REQUEST FOR PROPOSALS (RFP)
Minnesota Department of Transportation (MnDOT)
MnDOT Slope Vulnerability Assessments

Minnesota’s Commitment to Diversity and Inclusion

The State of Minnesota is committed to diversity and inclusion in its public procurement process. The goal is to ensure that those providing goods and services to the state are representative of Minnesota’s communities and include businesses owned by minorities, women, veterans and those with substantial physical disabilities. Creating broader opportunities for historically underrepresented groups provides for additional options and greater competition in the marketplace, creates stronger relationships and engagement within the state’s communities and fosters economic development and equality.

To further this commitment, the Minnesota Department of Administration operates a program for Minnesota-based small businesses owned by minorities, women, veterans and those with substantial physical disabilities. For additional information on this program, or to determine eligibility, please call 651-296-2600 or go to www.mmd.admin.state.mn.us/mn02001.htm.

This document is available in alternative formats for persons with disabilities by calling Ashley Duran at 651-366-4627 or for persons who are hearing or speech impaired by calling the Minnesota Relay Service at 1-800-627-3529.

This RFP does not obligate MnDOT to award a contract or complete the project, and MnDOT reserves the right to cancel the RFP if it is considered to be in its best interest.

Responses to this RFP will be public information under the Minnesota Data Practices Act, Minnesota Statutes Chapter 13.

PROJECT SPECIFIC INFORMATION

Project Overview
MnDOT requests proposals for a slope vulnerability assessment to identify, map and categorize slopes vulnerable to failure with the potential to affect state trunk highways. Slope failures can cause millions of dollars in damage and clean-up costs, harm or threaten lives and property, have significant negative environmental affects, and create lengthy detours. In some instances, simply studying potential solutions to slides after the fact can cost millions. While local MnDOT staff have knowledge of some vulnerable slopes, many risks are harder to assess from a visual assessment. Recent and current research have advanced our understanding and are improving our modeling capacities to identify vulnerable slopes before slides happen. This presents an opportunity to conduct system-level vulnerability assessments rather than rely on ad hoc studies or local knowledge that may not be intuitive, well documented or communicated.

Project Goal
The goals of this project are to:
1. Identify, map and rank slopes vulnerable to slides that could affect the state trunk highway network.
2. Prioritize areas for additional study or proactive stabilization work.
3. Better understand and quantify the risk of future slope failures.
4. Inform future asset management, investment and emergency management planning efforts.

Desired Skills/Qualifications
While not required on a pass/fail basis, demonstration of the following desired skills will be taken into consideration when rating responders’ qualifications and experience. Responders are asked to demonstrate the following experience:
1. Experience evaluating slope failures
2. Experience developing predictive vulnerability models
3. Experience using risk assessment methodologies for geotechnical hazards
4. Experience mapping geotechnical hazards using Geographic Information System (GIS)
Scope of Work and Deliverables
Following are the anticipated tasks to be completed by the successful responder under this contract:

**Task 1: Project Management**
The successful responder will work with MnDOT project staff and a project technical advisory panel throughout the course of the project. A minimum of four and maximum of six project advisory panel meetings will be held at key milestones in the project. The successful responder will provide timely status updates and communication.

*Task Deliverable(s):* Notes for each advisory panel meeting

**Task 2: Review Previous Efforts and Research**
The successful responder will review research and previously conducted vulnerability assessments to identify lessons learned, methodologies, data requirements and vulnerability factors. Particular attention will be given to methodologies that used GIS and predictive modeling, including but not limited to the Local Road Research Board funded project “Slope Failure Risk Mapping Pilot Project.”

*Task Deliverable(s):* PPT presentation summarizing findings of Task 2

**Task 3: Develop or Refine Model and Methodology**
Based on Task 2 and input from MnDOT project staff and project advisory panel, the successful responder will develop a new model and methodology or refine an existing model and methodology using GIS and/or other modeling tools to evaluate the risk of future slope failures and prioritize future site specific investigations. MnDOT will provide available information on previous slope failures.

*Task Deliverable(s):* Technical Memorandum summarizing the work of Task 2 and describing the model and methodology proposed for use in future tasks

**Task 4: Data Collection and Assembly**
The successful responder will collect and format all necessary data to run the model developed in Task 3.

*Task Deliverable(s):* List of data sources

**Task 5: Preliminary Assessment and Sensitivity Analysis**
The successful responder will conduct a preliminary assessment of at least three different locations in the state representing a diversity of soil types, community types and built infrastructure. Based on input from MnDOT project staff and project advisory panel, the successful responder will conduct sensitivity analysis and refine the model and methodology as appropriate.

*Task Deliverable(s):* Technical Memorandum summarizing the work of Task 5

**Task 6: Produce Maps, Rank Lists and Recommendations for More Detailed Study**
The successful responder will produce maps for a minimum of 8, up to 15, counties in parts of at least three MnDOT districts (Metro, District 6 and 7). Geographic selection will be based on input from the project advisory panel and a review of previous slope failures (provided in Task 3). The successful responder will develop rank lists of locations with recommendations for more detailed study.

*Task Deliverable(s):* Maps in PDF format and the GIS shapefiles; ranked lists by county; memo outlining recommendations for more detailed study

**Task 7: Field Evaluation and Verification**
The successful responder will visit a minimum of two sites identified during Task 6 and compare the analytical results to field site characteristics that support or do not support the analytical results. Sites chosen will be based on input from MnDOT project staff and project advisory panel. Timing of the site visit must be coordinated with MnDOT, so MnDOT project staff can attend site visit.

