Southeastern Pennsylvania Transportation Authority (SEPTA)

Request for Proposal
19-00149-ARIB

for

General Safety & Engineering Services

July 17, 2020
General Safety and Engineering Services

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Southeastern Pennsylvania Transportation Authority

Part I

Instructions and Information
Request for Proposal
General Safety and Engineering Services

SECTION 1 – INSTRUCTIONS AND INFORMATION FOR PROPOSERS

I. You (hereinafter referred to as “Proposer”) are requested to submit a formal proposal (hereinafter referred to as “Proposal”) for the required services detailed in Attachment 2 (hereinafter referred to as “Scope of Services”) in accordance with this Request for Proposal (RFP). Any information in addition to that required by this RFP which Proposer feels will help in the evaluation of its Proposal is to be submitted with its Proposal. Any Proposal submitted must comply with the requirements of this RFP as herein stated including all applicable Federal, State and Local laws, and is to be signed by an officer legally authorized to bind Proposer to a Contract (hereinafter referred to as “Contract”) and shall be submitted to SEPTA in writing, in the time and in the manner described herein.

II. FORM OF PROPOSAL

The Proposal must address all items set forth in Attachment 2, “Scope of Services.”

A. Technical Proposal: This shall include but not be limited to the following information:

1. A statement concerning Proposer’s interpretation of the Project objectives, and a description of the services as understood by the Proposer.

   The services described by Proposer must be fully responsive to this RFP. Eliminations or qualifications by Proposer of performance of services required by this RFP may result in a Proposal being judged non-responsive.

2. A Project organization chart identifying Proposer’s manager of the Project and all other “key” personnel. SEPTA retains the right to reject or accept proposed Project personnel. Resumes shall be provided identifying the qualifications and experience of the manager of the Project and all key personnel. Except as specified in Paragraph 6 of the attached Contract, SEPTA will not permit a change in the manager of the Project or key personnel after award, if any, to the successful proposing firm.

3. If the Proposer is a joint venture, then a copy of any written agreement that exists between the members of each party to the joint venture shall be included as part of the Technical Proposal. Such agreement shall fully discuss and identify the responsibility of the joint venture for performing the services, provided, however, the joint venture must comply with Section 37 of the contract.

B. Price Proposal: The price to SEPTA for performing all of the SEPTA required scope of services must be detailed in the Price Proposal. The Price Proposal will
be submitted to SEPTA as a SEPARATE DOCUMENT IN A SEALED ENVELOPE. Price Proposals which exclude or restrict cost items necessary for a Proposer to perform the SEPTA required scope of services are not acceptable and may be considered by SEPTA as non-responsive to the RFP.

1. The Price Proposal shall be submitted using the form included in Attachment 3 along with any other additional information required to make it complete.

2. The requirements of this RFP should be carefully reviewed by Proposer prior to preparation of its Price Proposal. In preparation of its Price Proposal, Proposer must assume that SEPTA will not make modifications to the terms of the Contract as attached.

III. RESPONSIBILITY OF PROPOSER

SEPTA will only award a contract to a firm which it has determined to be responsible. The Proposer shall furnish adequate documentation to permit SEPTA to determine the responsibility of Proposer within five (5) calendar days of SEPTA’s written request. A responsible Proposer is one that meets the following standards:

1. Integrity and Ethics - Has a satisfactory record of integrity and business ethics, in compliance with 49 U.S.C. Section 5325(j) (2) (A);

2. Debarment and Suspension – Is neither debarred nor suspended from Federal programs under DOT regulations, “Non-procurement Suspension and Debarment,” 2CFR Parts 180 and 1200, or under FAR at 48CFR, Chapter 1 Part 9.4 or any Commonwealth of Pennsylvania funded programs. This contract will also be governed by the Contractor’s responsibilities under 49 CFR, Part 29, regarding debarment, suspension, and other responsibility matters of any lower tier covered transactions, as applicable.

3. Affirmative Action and DBE – Is in compliance with the Common Grant Rules’ affirmative action and DOT’s Disadvantaged Business Enterprise requirements, 49 CFR, Part 26;

4. Public Policy – Is in compliance with the public policies of the Federal Government, as required by 49 U.S.C. Section 5325 (j) (2) (B) and Commonwealth of Pennsylvania public policies;

5. Administrative and Technical Capacity – has the necessary organization, experience, accounting, and operational controls and technical skills, or the ability to obtain them in compliance with 79 U.S.C Section 5325 (j) (2) (D);

6. Licensing and Taxes – Is in compliance with applicable licensing and tax laws and regulations;
7. Financial Resources – has, or can obtain, sufficient financial resources to perform the contract, as required by 49 U.S.C. Section 5325 (j) (2) (D);

8. Production Capability – Has, or can obtain, the necessary production, and technical equipment and facilities;

9. Timeliness – Is able to comply with the required delivery or performance schedule, taking into consideration all existing commercial and governmental business commitments;

10. Performance Record – Is able to provide a satisfactory current and past performance record.

IV. GENERAL REQUIREMENTS:

A. SUBMISSION OF PROPOSALS

One (1) original and four (4) copies of the Technical Proposal, plus 1 USB flash drive in searchable “PDF” format and One (1) original and four (4) copies of the Price Proposal, in separate envelopes (clearly marked) shall be submitted to SEPTA’s Contract Administrator:

Racquel Burden  
Contract Administrator  
Procurement, Supply Chain & DBE Division  
Southeastern Pennsylvania Transportation Authority  
1234 Market Street, 11th Floor  
Philadelphia, PA 19107-3780

B. DISADVANTAGED BUSINESS ENTERPRISE (DBE) GOAL

Established Goal(s) – The DBE Goal for this procurement is 6%. The DBE goal will be factored against all operating/administrative expenses associated with the execution of an agreement; excluding staff salaries and benefits, and transactional fees. Please refer to Attachment #6.

C. SEPTA SOLICITATION STATISTICS SURVEY FOR DBE and NON-DBE CONTRACTOR/CONSULTANT AND SUB-CONTRACTOR/SUBCONSULTANT FORM

All Proposers are required to complete a SEPTA Solicitation Statistics Survey (See Attachment 7) for themselves and each of their DBE and non-DBE subcontractors/subconsultants in accordance with 49 CFR part 26.11. The form is to be signed by an officer legally authorized to bind the Proposer to a Contract and shall be submitted to SEPTA as part of their proposal.
D. RIGHTS RESERVED BY SEPTA
In submitting the proposal the Proposer understands that the right is reserved by SEPTA to reject any and all proposals and/or to negotiate separately with any firm in any manner deemed appropriate to serve its best interest. If any award of Contract is made as a result of these Proposals, it will be made on the basis of the Proposal(s) which best satisfied the intent of the RFP and other factors considered in the best interest of SEPTA. SEPTA is not liable for any expenses incurred by Proposers in the development of its Proposal or any subsequent activity related to the Proposal.

It is also understood and agreed that if the Proposer should withdraw any part or all of its proposal within ninety (90) calendar days after the Best and Final Offer (BAFO) without the consent of SEPTA, or shall refuse or be unable to enter into the Contract as provided with these documents, it shall be liable to SEPTA to the extent of SEPTA’s damages occasioned by such withdrawal, or refusal, or inability to enter to a contract.

E. MODIFICATIONS TO SEPTA’S FORM OF CONTRACT
If an award of Contract is made as a result of this RFP, the proposed form of Contract which the Proposer will be required to execute is attached to this RFP, and as such the Proposers are urged to review the Contract carefully. SEPTA may, at its sole discretion consider minor modifications to the terms of the proposed Contract. The Proposer must specifically request such modifications by providing the proposed language within the Questions & Answers phase. Any minor modifications submitted will be reviewed and either denied or accepted by SEPTA. Any subsequent requests for modifications may result in the proposal being deemed non-responsive and may lead to canceling any recommendation to award to a Proposer that makes such a request outside of the allotted period.

The Contract requires that all tasks described in the RFP and/or Proposal shall be the Proposer's sole responsibility and shall be performed by the Proposer and its subcontractors/sub-consultants. As a result of the negotiation process (see RFP Section 2, "Selection Process"), SEPTA may elect to revise the services described in the RFP and the Proposal. The single document as amended through Addenda and negotiations shall then become an Attachment to the Contract instead of the RFP and Proposal. SEPTA expressly reserves the right to approve and/or modify, at its sole discretion, both form and substance of any written Contract entered into pursuant to this RFP.

F. INSURANCE
Proposer and its subcontractor(s)/sub-consultant(s) shall be required to provide, at their own cost and expense the insurance required in the Contract.
G. PERFORMANCE EVALUATION
During the performance of the work, SEPTA will conduct at a minimum annually, a formal performance evaluation of the Contract (See Attachment 8).

H. TAXES
Proposer, as a result of any contract entered into pursuant to this RFP, may be subject to certain business taxes imposed by, but not limited to, municipal, school district, Commonwealth of Pennsylvania and/or the Federal government.

As to the sales tax imposed by the Commonwealth and some municipalities, Proposer is directed to the provisions in Pennsylvania law found at 72 P.S. 72 §7201 et seq. SEPTA makes no representation that these statutes are the only relevant statutes that apply to this Request for Proposal.

Proposer acknowledges that nothing in this RFP constitutes legal advice by SEPTA thereon. Proposer, to whatever extent that Proposer deems necessary, must obtain its own legal advice on any question concerning relevant taxes. Proposer is responsible for making its own investigation to determine whether or not it is subject to municipal, school district, Commonwealth of Pennsylvania or Federal taxes and for paying for such tax if applicable. Proposers are hereby informed that SEPTA is obligated by law to furnish to governmental entities, upon their request, the name and address of any person or firm with whom SEPTA has a contract for goods and/or services.

I. PROPOSAL SECURITY – NOT USED

J. DISCREPANCIES – DUTY OF PROPOSER TO CLARIFY AMBIGUITIES
Should a Proposer find any discrepancy or ambiguity, or omission from the scope of work, or should it be in doubt as to their meaning, the Proposer must at once notify SEPTA’s Contract Administrator who will, if determined to be necessary, send a written addendum for clarification purposes to all Proposers. Only written modifications issued as addenda will effect changes in the RFP and/or Contract Documents. Failure of Proposer to clarify ambiguities prior to proposal submittal constitutes a waiver of their right to raise any such ambiguity.

K. ADDENDA
The contents of all addenda to Proposers are to be incorporated in the proposal and will become part of the RFP and/or Contract Documents.

L. CERTIFICATION REGARDING LOBBYING
By signing and submitting a proposal, the Proposer agrees to furnish the Certification Regarding Lobbying. The signed Certification may be submitted concurrent with the submission of the Technical Proposal. If the Certification is not submitted along with the Technical Proposal, it shall be submitted within five (5) calendar days of proposal submittal, unless SEPTA grants, in writing, an extension (See Attachment 5).
M. CERTIFICATION REGARDING COMPLIANCE WITH IMMIGRATION REFORM AND CONTROL ACT OF 1986
By signing and submitting a proposal, the Proposer agrees to furnish the Certification Regarding Compliance with Immigration Reform and Control Act of 1986 in compliance with the requirements stated in 8 U.S.C. §1324 (a). The signed Certification must be submitted with the submission of the technical proposal (See Attachment 9).

N. NON-COLLUSION REQUIREMENT
In the event Proposer is recommended to the SEPTA Board for award, the Proposer hereby agrees to sign an Affidavit of Non-Collusion, if requested by SEPTA, in form acceptable to SEPTA prior to the award, if any, of the contract.

O. SEPTA’s RFP PROTEST PROCEDURE
The definitions, policies and procedures cited below are applicable to this section only.

1.0 PURPOSE
1.1 This section describes the policies and procedures governing the receipt and resolution of protests in connection with an Invitation for Bid (IFB) or Request for Proposal (RFP). This procedure is applicable to all procurements in excess of $100,000. Bid/proposal protests for procurements of less than $100,000 shall be informally handled by the Assistant General Manager of Procurement, Supply Chain & DBE of Procurement or his/her designee.

2.0 DEFINITIONS
2.1 "Interested Party" means any bidders/proposers.
2.2 "days" means business days.
2.3 “Filed” means the date of receipt by The Office of SEPTA’s Assistant General Manager of Procurement, Supply Chain & DBE of Procurement or his/her designee (hereinafter Assistant General Manager of Procurement, Supply Chain & DBE of Procurement).
2.4 “Federal/State Law or Regulation” means any valid requirement imposed by Federal, State, or other Statute or regulation.
2.5 “Presumptive Contractor” means the bidder/proposer that is in line for award of the contract in the event that the protest is denied.
2.6 “Protestant” is an Interested Party who is aggrieved in connection with the solicitation or award of a contract and who files a protest.
3.0 TYPES OF PROTESTS/ TIME LIMITS

3.1 Pre-Bid/Proposal Protest is based upon alleged restrictive specifications or alleged improprieties in SEPTA’s procurement process. A Protestant must file a pre-bid/proposal protest no later than five (5) days prior to bid opening date by 4:30 p.m. Philadelphia prevailing time.

