



**Mass Transportation Authority**

**REQUEST FOR PROPOSAL**

**Data Center Virtualization**

**RFP# 2018-20**

**Issue date:**

**Tuesday, November 13, 2018**

**Proposal due date and time:**

**Monday, December 10, 2018 3:00 P.M. (EDT)**

**Contact Information:**

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**SECTION 1. INTRODUCTION**

The Mass Transportation Authority (MTA) operates a Public Transportation System in Genesee and Surrounding Counties and is located at 1401 South Dort Hwy, Flint, Michigan.

**SECTION 2. SCOPE OF WORK**

**2.1 OVERVIEW**

The MTA seeks a solution for modernizing its server and storage infrastructure from an industry-leading manufacturer currently positioned in the Gartner “Magic Quadrant” for their respective products. The current server infrastructure is more than 5 years old and does not meet current needs. The vendor will design, install, configure, provide hardware/software maintenance, and training on a complete server virtualization solution to MTA, including servers, storage area network, backup solution, related hardware, software, professional services, training and project management. This RFP provides vendors with the relevant operational, performance, application, and architectural requirements of the system. The scope of this RFP will cover replacing the server infrastructure at the MTA, including servers, storage area network, backup targets, related hardware, software, professional services, training, and documentation. This system includes Windows Server, VMware vSphere, Barracuda backup, and Active Directory to manage our enterprise environment running on Dell rack-mounted servers and Dell server attached storage. The new system will integrate with the existing MTA network infrastructure as described in the sections below. (See Attachment D – Scope of Work).

The vendor is expected to plan and conduct the installation of the project with minimal impact to daily operations and staff. Staff will work closely with the vendor to create a working project plan that will achieve these goals. Work will be performed during normal business hours Monday-Friday with potential occasional work on Saturday or in the evenings at the discretion of the MTA ITS. It is the intention of the MTA to begin installation of the server infrastructure by 2<sup>nd</sup> Quarter Spring 2019.

MTA makes no representations, warranties or agreements with respect to this RFP. In addition, MTA makes no commitment to purchase any products or services or take any other action, including but not limited to, awarding a contract to the individual/firm submitting the most qualified responsive proposal. MTA reserves the right to amend or cancel this RFP at any time for any or no reason. All amendments to this RFP shall be in writing.

## **2.2 PRE-PROPOSAL MEETING**

A non-mandatory Pre-Proposal meeting will be conducted on Tuesday, November 20, 2018 at 11:00 a.m. at the MTA Administration Building located at 1401 S. Dort Highway, Flint, MI 48503. Proposers are strongly encouraged to attend the Pre-proposal meeting.

## **2.3 GENERAL REQUIREMENTS**

MTA is seeking proposals from qualified manufacturer authorized vendors to provide a data center virtualization solution including servers, storage area network, backup solution, related hardware, software, professional services, installation, and training.

## **FUNCTIONAL REQUIREMENTS**

Proposed solution should have the capability and scalability to:

- Handle the failure of one physical server by moving all affected VMs to another physical server and all affected storage locations without interruption of existing applications and services.
- Accomplish the moving of all affected VMs to another physical server and all affected storage locations without interruption of existing applications and services at the end of the 72 month project period.
- Possess sufficient reserve resources (processor, storage, and I/O) to handle current system demand, anticipated growth, and failover functions.

## **2.4 SUPPLY**

Vendor must provide a complete list and description of the hardware, software and services included in the RFP response.

## **2.5 INSTALLATION**

Proposed solutions will include an installation plan which addresses delivery from the manufacturer(s), delivery on-site to MTA, installation into MTA's data center, and any integration with existing network with zero business-hour downtime. Clear detail about which portions of the installation will be carried out by Bidder personnel and which by MTA's Information Systems personnel will be included.

## **2.6 TRAINING**

The successful bidder will include training for three MTA personnel sufficient for them to take over system management from Bidder at acceptance.

## **2.7 WARRANTY, SUPPORT**

The successful proposal will include a support plan for a minimum of 60 months with the option for extension. This will detail MTA's Information Systems staff access to telephone, online support, and technician/parts dispatch provided by the Bidder and each equipment manufacturer.

Bidders will clearly indicate the level, time window, duration and support detail for hardware, software, and system management/configuration tools.

Vendor will supply a technical roadmap for the proposed solutions detailing how the proposed solution fits into the vendor's current product lifecycle.

Provide a list of policies on firmware updates for the proposed solution including frequency of change releases, customer notification, and application procedure.

**2.8 WARRANTY, MANUFACTURER**

Manufacturer shall fully warrant all materials and equipment furnished under the terms of this bid against poor and inferior quality. Materials and workmanship hereinafter specified and furnished shall be fully guaranteed by bidder for Three (3) years from time of deployment against any defects. While under warranty, Manufacturer and/or vendor shall repair or replace inoperable materials or equipment in a timely manner to minimize the disruption of MTA operations. The bidder shall correct defects that may occur as the result of faulty workmanship during the warranty period, after installation and acceptance by MTA, at no additional cost to MTA. The bidder shall promptly, at no cost to MTA, correct or re-perform (including modifications or additions as necessary) any nonconforming or defective work within the warranty period after completion of the project of which the work is a part. The period of the bidder's warranty for any items herein are not exclusive remedies, and MTA has recourse to any warranties of additional scope given by the proposer to MTA Flint and all other remedies available at law or in equity. The proposer's warranties shall commence with acceptance of/or payment for the work in full.

A copy or description of the manufacturer's warranty shall accompany each proposal for the material and equipment proposed, detailing the scope and length of the warranty. Where the successful bidder is also the manufacturer of the materials or equipment provided under this bid, the Manufacturer's warranty requirement will supersede the successful Proposer warranty requirement of this proposal.

**2.9 DOCUMENTATION**

The successful proposal will include a graphic design with clear distinctions between Proposer supplied elements and existing MTA elements. This design will indicate capacities, speeds, protocols, and configurations among/between Bidder supplied elements and existing MTA elements.

Accompanying documentation will demonstrate the performance of the recommended solution under normal operating conditions and fail-over conditions using existing system performance as a baseline.

At acceptance, the successful Bidder will deliver to MTA's Information Systems a graphic and narrative "as-built" document in electronic format.

**2.10 TIMELINE**

This project will be managed by MTA's Information Systems staff with the assistance of the successful Proposer. A proposed timeline will also be included which shall be finalized/negotiated with MTA by the successful Proposal. Preference will be given to early installation and completion timeframes.

**2.11 ROLES AND RESPONSIBILITIES**

Clear delegation of responsibilities must be established with expectations and critical path agreed among all participants. The Proposer will propose an outline of those roles and responsibilities which will be negotiated between MTA and the successful Proposer.

**2.12 PRODUCT QUALITY**

MTA is committed to the principal of zero defects and will insist on that same commitment on the part of the Proposer. The Proposer shall make adequate provisions to ensure that the parts, services and workmanship meets or exceeds the specifications of this RFP.

**2.13 CUSTOMER SERVICE**

The successful Proposer shall respond to MTA's inquiries within one business day of receipt of contact.

**2.14 DELIVERY**

MTA would prefer delivery and installation within 90 days from receipt of order.

**2.15 MINIMUM REQUIREMENTS FOR PRICING**

Proposals shall create and include pricing for the virtualization of a data center inclusive of installation costs for all requested services as indicated in the Scope of Work in Section 2 and Attachment D. The Proposer shall establish the total price for the services listed in Section 2.3. **The Price Proposal shall be signed by a duly authorized representative of the Proposer's company. The Price Proposal will be in a separate sealed envelope labeled "Price Proposal for RFP #2018-18."**

Proposals and all pricing offers shall remain valid pending award, for 120 days. Upon mutual agreement, proposal prices can be extended beyond the firm price offer date. Submitted responses should be self-explanatory and should not require any clarification or additional information. Once submitted, MTA will not return responses to vendor. A response that has been submitted to MTA may be withdrawn by email or online prior to the deadline for submission of responses.

**COST AND PRICING**

- Submit unit price on quantity specified – extend and show total. In case of errors in extension, unit prices shall govern.
- Purchases will be made on an as needed basis throughout the period of the contract by way of purchase orders.
- Any catalog, brand name, and/or manufacturer's reference used is descriptive not restrictive, and is intended only to indicate type and quality desired. Proposals on brands of like nature and quality will be considered unless otherwise specified. If offering an alternate product, proposal must show manufacturer, brand, model, etc. of item being offered. Complete descriptive information of each alternate product must be included with the proposal. If the vendor takes no exception to the specifications, vendor shall be required to furnish brand names, models, etc. as specified.

**SECTION 3. PROPOSAL SUBMISSION**

**3.1 SUBMISSION OF PROPOSALS**

Sealed proposals must be received by the MTA 1401 South Dort Highway, Flint, Michigan on or before 3:00 P.M. (EDT), Monday, December 10, 2018. Proposals submitted by facsimile or email will not be accepted. Sealed envelopes containing the proposal response must be labeled with the proposal name, proposal number, proposal due date and your firm's name. Submit one (1) original and four (4) additional copies of the proposal, and one Adobe PDF or Word electronic version of your proposal on CD, DVD or USB Flash Drive. Any electronic altering of this RFP shall be grounds for rejection of your submission. All proposals become the property of the MTA. The MTA will not photocopy your proposal documents for the purpose of complying with this provision requiring duplicate copies. Failure to provide the required number of complete duplicate copies may result in rejection of your proposal. Proposals received in response to this RFP shall be considered received at the time actually received by the addressee or designated agent. **Late proposals shall not be considered.**

MTA reserves the right to waive any informality in the Request For Proposal; to reject any or all proposals; and to make any award which it considers to be in the best interest of the MTA. The MTA reserves the right to use whatever reasonable and prudent evaluation techniques it deems appropriate.

No proposal may be withdrawn for a period of ninety (90) days after submission. Any questions or request for clarification regarding this Request for Proposal must be presented by Wednesday, November 28, 2018 and addressed to:

Orreta McKnight  
Purchasing Agent  
E-mail: [omcknight@mtaflint.org](mailto:omcknight@mtaflint.org)

MTA will consider no telephone inquiries regarding the RFP and will consider no in-person inquiries. In the event that a vendor attempts to contact any official, employee or representative of MTA in any manner contrary to the above requirements, said vendor may be disqualified for further consideration.

#### SECTION 4. PROPOSAL CONTENTS AND FORMAT

To enable consistent proposal evaluation, the following proposal contents/format has been developed. Failure to submit the requested documents could result in determining the submission as Non-Responsive and rejected.

Proposals shall be submitted in the following format:

- **Business Organization** – State the full name and address of your organization, years in business and the branch office or other subordinate element that would perform or assist in performing the work, if applicable.
- **Signed and completed Price Proposal Form** – Proposer shall create a Price Proposal Form for the requested services and place in a sealed a separate sealed envelope. The Pricing Proposal shall include all information necessary for MTA to evaluate the Proposer's proposed pricing, including any necessary supporting data.
- **Technical Specifications** - Technical specifications shall include Proposer's proposed solution per the Scope of Work in section 2 and Attachment D. Responses to Attachment E shall be included with the technical specifications.
- **Prior Experience** - A description of Proposer's Technical Capabilities, Professional Qualifications and Experience directly related to the Scope of Work of this project.
- **Example Projects and References** - Provide at least five (5) example projects which best illustrate the Proposer's qualifications for the Project.
  - i. Include the name and contact information for a person associated with each of the owners or the organizations which contracted for the services who is very familiar with the project and the Proposer's (or Proposers') performance. Alert the reference contact person that MTA staff may be contacting them.

- ii. Indicate the start and completion dates of the referenced project(s).
- **Proposer’s Anticipated Schedule** – Indicate the time frame in which you would be prepared to begin servicing the MTA. The Proposer’s shall include an estimate of the time required to complete the project.
- **Professional Personnel** – State in precise terms the services you propose to provide and identify the personnel who will be assigned to service this contract and any licenses and/or credentials associated with them.
- **Additional information pertinent to your firm’s ability to perform this contract**
- **Signed Buy America Certificate**
- **Signed Certificate Regarding Debarment and Suspension**
- **Signed Certificate Regarding Lobbying**
- **Signed Non-Collusion Affidavit**
- **Signed Certificate of Compliance**

## SECTION 5. SELECTION CRITERIA

### 5.1 CRITERIA

This proposal is a “Best Value” procurement and all proposals received shall be subject to an evaluation by a selection committee for the purpose of selecting the most qualified proposal for the services required. MTA will make the award to the responsible Proposer whose proposal is most advantageous to MTA. Accordingly, MTA may not necessarily make an award to the Proposer with the highest technical ranking nor award to the Proposer with the lowest cost proposal if doing so would not be in the overall best interest of MTA.