*Task Deliverable(s):* Summary of the field evaluation
Task 8: Prepare Final Report and Detailed Model Documentation, Advisory Panel Review and Revisions
The successful responder will prepare a draft final report detailing the methodology, project activities, results of the project and recommendations for future work or study. The report must follow MnDOT’s publication guidelines. Based on input from MnDOT project staff and project advisory panel, the successful responder will revise the final report. As part of the final report, or in a separate format, provide the model, GIS scripts, and/or sufficient documentation on the methodology such that the vulnerability assessment could be replicated by MnDOT staff or results verified by independent reviewers. The final report must be approved by MnDOT’s technical liaison before this task will be considered complete. At least two months should be allowed for advisory panel review and revisions to the final report.

**Task Deliverable(s):** Draft final report; final report; model documentation and/or GIS scripts and/or model

Task 9: Editorial Review and Publication of Final Report (to be conducted by MnDOT Contract Editors)
MnDOT contract editors will review the final report to ensure it meets MnDOT’s publication standard. Editors may request additional information or provide editorial comments for the contractor. At least two month should be allowed for this task, which much must be completed within the contract time.

**Task Deliverable(s):** Final published report

Responders are encouraged to propose additional tasks or activities if they will substantially improve the results of the project. These items should be separated from the required items on the cost proposal.

QUESTIONS
Responders who have any questions regarding this RFP must submit questions, by e-mail only, to:
Ashley Duran, Contract Administrator
ashley.duran@state.mn.us

All questions and answers will be posted on MnDOT’s Consultant Services Web Page at [www.dot.state.mn.us/consult](http://www.dot.state.mn.us/consult) under the “P/T Notices” section. All prospective responders will be responsible for checking the web page for any addendums to this RFP and any questions that have been answered. Note that questions will be posted verbatim, as submitted.

Questions regarding this RFP must be received by MnDOT no later than 2:00 p.m. Central Daylight Time on May 16, 2017.

MnDOT anticipates posting answers to such questions no later than 2:00 p.m. Central Daylight Time on May 17, 2017.

No other MnDOT personnel are allowed to discuss this RFP before the proposal submission deadline. Contact regarding this RFP with any personnel not listed above may result in disqualification.

PROPOSAL CONTENT
The following will be considered **minimum** contents of the proposal, and must be submitted in the order listed:

1. **Contact Information:**
   Responders must clearly identify the company’s full legal name, business address, contact person’s name, telephone number, fax number and e-mail address (as available).

2. **Project Understanding:**
The purpose of this section is for the responders to detail their understanding of the project. Responders must clearly state their understanding of the project objectives, goals and tasks to show or demonstrate their view of the nature of the project. Responders should demonstrate their understanding by using their own words rather than simply repeating what is listed in the RFP.

3. **Responder Experience & Qualifications (Company & Key Personnel):**
The purpose of this section is for responders to provide information detailing the background and experience of the company, and the project personnel. To do this, responders must:
   - Provide an outline of their background and experience, with examples of similar work done.
   - List the personnel who will be working on this project, specifically detailing their training and work experience.
If subconsultants are to be used on this project, responders must also outline their background and experience, including examples of similar work done by each sub consultant. Responders must also provide a list of the sub consultants’ personnel who will perform work on the project, detailing their training and work experience.

Note that no change in personnel assigned to the project will be permitted without the written approval of MnDOT’s Project Manager. Responders must be sure to specifically address required and/or desired skills and qualifications listed above, if applicable.

Qualification and experience of the “firm” should be demonstrated by the experience of the personnel proposed.

4. **Work Plan – Project Approach:**
The purpose of this section is for responders to present their work plan. Responders must provide a detailed work plan, which must identify the major tasks to be accomplished. Responders must be sure to not only describe what will be done, but explain **how** each task will be accomplished. These tasks will be used as a scheduling and management tool, as well as the basis for invoicing. The detailed work plan must present:
- The Overall Project Approach
- A Breakdown of the Project Tasks, detailing the tasks, and how they will be completed
- Deliverable Due Dates and an Overall Project Schedule
- A List of Personnel Working on the Project, including details of each person’s role, by task

5. **Deliverables:**
Responders must provide a clear and detailed description, format and schedule of the deliverables to be provided in order to meet the needs of the project.

6. **Quality Management Plan:**
Responders must provide a Summary of their project specific Quality Management Plan (QMP) that will be used on the project. The QMP Summary must state the responder’s intent to fully utilize a comprehensive project specific QMP developed in accordance with MnDOT’s current QMP Manual located at: [http://www.dot.state.mn.us/design/qmp/index.html](http://www.dot.state.mn.us/design/qmp/index.html). The QMP Summary should emphasize the responder’s intent to make the QMP project specific to the context of the project involved. The evaluation of the responder’s QMP Summary will focus on the responder’s ability to develop a QMP unique to the project. The QMP Summary does not eliminate the need for the successful responder to develop and utilize a comprehensive QMP during performance of the work. The Summary will only be used as an evaluation tool in the selection process.

7. **Forms, Documents and Certifications:**
Responders must complete and submit all required forms, documents and certifications, required under any other section of this RFP. These forms, documents and certifications will NOT be included in any page limit set for this RFP, as applicable.
   a. **Required Forms and Documents:** Responders must complete and submit the forms and documents required under any other section of this RFP.