3.2 Pre-Award Protest is based upon alleged improprieties of a Bid/Proposal. A Protestant must file a pre-award protest no later than five (5) days after the Protestant knows or should have known of the facts giving rise thereto by 4:30 p.m. Philadelphia prevailing time.

3.3 Post-Award Protest is based upon the award of a contract. A Protestant must file a post-award protest no later than five (5) days after the notification to the unsuccessful firms of SEPTA’s intent to award, or no later than five (5) days after an unsuccessful firm becomes aware of SEPTA’s intent to award a contract, whichever comes first, by 4:30 p.m. Philadelphia prevailing time.

4.0 CONTENTS OF PROTEST

4.1 Protests must be in writing, and filed directly with the Office of SEPTA’s Assistant General Manager of Procurement, Supply Chain & DBE of Procurement, at the address indicated in the solicitation, and must contain the following information:

a. The name, address and telephone number of the Protestant; and

b. Identity of the IFB or RFP (by number and description); and

c. A detailed factual statement of the grounds for protest; and

d. The desired relief, action or ruling.

5.0 ACTION BY SEPTA

5.1 Procurement Process Status

Upon timely receipt of a protest, SEPTA will delay the opening of bids until after resolution of the protest for protests filed prior to the bid opening, or withhold award until after resolution of the protest for protests filed after bid opening. However, SEPTA may open bids or award a contract whenever SEPTA, at its sole discretion, determines that:

a. The items or work to be procured are urgently required; or

b. Delivery or performance will be unduly delayed by failure to make the award promptly; or
c. Failure to make prompt award will otherwise cause undue harm to SEPTA or a funding source.

If the protest is filed before the award of the contract, SEPTA will advise the Presumptive Contractor of the pending protest.

5.2 If deemed appropriate, SEPTA may conduct an informal conference on the merits of the protest with all Interested Parties invited to attend.

5.3 Response to the Protest

SEPTA’s Assistant General Manager of Procurement, Supply Chain & DBE of Procurement will respond in detail to each substantive issue raised in the protest within a reasonable time after the protest is filed. SEPTA’s response shall address only the issues raised originally by the Protestant.

When, on its face a protest does not state a valid basis for protest or is untimely, the Assistant General Manager of Procurement, Supply Chain & DBE of Procurement may summarily dismiss the protest without requiring a detailed response.

5.4 Rebuttal to SEPTA Response

The Protestant may submit a written rebuttal to SEPTA’s response, addressed to the Assistant General Manager of Procurement, Supply Chain & DBE of Procurement, but must do so within five (5) days after receipt of the original SEPTA response. SEPTA will not address new issues raised in the rebuttal. After receipt of the Protestant’s rebuttal, the Assistant General Manager of Procurement, Supply Chain & DBE of Procurement will review the protest and notify the Protestant of his/her final decision.

5.5 Request for Additional Information

Failure of the Protestant to comply with a request for information as specified by SEPTA’s Assistant General Manager of Procurement, Supply Chain & DBE of Procurement, may result in determination of the protest without consideration of the additional information if subsequently produced. If any Interested Party requests information from another Interested Party, the request shall be made to SEPTA’s Assistant General Manager of Procurement, Supply Chain & DBE of Procurement, and, if SEPTA so directs, shall be complied with by the other party within five (5) days.

5.6 Request for Reconsideration

If data becomes available that was not previously known, or there has been an error of law, a Protestant may submit a request for reconsideration of the protest.
SEPTA’s Assistant General Manager of Procurement, Supply Chain & DBE of Procurement will again review the protest considering all currently available information. The Assistant General Manager of Procurement, Supply Chain & DBE of Procurement’s determination will be made within a reasonable period of time, and his/her decision will be considered final.

5.7 Decision

Upon review and consideration of all relevant information the determination as issued by SEPTA will be final.

6.0 CONFIDENTIALITY OF PROTEST

Material submitted by a Protestant will not be withheld from any Interested Party, except to the extent that the withholding of information is permitted or required by law or regulation. If the Protestant considers that the protest contains proprietary material which should be withheld, a statement advising of this fact must be affixed to the front page of the protest submission and the allegedly protected information must be so identified whenever it appears.

7.0 FEDERAL TRANSIT ADMINISTRATION (FTA) INVOLVEMENT

Where procurements are funded by the FTA within five (5) business days from receipt of SEPTA’s final decision, the Protestant may file a protest with the FTA only where the protest alleges that SEPTA failed to have or failed to adhere to its protest procedures or there was a violation of Federal Law or Regulation. Any protest to the FTA must be filed in accordance with FTA Circular 4220.1F.

[END OF SECTION]
Request for Proposal
General Safety and Engineering Services

SECTION 2 – SELECTION PROCESS

I. TECHNICAL EVALUATION CRITERIA

The following criteria in descending order of importance will be used for the evaluation of Proposals according to SEPTA Procedures:

A. Professional related qualifications (PTSCTP, WSO, TSSP, CSP, PE, BSSP-SMS), specialized relevant experience and technical competence of the Project Team; firm and proposed team longevity of similar work performance. Resumes detailing public transit safety related educational, hands on work in a transit position, and experience background for key personnel should be submitted.

B. Project approach in interpreting the Project objectives and tasks in describing the services to be provided.

C. Capacity to fulfill the services in the required time considering the Project Team and its organization.

D. Experience of past performance on other similar Projects or engagement with SEPTA, other government agencies, and/or private industry

II. SELECTION

A. SEPTA shall create a Selection Committee, composed of several SEPTA staff members which shall independently evaluate each Proposal on the evaluation criteria based upon the application of adjectival ratings. The standards and qualifications that follow have been developed to serve as indicators of expected performance or compliance with the requirements of the RFP. SEPTA may seek the assistance of external experts and/or consultants during the evaluation process. The adjectival ratings are as follows:

Superior:  Exceeds in all or most aspects the minimum requirements of the RFP. Offers solutions and responses to the Scope of Services that have a high probability of success. Provides cost effective advantages for the program and SEPTA. Response requires no modifications to conform and comply with the critical elements of the RFP.

Very Good:  Meets in all aspects and in some cases exceeds the minimum requirements of the RFP. Offers solutions and responses to the Scope of Services that have a high probability of success. Provides cost effective advantages for the program and SEPTA. No significant weaknesses or deficiencies. Response requires little or no modifications to conform and comply with the critical elements of the RFP.
Acceptable: Meets the minimum requirements of the RFP; Responses and solutions offer no significant advantages; reasonable probability of success; Weakness and/or deficiencies require some modifications to conform and comply with the critical elements of the RFP.

Marginal: Responses and solutions to the Scope of Services provide minimum probability of success. Significant weaknesses and deficiencies in the responses and solutions offered. Responses require significant modifications to conform and comply with the requirements of the RFP.

Unacceptable: Responses and solutions fail to meet the minimum requirements of the RFP. Information provided is insufficient to evaluate the response. Major revisions required to cure deficiencies.

These adjectival ratings are only guides to assist SEPTA in evaluating Proposals, and they do not mandate the automatic selection of a particular Proposal.

B. After making an evaluation of the technical proposals on the basis of the criteria set forth above, SEPTA may conduct interviews and request and receive additional information as it deems necessary from any Proposer deemed to be responsive to the RFP. If interviews are conducted, Proposers who are deemed to be non-responsive and/or have no reasonable chance of being selected will not be interviewed.

C. After all Proposals have been evaluated in accordance with the criteria set forth above, the Price Proposals will be reviewed and price will be considered in the overall evaluation. If any Proposal is determined to be acceptable based on the Technical Evaluation, interviews (if conducted), and Price, SEPTA may, without discussion or negotiation, proceed to award the Contract to that firm.

D. However, if no Proposal is acceptable without negotiation, those firms who’s Proposals are determined by SEPTA to be within the competitive range may be contacted by letter from SEPTA to formally schedule negotiations. Competitive range will be determined by SEPTA and will consist of those firms whose proposals are determined to have a reasonable chance of being selected for award based on the technical evaluations and price.

E. No information, financial or otherwise, will be provided to any Proposer about any Proposals from other Proposers.

F. After all negotiations and discussions have been completed, each of the Proposers within the competitive range with whom negotiations have been conducted will be afforded the opportunity to submit a BEST AND FINAL OFFER (BAFO) (including Options). The BAFO shall be each Proposer’s most favorable Price Proposal for the Technical Proposal and business/contractual terms which have been clarified and agreed upon during discussions and negotiations. The request for BAFOs will set forth the specific time and date for the submission of the BAFO. The BAFO (including Options) will be evaluated by SEPTA.
III. **AWARD**

A. As stated in Section I, Paragraph IV (General Requirements), E (Modifications to SEPTA’s Form of Contract) if any Proposer fails to submit minor modifications during the Questions & Answers phase and attempts to submit them subsequently may result in the proposal being deemed non-responsive. SEPTA may cancel a recommendation to award to a firm that makes such requests outside the allotted period.

B. SEPTA will make an award, if any, only to a firm that has been determined by SEPTA to be fully responsive and responsible to the RFP requirements, while taking into consideration the staff’s evaluation of the Technical Proposals, interviews (if conducted), and the BAFO. A recommendation to the SEPTA Board will be made of the firm that is the most advantageous to SEPTA.

[END OF SECTION]
Southeastern Pennsylvania Transportation Authority

Part II

Contract

for

General Safety and Engineering Services
# Contract for General Safety and Engineering Services

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Contract
for
General Safety and Engineering Services

THIS CONTRACT, entered into this ________ day of __________________, 2019, by and between the Southeastern Pennsylvania Transportation Authority ("SEPTA"), a body corporate and politic exercising the power of the Commonwealth of Pennsylvania as an agency and instrumentality thereof, with offices located at 1234 Market Street, Philadelphia, Pennsylvania and ______________________ (hereinafter called "Contractor"), a ______________________, organized under the laws of _____________________________________, with principal offices located at ________________________________________________________________.

W I T N E S S E T H:

WHEREAS, SEPTA is involved in an undertaking known as General Safety and Engineering Services (hereinafter known as the "Project"); and

WHEREAS, SEPTA desires to engage Contractor to perform certain technical and professional services in connection with the Project as more fully set forth hereinafter; and

WHEREAS, Contractor has agreed to comply with all requirements of the Contract as set forth in the accompanying Attachments 1 through 11 attached hereto and made part hereof.

NOW, THEREFORE, in consideration of the mutual covenants herein contained, the parties hereto, intending to be legally bound hereby, agree as follows:

1. Incorporation of Recitals

The recitals above are hereby incorporated into the Body of the Contract.

2. Contract Documents

Attachments 1 through 11, inclusive, are hereby incorporated into this document and the Attachments are deemed to be a part thereof.

Attachments 4 and 10 are a notice and a summary of notices by SEPTA of the requirements that the Federal Government and Commonwealth of Pennsylvania impose on contracts which they fund in whole or in part. Contractor/Consultant acknowledges that Attachments 4 and 10 do not constitute legal advice by SEPTA thereon. Hence, Contractor/Consultant, to whatever extent Contractor/Consultant deems necessary, must obtain its own legal advice on these requirements.

3. Engaging of Contractor/Consultant

SEPTA hereby agrees to engage Contractor/Consultant to perform, and Contractor/Consultant hereby agrees to perform, all the services hereinabove referenced and hereinafter described and more fully set forth in Attachments 1 through 11.
4. **Time of Performance**

   a. Contractor/Consultant shall perform all the services required under the Contract within a total of 1,095 calendar days from the effective date stated in SEPTA's written Notice to Proceed.

   b. Contractor/Consultant shall commence performance promptly upon the effective date stated in SEPTA's Notice to Proceed. Time is of the essence in the performance of services under the Contract.

   c. Contractor/Consultant understands and agrees that any costs incurred prior to the effective date stated in a Notice to Proceed are not allowable costs and Contractor/Consultant will not be reimbursed by SEPTA for any such costs.

   d. Contractor/Consultant shall meet all other time limits set forth in Attachments 1 through 11.

5. **Data Available to Contractor/Consultant**

   All SEPTA maintained information, reasonably available and necessary for carrying out the services required to be performed under the Contract, shall be furnished to Contractor/Consultant. Contractor/Consultant shall familiarize itself with SEPTA operations and with the Project to the extent necessary to furnish the services required under the Contract.

6. **Personnel To Be Used in Providing Services**

   a. **Responsibility for Personnel**

      Contractor/Consultant agrees that all personnel used in performance of the Contract shall be considered employees of Contractor/Consultant or its subcontractors/sub-consultants and in no event shall any of the personnel employed in the performance of the Contract be considered employees of SEPTA.

   b. **Only Certain Employees to Perform Services**

      Contractor/Consultant shall provide SEPTA with a list of all Proposer's (and/or subcontractor’s) managers and field representatives who will perform services under the Contract.

      Contractor/Consultant shall furnish a resume, brief biographical sketch and services history of each person involved with performing services required under the Contract. Personnel designated within the proposal as "Key Personnel" for the performance of the required services, shall not be removed nor have their level of participation reduced by the Contractor/Consultant prior to the completion of their assignment under the Contract without the prior written approval of SEPTA.

