Request for Proposal

PASSENGER INFORMATION AND ELECTRONIC FARE COLLECTION SYSTEMS

RFP# 23-24-40

Proposal Due Date:
March 20, 2024 @ 5:00 PM

Contact Person: Elizabeth Stalls
Title: Transit Manager
Phone Number: 252-329-4047
Email Address: estalls@greenvillenc.gov
The City of Greenville, NC, Public Works Department’s Public Transportation Division (“Greenville Area Transit” or “GREAT”) is now accepting proposals for passenger information technology systems, including automatic vehicle location (AVL), automatic passenger counter (APC), automated voice annunciation (AVA), and electronic fare collection (E-fare) systems. The requirements for submitting a Proposal are stated in the attached Request for Proposal (the “RFP”).

Sealed proposals to be furnished to the City of Greenville (the “City”) will be received by the Public Works Department at 1500 Beatty Street, Greenville, NC 27834, until 5:00 pm EST on Wednesday, March 20, 2024. Proposals may also be submitted electronically until 5:00 pm EST on Wednesday, March 20, 2024. The City reserves the right to reject any or all proposals.

This RFP outlines a description of the services sought and the documents interested firms will be required to submit to include one (1) original proposal signed in ink by a company official authorized to make a legal and binding offer. The RFP must be submitted by email to estalls@greenvillenc.gov or in a sealed envelope plainly marked with the Proposal number and service description as follows, on the envelope:

Request for Proposals  
Attention: Elizabeth Stalls  
[Name of Company Submitting Proposal]  
GREAT Passenger Information and E-Fare Systems  
RFP# 23-24-40

Proposals submitted after this deadline or to any location other than that listed above will not be considered.

Written questions concerning this RFP may be submitted in writing to Elizabeth Stalls by email only at estalls@greenvillenc.gov. Please insert RFP# 23-24-40 in the subject line.
SECTION ONE: GENERAL INSTRUCTIONS

1. READ, REVIEW AND COMPLY: It shall be the Vendor’s responsibility to read this entire document, review all enclosures and attachments, and any addenda thereto, and comply with all requirements specified herein, regardless of whether appearing in these Instructions to Vendors or elsewhere in this RFP document.

2. LATE PROPOSALS: Late proposals, regardless of cause, will not be opened or considered, and will automatically be disqualified from further consideration. It shall be the Vendor’s sole responsibility to ensure delivery at the designated office by the designated time.

3. ACCEPTANCE AND REJECTION: The City reserves the right to reject any and all proposals, to waive any informality in proposals, and, unless otherwise specified by the Vendor, to accept any item in the proposal.

4. WITHDRAWAL OF PROPOSAL: No proposal may be changed or withdrawn after the time of the proposal due date. Any modifications or withdrawals requested before this time shall be acceptable only when such request is made in writing to the Financial Services Manager.

5. CONFLICT OF INTEREST: Each proposer shall affirm that no official or employee of the City of Greenville is directly or indirectly interested in this proposal for any reason of personal gain.

6. LOCAL PREFERENCE: The City of Greenville has adopted a Local Preference Policy, Resolution No. 056-13, and a Professional and other Services Policy, Resolution No. 057-13 that may pertain to this project. For more information, please see the City of Greenville’s webpage at http://www.greenvillenc.gov/government/financial-services/purchasing.

7. TAXES: Sales taxes may be listed on the proposal but as a separate item. No charge will be allowed for Federal Excise and Transportation tax from which the City is exempt.

8. CITY RIGHTS AND OPTIONS: The City, at its sole discretion, reserves the following rights:
   • To supplement, amend, substitute, or otherwise modify this RFP at any time.
   • To cancel this RFP with or without the substitution of another RFP.
   • To take any action affecting this RFP, this RFP process, or the Services subject to this RFP that would be in the best interests of the City.
   • To issue additional requests for information or clarification from Offerors or to allow corrections of errors or omissions.
   • To require one or more Service Providers to supplement, clarify, or provide additional information in order for the City to evaluate the Responses submitted.
   • To negotiate a contract with a Service Provider based on the information provided in response to this RFP.

9. PUBLIC RECORDS: Any material submitted in response to this RFP will become a “public record.” Proposers must claim any applicable exemptions to disclosure provided by law in their response to this RFP. Proposers must identify materials to be protected and must state the reasons why such exclusion
from public disclosure is necessary and legal. The City reserves the right to make all final determination(s) of the applicability of North Carolina General Statutes § 132-1.2, Confidential Information.

10. ACCURACY OF RFP AND RELATED DOCUMENTS: Each Company must independently evaluate all information provided by the City. The City makes no representations or warranties regarding any information presented in this RFP, or otherwise made available during this procurement process, and assumes no responsibility for conclusions or interpretations derived from such information. In addition, the City will not be bound by or be responsible for any explanation or conclusions regarding this RFP or any related documents other than those provided by an addendum issued by the City. Companies may not rely on any oral statement by the City or its agents, advisors, or consultants.

If a Company identifies potential errors or omissions in this RFP or any other related documents, the Company should immediately notify the City of such potential discrepancy in writing. The City may issue a written addendum if the City determines clarification is necessary. Each Company requesting an interpretation will be responsible for delivering such requests to the City’s designated representative.

11. EXPENSE OF SUBMITTAL PREPARATION: The City accepts no liability, and Companies will have no actionable claims, for reimbursement of any costs or expenses incurred in participating in this solicitation process. This includes expenses and costs related to Proposal submission, submission of written questions, attendance at pre-proposal meetings or evaluation interviews, contract negotiations, or activities required for contract execution.

12. PROPOSAL BINDING: This proposal is binding for a period of ninety (90) days.
SECTION TWO: PROPOSAL

1. Introduction
The City operates a mass transit bus system called Greenville Area Transit (“GREAT”) that serves the greater Greenville area. GREAT is owned and operated by the City of Greenville as the Transit Division of the Public Works Department. GREAT is seeking to improve its transit technology and operations with new software and hardware to include services for automatic vehicle location, automatic passenger counters, automated voice annunciation, and electronic fare collection.

2. Background
GREAT was created in 1976 as a department of the City of Greenville, NC. The City of Greenville opened the G.K. Butterfield Transportation Center in downtown Greenville in August 2018 where GREAT currently carries out its daily operations as well as serving as a transportation hub for Greyhound, Amtrak Connector, and other local transportation services.

GREAT operates a network of six fixed bus routes. Prior to the outbreak of COVID-19, GREAT Transit service was provided on weekdays from 6:25 a.m. to 7:00 p.m. and Saturdays from 9:25 a.m. to 6:00 p.m. Currently, service is provided Monday through Friday from 7:25 a.m. to 5:30 p.m. GREAT’s complementary paratransit service, a partnership with Pitt Area Transit System (PATS), operates during the same days and hours of service as the fixed routes.

GREAT is currently establishing a pilot wherein GREAT will begin operating a hybrid transit system, incorporating “microtransit” on-demand service vehicles with fixed route bus service to provide shared ride service in defined service areas. The launch of a pilot program to introduce on-demand vehicle availability is planned to begin within 6-12 months from the date of this RFP.

GREAT Transit – Current System Information

<table>
<thead>
<tr>
<th>Component</th>
<th>Quantity or Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Revenue Vehicles</td>
<td>13-17</td>
</tr>
<tr>
<td>Fixed Routes</td>
<td>6</td>
</tr>
<tr>
<td>Bus Stops Locations</td>
<td>271</td>
</tr>
<tr>
<td>Transit Bus</td>
<td>35’ Low Floor Gillig</td>
</tr>
</tbody>
</table>

3. Description of Services (Scope of Work)

3.1. Automatic Vehicle Location (AVL)
GREAT requires an automatic vehicle location information system to provide the following capabilities:

3.1.1. Operation

a. Real-time information on bus location and schedules for the public via device of choice (e.g. cell phone, computer). The AVL system should include a website and smartphone application for passengers to access bus location information for departure and arrival estimates at stops throughout the service area.
b. General use should be available without requiring a user to establish an account.
c. Some members of the public do not have access to a smartphone, so AVL service should have a matching stop code service connected to a telephone line to which the passenger can call or text, enter a stop code, and receive in real-time or through static feed the automated response listing the next arrival and departure times for each route that will serve the stop.
d. When a route serves a stop while traveling in both directions, the message shall differentiate the times.
e. Management should be able to send status updates to passengers whenever necessary due to weather-related delays, road closures, detours, et cetera that may lead to short-term or long-term route changes.
f. The application should be operational and available 24 hours a day, 7 days a week. The system solution should be cloud-based. The system should be operational at least 99% of the time not including scheduled maintenance. Scheduled downtime for maintenance must be performed during non-operational hours/days (e.g. at night, Sundays). The City must be notified of any unplanned downtime within 1 hour.

3.1.2. Data and Technology
a. Data (e.g. departure/arrival estimation) should update seamlessly and must also include an easy-to-understand map display depicting the location of active transit vehicles. The integrated mapping component must be easy to use and update automatically at no cost to the City.
b. The system should also provide essential data on schedule adherence, breakdowns, and emergencies while integrating with in-vehicle peripherals and the transit operation center message board.
c. An administrative console should provide agency staff the ability to add administrative users and assign specific permissions, track all powered-on buses at all times and display route and schedule adherence, and have the ability to post service alerts or messages to the public.
d. A training program should be delivered for agency staff to learn the system.
e. All data collected by the system should be archived for a minimum of three years. This data will be owned by the City and available through an API or other data-transferring format.
f. This system is to be designed for a fixed route and on-demand (hybrid) system. The paratransit system will not be included.

3.1.3. Hardware
a. All hardware components shall be new and use current, industry-standard technology.
b. If provided with the install, hardware should be usable at the highest level without an upgrade for at least three years. Any upgrade requirements within the three-year time frame should be at the vendor’s expense.
c. Delivered hardware shall include all applicable engineering changes and field changes announced by the equipment manufacturer since it was produced.
d. Vehicle equipment shall be designed to withstand repeated exposure to inclement weather, vibration, under voltage/over voltage conditions, heat and humidity, and other conditions normally present on transit vehicles.

e. The vendor is responsible for installing the required onboard equipment necessary to enable the ability to monitor the locations of all the vehicles. The vendor shall provide and install GPS units, antennas, and all necessary connections required to monitor the locations of all the vehicles. The GPS units shall be parallel (dedicated channel) tracking receivers, capable of simultaneously tracking at least eight (8) GPS satellites in the best geometry for a position fix, and providing time signals to the vendor-provided on-board equipment or equivalent. The vendor will list the information the GPS units will collect and report.

3.1.4. GTFS

The General Transit Feed Specification (GTFS) is the globally recognized standard for the formatting of public transportation schedules and associated geographic information. Proposers should be prepared to provide solutions that create, edit, manage, and export GTFS data feeds following GTFS standards. Vendors should also be positioned to address future GTFS evolutions, whether existing or part of their roadmap.

3.2. Automatic Passenger Counters (APC)

GREAT requires an automatic passenger counter system to provide the following capabilities:

3.2.1. Operation
   a. Collect passenger load, boarding, and alighting data for route and schedule planning.
   b. Collect passenger count data to satisfy National Transit Database (NTD) reporting.
   c. Plan bus stop amenities based on passenger boarding by stop.

3.2.2. Data and Technology
   a. The system should provide essential data to agency staff to satisfy NTD reporting and be easily managed and exported to editable formats such as Excel.
   b. A training program should be delivered for agency staff to learn the system.
   c. All data collected by the system should be archived for a minimum of three years. This data will be owned by the City and available through an API or other data-transferring format.
   d. This system is to be designed for a fixed route and on-demand (hybrid) system. The paratransit system will not be included.