8. **Cost Proposal:**
Responders must provide, **in a separate envelope**, one copy of the cost proposal, clearly marked on the outside “Cost Proposal”, along with the responders’ official business name and address. For purposes of completing the cost proposal, MnDOT does not make regular payments based upon the passage of time; it only pays for services performed or work delivered after it is accomplished. Terms of the proposal as stated must be valid for the length of the project. Whether proposing a cost plus fixed fee (profit), hourly rate, unit rate or lump sum budget, responders must include a breakdown (labor, overhead, profit and expenses) showing how the rate was derived. Additionally, if proposing a cost plus fixed fee (profit) budget, responder’s must utilize their current MnDOT approved Overhead rate, but it may not to exceed 160%. For the purposes of this cost proposal, responders should utilize a fixed fee (profit) of 10%. Actual fixed fee (profit) will be determined/calculated by MnDOT upon selection. The responder must include a total project cost along with the following:
   - A breakout of the hours by task for each employee.
   - Identification of anticipated direct expenses.
   - Identification of any assumptions made while developing this cost proposal.
   - Identification of any cost information related to additional services or tasks. This should be included in the cost proposal, but clearly identify it as additional costs and not made part of the total project cost.
Responders must have the cost proposal signed by authorized member of the firm. Responders must not include any cost information within the body of the technical proposal.

**MnDOT has estimated that the cost of this contract should not exceed $200,000.00.**

Responders must limit their proposal to 15 single-sided, 8.5”x11” pages, with no smaller than 11 point font. If a responder’s proposal exceeds the page limit, the excess pages will not be reviewed, regardless of content. Note: a cover letter and the required forms, documents and certifications will **NOT** count as part of the page limit.

**PROPOSAL SUBMITTAL INSTRUCTIONS**

All proposals must be mailed (United States Postal Service), expressed (UPS, FedEx or other similar express carrier) or dropped off to the attention of:

Ashley Duran, Contract Administrator
Minnesota Department of Transportation
Consultant Services Section, Mail Stop 680
395 John Ireland Boulevard
St. Paul, Minnesota 55155-1800

All proposals must be received no later 2:00 p.m. Central Daylight Time on May 25, 2017. Please note that MnDOT security procedures do not allow non-MnDOT employees to have access to the elevators or the stairs. You should plan enough time and follow these instructions for drop-off:

- Enter through the Rice Street side of the Central Office building (1st Floor).
- Once you enter through the doors, you should walk straight ahead to the Information Desk.
- **Proposals are accepted at the Information Desk only.** The receptionist will time stamp the proposal.

Submit 1 hard copy of the proposal, along with one copy of the **entire** proposal in electronic format (CD-ROM, flash drive, etc.). The proposal must be submitted in a sealed mailing envelope or package, clearly marked “Proposal” on the outside. An authorized member of the firm must sign the proposal, in ink.

**PROPOSAL EVALUATION**

Representatives of MnDOT will evaluate all proposals received by the deadline. In some instances, an interview may be part of the evaluation process. MnDOT reserves the right, based on scores of the proposals, to create a short-list of responders to interview. A 100-point scale will be used to create the final evaluation recommendation. The factors and weighting on which proposals will be judged are broken down in the following table:

<table>
<thead>
<tr>
<th>Rating Factor</th>
<th>Weighting Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>Project Understanding</td>
<td>5%</td>
</tr>
<tr>
<td>Responder Experience and Qualifications (Company &amp; Key Personnel)</td>
<td>20%</td>
</tr>
<tr>
<td>Work Plan – Project Approach</td>
<td>25%</td>
</tr>
<tr>
<td>Deliverables</td>
<td>10%</td>
</tr>
<tr>
<td>Quality Management Plan</td>
<td>10%</td>
</tr>
<tr>
<td>Cost Detail</td>
<td>30%</td>
</tr>
</tbody>
</table>

Proposals will be evaluated on a “best value” basis with 70% qualifications and 30% cost considerations. The review committee will not open the cost proposals until after the qualifications points are awarded.

**GENERAL REQUIREMENTS**

Responders must adhere to all terms of this RFP.

Late proposals will not be considered. Fax, e-mail and printed proposals will not be accepted or considered. All costs incurred in responding to this RFP will be borne by the responder.

**Affidavit of Noncollusion**

Responders must complete the attached “Affidavit of Noncollusion” form and submit it as part of their proposal.
Conflicts of Interest
Responders must provide a list of all entities with which it has relationships that create, or appear to create, a conflict of interest with the work that is contemplated in this RFP. This list should indicate the name of the entity, the relationship and a discussion of the conflict. Responders must complete the attached “Disclosure of Potential Conflict of Interest” form and submit it as part of their proposal.

Proposal Contents Certification
By submitting a proposal, responders warrant that the information provided is true, correct and reliable for purposes of evaluation for potential contract award. The submission of inaccurate or misleading information may be grounds for disqualification from contract award and may subject the responder to suspension or debarment proceedings, as well as other remedies available to MnDOT, by law.

Disposition of Responses
All materials submitted in response to this RFP will become property of MnDOT and will become public record, in accordance with Minnesota Statutes §13.591, after the evaluation process is completed. Pursuant to the Statute, completion of the evaluation process occurs when MnDOT has completed negotiating the contract with the successful responder.

If a responder submits information in response to this RFP that it believes to be trade secret materials, as defined by the Minnesota Government Data Practices Act, Minnesota Statutes §13.37, the responder must:
- Clearly mark all trade secret materials in its proposal at the time the proposal is submitted;
- Include a statement with its proposal justifying the trade secret designation for each item; and
- Defend any action seeking release of the materials it believes to be trade secret, and indemnify and hold harmless the state, its agents and employees, from any judgments or damages awarded against the state in favor of the party requesting the materials, and any and all costs connected with that defense. This indemnification survives MnDOT’s award of a contract. In submitting a proposal in response to this RFP, the responder agrees that this indemnification survives as long as the trade secret materials are in possession of MnDOT. MnDOT is required to keep all the basic documents related to its contracts, including responses to RFPs, for a minimum of seven years.

MnDOT will not consider the prices submitted by the responder to be proprietary or trade secret materials.

Contingency Fees Prohibited
Pursuant to Minnesota Statutes §10A.06, no person may act as or employ a lobbyist for compensation that is dependent upon the result or outcome of any legislation or administrative action.