The overall criteria listed below are listed in relative order of importance. As proposals are considered by MTA to be more equal in their technical merit, the evaluated cost or price becomes more important so that when technical proposals are evaluated as essentially equal, cost or price may be the deciding factor. The following factors will be considered in making the selection.

- **Technical Capabilities and Solution Functionality:** This criterion refers to the Proposer’s technical capabilities, the proposed solution functionality, and the ability to best meet the performance specifications outlined in the Scope of Work.
- **Price Proposal:** This criterion refers to the overall cost of the proposed Virtualization.
- **Work Schedule:** This criterion refers to the time frame in which the Proposer would be prepared to begin work for MTA and the proposed completion of the project. The Selection Committee will review the proposed project schedule of completion. Project schedules that fulfill the requirements with evidence that the schedule can be accomplished may receive higher points for this criterion.
- **Key Personnel and Company Experience:** This criterion is a combination of Proposer’s prior experience with similar projects and the qualifications of the person(s) assigned to perform the tasks. Qualifications of professional personnel will be measured by experience on projects similar to that described in this RFP. The Selection Committee will consider the reputation and

past performance of the Proposer as presented in the Proposal or as is determined by review of information available from references and/or other resources.

- **Project Understanding and Approach:** This criterion is a combination of the Proposer's resources and stability, the Proposer's approach to the problem, the quality of the Proposal submission and ability of the provider to meet the terms of the RFP.
- **Quality of Organization/Management to Accomplish the Services:** This criterion refers to the key components such as organizational reporting structure, quality control, quality assurance, and technical support.

## **5.2 BEST AND FINAL OFFER**

After evaluations, Proposers in the competitive range **may** be given the opportunity to modify their proposal by submitting a Best and Final Offer (BAFO). The BAFO shall fully comply with the RFP, including all Addenda. Final determination of acceptability of any proposal will be made by the Selection Committee on the information contained therein. The request for BAFOs shall include:

- Notice that this is the opportunity for submission of a BAFO;
- A common date and time for submission of written BAFOs, allowing a reasonable opportunity for preparation of the written BAFOs;
- Notice that if any modification to a BAFO is submitted, it must be received by the date and time specified for the receipt of BAFOs and is subject to the late submissions, modifications, and withdrawals of proposals provisions of the Request for Proposal;
- Notice that if Proposers do not submit a BAFO or a notice of withdrawal and another BAFO, their immediate previous Offer will be construed as their BAFO.

Any modifications to the initial proposals made by a Proposer in its BAFO shall be identified in its BAFO. After receipt of BAFOs, MTA reserves the right to (a) reopen negotiations; or (b) accept improvements to, enhancements of or other revisions to any proposal or alternate proposal at any time if it deems such to be in its best interest. BAFOs will be evaluated by the MTA according to the same requirements and criteria as the initial proposal selection process. MTA will make appropriate adjustments to the initial scores for any sub-criteria and criteria which have been affected by any proposal modifications made by the BAFOs.

MTA will then choose that proposal which it finds to be most advantageous to the MTA based upon the evaluation criteria. The results of the evaluations and the selection of a proposal for any award will be documented.

The MTA reserves the right to make an award to a Proposer whose proposal it judges to be most advantageous to the MTA based upon the evaluation criteria, without conducting any written or oral discussions with any Proposers or solicitation of any BAFOs. No Proposer shall have any rights against MTA arising at any stage of the solicitation from any negotiations that take place, or from the fact that MTA does not select a Proposer for negotiations.

## **5.3 PRESENTATION AND INTERVIEWS**

Proposers whose evaluation scores are in the competitive range for this project **may** be invited to present a demonstration to and be interviewed by the Selection Committee. In the event of inclement weather, MTA may reschedule presentations and interviews. Proposers shall follow the guidelines set forth below when preparing for their interviews.

1. The Proposer's presentation shall last a maximum of one hour, and the Selection Committee will use additional time for the interview.
2. The Proposer shall provide an interview agenda and a list of names of the participants to the MTA staff for distribution to the Selection Committee members at least five (5) working days prior to the presentation.
3. The Firm's presentation shall cover the following areas within the time limit:
  - a. Understanding of the Scope of Work and Project Objectives:

Based on the Scope of Work and the information presented in the RFP, the oral presentation shall include a thorough review of the Proposer's perception of the project. Potential modifications and additional enhancements, which the Proposer deems appropriate and necessary for the success of the project, may also be included. The Proposer shall elucidate the organizations support capabilities and the methods developed by the Proposer to coordinate and control projects to ensure delivery and coordination with others working on the project.
  - b. Method of Approach to Project:

Based on the Scope of Work and expanding upon the approach to the project provided in the RFP submission, the presentation shall include a demonstration of a draft solution that was developed by the Proposer.
  - c. Previous Experience:

A summary of at least five (5) recent projects that members of the Proposer's team have completed shall be presented. Examples shall demonstrate the Proposer's involvement in projects as similar as possible to the Scope of Work set forth in this RFP. For each project discussed, the Proposer shall review its objectives, the Proposer's approach, the schedule, current status, etc.
4. The Proposer shall provide an electronic copy of the presentation to MTA at the conclusion of the interview.

## **SECTION 6. GENERAL PROPOSAL CONDITIONS**

### **6.1 NOTICE OF FORMAL SOLICITATION**

Notwithstanding any other provision of this RFP, all Proposers are hereby specifically advised that this RFP is a form solicitation for proposals only and is not intended and it not to be construed as an offer to enter into an agreement or engage into any formal competitive bidding or negotiation pursuant to any statute, ordinance, rule or regulation.

### **6.2 METHOD OF RESPONSE**

Responses to this RFP shall be made according to the scope of work and instructions contained herein. Failure to adhere to instructions may be cause for rejection of any proposal.

### **6.3 ACCEPTANCE OF TERMS AND CONDITIONS**

Proposers understand and agree that submission of a proposal will constitute acknowledgment and acceptance of, and a willingness to comply with, all the terms, conditions, and criteria contained in this RFP, except as otherwise specified in the proposal. Any and all parts of the

submitted proposals may become part of any subsequent Agreement between the selected Contractor and the MTA.

**6.4 FALSE, INCOMPLETE OR UNRESPONSIVE STATEMENTS**

False, incomplete, or unresponsive statements in connection with a proposal may be sufficient cause for rejection of the proposal. The evaluation and determination of the fulfillment of the above requirement will be MTA's responsibility and its judgment shall be final.

**6.5 CLEAR AND CONCISE SUBMISSION**

Proposals shall provide a straightforward, concise delineation of the proposer's capability to satisfy the requirements of the RFP. Each proposal shall be submitted in the requested format and provide all required information, including but not limited to information, if requested, relating to capability, experience, financial resources, management structure and key personnel, and other information as specified in Section 2, Attachment D and outlined in Section 4 and otherwise required in this RFP. **Each proposal shall be signed in ink by a duly authorized officer of the company.**

**6.6 EQUAL EMPLOYMENT OPPORTUNITY**

"Contractor will be required to comply with all applicable Equal Employment Opportunity laws and regulations."

**6.7 DISADVANTAGED BUSINESS ENTERPRISES**

MTA hereby notifies all Proposers that it will affirmatively insure in regard to any contract entered into pursuant to this Request For Proposal, Disadvantaged Business Enterprises will be afforded full opportunity to submit proposals in response to this Request For Proposal and will not be discriminated against on the grounds of race, color, national origin or sex in consideration for an award.

**6.8 INELIGIBLE PROPOSERS**

"All Proposers will be required to certify that they are not on the Comptroller General's List of Ineligible Contractors." The successful Proposer shall be required to comply with the MTA's Affirmative Action Plan. The MTA reserves the right to reject any proposal if the contractor fails to comply.

**SECTION 7. INFORMATION FOR THE CONTRACTOR**

**7.1 CONTRACT DOCUMENTS**

The "Request For Proposal", the "Proposers Submission", the "Contract", the "General Terms and Conditions", and the "Scope of Work", are the contract documents that will form the Contract. Proposers should examine each of the contract documents.

**7.2 DATE AND PLACE FOR DELIVERING PROPOSALS**

Pursuant to the "Request For Proposal" sealed proposals will be received by the MTA, 1401 South Dort Highway, Flint, Michigan 48503 on or before 3:00 PM (EDT), Monday, December 10, 2018. The awarding of the Contract, if awarded, will be made by MTA as soon thereafter as practicable.

**7.3 PRINTED FORM FOR PROPOSALS**

All proposals must include a Price Proposal Form in accordance to Section 2.15, and must be signed and acknowledged by the party, in accordance with the directions in this RFP.

**7.4 OMISSIONS AND DISCREPANCIES**

Should a Proposer find discrepancies in, or omissions from the Specifications of Contract documents, or should the Proposer be in doubt as to their meaning, the Proposer should at once notify the Purchasing Agent who may send a written instruction to all Proposers.

**7.5 ACCEPTANCE OR REJECTION OF PROPOSALS**

The MTA reserves the right to reject any or all proposals without limiting the generality of the foregoing. Any proposal which is incomplete, obscure or irregular may be rejected.

**7.6 ACCEPTANCE OF PROPOSALS AND THE EFFECT**

Within ninety (90) days after the opening of the proposals, MTA will act upon them. The acceptance of a proposal will be a notice in writing signed by a duly authorized representative of the MTA, and no other act of the MTA shall constitute the acceptance of a proposal. The acceptance of a proposal shall bind the successful Proposer to receive the Contract. The rights and obligations provided for in the Contract shall become effective and binding upon the parties only with its formal execution by the General Manager.

**7.7 TIME FOR EXECUTING CONTRACT AND DAMAGES FOR FAILURE TO EXECUTE**

Any Proposer whose submission shall be accepted will be required to appear at the office of MTA in person, or, if a firm or corporation, a duly authorized representative shall so appear, and to execute the Contract within seven (7) days after notice that the Contract has been awarded. Failure to do so shall constitute a breach of the agreement effected by the acceptance of the proposal.

**7.8 PROPRIETARY INFORMATION**

Any reservations on the use of data contained in the proposal shall be clearly stated in writing. MTA will attempt to comply with the Proposer's designation of proprietary/confidential information. However, MTA may not be able to withhold a record (data, document, etc.) or deny access to a record requested by an individual (the public) when an obligation is imposed upon MTA under state and/or federal law. MTA's determination to withhold or disclose a record will be based upon the particular circumstances involving the record in question and whether the record may be exempted from disclosure under state and/or federal law. Records which the Proposer considers trade secrets and privileged or confidential must be identified by the Proposer as indicated above.

**7.9 PRIME CONTRACTOR RESPONSIBILITIES**

The selected Contractor will be required to assume responsibility for all requested deliverables as indicated in Section 2.0 regardless of who produces them. Further, MTA will consider the selected company to be the sole point of contact with regard to contractual matters, including payment of any and all charges resulting from the contract. Contractor and/or subcontractor shall give a copy of their State of Michigan Contractor License and permits from governmental agencies as required upon notification of award.

The prime Contractor agrees to pay each subcontractor under this prime contract for satisfactory performance of its contract no later than 30 days from the receipt of each payment the prime contractor receives from MTA. Any delay or postponement of payment from the above referenced time frame may occur only for good cause following written approval of the MTA. The clause applies to both DBE and non-DBE subcontracts.

**Retainage:**

The prime Contractor agrees to return retainage payments to each subcontractor within 30 days after the subcontractors work is satisfactory completed. Any delay or postponement of payment from the above referenced time frame may occur only for good cause following written approval of the MTA. This clause applies to both DBE and non-DBE subcontracts.

## MASS TRANSPORTATION AUTHORITY

### CONTRACT AGREEMENT

This Agreement made this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_, between the Mass Transportation Authority, herein called the "Authority" and/or "Buyer" and \_\_\_\_\_ herein called the "Contractor" and/or "Seller".

In consideration of the mutual promises and agreements hereinafter set forth, the parties agree to undertake, carry out and perform this Contract in accordance with the terms and conditions as set forth herein, and as follows:

- The Contract Documents:  
The Contract Documents consist of this Agreement, the "Information for Proposers", the "Invitation to Bid", the "Proposer Proposal", the "General Terms and Conditions", and the "Scope of Work". These form the Contract and all are fully a part of the Contract as if attached to this Agreement or reported herein. If there is a conflict between the contract and any of the referenced documents then the original RFP/IFB with addendums shall take precedence. Reference number:\_\_\_\_\_.
- The Performance:  
The Contractor shall furnish pursuant to the terms and conditions of this Contract labor and material listed in the attached specifications.
- Time of Commencement and Completion:  
The Contractor shall perform under this Contract from the date hereof until \_\_\_\_\_, or a later date if extended by mutual consent of the parties.
- Independent Contractor:  
The Contractor is employed by the Authority as an independent Contractor and has and retains the right to exercise full control and supervision of the services including compliance with Social Security, withholding and all other regulations governing such matters. The contractor agrees to indemnify, defend and save harmless the Authority, its agents, officers and members of the Board of the Mass Transportation Authority against any and all loss, damage or expense which the Authority may suffer by reason of liability imposed by law upon the Authority or Contractor for damages because of bodily injury, including death at any time resulting there from sustained by any person or persons, or on account of damage to property are due to the fault of the Contractor, its sub-contractors or their employees, agents or any other person under the direct or indirect Contract of the Contractor.
- Contractor's Financial Responsibilities:  
Any costs due to the fault of the Contractor, sub-contractor, or anyone directly employed by them either for making good of defective work, disposal of material wrongly supplied, making good of damage to property, or excess costs from material or labor, or otherwise shall be borne by this Contractor, and the Authority may withhold money due the Contractor to cover any such costs.