3.2.3. Hardware
   a. The hardware used for new APC systems shall be proposed by the Proposer and follow the nationally recognized standards for APC systems and requirements.

3.3. Automated Voice Annunciation (AVA)

GREAT requires an automated voice annunciation system to provide the following capabilities:

3.3.1. Operation
   a. The proposed system must provide accurate, clear, audible, and visual announcements of routes, major intersections, destinations and transfer points, and special messages.
b. This system must fully comply with the Americans with Disabilities Act (ADA) requirements to ensure that passengers with sight and/or hearing impairments shall receive consistent and accurate information while riding in agency buses.

3.3.2. Data and Technology
   a. The AVA system shall integrate into the existing public address (PA) system onboard the vehicle.

3.3.3. Hardware
   a. The annunciation system shall support and be compatible with existing visual display systems so that the auditory announcement can be simultaneously displayed visually.

3.4. Electronic Fare Collection System
   GREAT will be launching an electronic automated fare payment and collection system to accept credit cards and app-based fare payments on its vehicles. GREAT will continue to accept cash and coins at the transit center. GREAT’s current cash fareboxes on vehicles will need to be replaced with electronic fare collection hardware. The new automated fare collection system will track all associated boarding data.

3.4.1. Operation
   a. The farebox shall conform to the reliability requirements in the specification while in revenue service operations. The farebox shall be accurate in its counting and data reporting and shall be secure in its retention and transfer of data and collected revenue. The farebox design shall keep operator intervention to a minimum while processing fares on board the bus.
   b. The farebox shall be service-proven. The contractor shall demonstrate that the equipment can be conveniently used by persons with disabilities including persons with limited manual dexterity and persons with sight disabilities without the need for assistance or special training.

3.4.2. Data and Technology
   a. The farebox shall make use of solid-state memory for the storage of all transactional data.
   b. Memory shall be retained without the use of batteries. Power spikes or transients, or the complete loss of power shall not cause any information or data contained in memory to be lost or altered.
   c. The farebox memory shall store counts of all actions with fare media that result in a message displayed and/or an audible tone produced. Data relating to the type of media shall be stored.
   d. The farebox control and management system shall be retained in solid-state memory and not require battery backup.
e. All persistent files shall be stored in solid-state memory.
f. Persistent files are fare sets, functions, and values of the trip category keys, class and activity data storage, Farebox door open, and all other events and alarms.
g. The farebox shall securely and accurately record all transactional information, including sales data, operational errors and exception conditions, passenger information, and operator commands. At a minimum, the farebox shall record data for all transactions as follows:
   1. All payment transactions
   2. Type of media processed
   3. All operator fare classification commands
   4. Route
   5. Latitude and Longitude
   6. Farebox power off
   7. Farebox power on
   8. Operator log-on
   9. Operator log off
   10. Door/cover opened (including identifications of door/cover)
   11. Door/cover closed (including identification of door/cover)
   12. Successful data transfer of transactional data
   13. Unsuccessful data transfer of transactional data
   14. Successful download of farebox configuration data
   15. Unsuccessful download of farebox configuration data
   16. Farebox errors and intrusions
   17. New fare set selected
   18. Lost Connection
   19. Date and time of payment
h. The farebox shall record all errors and exceptions including errors resulting from mechanical malfunctions, operator errors, and all such conditions where the normal operation of the farebox may be disrupted. An individual record with date, time, and other relevant details, shall be written for each occurrence of an error or exception. Errors and exceptions shall be recorded in such detail that an analysis of this information shall represent a full and complete picture of the farebox performance.
i. All transaction and revenue data shall be date and time-stamped to the highest resolution of the farebox clock.
j. Farebox shall provide adequate data storage capacity to store accurately and securely a minimum of 30 days of full revenue and transactional data. When the capacity of the farebox data storage is reached, the farebox shall suspend normal service and indicate data transfer is required.
k. Transactional data shall be transferred to the Centralized Data Processing System (CDPS). After successful data transfer, the CDPS will direct the farebox to delete the data from the farebox.

l. Alternative technologies for the storage and transfer of data, which provide the same capacities and functionality, shall be permitted, subject to the approval of GREAT.

m. Data from the fareboxes will be transferred to the Centralized Data Processing System (CDPS). Proposers shall demonstrate the ability for data transfers to be either wireless or accomplished through a manual probing device.

n. The proposal shall include a Centralized Data Processing System (CDPS) that performs the following functions:
   1. Management of the fareboxes and all peripheral fare system hardware
   2. Management of Fare Policy and Structure
   3. Repository for all data collected by the Fare System
   4. Interface for running reports on transaction, financial, and ridership data

o. Preference will be given to proposals with web-based CDPS. If web-based, webserver and browser requirements must be described.

p. Fare Collection system data transfers shall take place at the end of each service run in a batch mode process. The data transfer process should maximize convenience and reliability while minimizing the labor and time required to accomplish this key task.

q. Upon return to the garage, the data transfer process shall be secure and involve as little intervention as possible on the part of maintenance or revenue personnel. The probing process shall have the capability of uploading fare box configuration data supporting farebox functionality.

r. Preference will be given to proposals that use WLAN technology for data transfer. Contractors who provide this functionality shall provide design documents with technical specifications for integration between the farebox and the Centralized Data Processing System via wireless WLAN.

s. Farebox operation must be PCI compliant and all stored data encrypted.

t. The farebox shall automatically test all components and functions on every power-up. Errors detected during this self-test function shall be recorded in the farebox transactional data, and displayed to the operator on the OCU display.

u. The performance of the farebox shall be continuously monitored during operation, and all errors, exceptions, and anomalies shall be recorded in the farebox transactional data reported to the operator on the OCU.

v. All circuits within the farebox shall be designed to permit testing and/or voltage measurement of the various components/boards through designated test points that are clearly indicated and accessible. If test points are not provided, the use of extended boards is permissible with GREAT approval.
3.4.3. **Hardware**

a. The farebox shall be installed adjacent to the operator position near the front door and shall be positioned so that an entering passenger, including persons with disabilities, may easily transact their fare at the farebox.

b. Space and structural provisions shall be made for the installation of the farebox. The location of the fare collection device shall not impede the driver from accessing the driver seat, restrict traffic in the vestibule, including wheelchairs if a front door loading device is used, and shall allow the driver to easily reach the farebox controls and view the fare register.

c. The farebox shall not restrict the operation of driver controls including the log on transit control head and shall not — either by itself or in combination with stanchions, transfer mounting, cutting and punching equipment, or route destination signs — restrict the driver’s field of view. The location and mounting of the fare collection device shall allow use, without restriction, by passengers. The farebox location shall permit accessibility to the vault for easy manual removal or attachment of suction devices. The floor under the fare box shall be reinforced as necessary to provide a sturdy mounting platform and to prevent shaking of the fare box.

d. GREAT will approve the position of the farebox installation on all vehicles.

e. The farebox shall be delivered with an Operator Control Unit (OCU) for operator entry of commands, and passenger information and to display transactional information, errors, prompts, and other information as required by GREAT.

f. Buttons shall provide tactile, visual, and audio feedback. Keypad buttons shall be sealed from liquids and against foreign objects. The function of the definable buttons shall be displayed on the OCU display.

g. The OCU display shall allow the operator to monitor transactions.

h. The OCU display shall indicate the type of fare transaction conducted, any fare problems, and other fare-related messages.

i. The OCU display shall permit the operator to enter Passenger classifications, which shall match such Passenger classifications to fare amounts.

j. The Farebox shall also support relief operator log-on, supervisor log-on, and manager log-on. Non-revenue service log-on shall be possible for maintenance and revenue technicians.

k. Upon completion of the log-on process, a log-on record shall be established defining all of the above selections, together with the date/time stamp.

l. The farebox shall provide audio feedback or display an appropriate code to the driver depending upon certain operating conditions.

m. Media accept or reject alerts shall be assigned to produce two unique audible tones to indicate to the driver and passenger whether the media has been processed correctly (accepted as fare paid) or rejected (not accepted for some reason).

n. The farebox design shall be modular for easy swap-outs of failing components (e.g.
motors, power supply, etc.)

- The Contractor shall provide a sufficient supply of spare parts to sustain the operation of the system for a period of five years. Additional spare parts will be available for purchase throughout the useful life of the system.

4. Terms of Agreement
   Bids must include costs of hardware, installation, and training plus three (3) years of service with the option to extend for up to three (3) years exercisable in one (1) year increments.

5. Payment
   The City agrees to pay all approved invoices Net Thirty (30) days from the date received and approved. The City does not agree to the payment of late charges or finance charges assessed by the seller or vendor for any reason. Invoices are payable in U.S. funds.

6. Proposal Format and Contents
   All Proposals shall be in 8 1/2" x 11" format with all standard text no smaller than twelve (12) points. All hard copy submissions should be bound in a three-ring binder or spiral bound with tab dividers corresponding to the content requirements specified below.

   The total length of the contractor’s proposal (including exhibits) should not exceed 40 pages.

   Proposers are required to submit proposals in the following format:

   A. Cover Letter
      The Proposal must include a letter of transmittal attesting to its accuracy, signed by an individual authorized to execute binding legal documents on behalf of the Contractor, acknowledging all addenda issued for this RFP. The cover letter shall provide the legal name, address, telephone, and facsimile numbers of the Contractor along with the name, title, address, telephone, and facsimile numbers of the executive that has the authority to contract with the City. The cover letter shall present the Contractor’s understanding of the Project, a summary of the approach to be undertaken to perform the Services, as well as a summary of the costs to provide the Services.

      The Cover Letter should be no more than two pages and must include the firm’s State of Incorporation and Federal Tax ID number.

      Each Contractor shall make the following representations and warranty in its Proposal Cover Letter, the falsity of which might result in rejection of its Proposal:

      “The information contained in this Proposal or any part thereof, including its Exhibits, Schedules, and other documents and instruments delivered or to be delivered to the City, is true, accurate, and complete. This Proposal includes all information necessary to ensure that the statements therein do not in whole or in part mislead the City as to any material facts.”

   B. Executive Summary
      The Contractor shall submit an executive summary, which outlines its Proposal, including the proposed general management philosophy. The executive summary shall, at a minimum, include an identification of the proposed
project team, the responsibilities of the project team, and a summary of the proposed Services. This section should highlight aspects of this Proposal that make it superior or unique in addressing the needs of the City.

C. **Body of the Proposal**
   Address each of the criteria listed in **Section Two #12: Evaluation Criteria**.

D. **Federal Certification**

E. **Exhibits**
   To include materials intended to assist in the evaluation of the firm but should not attempt to replace or supersede information included in letters A through C of the proposal format.

7. **Questions**
   Questions must be asked in writing via email addressed to Elizabeth Stalls at estalls@greenvillenc.gov with the RFP 23-24-40 mentioned in the subject line of the email. All questions must be submitted by Wednesday, March 6, 2024, by 5:00 pm EST. Answers will be provided via an addendum posted on the City’s website.

8. **SELECTION PROCESS**
   Following is a general description of the selection process:

   • All qualified firms who submit responsive, responsible proposals will be considered.

   • The proposals received in response to this solicitation will be evaluated and ranked, by the Evaluation Committee in accordance with the process and evaluation criteria contained below.

   • Responses will be evaluated in light of the material and substantiating evidence presented in the response, and not based on what is inferred.

   • After thoroughly reading and reviewing this solicitation, each Evaluation Committee member shall conduct their independent evaluation of the proposals received and grade the responses on their merit in accordance with the evaluation criteria set forth below.

   • The Evaluation Committee may, at the City’s discretion, shortlist a minimum of three (3) firms to be interviewed. IF APPLICABLE, dates of shortlisting and dates for interviews are shown in the **SUBMISSION SCHEDULE AND KEY DATES** at the end of this solicitation.