Sample Contract
Responders should be aware of MnDOT’s standard contract terms and conditions when preparing their proposal. Responders may view the current version of the Professional/Technical High Risk contract template on the Consultant Services website, at www.dot.state.mn.us/consult (Click on Contract Documents tab to view templates). Much of the language reflected in the contract template is required by statute. However, if a responder does take exception to any of the terms, conditions or language in the contract template, they must indicate those exceptions in their proposal. Responders should note that certain exceptions may result in your proposal being disqualified from further review and evaluation. Only those exceptions indicated in the proposal will be available for discussion or negotiation.

Travel Reimbursements
Reimbursements for travel and subsistence expenses actually and necessarily incurred by the successful responder, as a result of the contract, will not exceed the amounts provided in the current MnDOT Travel Regulations. Reimbursements will not be allowed for travel and subsistence expenses incurred outside of Minnesota, unless the successful responder has received MnDOT’s written approval for out-of-state travel. Minnesota will be considered the home base for determining whether travel is out-of-state.

Organizational Conflicts of Interest
The responder warrants that, to the best of its knowledge and belief, and except as otherwise disclosed, there are no relevant facts or circumstances, which could give rise to organizational conflicts of interest. An organizational conflict of interest exists when, because of existing or planned activities or because of relationships with other persons, a vendor is unable or potentially unable to render impartial assistance or advice to MnDOT, or the vendor’s objectivity in performing the contract work is or might be otherwise impaired, or the vendor has an unfair competitive advantage.
The responder agrees that, if after award, an organizational conflict of interest is discovered, an immediate and full disclosure in writing must be made to the Assistant Director of the Department of Administration’s Materials Management Division which must include a description of the action which the selected responder has taken or proposes to take to avoid or mitigate such conflicts. If an organization conflict of interest is determined to exist, MnDOT may, at its discretion, cancel the contract. In the event the responder was aware of an organizational conflict of interest prior to the award of the contract, and did not disclose the conflict to the contracting officer, MnDOT may terminate the contract for default. The provisions of this clause must be included in all subcontracts for work to be performed similar to the service provided by the prime contractor, and the terms “contract,” “contractor,” and “contracting officer” modified appropriately to preserve the State’s rights.

Pre-Award Audit Requirement
The successful responder will be required to submit pre-award audit information and comply with audit standards. Failure to do so may result in disqualification.

Targeted Group Business and Veteran-Owned Small Business Preference
In accordance with Minnesota Statutes §16C.16, subdivision 6a, unless a greater preference is applicable and allowed by law, the Commissioner of Administration will award a 6% preference in the amount bid on state procurement to certified Targeted Group Businesses (TGB) or certified small businesses that are majority owned and operated by veterans.

To be eligible for the TGB preference, a business must be certified by the Commissioner of Administration/Materials Management Division. A small business qualifies for the veteran-owned preference when it meets one of the following requirements: 1) The business has been certified by the Department of Administration/Materials Management Division as being a veteran-owned or service-disabled veteran-owned small business; or 2) The principal place of business is in Minnesota AND the United States Department of Veterans Affairs verifies the business as being a veteran-owned or service-disabled veteran-owned small business under Public Law 109-461 and Code of Federal Regulations, title 38, part 74 (Supported By Documentation). See Minnesota Statutes §16C.19(d), and visit www.vetbiz.gov for more information about Veteran certification.

To claim the TGB or Veteran preference, the responder must complete and submit the “Targeted Group and Veteran-Owned Small Businesses Preference Form” and submit it as part of their proposal, along with all documentation required by the form, and statutory requirements and documentation must be met by the solicitation response due date and time to be awarded the preference. TGB and Veteran preferences are not cumulative, so a responder that is certified as both a TGB and a Veteran will receive only a 6% preference.

Human Rights Requirements
For all Contracts estimated to be in excess of $100,000, responders are required to complete the attached “Affirmative Action Certification” form and submit it as part of their proposal. As required by Minnesota Rules Part 5000.3600 “It is hereby agreed between the parties that Minnesota Statutes §363A.36, and Minnesota Rules Part 5000.3400-5000.3600 are available upon request from MnDOT”.

Insurance Requirements
A responder’s proposal must clearly note any exceptions desired to insurance requirements, or the responder will be deemed to have accepted such requirements and waived any request for exception.

1. Insurance Certificates and Continuity of Coverage Required. The successful responder must provide a certificate of insurance showing that they have each type of insurance coverage and limits required herein. The certificate must be filed with MnDOT’s Authorized Representative within 30 days of execution of the contract, and prior to commencing work under the contract. The successful responder must maintain such insurance in full force and effect throughout the term of the contract.

2. Required Insurance. The successful responder will be required to maintain the furnish satisfactory evidence of the following insurance policies:
   a. Workers’ Compensation Insurance: Except as provided below, the successful responder will be required to provide Workers’ Compensation insurance for all its employees and, in case any work is subcontracted, will require its subcontractor(s) to provide Workers’ Compensation insurance in accordance with the statutory requirements of the state of Minnesota, including Coverage B, Employer’s Liability. Insurance minimum limits are as follows:
      - $100,000 – Bodily Injury by Disease per employee
      - $500,000 – Bodily Injury by Disease aggregate
      - $100,000 – Bodily Injury by Accident
If Minnesota Statutes §176.041 exempts the successful responder from Workers’ Compensation insurance requirements, or if such responder has no employees in the state of Minnesota, the successful responder will be required to provide a written statement, signed by an authorized representative, indicating the qualifying exemption that excludes the successful responder from the Minnesota Workers’ Compensation requirements. If, during the course of the contract, the successful responder becomes subject to the Workers’ Compensation Insurance requirements, the successful responder then must comply with such requirements and must provide MnDOT with a Certificate of Insurance evidencing such coverage.

