

ATTACHMENT B – FORM E-1 THROUGH E-6

**FORM E-1
PROPOSAL STATEMENT**

**PROPOSAL FOR
THE MANAGEMENT AND OPERATION OF THE EXPRESS BUS SERVICES
FROM WINSTED AND TORRINGTON TO HARTFORD**

Name of Proposer:

TO: Commissioner of Transportation
Connecticut Department of Transportation

Pursuant to, and in compliance with, your Request for Proposal, we hereby propose to provide the management and operation of the express bus services from Winsted and Torrington to Hartford. This proposal is a firm offer.

We understand that the Commissioner, at his sole discretion, shall have the right to rescind his selection and cancel all further negotiations prior to the State's execution of the Agreement.

We further understand that the selected proposer, having approved the Agreement, shall execute the Agreement in a proper manner and return the signed copies within ten (10) working days of said approval. If the copies are not executed and returned in accordance with the foregoing, the Commissioner, at his option, may rescind his selection and retain the proposal surety as liquidated damages to the State.

In either event, the Commissioner's decision shall be final, and he may proceed to select another proposer, if he desires, and the previously selected proposer will have no claim or recourse against the Commissioner or the State.

Our personal and business financial statements, ownership statement, experience statement, method of operation and corporate resolution are all attached hereto and our proposal is accompanied by a \$50,000 proposal surety guaranteeing that we will execute the mutually acceptable Agreement if our proposal is selected. In addition, we further understand and agree as follows:

1. We have the capability to successfully undertake and complete the responsibilities and obligations as a successful proposer.
2. We certify that to the best of our knowledge and belief that, we or any person associated with us in the capacity of owner, partner, director, officer, principal, project director, manager, auditor or any other position involving the administration and business operation:
 - A. Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any federal department or agency;

- B. Have not within a three-year period preceding this date been convicted of or had a civil judgment rendered against us for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (federal, state or local) transaction or contract under a public transaction, violation of federal or state antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
 - C. Are not presently indicted for or otherwise criminally or civilly charged by a government entity (federal, state or local) with commission of any of the offenses enumerated in paragraph B above;
 - D. Have not, within a three-year period preceding this proposal, had one or more public transactions (federal, state, or local) terminated for cause or default.
3. We certify that the information contained in the proposal package and all supplemental information submitted by us is, to the best of our knowledge, true and is made in good faith. We understand that if we knowingly make any misstatement of fact, we are subject to revocation of all privileges and to such other penalties as may be prescribed by law including false statements under Connecticut General Statute Section 53a-157b.
 4. We acknowledge that the Commissioner of Transportation has the right to conduct any inquiry or investigation he deems reasonably appropriate to substantiate or supplement information contained in this proposal and we consent to and authorize the release to the Commissioner or his designated representative any and all reasonable and pertinent information sought in such inquiry as set forth in the executed enclosed Authorization and Consent Form (Form E-6). All such reports will be considered confidential.
 5. We acknowledge that the Commissioner reserves the right to negotiate final terms and conditions or modification of proposals, with any or all of the proposers, and to reject any or all proposals without cause or liability, and to accept that proposal which, in his opinion, will best serve the public interest.
 6. We will execute an agreement, if offered, within ten (10) calendar days after it is offered and to deliver all required insurance certificates and bond at the time the Agreement is executed, and to start work on **Thursday, October 1, 2020**, after receipt of a notice to proceed or execution of the Agreement by the State.
 7. We will upon the execution of the Agreement and if required by law, apply to CTDOT for a certificate of public convenience and necessity under Connecticut General Statutes Section 13b-80 (Certificate) for the operation of the bus service. Provided a Certificate is issued, we will operate the bus express services only for the time frame of the Agreement or sooner, if the Agreement is revoked or cancelled for any reason. Upon the expiration of earlier termination of the Agreement, we agree to surrender any and all Certificates to CTDOT.
 8. We agree that at any time, including but not limited to contract negotiations, when requested by the State, additional cost information and contractor financial statement data will be provided.
 9. We acknowledge that all proposals in response to this RFP are to be the sole property of

the State, and subject to the provisions of Connecticut General Statutes Section 1-210 of the regarding Freedom of Information (FOIA). Accordingly, we shall identify any and all information that it considers to be confidential as proprietary or trade secret. Those particular sentences, paragraphs, pages or sections that we believe to be proprietary or trade secret shall be specifically and clearly identified as such. Convincing explanation and rationale sufficient to justify each exemption consistent with Section 1- 19(b) of the FOIA must accompany the proposal. The rationale and explanation must be stated in terms of the prospective harm to the competitive position of the proposer that would result if the identified material were to be released and the reasons why the materials are legally exempt from release pursuant to the above cited statute.