9. **MINORITY AND WOMEN-OWNED BUSINESS ENTERPRISE PARTICIPATION**
   It is the policy of the City to provide minorities and women equal opportunity for participating in all aspects of the City’s contracting and procurement programs, including but not limited to, construction projects, supplies and materials purchase, and professional and personal service contracts. In accordance with this policy, the City has adopted a Minority and Women Business Enterprise (MWBE) Plan and subsequent program, outlining verifiable goals.

   The City has established a 4% Minority Business Enterprise (MBE) and 4% Women Business Enterprise (WBE) goal for the participation of MWBE firms in supplying goods and services for the completion of this project. All firms submitting qualifications and/or proposals agree to employ “good faith efforts” towards achieving these goals and supply other information as requested in the “MWBE Professional Services
Forms” included in Attachment B. Failure to complete the MWBE forms may be cause to deem the submittal nonresponsive.

Questions regarding the City’s MWBE Program should be directed to the MWBE Office at (252) 329-4462.

10. **EQUAL EMPLOYMENT OPPORTUNITY CLAUSE**
The City of Greenville is an equal opportunity employer and strictly prohibits discrimination against any employee or applicant for employment because of the individual’s race, color, religion, age, gender, disability, national origin, genetic information, sexual orientation, gender identity/reassignment or expression, military or veteran status, marital status, or any characteristic protected by applicable law.

11. **TITLE VI NONDISCRIMINATION NOTIFICATION**
The City of Greenville, North Carolina in accordance with the provisions of Title VI of the Civil Rights Act of 1964 (78 Stat. 252, 42 US.C. §§ 2000d to 2000d-4) and the Regulations, hereby notifies all respondents that it will affirmatively ensure that any contract entered into pursuant to this advertisement, disadvantaged business enterprises will be afforded full and fair opportunity to submit proposals in response to this advertisement and will not be discriminated against on the grounds of race, color, or national origin in consideration for an award.

12. **EVALUATION CRITERIA**
Criteria for the selection of the Consultant will include the following and their respective weights:

<table>
<thead>
<tr>
<th>Criterion</th>
<th>Weight</th>
</tr>
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<tbody>
<tr>
<td>Quality and response to project requirements</td>
<td>40%</td>
</tr>
<tr>
<td>Performance of the firm and/or proposed team on similar projects</td>
<td>20%</td>
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<tr>
<td>Qualifications of the individual(s) proposed for the duties</td>
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<tr>
<td>Cost</td>
<td>10%</td>
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<tr>
<td>Training and warranty</td>
<td>10%</td>
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<tr>
<td>Ability to perform to schedule</td>
<td>10%</td>
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<tr>
<td><strong>Total Score</strong></td>
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<table>
<thead>
<tr>
<th>Score Points</th>
<th>Description</th>
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<td>Satisfactory Response</td>
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<td>3</td>
<td>Good Response</td>
</tr>
<tr>
<td>4</td>
<td>Excellent Response</td>
</tr>
</tbody>
</table>
North Carolina firms qualified to do the required work will be given priority consideration. A North Carolina firm is a firm that maintains an office in North Carolina staffed with an adequate number of employees judged by the City/Department to be capable of performing a majority of the work required.

After reviewing qualifications, if firms are equal on the evaluation review, then those qualified firms with proposed MWBE participation will be given priority consideration.

An interview phase may or may not be a part of the selection for this project. If an interview phase of the selection process is deemed necessary after the initial review of proposals, interviewees will be evaluated based on the following criteria:

1. Overall quality of project presentation
2. Team dynamic
3. Quality of answers provided during the interview

Once a preferred firm is chosen, the City will work with the project team to develop a more detailed scope of services to be included in the project contract. The City reserves the right to negotiate a contract, including the final scope of work and contract price, with any respondent or other qualified party.

13. SUBMISSION SCHEDULE AND KEY DATES

<table>
<thead>
<tr>
<th>Event</th>
<th>Date and Time</th>
</tr>
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<tr>
<td>Issuance of RFP</td>
<td>Wednesday, February 21, 2024</td>
</tr>
<tr>
<td>Deadline to Submit Questions</td>
<td>Wednesday, March 6, 2024</td>
</tr>
<tr>
<td>Answers to questions posted on the website</td>
<td>Wednesday, March 13, 2024</td>
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<tr>
<td>Proposals due</td>
<td>Wednesday, March 20, 2024</td>
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<tr>
<td>Short-listed vendor interviews/demos (optional)</td>
<td>To be determined</td>
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<tr>
<td>Selection</td>
<td>Within 90 days of “Proposals Due” date</td>
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14. FEDERAL REQUIREMENTS

This project will be funded in whole or in part with federal funding. As such, federal laws, regulations, policies, and related administrative practices apply to the contract. The most recent of such federal requirements, including any amendments made after the execution of the contract shall govern the contract unless the federal government determines otherwise. Attachment C identifies the federal requirements that may apply to this contract. The Vendor is responsible for complying with all applicable provisions, updates, or modifications that occur in the future relating to these clauses.

To the extent possible, the federal requirements contained in the most recent version of the Uniform Administrative Requirements for federal awards (Uniform Rules) codified at 2.C.F.R., Part 200, including any certifications and contractual provisions required by any federal statutes or regulation referenced therein to be included in this contract are deemed incorporated into this contract by reference and shall be incorporated into any sub-agreement or subcontract executed by the Vendor pursuant to its obligations under this Contract. The Vendor and its sub-contractors, if any, hereby represent and covenant that they have complied and shall comply in the future with the applicable provisions of the original contract then in
effect and with all applicable federal, state, and local laws, regulations, and rules and local policies and procedures, as amended from time to time, relating to Work to be performed under this contract.
ATTACHMENT A
GENERAL TERMS AND CONDITIONS

The contract terms provided herein are not exhaustive but shall become a part of any contract issued as a result of this solicitation. Any exceptions to the contract terms must be stated in the submittal. Any submission of a proposal without objection to the contract terms indicates understanding and intention to comply with the contract terms. If there is a term or condition that the firm intends to negotiate, it must be stated in the proposal. The successful firm will not be entitled to any changes or modifications unless they were first stated in the proposal. The City reserves the right, at its sole discretion, to reject any or all submittal package(s) containing unreasonable objections to standard City contract provisions.

1. NONDISCRIMINATION: The Vendor, with regard to the work performed by it during the contract, will not discriminate on the grounds of race, color, national origin, sex, age, disability, income level, or LEP in the selection and retention of subcontractors, including procurements of materials and leases of equipment. The contractor will not participate directly or indirectly in the discrimination prohibited by the Acts and the Regulations as set forth in Appendix E, including employment practices when the contract covers any activity, project, or program set forth in Appendix B of 49 C.F.R. part 21.

2. SOLICITATIONS FOR SUBCONTRACTS, INCLUDING PROCUREMENTS OF MATERIALS AND EQUIPMENT: In all solicitations, either by competitive bidding, or negotiation made by the contractor for work to be performed under a subcontract, including procurements of materials, or leases of equipment, each potential subcontractor or supplier will be notified by the contractor of the contractor’s obligations under this contract and the Acts and the Regulations relative to Non-discrimination on the grounds of race, color, national origin, sex, age, disability, income-level, or LEP.

3. NON-COLLUSION: Respondents, by submitting a signed proposal, certify that the accompanying submission is not the result of, or affected by, any unlawful act of collusion with any other person or company engaged in the same line of business or commerce, or any other fraudulent act punishable under North Carolina or United States law.

4. PAYMENT TERMS: The City agrees to pay all approved invoices Net Thirty (30) days from the date received and approved. The City does not agree to the payment of late charges or finance charges assessed by the seller or vendor for any reason. Invoices are payable in U.S. funds. However, the City shall not be obligated to make payment to the Contractor for any services performed under this contract.

5. GOVERNING LAW: Any agreement, contract, or purchase order resulting from this invitation to bid, request for proposals, or request for qualifications or quotes, shall be governed by the laws of the State of North Carolina without regard to its choice of law provisions, and venue for any action or suits
arising out of or relating to this contract shall be the North Carolina General Courts of Justice, in Pitt County, or if in federal court, in the Eastern District of North Carolina.

6. SERVICES PERFORMED: All services rendered under this agreement will be performed at the Vendor’s own risk and the Vendor expressly agrees to indemnify and hold harmless the City, its officers, agents, independent contractors, officials (elected and appointed), and employees from any and all liability, loss or damage that they may suffer as a result of claims, demands, actions, damages or injuries of any kind or nature whatsoever by or to any and all persons or property. Additionally, all work performed under this Contract shall be performed in a workmanlike and professional manner, to the reasonable satisfaction of the City, and shall conform to all prevailing industry and professional standards.

7. INDEPENDENT CONTRACTOR: It is mutually understood and agreed the Vendor is an independent contractor and not an agent of the City, and as such, the Vendor, their agents, and employees shall not be entitled to any City employment benefits, such as but not limited to vacation, sick leave, insurance, worker’s compensation, pension or retirement benefits.

8. VERBAL AGREEMENT: The City will not be bound by any verbal agreements.

9. CONFIDENTIALITY: Proprietary or confidential information (“confidential information”) developed or disclosed by either party under this agreement shall be clearly labeled and identified as confidential information by the disclosing party at the time of disclosure. Confidential Information shall not be disclosed to the extent allowable by law by the receiving party to any other person except to those individuals who need access to such Confidential Information as needed to ensure proper performance of the Services.

Neither party shall be liable for disclosure or use of Confidential Information which: (1) is or was known by the receiving party at the time of disclosure due to circumstances unrelated to this agreement; (2) is generally available to the public without breach of this agreement; (3) is disclosed with the prior written approval of the disclosing party; or (4) is required to be released by applicable law or court order.

Each party shall return all Confidential Information relating to this agreement to the disclosing party upon request of the disclosing party or upon termination of this agreement, whichever occurs first. Each party shall have the right to retain a copy of the Confidential Information for its internal records and subject to ongoing compliance with the restrictions set forth in this Section. This Section shall survive the termination of this agreement.

10. INSURANCE REQUIREMENTS: Vendor shall maintain at its own expense (a) Commercial General Liability Insurance in an amount not less than $1,000,000 per occurrence for bodily injury or property damage; City of Greenville, North Carolina, 200 W. Fifth St. Greenville, NC 27834 shall be named as additional insured. (b) Professional Liability insurance in an amount not less than $1,000,000 per occurrence.
occurrence if providing professional services; (c) Workers Compensation Insurance as required by the general statutes of the State of North Carolina and Employer’s Liability Insurance not less than $1,000,000 each accident for bodily injury by accident, $1,000,000 each employee for bodily injury by disease, and $1,000,000 policy limit; (d) Commercial Automobile Insurance applicable to bodily injury and property damage, covering all owned, non-owned, and hired vehicles, in an amount not less than $1,000,000 per occurrence as applicable. Certificates of Insurance shall be furnished prior to the commencement of Services. Depending on the type of services to be provided, cyber liability insurance or increased limits may be necessary.

11. INDEMNIFICATION AND HOLD HARMLESS: All services rendered under this agreement will be performed at the Vendor’s own risk and the Contractor shall indemnify and hold harmless the City from and against any liability, loss, cost, damage suit, claim, or expense arising occurrence on the part of the Vendor and its officers, servants, agents or employees arising from its activities, operations, and performance of services under this contract and further agrees to release and discharge the City and its agents and employees from all claims or liabilities arising from or caused by the Vendor in fulfilling its obligation under this contract. It is understood and agreed by the parties that City will assume no liability for damages, injury, or other loss to the Contractor, its employees or property, tools or equipment, or to other persons or properties located on City facilities resulting from the Vendor’s activities and operations while performing services under this contract.