      Contractor/Consultant agrees that it will perform all the services required under the Contract using employees of Contractor/Consultant or its authorized subcontractors/sub-consultants. Contractor/Consultant further agrees that none of the personnel performing services under the Contract has or shall have any contractual, financial or familial relationship with SEPTA or any of its officers, employees or agents.
or with any agency providing funds to SEPTA at any time during the course of the Contract.

c. Only Professionally Qualified Employees to Perform Services
All of Contractor/Consultant’s personnel providing services under the Contract shall be technically qualified to perform the services required hereunder and, unless otherwise provided herein, as required by the nature of the services, will be fully licensed in the Commonwealth of Pennsylvania and authorized in conformity with all state licensing requirements and all governmental statutes, ordinances, and other provisions dealing with the services provided by such personnel.

7. Contractor/Consultant to Cooperate with SEPTA's Designated Project Representatives

Contractor/Consultant shall cooperate with and coordinate all of the efforts of its personnel with SEPTA's Project Manager, who shall be responsible for technical direction provided by SEPTA, and SEPTA's Contract Administrator, who shall be responsible for the administration of the Contract on SEPTA's behalf (sometimes collectively referred to as "Project Representatives"). All changes in the services to be performed must receive the prior written authorization of SEPTA’s Contract Administrator. The Project Representatives shall also monitor and review the progress of the Proposer Services in order to aid in the program coordination. The participation by the Project Representatives shall not relieve the Contractor/Consultant from its obligations under the terms of the Contract.

Contractor/Consultant shall take direction, within the scope of services contemplated by the Contract, from SEPTA's Project Representatives in carrying out the Project but shall remain solely professionally responsible for the services.

8. Total Contract Price

Contractor/Consultant agrees to complete performance of all services required by the Contract documents at a total cost to SEPTA not to exceed One Million and Two Hundred Thousand Dollars ($1,200,000) which shall be in accordance with pricing submitted in attachment #3 “Price Proposal” or Best & Final Offer (BAFO), if applicable. Said total cost to SEPTA hereinafter referred to as "Total Contract Price." SEPTA is not obligated to expend any specific amount.

9. Method of Payment

a. To obtain payment of a portion of the Total Contract Price, Contractor/Consultant may submit to SEPTA, not more than once each calendar month, an invoice for payment for services rendered in the preceding month, in such form and reasonable detail as SEPTA may require. Such invoices shall not be for amounts inconsistent with the actual physical progress of the services Contractor/Consultant has performed on the Project as determined by SEPTA's Project Representatives. If the Contractor/Consultant uses a DBE, each invoice shall include a DBE Invoice Payment Report (a sample copy of the DBE Invoice Payment Report is attached to the Contract). In each invoice Contractor/Consultant shall:

(1) Certify that all services described were performed in conformity with the terms of the Contract and that it is entitled to receive the amounts specified under the terms
of the Contract in accordance with said description.

b. Payments due to Contractor/Consultant under the Contract shall be made within thirty (30) calendar days after written approval of Contractor/Consultant’s invoice by SEPTA's Project Representatives.

10. **Audit and Inspection of Books and Records**

Contractor/Consultant shall keep written records in reasonable detail of all services performed by it under the Contract. All written records, reports, work sheets, data, and information prepared, generated, or obtained in connection with Contractor/Consultant’s performance of services for SEPTA shall be made available during the term of the Contract and for a period of five (5) years thereafter, together with all books and other data or information, in whatever form contained, relating to Contractor/Consultant’s performance under the Contract. Contractor/Consultant shall permit the audit and examination of the aforementioned material, including the making of excerpts and transcriptions, by appropriate officers or representatives of SEPTA and any governmental funding agency providing financial assistance for the Project, including the United States Department of Transportation, the Office of the Comptroller General of the United States, and the Pennsylvania Department of Transportation.

Contractor/Consultant shall require its subcontractor/sub-consultants to keep written records in reasonable detail of all services performed by them for Contractor/Consultant under the Contract and to maintain all books, data, information and records in a form that will support the invoice billed to Contractor/Consultant. Contractor/Consultant shall further require that all written records, reports, work sheets, data, and information prepared, generated, or obtained in connection with such subcontractor’s/sub-consultant’s performance of services for Contractor/Consultant shall be made available during the term of the Contract and for a period of five (5) years thereafter to SEPTA, together with all books and other data or information, in whatever form contained, relating to such subcontractor’s/sub-consultant’s performance for Contractor/Consultant.

11. **Overpayments**

If at any point SEPTA determines that Contractor/Consultant has been overpaid, SEPTA's Contract Administrator shall notify Contractor/Consultant in writing of the overpayment. Contractor/Consultant shall remit the amount of the overpayment to SEPTA within thirty (30) calendar days of said notification or notify SEPTA of its disagreement. If Contractor/Consultant does not agree with SEPTA's determination, it shall follow the dispute process outlined in Paragraph 31, “Disputes.”

12. **All Information and Findings to Remain Confidential**

Contractor/Consultant agrees that all information relating to research investigations (patentable or un-patentable), specifications and other evaluations, drawings, tracings, plans, and other data which have been obtained by Contractor/Consultant from SEPTA or are evolved or developed by Contractor/Consultant (or by others under his direction or supervision) in connection with the performance of the Contract or the efforts in conjunction with employees of SEPTA shall be deemed to be confidential information belonging solely to SEPTA. Further, during the term of the Contract and thereafter for a minimum period of
three (3) years after the services, Contractor/Consultant shall not use or disclose such information for any purpose (or permit its usage or disclosure by others under Contractor/Consultant's supervision or direction) except to the extent necessary to perform services under the Contract, unless Contractor/Consultant can demonstrate to the satisfaction of SEPTA that such information was actually known to Contractor/Consultant prior to the Contract or was independently and properly obtained or developed by Contractor/Consultant apart from any connection with SEPTA or its employees, directly or indirectly, without breach of any confidential relationship or was publicly available. Contractor/Consultant, through the use of employment contracts and other legally acceptable methods, shall ensure that during the term of the Contract and for three (3) years after the services, none of its employees or former employees accept any employment or assignment which uses any of the information developed in connection with this Project.

13. Data to Become Property of SEPTA

All data, notes and other works developed in the performance of the Contract shall become the sole property of SEPTA and may be used on any other Project without additional compensation to Contractor/Consultant. Contractor/Consultant agrees not to assert or authorize others to assert any rights nor establish any claim under the design patent or copyright laws. Contractor/Consultant, for a period of three years after completion of the Project, agrees to furnish all retained works on the request of SEPTA's Project Representative. Unless otherwise provided in the Contract, Contractor/Consultant shall have the right to retain copies of all works beyond such period.

14. Interest of Contractor/Consultant

Contractor/Consultant agrees, for itself and its employees involved in this Project, that it has no interest and shall not acquire any interest, direct or indirect, including any business interest or other pecuniary or beneficial interest which would conflict in any way whatsoever with performance of services in connection with the Project. In addition, Contractor/Consultant is hereby referred to the provisions of Paragraph 6 “Personnel to Be Used in Providing Services,” of the Contract.

15. Assignment of Rights, Delegation of Duties Restricted

Contractor/Consultant shall not assign any rights arising under the Contract without the prior written consent of SEPTA. Contractor/Consultant shall not delegate, without the prior written consent of SEPTA, any duties in performance of services under the Contract.

16. Subcontracting

a. Subcontracting Restricted

Beyond those subcontractors/sub-consultants proposed by the Contractor/Consultant and made part of the Contract, Contractor/Consultant shall not subcontract any portion of the services which are the subject of the Contract without the prior written consent of SEPTA. Contractor/Consultant agrees to be fully liable and responsible for the acts and omissions of subcontractors and sub-consultants just as Contractor/Consultant is for the acts and omissions of persons employed by Contractor/Consultant.
b. **Award of Subcontracts and Other Contracts for Portion of the Work**

   (1) Any new or additional or substituted subcontractor/sub-consultant proposed by Consultant after the award shall be subject to the prior written approval of SEPTA's Project Representative.

   (2) Consultant shall not make any substitution of any subcontractor/ sub-consultant or for any person or organization that has been previously accepted by SEPTA as part of the Contract unless and until requested to do so by SEPTA and/or unless such substitution is expressly approved by SEPTA in writing. No increase in total contract price shall be allowed for any such substitution.

c. **Sub-consultant/Sub-contractor Relations**

   The Contractor/Consultant shall deal with each Subcontractor/Sub-consultant in accordance with the terms and conditions of a written Contract between the Contractor/Consultant and such Subcontractor/Sub-consultant. Said written Contract shall not be inconsistent with any term or condition of the Contract, shall include all terms and conditions required by the Contract and shall in every respect protect SEPTA's interests in the Work and the conduct thereof.

   In the absence of good and sufficient reasons, within twenty (20) business days of the receipt of payment from SEPTA by the Contractor/Consultant, the Contractor/Consultant shall pay each Subcontractor/Sub-consultant with whom it has contracted their earned share of the payment the Contractor/Consultant received. In addition, Contractor/Consultant shall pay its Sub-consultant(s)/Subcontractor(s) any retainage Contractor/Consultant has withheld from its Sub-consultant(s)/Subcontractor(s) within twenty (20) business days after a Sub-consultant’s/Subcontractor’s work is satisfactorily completed.

   With regard to any claim or dispute with respect to payment of a sub-consultant or subcontractor, or supplier at any tier, Contractor/Consultant expressly agrees to defend, indemnify and hold SEPTA harmless in the event any suit is brought on account of a dispute between any of the parties including but not limited to sub-consultants, subcontractors, suppliers and materialmen and in particular, Contractor/Consultant shall assume the defense affirmatively at its sole cost whenever such suit is brought in any jurisdiction.

17. **Interpretation of Scope**

   SEPTA's Project Manager and/or Contact Administrator shall have the right to make, in writing, interpretations of the scope of services.

18. **Changes**

   a. The services set forth in Attachments 1 through 11 of the Contract may be reduced, modified or expanded within or beyond the scope of the Contract by written modifications executed by SEPTA and Contractor/Consultant.
Except as provided in paragraph "b" below, in the event that SEPTA requires a reduction, expansion, or modification of the services, SEPTA shall issue to Contractor/Consultant a written notification which specifies such reduction, expansion, or modification. Within fifteen (15) calendar days after receipt of the written notification, Contractor/Consultant shall provide SEPTA's Contract Administrator with a detailed price and schedule proposal for the services to be performed or to be reduced. This proposal may be accepted or rejected by SEPTA or modified by negotiations between Contractor/Consultant and SEPTA. A written Amendment to the Contract shall be executed by both parties.

b. Notwithstanding paragraph "a" above, SEPTA may at any time, by written order, make changes within the general scope of the Contract to the services to be performed by Contractor/Consultant. If any such change causes an increase or decrease in the price of, or the time required for, the performance of any portion of the services under the Contract, SEPTA's Contract Administrator shall make equitable adjustment in any one or more of the following: price; completion schedule; or other affected terms; and shall modify the Contract in writing accordingly. Any claim by Contractor/Consultant for adjustment under this paragraph must be asserted within thirty (30) calendar days from the date of receipt by Contractor/Consultant of the notification of change; provided however that SEPTA's Contract Administrator, if the Contract Administrator decides that the facts justify such actions, may receive and act upon such claim at any time prior to final payment under the Contract. Failure to agree to any adjustment shall be a dispute within the meaning of Paragraph 31 Disputes. However, nothing in this paragraph shall excuse Contractor/Consultant from proceeding with the Contract as changed.

c. No services for which an additional amount will be charged by Contractor/Consultant shall be furnished without the prior express written authorization of SEPTA's Contract Administrator.

19. **Infringement of Patents, Trademarks and Copyrights**

Contractor/Consultant shall defend, indemnify and save harmless SEPTA, its Board Members, officers, agents, servants, workers, employees, subsidizers and indemnities from liability of any kind and will pay all costs and expenses, including consequential damages, for or on account of or existing from any infringement or violation or alleged violation of any patent, trademark and/or copyright or any right of any person, firm or corporation resulting from any act, omission or negligence on the part of Contractor/Consultant in performance of the Contract.

20. **Covenant Against Contingent Fees**

Contractor/Consultant hereby warrants that it has not employed or retained any company or person other than a bona fide employee working for Contractor/Consultant solely to solicit or secure the Contract and that it has not paid or agreed to pay any person or company other than a bona fide employee working solely for Contractor/Consultant, any fee, commission, percent or brokerage fee, gift or other consideration contingent upon or resulting from the award or making of the Contract. In the event of breach or violation of this warrant, SEPTA shall have the right to terminate the Contract without further liability to Contractor/Consultant or to any third party.
21. **Termination for Convenience of SEPTA**

SEPTA shall have the right to terminate the Contract, in whole or in part, at any time by written notice to the Contractor/Consultant. The Contractor/Consultant shall be paid all reasonable costs as determined by SEPTA in accordance with 48 CFR Subpart 31.2 that specifies the special treatment of certain costs under Subpart 31.2, Section 31.205-42, Termination Costs."