6. Assignment:  
The Contractor shall not assign or transfer any interest in this Agreement or delegate its performance of duties except on prior written approval of the Authority, which approval shall not be unreasonably withheld. Consent to assign, transfer or delegate any interest or performance of this Contract shall not be construed to relieve the Contractor of any responsibility for the fulfillment of this Agreement.

7. Payments:  
The Authority shall pay the Contractor for the performance of work in current funds per price stated in the "Proposers Proposal" upon completion and acceptance by the Mass Transportation Authority. The Contractor shall invoice each item against an Authority Purchase Order and all invoices for the calendar month shall be payable by the fifteenth day of the following month.

No payment will be made to the Contractor for material not delivered upon the Authority premises, unless otherwise agreed to in writing by the Authority.

Neither payment made under the Contract or used by the Authority of the labor and material provided shall be evidence of performance of the Contract, either in whole or in part, nor shall such payment, final or otherwise, be construed to relieve the Contractor from its obligation to make good any defects arising or discovered in its performance within the period of its guarantee, nor shall the Authority be deemed to waive any specific obligation the contractor may assume as to its performance.

8. Testing:  
At any time if it is determined by an independent testing firm analysis that equipment delivered and installed is substandard, the Authority reserves the right to discontinue shipments and shall not be obligated to pay for such substandard shipment already delivered. The Contractor agrees to pay all costs incurred by the Authority to provide test on equipment delivered and installed found not meeting the specification.

9. Termination for Convenience:  
The Authority may terminate this contract, in whole or in part, at any time by written notice to the Contractor when it is in the Authority'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 the Authority to be paid the Contractor. If the Contractor has any property in its possession belonging to the Authority, the Contractor will account for the same, and dispose of it in the manner the Authority directs.

10. Termination for Default:  
The Authority reserves the right to cancel all or any part of the work covered by this Agreement and/or Purchase Order, if Seller does not make deliveries as specified in the schedules or so fails to make progress as to endanger performance of the work and does not correct such failure after receipt of written notice from the Authority specifying such failure, or if Seller breaches any of the terms hereof, including the warrants of Seller. Should cancellation be made for cause, the Authority reserves the right to purchase elsewhere and if additional costs are incurred, such costs are to be at the Seller's expense. The Seller shall be liable for any other damages suffered by the Authority as a result of any breach by the Seller in the performance of this Agreement.

IN WITNESS WHEREOF, the parties hereto have caused this Agreement to be executed by their respective duly authorized representatives, as of the day first above written.

VENDOR

MASS TRANSPORTATION AUTHORITY

\_\_\_\_\_  
Title

\_\_\_\_\_  
General Manager, Edgar H. Benning

WITNESS:

WITNESS:

\_\_\_\_\_

\_\_\_\_\_

## GENERAL TERMS & CONDITIONS

1. **CONTRACT:**

The Contract resulting from the acceptance of this order is to be construed according to the laws of the State of Michigan and is non-assignable by Contractor except upon prior written approval of the Buyer.

2. **WARRANTY:**

Contractor expressly warrants that all materials and work covered by an order will conform to the specifications, drawings, samples or other description furnished or specified by the Buyer, and will be merchantable, of good materials and workmanship and free from defect and fit for the purposes intended. Contractor expressly warrants that all the material covered by an order which is product of Contractor, or is in accordance with Contractor's specifications, will be for and sufficient for purposes intended. All labor, materials, and systems shall function at levels meeting or exceeding operational design specifications, and shall be fully warranted for one year.

3. **POTENTIALLY HARMFUL INGREDIENTS:**

Contractor agrees to promptly furnish to Buyer, 1) Upon written request a list of all ingredients in materials purchased there under, and as necessary, the amount of one or more ingredients; and 2) Thereafter, information concerning any changes in such ingredients.

4. **TERMINATION FOR DEFAULT:**

MTA reserves the right to cancel all or any part of the work covered by the agreement and/or purchase order, 1) if Contractor does not make deliveries as specified in the schedules; or 2) so fails to make progress as to endanger performance of the work and does not correct such failure after receipt of written notice from Buyer specifying such failure; or 3) 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 4) if Contractor breaches any of the terms hereof, including the warrants of Contractor. Should cancellation be made for cause, MTA reserves the right to purchase elsewhere and if additional costs are incurred, such costs are to be at Contractor's expense. Contractor shall be liable for any other damages suffered by the Buyer as result of any breach by the Contractor in the performance of an Agreement.

MTA, 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 MTA'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 MTA setting forth the nature of said breach or default, MTA 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 MTA from also pursuing all available remedies against Contractor and its sureties for said breach or default.

## 5. TERMINATION FOR CONVENIENCE:

MTA reserves the right to terminate an agreement, in whole or in part, at any time by written notice to Contractor when it is in Buyer's best interest. Contractor shall be paid its costs, including contract closeout costs, and profit on work performed up to the time of termination. Contractor shall promptly submit its termination claim to Buyer to be paid the Contractor. If Contractor has any property in its possession belonging to the Buyer, Contractor shall account for the same, and dispose of it in the manner Buyer directs.

### **Termination for Convenience or Default (Architect and Engineering)**

MTA may terminate this contract in whole or in part, for the MTA's convenience or because of the failure of the Contractor to fulfill the contract obligations. The MTA 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 MTA'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. MTA 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 MTA, the MTA'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 MTA may complete the work by contract or otherwise and the Contractor shall be liable for any additional cost incurred by the MTA.

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 MTA.

## 6. INSPECTION:

All material shall be received subject to Buyer's inspection and rejection. Defective material or materials not in accordance with Buyer's specifications will be held for Contractor's instructions and at Contractor's expense. Payment for material on an order prior to inspection shall not constitute an acceptance thereof, nor will acceptance remove Contractor's responsibility for latent defects.

## 7. CHANGE IN SPECIFICATIONS:

Buyer reserves the right at any time, to make changes in drawings and specifications as to any material and/or work covered by an order and/or schedules. Any difference in price or performance time resulting from such changes shall be equitably adjusted and/or schedule shall be modified, in writing, accordingly.

8. **REMEDIES**

The remedies herein reserved shall be cumulative and additional to any other or further remedies provided in law or equity. No waiver or breach of any provisions of an order shall constitute a waiver of any other breach or such provision.

9. **INSURANCE:**

If the accomplishment of an order requires the performance of services or labor on the premises of Buyer, Contractor agrees to indemnify and protect Buyer against all liabilities, claims or demands for injuries or damages to any person or property growing out of the performance of this Contract by Contractor, its servants, employees, agents or representatives. Contractor agrees to carry and to furnish certificates from its insurance carriers showing that it carries valid insurance in the following minimum limits:

- A. Workmen's Compensation-statutory limits for State of Michigan or for the state in which the work is to be performed.
- B. General Public Liability \$2,000,000. and Property Damage \$2,000,000.
- C. Automobile Public Liability \$2,000,000. and Property Damage \$2,000,000.

Said certificates must set forth the amount of coverage, number of policy, and date of expiration. If Contractor is a self-insurer, the certificate of the appropriate state agency of the state must be furnished by such agency directly to Buyer. The purchase of such insurance coverage or the furnishing of the aforesaid certificates shall not be a satisfaction of Contractor's liability thereunder or in any way modify Contractor's indemnification of Buyer.

10. **ADVERTISING:**

Contractor shall not, without first obtaining the written consent of Buyer, in any manner, advertise or publish the fact the Contractor has contracted to furnish Buyer the material herein ordered. Failure to observe this provision permits Buyer to terminate the Contract resulting from the acceptance of an order without any obligation to accept deliveries after the date of termination or make further payments except from completed articles delivered prior to termination.

11. **STATE APPROVAL:**

If the articles covered by an order require approval for the sale and/or use thereof by State statute or regulations, Contractor certifies it has or will obtain an approval for their sale and/or use from the appropriate agency of the State. Contractor will submit to Buyer a copy of each such approval for sale and/or use.

12. **GOVERNMENT REGULATIONS:**

In the performance of work under an order, Contractor agrees to comply with all applicable Federal, State, or Local laws, rules, regulations or ordinances.

13. **EXEMPTION FROM TAXES:**

The Mass Transportation Authority, is tax exempt under Public Act No. 551963, Section 8. The vendor certifies that all such taxes are not included in the prices shown herein.

14. **INTEREST OF MEMBERS OF STATE LEGISLATURE:**

No member of the State Legislature shall be admitted to any share or any part of a Contract or any benefit arising there from.

15. **AUDIT & INSPECTION OF RECORDS BY MICHIGAN DEPARTMENT OF TRANSPORTATION:**

The Contractor shall permit authorized representatives of the State or Federal government to inspect and audit all data and records of the Contractor relating to its performance under a Contract until expiration of three (3) years after final payment under this Contract.

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, sub-agreements, leases, subcontracts, arrangements, other third party agreements of any type, and supporting materials related to those records.

Retention Period. The Contractor agrees to comply with the record retention requirements in accordance with 2 C.F.R. § 200.333. 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.

Access to Records. The Contractor agrees to provide sufficient access to FTA and the State of Michigan and its contractors to inspect and audit records and information related to performance of this contract as reasonably may be required.

Access to the Sites of Performance. The Contractor agrees to permit FTA and the State of Michigan and its contractors access to the sites of performance under this contract as reasonably may be required.

16. **ADDITIONAL REQUIREMENTS OF MICHIGAN DEPARTMENT OF TRANSPORTATION:**

The Contractor agrees to comply with the State of Michigan provisions for “Prohibition of Discrimination in State Contracts”, as set forth in Appendix A, attached hereto and made a part hereof. The Contractor further covenants that it will comply with the Civil Rights Act of 1964, being P.L. 88-352, 78 Stat. 241, as amended, being Title 42 U.S.C. Sections 1971, 1975a-1975d, and 2000a-2000h-6 and will require similar covenants on the part of any subcontractor employed in the performance of this Contract.

17. **EQUAL EMPLOYMENT OPPORTUNITY:**

In connection with Project implementation, the Contractor may not discriminate against any employee or applicant for employment because of race, color, age, creed, sex, disability, or national origin. The Contractor shall take affirmative action to ensure that applicants are employed, and that during employment, employees are treated without regard to their race, color, disability, religion, sex, age, 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 shall insert this same clause in all subcontracts.

18. **DISADVANTAGED BUSINESS ENTERPRISES**

A. This Contract is subject to the requirements of Title 49, Code of Federal Regulations, Part 26, “*Participation by Disadvantaged Business Enterprises in Department of Transportation Financial Assistance Programs*”. The national goal for participation of Disadvantaged Business Enterprises (DBE) is 10%. The agency’s overall goal for DBE participation is 10%.

**Each contract MTA signs with a Contractor, (and each subcontract the Prime Contractor signs with a subcontractor) shall include the following assurances:**

B. The Contractor, sub recipient, or subcontractor shall not discriminate on the basis of race, color, national origin, or sex in the performance of a contract. The Contractor shall carry out applicable requirements of 49 C.F.R. Part 26 in the award and administration of all DOT-assisted contracts. Failure by the Contractor to carry out these requirements is a material breach of this Contract, which may include, but is not limited to:

- Withholding monthly progress payments
- Assessing sanctions
- Liquidated damages; and/or

- Disqualifying the Contractor from future bidding as non-responsible. 49 C.F.R. § 26.13(b).
  - Or such other remedy as MTA deems appropriate.
- C. Each Contract the MTA signs with a Contractor (and each subcontract the Prime Contractor signs with a subcontractor) shall include a clause requiring the Prime Contractor to pay subcontractors for satisfactory performance of their contracts no later than 30 days from receipt of each payment MTA makes to the Prime Contractor.
- D. PROMPT PAYMENT MECHANISM: The Prime Contractor agrees to pay each subcontractor under this Prime Contract for satisfactory performance of its Contract no later than 30 days from the receipt of each payment the Prime Contractor receives from MTA. Any delay or postponement of payment from the above referenced timeframe may occur only for good cause following written approval of the MTA. This applies to both DBE and non-DBE subcontracts.
- E. RETAINAGE: The Prime Contractor agrees to return retainage payments to each subcontractor within 30 days after the subcontractor's work is satisfactorily completed. Any delay or postponement of payment from the above referenced timeframe may occur only for good cause following written approval of the MTA. This clause applies to both DBE and non-DBE subcontracts.
- F. MONITORING AND ENFORCEMENT: The Prime Contractor shall maintain records and documents of payments to DBEs for three (3) years following the performance of the Contract. These records shall be available for inspection upon request by any authorized representative of the MTA or USDOT.

