless it is a bona fide occupational qualification reasonably necessary to the normal operation of the contractor. The contractor agrees to post in conspicuous places, available to employees and applicants for employment, notices setting forth the provisions of this non-discrimination clause.

The consultant, in all solicitations or advertisements for employees placed by or on behalf of the consultant, will state that such consultant is an equal opportunity employer.

Notices, advertisements and solicitations placed in accordance with federal law, rule or regulation shall be deemed sufficient for the purpose of meeting the requirements of this section.

The consultant will include the provisions of the foregoing paragraphs in every subcontract or purchase order over \$10,000 so that the provisions will be binding upon each subcontractor or vendor.

**14. Virginia State Code 51.01-40: Non-Discrimination under State Grants and Programs**

The contract must certify compliance with the following provision of the Virginia State Code 51.01-40:

No otherwise qualified person with a disability shall, on the basis of disability, be excluded from participation, be denied the benefits of, or be subjected to discrimination under any program or activity receiving state financial assistance or under any program or activity conducted by or on behalf of any state agency.

#### **15. Disadvantaged Business Enterprise Participation**

It is the policy of the Virginia Department of Transportation that Disadvantaged Business Enterprises (DBE) as defined in 49 CFR Part 26 shall have the maximum opportunity to participate in the performance of federally funded consultant contracts. A list of Virginia Department of Minority Business Enterprise certified DBE firms is maintained on their web site (<http://www.dmbe.state.va.us/>) under the DBE Directory of Certified Vendors. Consultants are encouraged to take all necessary and reasonable steps to ensure that DBE have the maximum opportunity to compete for and perform services on the contract, including participation in any subsequent supplemental contracts. If the consultant intends to subcontract a portion of the services on the project, the consultant is encouraged to seek out and consider DBE as potential sub consultants. The consultant is encouraged to contact DBE to solicit their interest, capability and qualifications. Any agreement between a consultant and a DBE whereby the DBE promises not to provide services to other consultants is prohibited. The DBE contract goal for this procurement is 10%.

In accordance with the Governor's Executive Order No. 33, the Virginia Department of Transportation also requires a utilization of Small, Women and Minority (SWaM) Businesses to participate in the performance of state funded consultant contracts. A list of Virginia Department of Minority Business Enterprise (DMBE) certified SWaM firms is maintained on the DMBE web site (<http://www.dmbe.state.va.us/>) under the SWaM Vendor Directory link. Consultants are encouraged to take all necessary and reasonable steps to ensure that SWaM firms have the maximum opportunity to compete for and perform services on the contract, including participation in any subsequent supplemental contracts. If the consultant intends to subcontract a portion of the services on the project, the consultant is encouraged to seek out and consider SWaM firms as potential sub consultants. The consultant is encouraged to contact SWaM firms to solicit their interest, capability and qualifications. Any agreement between a consultant and a SWaM firm whereby the SWaM firm promises not to provide services to other consultants is prohibited.

Include the following wording and two bullets on state or federally funded projects with a DBE or SWaM goal. [In the following sentence and these two bullets, remove references to SWaM on federally funded projects and DBE on a state funded project.] If portions of the services are to be subcontracted to a DBE or SWaM, the following needs to be submitted

with your EOI and both must reference the project number(s) for the services:

- Written documentation of the prime's commitment to the DBE or SWaM to subcontract a portion of the services, a description of the services to be performed and the percent of participation.
- Written confirmation from the DBE or SWaM that it is participating, including a description of the services to be performed and the percent of participation.

Note that 49 CFR Part 26 requires VDOT to collect certain data about firms attempting to participate in VDOT contracts. This data must be provided on the enclosed Firm Data Sheet.

VDOT is also required to capture DBE and SWaM payment information on all professional services contracts. The successful prime consultant will be required to complete C- 63 form for both state and federally funded projects on quarterly basis.

Any DBE or SWaM firm must become certified (with the Virginia Department of Minority Business Enterprise) prior to your response being submitted.