Such costs will include contract work performed up to the date of termination; any actual costs associated with termination for convenience, as agreed to by SEPTA; and profit on Work performed up to the time of termination. However, the agreed amount may not exceed the Contract Sum. Furthermore, SEPTA will not pay any anticipatory profits and/or consequential damages claimed by the Contractor/Consultant as a result of termination of the Contract. The amount of profit paid shall be determined by the parties based on the amount of actual work completed. The Contractor/Consultant shall submit promptly its termination claim to SEPTA and SEPTA shall determine the settlement amount to be paid the Contractor/Consultant. If the Contractor/Consultant has any property in its possession belonging to SEPTA, the Contractor/Consultant shall account for same and dispose of it in the manner SEPTA directs.

22. **Termination of Contract for Cause**

If Contractor/Consultant fails to remedy to SEPTA's satisfaction the breach or default of any of the terms, covenants, or conditions of the Contract within ten (10) calendar days after receipt by Contractor/Consultant of written notice from SEPTA setting forth the nature of said breach or default and/or if the Contractor/Consultant is suspended or debarred by any federal agency or by the Commonwealth of Pennsylvania, SEPTA shall have the right to terminate the Contract without any further obligation to Contractor/Consultant. Any such termination for cause shall not in any way operate to preclude SEPTA from also pursuing all available remedies against Contractor/Consultant.

In the event that SEPTA elects to waive its remedies for any breach by Contractor/Consultant of any covenant, term or condition of the Contract, such waiver by SEPTA shall not limit SEPTA's remedies for any succeeding breach of that or of any other term, covenant, or condition of the Contract.

In the event that it is ultimately determined by SEPTA that the Contractor/Consultant was not in default or that the failure to perform arose out of causes beyond the control and without fault of the Contractor/Consultant, the termination shall be treated as one of convenience and the Contractor/Consultant's sole rights and exclusive remedies shall be those set forth in Paragraph 21.

The Contractor/Consultant will only be paid the contract price for supplies delivered and accepted, or services performed in accordance with the manner of performance set forth in the contract.
23. **Indemnification**

In addition to all other obligations of Indemnification specified herein, Contractor/Consultant agrees to release and be liable for and to defend, indemnify and save harmless SEPTA, its Board members, officers, agents, servants, workers, employees, subsidizers and indemnities, the Pennsylvania Department of Transportation, the City of Philadelphia and any and all government funding agencies providing funds or services in connection with this Project (hereinafter collectively referred to as “SEPTA”), from and against any and all loss, cost, damage, liability and expense, including consequential damages, counsel fees, whether or not arising out of any claim, suit or action at law, in equity, or otherwise, of any kind or nature whatsoever, including negligence, arising out of the performance of the work by reason of any accident, loss or damage of property, including the work site, property of SEPTA and Contractor/Consultant, or injury, including death, to any person or persons, including employees of SEPTA, Contractor/Consultant, which may be sustained either during the term of the Contract, or upon or after completion of the Project, whether brought directly by these persons or by anyone claiming under or through them including heirs, dependents and estates.

Contractor/Consultant also agrees for itself and on behalf of its agents, servants, sub-contractors, materialmen and employees to defend, indemnify and hold harmless SEPTA from and against any and all claims of any kind or nature whatsoever regarding sub-contractors/subcontractors and materialmen and agrees to assume the defense of SEPTA to any such suit at its cost and expense. The Contractor/Consultant further assumes the risk of loss and damage to materials, machinery and equipment to be incorporated in the Work at all times prior to delivery to the Project site or while in the possession or under the control of the Contractor/Consultant.

Contractor/Consultant, for itself and its employees, Board members, officers, agents, servants, workers, contractors/consultants, sub-contractors/subcontractors, licensees and invitees, or any other person working on Contractor/Consultant’s behalf, hereby releases and agrees to be liable for and to defend, indemnify and save harmless SEPTA, even if SEPTA is negligent in whole or in part, for any claims made by an employee, Board member, officer, agent, workman or servant of the Contractor/Consultant’s or any other person working on Contractor/Consultant’s behalf, including claims for compensation or benefits payable to any extent by or for Contractor/Consultant under any workers’ or similar compensation acts or other employee benefit acts, and Contractor/Consultant expressly waives its statutory protection under §303, as amended, of The Pennsylvania Workers’ Compensation Act, 77 P.S. §481 (b).

In addition, Contractor/Consultant shall indemnify SEPTA for any fines and legal fees incurred because employees, agents, or workers supplied by Contractor/Consultant are not authorized to work in the United States.

24. **Insurance**

The Contractor/Consultant shall purchase and maintain the types of insurance, with the corresponding limits and other requirements as set forth below in Subsection 24(e). All insurance shall be procured from insurers authorized to do business in the jurisdiction(s)
where the Work is to be performed. Contractor/Consultant shall require all subcontractors to carry the insurances required herein.

a. **Proof of Compliance**

   (1) **Evidence of Insurance**
   Within ten (10) calendar days after receipt from SEPTA of notice of award of the Contract, the Contractor/Consultant shall furnish SEPTA’s Contract Administrator with Certificates of Insurance (including endorsements) (SEPTA’s RFP number 19-00149-ARIB must be noted on certificates) and the declaration page for each required insurance. Upon SEPTA’s request, Contractor/Consultant shall provide any other documents which SEPTA may require as evidence of compliance with the insurance requirements. It shall be at SEPTA’s discretion whether the proof of insurance provided by Contractor/Consultant is sufficient evidence of compliance.

   (2) **Written Approval Required**
   Once all proper evidence of insurance has been received and accepted by SEPTA, SEPTA will provide written notification to Contractor/Consultant of such acceptance. SEPTA will not issue the Notice to Proceed until Contractor/Consultant has complied with insurance requirements and SEPTA has accepted the evidence of such compliance.

b. **Policies to Remain in Force**

   (1) Unless otherwise noted below, all required insurance must remain in force until all Work related to the Project is satisfactorily completed and all Work has been formally accepted by SEPTA in accordance in the Contract.

   (2) All policies shall provide for thirty (30) calendar days written notice to SEPTA, and all other Named Insured, before cancellation by the company issuing the insurance. If such notice is not provided for within the basic terms of the policy, it shall be provided by endorsement or notation on the Declarations Page.

   (3) In the event that any or all of the insurance coverages required by the Contract is cancelled, are reduced below the required minimum limits, or lapse, then the Contractor/Consultant will be suspended from further performance of the Work until such time as replacement coverage satisfactory to SEPTA has been obtained and is in force. SEPTA will make no further payments to Contractor/Consultant until such requirement is satisfied.

c. **Named Additional Insureds**
   Contractor/Consultant shall include as an "Additional Insured" Southeastern Pennsylvania Transportation Authority in addition to any parties identified below to be designated on the policies for each respective type of insurance:

d. **Waiver of Liability for Premiums**
   For each policy that includes one or more Named Insured(s) or Additional Insured(s), the policy shall contain a Waiver of Liability, for all Named Insureds and Additional Insureds, for the payment of premiums.
e. **Types of Insurance and Limits of Liability**

Contractor/Consultant shall, as an express condition of payment under the Contract, provide and maintain at its own cost and expense, the following types of insurances with the stated, or greater, respective limits of liability.

1. **Workers Compensation Insurance**
   
   Not less than $1 million per accident.

2. **Commercial General Liability Insurance**

   Coverage for Contractor/Consultant liability with respect to bodily injury and property damage to others. Products-completed operations, independent Contractor/Consultants and contractual liability coverages are to be included.

   (a) **Limits of Liability**

   Coverage under this policy shall have limits of liability of not less than $1 million per occurrence, combined single limit for bodily injury (including disease) and property damage and not less than $2 million in Annual Aggregate.

   CG2417 endorsement or equivalent is required.

   (b) **Products Completed Operations Liability:**

   $2 million combined single limit per occurrence.

   (c) **Umbrella/Excess Liability:**

   $1 million combined single limit per occurrence.

   Umbrella/Excess Aggregate: $1 million annual aggregate.

   (d) **Additional Insureds**

   Policy shall be written or endorsed to include *Southeastern Pennsylvania Transportation Authority* as Additional Insured.

3. **Vehicle Liability**

   Liability Insurance (cover all autos, trucks, and other vehicles used in connection with this Project) for bodily injury and property damage to others.

   (a) **Limits of Liability**

   Coverage under this policy shall have limits of liability of not less than $1 million per occurrence, combined single limit for bodily injury and property damage (including loss of use).
(b) **Other**
This policy shall be written or endorsed to include coverage for hired, leased or other non-owned vehicles.

(4) **Professional Liability Insurance**

(a) **Limits of Liability**
Coverage under this policy shall have limits of liability of not less than $1 million per claim and not less than $1 million in the Annual Aggregate.

(b) **Named Insureds**
Southeastern Pennsylvania Transportation Authority

f. **Payment of SEPTA Claims Against Contractor/Consultant’s Insurance**
Contractor/Consultant shall require its insurance carrier(s) to make checks in payment for claims payable to SEPTA.

25. **Personnel Security Measures**

SEPTA reserves the right to impose personnel security measures upon the Contractor/Consultant and its employees as SEPTA deems necessary and appropriate to ensure the safety of its patrons, employees and property. These measures may include, but are not limited to, registration of all employees of the Contractor/Consultants and its subcontractors/sub-consultants who shall be working on SEPTA property, photo identification of all registered employees, and background investigations of all registered employees. In addition, SEPTA reserves the right to institute personnel security measures, which may be imposed at any time during the course of the Work. SEPTA shall assume the costs of such security measures. The Contractor/Consultant and its employees shall cooperate fully with SEPTA in implementing and enforcing security measures on SEPTA property. The Contractor/Consultant shall be notified by SEPTA, in writing, regarding what is required by SEPTA to carry out any personnel security measures that are being imposed on the Contractor/Consultant.

26. **Notices**

All Notices given by either party to the other shall be effective only if given in writing and sent to the following addresses of the parties, or to such other address as may be designated in writing by the parties:

**TO SEPTA:**
Assistant General Manager of Procurement, Supply Chain & DBE Procurement, Supply Chain & DBE Division
Southeastern Pennsylvania Transportation Authority
1234 Market Street, 11th Floor
Philadelphia, PA 19107-3780

**TO CONTRACTOR/CONSULTANT:**
27. **Compliance with Federal, State and Local Laws and Contract Requirements**

Contractor/Consultant shall comply in performance of services hereunder with all applicable laws, ordinances and regulations, judicial decrees or administrative orders, ordinances and codes of federal, state and local governments. See Attachments 4 and 10.

28. **Governing Law, Forum Selection, and Consent to Jurisdiction**

All matters or claims arising out of, related to, or in connection with the Contract, the Project or the relationship between the parties shall be governed by and construed in accordance with the laws of the Commonwealth of Pennsylvania without giving effect to the principles of conflicts of laws of such state. All matters, disputes, claims, litigation, or proceedings of any nature whatsoever based upon, arising out of, under or in connection with the Contract, the Project or relationship between the parties shall be solely and exclusively brought, maintained, resolved, and enforced in the state or federal courts located in the City of Philadelphia, Pennsylvania, irrespective of any procedural rules or laws related to venue and forum non convenes, including but not limited to any choices Contractor/Consultant may have under any such rules or law. Contractor/Consultant hereby expressly consents to the jurisdiction of the state and federal courts located in the City of Philadelphia and hereby expressly and irrevocably waives any objection which Contractor/Consultant may have or hereafter may have to jurisdiction or venue in the state and federal courts located in the City of Philadelphia and any claim that such court is inconvenient or lacks personal jurisdiction over Contractor/Consultant. Contractor/Consultant represents and acknowledges that the choice of jurisdiction and venue described above is reasonable and has been freely and voluntarily made by Contractor/Consultant. Further, the choice of jurisdiction and venue described above shall be mandatory and not permissive in nature, thereby precluding the possibility by Contractor/Consultant of litigation or trial in any other jurisdiction, court or venue other than specified above, except that any final judgment may be enforced in other jurisdictions in any manner provided by law.

29. **Waiver of Breach of Contract**

No waiver of any breach of any covenant, term, or condition of the Contract shall constitute a waiver of such covenant, term, or condition, or of any subsequent breach thereof.

30. **SEPTA Equal Employment Opportunity/Affirmative Action Contractual Requirements**

Contractor/Consultant covenants and agrees to abide by all stipulations attached hereto and made a part hereof as Attachment 11 for all services to be performed in connection with the Contract.

31. **Disputes**

a. Disputes arising in the performance of the Contract which are not resolved by agreement of the parties shall be decided in writing by the authorized representative of SEPTA's Assistant General Manager of Procurement, Supply Chain & DBE of Procurement. This decision shall be final and conclusive, unless within ten (10) calendar days from the date of receipt of its copy, the Contractor/Consultant or SEPTA Project Manager mails or otherwise furnishes a written appeal to the Assistant General
Manager of Procurement, Supply Chain & DBE of Procurement. The Assistant General Manager of Procurement, Supply Chain & DBE of Procurement may authorize a representative not involved with the initial decision to review the appeal. In connection with any such appeal, the Contractor/Consultant or SEPTA Project Manager shall be afforded an opportunity to offer evidence in support of its position. The decision of the Assistant General Manager of Procurement, Supply Chain & DBE of Procurement, or his/her authorized representative, shall be the final determination of SEPTA.

b. **Performance During Disputes**
   Unless otherwise directed by SEPTA, Contractor/Consultant shall continue performance under the Contract while matters in dispute are being resolved.