19. **CIVIL RIGHTS AND EQUAL OPPORTUNITY:**

MTA is an Equal Opportunity Employer. As such, the MTA agrees to comply with all applicable Federal civil rights laws and implementing regulations. Apart from inconsistent requirements imposed by Federal laws or regulations, the MTA 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. The Contractor shall comply and assure the compliance by subcontractors under this Contract with all requirements of Title VI of the Civil Rights Act of 1964, 42 U.S.C. 2000d; Department of Transportation regulations, "*Nondiscrimination in Federally Assisted Programs of the Department of Transportation - Effectuation of Title VI of the Civil Rights Act*", 49 C.F.R. Part 21.

Under this Agreement, 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.

2. **Race, Color, Religion, National Origin, Sex.** In accordance with Title VII of the Civil Rights Act, as amended, 42 U.S.C. § 2000e *et seq.*, and Federal transit laws at 49 U.S.C. § 5332, the Contractor agrees to comply with all applicable equal employment opportunity requirements of U.S. Department of Labor (U.S. DOL) regulations, "Office of Federal Contract Compliance Programs, Equal Employment Opportunity, Department of Labor," 41 C.F.R. chapter 60, and Executive Order No. 11246, "Equal Employment Opportunity in Federal Employment," September 24, 1965, 42 U.S.C. § 2000e note, as amended by any later Executive Order that amends or supersedes it, referenced in 42 U.S.C. § 2000e note. The Contractor agrees to take affirmative action to ensure that applicants are employed, and that employees are treated during employment, without regard to their race, color, religion, national origin, or sex (including sexual orientation and gender identity). Such action shall include, but not be limited to, the following: employment, promotion, demotion or transfer, recruitment or recruitment advertising, layoff or termination; rates of pay or other forms of compensation; and selection for training, including apprenticeship. In addition, the Contractor agrees to comply with any implementing requirements FTA may issue.

3. **Age.** In accordance with the Age Discrimination in Employment Act, 29 U.S.C. §§ 621-634, U.S. Equal Employment Opportunity Commission (U.S. EEOC) regulations, "Age Discrimination in Employment Act," 29 C.F.R. part 1625, the Age Discrimination Act of 1975, as amended, 42 U.S.C. § 6101 *et seq.*, U.S. Health and Human Services regulations, "Nondiscrimination on the Basis of Age in Programs or Activities Receiving Federal Financial Assistance," 45 C.F.R. part 90, and Federal transit law at 49 U.S.C. § 5332, the Contractor agrees to refrain from discrimination against present and prospective employees for reason of age. In addition, the Contractor agrees to comply with any implementing requirements FTA may issue.

4. **Disabilities.** In accordance with section 504 of the Rehabilitation Act of 1973, as amended, 29 U.S.C. § 794, the Americans with Disabilities Act of 1990, as amended, 42 U.S.C. § 12101 *et seq.*, the Architectural Barriers Act of 1968, as amended, 42 U.S.C. § 4151 *et seq.*, and Federal transit law at 49 U.S.C. § 5332, the Contractor agrees that it will not discriminate against individuals on the basis of disability. In addition, the Contractor agrees to comply with any implementing requirements FTA may issue.

## 20. **ACCESS REQUIREMENTS FOR INDIVIDUALS WITH DISABILITIES:**

The CONTRACTOR agrees to comply with 49 U.S.C. § 5301(d), which states the Federal policy that elderly individuals and individuals with disabilities have the same right as other individuals to use public transportation services and facilities, and that special efforts shall be made in planning and designing those services and facilities to implement transportation accessibility rights for elderly individuals and individuals with disabilities.

The CONTRACTOR also agrees to comply with all applicable provisions of section 04 of the Rehabilitation Act of 1973, as amended, 29 U.S.C. § 794, which prohibits discrimination on the basis of disability in the administration of programs or activities receiving Federal financial assistance; 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 individuals with disabilities; 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 individuals with disabilities; and with other

laws and amendments thereto pertaining to access for individuals with disabilities that may be applicable. In addition, the CONTRACTOR agrees to comply with applicable implementing Federal regulations, and any later amendments thereto, and agrees to follow applicable Federal implementing directives, except to the extent FTA approves otherwise in writing. Among those regulations and directives are:

(1) U.S. DOT regulations, "*Transportation Services for Individuals with Disabilities (ADA)*", 49 C.F.R. Part 37;

(2) U.S. DOT regulations, "*Nondiscrimination on the Basis of Handicap in Programs and Activities Receiving or Benefiting from Federal Financial Assistance*", 49 C.F.R. Part 27;

(3) U.S. DOT regulations, "*Americans With Disabilities (ADA) Accessibility Specifications for Transportation Vehicles*", 49 C.F.R. Part 38;

(4) Department of Justice (DOJ) regulations, "*Nondiscrimination on the Basis of Disability in State and Local Government Services*", 28 C.F.R. Part 35;

(5) DOJ regulations, "*Nondiscrimination on the Basis of Disability by Public Accommodations and in Commercial Facilities*", 28 C.F.R. Part 36;

(6) General Services Administration regulations, "*Accommodations for the Physically Handicapped*", 41 C.F.R. Subpart 101-19;

(7) Equal Employment Opportunity Commission, "*Regulations to Implement the Equal Employment Provisions of the Americans with Disabilities Act*", 29 C.F.R. Part 1630;

(8) Federal Communications Commission regulations, "*Telecommunications Relay Services and Related Customer Premises Equipment for the Hearing and Speech Disabled*", 47 C.F.R. Part 64, Subpart F; and

(9) U.S. ATBCB regulations, "Electronic and Information Technology Accessibility Standards," 36 C.F.R. Part 1194;

(10) FTA regulations, "Transportation for Elderly and Handicapped Persons," 49 C.F.R. Part 609; and

(11) Federal civil rights and nondiscrimination directives implementing the foregoing Federal laws and regulations, except to the extent the Federal Government determines otherwise in writing.

## 21. **DAVIS-BACON AND COPELAND ANTI-KICKBACK ACTS:**

(1) **Minimum wages** - (i) All laborers and mechanics employed or working upon the site of the work (or under the United States Housing Act of 1937 or under the Housing Act of 1949 in the construction or development of the project), will be paid unconditionally and not less often than once a week, and without subsequent deduction or rebate on any account (except such payroll deductions as are permitted by regulations issued by the Secretary of Labor under the Copeland Act 29 C.F.R. Part 3, the full amount of wages and bona fide fringe benefits (or cash equivalents thereof) due at time of payment computed at rates not less than those contained in the wage determination of the Secretary of Labor

which is attached hereto and made a part hereof, regardless of any contractual relationship which may be alleged to exist between the Contractor and such laborers and mechanics.

Contributions made or costs reasonably anticipated for bona fide fringe benefits under section 1(b)(2) of the Davis-Bacon Act on behalf of laborers or mechanics are considered wages paid to such laborers or mechanics, subject to the provisions of paragraph (1)(iv) of this section; also, regular contributions made or costs incurred for more than a weekly period (but not less often than quarterly) under plans, funds, or programs which cover the particular weekly period, are deemed to be constructively made or incurred during such weekly period. Such laborers and mechanics shall be paid the appropriate wage rate and fringe benefits on the wage determination for the classification of work actually performed, without regard to skill, except as provided in 29 C.F.R. Part 5.5(a)(4). Laborers or mechanics performing work in more than one classification may be compensated at the rate specified for each classification for the time actually worked therein: Provided, That the employer's payroll records accurately set forth the time spent in each classification in which work is performed. The wage determination (including any additional classifications and wage rates conformed under paragraph (1)(ii) of this section) and the Davis- Bacon poster (WH-1321) shall be posted at all times by the Contractor and its subcontractors at the site of the work in a prominent and accessible place where it can be easily seen by the workers.

(ii)(A) The Contracting officer shall require that any class of laborers or mechanics, including helpers, which is not listed in the wage determination and which is to be employed under the Contract shall be classified in conformance with the wage determination. The Contracting officer shall approve an additional classification and wage rate and fringe benefits therefore only when the following criteria have been met:

- (1) Except with respect to helpers as defined as 29 C.F.R. 5.2(n)(4), the work to be performed by the classification requested is not performed by a classification in the wage determination; and
- (2) The classification is utilized in the area by the construction industry; and
- (3) The proposed wage rate, including any bona fide fringe benefits, bears a reasonable relationship to the wage rates contained in the wage determination; and
- (4) With respect to helpers as defined in 29 C.F.R. 5.2(n)(4), such a classification prevails in the area in which the work is performed.

(ii)(B) If the Contractor and the laborers and mechanics to be employed in the classification (if known), or their representatives, and the contracting officer agree on the classification and wage rate (including the amount designated for fringe benefits where appropriate), a report of the action taken shall be sent by the contracting officer to the Administrator of the Wage and Hour Division, Employment Standards Administration, U.S. Department of Labor, Washington, DC 20210. The Administrator, or an authorized representative, will approve, modify, or disapprove every additional classification action within 30 days of receipt and so advise the contracting officer or will notify the contracting officer within the 30-day period that additional time is necessary.

(ii)(C) In the event the Contractor, the laborers, or mechanics to be employed in the classification or their representatives, and the contracting officer do not agree on the proposed classification and wage rate (including the amount designated for fringe benefits, where appropriate), the contracting officer shall refer the questions, including the views of all interested parties and the recommendation of the contracting officer, to the Administrator for determination. The Administrator, or an authorized representative, will issue a determination within 30 days of receipt and so advise the Contracting officer or will notify the Contracting officer within the 30-day period that additional time is necessary.

(ii)(D) The wage rate (including fringe benefits where appropriate) determined pursuant to paragraphs (A)(1)(ii), (B), or (C) of this section, shall be paid to all workers performing work in the classification under contract from the first day on which work is performed in the classification.

(iii) Whenever the minimum wage rate prescribed in the contract for a class of laborers or mechanics includes a fringe benefit that is not expressed as an hourly rate, the Contractor shall either pay the benefit as stated in the wage determination or shall pay another bona fide fringe benefit or an hourly cash equivalent thereof.

(iv) If the Contractor does not make payments to a trustee or other third person, the Contractor may consider as part of the wages of any laborer or mechanic the amount of any costs reasonably anticipated in providing bona fide fringe benefits under a plan or program, Provided, That the Secretary of Labor has found, upon the written request of the Contractor, that the applicable standards of the Davis-Bacon Act have been met. The Secretary of Labor may require the Contractor to set aside in a separate account assets for the meeting of obligations under the plan or program.

(v)(A) The Contracting officer shall require that any class of laborers or mechanics which is not listed in the wage determination and which is to be employed under the contract shall be classified in conformance with the wage determination. The contracting officer shall approve an additional classification and wage rate and fringe benefits therefore only when the following criteria have been met:

- (1) The work to be performed by the classification requested is not performed by a classification in the wage determination; and
- (2) The classification is utilized in the area by the construction industry; and
- (3) The proposed wage rate, including any bona fide fringe benefits, bears a reasonable relationship to the wage rates contained in the wage determination.

(v)(B) If the contractor and the laborers and mechanics to be employed in the classification (if known), or their representatives, and the contracting officer agree on the classification and wage rate (including the amount designated for fringe benefits where appropriate), a report of the action taken shall be sent by the contracting officer to the Administrator of the Wage and Hour Division, Employment Standards Administration, Washington, DC 20210. The Administrator, or an authorized representative, will approve, modify, or disapprove every additional classification action within 30 days of receipt and so advise the Contracting officer or will notify the contracting officer within the 30-day period that additional time is necessary.

(v)(C) In the event the Contractor, the laborers or mechanics to be employed in the classification or their representatives, and the contracting officer do not agree on the proposed classification and wage rate (including the amount designated for fringe benefits, where appropriate), the Contracting officer shall refer the questions, including the views of all interested parties and the recommendation of the Contracting officer, to the Administrator for determination. The Administrator, or an authorized representative, will issue a determination with 30 days of receipt and so advise the contracting officer or will notify the Contracting officer within the 30-day period that additional time is necessary.

(v)(D) The wage rate (including fringe benefits where appropriate) determined pursuant to paragraphs (a)(1)(v)(B) or (C) of this section, shall be paid to all workers performing work in the classification under this Contract from the first day on which work is performed in the classification.