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

13. IRAN DIVESTMENT ACT: By submitting a proposal, the Vendor certifies that: (i) it is not on the Iran Final Divestment listed created by the N.C. State Treasurer pursuant to N.C.G.S. 147-86.58; (ii) it will not take any actions causing it to appear on said list during the term of any contract with the City, and (iii) it will not utilize any subcontractor to provide goods and services hereunder that is identified on said list.

14. ADVERTISING: The Vendor shall not use the existence of this Contract, or the name of the City, as part of any advertising without the prior written approval of the City.

15. FORCE MAJEURE: Except as otherwise provided in environmental laws, rules, regulations or ordinances applicable to the parties and the services performed under this contract, neither party shall be deemed to be in default of its obligations hereunder if and so long as it is prevented from performing such obligations by any acts of God; acts of the public enemy; insurrections; riots; embargoes; labor disputes, including strikes, lockouts, job actions, or boycotts; shortages of materials or energy; fires;
explosions; floods; any curtailment, order, regulation, or restriction imposed by governmental, military or lawfully established civilian authorities, including, without limitation any of the foregoing which occur as a result of epidemic or pandemic; changes in laws governing this type of Work of facility; or other unforeseeable causes beyond the reasonable control and without the fault or negligence of the City. A reasonable extension of time for unforeseen delays may be made by mutual written consent of all parties involved or the contract may terminate.

16. ASSIGNMENT: This Contract, including payment due under this contract, may not be assigned without the express written consent of the City.

17. CONFLICT OF INTERESTS:
   a. Vendor is aware of the conflict of interest laws of the City of Greenville, of the State of North Carolina (as set forth in North Carolina General Statutes), and agrees that it will fully comply in all respects with the terms thereof and any future amendments.
   b. Vendor covenants that no person or entity under its employ, presently exercising any functions or responsibilities in connection with this Agreement has any personal financial interests, direct or indirect, with the City. Contractor further covenants that, in the performance of this Agreement, no person or entity having such conflicting interest shall be utilized with respect to the Scope of Work or services provided hereunder. Any such conflict of interest(s) on the part of the Contractor, its employees, or associated persons or entities shall be disclosed to the City.
   c. Vendor shall disclose any possible conflicts of interest or apparent improprieties of any party under or in connection with the Legal Requirements, including the standards for procurement.
   d. Vendor shall make any such disclosure to the City in writing and immediately upon the Contractor's discovery of such possible conflict. The City's determination regarding the possible conflict of interest shall be binding on all parties.
   e. No employee, agent, contractor, elected official, or appointed official of the City, exercising any functions or responsibilities in connection with this Agreement, or who is in a position to participate in the decision-making process or gain inside information regarding activities, has any personal financial interest, direct or indirect, in this Agreement, the proceeds hereunder, the Project or Contractor, either for themselves or for those with whom they have family or business ties, during their tenure or for one year thereafter.

18. NONAPPROPRIATION OF FUNDS. Vendor acknowledges that funding for this Agreement is conditioned upon appropriation and allocation by the governing body of sufficient funds to support the activities described in this Agreement. By written notice to Vendor at the earliest possible date, City may terminate this Agreement, in whole or in part, at any time for lack of appropriation of funds, or other withdrawal, reduction, or limitation in any way of the City’s budget, funding or financial resources. Such termination is in addition to the City’s rights to terminate for convenience or cause. If this Agreement is terminated for non-appropriation: The City will be liable only for payment in accordance with the terms of this Agreement for Work completed and expenses incurred prior to the effective date of termination. The Vendor will not be compensated for any other costs in connection with a termination for non-appropriation. The Vendor will not be entitled to recover any damages in connection with a termination for non-appropriation, including,
but not limited to, lost profits. Vendor shall be released from any further obligation to provide Work affected by such termination; and Termination shall not prejudice any other right or remedy available to the City.

19. DISPUTE RESOLUTION: In the event of any dispute arising out of or relating to this agreement, the affected party shall notify the other party, and the parties shall attempt in good faith to resolve the matter within thirty (30) days after the date such notice is received by the other party (the “Notice Date”) prior to exercising their rights under law.

20. PERFORMANCE OF GOVERNMENT FUNCTIONS: Nothing contained in this Agreement shall be deemed or construed so as to in any way stop, limit, or impair the City from exercising or performing any regulatory, policing, legislative, governmental, or other powers or functions.

21. E-SIGNATURE AUTHORITY: The parties hereto consent and agree that this agreement may be signed and/or transmitted by facsimile, e-mail of a .pdf document or using electronic signature technology (e.g., via DocuSign or similar electronic signature technology) and that such signed electronic record shall be valid and as effective to bind the party so signing as a paper copy bearing such party’s hand written signature. The parties further consent and agree that (1) to the extent a party signs this document using electronic signature technology, by clicking “sign”, such party is signing this Agreement electronically, and (2) the electronic signatures appearing on this Agreement shall be treated for purposes of validity, enforceability and admissibility, the same as hand-written signatures.

22. TERMINATION: The City may terminate this Contract at any time by providing thirty (30) days' written notice to the Contractor. In addition, if Vendor shall fail to fulfill in a timely and proper manner the obligations under this Contract for any reason, including the voluntary or involuntary declaration of bankruptcy, the City shall have the right to terminate this Contract by giving written notice to the Contractor and termination will be effective upon receipt. Contractor shall cease performance immediately upon receipt of such notice. The Vendor shall not be relieved of liability to the City for damages sustained by the City by virtue of any breach of this Contract, and the City may withhold any payment due to the Contractor for the purpose of setoff until such time as the City can determine the exact amount of damages due the City because of the breach.
ATTACHMENT B

City of Greenville/Greenville Utilities Commission
Minority and Women Business Enterprise Program

City of Greenville
MWBE Guidelines for Professional Service Contracts
$10,000 and above

These instructions shall be included with each bid solicitation.
City of Greenville/Greenville Utilities Commission
Minority and Women Business Enterprise Program

MWBE Guidelines for Professional Service Contracts
$10,000 and above

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

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

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<tr>
<th>CITY</th>
<th>MBE</th>
<th>WBE</th>
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<tbody>
<tr>
<td>Professional Services</td>
<td>4%</td>
<td>4%</td>
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Submitters shall submit MWBE information with their submissions on the forms provided. This information will be subject to verification by the City prior to contract award. As of July 1, 2009, contractors, subcontractors, suppliers, service providers, or MWBE members of joint ventures intended to satisfy City MWBE goals shall be certified by the NC Office of Historically Underutilized Businesses (NC HUB) only. Firms qualifying as “WBE” for the City’s goals must be designated as a “women-owned business” by the HUB Office. Firms qualifying as “MBE” for the City’s goals must be certified in one of the other categories (i.e.: Black, Hispanic, Asian American, American Indian, Disabled, or Socially and Economically Disadvantaged). According to new Statewide Uniform Certification (SWUC) Guidelines, ethnicity supersedes gender; therefore, firms who are certified as both a “WBE” and “MBE” will satisfy the “MBE” category only. Each goal must be met separately. Exceeding one goal does not satisfy the requirements for the other.

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

Please note: A service provider may utilize any firm desired. However, for participation purposes, all MWBE firms who wish to do business as a minority must be certified by NC HUB. A complete database of NC HUB certified firms may be found at [http://www.doa.nc.gov/hub/](http://www.doa.nc.gov/hub/)
The submitter shall provide the following forms:

☐ **FORM 1—Sub-Service Provider Utilization Plan**
   This form provides the amount of sub-contracted work proposed on the project for MWBE. This proposed participation is based on the current scope of work. **Submitters must turn in this form with submission.** If the submitter does not customarily subcontract elements of this type of project, do not complete this form—instead, complete FORM 2.

☐ **FORM 2--Statement of Intent to Perform Work without Sub-Service Providers**
   This form provides that the submitter does not customarily subcontract work on this type of project.

☐ **Sub-Service Provider Utilization Commitment**
   Submitted by the selected service provider after negotiation of the contract and prior to Award, this form lists the MWBE firms committed to participate on the project. This commitment will reflect any changes in the Plan due to adjustments in project scope.
   **NOTE:** A firm is expected to maintain the level of participation proposed in FORM 1 – Sub-Service Provider Utilization Plan — unless there is a negotiated change in the service required by the City. A firm is also encouraged to increase MWBE participation in the Utilization Commitment as a result of ongoing Good Faith Efforts.

☐ **Proof of Payment Certification**
   Submitted by the selected service provider with each payment application, listing payments made to subconsultants. **This form is not provided with the submission.**

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

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

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

Minimum Compliance Requirements: All written statements, signed forms, or intentions made by the Submitter shall become a part of the agreement between the Submitter and the City for the performance of contracts. Failure to comply with any of these statements, signed forms, or intentions or with the minority business guidelines shall constitute a breach of the contract. A finding by the City that any information submitted (either prior to the award of the contract or during the performance of the contract) is inaccurate, false, or incomplete, shall also constitute a breach of the contract. Any such breach may result in the termination of the contract in accordance with the termination provisions contained in the contract. It shall be solely at the option of the City whether to terminate the contract for breach or not. In determining whether a Submitter has made Good Faith Efforts, the City will evaluate all efforts made by the Submitter and will determine compliance in regard to the quantity, intensity, and results of these efforts.
Sub-Service Provider Utilization Plan
FORM 1
(Must be included with submission if subcontracting any portion of work)

We _________________________________________________________, do certify that on the
(Company Name)
______________________________________________ we propose to expend a minimum of _____% of the total dollar amount of the contract with certified MBE firms and a minimum of _____% of the total
dollar amount with WBE firms.

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<tr>
<th>Name, Address, &amp; Phone Number of Sub-Service Provider</th>
<th>*MWBE Category</th>
<th>Work description</th>
<th>% of Work</th>
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*Minority categories: Black, African American (B), Hispanic or Latino (L), Asian American (A) American Indian (I), Female (F) Socially and Economically Disadvantaged (S) Disabled (D)

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

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

Date:______________________

Name & Title of Authorized Representative_____________________________________________

Signature of Authorized Representative________________________________________________
Statement of Intent to Perform Work without Sub-Service Providers
FORM 2
(Must be included with submission if not subcontracting any portion of work)

We, __________________________________________________, hereby certify that it is our intent to perform 100% of the work required for the ______________________________________ contract.  
(Project Name)

In making this certification, the Proposer states the following:

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

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

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

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

Date: __________________

Name & Title of Authorized Representative____________________________________________

Signature of Authorized Representative________________________________________________
Sub-Service Provider Utilization Commitment
(Must be submitted after contract negotiation and prior to Award)

We _________________________________________________________, do certify that on the

(Company Name)

______________________________________________ we will expend a minimum of _____% of the total dollar amount of the contract with certified MBE firms and a minimum of _____% of the total dollar amount of the work with WBE.

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<th>Name, Address, &amp; Phone Number of Sub-Service Provider</th>
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<th>Work description</th>
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*Minority categories: Black, African American (B), Hispanic or Latino (L), Asian American (A) American Indian (I), Female (F) Socially and Economically Disadvantaged (S) Disabled (D)

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

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

Date:______________________

Name & Title of Authorized Representative_____________________________________________

Signature of Authorized Representative________________________________________________
REQUEST TO CHANGE MWBE PARTICIPATION
(Submit changes only if recipient of intent to award letter, continuing through project completion.)