32. **Third Party Contract Rights**

   It is agreed that SEPTA, neither by this paragraph nor by any other provisions in the Contract or other statements prior to or contemporaneous with the Contract creates any right or expectation in any third party or third parties (including, without limitation, subcontractors/sub-consultants) enforceable at law or in equity or any other proceeding against SEPTA, its Board Members, officers, agents, servants, workers, employees, subsidizers, indemnities or assigns.

33. **Prohibited Interest**

   No member, officer, or employee of SEPTA or of a local public body during his tenure or one year thereafter shall have any financial interest, direct or indirect, in the Contract or the proceeds thereof.

34. **Integration**

   Subject to SEPTA's right to rely upon substantial representations made by Contractor/Consultant in making the decision to award the Contract to Contractor/Consultant, the Contract represents the entire and integrated contract between SEPTA and Contractor/Consultant and supersedes all prior or contemporaneous negotiation, representation, or contract, either written or oral. The Contract may not be amended, modified, or changed except as provided in Paragraph 18, “Changes.”

35. **Severability**

   If any paragraph, clause, section or part of the Contract is held or declared to be void or non-enforceable for any reason, all other paragraphs, clauses, sections or parts shall nevertheless continue in full force and effect.

36. **Disadvantaged Business Enterprise (DBE) Requirements**

   The Contractor/Consultant shall fully comply with the DBE requirements as found in Attachment 6 which is attached hereto and made a part hereof.
37. **Joint and Several Liability**

If two or more individuals, corporations, partnerships, or other business associations (or any combination of two or more thereof) shall sign the Contract as Contractor/Consultant, the liability of each such individual, corporation, partner or other business association to perform the obligations hereunder shall be deemed to be joint and several and all notices, payments and agreements given or made by, with or to any such individual, corporation, partner or other business association shall be deemed to have been given or made by, with or to all of them. In like manner, if Contractor/Consultant shall be a partnership or other business association, the members of which are by virtue of state or federal law are subject to personal liability, the liability of each member shall be joint and several.

38. **Warranties** – **Not Used**

39. **Performance Bond** – **Not Used**

40. **Liquidated Damages** – **Not Used**

41. **Delivery**
   
a. Delivery shall be as required in the Scope of Services.

42. **Inspection** – **Not Used**

[END OF PAGE]
IN WITNESS WHEREOF, the parties hereto have caused this Contract to be executed by the undersigned duly authorized officers, as of the day and the year first above written.

ATTEST:  
SOUTHEASTERN PENNSYLVANIA TRANSPORTATION AUTHORITY

CAROL R. LOOBY  
SECRETARY TO THE BOARD

LESLEY S. RICHARDS  
GENERAL MANAGER

ATTEST:

______________________________  
(Please type name)

(Please type name)

BY:  
PRESIDENT OR VICE PRESIDENT

APPROVED AS TO FORM:

BY: _______________________, Esquire  
Office of General Counsel  
Southeastern Pennsylvania Transportation Authority
Attachment 1

Technical Proposal

for

General Safety and Engineering Services
Insert

(Technical Proposal)
Attachment 2

Scope of Services

for

General Safety and Engineering Services
GENERAL SAFETY AND ENGINEERING SERVICES

SCOPE OF SERVICES

PROJECT BACKGROUND

The Southeastern Pennsylvania Transportation Authority (SEPTA) is soliciting a qualified company (hereinafter referred to as “Consultant”) to develop and provide professional safety and engineering services in an effort to strengthen and establish a proactive culture of safety that is well defined, sustainable and documented through its processes, policies, and procedures. Due to the nature of risks associated with public transportation, SEPTA currently performs a variety of safety oversight activities with its professional safety staff to ensure the safety of its employees, customers, and the environment. There are approximately 9,400 employees in various job positions at SEPTA and more than 1.2 million daily customers in addition to approximately 5.7 million residents in the greater Philadelphia area.

The aforementioned safety and engineering services shall be delivered as requested at intervals specified by SEPTA. All programs and materials developed under the contract shall become the property of SEPTA for its continued use. Contract shall be managed by SEPTA’s System Safety Division, but will be available to all SEPTA Divisions that have a need for its services and have budgeted funds available. The Safety and Engineering Services Contract is a three (3) year requirements Contract on a task order basis for an amount not to exceed $1,200,000, however, SEPTA is not obligated to expend any specific amount.

SEPTA proposes to engage the services of an experienced Consultant to provide safety and engineering services in order to achieve the following benefits:

1. SEPTA will have the availability of a technical service capable of assessing SEPTA’s safety risks and exposures. Having a dedicated Consultant will enable more efficient utilization of SEPTA’s current System Safety staff.

2. SEPTA will receive current and relevant safety plans and programs to fill gaps in areas where no SEPTA plans or programs exist, and to replace outdated plans or programs.

3. The Consultant will enable SEPTA to ensure regulatory compliance by providing materials, services, and guidance which meet the latest regulatory requirements in a timely manner.

4. In addition to the (3) above listed benefits, the Consultant will possess the experience and capabilities to assist SEPTA to ensure compliance with the Federal Transit Administration’s relatively new rules, including, but not limited to: 49 CFR PARTS 670; 672; 673; and 674 and Federal Railroad Administration Rule 49 CFR PART 270.
I. ADMINISTRATION OF THE CONTRACT

A. General – A technically qualified and experienced Project Manager/Engineer will be assigned to each assignment commenced under the authority of the professional safety and engineering services contract. The Project Manager/Engineer will be responsible for the technical aspects of her/his assignment and to assure the orderly progression of work in accordance with contractual requirements. The Project Manager/Engineer shall be an expert possessing the knowledge, experience, appropriate current certification, i.e. World Safety Organization – Certified Safety and Security Director; Transportation Safety Institute – Transit Safety and Security Practitioner; Federal Transit Administration – Public Transportation Safety Certification Training Program; license, additionally, a Professional Engineer, and authority to provide technical direction to meet the project scope and requirements and professionally interact with SEPTA's assigned Project Manager is preferred.

B. Timeliness of Response – The selected consultant must be capable of a timely response to requests made by SEPTA. The importance of this ability, as well as the capacity to effectively and efficiently undertake a significant number of relatively small projects, cannot be overemphasized. Proposers should remain cognizant of the fact that the primary objective of SEPTA in entering into a contract of this type is to have quality and experienced safety and engineering services available within a significantly shorter lead time than can be achieved by entering into individual projects/tasks for assignment that arises during the timeframe set forth for this proposed contract.

C. Assignment Authorization Process – Each proposed assignment shall have a specific scope of work to be performed, a schedule, an assigned SEPTA Project Manager/Engineer, an assigned Consultant Project Manager, and a total maximum assignment cost established based on rates listed in the pricing schedule, “initial or BAFO,” from where applicable prior to the commencement of work that is mutually agreed to by SEPTA and the Consultant. The normal procedures that will be followed to initiate work on each assignment are as follows:

1. SEPTA initiates a Request for Proposal (RFP). This document requests the Consultant to submit a technical and cost proposal for engineering services for the proposed project. The RFP shall contain the SEPTA task identification number and name, the scope-of-service requested, identification of the SEPTA Project Engineer/Manager, and a list of task deliverables.

2. In some instances SEPTA will require the Consultant to attend a scope review meeting prior to the submission of a proposal, which shall be at no cost to SEPTA. Such meetings would be scheduled only for projects involving plans or recommendations as an end-product.

3. Following receipt of the SEPTA RFP and the scope review meeting (if needed), the Consultant is to submit a proposal to SEPTA for consideration by the date that SEPTA
has indicated that a proposal is desired. The Consultant’s proposal must consist of the following:

a. The Consultant’s narrative technical proposal describing its planned approach to accomplishing the objectives stated in the SEPTA RFP. Work that is to be performed must be described in sufficient detail for SEPTA to be able to determine whether or not the objectives of its RFP will be met. If the Consultant’s proposal differs from the requirements delineated in the RFP, then the Consultant must identify these differences or exceptions and provide an explanation for them.

b. The name and position of the Consultant’s Technical Manager for the assignment must be provided.

c. A detailed cost proposal including breakdown of costs for a specific assignment.

NOTE: Once an assignment is authorized by SEPTA, the total assignment cost stated in the Consultant’s proposal shall be a maximum assignment cost, which in no event shall be exceeded unless properly agreed to by SEPTA prior to the Consultant incurring any extra costs. Additional costs beyond the maximum agreed to in any assignment shall only be considered properly authorized upon written approval from SEPTA’s Project Manager/Engineer. SEPTA will only compensate the Consultant for the actual costs incurred by the performance of the work. The total assignment cost shall remain constant, unless SEPTA authorizes a change in the scope of work for the assignment.

4. SEPTA reserves the right to reject the Consultant’s proposal for any reason. If SEPTA does not approve the Consultant’s proposal, SEPTA may request a negotiation meeting with the Consultant for the purpose of attempting to arrive at a mutual agreement regarding the issue(s) responsible for SEPTA not approving the proposal as submitted. In the event that a mutually agreeable proposal cannot be agreed to, SEPTA may cancel the assignment or issue a letter delineating the reason(s) for SEPTA declining the services of the Consultant. SEPTA further reserves the right to seek services from another consultant to perform an assignment that was initially submitted to the Consultant in the event an acceptable proposal could not be agreed upon by both parties.

5. Upon acceptance of the Consultant’s proposal by SEPTA, a written assignment will be issued that will incorporate both the SEPTA scope of work for the assignment and the Consultant’s proposal and govern the performance of the particular assignment. The Consultant is to commence work either immediately upon receipt of the assignment or later in accordance with direction provided by the SEPTA Project Manager/Engineer. It is the objective of SEPTA to have all assignments authorized within four (4) weeks of the issuance of the RFP to the Consultant. The Consultant is expected to assist SEPTA in meeting this objective.

6. The proceedings described in #1 through #3, inclusive, shall be the normal procedures employed for the authorization of assignments under the Contract. The exception to
these procedures is that the SEPTA Project Manager/Engineer has the authority to direct the Consultant to provide services for a specific assignment without first requiring a formal proposal form the Consultant.

The Consultant may not bill SEPTA for time associated with preparing the proposals for assignments.

SEPTA will provide an allowance amount. This amount will be utilized at SEPTA’s sole discretion for unpriced items/services (if required) during the term of the contract period. Pricing for these services will require substantiation.

II. SCOPE OF SERVICES FOR THE PROFESSIONAL SAFETY AND ENGINEERING SERVICES CONTRACT

A. General Requirements: The Consultant shall be capable of performing all of the services described herein. Consultant shall provide SEPTA with a list of all personnel and subcontracted firms who will perform services under the Agreement, including a resume, brief biographical sketch and services history. In order to accommodate project schedule and to provide competitive proposals, it is anticipated that the Consultant may identify multiple subcontractors for each subcontracted service. When the scope of services specifies capabilities possessed by both the Consultant and a qualified subcontractor, it is anticipated that the Consultant will utilize the resource which most cost effectively accomplishes the task.

Consultant's/Subcontractor's personnel as described above shall be considered "Key Assigned Personnel" which will be assigned to perform the required service(s). Key Assigned Personnel will be subject to SEPTA approval with regard to qualifications, certifications and past project performance. The Consultant/Contractor shall include individuals qualified through training or experience to perform the assignment, and possessing required certifications and/or licenses appropriate to the project scope and work authorization agreement. The Consultant shall appoint a Technical Manager as a primary liaison with the SEPTA Project Manager as a single point of contact with SEPTA for all administrative and technical matters. The Project Director (principal) shall possess contractual authority on behalf of the Consultant/contractor to execute all administrative matters, and shall solely direct all projects and delegate work assignments.

SEPTA does not guarantee that any specific level of work will be required for each of the types of service described within this Attachment 2. The services listed herein are not an exhaustive list, but provide examples typical for each category of service.

Consultants shall make any personnel working on SEPTA property available in advance for Roadway Worker Protection training as required by SEPTA for any
work that will foul or have potential to foul a track right-of-way. (Assigned personnel should be experienced and familiar with rail/roadway/right-of-way rules and protocols.) In order to be prepared to respond to any SEPTA project, Key Assigned Personnel shall receive training within sixty (60) days of award, and maintain a current certification throughout the term of the contract. Subcontractors and supplemental Consultant personnel shall receive training within six (6) months of award.