(2) **Withholding** - The MTA shall upon its own action or upon written request of an authorized representative of the Department of Labor withhold or cause to be withheld from the Contractor under this Contract or any other Federal Contract with the same Prime Contractor or any other Federally-Assisted Contract subject to Davis-Bacon prevailing wage requirements, which is held by the same Prime Contractor, so much of the accrued payments or advances as may be considered necessary to pay laborers and mechanics, including apprentices, trainees, and helpers, employed by the Contractor or any subcontractor the full amount of wages required by the Contract. In the event of failure to pay any laborer or mechanic, including any apprentice, trainee, or helper, employed or working on the site of the work (or under the United States Housing Act of 1937 or under the Housing Act of 1949 in the construction or development of the project), all or part of the wages required by the Contract, the MTA may, after written notice to the contractor, sponsor, applicant, or owner, take such action as may be necessary to cause the suspension of any further payment, advance, or guarantee of funds until such violations have ceased.

(3) **Payrolls and basic records** - (i) Payrolls and basic records relating thereto shall be maintained by the contractor during the course of the work and preserved for a period of three years thereafter for all laborers and mechanics working at the site of the work (or under the United States Housing Act of 1937, or under the Housing Act of 1949, in the construction or development of the project). Such records shall contain the name, address, and social security number of each such worker, his or her correct classification, hourly rates of wages paid (including rates of contributions or costs anticipated for bona fide fringe benefits or cash equivalents thereof of the types described in section 1(b)(2)(B) of the Davis-Bacon Act), daily and weekly number of hours worked, deductions made and actual wages paid. Whenever the Secretary of Labor has found under 29 CFR 5.5(a)(1)(iv) that the wages of any laborer or mechanic include the amount of any costs reasonably anticipated in providing benefits under a plan or program described in section 1(b)(2)(B) of the Davis-Bacon Act, the contractor shall maintain records which show that the commitment to provide such benefits is enforceable, that the plan or program is financially responsible, and that the plan or program has been communicated in writing to the laborers or mechanics affected, and records which show the costs anticipated or the actual cost incurred in providing such benefits. Contractors employing apprentices or trainees under approved programs shall maintain written evidence of the registration of apprenticeship programs and certification of trainee programs, the registration of the apprentices and trainees, and the ratios and wage rates prescribed in the applicable programs.

(3)(ii)(A) Each week any contract work is performed, the Contractor shall submit a weekly copy of all payrolls to the MTA for transmission to the Federal Transit Administration. The payrolls submitted shall set out accurately and completely all of the information required to be maintained under section 5.5(a)(3)(i) of Regulations, 29 C.F.R. Part 5. This information may be submitted in any form desired. Optional Form WH-347 is available for this purpose and may be purchased from the Superintendent of Documents (Federal Stock Number 029-005-00014-1), U.S. Government Printing Office, Washington, DC 20402. The Prime Contractor is responsible for the submission of copies of payrolls by all subcontractors.

(3)(ii)(B) Each payroll submitted shall be accompanied by a "Statement of Compliance", signed by the contractor or subcontractor or his or her agent who pays or supervises the payment of the persons employed under the Contract and shall certify the following:

(1) That the payroll for the payroll period contains the information required to be maintained under section 5.5(a)(3)(i) of Regulations, 29 C.F.R. Part 5 and that such information is correct and complete;

(2) That each laborer or mechanic (including each helper, apprentice, and trainee) employed on the Contract during the payroll period has been paid the full weekly wages earned, without rebate, either directly or indirectly, and that no deductions have been made either directly or indirectly from the full wages earned, other than permissible deductions as set forth in Regulations, 29 C.F.R. Part 3;

(3) That each laborer or mechanic has been paid not less than the applicable wage rates and fringe benefits or cash equivalents for the classification of work performed, as specified in the applicable wage determination incorporated into the Contract.

(3)(ii)(C) The weekly submission of a properly executed certification set forth on the reverse side of Optional Form WH-347 shall satisfy the requirement for submission of the "Statement of Compliance" required by paragraph (a)(3)(ii)(B) of this section.

(3)(ii)(D) The falsification of any of the above certifications may subject the Contractor or subcontractor to civil or criminal prosecution under section 1001 of title 18 and section 231 of title 31 of the United States Code.

(3)(iii) The Contractor or subcontractor shall make the records required under paragraph (a)(3)(i) of this section available for inspection, copying, or transcription by authorized representatives of the Federal Transit Administration or the Department of Labor, and shall permit such representatives to interview employees during working hours on the job. If the contractor or subcontractor fails to submit the required records or to make them available, the Federal agency may, after written notice to the Contractor, sponsor, applicant, or owner, take such action as may be necessary to cause the suspension of any further payment, advance, or guarantee of funds. Furthermore, failure to submit the required records upon request or to make such records available may be grounds for debarment action pursuant to 29 C.F.R. 5.12.

(4) Apprentices and trainees - (i) Apprentices - Apprentices will be permitted to work at less than the predetermined rate for the work they performed when they are employed pursuant to and individually registered in a bona fide apprenticeship program registered with the U.S. Department of Labor, Employment and Training Administration, Bureau of

Apprenticeship and Training, or with a State Apprenticeship Agency recognized by the Bureau, or if a person is employed in his or her first 90 days of probationary employment as an apprentice in such an apprenticeship program, who is not individually registered in the program, but who has been certified by the Bureau of Apprenticeship and Training or a State Apprenticeship Agency (where appropriate) to be eligible for probationary employment as an apprentice.

The allowable ratio of apprentices to journeymen on the job site in any craft classification shall not be greater than the ratio permitted to the contractor as to the entire work force under the registered program. Any worker listed on a payroll at an apprentice wage rate, who is not registered or otherwise employed as stated above, shall be paid not less than the applicable wage rate on the wage determination for the classification of work actually performed. In addition, any apprentice performing work on the job site in excess of the ratio permitted under the registered program shall be paid not less than the applicable wage rate on the wage determination for the work actually performed. Where a Contractor is performing construction on a project in a locality other than that in which its program is registered, the ratios and wage rates (expressed in percentages of the journeyman's hourly rate) specified in the Contractor's or subcontractor's registered program shall be observed. Every apprentice must be paid at not less than the rate specified in the registered program for the apprentice's level of progress, expressed as a percentage of the journeymen hourly rate specified in the applicable wage determination. Apprentices shall be paid fringe benefits in accordance with the provisions of the apprenticeship program. If the apprenticeship program does not specify fringe benefits, apprentices must be paid the full amount of fringe benefits listed on the wage determination for the applicable classification. If the Administrator of the Wage and Hour Division of the U.S. Department of Labor determines that a different practice prevails for the applicable apprentice classification, fringes shall be paid in accordance with that determination. In the event the Bureau of Apprenticeship and Training, or a State Apprenticeship Agency recognized by the Bureau, withdraws approval of an apprenticeship program, the contractor will no longer be permitted to utilize apprentices at less than the applicable predetermined rate for the work performed until an acceptable program is approved.

(4)(ii) Trainees - Except as provided in 29 C.F.R. 5.16, trainees will not be permitted to work at less than the predetermined rate for the work performed unless they are employed pursuant to and individually registered in a program which has received prior approval, evidenced by formal certification by the U.S. Department of Labor, Employment and Training Administration. The ratio of trainees to journeymen on the job site shall not be greater than permitted under the plan approved by the Employment and Training Administration. Every trainee must be paid at not less than the rate specified in the approved program for the trainee's level of progress, expressed as a percentage of the journeyman hourly rate specified in the applicable wage determination. Trainees shall be paid fringe benefits in accordance with the provisions of the trainee program. If the trainee program does not mention fringe benefits, trainees shall be paid the full amount of fringe benefits listed on the wage determination unless the Administrator of the Wage and Hour Division determines that there is an apprenticeship program associated with the corresponding journeyman wage rate on the wage determination which provides for less than full fringe benefits for apprentices. Any employee listed on the payroll at a trainee rate who is not registered and participating in a training plan approved by the Employment and Training Administration shall be paid not less than the applicable wage rate on the wage determination for the classification of work actually performed. In addition, any trainee

performing work on the job site in excess of the ratio permitted under the registered program shall be paid not less than the applicable wage rate on the wage determination for the work actually performed. In the event the Employment and Training Administration withdraws approval of a training program, the Contractor will no longer be permitted to utilize trainees at less than the applicable predetermined rate for the work performed until an acceptable program is approved.

(4)(iii) Equal Employment Opportunity - The utilization of apprentices, trainees, and journeymen under this part shall be in conformity with the equal employment opportunity requirements of Executive Order 11246, as amended, and 29 C.F.R. Part 30.

(5) Compliance with Copeland Act requirements - The Contractor shall comply with the requirements of 29 C.F.R. Part 3, which are incorporated by reference in this Contract.

(6) Subcontracts - The Contractor or subcontractor shall insert in any subcontracts the clauses contained in 29 C.F.R. 5.5(a)(1) through (10) and such other clauses as the Federal Transit Administration may by appropriate instructions require, and also a clause requiring the subcontractors to include these clauses in any lower tier subcontracts. The Prime Contractor shall be responsible for the compliance by any subcontractor or lower tier subcontractor with all the contract clauses in 29 C.F.R. 5.5.

(7) Contract termination: Debarment - A breach of the Contract clauses in 29 C.F.R. 5.5 may be grounds for termination of the Contract, and for debarment as a Contractor and a subcontractor as provided in 29 C.F.R. 5.12.

(8) Compliance with Davis-Bacon and Related Act requirements - All rulings and interpretations of the Davis-Bacon and Related Acts contained in 29 C.F.R. Parts 1, 3, and 5 are herein incorporated by reference in this Contract.

(9) Disputes concerning labor standards - Disputes arising out of the labor standards provisions of this Contract shall not be subject to the general disputes clause of this Contract. Such disputes shall be resolved in accordance with the procedures of the Department of Labor set forth in 29 C.F.R. Parts 5, 6, and 7. Disputes within the meaning of this clause include disputes between the Contractor (or any of its subcontractors) and the contracting agency, the U.S. Department of Labor, or the employees or their representatives.

(10) Certification of eligibility - (i) By entering into this Contract, the Contractor certifies that neither it (nor he or she) nor any person or firm who has an interest in the contractor's firm is a person or firm ineligible to be awarded Government contracts by virtue of section 3(a) of the Davis-Bacon Act or 29 C.F.R. 5.12(a)(1).

(10)(ii) No part of this Contract shall be subcontracted to any person or firm ineligible for award of a Government contract by virtue of section 3(a) of the Davis-Bacon Act or 29 C.F.R. 5.12(a)(1).

(10)(iii) The penalty for making false statements is prescribed in the U.S. Criminal Code, 18 U.S.C. 1001.

## 22. RIGHTS IN DATA:

- A. The term “subject data” as used herein means recorded information, whether or not copyrighted, that is delivered or specified to be delivered under this Agreement. The term includes graphic or pictorial delineation in media such as drawings or photographs; text in specifications or related performance or design-type documents; machine forms such as punched cards, magnetic tape, or computer memory printouts; and information retained in computer memory. Examples include, but are not limited to: Computer software, engineering drawings and associated lists, specifications, standards, process sheets, manuals, technical reports, catalog item identifications, and related information. The term does not include financial reports, cost analyses, and similar information incidental to Project administration.
- B. The following restrictions apply to all subject data first produced in the performance of this Agreement:
1. Except for its own internal use, the MTA may not publish or reproduce such data in whole or in part, or in any manner or form, nor may the MTA authorize others to do so, without the written consent of the Government, until such time as the Government may have either released or approved the release of such data to the public; this restriction on publication, however, does not apply to Agreements with academic institutions.
  2. As authorized by 49 C.F.R. Part 18.34, the Government (FTA) reserves a royalty-free, non-exclusive and irrevocable license to reproduce, publish or otherwise use, and to authorize others to use, for Federal Government purposes:
    - (a) Any work developed under a grant, cooperative agreement, sub-grant, sub-agreement, or third party contract, irrespective of whether or not a copyright has been obtained; and
    - (b) Any rights of copyright to which a Recipient, sub-recipient, or a third party contractor purchases ownership with Federal assistance.
- C. When FTA provides assistance to a Recipient for a Project involving planning, research, development, or a demonstration, it is FTA’s intent to increase the body of mass transportation knowledge, rather than to limit the benefits of the Project to those parties that have participated therein. Therefore, the Recipient of FTA assistance to support planning, research, development, or a demonstration financed under Section 49I), 6, 8, 9, 18, 18(h), or 20 of the Urban Mass Transportation Act of 1964, as amended, understands and agrees that, in addition to the rights set forth in Subsection 119.b.(2) of Part II of this Agreement, FTA may make available to any FTA recipient, sub-grantee, sub-recipient, third party contractor, or third party subcontractor, either FTA’s license in the copyright to the “subject data” derived under this Agreement or a copy of the “subject data” first produced under this Agreement.
- D. The Recipient shall indemnify, safe and hold harmless the Government, its officers, agents, and employees acting within the scope of their official duties against any liability, including costs and expenses, resulting from any willful or intentional violation by the Recipient of proprietary rights, copyrights, or right of privacy, arising

out of the publication, translation, reproduction, delivery, use, or disposition of any data furnished under this Agreement.