Project: ______________________________________________________________________

Bidder or Prime Consultant: ______________________________________________________________________

Name & Title of Authorized Representative: ______________________________________________________________________

Address: ________________________________ Phone #: ___________________________
________________________________________ Email Address: ______________________

Original Total Contract Amount: $_____________________________________

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

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

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

The proposed request will do the following to overall MWBE participation (please check one):
□ Increase □ Decrease □ No Change

Name of subconsultant: _________________________________________________________

Service provided: _______________________________________________________

Proposed Action:

___ Replace subconsultant
___ Perform work in-house

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

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

___ The listed MBE/WBE is bankrupt or insolvent.

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

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

Name of replacement subconsultant: ________________________________

Is the subconsultant a certified MWBE? ___Yes ___No

If no, please attach documentation of outreach efforts employed by the firm to utilize an MWBE.

Dollar amount of original consultant contract $________________

Dollar amount of amended consultant contract $ _______________

Other Proposed Action:

___Increase total dollar amount of work ___Add as an additional subconsultant*

___Decrease total dollar amount of work ___Other

Please describe the reason for the requested action: _______________________________________
____________________________________________________________________________

*If adding additional subconsultant:

Is the subconsultant a certified MWBE? ___Yes ___No

If no, please attach documentation of outreach efforts employed by the firm to utilize an MWBE.

Dollar amount of original consultant contract $________________

Dollar amount of amended consultant contract $ _______________

Interoffice Use Only:

Approval ___Y ___N

Date___________________
# Proof of Payment Certification

**MWBE Contractors, Suppliers, Service Providers**

Project Name: ________________________________________________

Prime Service Provider: _____________________________________________

Current Contract Amount (including change orders): $_________________

Requested Payment Amount for this Period:  $_______________________

Is this the final payment?  ___Yes   ___No

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<th>Firm Name</th>
<th>MWBE Category*</th>
<th>Total Amount Paid from this Pay Request</th>
<th>Total Contract Amount</th>
<th>Total Amount Remaining</th>
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*Minority categories: Black, African American (B), Hispanic or Latino (L), Asian American (A) American Indian (I), Female (F) Socially and Economically Disadvantaged (S) Disabled (D)

Date: _____________________ Certified By: ________________________________

Name

Title

Signature

Pay Application No. ______
Purchase Order No. _____
(Remainder of page intentionally left blank. See next page.)
**ACCESS TO RECORDS AND REPORTS**

1. **Record Retention.** The Contractor will retain, and will require its subcontractors of all tiers to retain, complete and readily accessible records related in whole or in part to the contract, including, but not limited to, data, documents, reports, statistics, leases, subcontracts, arrangements, other third party Contracts of any type, and supporting materials related to those records.

2. **Retention Period.** The Contractor agrees to comply with the record retention requirements in accordance with 2 C.F.R. § 200.334. The Contractor shall maintain all books, records, accounts and reports required under this Contract for a period of at not less than three (3) years after the date of termination or expiration of this Contract, except in the event of litigation or settlement of claims arising from the performance of this Contract, in which case records shall be maintained until the disposition of all such litigation, appeals, claims or exceptions related thereto.

3. **Access to Records.** The Contractor agrees to provide sufficient access to FTA and its contractors to inspect and audit records and information related to performance of this contract in accordance with 2 CFR § 200.337.

4. **Access to the Sites of Performance.** The Contractor agrees to permit FTA and its contractors access to the sites of performance under this contract in accordance with 2 CFR § 200.337.

**AMERICANS WITH DISABILITIES ACT (ADA)**

The contractor agrees to comply with all applicable requirements of section 504 of the Rehabilitation Act of 1973, as amended, 29 U.S.C. § 794, which prohibits discrimination on the basis of handicap, with the Americans with Disabilities Act of 1990 (ADA), as amended, 42 U.S.C. §§ 12101 et seq., which requires that accessible facilities and services be made available to persons with disabilities, including any subsequent amendments to that Act, and with the Architectural Barriers Act of 1968, as amended, 42 U.S.C. §§ 4151 et seq., which requires that buildings and public accommodations be accessible to persons with disabilities, including any subsequent amendments to that Act. In addition, the contractor agrees to comply with any and all applicable requirements issued by the FTA, DOT, DOJ, U.S. GSA, U.S. EEOC, U.S. FCC, any subsequent amendments thereto and any other nondiscrimination statute(s) that may apply to the Project.

**BUY AMERICA REQUIREMENTS**

The contractor agrees to comply with 49 U.S.C. § 5323(j) and 49 C.F.R. part 661 and 2 CFR § 200.322 Domestic preferences for procurements, which provide that Federal funds may not be obligated unless all steel, iron, and manufactured products used in FTA funded projects are produced in the United States, unless a waiver has been granted by FTA or the product is subject to a general waiver. General waivers are listed in 49 C.F.R. § 661.7.

Construction materials used in the Project are subject to the domestic preference requirement of the Build America, Buy America Act, Pub. L. 117-58, div. G, tit. IX, §§ 70911 – 70927 (2021), as implemented by the U.S. Office of Management and Budget, the U.S. Department of Transportation, and FTA. The Recipient acknowledges that this agreement is neither a waiver of § 70914(a) nor a finding under § 70914(b).

Separate requirements for rolling stock are set out at 49 U.S.C. § 5323(j)(2)(C), 49 U.S.C. § 5323(u) and 49 C.F.R. § 661.11. Domestic preferences for procurements are required by FTA.

The bidder or offeror must submit to the Agency the appropriate Buy America certification. Bids or offers that are not accompanied by a completed Buy America certification will be rejected as nonresponsive. For more information please see the FTA’s Buy America webpage at: https://www.transit.dot.gov/buyamerica

**RESTRICTIONS ON LOBBYING**

Conditions on use of funds.

(a) No appropriated funds may be expended by the recipient of a Federal contract, grant, loan, or cooperative agreement to pay any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with any of the following covered Federal actions: the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(b) Each person who requests or receives from an agency a Federal contract, grant, loan, or cooperative agreement shall file with that agency a certification that the person has not made, and will not make, any payment prohibited by paragraph (a) of this section.

(c) Each person who requests or receives from an agency a Federal contract, grant, loan, or a cooperative agreement shall file with that agency a disclosure form if such person has made or has agreed to make any payment using nonappropriated funds (to include profits from any covered Federal action), which would be prohibited under paragraph (a) of this section if paid for with appropriated funds.

(d) Each person who requests or receives from an agency a commitment providing for the United States to insure or guarantee a loan shall file with that agency a statement, whether that person has made or has agreed to make any payment to influence or attempt to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with that loan insurance or guarantee.

(e) Each person who requests or receives from an agency a commitment providing for the United States to insure or guarantee a loan shall file with that agency a disclosure form if that person has made or has agreed to make any payment to influence or attempt to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with that loan insurance or guarantee.

Certification and disclosure.

(a) Each person shall file a certification, and a disclosure form, if required, with each submission that initiates agency consideration of such person for:
prohibits discrimination on the basis of race, color, religion, national origin, sex (including sexual orientation and gender identity), disability, or age, and prohibits discrimination in employment or business opportunity.

The Contractor and any subcontractor agree to comply with all the requirements prohibiting discrimination on the basis of race, color, or national origin of the Title VI of the Civil Rights Act, “49 C.F. R. Part 21 and any implementing requirement FTA may issue.

CARGO PREFERENCE REQUIREMENTS

The contractor agrees:

a. to use privately owned United States-Flag commercial vessels to ship at least 50 percent of the gross tonnage (computed separately for dry bulk carriers, dry cargo liners, and tankers) involved, whenever shipping any equipment, material, or commodities pursuant to the underlying contract to the extent such vessels are available at fair and reasonable rates for United States-Flag commercial vessels;

b. to furnish within 20 working days following the date of loading for shipments originating within the United States or within 30 working days following the date of loading for shipments originating outside the United States, a legible copy of a rated, "on-board" commercial ocean bill-of-lading in English for each shipment of cargo described in the preceding paragraph to the Division of National Cargo, Office of Market Development, Maritime Administration, Washington, DC 20590 and to the FTA Recipient (through the contractor in the case of a subcontractor's bill-of-lading); and

c. to include these requirements in all subcontracts issued pursuant to this contract when the subcontract may involve the transport of equipment, material, or commodities by ocean vessel.

CIVIL RIGHTS LAWS AND REGULATIONS

The following Federal Civil Rights laws and regulations apply to all contracts.

The Contractor and any subcontractor agree to comply with all the requirements prohibiting discrimination on the basis of race, color, or national origin of the Title VI of the Civil Rights Act of 1964, as amended 52 U.S.C 2000d, and U.S. DOT regulation "Nondiscrimination in Federally-Assisted Programs of the Department of Transportation – Effectuation of the Title VI of the Civil rights Act, “49 C.F. R. Part 21 and any implementing requirement FTA may issue.

1 Federal Equal Employment Opportunity (EEO) Requirements. These include, but are not limited to:

a) Nondiscrimination in Federal Public Transportation Programs. 49 U.S.C. § 5332, covering projects, programs, and activities financed under 49 U.S.C. Chapter 53, prohibits discrimination on the basis of race, color, religion, national origin, sex (including sexual orientation and gender identity), disability, or age, and prohibits discrimination in employment or business opportunity.


4 Federal Protections for Individuals with Disabilities. The Americans with Disabilities Act of 1990, as amended (ADA), 42 U.S.C. § 12101 et seq., prohibits discrimination against qualified individuals with disabilities in programs, activities, and services, and imposes specific requirements on public and private entities. Third party contractors must comply with their responsibilities under Titles I, II, III, IV, and V of the ADA in employment, public services, public accommodations, telecommunications, and other provisions, many of which are subject to regulations issued by other Federal agencies.

Civil Rights and Equal Opportunity

The Agency is an Equal Opportunity Employer. As such, the Agency agrees to comply with all applicable Federal civil rights laws and implementing regulations. Apart from inconsistent requirements imposed by Federal laws or regulations, the Agency agrees to comply with the requirements of 49 U.S.C. § 5323(h) (3) by not using any Federal assistance awarded by FTA to support procurements using exclusionary or discriminatory specifications. Under this Contract, the Contractor shall at all times comply with the following requirements and shall include these requirements in each subcontract entered into as part thereof.

1. Nondiscrimination. In accordance with Federal transit law at 49 U.S.C. § 5332, the Contractor agrees that it will not discriminate against any employee or applicant for employment because of race, color, religion, national origin, sex, disability, or age. In addition, the Contractor agrees to comply with applicable Federal implementing regulations and other implementing requirements FTA may issue.


5. Promoting Free Speech and Religious Liberty. The Contractor shall ensure that Federal funding is expended in full accordance with the U.S. Constitution, Federal Law, and statutory and public policy requirements: including, but not limited to, those protecting free speech, religious liberty, public welfare, the environment, and prohibiting discrimination.

CLEAN AIR ACT AND FEDERAL WATER POLLUTION CONTROL ACT

The Contractor agrees to comply with all applicable standards, orders, or regulations issued pursuant to the Clean Air Act (42 U.S.C. § 7401-7671q) and the Federal Water Pollution Control Act as amended (33 U.S.C. § 1251-1387). Violations must be reported to FTA and the Regional Office of the Environmental Protection Agency. The following applies for contracts of amounts in excess of $150,000:

Clean Air Act

1. The contractor agrees to comply with all applicable standards, orders or regulations issued pursuant to the Clean Air Act, as amended, 42 U.S.C. § 7401 et seq.

2. The contractor agrees to report each violation to the Agency and understands and agrees that the Agency will, in turn, report each violation as required to assure notification to the Agency, Federal Emergency Management Agency, and the appropriate Environmental Protection Agency Regional Office.

3. The contractor agrees to include these requirements in each subcontract exceeding $150,000 financed in whole or in part with Federal assistance provided by FTA.