If DBE or SWaM is the prime consultant, the firm will receive full credit for planned involvement of their own forces, as well as the work that they commit to be performed by DBE or SWaM sub consultants. DBE or SWaM prime consultants are encouraged to make the same outreach efforts as other consultants. DBE or SWaM credit will be awarded only for work actually being performed by them. When a DBE or SWaM prime consultant subcontracts work to another firm, the work counts toward DBE or SWaM goals only if the other firm is itself a DBE or SWaM. A DBE or SWaM prime consultant must perform or exercise responsibility for at least thirty percent (30%) of the total cost of its contract with its own force.

DBE or SWaM certification entitles consultants to participate in VDOT's DBE and SWaM programs. However, this certification does not guarantee that the firm will obtain VDOT work nor does it attest to the firm's abilities to perform any particular work.

The contractor, its agents, employees, assigns, or successors and any person, firm, or agency of whatever nature, with whom it may contract or make agreement in connection with a contract resulting from this request for proposal shall agree in said contract that best efforts will be made to

insure that minority business enterprises shall have the maximum practical opportunity to compete for subcontract work under this project.

#### **16. Indemnification**

The consultant shall indemnify and hold harmless the Council, its officers, boards, and employees against any and all claims, demands, causes of action, suits, proceedings, damages, costs, or liabilities (including costs or liability of the Council with respect to its employees), of every kind and nature whatsoever, including but not limited to, damages for injury or death or damages to person or property, regardless of the merit of any of these same, including any attorney fees, accountant fees, expert witness or consultant fees, court costs, per diem, expense traveling and transportation expense, or other costs or expense arising out of or pertaining to the performance of this Agreement by contractor and of which contractor would otherwise be responsible unless resulting from the negligence of the Council or its officers, boards, boards, agents, or employees.

#### **17. Evaluation**

The proposals will be evaluated on the following criteria:

- i. Understanding of project and Scope of Work Statement;
- ii. Firm's experience with similar projects;
- iii. Project personnel's experience with similar projects;
- iv. Approach to project Scope of Work Statement;
- v. Capacity of firm to accomplish this project;
- vi. Disadvantaged Business Enterprise Certification

References will be considered as part of the selection process.

#### **18. Audit**

Prior to contract award, the selected consultant is subject to initial audit by the Virginia Department of Transportation.

#### **19. Inspection of Proposals**

The Virginia Public Procurement Act (11-37 of the Code of Virginia) states that during the evaluation of proposals, no information other than the identity of the firms and/or individuals who have submitted proposals shall be disclosed. If any proposer submits information as part of its proposal that is identified as being a trade secret or proprietary information and has stated the reasons why the information should not be disclosed to its competitors or the public, the issuing office will not disclose any such information to other proposers or the public. Firms should make clear in writing of their position in regard to this issue.

## **IV. SCOPE OF WORK STATEMENT**

### **1. Goal of Project**

This transportation plan development effort is being undertaken to update the existing Central Virginia Long Range Transportation Plan Year 2030. The update will identify and recommend goals, objectives, and improvements to the CVMPO transportation system to the year 2035 horizon. This plan must fulfill FHWA planning requirements as specified in 23 CFR 450.322. The plan will also address the seven (7) planning factors from SAFET-LU, as well as Environmental Justice requirements.

### **2. Study Approach**

The scope of work shown below identifies the key tasks to be undertaken by this planning effort. The proposer is strongly encouraged to suggest state of the practice options and sub tasks to accomplish the Scope of Work Statement shown herein.

The Virginia Department of Transportation (VDOT) and/or its consultant will be developing the transportation demand forecasting model for this area. The consultant selected for this project will be required to coordinate their work program with the work program for the model development, and to run and interpret scenario analysis. The consultant shall be familiar with and have access to TP+ and MINUTP travel demand software.