10. We agree to not lobby any State or federal official, employee, staff or agent on any matter regarding this RFP.
11. We agree to furnish all services in accordance with this RFP for the total annual price as provided on Form E-4, Cost Proposal Summary Sheets. This shall be included with this proposal in a separate sealed envelope.

Name of Proposer	Date
Authorized Signature*	Title
Address	
Address	
City, State, Zip Code	

*Attach corporate resolution or power of attorney, if appropriate.

**FORM E-2
PROPOSER FIRM QUALIFICATIONS AND RELATED SERVICES QUESTIONNAIRE**

**PROPOSAL FOR
THE MANAGEMENT AND OPERATION OF THE EXPRESS BUS SERVICES
FROM WINSTED AND TORRINGTON TO HARTFORD**

PURPOSE: This form is used to provide information relating to the legal description and general qualifications of the proposer.

1. Name of Proposer exactly as it appears on the proposal and as it will appear on the Agreement:

2. Address of Proposer and contact person for purposes of notice or other communication relating to the proposal:

Tel: (_____) _____ Fax: (_____) _____

Email: _____

1. How many years has this organization been in business under its present business name?

2. How many years has this organization been in business as a bus transit service company?

3. If this organization has not always been a managing and operating bus transit services company, list the trade(s) that this company customarily performed before it became a management company:

11. Bank References: List names, addresses and telephone numbers of the financial institutions used by your organization. Please attach additional pages as needed:

12. Indicate the names, addresses and agent of the Bonding Company normally used by your organization. Only those bonding companies approved by the U.S. Department of the Treasury and listed in the latest edition to Treasury Department Circular 570 are acceptable to the State.

13. Has your organization failed to complete any work awarded to you? If so, note when, where and attach a separate sheet of explanation to this form.

14. Within the last five years, has any officer or partner of your organization been an officer or partner of another organization where it failed to complete a management contract? If so, note whom, when and where and attach a separate sheet of explanation to this form.

Is this financial statement for the identical organization named on the first page of this questionnaire? _____

If not, explain the relationship and financial responsibility of the organization whose financial statement is provided (e.g., parent, subsidiary):

Will this organization act as a guarantor of the agreement with CTDOT for the management and operations of the bus services for this RFP? _____

17. Dated at _____

This _____ Day of _____, 2020

Title: _____

Name: _____

Signature: _____

**FORM E-3
CONTENTS OF RESPONSE**

**PROPOSAL FOR
THE MANAGEMENT AND OPERATION OF THE EXPRESS BUS SERVICES
FROM WINSTED AND TORRINGTON TO HARTFORD**

1. Management Plan - Include your plan to apply management tools to accomplish all requirements included under Attachment A, "Scope of Work".
2. Technical Proposal
 - A. Transit Management Experience A list of transit systems managed, including: the start date and most recent renewal date of each contract, and the expiration dates; the name, address and telephone number of a local official qualified to serve as a reference; statistical indicators including number of buses, annual ridership, number of the proposer employees and the contracting agency's employees; the proposer's fee for the management contract; and a narrative description of type of management contract, and range of authority and responsibility of the management person or team you employ in the contract.
 - B. Staff Support Services A description, detailing all support or technical services provided by your firm which will be available to the Department and the resident team.
 - C. Achievements in the Transit Industry Identify major achievements in the transit industry including any innovative techniques and any specific cost savings and/or quality improvements that have resulted from clients using these techniques.
 - D. Management Methodologies/Procedures Identify management tools, procedures, and practices used to manage systems.
 - E. Resident Management Team The firm shall submit resumes of the proposed resident team. Each response should include relevant education, training and experience of proposed team members. Respondents shall propose a resident management team with the emphasis being on quality management rather than quantity or titles of managers.
 - F. Supplemental Services In addition each firm is encouraged to give a description of any additional services or products not previously described that can be offered to the Department. This can include, but not limited to: access to centralized purchasing consortia which contribute to increased cost efficiencies in the day-to-day operating budget; and access to planning, operational, management, training or financial expertise. The technical and cost proposals shall clearly indicate whether any of these services will have fees attached to them. Any "fee for extra services" charges shall only be reflected in the "Cost Proposal" document.

**FORM E-4
COST PROPOSAL SUMMARY SHEET**

**PROPOSAL FOR
THE MANAGEMENT AND OPERATION OF THE EXPRESS BUS SERVICES
FROM WINSTED AND TORRINGTON TO HARTFORD**

NOTE: SUBMIT THIS FORM ALONG WITH THE BUDGET CALCULATION WORKSHEET FOR EACH YEAR AND THE SUMMARY SHEET BELOW IN A CLEARLY IDENTIFIED SEPARATE SEALED ENVELOPE. SEE INSTRUCTIONS IN ARTICLE III.