Federal Water Pollution Control Act

1. The contractor agrees to comply with all applicable standards, orders or regulations issued pursuant to the Federal Water Pollution Control Act, as amended, 33 U.S.C. 1251 et seq.

2. The contractor agrees to report each violation to the Agency and understands and agrees that the Agency will, in turn, report each violation as required to assure notification to the Agency, Federal Emergency Management Agency, and the appropriate Environmental Protection Agency Regional Office.

3. The contractor agrees to include these requirements in each subcontract exceeding $150,000 financed in whole or in part with Federal assistance provided by FTA.
CONFORMANCE WITH ITS NATIONAL ARCHITECTURE

Intelligent Transportation Systems (ITS) projects shall conform to the National ITS Architecture and standards pursuant to 23 CFR § 940. Conformance with the National ITS Architecture is interpreted to mean the use of the National ITS Architecture to develop a regional ITS architecture in support of integration and the subsequent adherence of all ITS projects to that regional ITS architecture. Development of the regional ITS architecture should be consistent with the transportation planning process for Statewide and Metropolitan Transportation Planning (49 CFR Part 613 and 621).

DEBARMENT AND SUSPENSION

The Contractor shall comply and facilitate compliance with U.S. DOT regulations, "Nonprocurement Suspension and Debarment," 2 C.F.R. part 1200, which adopts and supplements the U.S. Office of Management and Budget (U.S. OMB) "Guidelines to Agencies on Governmentwide Debarment and Suspension (Nonprocurement)," 2 C.F.R. part 180. These provisions apply to each contract at any tier of $25,000 or more, and to each contract at any tier for a federally required audit (irrespective of the contract amount), and to each contract at any tier that must be approved by an FTA official irrespective of the contract amount. As such, the Contractor shall verify that its principals, affiliates, and subcontractors are eligible to participate in this federally funded contract and are not presently declared by any Federal department or agency to be:

a) Debarred from participation in any federally assisted Award;
b) Suspended from participation in any federally assisted Award;
c) Proposed for debarment from participation in any federally assisted Award;
d) Declared ineligible to participate in any federally assisted Award;
e) Voluntarily excluded from participation in any federally assisted Award; or
f) Disqualified from participation in any federally assisted Award.

By signing and submitting its bid or proposal, the bidder or proposer certifies as follows:

The certification in this clause is a material representation of fact relied upon by the AGENCY. If it is later determined by the AGENCY that the bidder or proposer knowingly rendered an erroneous certification, in addition to remedies available to the AGENCY, the Federal Government may pursue available remedies, including but not limited to suspension and/or debarment. The bidder or proposer agrees to comply with the requirements of 2 C.F.R. part 180, subpart C, as supplemented by 2 C.F.R. part 1200, while this offer is valid and throughout the period of any contract that may arise from this offer. The bidder or proposer further agrees to include a provision requiring such compliance in its lower tier covered transactions.

DISADVANTAGED BUSINESS ENTERPRISE (DBE)

(Does not apply to projects fully funded by the Tribal Transportation Program (TTP).)

It is the policy of the Agency and the United States Department of Transportation ("DOT") that Disadvantaged Business Enterprises ("DBE’s"), as defined herein and in the Federal regulations published at 49 C.F.R. part 26, shall have an equal opportunity to participate in DOT-assisted contracts.

The contractor or subcontractor shall not discriminate on the basis of race, color, national origin, or sex in the performance of this contract. The contractor shall carry out applicable requirements of 49 C.F.R. part 26 in the award and administration of DOT-assisted contracts. Failure by the contractor to carry out these requirements is a material breach of this contract, which may result in the termination of this contract or such other remedy as the Agency deems appropriate, which may include, but is not limited to:

1) Withholding monthly progress payments;
2) Assessing sanctions;
3) Liquidated damages; and/or
4) Disqualifying the contractor from future bidding as non-responsible. 49 C.F.R. § 26.13(b).

Prime contractors are required to pay subcontractors for satisfactory performance of their contracts no later than 30 days from receipt of each payment the Agency makes to the prime contractor. 49 C.F.R. § 26.29(a).

Finally, for contracts with defined DBE contract goals, the contractor shall utilize the specific DBEs listed unless the contractor obtains the Agency’s written consent; and that, unless the Agency’s consent is provided, the contractor shall not be entitled to any payment for work or material unless it is performed or supplied by the listed DBE. 49 C.F.R. § 26.53(f) (1).

ENERGY CONSERVATION

The contractor agrees to comply with mandatory standards and policies relating to energy efficiency, which are contained in the state energy conservation plan issued in compliance with the Energy Policy and Conservation Act (42 U.S.C. § 6201).

EQUAL EMPLOYMENT OPPORTUNITY

During the performance of this contract, the contractor agrees as follows:

1) The contractor will not discriminate against any employee or applicant for employment because of race, color, religion, sex, sexual orientation, gender identity, or national origin. The contractor will take affirmative action to ensure that applicants are employed, and that employees are treated during employment, without regard to their race, color, religion, sex, sexual orientation, gender identity, or national origin. Such action shall include, but not be limited to the following: Employment, upgrading, demotion, or transfer, recruitment or recruitment advertising; layoff or termination; rates of pay or other forms of compensation; and selection for training, including apprenticeship. The contractor agrees to post in conspicuous places, available to employees and applicants for employment, notices to be provided by the contracting
The contractor will, in all solicitations or advertisements for employees placed by or on behalf of the contractor, state that all qualified applicants will receive consideration for employment without regard to race, color, religion, sex, sexual orientation, gender identity, or national origin.

The contractor will not discharge or in any other manner discriminate against any employee or applicant for employment because such employee or applicant has inquired about, discussed, or disclosed the compensation of the employee or applicant or another employee or applicant. This provision shall not apply to instances in which an employee who has access to the compensation information of other employees or applicants as a part of such employee’s essential job functions discloses the compensation of such other employees or applicants to individuals who do not otherwise have access to such information, unless such disclosure is in response to a formal complaint or charge, in furtherance of an investigation, proceeding, hearing, or action, including an investigation conducted by the employer, or is consistent with the contractor’s legal duty to furnish information.

The contractor will send to each labor union or representative of workers with which it has a collective bargaining agreement or other contract or understanding, a notice to be provided by the agency contracting officer, advising the labor union or workers’ representative of the contractor’s commitments under section 202 of Executive Order 11246 of September 24, 1965, and shall post copies of the notice in conspicuous places available to employees and applicants for employment.

The contractor will comply with all provisions of Executive Order 11246 of September 24, 1965, and of the rules, regulations, and relevant orders of the Secretary of Labor.

The contractor will furnish all information and reports required by Executive Order 11246 of September 24, 1965, and by the rules, regulations, and orders of the Secretary of Labor, or pursuant thereto, and will permit access to his books, records, and accounts by the contracting agency and the Secretary of Labor for purposes of investigation to ascertain compliance with such rules, regulations, and orders.

In the event of the contractor’s non-compliance with the nondiscrimination clauses of this contract or with any of such rules, regulations, or orders, this contract may be canceled, terminated or suspended in whole or in part and the contractor may be declared ineligible for further Government contracts in accordance with procedures authorized in Executive Order 11246 of September 24, 1965, and such other sanctions may be imposed and remedies invoked as provided in Executive Order 11246 of September 24, 1965, or by rule, regulation, or order of the Secretary of Labor, or as otherwise provided by law.

The contractor will include the provisions of paragraphs (1) through (8) in every subcontract or purchase order unless exempted by rules, regulations, or orders of the Secretary of Labor issued pursuant to section 204 of Executive Order 11246 of September 24, 1965, so that such provisions will be binding upon each subcontractor or vendor. The contractor will take such action with respect to any subcontract or purchase order as may be directed by the Secretary of Labor as a means of enforcing such provisions including sanctions for noncompliance. Provided, however, that in the event the contractor becomes involved in, or is threatened with, litigation with a subcontractor or vendor as a result of such direction, the contractor may request the United States to enter into such litigation to protect the interests of the United States.

**CHANGE TO FEDERAL REQUIREMENTS**

Federal requirements that apply to the Recipient or the Award, the accompanying Underlying Agreement, and any Amendments thereto may change due to changes in federal law, regulation, other requirements, or guidance, or changes in the Recipient’s Underlying Agreement including any information incorporated by reference and made part of that Underlying Agreement; and Applicable changes to those federal requirements will apply to each Third Party Agreement and parties thereto at any tier.

**FLY AMERICA**

a) Definitions. As used in this clause—

1) “International air transportation” means transportation by air between a place in the United States and a place outside the United States or between two places both of which are outside the United States. 2) “United States” means the 50 States, the District of Columbia, and outlying areas. 3) “U.S.-flag air carrier” means an air carrier holding a certificate under 49 U.S.C. Chapter 411.

b) When Federal funds are used to fund travel, Section 5 of the International Air Transportation Fair Competitive Practices Act of 1974 (49 U.S.C. 40118) (Fly America Act) requires contractors, Agencys, and others use U.S.-flag air carriers for U.S. Government-financed international air transportation of personnel (and their personal effects) or property, to the extent that service by those carriers is available. It requires the Comptroller General of the United States, in the absence of satisfactory proof of the necessity for foreign-flag air transportation, to disallow expenditures from funds, appropriated or otherwise established for the account of the United States, for international air transportation secured aboard a foreign-flag air carrier if a U.S.-flag air carrier is available to provide such services.

c) If available, the Contractor, in performing work under this contract, shall use U.S.-flag carriers for international air transportation of personnel (and their personal effects) or property.

d) In the event that the Contractor selects a carrier other than a U.S.-flag air carrier for international air transportation, the Contractor shall include a statement on vouchers involving such transportation essentially as follows:

**Statement of Unavailability of U.S.-Flag Air Carriers**

International air transportation of persons (and their personal effects) or property by U.S.-flag air carrier was not available or it was necessary to use foreign-flag air carrier service for the following reasons. See FAR § 47.403. [State reasons]:

e) Contractor shall include the substance of this clause, including this paragraph (e), in each subcontract or purchase under this contract that may involve international air transportation.

**FEDERAL TAX LIABILITY AND RECENT FELONY CONVICTIONS**

1) The contractor certifies that it:

(a) Does not have any unpaid Federal tax liability that has been assessed, for which all judicial and administrative remedies have been exhausted or have lapsed, and that is not being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax liability; and

PROGRAM FRAUD AND FALSE OR FRAUDULENT STATEMENTS AND RELATED ACTS

If a current or prospective legal matter that may affect the Federal Government emerges, the Recipient must promptly notify the FTA Chief Counsel and FTA Regional Counsel for the Region in which the Recipient is located. The Recipient must include a similar notification requirement in its Third Party Agreements and must require each Third Party Participant to include an equivalent provision in its subagreements at every tier, for any agreement that is a “covered transaction” according to 2 C.F.R. §§ 180.220 and 1200.220.

(1) The types of legal matters that require notification include, but are not limited to, a major dispute, breach, default, litigation, or naming the Federal Government as a party to litigation or a legal disagreement in any forum for any reason.

(2) Matters that may affect the Federal Government include, but are not limited to, the Federal Government’s interests in the Award, the accompanying Underlying Agreement, and any Amendments thereto, or the Federal Government’s administration or enforcement of federal laws, regulations, and requirements.