### **3. Scope of Work**

- i. Task I: Data Collection-the consultant will:
  - become familiar with the localities' comprehensive planning and related efforts to ensure an understanding of their vision, goals, and objectives as they may relate to this planning process;
  - identify existing safety needs within the study area, including obtaining motor vehicle crash data from VDOT and the City of Lynchburg for a three year period, and analyze to identify potential safety conscious improvements or make safety conscious planning recommendations;
  - identify existing and future needs for other modes of transportation, including collecting and summarizing data on existing conditions for freight, transit, air travel, passenger and freight rail, intercity bus, taxi, and public service providers;
  - Develop data for analysis of key problem locations within the study area, as suggested by the TTC. Up to twenty machine counts may be requested, as needed.
  - Receive and review internally and externally produced planning documents that need to be integrated into the updated

plan in an appropriate manner. These documents include the following:

- Central Virginia Long Range Transportation Plan Year 2030;
- The most recent environmental consultation discussion materials;
- State Highway Safety Plan Summary;
- Coordinated Human Services Mobility Plan;
- Statewide Freight Study Plan;
- Central Virginia's Regional Action Plan for Coordinated Land Use and Transportation Planning;
- Region 2000 Greenways/Blueways Plan;
- Central Virginia Metropolitan Planning Organization Bike Plan (This plan is currently being updated.);
- Region 2000 Rural Long Range Transportation Plan (This plan is currently being developed.);
- Greater Lynchburg Transit Company planning documents;
- Rideshare, Commuter Services Study, and Central Virginia's Region 2000 Park and Ride Lot Location Study documents.

ii. Task II: Public Involvement-the proposer:

- Will submit a public involvement approach to accomplishing this planning effort, to include, but not limited to compliance with the Public Participation Plan for the Central Virginia Metropolitan Planning Organization, as well as Federal Title VI/Environmental Justice requirements;
- Will prepare presentation materials to support the public involvement process. These materials should be available to the Council staff for use throughout the planning process. The materials can include, but are not limited to, handouts, presentations boards, power point presentations, and web-based materials.
- The public involvement process and its documentation are considered key elements of this planning process. Consideration for the Public Participation Plan for the Central Virginia Metropolitan Planning Organization, compliance with Title VI as it relates to the MPO and its planning process, and Environmental Justice is essential.

iii. Task III: Goals and Objectives

The proposer will suggest an approach to developing/refining goals and objectives or guiding principles for this planning effort.

- iv. Task IV: Vision and Constrained Transportation Plan Development-the consultant will:
- Undertake a long range plan alternatives development and analysis effort. A set of transportation improvements will be developed using an analysis of the no-build network, projects in the current Year 2030 plan, and projects identified through the public involvement process. These will be organized into a discreet set of alternatives to be tested using the 2035 transportation model. A volume to capacity ratio analysis will be completed
  - Develop a vision plan. Projects that meet identified transportation goals and objectives will be included in the vision plan. Planning level cost estimates of the costs for implementing these projects will be developed in accordance with current VDOT cost estimating methodology.
  - Identify the transportation funding stream in cooperation with the CVMPO and VDOT. Based on historic trends in transportation funding, current funding outlooks, and anticipated changes in funding, a year-by-year estimate of transportation funding will be developed. Funding projections will be provided to the FHWA for review in draft form.
  - Accomplish an environmental review. Projects in the vision plan will be assessed in terms of potential environmental impacts. These impacts will be assessed at a broad level only to identify potential fatal flaws affecting project selection. The environmental overview should include potential locations of threatened and endangered species, socio/cultural interests/resources, wetlands, land management areas, and hazardous materials sites.
  - Develop a financially constrained plan. In cooperation with the TTC, a prioritization methodology will be developed to assist in prioritizing transportation projects. Such a methodology could include, but certainly is not limited to, estimated traffic volumes, cost, potential impacts, and conformity with local comprehensive plans or transportation policies.
  - Additionally, the Plan shall address the multi-modal nature of the Central Virginia transportation system.
  - Further, the Plan shall address access management as a means of extending the the life cycle of the Central Virginia transportation system, including identification of corridors that will benefit from this management approach and suggested policies or guiding principles.
- v. Task V: Adoption Process-the consultant  
Will support the CVMPO adoption of the resulting Year 2035 plan update.