In addition to the service categories described in Subsections B 1 through 7 herein, the Consultant shall possess the expertise to provide general safety and engineering consulting and compliance training as follows:

1. **Regulatory Consulting:** Provide SEPTA with assistance in interpreting federal, state and local environmental, health and safety regulations, and developing action plans to implement compliance programs. Consultant shall be well versed in the regulatory authority of Federal Transit Administration (FTA), Federal Railroad Administration (FRA), Occupational Safety and Health Administration (OSHA), Pennsylvania Department of Transportation (PennDOT), Pennsylvania Department of Labor and Industry (PADLI), City of Philadelphia, and other regulatory agencies as applicable to SEPTA. Assistance may be required in determining the applicability of regulations from the above agencies to SEPTA, as well as with regulations and programs such as the American Public Transportation Association (APTA) Standards and Recommended Practices, Transportation Security Administration (TSA), National Fire Protection Association (NFPA), National Electrical Code (NEC), Federal Emergency Management Agency (FEMA) and any others that may be applicable to SEPTA.

2. **Compliance Training:** Consultant shall on a monthly basis update SEPTA Project Managers in writing on regulatory revisions and updates which may impact SEPTA operations or compliance. In addition, the Consultant shall provide when requested, guidance on regulatory interpretation and informational training on regulatory compliance.

B. **Safety and Regulatory Compliance and Assistance:** The Consultant shall have thorough knowledge and extensive experience, including relevant certifications (FTA, TSI, WSO, ASSP, etc.) and licensing (PE) in performing safety and engineering services and gap analyses (i.e. the tasks listed below) in compliance with federal, state, and local regulations, and in accordance with applicable current industry standards and practices, including safety protocols. All regulatory reports shall be prepared in a format appropriate and acceptable to the reviewing agency. Following are examples of services which may be required:
1. **Technical support for analysis and implementation of SEPTA’s safety and security certification program.**

   a. Review of SEPTA’s current safety and security certification processes to verify their compliance with the Federal Transit Administration (FTA) requirements and best industry practices.

   b. Review of Safety and Security Programs (including Safety and Security Programs) for complex and large projects.

   c. Assist in the review, development and/or revision of safety and security certification documents including Safety and Security Certification Plans (SSCP), Safety and Security Management Plans (SSMP), Certifiable Elements Lists, Certifiable Items Lists, Design and Construction Conformance Checklists (DCCC), Project Certifications of Conformance (COCs), and Safety and Security Certification Verification Reports.

   d. Assist in the performance of or conduct verification reviews of contractually required deliverables (i.e., plans, analyses, designs, test procedures and reports, drawings, etc.) submitted to SEPTA by contractors, original equipment manufacturers, and vendors.

   e. Assist in developing Hazard Analyses (PHAs, FMECAs, FTA, O&SHAs, etc.) and Hazard Tracking Logs.

   f. Assist in developing and reviewing fire safety analysis (facility and vehicle) to include egress analysis, and evaluation of material flammability, smoke emission, and toxicity test results.

   g. Prepare and present status reports and presentations on assigned certification activities.

   h. Serves as a liaison between SEPTA, Project Engineering, and Contractors for the purposes of overseeing Safety and Security Certification Programs.

   i. Attend necessary meetings.

2. **Provide technical engineering services to support SEPTA with implementing SEPTA’s System Safety Goals and Objectives.**

   a. Consultant shall be available to provide “on-call” support to SEPTA- staff with engineering technical expertise in the fields of electrical, civil, mechanical, fire protections, system safety, traffic and industrial engineering.

   b. Provide Fire Protection Engineering Support to SEPTA’s Fire Marshal.
c. Perform ad-hoc engineering studies related to operational safety issues experienced by SEPTA and develop technical reports detailing the Consultant’s findings and recommendations.

d. Conduct facility fire/life safety assessments, inspections and testing and develop technical reports detailing the Consultant’s findings and recommendations.

e. Support documentation of findings, identification of resources and development of Corrective Action Plans (CAPs).

3. Accident / Incident investigation and reporting

a. Consultant shall be available to provide “on-call” support to SEPTA staff with technical expertise in the fields of accident investigation, including human factors.

b. Support or perform bus, rail, or operations accident investigations.

c. Support documentation of findings, identification of resources and corrective actions.

d. Assist in developing policy, procedures and processes for investigations.

e. Assist in the hazard identification process and development of Corrective Action Plans, if needed, relevant to Accident/Incident Investigations.

4. Provide support for construction safety assessments

a. Assist in the strengthening of internal construction safety assessments.

b. Support or perform internal construction safety assessments.

5. Review, revise safety plans, rules and procedures.

a. Assist SEPTA in complying with the statutory requirements of the Moving Ahead for Progress in the 21st Century Act (Map-21) law and subsequent regulations.


6. **Support management of SEPTA Safety Programs.**

   a. Assist with the preparation of reports to Pennsylvania Rail Transit Safety Review Program (PRTSRP), FTA, FRA, NTSB, and other Authorities Having Jurisdiction (AHJ) as necessary.

   b. Assist with the preparation and delivery of presentations to the SEPTA Board, FTA, PRTSRP, FRA, NTSB and other AHJs as necessary.

   c. Assist with development and implementation of SEPTA’s Safety Management System (SMS) program.

   d. Assist with continued implementation and training of SEPTA’s Public Transportation Agency Safety Plan.

   e. Provide technical support for the Internal Safety and Auditing (ISA) program.

   f. Assist with the development of Hazard Assessment Reports and Corrective Action Plans (CAPs) resulting from accidents, near misses, internal safety reviews/audits, inspections, and assessments.

   g. Provide instructional guidance to SEPTA staff on the implementation of safety and security certification, hazard analysis, risk assessment, and corrective action plan development.

   h. Assist the department with performing and reviewing hazard analyses as requested.

7. **Review and/or revise emergency management plans, rules and procedures, as necessary.**

   (a) Provide support to SEPTA in the review, revision or creation of emergency management plans, emergency operations plans, and continuity of operations plans, and standard operating procedures.

   b. Assist SEPTA with the design, planning and execution of full-scale and tabletop emergency exercises with local Authorities Having Jurisdiction and internal SEPTA person, e.g. fire departments.
Attachment 3

Price Proposal

for

General Safety and Engineering Services
<table>
<thead>
<tr>
<th>Title</th>
<th>Fully-Loaded Hourly Rate Year 1 (2020-2021)</th>
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<tbody>
<tr>
<td>Technical Manager</td>
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<tr>
<td>Project Director</td>
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<td>Project Manager III</td>
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<td>Project Manager II</td>
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<td>Project Manager I</td>
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<td>Registered Professional III</td>
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<td>Registered Professional I</td>
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<td>Staff Professional III</td>
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<td>Staff Professional II</td>
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<td>Staff Professional I</td>
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<td>Technician III</td>
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<td>Technician II</td>
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<td>Technician I</td>
<td></td>
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<tr>
<td>Administrative &amp; Clerical Staff</td>
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<tr>
<td>Training Specialist</td>
<td>Staff qualified through relevant prior experience, including training experience and trained by an accredited source (TSI, FTA, NFPA, etc.) on the subject and material provided as resources.</td>
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<tr>
<td>% Increase for Year 2 (2021-2022)</td>
<td></td>
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<tr>
<td>% Increase for Year 3 (2022-2023)</td>
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</tbody>
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Definitions:

Technical Manager - Staff qualified and responsible for managing day-to-day project activities and reporting.
**Project Director** - Vice-President or Principal possessing contractual authority to handle all administrative matters as the primary point of contact with SEPTA Contract Administrator.

**Project Manager** - Senior staff responsible for oversight and technical direction of all projects within the account and for delegating work assignments. Primary point of contact with SEPTA Project Manager.

**Registered Professional** - Board licensed professionals such as CSP, WSO, PE, CEM, and CFPS.

**Certified Professional** - Possessing certifications in fields such as accident investigation, accident reconstruction, hazardous materials management, fire investigation and training.

**Staff Professional** - Other staff qualified through education, training or experience to perform scope of work.

**Technician** - Technical Specialists

**Note**: Fully-loaded rate

This is an as needed as required contract, capped at $1,200,000 over the 3 year term but SEPTA is not obligated to expend any specific amount.

**Company Name**

**Name & Title**

**Date**
Federal Transit Administration (FTA)
Provisions for Contracts
Section A

Section A - Federal Contract Requirements


A. APPLICABILITY

This article applies to all federally funded, if the purchase order is over $3,000; contracts; or subcontracts may involve the international transportation of goods, equipment or personnel by air.

B. The Contractor agrees to comply with the Fly America Act and its regulations. The Contractor agrees to include the requirements of this section in all subcontracts that may involve international air transportation

FR-02 Buy America Act (49 U.S.C. §5323(j) and 49 CFR Part 661 et seq.)

A. APPLICABILITY

This article applies to all federally funded rolling stock purchases, construction contracts; and contracts for material and supplies for steel, iron or manufactured products over $100,000.

B. The Contractor agrees to comply with the Buy America Act and its regulations


A. APPLICABILITY

This article applies to all federally funded rolling stock purchases, construction contracts; and contracts for material and supplies which may be transported by ocean vessels.

B. The Contractor agrees: a. to comply with the Cargo Preference Act of 1954 and its regulations. The Contractor agrees to include the requirements of this section in all subcontracts that involve the transport of equipment, material or commodities by ocean vessel.

A. APPLICABILITY

This article applies to all federally funded architectural & engineering and constructions contracts for the design or construction of new buildings or additions to existing buildings.

B. The Contractor agrees that any new building or addition to an existing building will be designed and constructed in accordance with the National Earthquake Hazards Reduction Program Reauthorization Action of 2004 and its regulations. The Contractor will certify to compliance to the extent required by the regulations. The Contractor also agrees to ensure that all work performed under this Contract including work performed by a subcontractor is in compliance with the Act and its regulations and the certification of compliance issued on the Project.


A. APPLICABILITY

This article applies to all federally funded purchase orders over $3,000 and contracts.

B. The Contractor or agrees to comply with mandatory standards and policies relating to energy efficiency which are contained in the state energy conservation plan issued in compliance with the Energy Policy and Conservation Act and its regulations.

FR-06 Clean Water Act (33 U.S.C. §1251 et seq.)

A. APPLICABILITY

This article applies to all federally funded contracts over $100,000.

B. (1). The Contractor agrees to comply with all applicable standards, orders or regulations issued pursuant to the Clean Water Act. The Contractor agrees to report each violation to SEPTA and understands and agrees that SEPTA will, in turn, report each violation as required to assure notification to FTA and the appropriate EPA Regional Office.

(2). The Contractor also agrees to include these requirements in each subcontract exceeding $100,000 financed in whole or in part with Federal assistance provided by FTA.

A. APPLICABILITY

This article applies to all federally funded purchase orders over $3,000 and contracts.

B. (1) Contractor agrees to provide SEPTA, the FTA Administrator, the Comptroller General of the United States or any of their authorized representatives access to any books, documents, papers and records of the Contractor which are directly pertinent to this Contract for the purposes of making audits, examinations, excerpts and transcriptions. Contractor also agrees, pursuant to 49 C. F. R. 633 to provide the FTA Administrator or his authorized representatives including any PMO Contractor access to Contractor's records and construction sites pertaining to a major capital project, defined at 49 U.S.C. 5302(a)1, which is receiving federal financial assistance through the programs described at 49 U.S.C. 5307, 5309 or 5311.

(2). The Contractor agrees to permit any of the foregoing parties to reproduce by any means whatsoever or to copy excerpts and transcriptions as reasonably needed.

(3). The Contractor agrees to maintain all books, records, accounts and reports required under this Contract for a period of not less than three 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 Contractor agrees to maintain same until SEPTA, the FTA Administrator, the Comptroller General, or any of their duly authorized representatives, have disposed of all such litigation, appeals, claims or exceptions related thereto.

(4). FTA does not require the inclusion of these requirements in subcontracts.


A. APPLICABILITY

This article applies to all federally funded contracts over $100,000.

B. Contractor, if this Contract is for $100,000 or more, shall file the certification required by 49 CFR part 20, "New Restrictions on Lobbying," and shall include this clause in each subcontract for $100,000 or more and shall require its inclusion in all lower tier transactions for $100,000 or more. Each contractor tier shall certify to the tier above that it will not and has not used Federal appropriated funds to pay any person or organization for influencing or attempting to influence an officer or employee of any agency, a member of Congress, officer or employee of Congress, or an employee of a member of Congress in connection with obtaining any Federal contract, grant or any other award covered by 31 U.S.C. §1352. Each contractor tier shall also disclose the name of any registrant under the Lobbying Disclosure Act of 1995 who has made
lobbying contacts on its behalf with non-Federal funds with respect to that Federal contract, grant or award covered by 31 U.S.C. §1352. Such disclosures are forwarded from contractor tier to tier up to SEPTA.

FR-09 Compliance with FTA Regulations, Policies, Procedures and Directives

A. APPLICABILITY

This article applies to all federally funded purchase orders over $3,000 and contracts.

B. 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 Master Agreement between SEPTA 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.

FR-10 Clean Air Act (42 U.S.C. §7401 et seq.)

A. APPLICABILITY

This article applies to all federally funded contracts over $100,000.

B. (1) The Contractor agrees to comply with all applicable standards, orders or regulations issued pursuant to the Clean Air Act, as amended, and its regulations. The Contractor agrees to report each violation to SEPTA and understands and agrees that SEPTA will, in turn, report each violation as required to assure notification to FTA and the appropriate EPA Regional Office.