The Recipient must promptly notify the U.S. DOT Inspector General in addition to the FTA Chief Counsel or Regional Counsel for the Region in which the Recipient is located, if the Recipient has knowledge of potential fraud, waste, or abuse occurring on a Project receiving assistance from FTA. The notification provision applies if a person has or may have submitted a false claim under the False Claims Act, 31 U.S.C. § 3729 et seq., or has or may have committed a criminal or civil violation of law pertaining to such matters as fraud, conflict of interest, bribery, gratuity, or similar misconduct. This responsibility occurs whether the Project is subject to this Agreement or another agreement between the Recipient and FTA, or an agreement involving a principal, officer, employee, agent, or Third Party Participant of the Recipient. It also applies to subcontractors at any tier. Knowledge, as used in this paragraph, includes, but is not limited to, knowledge of a criminal or civil investigation by a Federal, state, or local law enforcement or other investigative agency, a criminal indictment or civil complaint, or probable cause that could support a criminal indictment, or any other credible information in the possession of the Recipient.

SOLID WASTES (RECOVERED MATERIALS)

A Recipient that is a state agency or a political subdivision of a state and its contractors must comply with section 6002 of the Solid Waste Disposal Act, as amended by the Resource Conservation and Recovery Act. The requirements of Section 6002 include procuring only items designated in guidelines of the Environmental Protection Agency (EPA) at 40 CFR Part 247 that contain the highest percentage of recovered materials practicable, consistent with maintaining a satisfactory level of competition, where the purchase price of the item exceeds $10,000 or the value of the quantity acquired during the preceding fiscal year exceeded $10,000; procuring solid waste management services in a manner that maximizes energy and resource recovery; and establishing an affirmative procurement program for procurement of recovered materials identified in the EPA guidelines.

PROGRAM FRAUD AND FALSE OR FRAUDULENT STATEMENTS AND RELATED ACTS

The Contractor acknowledges that the provisions of the Program Fraud Civil Remedies Act of 1986, as amended, 31 U.S.C. § 3801 et seq. and U.S. DOT regulations, “Program Fraud Civil Remedies,” 49 C.F.R. part 31, apply to its actions pertaining to this Project. Upon execution of the underlying contract, the Contractor certifies or affirms that it has knowledge or awareness of potential fraud, waste, or abuse occurring on a Project receiving assistance from FTA. The notification provision applies if a person has or may have submitted a false claim under the False Claims Act, 31 U.S.C. § 3729 et seq., or has or may have committed a criminal or civil violation of law pertaining to such matters as fraud, conflict of interest, bribery, gratuity, or similar misconduct. This responsibility occurs whether the Project is subject to this Agreement or another agreement between the Recipient and FTA, or an agreement involving a principal, officer, employee, agent, or Third Party Participant of the Recipient. It also applies to subcontractors at any tier. Knowledge, as used in this paragraph, includes, but is not limited to, knowledge of a criminal or civil investigation by a Federal, state, or local law enforcement or other investigative agency, a criminal indictment or civil complaint, or probable cause that could support a criminal indictment, or any other credible information in the possession of the Recipient.

The Contractor also acknowledges that if it makes, or causes to be made, a false, fictitious, or fraudulent claim, statement, submission, or certification, the Federal Government reserves the right to impose the penalties of the Program Fraud Civil Remedies Act of 1986 on the Contractor to the extent the Federal Government deems appropriate.

The Contractor under a contract connected with a project that is financed in whole or in part with Federal assistance originally awarded by FTA under the authority of 49 U.S.C. chapter 53, the Government reserves the right to impose the penalties of 18 U.S.C. § 1001 and 49 U.S.C. § 5323(i) on the Contractor, to the extent the Federal Government deems appropriate.
The Contractor agrees to include the above two clauses in each subcontract financed in whole or in part with Federal assistance provided by FTA. It is further agreed that the clauses shall not be modified, except to identify the subcontractor who will be subject to the provisions.

**PROHIBITION ON CERTAIN TELECOMMUNICATIONS AND VIDEO SURVEILLANCE SERVICES OR EQUIPMENT.**

a. Recipients and subrecipients are prohibited from obligating or expending loan or grant funds to:

1. Procure or obtain;
2. Extend or renew a contract to procure or obtain; or
3. Enter into a contract (or extend or renew a contract) to procure or obtain equipment, services, or systems that uses covered telecommunications equipment or services as a substantial or essential component of any system, or as critical technology as part of any system. As described in Public Law 115-232, section 889, covered telecommunications equipment is telecommunications equipment produced by Huawei Technologies Company or ZTE Corporation (or any subsidiary or affiliate of such entities).
   i. For the purpose of public safety, security of government facilities, physical security surveillance of critical infrastructure, and other national security purposes, video surveillance and telecommunications equipment produced by Hytera Communications Corporation, Hangzhou Hikvision Digital Technology Company, or Dahua Technology Company (or any subsidiary or affiliate of such entities).
   ii. Telecommunications or video surveillance services provided by such entities or using such equipment.
   iii. Telecommunications or video surveillance equipment or services procured or provided by an entity that the Secretary of Defense, in consultation with the Director of the National Intelligence or the Director of the Federal Bureau of Investigation, reasonably believes to be an entity owned or controlled by, or otherwise connected to, the government of a covered foreign country.

b. In implementing the prohibition under Public Law 115-232, section 889, subsection (f), paragraph (1), heads of executive agencies administering loan, grant, or subsidy programs shall prioritize available funding and technical support to assist affected businesses, institutions and organizations as is reasonably necessary for those affected entities to transition from covered communications equipment and services, to procure replacement equipment and services, and to ensure that communications service to users and customers is sustained.

c. See Public Law 115-232, section 889 for additional information.

d. See also § 200.471.

**PROMPT PAYMENT**

(Does not apply to projects fully funded by the Tribal Transportation Program (TTP).)

The contractor is required to pay its subcontractors performing work related to this contract for satisfactory performance of that work no later than 30 days after the contractor’s receipt of payment for that work. In addition, the contractor is required to return any retainage payments to those subcontractors within 30 days after the subcontractor’s work related to this contract is satisfactorily completed.

The contractor must promptly notify the Agency, whenever a DBE subcontractor performing work related to this contract is terminated or fails to complete its work and must make good faith efforts to engage another DBE subcontractor to perform at least the same amount of work. The contractor may not terminate any DBE subcontractor and perform that work through its own forces or those of an affiliate without prior written consent of the Agency.

**SAFE OPERATION OF MOTOR VEHICLES**

**Seat Belt Use**

The Contractor is encouraged to adopt and promote on-the-job seat belt use policies and programs for its employees and other personnel that operate company-owned vehicles, company rented vehicles, or personally operated vehicles. The terms “company-owned” and “company-leased” refer to vehicles owned or leased either by the Contractor or Agency.

**Distracted Driving**

The Contractor agrees to adopt and enforce workplace safety policies to decrease crashes caused by distracted drivers, including policies to ban text messaging while using an electronic device supplied by an employer, and driving a vehicle the driver owns or rents, a vehicle Contractor owns, leases, or rents, or a privately-owned vehicle when on official business in connection with the work performed under this Contract.

**Simplified Acquisition Threshold**

Contracts for more than the simplified acquisition threshold, which is the inflation adjusted amount determined by the Civilian Agency Acquisition Council and the Defense Acquisition Regulations Council (Councils) as authorized by 41 U.S.C. § 1908, or otherwise set by law, must address administrative, contractual, or legal remedies in instances where contractors violate or breach contract terms, and provide for such sanctions and penalties as appropriate. (Note that the simplified acquisition threshold determines the procurement procedures that must be employed pursuant to 2 C.F.R. §§ 200.317–200.327.

The simplified acquisition threshold does not exempt a procurement from other eligibility or processes requirements that may apply. For example, Buy America’s eligibility and process requirements apply to any procurement in excess of $150,000. 49 U.S.C. § 5323(j)(13).

**Special Notification Requirements for States**

Applies to States –

a. To the extent required under federal law, the State, as the Recipient, agrees to provide the following information about federal assistance awarded for its State Program, Project, or related activities:

(1) The identification of FTA as the federal agency providing the federal assistance for a State Program or Project;
(2) The Catalog of Federal Domestic Assistance Number of the program from which the federal assistance for a State Program or Project is authorized; and
(3) The amount of federal assistance FTA has provided for a State Program or Project.

b. Documents - The State agrees to provide the information required under this provision in the following documents: (1) applications for federal assistance, (2) requests for proposals or solicitations, (3) forms, (4) notifications, (5) press releases, and (6) other publications.

**Severability**
The Contractor agrees that if any provision of this agreement or any amendment thereto is determined to be invalid, then the remaining provisions thereof that conform to federal laws, regulations, requirements, and guidance will continue in effect.

**TERMINATION**

**Termination for Convenience (General Provision)**
The Agency may terminate this contract, in whole or in part, at any time by written notice to the Contractor when it is in the Agency's best interest. The Contractor shall be paid its costs, including contract close-out costs, and profit on work performed up to the time of termination. The Contractor shall promptly submit its termination claim to Agency to be paid the Contractor. If the Contractor has any property in its possession belonging to Agency, the Contractor will account for the same, and dispose of it in the manner Agency directs.

**Termination for Default [Breach or Cause] (General Provision)**
If the Contractor does not deliver supplies in accordance with the contract delivery schedule, or if the contract is for services, the Contractor fails to perform in the manner called for in the contract, or if the Contractor fails to comply with any other provisions of the contract, the Agency may terminate this contract for default.

Termination shall be effected by serving a Notice of Termination on the Contractor setting forth the manner in which the Contractor is in default. The Contractor will be paid only the contract price for supplies delivered and accepted, or services performed in accordance with the manner of performance set forth in the contract. If it is later determined by the Agency that the Contractor had an excusable reason for not performing, such as a strike, fire, or flood, events which are not the fault of or are beyond the control of the Contractor, the Agency, after setting up a new delivery of performance schedule, may allow the Contractor to continue work, or treat the termination as a Termination for Convenience.

**Opportunity to Cure (General Provision)**
The Agency, in its sole discretion, may, in the case of a termination for breach or default, allow the Contractor [an appropriately short period of time] in which to cure the defect. In such case, the Notice of Termination will state the time period in which cure is permitted and other appropriate conditions

If Contractor fails to remedy to Agency's satisfaction the breach or default of any of the terms, covenants, or conditions of this Contract within [10 days] after receipt by Contractor of written notice from Agency setting forth the nature of said breach or default, Agency shall have the right to terminate the contract without any further obligation to Contractor. Any such termination for default shall not in any way operate to preclude Agency from also pursuing all available remedies against Contractor and its sureties for said breach or default.

**Waiver of Remedies for any Breach**
In the event that Agency elects to waive its remedies for any breach by Contractor of any covenant, term or condition of this contract, such waiver by Agency shall not limit Agency's remedies for any succeeding breach of that or of any other covenant, term, or condition of this contract.

**Termination for Convenience (Professional or Transit Service Contracts)**
The Agency, by written notice, may terminate this contract, in whole or in part, when it is in the Agency's interest. If this contract is terminated, the Agency shall be liable only for payment under the payment provisions of this contract for services rendered before the effective date of termination.

**Termination for Default [Supplies and Service]**
If the Contractor fails to deliver supplies or to perform the services within the time specified in this contract or any extension, or if the Contractor fails to comply with any other provisions of this contract, the Agency may terminate this contract for default. The Agency shall terminate by delivering to the Contractor a Notice of Termination specifying the nature of the default. The Contractor will only be paid the contract price for supplies delivered and accepted, or services performed in accordance with the manner or performance set forth in the contract. If, after termination for failure to fulfill contract obligations, it is determined that the Contractor was not in default, the rights and obligations of the parties shall be the same as if the termination had been issued for the convenience of the Agency.

**Termination for Default (Transportation Services)**
If the Contractor fails to pick up the commodities or to perform the services, including delivery services, within the time specified in this contract or any extension, or if the Contractor fails to comply with any other provisions of this contract, the Agency may terminate this contract for default. The Agency shall terminate by delivering to the Contractor a Notice of Termination specifying the nature of default. The Contractor will only be paid the contract price for services performed in accordance with the manner of performance set forth in this contract.