- vi. Task VI: Document Production-the consultant will prepare:
- a technical report documenting working procedures and information, public involvement, analysis, decisions, and project results, with associated text, graphics, tables, and figures. The technical reports should be printed in 8 ½ “x11” format, with 11”x17” fold out graphics as necessary. Twenty (20) copies of the report are required.
  - A bound executive summary (150 copies) is required in 8 ½”x11” format. Maps showing the recommended year 2035 improvements shall be shown on 22”x17” sheets.
  - A graphic representation of the final plan/map will be reproduced in a blue lined format for review and comment.
  - Upon approval, the final plan will be printed on a wall-map style format. The plan will include the selected improvements as adopted and will be displayed in a maximum of five colors. The reverse side of the map will contain a summary of information extracted from the technical documentation. It shall include the recommendations list. Camera ready graphic and 250 copies will be submitted to the CVMPO upon completion.
  - All final products will also be presented in electronic format as determined by the CVMPO.
- vii. Task VII: Project Management
- Schedule to complete all tasks by July 2010: The proposer will provide a project management plan, including schedule, to meet the section IV. Scope of Work Statement. The schedule shall include tasks and sub tasks to accommodate the CVMPO timeline goals as follow:
    - The CVMPO is required by FHWA to update the current transportation plan by December 2010. It is the desire of the CVMPO to accomplish the update, including the adoption process, by July 2010.
  - Collaboration with TTC and CVMPO: The project management plan should include significant involvement of the TTC throughout the course of the planning process, as well as the CVMPO.
  - Integration with VDOT: The project management plan should clearly indicate how this plan development process will be integrated with VDOT’s transportation model development process.
  - Reporting: The project management plan should include reporting procedures.
  - Understandable, meaningful communication: The transportation planning process often is confusing to non-

transportation planning professionals. The proposer should suggest means to communicate the planning process and the pertinent information, analysis, decision-making, conclusions, and recommendations in an understandable, meaningful manner.

The anticipated audiences for this effort will include the CVMPO, TTC, public officials, and general public. Graphics, mapping, GIS techniques, and web-based approaches are some possible communication avenues to be considered.

## **V. PROCEDURAL/ADMINISTRATIVE ELEMENTS**

### **1. Project Manager**

The consultant will be the Project Manager for the project. He/she will, with the assistance of the Council Project Director, be expected to manage all phases of the project. All work shall be subject to the inspection and approval of the Project Director, the CVMPO, VDOT, and FHWA.

### **2. Project Term**

The successful firm should anticipate starting work in late March 2009 and completing work in July 2010. The consultant shall initiate work within five days after the contract is signed by both parties and the Issuing Office has issued a letter of notice to proceed. The consultant shall suggest a completion schedule; however, the project is expected to be completed by July 2010.

### **3. Reporting/Invoicing**

- At the conclusion of each separate task: A draft report (ten copies) for each of the separate tasks identified to be conducted shall be prepared by the consultant and submitted to the Issuing Office upon completion. The Project Director on behalf of the CVMPO will provide comments to the consultant following receipt of the individual draft reports as well as the final draft report. Invoicing shall accompany each final draft report, with appropriate documentation as required by VDOT.
- Monthly progress reports: Additionally, monthly progress letter reports that include work and work percentages completed by tasks shall be submitted by the consultant to the Project Director. This project report shall include an updated project management schedule in graphic form, showing intended (original schedule) and actual progress. Additionally, a final close out report will be required.

## **VI. PROPOSAL REQUIREMENTS**

The proposal at a minimum must address the information in the section IV. Scope of Work Statement. For evaluation purposes, the consultant shall prepare a single proposal package. The proposal should be tab indexed and organized according to the following items:

**1. General Information**

- i. Name of firm;
- ii. Complete mailing address;
- iii. Name and telephone number of firm representative who will be responsible for this project;
- iv. Statement of qualifications by completing GSA Standard form 254 Architect-Engineer and Related Services Questionnaire and GSA Standard Form 255 Architect-Engineer and Related Services Questionnaire for the specific project.