The summary costs below should reflect all costs per year for the management and operations described in this RFP.

Year	Period	Total Cost	Hourly Rate
1	October 1, 2020 – June 30, 2021 (9 months)	\$	\$
2	July 1, 2021 – June 30, 2022	\$	\$
3	July 1, 2022 – June 30, 2023	\$	\$
4	July 1, 2023 – June 30, 2024	\$	\$
5	July 1, 2024 – June 30, 2025	\$	\$

Total Fixed Cost from October 1, 2020 to June 30, 2025: \$ _____

The proposer shall furnish all services for the period of October 1, 2020 to June 30, 2025, in accordance with this Request for Proposal for the total price of:

Amount (words) _____

Name of Proposer

Date

Authorized Signature*

Title

Address

City, State, Zip Code

*Attach corporate resolution or power of attorney, if appropriate.

FORM E-4 COST PROPOSAL SUMMARY SHEET (CONTINUED)

Instructions: Please complete the 'BUDGET CALCULATION WORKSHEET' (excel attachment) and complete. Use the Budget Calculation Worksheet Guide below to complete the Budget Calculation Worksheet (excel attachment).

BUDGET CALCULATION WORKSHEET GUIDE

The purpose of the excel worksheets is to account for all categories of expenses which are anticipated for each fiscal year and allocated to this State-contracted bus service.

Instructions:

1. Review each category of expenses listed below.
2. Calculate and insert the expense amount in the EXCEL worksheet for the stated fiscal year.
3. For any expenses not listed on the yearly worksheet, include in the Other Expenses tab for that specific fiscal year.

1. **LABOR** - The average costs of all divisions of labor which are expended in the subject bus service during the operating days of the Fiscal Year.
 - a. Driver wages ($\$0.00/\text{hr} \times \text{hrs} \times \text{Operating days}$) = $\$0.00$
 - b. Mechanic wages ($\$0.00/\text{hr} \times \text{hrs} \times \text{Operating days}$) = $\$0.00$
 - c. Bus cleaner wages ($\$0.00/\text{hr} \times \text{hrs} \times \text{Operating days}$) = $\$0.00$
 - d. Administrative wages, including fare accounting, preparation of monthly invoices and required reporting documentation associated with the project, including the National Transit Database (NTD) report.
 - e. Driver Training ($\$0.00/\text{hr} \times \text{hrs} \times \text{no. of trainings}$) = $\$0.00$
 - f. **TOTAL ANTICIPATED COSTS FOR LABOR** (items 1a. through 1e.) = $\$0.00$
2. **MANAGEMENT COSTS** - Allocated for the subject bus project.
 - a. Dispatch (0% of $\$0.0/\text{hr}$ salary) = $\$0.00$
 - b. Dispatch Supervisor (0% of $\$0.0/\text{hr}$ salary) = $\$0.00$
 - c. Road Supervisor (0% of $\$0.0/\text{hr}$ salary) = $\$$
 - d. Safety/Training Personnel (0% of $\$0.0/\text{hr}$ salary) = $\$0.00$
 - e. Management (0% of $\$0.0/\text{hr}$ salary) = $\$0.00$
 - f. **TOTAL ANTICIPATED MANAGEMENT COSTS** (items 2a. through 2e.) = $\$0.00$
3. **FRINGE BENEFITS** - The cost of all fringe benefits allotted to all employees engaged in the provision of the subject bus service over the total operating days.
 - a. Health Insurance ($\$/\text{mo} \times \text{mos} \times \text{no. of Empls.}$) = $\$0.00$
 - b. Others (Please specify for ex. 401K company fees & match) = $\$0.00$
 - c. **TOTAL ANTICIPATED COSTS FOR FRINGE BENEFITS** (items 3a. through 3b.) = $\$0.00$
4. **TOTAL OF LABOR COSTS** (Combination of Items 1,2,and 3) = $\$0.00$
5. **MANAGEMENT FEE – (Total markup profit)**
 - i.e. TOTAL OF LABOR COSTS X 0% = $\$0.00$

6. **MATERIALS** - Allocated for express service only.
 - a. Fuel – exclude state tax: ($\$/\text{gal} \times \text{gal}/\text{mo} \times \# \text{ of mos}$) = \$0.00
 - b. Lubricants: = \$/year
 - c. Tires (cost/tires X no. of tires X no. of buses) = \$0.00
 - d. Brakes = \$/year
 - e. Preventative Maintenance parts & repair = \$/year
 - f. Cleaning Supplies = \$/year
 - g. **TOTAL ANTICIPATED COSTS FOR MATERIALS** (items 6a. through 6f.)= \$0.00