If this contract is terminated while the Contractor has possession of Agency goods, the Contractor shall, upon direction of the Agency, protect and preserve the goods until surrendered to the Agency or its agent. The Contractor and Agency shall agree on payment for the preservation and protection of goods. Failure to agree on an amount will be resolved under the Dispute clause.

If, after termination for failure to fulfill contract obligations, it is determined that the Contractor was not in default, the rights and obligations of the parties shall be the same as if the termination had been issued for the convenience of the Agency.

**Termination for Default (Construction)**
If the Contractor refuses or fails to prosecute the work or any separable part, with the diligence that will ensure its completion within the time specified in this contract or any extension or fails to complete the work within this time, or if the Contractor fails to comply with any other provision of this contract, Agency may terminate this contract for default. The Agency shall terminate by delivering to the Contractor a Notice of Termination specifying the nature of the default. In this event, the Agency may take over the work and compete it by contract or otherwise, and may take possession of and use any materials, appliances, and plant on the work site necessary for completing the work. The Contractor and its sureties shall be liable for any damage to the Agency resulting from the Contractor's refusal or failure to complete the work within specified time, whether or not the Contractor's right to proceed with the work is terminated. This liability includes any increased costs incurred by the Agency in completing the work.

The Contractor's right to proceed shall not be terminated nor shall the Contractor be charged with damages under this clause if: 1. The delay in completing the work arises from unforeseeable causes beyond the control and without the fault or negligence of the Contractor. Examples of such causes include: acts of God, acts of Agency, acts of another contractor in the performance of a contract with Agency, epidemics, quarantine restrictions, strikes, freight embargoes; and 2. The Contractor, within [10] days from the beginning of any delay, notifies Agency in writing of the causes of delay. If, in the judgment of Agency, the delay is excusable, the time for completing the work shall be extended. The judgment of Agency shall be final and conclusive for the parties, but subject to appeal under the Disputes clause(s) of this contract. 3. If, after termination of the Contractor's right to proceed, it is determined that the Contractor was not in default, or that the delay was excusable, the rights and obligations of the parties will be the same as if the termination had been issued for the convenience of Agency.

**Termination for Convenience or Default (Architect and Engineering)**
The Agency may terminate this contract in whole or in part, for the Agency's convenience or because of the failure of the Contractor to fulfill the contract obligations. The Agency shall terminate by delivering to the Contractor a Notice of Termination specifying the nature, extent, and effective date of the termination. Upon receipt of the notice, the Contractor shall (1) immediately discontinue all services affected (unless the notice directs otherwise), and (2) deliver to the Agency's Contracting Officer all
data, drawings, specifications, reports, estimates, summaries, and other information and materials accumulated in performing this contract, whether completed or in process. Agency has a royalty-free, nonexclusive, and irrevocable license to reproduce, publish or otherwise use, all such data, drawings, specifications, reports, estimates, summaries, and other information and materials.

If the termination is for the convenience of the Agency, the Agency’s Contracting Officer shall make an equitable adjustment in the contract price but shall allow no anticipated profit on unperformed services. If the termination is for failure of the Contractor to fulfill the contract obligations, the Agency may complete the work by contact or otherwise and the Contractor shall be liable for any additional cost incurred by the Agency. If, after termination for failure to fulfill contract obligations, it is determined that the Contractor was not in default, the rights and obligations of the parties shall be the same as if the termination had been issued for the convenience of Agency.

**Termination for Convenience or Default (Cost-Type Contracts)**
The Agency may terminate this contract, or any portion of it, by serving a Notice of Termination on the Contractor. The notice shall state whether the termination is for convenience of Agency or for the default of the Contractor. If the termination is for default, the notice shall state the manner in which the Contractor has failed to perform the requirements of the contract. The Contractor shall account for any property in its possession paid for from funds received from the Agency, or property supplied to the Contractor by the Agency. If the termination is for default, the Agency may fix the fee, if the contract provides for a fee, to be paid the Contractor in proportion to the value, if any, of work performed up to the time of termination. The Contractor shall promptly submit its termination claim to the Agency and the parties shall negotiate the termination settlement to be paid the Contractor.

If the termination is for the convenience of Agency, the Contractor shall be paid its contract close-out costs, and a fee, if the contract provided for payment of a fee, in proportion to the work performed up to the time of termination.

If, after serving a Notice of Termination for Default, the Agency determines that the Contractor has an excusable reason for not performing, the Agency, after setting up a new work schedule, may allow the Contractor to continue work, or treat the termination as a Termination for Convenience.

**TRAFFICKING IN PERSONS**
The contractor agrees that it and its employees that participate in the Recipient’s Award, may not:

(a) Engage in severe forms of trafficking in persons during the period of time that the Recipient’s Award is in effect;

(b) Procure a commercial sex act during the period of time that the Recipient’s Award is in effect; or

(c) Use forced labor in the performance of the Recipient’s Award or subagreements thereunder.

**VIOLATION AND BREACH OF CONTRACT**

**Disputes:**
Disputes arising in the performance of this Contract that are not resolved by agreement of the parties shall be decided in writing by the authorized representative of the agency. This decision shall be final and conclusive unless within [10] days from the date of receipt of its copy, the Contractor mails or otherwise furnishes a written appeal to the agencies authorized representative. In connection with any such appeal, the Contractor shall be afforded an opportunity to be heard and to offer evidence in support of its position. The decision of the agencies authorized representative shall be binding upon the Contractor and the Contractor shall abide by the decision.

**Performance during Dispute:**
Unless otherwise directed by the agencies authorized representative, contractor shall continue performance under this contract while matters in dispute are being resolved.

**Claims for Damages:**
Should either party to the contract suffer injury or damage to person or property because of any act or omission of the party or of any of his employees, agents or others for whose acts he is legally liable, a claim for damages therefore shall be made in writing to such other party within a reasonable time after the first observance of such injury or damage.

**Remedies:**
Unless this contract provides otherwise, all claims, counterclaims, disputes and other matters in question between the agencies authorized representative and contractor arising out of or relating to this agreement or its breach will be decided by arbitration if the parties mutually agree, or in a court of competent jurisdiction within the State in which the Agency is located.

**Rights and Remedies:**
Duties and obligations imposed by the contract documents and the rights and remedies available thereunder shall be in addition to and not a limitation of any duties, obligations, rights and remedies otherwise imposed or available by law. No action or failure to act by the Agency or contractor shall constitute a waiver of any right or duty afforded any of them under the contract, nor shall any such action or failure to act constitute an approval of or acquiescence in any breach thereunder, except as may be specifically agreed in writing.
CERTIFICATION AND RESTRICTIONS ON LOBBYING

I, _____________________________ hereby certify

(Name and title of official)

On behalf of ____________________________ that:

(Name of Bidder/Company Name)

- No federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, and officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any federal contract, the making of any federal grant, the making of any federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any federal contract, grant, loan, or cooperative agreement.

- If any funds other than federal appropriated funds have been paid or will be paid to any person influencing or attempting to influence an officer or employee of any agency, a Member of Congress, and officer or employee of Congress, or an employee of a Member of Congress in connection with the federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form – LLL, “Disclosure Form to Report Lobbying,” in accordance with its instructions.

- The undersigned shall require that the language of this certification be included in the award documents for all sub-awards at all tiers (including sub-contracts, sub-grants and contracts under grants, loans, and cooperative agreements) and that all sub-recipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by 31 U.S.C. § 1352. Any person who fails to file the required certification shall be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each such failure.

Name of Bidder/Company Name: ____________________________________________

Type or print name: ________________________________________________________

Signature of authorized representative: ___________________________ Date ________ / _______ / ________
Recipients, contractors, and subcontractors that enter into covered transactions are required to verify that the entity (as well as its principals and affiliates) with which they propose to contract or subcontract is not excluded or disqualified. This is done by: (a) checking the SAM exclusions; (b) collecting a certification from that person (found below); or (c) adding a clause or condition to the contract or subcontract.

**Instructions for Certification:** Signing below indicates the prospective lower tier participant is providing the signed certification.

(1) It will comply and facilitate compliance with U.S. DOT regulations, “Nonprocurement Suspension and Debarment,” 2 CFR part 1200, which adopts and supplements the U.S. Office of Management and Budget (U.S. OMB) “Guidelines to Agencies on Governmentwide Debarment and Suspension (Nonprocurement),” 2 CFR part 180,

(2) To the best of its knowledge and belief, that its Principals and Subrecipients at the first tier:

a. Are eligible to participate in covered transactions of any Federal department or agency and are not presently:
   1. Debarred,
   2. Suspended,
   3. Proposed for debarment,
   4. Declared ineligible,
   5. Voluntarily excluded, or
   6. Disqualified

b. Its management has not within a three-year period preceding its latest application or proposal been convicted of or had a civil judgment rendered against any of them for:
   1. 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,
   2. Violation of any Federal or State antitrust statute, or,
   3. Commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making any false statement, or receiving stolen property,

c. It is not presently indicted for, or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses listed in the preceding subsection 2.b of this Certification,

d. It has not had one or more public transactions (Federal, State, or local) terminated for cause or default within a three-year period preceding this Certification,

e. If, at a later time, it receives any information that contradicts the statements of subsections 2.a – 2.d above, it will promptly provide that information to FTA,

f. It will treat each lower tier contract or lower tier subcontract under its Project as a covered lower tier contract for purposes of 2 CFR part 1200 and 2 CFR part 180 if it:
   1. Equals or exceeds $25,000,
   2. Is for audit services, or,
   3. Requires the consent of a Federal official, and

g. It will require that each covered lower tier contractor and subcontractor:
   1. Comply and facilitate compliance with the Federal requirements of 2 CFR parts 180 and 1200, and
   2. Assure that each lower tier participant in its Project is not presently declared by any Federal department or agency to be:
      a. Debarred from participation in its federally funded Project,
      b. Suspended from participation in its federally funded Project,
      c. Proposed for debarment from participation in its federally funded Project,
      d. Declared ineligible to participate in its federally funded Project,
      e. Voluntarily excluded from participation in its federally funded Project, or
      f. Disqualified from participation in its federally funded Project, and

(3) It will provide a written explanation as indicated on a page attached in FTA’s TrAMS platform or the Signature Page if it or any of its principals, including any of its first tier Subrecipients or its Third-Party Participants at a lower tier, is unable to certify compliance with the preceding statements in this Certification Group.

**Certification**

Contractor:______________________________________________________________

Signature of Authorized Official:___________________________________________Date:__/__/____

Name and Title of Contractor’s Authorized Official:______________________________

BUY AMERICA CERTIFICATION
STEEL OR MANUFACTURED PRODUCTS

If steel, iron, or manufactured products (as defined in 49 CFR 661.3 and 661.5) are being procured, the appropriate certificate as set forth below shall be completed and submitted by each bidder or offeror in accordance with the requirement contained in 49 CFR 661.13(b).

Certificate of Compliance with Buy America Requirements

The bidder or offeror hereby certifies that it will comply with the requirements of 49 U.S.C. 5323(j)(1), and the applicable regulations in 49 CFR part 661.

Company

Name ___________________________ Title ___________________________

Signature ___________________________ Date ___________________________

Certificate of Non-Compliance with Buy America Steel or Manufactured Products Requirements

The bidder or offeror hereby certifies that it cannot comply with the requirements of 49 U.S.C. 5323(j), but it may qualify for an exception to the requirement pursuant to 49 U.S.C. 5323(j)(2), as amended, and the applicable regulations in 49 C.F.R. 661.7.

Company

Name ___________________________ Title ___________________________

Signature ___________________________ Date ___________________________