(2) The Contractor also agrees to include these requirements in each subcontract exceeding $100,000 financed under this Contract


A. APPLICABILITY

This article applies to all federally funded construction contracts over $2,000 (including ferry vessels).

B. (1) The Contractor agrees to comply with the Davis-Bacon and Copeland Anti-Kickback Acts.

(2) Withholding - SEPTA 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, SEPTA 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) **Subcontracts** - The Contractor or subcontractor shall insert in any subcontracts the clauses contained in 29 CFR 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 Contractor shall be responsible for the compliance by any subcontractor or lower tier subcontractor with all the contract clauses in 29 CFR 5.5.

(4) **Contract termination:** debarment - A breach of the contract clauses in 29 CFR 5.5 may be grounds for termination of the Contract, and for debarment as a contractor and a subcontractor as provided in 29 CFR 5.12.

(5) **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 CFR 5.12(a)(1).


**A. APPLICABILITY**

This article applies to all federally funded construction contracts (including ferry vessels), rolling stock purchases and operations/management contracts (except transportation services) over $100,000.

**B. (1). Overtime requirements** - No Contractor or subcontractor contracting for any part of the Contract work which may require or involve the employment of laborers or mechanics shall require or permit any such laborer or mechanic in any workweek in which he or she is employed on such work to work in excess of forty hours unless they are compensated in accordance with Federal Labor Standards Act (FLSA) regulations.

(2) **Violation:** liability for unpaid wages; liquidated damages - In the event of any violation of the clause set forth in paragraph (1) of this section the Contractor and any subcontractor responsible therefore shall be liable for the unpaid wages. In addition, such contractor and subcontractor shall be liable to the United States for liquidated
damages. Such liquidated damages shall be computed with respect to each individual laborer or mechanic, including watchmen and guards, employed in violation of the clause set forth in paragraph (1) of this section, in the sum of $10 for each calendar day on which such individual was required or permitted to work in excess of the standard workweek of forty hours without payment of the overtime wages required by the clause set forth in paragraph (1) of this section.

(3) **Withholding for unpaid wages and liquidated damages** – SEPTA 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 any moneys payable on account of work performed by the Contractor or subcontractor under any such contract or any other Federal contract with the same prime contractor, or any other federally-assisted contract subject to the Contract Work Hours and Safety Standards Act, which is held by the same prime contractor, such sums as may be determined to be necessary to satisfy any liabilities of such Contractor or subcontractor for unpaid wages and liquidated damages as provided in the clause set forth in paragraph (2) of this section.

(4) **Subcontracts** - The Contractor or subcontractor shall insert in any subcontracts the clauses set forth in paragraphs (1) through (4) of this section and also a clause requiring the subcontractors to include these clauses in any lower tier subcontracts. The Contractor shall be responsible for compliance by any subcontractor or lower tier subcontractor with the clauses set forth in paragraphs (1) through (4) of this section.

(5) **Disputes** - 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 CFR parts 5, 6, and 7. Disputes within the meaning of this clause include disputes between the Contractor (or any of its subcontractors) and SEPTA, the U.S. Department of Labor, or the employees or their representatives.

**FR-13 Veterans Employment**

**A. APPLICABILITY**

This article applies to all federally funded construction purchase orders and contracts.

**B.** Contractors working on a federally funded project give a hiring preference, to the extent practicable, to veterans (as defined in 5 USC §2108) who have the requisite skills and abilities to perform the construction work required under the contract. This provision shall not be understood, construed, or enforced in any manner that would require an employer to give preference to any veteran over any equally qualified applicant who is a member any racial or ethnic minority, female, an individual with a disability, or former employee.
FR-14 No Obligation by the Federal Government

A. APPLICABILITY

This article applies to all federally funded purchase orders over $3,000 and contracts.

B. (1) SEPTA and Contractor acknowledge and agree that, notwithstanding any concurrence by the Federal Government in or approval of the solicitation or 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 SEPTA, Contractor, or any other party (whether or not a party to that contract) pertaining to any matter resulting from 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 FTA. It is further agreed that the clause shall not be modified, except to identify the subcontractor who will be subject to its provisions.


A. APPLICABILITY

This article applies to all federally funded purchase orders over $3,000 and contracts.

B. (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. Department of Transportation 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)(1) 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.


A. APPLICABILITY

This article applies to all federally funded purchase orders over $25,000 and contracts.

B. The Contractor is required to comply with Government Wide Suspension and Debarment and must include the requirement in all its lower tier covered transactions.

FR-17 Use of Seat Belts (23 U.S.C. §402, Executive Order 13043)

A. APPLICABILITY

This article applies to all federally funded purchase orders and contracts.

B. Pursuant to Executive order No. 13043 and in accordance with 23 U.S.C. §402, the Contractor is encouraged to adopt and promote on-the-job seat belt use policy and program for its employees and other personnel that operate company-owned, rented, or personally-operated vehicles and include this provision in all subcontracts entered into under this Contract.


A. APPLICABILITY

This article applies to federally funded operations/management, construction, or materials and supplies purchase orders or contracts for items designated by the Environmental Protection Agency, when procuring $10,000 or more per year.

B. Recovered Materials - The Contractor agrees to comply with all the requirements of Section 6002 of the Resource Conservation and Recovery Act, as amended (42 U.S.C. §6962), including but not limited to the regulatory provisions of 40 CFR Part 247, and Executive Order 12873, as they apply to the procurement of the items designated in Subpart B of 40 CFR Part 247

A. APPLICABILITY

This article applies to the Contractor and its employees that administer any system of records on behalf of the Federal Government under any contract:

B. (1) The Contractor agrees to comply with, and assures the compliance of its employees with, the information restrictions and other applicable requirements of the Privacy Act, 5 U.S.C. § 552a. Among other things, the Contractor agrees to obtain the express consent of the Federal Government before the Contractor or its employees operate a system of records on behalf of the Federal Government. The Contractor understands that the requirements of the Privacy Act, including the civil and criminal penalties for violation of that Act, apply to those individuals involved, and that failure to comply with the terms of the Privacy Act may result in termination of the underlying Contract.

(2) The Contractor also agrees to include these requirements in each subcontract to administer any system of records on behalf of the Federal Government financed in whole or in part with Federal assistance provided by FTA.


A. APPLICABILITY

This article applies to all federally funded purchase orders over $10,000 and contracts.

B. The above statutes apply to the underlying Contract

FR-21 Disadvantaged Business Enterprise – (49 CFR Part 26)

A. APPLICABILITY

This article applies to all federally funded purchase orders over $3,000 and contracts.

B. (1) Policy. It is the policy of the Department of Transportation that disadvantaged business enterprises, as defined in 49 CFR Part 26, shall have the equal opportunity to participate in the performance of contracts financed in whole or in part with federal funds under this agreement. Consequently, the DBE requirements of 49 CFR Part 26 apply to this agreement.

(2) DBE Obligation. SEPTA and its contractors agree to ensure that disadvantaged business enterprises as defined in 49 CFR Part 26 have the equal opportunity to participate in the performance of contracts and subcontracts financed in whole or in part with federal funds provided under this agreement. In this regard, SEPTA and its contractors shall take all necessary and reasonable steps in accordance with 49 CFR
Part 26 to ensure that disadvantaged business enterprises have maximum opportunity to compete for and perform contracts. SEPTA and its contractors shall not discriminate on the basis of race, color, national origin, or sex in the award and performance of contracts assisted by the Department of Transportation.

FR-22 Incorporation of Federal Transit Administration (FTA) Terms – (FTA Circular 4220.1F)

A. APPLICABILITY

This article applies to all federally funded purchase orders over $3,000 and contracts.

B. 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, 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 SEPTA requests which would cause SEPTA to be in violation of the FTA terms and conditions.

FR-23 National Intelligent Transportation System Architecture and Standards (ITS)

A. APPLICABILITY

This article applies to all federally funded purchase orders over $3,000 and contracts involving ITS projects.


FR-24 Contracts Involving Experimental, Developmental, or Research Work, Rights in Data

A. APPLICABILITY

This article applies to all federally funded purchase orders over $3,000 and contracts for professional and architectural and engineering services.

B. The Contractor agrees to follow the requirements as set forth in 37 U.S.C. 401 (Rights to Inventions Made by Nonprofit Organizations and Small Business Firms Under Government Grants, Contracts, and Cooperative Agreements), 49 CFR part 18 (Uniform Administrative Requirements for Grants and Cooperative Agreements to
State and Local Governments), and 49 CFR part 19 (Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations with regard to experimental, developmental or research work; rights in data; copyrights; and intangible property.

**FR-25 Transit Employee Protective Agreements**

**A. APPLICABILITY**

This article applies to all federally funded purchase orders over $3,000 and contracts for transit operations.

**B.** The Contractor agrees to comply with the requirements as set forth in 49 U.S.C. 5310 (Formula Grants for Special Needs of Elderly Individuals and Individuals with Disabilities), 49 U.S. 5311 (Formula Grants for Other than Urbanized Areas), 49 U.S.C. 5333 (Labor Standards), and 29 CFR part 215 (Guidelines, Section 5333(b), Federal Transit Law).

**FR-26 Texting While Driving and Distracted Driving**

**A. APPLICABILITY**

This article applies to all federally funded purchase orders over $3,000 and contracts for transit operations.

**B.** Consistent with Executive Order No. 13513, “Federal Leadership on Reducing Text Messaging While Driving,” October 1, 2009, 23 U.S.C. Section 402 note, and DOT Order 3902.10 “Text Messaging While Driving,” December 30, 2009, FTA encourages each third party contractor to promote policies and initiatives for its employees and other personnel that adopt and promote safety policies that decrease crashes by distracted drivers, including policies to ban text messaging while driving, and to include this provision in each third party subcontract involving the project.

**FR-27 ADA Access**

**A. APPLICABILITY**

This article applies to all federally funded purchase orders over $3,000 and contracts for architectural & engineering, operations/management, rolling stock purchases and construction contracts.


1. U.S. DOT regulations, “Transportation Services for Individuals with Disabilities (ADA),” 49 CFR Part 37;


9. U.S. ATBCB regulations, “Electronic and Information Technology Accessibility Standards,” 36 CFR Part 1194; and


11. Any implementing requirements FTA may issue

END OF SECTION
EEO/AA Contractual Requirements

In connection with the performance of the Contract, the Contractor shall not discriminate against any employee or applicant for employment because of race, color, age, creed, religion, sex or national origin. The Contractor shall take affirmative action to ensure that applicants are employed, and that employees are treated during employment, without regard to their race, color, creed, 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; rate of pay or other forms of compensation; and selection for training, including apprenticeship.

Section C - U.S. Department Of Transportation Nondiscrimination Requirements

During the performance of the Contract, the Contractor, for itself, its assignees and successors in interest (hereinafter referred to as the "Contractor") agrees as follows:

1. **Compliance with Regulations.** The Contractor shall comply with the Regulations relative to nondiscrimination in federally-assisted programs of the Department of Transportation (hereinafter "DOT") Title 49, Code of Federal Regulations, Part 21, as they may be amended from time to time (hereinafter referred to as the Regulations), which are herein incorporated by reference and made a part of the Contract.

2. **Nondiscrimination.** The Contractor, with regard to the work performed by it during the Contract, shall not discriminate on the grounds of race, religion, color, sex, age or national origin in the selection and retention of subcontractors, including procurements of materials and leases of equipment. The Contractor shall not participate either directly or indirectly in the discrimination prohibited by Section 21.5 of the Regulations, including employment practices when the Contract covers a program set forth in Appendix B of the Regulations.

3. **Solicitations for Subcontractors, Including Procurement of Materials and Equipment.** In all solicitations either by competitive bidding or negotiation made by the Contractor for work to be performed under a subcontract, including procurements of materials or leases of equipment, each potential subcontractor or supplier shall be notified by the Contractor of the Contractor's obligations under the Contract and the Regulations relative to nondiscrimination on the grounds of race, religion, color, sex, age or national origin.

4. **Information and Reports.** The Contractor shall provide all information and reports required by the Regulations or directives issued pursuant thereto, and shall permit access to its books, records, accounts, other sources of information, and its facilities as may be determined by SEPTA or the FTA to be pertinent to ascertain compliance with such Regulations, orders and instructions. Where any information required of a Contractor is in the exclusive possession of another who fails or refuses to furnish this information, the Contractor shall so certify to SEPTA, or the FTA, as appropriate, and shall set forth what
efforts it has made to obtain the information.

5. **Sanctions for Noncompliance.** In the event of the Contractor's noncompliance with the nondiscrimination provisions of the Contract, SEPTA shall impose such contract sanctions as it or the FTA may determine to be appropriate, including but not limited to:

a. Withholding of payments to the Contractor under the Contract until the Contractor complies, and/or

b. Cancellation, termination or suspension of the Contract, in whole or in part.