- E. Nothing contained in this clause shall imply a license to the Government under any patent or be construed as affecting the scope of any license or other right otherwise granted to the Government under any patent.
- F. Subsections 119.b., 119.c., and 119.d. of Part II of this Agreement are not applicable to material furnished to the Recipient by the Government and incorporated in the work furnished under the Agreement; provided that such incorporated material is identified by the Recipient at the time of delivery of such work.
- G. In the event that the Project, which is the subject of this Agreement, is not completed, for any reason whatsoever, all data developed under that Project shall become subject data as defined in Subsection 119.a. of Part II of this Agreement and shall be delivered as the Government may direct.

### 23. BUY AMERICA:

Each third party contract utilizing FTA assistance must comply with section 165 of the Surface Transportation Assistance Act of 1982, as amended by section 337 of the Surface Transportation and Uniform Relocation Assistance Act of 1987, and FTA regulations at 49 C.F.R. Part 661 and any guidance issued by FTA.

The contractor agrees to comply with 49 U.S.C. 5323(j) and 49 C.F.R. part 661, 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. Separate requirements for rolling stock are set out at 49 U.S.C. 5323(j)(2)(C) and 49 C.F.R. § 661.11.

### 24. 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.

25. **RESTRICTIONS ON LOBBYING:**

No Federal appropriated funds shall be paid or will be paid, by or on behalf of the Contractor, subcontractor, sub-grantee or sub-recipient, to 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 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 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 this Federal contract, grant, loan, or cooperative agreement, the contractor, subcontractor sub-grantee or sub-recipient shall complete and submit to the MTA Standard Form-LLL, "*Disclosure Form to Report Lobbying*", in accordance with its instructions.

26. **CARGO PREFERENCE -- USE OF UNITED STATES-FLAG VESSELS:**

As required by 46 C.F.R. Part 381, the Contractor agrees --

- (1) To utilize 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, materials, or commodities pursuant to this Contract to the extent such vessels are available at fair and reasonable rates for United States-Flag commercial vessels.

- (2) To furnish within 20 days following the date of loading for shipments originating within the United States, or within 30 working days following the date of loading for shipment 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 paragraph (1) above to the recipient (through the prime contractor in the case of subcontractor bills-of-lading) and to the Division of National Cargo, Office of Market Development, Maritime Administration, 400 Seventh Street, S.W., Washington, D.C. 20590, marked with appropriate identification of the project.
- (3) 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.

27. **ENVIRONMENTAL, RESOURCE CONSERVATION, AND ENERGY REQUIREMENTS:**

The Contractor agrees to provide a preference for those products and services that conserve natural resources, protect the environment, and are energy efficient by complying with and facilitating compliance with Section 6002 of the Resource Conservation and Recovery Act, as amended, 42 U.S.C. § 6962, and U.S. Environmental Protection Agency (U.S. EPA), "Comprehensive Procurement Guideline for Products Containing Recovered Materials," 40 C.F.R. part 247. The Contractor recognizes that many Federal and State statutes imposing environmental, resource conservation, and energy requirements may apply to the Project. Some, but not all, of the major Federal laws that may affect the Project include: The National Environmental Policy Act of 1969, 42 U.S.C. 4321 et seq.; the Clean Air Act, as amended, 42 U.S.C. 7401 et seq. and scattered sections of 29 U.S.C.; the Clean Water Act, as amended, scattered sections of 33 U.S.C. and 12 U.S.C.; the Resource Conservation and Recovery Act, as amended, 42 U.S.C. 6901 et seq.; and the Comprehensive Environmental Response, Compensation, and Liability Act, as amended, 42 U.S.C. 9601 et seq. The Contractor also recognizes that the Environmental Protection Agency (EPA), the Federal Highway Administration (FHWA) and other agencies of the Federal Government have issued and are expected in the future to issue requirements in the form of regulations, guidelines, standards, orders, or other directives that may effect the Project. Accordingly, the Contractor agrees to adhere to, and impose on its subcontractors, any such Federal requirements, as the Government may now or in the future promulgate.

28. **ENERGY CONSERVATION:**

The Contractor and its subcontractors shall comply with mandatory standards and policies relating to energy efficiency that are contained in applicable State energy conservation plans issued in compliance with the Energy Policy and Conservation Act, 42 U.S.C. 6321 et seq.

29. **SAFE OPERATION OF MOTOR VEHICLES:**

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 the MTA. 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 agreement.

30. **SUBSTANCE ABUSE REQUIREMENTS:**

Contractors who perform *safety-sensitive functions* must comply with FTA’s substance abuse management program under 49 C.F.R. part 655, “Prevention of Alcohol Misuse and Prohibited Drug Use in Transit Operations.” Under 49 C.F.R. § 655.4, *Safety-sensitive function* means any of the following duties, when performed by employees of recipients, subrecipients, operators, or contractors:

1. Operating a revenue service vehicle, including when not in revenue service;
2. Operating a nonrevenue service vehicle, when required to be operated by a holder of a Commercial Driver’s License;
3. Controlling dispatch or movement of a revenue service vehicle;
4. Maintaining (including repairs, overhaul and rebuilding) a revenue service vehicle or equipment used in revenue service. This section does not apply to the following: an employer who receives funding under 49 U.S.C. § 5307 or § 5309, is in an area less than 200,000 in population, and contracts out such services; or an employer who receives funding under 49 U.S.C. § 5311 and contracts out such services;
5. Carrying a firearm for security purposes.

Additionally, Contractors providing testing services involving the performance of safety sensitive activities must also comply with 49 C.F.R. part 40, “Procedures for Transportation Workplace Drug and Alcohol Testing Programs.”

31. **BOND REQUIREMENTS:**

THE FOLLOWING BONDING REQUIREMENTS SHALL BE ENFORCED FOR CONSTRUCTION OR FACILITY IMPROVEMENT CONTRACTS AND SUBCONTRACTS EXCEEDING \$100,000.00:

*Bid Bond Requirements*

- (a) Bid Security

A Bid Bond must be issued by a fully qualified surety company acceptable to MTA and listed as a company currently authorized under 31 CFR, Part 223 as possessing a Certificate of Authority as described thereunder. Bid guarantee shall be the equivalent to five (5) percent of the bid price.

(b) Rights Reserved

In submitting this Bid, it is understood and agreed by bidder that the right is reserved by MTA to reject any and all bids, or part of any bid, and it is agreed that the Bid may not be withdrawn for a period of ninety (90) days subsequent to the opening of bids, without the written consent of MTA.

It is also understood and agreed that if the undersigned bidder 1) should withdraw any part or all of his bid within ninety (90) days after the bid opening without the written consent of MTA, 2) should refuse or be unable to enter into this Contract, as provided above, 3) refuse or be unable to furnish adequate and acceptable Performance Bonds and Labor and Material Payments Bonds, as provided above, or 4) refuse or be unable to furnish adequate and acceptable insurance, as provided above, he shall forfeit his bid security to the extent of MTA's damages occasioned by such withdrawal, or refusal, or inability to enter into an agreement, or provide adequate security therefore.

It is further understood and agreed that to the extent the defaulting bidder's Bid Bond, Certified Check, Cashier's Check, Treasurer's Check, and/or Official Bank Check (excluding any income generated thereby which has been retained by MTA) shall prove inadequate to fully recompense MTA for the damages occasioned by default, then the undersigned bidder agrees to indemnify MTA and pay over to MTA the difference between the bid security and MTA's total damages, so as to make MTA whole.

The undersigned understands that any material alteration of any of the above or any of the material contained on this form, other than that requested will render the bid unresponsive.

*Performance and Payment Bonding Requirements*

The Contractor shall be required to obtain performance and payment bonds as follows:

(a) Performance bonds

1. The penal amount of performance bonds shall be 100 percent (100%) of the original Contract price, unless the MTA determines that a lesser amount would be adequate for the protection of the MTA.
2. The MTA may require additional performance bond protection when a Contract price is increased. The increase in protection shall generally equal 100 percent (100%) of the increase in Contract price. The MTA may secure additional protection by directing the Contractor to increase the penal amount of the existing bond or to obtain an additional bond.

(b) Payment bonds

1. The penal amount of the labor and materials payment bonds shall equal to the full value of the contract must be furnished by the contractor to Recipient as security for payment by the Contractor and subcontractors for labor, materials, and rental of equipment. The bond may be issued by a fully qualified surety company acceptable to (Recipient) and listed as a company currently authorized under 31 C.F.R. part 223 as possessing a Certificate of Authority as described thereunder.
2. If the original Contract price is \$5 million (5,000,000.) or less, the MTA may require additional protection as required by subparagraph 1, if the Contract price is increased.

32. **PROGRAM FRAUD AND FALSE OR FRAUDULENT STATEMENTS OR RELATED ACTS:**

- (1) 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 the truthfulness and accuracy of any statement it has made, it makes, it may make, or causes to be made, pertaining to the underlying Contract or the FTA assisted project for which this Contract work is being performed. In addition to other penalties that may be applicable, the Contractor further 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.
- (2) The Contractor also acknowledges that if it makes, or causes to be made, a false, fictitious, or fraudulent claim, statement, submission, or certification to the Federal Government 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. § 5307, the Government reserves the right to impose the penalties of 18 U.S.C. § 1001 and 49 U.S.C. § 5307(n)(l) on the Contractor, to the extent the Federal Government deems appropriate.
- (3) 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.

33. **SEISMIC SAFETY:**

The Contractor agrees that any new building or additions to an existing building will be designed and constructed in accordance with the standards for Seismic Safety required in the Department of Transportation Seismic Safety Regulations 49 C.F.R. Part 41 and will certify to compliance to the extent required by the regulation. The Contractor also agrees to ensure that all work performed under this Contract is in compliance with the standards required by the Seismic Safety Regulations and the certification of compliance issued on the project.

34. **CLEAN AIR ACT AND FEDERAL WATER POLLUTION CONTROL 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. and the Federal Water Pollution Control Act as amended, (33 U.S.C. §§ 1251-1387).

The Contractor agrees to report each violation to the Purchaser and understands and agrees that the Purchaser will, in turn, report each violation as required to assure notification to FTA and the appropriate EPA Regional Office. The Contractor agrees it will not use any violating facilities.

(2) The Contractor also agrees to include these requirements in each subcontract exceeding \$150,000 financed in whole or in part with Federal assistance provided by FTA.

35. **FLY AMERICA:**

Shipments of federally assisted property by air carrier will require provisions to ensure compliance with section 5 of the International Air Transportation Fair Competitive Prices Act of 1974, as amended, (“Fly America” Act), 49 U.S.C. Section 40118, and GSA regulations, “Use of United States Flag Air Carriers”, 41 C.F.R. Sections 301-10.131 through 301-10.143. The regulations require shipment by U.S. flag air carriers unless such air carriers are not reasonably available within the standards of GSA’s implementing regulations. 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.

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]:*

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

36. **CONSTRUCTION SAFETY:**

The Contractor shall ensure safety at construction sites so that no laborer or mechanic shall be required to work in surroundings or under working conditions that are unsanitary, hazardous, or dangerous as prohibited by the safety requirements of Section 107 of the Contract Work Hours and Safety Standards Act, 40 U. S.C. Section 3704, and its

implementing DOL regulations, “*Safety and Health Regulations for Construction*”, 29 C.F.R. Part 1926. Notably, Section 4104(c) of the Federal Acquisition.

37. **VIOLATION AND BREACH OF CONTRACT:**

MTA shall have the following rights in the event that the AGENCY deems the Contractor guilty of a breach of any term under the Contract.

1. The right to take over and complete the work or any part thereof as agency for and at the expense of the Contractor, either directly or through other contractors;
2. The right to cancel this Contract as to any or all of the work yet to be performed;
3. The right to specific performance, an injunction or any other appropriate equitable remedy; and
4. The right to money damages.

38. **NO OBLIGATION BY THE FEDERAL GOVERNMENT:**

(1) The Purchaser and Contractor acknowledge and agree that, notwithstanding any concurrence by the Federal Government in or approval of the solicitation of award of the underlying Contract, absent the express written consent by the Federal Government, the Federal Government is not a party to this Contract and shall not be subject to any obligations or liabilities to the Purchaser, Contractor, or any other party (whether or not a party to that Contract) pertaining to any matter resulting to the underlying Contract.

(2) The Contractor agrees to include the above clause in each subcontract financed in whole or in part with Federal assistance provided by the FTA. It is further agreed that the clause shall not be modified, except to identify the subcontractor who will subject to its provisions.