b. **Commercial General Liability Insurance:** The successful responder will be required to maintain insurance protecting the successful responder from claims for damages for bodily injury, including sickness or disease, death and for care and loss of services as well as from claims for property damage, including loss of use which may arise from operations under the contract whether the operations are by the successful responder or by a subcontractor or by anyone directly or indirectly employed by the successful responder pursuant to the contract. Insurance **minimum** limits are as follows:
   - $2,000,000 – per occurrence
   - $2,000,000 – annual aggregate
   - $2,000,000 – annual aggregate – Products/Completed Operations

   The following coverages must be included:
   - Premises and Operations Bodily Injury and Property Damage
   - Personal and Advertising Injury
   - Blanket Contractual Liability
   - Products and Completed Operations Liability
   - State of Minnesota named as an Additional Insured, to the extent permitted by law

c. **Commercial Automobile Liability Insurance:** The successful responder will be required to maintain insurance protecting the successful responder from claims for damages for bodily injury as well as from claims for property damage resulting from the ownership, operation, maintenance or use of all owned, hired, and non-owned autos which may arise from operations under the contract, and in case any work is subcontracted the successful responder must require the subcontractor to provide Commercial Automobile Liability insurance. Insurance **minimum** limits are as follows:
   - $2,000,000 – per occurrence Combined Single limit for Bodily Injury and Property Damage

   In addition, the following coverages must be included:
   - Owned, Hired and Non-owned Automobile

d. **Professional/Technical, Errors and Omissions, and/or Miscellaneous Liability Insurance.** The successful responder will be required provide coverage for all claims the successful responder may become legally obligated to pay resulting from any actual or alleged negligent act, error or omission related to the successful responders professional services performed under the contract. Unless otherwise specified within this RFP, the successful responder will be required to carry the following **minimum** limits:
   - $2,000,000 – per claim
   - $2,000,000 – annual aggregate

   Any deductible will be the sole responsibility of the successful responder and may not exceed $50,000 with the written approval of MnDOT. If the successful responder desires authority from MnDOT have a deductible in a higher amount, the successful responder will be required to make such request in writing, specifying the amount of the desired deductible and providing financial documentation, acceptable to MnDOT, so that MnDOT can ascertain the ability of the successful responder to cover the deductible from its own resources. MnDOT will treat such financial statements as non-public data to the extent permitted by the Minnesota Government Data Practices Act.

   The retroactive or prior acts date of coverage must not be after the effective date of the contract and the successful responder must maintain such coverage for a period of at least three years following the completion of work. If such insurance is discontinued, then extended reporting period coverage must be obtained by the successful responder to fulfill this requirement.

e. **Additional Insurance Conditions:**
   - The successful responder’s policy(ies) will be primary insurance to any other valid and collectible insurance available to MnDOT with respect to any claim arising out of the successful responder performance under this contract;
- If the successful responder receives a cancellation notice from an insurance carrier affording coverage herein, the successful responder agrees to notify the state of Minnesota within five business days with a copy of the cancellation notice, unless the successful responder’s policy(ies) contain a provision that coverage afforded under the policy(ies) will not be cancelled without at least 30 days advance written notice to the state of Minnesota.
- The successful responder is responsible for payment of contract related insurance premiums and deductibles;
- If the successful responder is self-insured, a Certificate of Self-Insurance must be provided to MnDOT;
- The successful responder’s policy(ies) must include legal defense fees in addition to its liability policy limits, with the exception of part d above;
- The successful responder must obtain insurance policies from insurance companies having an “AM BEST” rating of “A minus”, a Financial Size Category VII, or better, and authorized to do business in the state of Minnesota.
- An Umbrella or Excess Liability insurance policy may be used to supplement the successful responder’s policy limits to satisfy the full policy limits required by the contract.

3. **Right to Terminate.** MnDOT reserves the right to immediately terminate the contract if the successful responder is not in compliance with the insurance requirements, and MnDOT retains all rights to pursue any legal remedies against the successful responder. All insurance policies must be open to inspection by MnDOT and copies of policies must be submitted to MnDOT’s Contract Administrator upon written request.

4. **Insurance Certificates.** The successful responder will be required to submit Certificate(s) of Insurance, acceptable to MnDOT, as evidence of meeting the insurance requirements, prior to commencing work under the contract.

**E-Verify Certification (In accordance with Minnesota Statutes §16C.075)**
By submission of a proposal for services in excess of $50,000, responders certify that as of the date of services performed on behalf of MnDOT, they, and all of their proposed subcontractors, will have implemented, or be in the process of implementing, the federal E-Verify program for all newly hired employees in the United States who will perform work on behalf of MnDOT. In the event of contract award, the successful responder will be responsible for collecting all subcontractor certifications and may do so utilizing the E-Verify Subcontractor Certification Form available at [http://www.mmd.admin.state.mn.us/doc/EverifySubCertForm.doc](http://www.mmd.admin.state.mn.us/doc/EverifySubCertForm.doc). All subcontractor certifications must be kept on file with the successful responder and made available to MnDOT upon request.

**Resident Vendor Form**
If a responder wishes to claim resident vendor status, it must complete the “Resident Vendor” form and submit it as part of their proposal.

**Plain Language and Accessibility Standards**

1. **Plain Language.** The successful responder must provide all deliverables in “Plain Language”. Executive Order 14-07 requires the Office of the Governor and all Executive Branch agencies to communicate with Minnesotans using Plain Language. As defined in Executive Order 14-07, Plain Language is a communication which an audience can understand the first time they read or hear it. To achieve that, the successful responder will take the following steps in the deliverables:
   - Use language commonly understood by the public;
   - Write in short and complete sentences;
   - Present information in a format that is easy-to-find and easy-to-understand; and
   - Clearly state directions and deadlines to the audience.