7. **OTHER EXPENSES** - Indicate by type
 - a. Vehicle Storage - if not state-owned property ($\$ \text{ Cost}/\text{mo} \times \# \text{ of mos}$) = \$0.00
 - b. **TOTAL ANTICIPATED OTHER EXPENSES** (item 6a.)= \$0.00

8. **INSURANCE** – Allocated for express service only ($0\% \times \text{premium}/\text{mos} \times \text{mos}$) = \$0.00

9. **TAXES** – ($\% \text{ of Property \& Equipment tax}$) = \$0.00

10. **TOTAL ANTICIPATED ITEM COSTS** (Items 1 through 9) = \$0.00

11. **TOTAL OPERATING HOURS** – ($\text{Daily operating hours} \times \text{operating days}$) = 0

12. **ESTIMATED HOURLY RATE** - Divide costs in Item 10 by hours in Item 11 = \$0.00

FORM E-5
NOTIFICATION TO PROPOSERS

PROPOSAL FOR
THE MANAGEMENT AND OPERATIONS OF THE EXPRESS BUS SERVICE
FROM WINSTED AND TORRINGTON TO HARTFORD

The Agreement to be awarded is subject to contract compliance requirements mandated by Section 4a-60 of the Connecticut General Statutes; and, when the awarding agency is the State, Section 46a-71(d) of the Connecticut General Statutes. Contract Compliance Regulations are set forth at Section 46a-68j-2l et seq. of the Regulations of Connecticut State Agencies which establish a procedure for the awarding of all contracts covered by Section 46a-71(d) of the Connecticut General Statutes.

According to Section 46a-68j-30(9) of the Contract Compliance Regulations, every agency awarding a contract subject to the contract compliance requirements has an obligation to "aggressively solicit the participation of legitimate minority business enterprises as proposers, contractors, subcontractors and suppliers of materials." "Minority business enterprise" is defined in Section 4a-60 of the Connecticut General Statutes as a business wherein fifty-one percent or more of the capital stock, or assets is owned by a person or persons: "(1) Who are active in the daily affairs of the enterprise; (2) who have the power to direct the management and policies of the enterprise; and (3) who are members of a minority, as such term is defined in subsection (a) of Section 32-9n." "Minority" groups are defined in Section 32-9n of the Connecticut General Statutes as" (1) Black Americans ... (2) Hispanic Americans ... (3) Women ... (4) Asian Pacific Americans and Pacific Islanders; (5) Persons having origins in the Iberian Peninsula; or (6) American Indians ..." The above definitions apply to the contract compliance requirements by virtue of Section 46a-68j-21 of the Contract Compliance Regulations.

The awarding agency will consider the following factors when reviewing the proposer's qualifications under the contract compliance requirements:

- (a) The proposer's success in implementing an affirmative action plan;
- (b) The proposer's success in developing an apprenticeship program complying with Sections 46a-68-1 et seq. of the Regulations of Connecticut State Agencies;
- (c) The proposer's promise to develop and implement a successful affirmative action plan;
- (d) The proposer's submission of EEO-1 data indicating that the composition of its work force is at or near parity when compared to the racial and sexual composition of the work force in the relevant labor market area; and
- (e) The proposer's promise to set aside a portion of the contract for legitimate minority business enterprises. See sections 46a-68j-23 and 46a-68j-24 of the Contract Compliance Regulations.

***INSTRUCTIONS:** Proposer must sign acknowledgment below and return acknowledgment to Awarding Agency along with bid proposal.

The undersigned acknowledges receiving and reading a copy of the "Notification to Proposers" form.

Signature: _____

Date: _____

Organization Name: _____

**FORM E-6
AUTHORIZATION AND CONSENT FORM**

**PROPOSAL FOR
THE MANAGEMENT AND OPERATIONS OF THE EXPRESS BUS SERVICE
FROM WINSTED AND TORRINGTON TO HARTFORD**

I (we) hereby authorize and consent to the Connecticut Commissioner of Transportation, or his duly authorized designee, the right to investigate and/or make inquiry regarding my business affairs as he deems reasonably appropriate with any Federal, or State or municipal agency, board, commission or other entities relating to criminal, civil, business or financial matters to aid the Commissioner in reviewing the proposal submitted herewith. All such reports or information obtained will be considered confidential.

Officers:

Name: _____

Address: _____

Title: _____ Date of Birth: _____

Signature: _____ Date: _____

Name: _____

Address: _____

Title: _____ Date of Birth: _____

Signature: _____ Date: _____

Name: _____

Address: _____

Title: _____ Date of Birth: _____

Signature: _____ Date: _____