39. **INCORPORATION OF FEDERAL TRANSIT ADMINISTRATION (FTA) TERMS:**

The preceding provisions include, in part, certain Standard Terms and Conditions required by DOT, whether or not expressly set forth in the preceding Contract provisions. All contractual provisions required by DOT, as set forth in FTA Circular 4220.1F, dated November 1, 2008 are hereby incorporated by reference. Anything to the contrary herein notwithstanding, all FTA mandated terms shall be deemed to control in the event of a conflict with other provisions contained in this Agreement. The Contractor shall not perform any act, fail to perform any act, or refuse to comply with any MTA requests which would cause MTA to be in violation of the FTA terms and conditions.

*Federal Changes*

Contractor shall at all times comply with all applicable FTA regulations, policies, procedures and directives, including without limitation those listed directly or by reference in the Agreement (Form FTA MA (2) dated October, 1995) between Purchaser and FTA, as they may be amended or promulgated from time to time during the term of this contract. Contractor's failure to so comply shall constitute a material breach of this Contract.

40. **METRIC SYSTEM REQUIREMENTS:**

As required by U.S. DOT or FTA, the MTA agrees to use the metric system of measurement in its Project activities, as may be required by 15 U.S.C. §§ 205a et seq.; Executive Order No. 12770, "Metric Usage in Federal Government Programs," 15 U.S.C. § 205a note; and other regulations, guidelines, and policies issued by U.S. DOT or FTA. To the extent practicable and feasible, the MTA agrees to accept products and services with dimensions expressed in the metric system of measurement.

**Attachment "A"- Bid Protest Procedures**

**OPERATING PROCEDURE #AP-250**

**BID PROTEST PROCEDURES**

Any protest by an interested party regarding this procurement shall be made in accordance with FTA regulation, pursuant to the procedures provided in FTA C4220.1F. Alleged violations of certain federal requirements provide a separate complaint procedure.

**A. PROTEST POLICY AND PROCEDURES**

It is the policy of Mass Transportation Authority (MTA) that it is responsible for resolving all Pre-Proposal, Pre-Award and Post-Award Procurement Protest disputes arising out of third party procurements using good administrative practices and sound business judgment. It is the intention of the MTA that its procurement process provides for fair and open competition in compliance with federal and state laws and MTA policies.

The MTA has established these Pre-Proposal, Pre-Award and Post-Award Procurement Protest Policy and Procedures so that all procurement protests/disputes are filed, processed and resolved in a manner consistent with the requirements of the Federal Transit Administration (FTA) Circular (4220.1F) *Third Party Contracting Guidance*, dated November 1, 2008.

When a protest is filed before an award, the MTA will not make the award until the protest is resolved. When a protest is filed before the opening of bids or proposals, the MTA will not open the bids or proposals until the protest is resolved, unless the delay will cause undue harm. In the event that the MTA decides to proceed with a bid, contract, or service before a protest is resolved, it shall document its reasons in writing.

This Protest Procedure is applicable to any Invitation for Bid (IFB) or Request for Proposal (RFP) issued by the MTA.

## **B. APPLICABILITY**

This regulation is applicable to all MTA employees. This regulation is applicable to any Interested Party as defined herein who has a protest/dispute against MTA in the Pre-Proposal, Pre-Award and Post-Award procurement phase.

## **C. DEFINITIONS**

- 1) **“Common Grant Rules”** refers to the “Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments,” 49 CFR Part 18, which apply to Federal grants and cooperative agreements with governmental recipients/sub recipients of Federal assistance including Indian tribal governments.
- 2) **“Interested Party”** means a party that is an actual or prospective Proposer whose direct economic interest would be affected by the award or failure to award the third party contract at issue. A subcontractor does not qualify as an “interested party”.
- 3) **“Protest”** means a formal declaration of disapproval or objection issued by a concerned person, group, or organization that arises during the procurement process. A Protest is a potential Proposer’s or Contractor’s remedy for correcting a perceived wrong in the procurement process. See “Types of Protests” below.
- 4) **“Protester”** means a person, group, or organization that files a formal declaration of disapproval or objection. A protester must qualify as an “interested party”.
- 5) **“Types of Protests”** there are three basic types of Protests pursuant to this regulation, based on the time in the procurement cycle when they occur:
  - 6) A pre-proposal or solicitation phase Protest is received not later than three (3) days prior to the proposal opening or proposal due date. Pre-proposal protests are those based on the content of the initial Notice and/or solicitation published by MTA requesting Proposals from vendors or other interested parties.
  - 7) A pre-award Protest is a protest against making an award and is received after receipt of proposals but before award of a contract.
  - 8) A post-award Protest is a protest received after award of a contract. A post-award Protest must be received within ten (10) business days of the making of the award. A post-award Protest generally alleges a violation of applicable federal or state law and/or MTA policy or procedures relative to the seeking, evaluating and/or awarding of the contract.

## **D. STANDARDS**

All Protests must be filed in writing to:  
Mass Transportation Authority  
Edgar H. Benning, General Manager/CEO  
1401 S. Dort Highway  
Flint, Michigan 48503

1. A Protest must be in writing and set forth the specific grounds of the dispute and shall be fully supported with technical data, test results, or other pertinent information related to the subject being protested. The Protest shall include the name and contact information of the Protester, solicitation/contract number or description, and what remedy the Protester is seeking.

The Protester is responsible for adhering to this regulation. A Protester must exhaust all of protest administrative remedies before pursuing a protest with the FTA.

2. Mass Transportation Authority, Edgar H. Benning, General Manager or Designee shall make a determination on the Protest within ten (10) working days from receipt of the Protest. The response of the General Manager or Designee shall be in writing and shall include a response to each substantive issue raised in the Protest.

3. If the General Manager or Designee's response does not provide a resolution of the protest, the Protestor may request that the protest be considered by the members of the Mass Transportation Authority at their next regular meeting. The Authority's decision shall constitute MTA's final administrative determination.

4. The Protester may withdraw its Protest or Appeal at any time before a final decision is issued.

5. Reviews of Protests by FTA are limited to 1) failure to have or follow its protest procedures, or its failure to review a complaint or Protest; or 2) violations of Federal law or regulation.

6. A Protest Appeal to the FTA must be filed in accordance with the provisions of FTA Circular 4220.1F. Any appeal to the FTA shall be made not later than five (5) working days after a final decision by the members of the Mass Transportation Authority is rendered. Protest appeals should be filed with:

**Federal Transit Administration**  
Regional Administrator Region V  
200 W. Adams Street  
Suite 320  
Chicago, Illinois 60606

## **E. MTA RESPONSIBILITIES TO FTA**

MTA will notify FTA when they receive a third party contract protest to which the FTA Circular (4420.1F) *Third Party Contracting Guidance* applies, and will keep FTA informed about the status of the Protest including any appeals.

MTA will provide the following information to FTA:

1) **Subjects: A list of Protests involving third party contracts and potential third party contracts that:**

- ✓ Have a value exceeding \$100,000, or
- ✓ Involve controversial matter, irrespective of amount, or
- ✓ Involve a highly publicized matter, irrespective of amount.

2) **Details: The following information about each Protest:**

- ✓ A brief description of the Protest,
- ✓ The basis of disagreement, and

- ✓ If open, how far the Protest has proceeded, or
- ✓ If resolved, the agreement or decision reached, and
- ✓ Whether an appeal has been taken or is likely to be taken.

**3) When and Where: MTA will provide this information:**

- ✓ In its next quarterly Milestone Progress Report, and
- ✓ At its next Project Management Oversight review, if any.

**F. Officials to Notify**

When MTA denies a proposal Protest, and an appeal is likely to occur, MTA will inform the FTA Regional Administrator for Region V or the FTA Associate Administrator for the program office administering a headquarters project directly about the likely appeal.

1) MTA will disclose information about any third party procurement Protest to FTA upon request. FTA reserves the right to require MTA to provide copies of a particular Protest or all Protests, and any or all related supporting documents, as FTA may deem necessary.

2) Failure to comply with the above protest procedures will render a protest untimely and/or inadequate and shall result in its rejection.

3) \*\*MTA reserves the right to modify its protest procedures for the procurement of commodities such as diesel fuel, as award notification must be on the date of the proposal opening or within a relatively short period of time thereafter as pricing is tied to market pricing and subject fluctuations of the market.

  
Edgar H Benning  
General Manager

March 1, 2015 (Rev: 07/05/2017 js)



**Attachment “B”- Notice of Intent to Bid**

**NOTICE OF INTENT TO BID**

Please complete and return this form if your intention is to participate in the RFP# 2018-18. This form should be completed and returned by November 28, 2018. This form is not mandatory in order for a Proposer to submit a proposal. Returning this form ensures that you will receive any additional information that may be released regarding this RFP should it be deemed necessary.

**Orreta McKnight**

Mass Transportation Authority

1401 S. Dort Highway

Flint, MI 48503

Please Scan and Email the Form to: [omcknight@mtaflint.org](mailto:omcknight@mtaflint.org)

<b>Date</b>	
<b>Company Name</b>	
<b>Company Address</b>	
<b>City, State, Zip-Code</b>	
<b>Phone Number</b>	
<b>Email Address</b>	
<b>Company Website</b>	
<b>Contact Name</b>	
<b>Contact Signature</b>	
<b>Contact Title</b>	

**Attachment “C”- Checklist for Proposal Submission**

**RFP#2018-18 SUBMITTAL CHECKLIST**

**Deadline: December 10, 2018 at 3:00PM** (A proposal will be automatically rejected if it is received after the stated deadline.)

**All forms/Certifications below MUST be completed and included when you submit your Proposal Package:**

---

- One (1) Original and Four (4) copies with One (1) Electronic Copy of the Proposal Package
- Price Proposal
- Business Organization Information
- Technical Specifications
- Attachment E – Response to questions
- Prior Experience
- Five (5) references of similar work completed
- Schedule
- Professional Personnel
- Additional Information
- Buy America Certification
- Debarment and Suspension Certification
- Non-Collusion Affidavit
- Certification Regarding Lobbying
- Certificate of Compliance
- Submittal Checklist

***See Sections 3 and 4 for more detailed information on proposal submission and format.***

**SUBMITTED PROPOSAL CONTAINS ALL COMPLETED FORMS/CERTIFICATIONS AS LISTED ABOVE**

**Authorized Signature** \_\_\_\_\_

**Date** \_\_\_\_\_

#### **FEDERAL CERTIFICATIONS**

##### **CER 1.1 Buy America Certification**

This form is to be submitted with an offer exceeding the small purchase threshold for federal assistance programs, currently set at \$150,000.

### Certificate of Compliance

The Supplier hereby certifies that it will comply with the requirements of 49 USC Section 5323(j)(2)(C), Section 165(b)(3) of the Surface Transportation Assistance Act of 1982, as amended, and the regulations of 49 CFR 661.11:

**Name and title:**  
**Company:**

\_\_\_\_\_  
Authorized signature

\_\_\_\_\_  
Date

### Certificate of Non-Compliance

The Supplier hereby certifies that it cannot comply with the requirements of 49 USC Section 5323(j)(2)(C) and Section 165(b)(3) of the Surface Transportation Assistance Act of 1982, as amended, but may qualify for an exception to the requirements consistent with 49 USC Sections 5323(j)(2)(B) or (j)(2)(D), Sections 165(b)(2) or (b)(4) of the Surface Transportation Assistance Act, as amended, and regulations in 49 CFR 661.7.

**Name and title:**  
**Company:**

\_\_\_\_\_  
Authorized signature

\_\_\_\_\_  
Date

The Supplier shall obtain and submit to the Agency, copies of all signed Buy America certifications, including Buy America certifications that may be required of its subcontractors if the dollar thresholds established by FTA are exceeded. These completed certifications if applicable, shall be submitted to the Agency.

## CER 1.2 Debarment and Suspension Certification for Prospective Contractor

Primary covered transactions must be completed by Supplier for contract value over \$25,000.

Choose one alternative:

- The Supplier, [insert name], certifies to the best of its knowledge and belief that it and its principals:
1. Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any federal department or agency;
  2. Have not within a three-year period preceding this Proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (federal, state or local) transaction or Contract under a public transaction; violation of federal or state antitrust statutes or commission or embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
  3. Are 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 enumerated in Paragraph 2 of this certification; and
  4. Have not within a three-year period preceding this Proposal had one or more public transactions (federal, state or local) terminated for cause or default.

**OR**

- The Supplier is unable to certify to all of the statements in this certification, and attaches its explanation to this certification. (In explanation, certify to those statements that can be certified to and explain those that cannot.)

The Supplier certifies or affirms the truthfulness and accuracy of the contents of the statements submitted on or with this certification and understands that the provisions of Title 31 USC § Sections 3801 are applicable thereto.

– Executed in [insert city and state].