2. **Accessibility Standards.** The successful responder agrees to comply with the State of Minnesota’s Accessibility Standard ([http://mn.gov/oet/images/Stnd_State_Accessibility.pdf](http://mn.gov/oet/images/Stnd_State_Accessibility.pdf)) for all deliverables under this contract. The State of Minnesota’s Accessibility Standards entail, in part, the Web Content Accessibility Guidelines (WCAG) 2.0 (Level AA) and Section 508 of the Rehabilitation Act, as amended. The successful responder’s compliance with the State of Minnesota’s Accessibility Standard includes, but is not limited to, the specific requirements as follows:
   - All videos must include closed captions, audio descriptions and a link to a complete transcript;
   - All documents, presentations, spreadsheets and other material must be provided in an accessible format. In addition, the successful responder will provide native files in an editable format. Acceptable formats include InDesign, Word and Excel; and
   - All materials intended for downloading and printing such as promotional brochures, must be labeled as such and the content must additionally be provided in an accessible format.
STATE OF MINNESOTA
AFFIDAVIT OF NONCOLLUSION

I swear (or affirm) under the penalty of perjury:

1. That I am the responder (if the responder is an individual), a partner in the company (if the responder is a partnership), or an officer or employee of the responding corporation having authority to sign on its behalf (if the responder is a corporation);

2. That the attached proposal submitted in response to the _______________________________________________________
RFP has been arrived at by the responder independently and has been submitted without collusion with and without any agreement, understanding or planned common course of action with, any other responder of materials, supplies, equipment or services described in the RFP, designed to limit fair and open competition;

3. That the contents of the proposal have not been communicated by the responder, or its employees or agents, to any person not an employee or agent of the responder and will not be communicated to any such persons prior to the official opening of the proposals; and

4. That I am fully informed regarding the accuracy of the statements made in this affidavit.

Authorized Signature:

Responders Firm Name: ______________________________________

Print Authorized Representative Name: __________________________ Title: __________________

Authorized Signature: __________________________ Date: __________________

Notary Public
Subscribed and sworn to before me this:

_______ day of __________________________, __________

________________________________
Notary Public Signature

________________________________
Commission Expires
CONFLICT OF INTEREST CHECKLIST AND DISCLOSURE FORM

**Purpose of this Checklist:** This checklist is provided to assist proposers in screening for potential organizational conflicts of interest. The checklist is for the internal use of proposers and does not need to be submitted to MnDOT, however, the “Disclosure of Potential Conflict of Interest” form must be submitted with your proposal.

**Definition of “Proposer”:** As used herein, the word “proposer” includes both the prime contractor and all proposed subcontractors.

**Checklist is not Exclusive:** Please note that this checklist serves as a guide only, and that there may be additional potential conflict situations not covered by this checklist. If a proposer determines a potential conflict of interest exists that is not covered by this checklist, that potential conflict must still be disclosed.

**Use of the Disclosure Form:** Proposers must complete the attached disclosure and submit it with their proposal (or separately, as directed by MnDOT, for projects not awarded through a competitive solicitation). If the proposer determines a potential conflict of interest exists, it must disclose the potential conflict to MnDOT; however, such a disclosure will not necessarily disqualify a proposer from being awarded a contract. To avoid any unfair “taint” of the selection process, the disclosure form should be provided separate from the bound proposal, and it will not be provided to selection committee members. MnDOT’s Contract Management personnel will review the disclosure and the appropriateness of the proposed mitigation measures to determine if the proposer may be awarded the contract notwithstanding the potential conflict. MnDOT’s Contract Management personnel may consult with MnDOT’s Project Manager and Department of Administration personnel. By statute, resolution of conflict of interest issues is ultimately at the sole discretion of the Commissioner of Administration.

**Material Representation:** Proposers are required to submit the attached disclosure form either declaring, to the best of its knowledge and belief, that no potential conflict exists, or identifying potential conflicts and proposing remedial measures to ameliorate such conflict. The proposer must also update conflict information if such information changes after the disclosure. Information provided on the form will constitute a material representation as to the award of this contract. MnDOT reserves the right to cancel or amend the resulting contract if the proposer failed to disclose a potential conflict, which it knew or should have known about, or if the proposer provided information on the disclosure form that is materially false or misleading.

**Approach to Reviewing Potential Conflicts:** MnDOT recognizes that proposer’s must maintain business relations with other public and private sector entities in order to continue as viable businesses. MnDOT will take this reality into account as it evaluates the appropriateness of proposed measures to mitigate potential conflicts. It is not MnDOT’s intent to disqualify proposers based merely on the existence of a business relationship with another entity, but rather only when such relationship causes a conflict that potentially impairs the proposer’s ability to provide objective advice to MnDOT. MnDOT would seek to disqualify proposers only in those cases where a potential conflict cannot be adequately mitigated. Nevertheless, MnDOT must follow statutory guidance on organizational conflicts of interest.

**Statutory Guidance:** Minnesota Statutes §16C.02, subdivision 10(a) places limits on state agencies ability to contract with entities having an “organizational conflict of interest”. For purposes of this checklist and disclosure requirement, the term “vendor” includes “proposer” as defined above. Pursuant to such statute, “organizational conflict of interest” means that because of existing or planned activities or because of relationships with other persons: (1) the vendor is unable or potentially unable to render impartial assistance or advice to the state; (2) the vendor’s objectivity in performing the contract work is or might otherwise be impaired; or (3) the vendor has an unfair advantage.