**2. Understanding of Project and Scope of Work Statement**

Present in your own words your understanding of the project and Scope of Work Statement. Consultants are encouraged to carefully review the scope of work and suggest alternative state of the practice methods and/or work activities if they feel they are necessary to better achieve a successful plan update. Consultants should describe how their work will be coordinated with VDOT and/or its consultant that is developing the regional travel demand forecasting model.

**3. Firm's Experience with Similar Projects**

Describe your firm's previous experience performing work of this nature. References (names, addresses, and telephone numbers) must be provided. Include anything about your firm that makes you uniquely qualified.

**4. Project Personnel's Experience with Similar Projects**

Identify all firm personnel, as well as sub-consultants, to be involved in this project. Include names, position, training, experience, and project roles. Short resumes are acceptable. A project organization chart is to be included.

**5. Approach to Project and Scope of Work**

Outline and discuss in detail each of the tasks you will conduct and indicate information and resources needed in addition to that from the consultant.

**6. Capacity of Firm to Accomplish This Project**

Discuss the firm's resource capacity to accomplish this project.

**7. Disadvantaged Business Enterprise Certification**

All proposals submitted will contain the percentage of the contract that will be awarded to Disadvantaged Business Enterprises. Provide appropriate certification.

**8. References from parties with similar projects.**

**VII. ADDITIONAL INFORMATION**

**1. Type of Contract**

The contract is contingent on receipt of funds from the Commonwealth of Virginia and the Federal Highway Administration (FHWA). FHWA Metropolitan Planning or "PL" funds will be used to conduct this study effort. The contract to be awarded will be a lump sum contract. A retainage of five percent will be required through satisfactory completion and VDOT and FHWA approval of contract work. Payment of approved project costs will be made on a reimbursable basis.

To receive reimbursement, the consultant will be required to submit to the Council a payment requisition in letter form, accompanied by supporting documentation of all applicable costs and progress on the timely performance by the consultant in accordance with the schedule in the contract. A written report with invoices, supplemented by bar charts and draft materials, written draft text, and tables are examples of documentation for justification of payment.

Man-hour driven costs will not be the principle factor in judging whether the firm will be paid in full or a lesser level for amounts received. Rather, satisfactory task completion shall be the determining factor. Decisions on payment shall be made by the CVMPO Project Director in consultation with VDOT.

The contract amount shall not be exceeded. Thus, consultant costs due to delays, overhead calculations, overruns or other costs changes that cause the consultant's costs to exceed that of the contract amount shall be borne entirely by the consultant.

**2. Sub-Contracts**

If sub-contracts are to be used, they are to be identified in the proposal and their work explained. Each sub-contract must be approved by the Virginia Department of Transportation and the CVMPO before work is performed for it to be eligible for reimbursement. Sub-contracts are subject to a pre-award audit and must be approved by VDOT and the CVMPO.

**3. Tentative Schedule for Selection and Contracting**

December 22, 2008

RFP issued

January 23, 2009	Proposals due
January 26-February 6	Review of proposals
February 9-February 13	Notification of interviews
February 16-February 20	Interviews
February 23-February 27	Negotiations
Spring 2009	VDOT audit, Contract award, Begin work
Summer 2010	Project complete

#### **4. Financial Information, Audit, Disclosures**

- The selected consultant shall break down the cost for each of the identified tasks in the Scope of Work Statement. The CVMPO may elect to negotiate with the consultant to provide additional services.
- Appendix A\* provides a checklist of information required from the consultant to support the VDOT audit.
- All reports developed by the consultant under contract and distributed by the CVMPO shall contain the following:
  - i. An acknowledgement, “Prepared in cooperation with the U.S. Department of Transportation, Federal Highway Administration, the Virginia Department of Transportation and the Virginia Department of Rail and Public Transportation.”
  - ii. A disclaimer, “The contents of this report reflect the view of the author(s) who is responsible for the facts and the accuracy of the data presented herein. The contents do not necessarily reflect the official views or policies of the U.S. Department of Transportation, the Federal Highway Administration, the Virginia Department of Transportation, or the Virginia Department of Rail and Public Transportation.”