**Name:**

\_\_\_\_\_  
Authorized signature

\_\_\_\_\_  
Date

### CER 1.3 Non-Collusion Affidavit

This affidavit is to be filled out and executed by the Supplier; if a corporation makes the bid, then by its properly executed agent. The name of the individual swearing to the affidavit should appear on the line marked "Name of Affiant." The affiant's capacity, when a partner or officer of a corporation, should be inserted on the line marked "Capacity." The representative of the Supplier should sign his or her individual name at the end, not a partnership or corporation name, and swear to this affidavit before a notary public, who must attach his or her seal.

State of _____, County of _____	
I, _____, being first duly sworn, do hereby state that <small>(Name of Affiant)</small>	
I am _____ of _____ <small>(Capacity) (Name of Firm, Partnership or Corporation)</small>	
whose business is _____	
and who resides at _____	
and that _____ <small>(Give names of all persons, firms, or corporations interested in the bid)</small>	
is/are the only person(s) with me in the profits of the herein contained Contract; that the Contract is made without any connection or interest in the profits thereof with any persons making any bid or Proposal for said Work; that the said Contract is on my part, in all respects, fair and without collusion or fraud, and also that no members of the Board of Trustees, head of any department or bureau, or employee therein, or any employee of the Authority, is directly or indirectly interested therein.	
Signature of Affiant _____	Date _____
Sworn to before me this _____ day of _____, 20____.	
_____ Notary public	_____ My commission expires
Seal	

## CER 1.4 Lobbying Certification

This form is to be submitted with an offer exceeding \$100,000.

The Supplier certifies, to the best its knowledge and belief, that:

1. No federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of a federal department or agency, a member of the U.S. Congress, an officer or employee of the U.S. Congress, or an employee of a member of the U.S. 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 thereof.
2. If any funds other than federal appropriated funds have been paid or will be paid to any person for making lobbying contacts to an officer or employee of any agency, a member of Congress, an officer or employee of Congress, or an employee of a member of Congress in connection with this federal Contract, grant, loan or cooperative agreement, the undersigned shall complete and submit Standard Form LLL, "Disclosure Form to Report Lobbying," in accordance with its instruction, as amended by "Government wide Guidance for New Restrictions on Lobbying," 61 Fed. Reg. 1413 (1/19/96).
3. The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants and contracts under grants, loans and cooperative agreements) and that all subrecipients 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, USC § 1352 (as amended by the Lobbying Disclosure Act of 1995). Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

**THE SUPPLIER, \_\_\_\_\_, CERTIFIES OR AFFIRMS THE TRUTHFULNESS AND ACCURACY OF EACH STATEMENT OF ITS CERTIFICATION AND DISCLOSURE, IF ANY. IN ADDITION, THE SUPPLIER UNDERSTANDS AND AGREES THAT THE PROVISIONS OF 31 USC §§ 3801 ET SEQ. APPLY TO THIS CERTIFICATION AND DISCLOSURE, IF ANY.**

Name of the bidder or Supplier's authorized official:

\_\_\_\_\_

Title:

\_\_\_\_\_

\_\_\_\_\_

Signature

Date

Per paragraph 2 of the included form Lobbying Certification, add Standard Form–LLL, "Disclosure Form to Report Lobbying," if applicable.

## CER 1.5 Certificate of Compliance with FTA Clauses

The undersigned certifies that in all aspects of this procurement the vendor will abide by all the applicable third party contract clauses as specified in the Federal Transit Administrations' Third Party Contracting Guideline, Circular 4220.1F. The undersigned also acknowledges the receipt of a copy of these clauses from MTA in the General Terms and Conditions.

The undersigned understands the noncompliance with these clauses with these clauses may subject the undersigned to civil penalties as outlined in the Department of Transportation's regulation on Program Fraud Civil Remedies, 49 CFR part 31. In addition, the undersigned understands that FTA may suspend or debar a Contractor or Manufacturer under the procedures in 49 CFR, part 29.

By execution below by a duly authorized representative(s) of the Supplier, the Supplier hereby offers to furnish equipment and services as specified.

I/We additionally certify that we are fully licensed, insured and have the proper equipment, systems and personnel to handle the project as specified in this procurement document.

Company: \_\_\_\_\_

Street address: \_\_\_\_\_

City, state, ZIP: \_\_\_\_\_

Name and title of Authorized Signer(s): \_\_\_\_\_

Name and title of Authorized Signer(s): \_\_\_\_\_

Phone: \_\_\_\_\_

\_\_\_\_\_  
Authorized signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Authorized signature

\_\_\_\_\_  
Date

### Attachment "D"- Scope of Work

# Scope of Work

## 1. Design

This RFP invites vendors to propose a design that will virtualize existing servers into fewer physical hosts that will provide a scalable architecture that improves overall performance and reliability for internal users and customers of the MTA. The MTA would like to integrate the successful design-response to this RFP into its existing network.

Total solution will meet or exceed the following:

We are currently using 15TB of data that will be migrated to the new SANs. This array will be in- use for at least 7 years.

Our current servers reach 701 peak IOPS (49 average) & 12MB/sec. peak throughput (1MB/sec. average). Solution's IOPS and throughput will need to be able to handle 7 years growth. Vendor must detail and justify growth estimates.

Our production virtual infrastructure requires 99.999% uptime during business hours (8am-5pm Monday-Friday) and 99.9% during non-business hours (including scheduled maintenance).

### 1.1 Scope of design – compute and storage

The successful solution will virtualize the existing physical servers and move virtual machines to new hosts with the capacity to move virtual machines and associated storage from one location to another, due to performance, power, or maintenance needs, without client disruption, automatically or at administrative option. The design will be applied to the MTA data center only and will not be applied outside that facility

One Active Directory domain controller will remain physical, as will the backup solution.

Vendor should quote rack mount devices sufficient to accomplish the requirements of the new system.

Proposed module(s) is to be fully redundant in all parts to eliminate any single point of failure.

A clear and detailed list of all hardware proposed by the vendor must be provided. Vendor should also quote professional services for installation of hardware.

Vendor should provide all necessary software components. The vendor will include demonstration and hands-on training of MTAITS staff in converting physical servers to virtual.

Vendor should include the ability to KVM over IP management console.

## 1.2 Scope of design – compute and storage

Convert existing DAS (direct attached storage) to a single, tiered, virtualized storage system with hot-swap capacity to assure continual storage function in the event of the loss of two or more physical drives. The existing Dell Server platforms prior to an install date of xx/xx/xxxx will not be a part of the virtualized environment.

Vendor should specify a tiered solution with one tier optimized for performance and another tier for high capacity storage.

The storage solution should provide the following:

1. Event/state monitoring
2. Capacity and performance reporting
3. SNMP & SMTP alerts
4. Solid state drives for management of heavily used extents in disk drives
5. Automated tiering
6. Space or storage reclamation
7. Thin or virtual provisioning
8. Cloning or local mirroring

Compute and data storage minimum requirements for Phase 1 (Admin Data Center)

- (3) Latest Dell (or equivalent HP) Poweredge servers (R 640 series or newer)
- (4) 10 G Redundant Network Switches
- (1) SAN (Dell, Nutanix, NetApp, PureStorage or similar) 15TB of storage with a design for growth (7 year lifespan)
- VMWare cSphere Licensing and support for (4) host servers
- (Optional) Monitoring software or cloud based monitoring service

## Compute and data storage minimum requirements for Phase 2 (Davison DR Data Center)

- (3) Latest Dell (or equivalent HP) Poweredge servers (R 640 series or newer)
- (4) 10 G Redundant Network Switches
- (1) SAN (Dell, Nutanix, NetApp, PureStorage or similar) 15TB of storage with a design for growth (7 year lifespan)
- VMWare cSphere Licensing and support for (4) host servers

## Attachment “E”- Questions to Answer

1. What protocols does the storage controller support?
2. What is the maximum I/O & throughput of the proposed storage controller(s)?
3. What is the maximum storage capacity supported by the storage controller(s)? What is the largest single volume/LUN supported?
4. What RAID levels are supported?
5. Does each model of controller support the same software (firmware, OS, management tools, etc.)?
6. Are the controllers hot-swappable?
7. Can the controllers be upgraded without downtime (e.g. software, firmware updates)?
8. Should the controllers be upgraded to a different model, can the shelves be migrated in place?

9. How long does the controller failover process take? How long will volumes be off-line during the failover process?
10. What types of disk (SATA, SAS, FC, SSD) does the controller & disk shelf support?
11. What is the rated I/O & throughput for each drive type in the proposed configuration?
12. How is controller-to-shelf multi-pathing handled? Can new disk/shelves be added without downtime?
13. How many disks are contained in each shelf?
14. For each RAID level, how much additional disk I/O is required for a write?
15. How are data protected from double-disk and/or parity errors?
16. Can drive firmware be updated without downtime?
17. Does the array support predictive drive healing/diagnostics?
18. What features speed-up the hot-spare rebuild process?
19. When disks/shelves are added, and/or a volume is extended by adding disks, is data re-striped across the new disks automatically?
20. What storage efficiencies are supported? Examples include thin provisioning & de-duplication.
21. How does the performance of a thin-provisioned volume compare to that of a non-thin-provisioned volume?
22. If de-duplication/data compression are supported, how & when are such features intended to be used? How is performance affected by the use of these features?
23. Can volumes be dynamically grown/shrunk?
24. Can a volume be migrated to another array or another shelf/disk group/RAID group without downtime?
25. What is the maximum number of connected hosts supported by the proposed system?
26. Can a volume/LUN be cloned? How much performance overhead/space overhead does the cloning process require?
27. What array-based data protection features are supported?
28. Are snapshots supported? If so, how many snapshots per volume/LUN?
29. How does the performance of a volume/LUN change when one or more snapshots are in-use?
30. How much spare capacity is used by the snapshot process?
31. How many additional I/O events are required to track block changes for a snapshot (write penalty)?
32. Are the data protection features application aware?
33. Are the data protection features virtual machine aware?
34. How would snapshot data be migrated to an off-board system, like a backup system?
35. What virtualization-friendly features does the array support?
36. Can the array rapidly provision virtual machines via snap-shooting/cloning? Describe the process.
37. Is there a VMware vSphere/Citrix Xen/Microsoft Hyper-V management plug-in for storage management?
38. Can the solution perform VM backups via snapshots? Is the VM quiesced prior to the array snapshot being taken? Can the VM be recovered in-place or to a new datastore?
39. Does the array support VMware Site Recovery Manager (SRM) via an SRA module?
40. What space efficiency features does the array support, as it relates to virtual machines?
41. How is array-to-array replication handled? What is the network transport for replication? Are third party add-ons required for replication?
42. Are both synchronous and asynchronous replication supported? What are the distance limitations for both?
43. How is a replication relationship instantiated? Is a full volume copy required?

44. What technologies mitigate the amount of bandwidth needed for replication? Examples include compression and de-duplication.
45. Can a replication event be triggered automatically after an application/virtual machine backup event (provided the backup event is an array snapshot)?
46. If replication is interrupted, can it be resumed without requiring a complete volume copy? How long can replication be paused/interrupted?
47. Can the primary/secondary relationships be reversed? If so, does the entire volume have to be replicated in its entirety?
48. What types of fiber channel connectivity does the controller support? How many ports per controller?
49. What types of Ethernet network connectivity does the controller support? Is 10Gb available? How many ports per controller?
50. Does the controller support Ethernet link aggregation?
51. Does the controller support ALUA or another LUN load-balancing/multi-pathing technology?
52. What is the maximum number of paths per LUN & controller (iSCSI & fiber channel)?
53. Does the controller support multiple VLANs & IP subnets? If so, how many?
54. In a dual-controller environment, can I/O for any volume/LUN be serviced by both controllers at the same time?
55. How is the array managed?
56. What OSs does the management client support?
57. Does the array/management node provide SNMP and/or e-mail alerts?
58. Are all management features available in the client or is the use of command-line utilities a requirement? If so, what features are not available in the management client?
59. How is the management software licensed?
60. How much available capacity does the solution provide?
61. What is the maximum capacity supported by this configuration?
62. How is raw vs. available capacity calculated?
63. Should this system need to be extended beyond the supported maximum, what would be involved in the upgrade? New controllers? Licensing/feature changes?
64. How much available I/O capacity does the solution provide?
65. How much available throughput (MB/sec.) does the solution provide?
66. How were I/O & throughput numbers calculated?
67. Can I/O be prioritized (can volume "A" be given a higher priority than volume "B")?
68. Can read-intensive workload be tuned? Write-intensive workloads?
69. Based on I/O & throughput requirements, how much available headroom does the solution have?
70. Does this solution meet Storage Management Initiative Specification (SMI-S latest ver. currently 1.5)?
71. Are all components of this storage solution fully functional under IPv4 and IPv6 (using virtual, static or dynamic addressing).