**Additional Guidance for Professionals Licensed by the Minnesota Board of Engineering:** The Minnesota Board of Engineering has established conflict of interest rules applicable to those professionals licensed by the Board (see Minnesota Rules Part 1805.0300). Subpart 1 of the rule provides “A licensee shall avoid accepting a commission where duty to the client or the public would conflict with the personal interest of the licensee or the interest of another client. Prior to accepting such employment the licensee shall disclose to a prospective client such facts as may give rise to a conflict of interest”.

[CS/CM Last Updated 03/30/2017] 11
An organizational conflict of interest may exist in any of the following cases:

- The proposer, or its principals, own real property in a location where there may be a positive or adverse impact on the value of such property based on the recommendations, designs, appraisals, or other deliverables required by this contract. **Comment:** this provision will, for example, disqualify a proposer who performed final design for MnDOT and now seeks to provide construction administration services for that same project. MnDOT believes this is necessary because the firm that prepared the plans may be unable to objectively determine plan errors and omissions. This may cause a situation where: (1) the vendor is unable or potentially unable to render impartial assistance or advice to the state; and (2) the vendor’s objectivity in performing the contract work is or might otherwise be impaired.

- The proposer is providing services to another governmental or private entity and the proposer knows or has reason to believe, that entity’s interests are, or may be, adverse to the state’s interests with respect to the specific project covered by this contract. **Comment:** the mere existence of a business relationship with another entity would not ordinarily need to be disclosed. Rather, this focuses on the nature of services commissioned by the other entity. For example, it would not be appropriate to propose on a MnDOT project if a local government has also retained the proposer for the purpose of persuading MnDOT to stop or alter the project plans.

- This contract is for right-of-way acquisition services or related services (e.g. geotechnical exploration) and the proposer has an existing business relationship with a governmental or private entity that owns property to be acquired pursuant to this contract.

- The proposer is providing real estate or design services to a private entity, including but not limited to developers, whom the proposer knows or has good reason to believe, own or are planning to purchase property affected by the project covered by this contract, when the value or potential uses of such property may be affected by the proposer’s performance of work pursuant to this contract. “Property affected by the project” includes property that is in, adjacent to, or in reasonable proximity to current or potential right-of-way for the project. The value or potential uses of the private entity’s property may be affected by the proposer’s work pursuant to the contract when such work involves providing recommendations for right-of-way acquisition, access control and the design or location of frontage roads and interchanges. **Comment:** this provision does not presume proposers know nor have a duty to inquire as to all of the business objectives of their clients. Rather, it seeks the disclosure of information regarding cases where the proposer has reason to believe that its performance of work under this contract may materially affect the value or viability of a project it is performing for the other entity.

- The proposer has a business arrangement with a current MnDOT employee or immediate family member of such employee, including promised future employment of such person, or a subcontracting arrangement with such person, when such arrangement is contingent on the proposer being awarded this contract. This item does not apply to pre-existing employment of current or former MnDOT employees, or their immediate family members. **Comment:** this provision is not intended to supersede any MnDOT policies applicable to its own employees accepting outside employment. This provision is intended to focus on identifying situations where promises of employment have been made contingent on the outcome of this particular procurement. It is intended to avoid a situation where a proposer may have unfair access to “inside” information.

- The proposer has, in previous work for the state, been given access to “data” relevant to this procurement or this project that is classified as “private” or “nonpublic” under the Minnesota Government Data Practices Act, and such data potentially provides the proposer with an unfair advantage in preparing a proposal for this project. **Comment:** this provision will not, for example, necessarily disqualify a proposer who performed some preliminary work from obtaining a final design contract, especially when the results of such previous work are public data available to all other proposers. Rather, it attempts to avoid an “unfair advantage” when such information cannot be provided to other potential proposers. Definitions of “government data”, “public data”, “non-public data” and “private data” can be found in Minnesota Statutes Chapter 13.

- The proposer has, in previous work for the state, helped create the “ground rules” for this solicitation by performing work such as: writing this solicitation, or preparing evaluation criteria or evaluation guides for this solicitation.

- The proposer, or any of its principals, because of any current or planned business arrangement, investment interest, or ownership interest in any other business, may be unable to provide objective advice to the state.
DISCLOSURE OF POTENTIAL CONFLICT OF INTEREST

Having had the opportunity to review the Organizational Conflict of Interest Checklist, the proposer hereby indicates that it has, to the best of its knowledge and belief:

☐ Determined that no potential organizational conflict of interest exists.

☐ Determined that a potential organizational conflict of interest exists, as follows:

Describe nature of potential conflict:

Describe measures proposed to mitigate the potential conflict:

Signature

Date

If a potential conflict has been identified, please provide name and phone number for a contact person authorized to discuss this disclosure form with MnDOT contract personnel.

Name

Phone
STATE OF MINNESOTA – AFFIRMATIVE ACTION CERTIFICATION

If your proposal to an RFP is or could be in excess of $100,000.00, complete the information requested below to determine whether you are subject to the Minnesota Human Rights Act (Minnesota Statutes §363A.36) certification requirement, and to provide documentation of compliance, if necessary. It is your sole responsibility to provide this information and, if required, to apply for Human Rights certification prior to the due date and time of the proposal and to obtain Human Rights certification prior to the execution of the contract. The State of Minnesota is under no obligation to delay proceeding with a contract until a company receives Human Rights certification.

BOX A – For companies which have employed more than 40 full-time employees within Minnesota on any single working day during the previous 12 months. All other companies proceed to BOX B.

Your proposal will be rejected unless your business:

- Has a current Certification of Compliance issued by the Minnesota Department of Human Rights (MDHR)
- Or-
  Has submitted an affirmative action plan to the MDHR, which the Department received prior to the date and time the proposals are due.