\*Note that a full response to Appendix A will only be required of the firm receiving notification of contract award. These appendices are now only for the firm’s information.

## **APPENDIX A**

### **CHECKLIST OF INFORMATION FROM THE CONSULTANT**

1. Current actual or average hourly rates (unloaded/bare rates) by labor classification and copy of payroll register or similar document to provide verification.
2. An overhead rate prepared in accordance with the Federal Acquisition Regulations, Subpart 31.2, prepared by an independent CPA firm or cognizant government agency with supporting schedules of expenses for the fiscal year audit requested. The schedule(s) should indicate all individual accounts and amounts, including FAR non-allowables, such as interest, entertainment, contributions, etc.
3. Federal tax return for the same year covered by this FAR audit.
4. Trial Balance or ledger supporting the expenses for the same year covered by this FAR audit.
5. Complete description of accounting system, list of officers/principals, organizational chart and chart of accounts.
6. If common control exists (your or a member of your firm own a portion of the building you occupy), submit a copy of the tax return of the entity/person owning the building and full disclosure of portion of building rented, individuals involved, etc.
7. Development of rates used for inside computer, reproduction or other rates used by the firm.
8. Federal Employer Identification Number.
9. Name, title and telephone number of individual who can be contacted for additional information or clarification of information provided.

Questions should be directed to Judson D. Brown, CPA, Director, (804) 225-3597 or Jerry Hall, (804) 225-3604, External and Construction Audit Division.

### **Cost and Price Information**

The contract to be awarded will be on a lump sum fee basis. The Department reserves the right to negotiate with the consultant. The consultant's cost estimate to perform the tasks required in the scope of work should, at a minimum, be supported in the following manner:

- a. Manpower, itemize to include category (project manager, programmer, etc.), estimated hours, rate per hour, and total costs
- b. Supplies and materials
- c. Computer usage (if necessary)
- d. Travel
- e. Sub-contractor (if necessary)
- f. Overhead
- g. Fee

**NOTE: Same detailed information must be shown for Sub-contractors.**

## **For Pre-Award Audit**

### **Checklist for Receipt of Information from Consultant**

**The selected consultant may be asked for the following; VDOT will guide the actual submissions required:**

1. Actual or average hourly rates by classification.
2. Latest FYE Trial Balance, indicating all individual accounts and amounts, including any FAR non-allowables such as interest, entertainment, etc.
3. Salaries in excess of \$80,000, and what portion is charged to overheads and direct salaries.
4. A complete CPA report for the latest FYE.
5. Full explanation of any corporate allocation, indicating accounts, Amounts and methods of allocation.
6. Full explanation of bonus policy.
7. Any indirect salaries within a specific account, such as business Promotion, must be detailed.
8. Details of all litigation expenditures.
9. Complete description of accounting system, list of officers/principals, organizational chart, chart of accounts, and company brochures.
10. Copy of any audit performed by any other state and federal agencies.
11. Development of cost for in-house computer, reproduction or other rates used by the firm.
12. Relationship between firm and lessor for rental charges.

If common control exists, financial information (Balance Sheet and Income Statement) of the lessor will be required.

## FIRM DATA SHEET

Funding: \_\_\_ (S=State F=Federal)

Project No.: \_\_\_\_\_

Division: \_\_\_\_\_

EOI Due Date: \_\_\_\_\_

The prime consultant is responsible for submitting the information requested below on all firms on the project team, both prime and all subconsultants. All firms are to be reported on one combined sheet unless the number of firms requires the use of an additional sheet. Failure to submit all of the required data will result in the Expression of Interest not being considered.

Firm's Name and Address	Firm's DBE/SWAM Status *	Firm's Age	Firm's Annual Gross Receipts

\* YD = DBE Firm Certified by DMBE

N = DBE/SWAM Firm Not Certified by DMBE

NA = Firm Not Claiming DBE/SWAM Status

YS = SWAM Firm Certified by DMBE. Indicate whether small, woman-owned, or small business.