Check one of the following statements if you have employed more than 40 full-time employees in Minnesota on any single working day during the previous 12 months:

- We have a current Certificate of Compliance issued by the MDHR. Proceed to Box C. Include a copy of you Certification with your proposal.
- We do not have a current Certificate of Compliance; However, we submitted an Affirmative Action Plan to the MDHR for approval, which the Department received on ___________________________ (date). Proceed to Box C.
- We do not have a Certification of Compliance, nor has the MDHR received an Affirmative Action Plan from our company. We acknowledge that our proposal will be rejected. Proceed to Box C. Contact the MDHR for assistance. (See below for contact information)

Please note: Certificates of Compliance must be issued by the MDHR. Affirmative Action Plans approved by the federal government, a county, or a municipality must still be received, reviewed and approved by the MDHR before a certificate can be issued.

BOX B – For those companies not described in BOX A

Check below

☐ We have not employed more than 40 full-time employees on any single working day in Minnesota within the previous 12 months. Proceed to BOX C.

BOX C – For ALL companies

By signing this statement, you certify that the information provided is accurate and that you are authorized to sign on behalf of the responder. You also certify that you are in compliance with federal affirmative action requirements that may apply to your company. (These requirements are generally triggered only by participating as a prime or subcontractor on federal projects or contracts. Contractors are alerted to these requirements by the federal government.)

Name of Company: ___________________________ Date ___________________________
Authorized Signature: ___________________________ Telephone number: ___________________________
Printed Name: ___________________________ Title: ___________________________

For assistance with this form, contact:
Minnesota Department of Human Rights, Compliance & Community Relations
Mail: The Freeman Building, 625 Roberts Street North
     St. Paul, Minnesota 55155
Web: www.humanrights.state.mn.us
Email: compliance.mdhr@state.mn.us

TC Metro: 651-296-5663 Toll Free: 800-657-3704
Fax: 651-296-9042 TTY: 651-296-1283
TARGETED GROUP AND VETERAN-OWNED SMALL BUSINESSES PREFERENCE FORM

<table>
<thead>
<tr>
<th>Name of Contractor/Consultant</th>
<th>SP #</th>
<th>Proposal Due Date</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Address</th>
<th>City</th>
<th>State/Zip</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Contact Person/ EEO Officer</th>
<th>Phone Number</th>
<th>E-Mail Address</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

TARGETED GROUP BUSINESS

☐ The business is an eligible TGB as shown in the Minnesota Department of Administration online directory at: http://www.mmd.admin.state.mn.us/process/search/.

VETERAN-OWNED SMALL BUSINESSES

Unless a greater preference is applicable, and allowed by law, in accordance with Minnesota Statutes §16C.16, subdivision 6a, MnDOT will award a 6% preference on state procurement to certified small businesses that are majority owned and operated by veterans. The business is an eligible Veteran-Owned small business owned and operated by either (check the box that applies and attach the certification documents required with your response to this RFP):

Veteran-Owned Preference Requirements – See Minnesota Statutes §16C.19(d):

☐ The business has been certified by the Minnesota Department of Administration/Materials Management Division as being a veteran-owned or service-disabled veteran-owned small business.

OR

☐ The principal place of business is in Minnesota AND the United States Department of Veterans Affairs verifies the business as being a veteran-owned or service-disabled veteran-owned small business under Public Law 109-461 and Code of Federal Regulations, title 38, part 74 (Supported By Documentation).

Statutory requirements and appropriate documentation must be met by the RFP response due date and time to be awarded the veteran-owned preference.

CLAIM THE PREFERENCE

You must submit this form, and the documentation required above, as part of your proposal in order to be considered for this preference.

I certify that the information contained herein is true, accurate and complete.

Signed: ___________________________________________

Proposer or Authorized Representative
STATE OF MINNESOTA
RESIDENT VENDOR FORM

In accordance with Laws of Minnesota 2013, Chapter 142, Article 3, Section 16, amending Minnesota Statutes §16C.02, subdivision 13, a “Resident Vendor” means a person, firm, or corporation that:

1. is authorized to conduct business in the state of Minnesota on the date a solicitation for a contract is first advertised or announced. It includes a foreign corporation duly authorized to engage in business in Minnesota;
2. has paid unemployment taxes or income taxes in this state during the 12 calendar months immediately preceding submission of the proposal for which any preference is sought;
3. has a business address in the state; and
4. has affirmatively claimed that status in the proposal submission.

To receive recognition as a Minnesota Resident Vendor (“Resident Vendor”), your company must meet each element of the statutory definition above by the Request for Proposals (RFP) opening date and time. If you wish to affirmatively claim Resident Vendor status, you should do so by submitting this form with your proposal.

Resident Vendor status may be considered for purposes of resolving tied low bids or the application of a reciprocal preference.

I HEREBY CERTIFY THAT THE COMPANY LISTED BELOW:

1. Is authorized to conduct business in the state of Minnesota on the date a RFP for a contract is first advertised or announced. 
   (This includes a foreign corporation duly authorized to engage in business in Minnesota.)
   __Yes ___No (must check yes or no)

2. Has paid unemployment taxes or income taxes in the state of Minnesota during the 12 calendar months immediately preceding submission of the response for which any preference is sought.
   __Yes ___No (must check yes or no)

3. Has a business address in the state of Minnesota.
   __Yes ___No (must check yes or no)

4. Agrees to submit documentation, if requested, as part of the proposal process, to verify compliance with the above statutory requirements.
   __Yes ___No (must check yes or no)

BY SIGNING BELOW, you are certifying your compliance with the requirements set forth herein and claiming Resident Vendor status in your proposal submission.

Name of Company: ________________________ __________________  Date:  _____________________________
Authorized Signature: ________________________ Telephone: _____________________________
Printed Name: ______________________________ Title: _____________________________

IF YOU ARE CLAIMING RESIDENT VENDOR STATUS, SIGN AND RETURN THIS FORM WITH YOUR PROPOSAL SUBMISSION.