[END OF PAGE]
Restrictions on Lobbying  
(If Contract Sum exceeds $100,000)

1. Certification Requirements

Contractors, at any tier, who apply or bid for a contract of $100,000 or more, shall file the certification required by 49 CFR part 20, "New Restrictions on Lobbying". Each tier certifies to the tier above that it will not and has not used federal appropriated funds to pay any person or organization for influencing or attempting to influence an officer or employee of any agency, a member of Congress, or an employee of a member of Congress in connection with obtaining any federal contract, grant or any other award covered by 31 U.S.C. 1352. Each tier shall also disclose any lobbying with non-federal funds that takes place in connection with obtaining any federal award. Such disclosures are forwarded from tier to tier up to SEPTA.

2. Disclosure Requirements

a. Each contractor who requests and receives from SEPTA a Federal contract shall file with SEPTA a disclosure form, Standard Form - LLL, "Disclosure of Lobbying Activities," as set forth on pages 41 through 43 of this Contract, if such contractor has made or has agreed to make any payment using non-appropriated funds (to include profits from any covered federal action), which would be prohibited under 49 CFR part 20 if paid for with appropriated funds.

b. Each contractor shall file a disclosure form at the end of each calendar quarter in which there occurs any event that requires disclosure or that materially affects the accuracy of the information contained in any disclosure form previously filed by such contractor under paragraph 2.a. of this section. An event that materially affects the accuracy of the information reported includes:

   (1) A cumulative increase of $25,000 or more in the amount paid or expected to be paid for influencing or attempting to influence a covered Federal action; or

   (2) A change in the person(s) or individual(s) influencing or attempting to influence a covered Federal action; or,

   (3) A change in the officer(s), employee(s), or Member(s) contacted to influence or attempt to influence a covered Federal action.

c. Any person who requests or receives from a contractor referred to in paragraph 2.a. of this section a subcontract exceeding $100,000 at any tier under a Federal contract shall file a certification, and a disclosure form, if required, to the next tier above.
d. All disclosure forms, but not certifications, shall be forwarded from tier to tier until received by the Contractor referred to in paragraph 2.a. of this section. That contractor shall forward all disclosure forms to SEPTA.

3. Penalties

a. Any person who makes an expenditure prohibited under 49 CFR part 20 shall be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each such expenditure.

b. Any person who fails to file or amend the disclosure form to be filed or amended if required by this clause, shall be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each such failure.

c. Contractors may rely without liability on the representations made by their Subcontractors in the certification and disclosure form.

4. Cost allowability

Nothing in this clause is to be interpreted to make allowable or reasonable any revenues which would be unallowable or unreasonable in accordance with Part 31 of the Federal Acquisition Regulation. Conversely, revenues made specifically unallowable by the requirements in this clause will not be made allowable under any of the provisions of Part 31 of the Federal Acquisition Regulation.

[END OF PAGE]
<table>
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<th>1. Type of Federal Action:</th>
<th>2. Status of Federal Action:</th>
<th>3. Report Type:</th>
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<td>a. contract</td>
<td>a. bid/Proposal/application</td>
<td>a. initial filing</td>
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<tr>
<td>b. grant</td>
<td>b. initial award</td>
<td>b. material change</td>
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<td>c. cooperative Contract</td>
<td>c. post award</td>
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<td>d. loan</td>
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<tr>
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<th>5. If reporting entity in No. 4 is Sub-awardee, Enter Name and Address of Prime:</th>
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<td>Sub-awardee</td>
<td>Congressional District, if known:</td>
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<th>7. Federal Program Name/Description:</th>
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<th>8. Federal Action Number, if known:</th>
<th>9. Award Amount, if known:</th>
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<tr>
<th>10. a. Name and Address of Lobbying Entity</th>
<th>11. Amount of Payment (check all that apply):</th>
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<tbody>
<tr>
<td>(if individual, last name, first name, MI):</td>
<td>$</td>
</tr>
<tr>
<td>(attach Continuation Sheet(s) SF-LLL-A, if necessary)</td>
<td>actual</td>
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<td></td>
<td>planned</td>
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<th>12. Form of Payment (Check all that apply):</th>
<th>13. Type of Payment (check all that apply);</th>
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<tr>
<td>a. cash</td>
<td>a. retainer</td>
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<tr>
<td>b. in-kind; specify: value</td>
<td>b. one-time fee</td>
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<td></td>
<td>c. commission</td>
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<td></td>
<td>d. contingent fee</td>
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<td></td>
<td>e. deferred</td>
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<td></td>
<td>f. other; specify</td>
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<tr>
<th>14. Brief Description of Service Performed or to be Performed and Date(s) of Service, including officer(s), employee(s), or Member(s) contacted, for Payment Indicated in Item 11: (attach Continuation Sheet(s) SF-LLL-A, if necessary)</th>
</tr>
</thead>
</table>

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<tr>
<th>15. Continuation Sheet(s) SF-LLL-A attached:</th>
<th>16. Information requested through this form is authorized by title 33 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each such failure.</th>
</tr>
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<tbody>
<tr>
<td>Yes</td>
<td>Signature:</td>
</tr>
<tr>
<td>No</td>
<td>Print Name:</td>
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<td></td>
<td>Title:</td>
</tr>
<tr>
<td></td>
<td>Telephone No: Date:</td>
</tr>
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</table>
INSTRUCTIONS FOR COMPLETION OF SF-LLL, DISCLOSURE OF LOBBYING ACTIVITIES

This disclosure form shall be completed by the reporting entity, whether sub-awardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or Contractor make payment to any lobbying entity 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 a covered Federal action. Use the SF-LLL-A Continuation Sheet for additional information if the space on the form is inadequate. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.

2. Identify the status of the covered Federal action.

3. Identify the appropriate classification of this report. If this is a follow-up report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.

4. Enter the full name, address, city, state and zip code of the reporting entity. Include Congressional district, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or sub award recipient. Identify the tier of the sub-awardee, e.g., the first sub-awardee of the prime is the 1st tier. Sub awards include but are not limited to subcontracts, sub-grants and contract awards under grants.

5. If the organization filing the report in item 4 checks "Sub-awardee", then enter the full name, address, city, state and zip code of the prime Federal recipient. Include Congressional District, if known.

6. Enter the name of the Federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.

7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative Contracts, loans, and loan commitments.

8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number, Invitation for Bid (IFB) number, grant announcement number, the contract, grant, or loan award number, the application/proposal control number assigned by the Federal agency). Include prefixes, e.g., "RFP-DE-90-001."

9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.

10. (a) Enter the full name, address, city, state and zip code of the lobbying entity engaged by the reporting entity identified in item 4 to influence the covered Federal action.

   (b) Enter the full names of the individual(s) performing services, and include full address if different from 10 (a). Enter Last Name, First Name, and Middle Initial (MI).

11. Enter the amount of compensation paid or reasonably expected to be paid by the reporting entity (item 4) to the lobbying entity (item 10). Indicate whether the payment has been made (actual) or will be made (planned). Check all boxes that apply. If this is a material change report, enter the cumulative amount of payment made or planned to be made.

12. Check the appropriate box (es). Check all boxes that apply. If payment is made through an in-kind contribution, specify the nature and value of the in-kind payment.

13. Check the appropriate box (es). Check all boxes that apply. If other, specify nature.

14. Provide a specific and detailed description of the services that the lobbyist has performed, or will be expected to perform, and the date(s) of any services rendered. Include all preparatory and related activity, not just time spent in actual contract with Federal officials. Identify the Federal official(s) or employee(s) contacted or the officer(s), employee(s), or Member(s) of Congress that were contacted.

15. Check whether or not a SF-LLL-A Continuation Sheet(s) is attached.

16. The certifying official shall sign and date the form; print his/her name, title, and telephone number.

Public reporting burden for this collection of information is estimated to average 30 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden to the Office of Management and Budget, Paperwork Reduction Service (0348-0046), Washington, D.C.20503.
Attachment 5

Certification Regarding Lobbying
Certification Regarding Lobbying

The undersigned certifies, to the best of his or her 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 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.

2. 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 undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

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

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U. S. Code. 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.

Signature: 

Company Name: 

Title: 

Date: 

[END OF SECTION]
Attachment 6

Disadvantaged Business Enterprise (DBE)

Requirements
REQUEST FOR PROPOSAL  
CONTRACT WITH DBE GOALS

Disadvantaged Business Enterprise (DBE) Participation solicitation and contract provisions pursuant to U. S. Department of Transportation regulations (Title 49 CFR part 26), FTA Circular 4716.1A, and SEPTA Policy are provided in this Section.

A.  DBE CONTRACT GOALS

In connection with this solicitation and any resulting contract, SEPTA has established the following goal for Disadvantaged Business Enterprise (DBE) participation. The DBE goal shall apply to all change orders and amendments.

**DBE Goal: 6% of the total dollar value of the Contract Sum.**

B.  DEFINITIONS

1.  "Affiliation" has the same meaning the term has in the Small Business Administration regulations, 13 CFR part 121:

   (a) Except as otherwise provided in 13 CFR part 121, concerns are affiliates of each other when, either directly or indirectly:

   (1) one concern controls or has the power to control the other; or
   (2) a third party or parties controls or has the power to control both; or
   (3) an identity of interest between or among parties exists such that affiliation may be found.

   (b) In determining whether affiliation exists, it is necessary to consider all appropriate factors, including common ownership, common management, and contractual relationships. Affiliates must be considered together in determining whether a concern meets small business size criteria and the statutory cap on the participation of firms in the DBE program.

2.  "Contract Sum" means total contract price, including any change orders and amendments.

3.  "Disadvantaged Business Enterprise" or "DBE" means a for-profit small business concern (a) that is at least fifty-one percent (51%) owned by one or more individuals who are both socially and economically disadvantaged or, in the case of a corporation, in which fifty-one percent (51%) of the stock is owned by one or more such individual(s); and (b) whose management and daily business operations are controlled by one or more of the socially and economically disadvantaged individuals who own it and is certified as such by SEPTA’s DBE Program Office or by Pennsylvania’s Unified Certification Program (PAUCP).

4.  "Joint Venture" means an association of a DBE firm and one or more other firms to carry out a single, for-profit business enterprise, for which purpose they combine their property, capital, efforts, skills and knowledge, and in which the DBE is responsible for a distinct clearly defined portion of the work to be performed by the joint venture and whose share in
the capital contribution, control, management, risks and profits of the joint venture are commensurate with its ownership interest (see paragraph D.5. below).

5. **"Small Business Concern"** means a small business concern as defined pursuant to Section 3 of the Small Business Act and Small Business Administration regulations implementing it (13 CFR part 121), that also does not exceed the following size determinations:

(a) to be an eligible DBE, a firm (including its affiliates) must be an existing for-profit small business, as defined by Small Business Administration (SBA) standards found in 13 CFR part 121 appropriate to the type(s) of work the firm seeks to perform in DOT-assisted contracts.

(b) In addition to the requirements of (a) above, a firm must also meet the annual gross receipts requirements defined in SBA regulations 13 CFR §121.402

6. **"Socially and Economically Disadvantaged Individuals"** means any individual who is a citizen (or lawfully admitted permanent resident) of the United States and who is:

(a) Any individual which SEPTA finds to be a socially and economically disadvantaged individual on a case-by-case basis.

(b) Any individual in the following groups, members of which are rebuttably presumed to be socially and economically disadvantaged:

(i) "Black Americans" which includes persons having origins in any of the Black racial groups of Africa;
(ii) "Hispanic Americans" which includes persons of Mexican, Puerto Rican, Cuban, Dominican, Central or South American, or other Spanish or Portuguese culture or origin, regardless of race;
(iii) "Native Americans" which includes persons who are American Indians, Eskimos, Aleuts, or Native Hawaiians;
(iv) "Asian-Pacific Americans" which includes persons whose origins are from Japan, China, Taiwan, Korea, Burma (Myanmar), Vietnam, Laos, Cambodia (Kampuchea), Thailand, Malaysia, Indonesia, the Philippines, Brunei, Samoa, Guam, the U. S. Trust Territories of the Pacific Islands (Republic of Palau), the Commonwealth of the Northern Marianas Islands, Macao, Fiji, Tonga, Kiribati, Tuvalu, Nauru, Federated States of Micronesia, or Hong Kong;
(v) "Subcontinent Asian Americans" which includes persons whose origins are from India, Pakistan, Bangladesh, Bhutan, the Maldives Islands, Nepal or Sri Lanka;
(vi) Women;
(vii) Any additional groups whose members are designated as socially and economically disadvantaged by the SBA, at such time as the SBA designation becomes effective.
C. **SUBMISSION REQUIREMENTS**

1. The Proposer, using the attached DBE Participation Schedule, is required to submit the requisite information on a properly executed Participation Schedule with the submission of their Technical Proposal for each proposed DBE sub-consultant/supplier and include the following:

   (a) The name and address of the DBE firm that will participate in the Contract;
   (b) A description of the work that the DBE will perform;
   (c) The percentage of participation for the DBE firm participating.

The proposer is required to submit a properly executed DBE Participation Schedule for each DBE sub-consultant/supplier identified to participate in the Contract.

Within forty-eight (48) hours from notification by SEPTA, Proposer is required to submit a Commitment/Confirmation document for each DBE firm scheduled to participate. The Commitment/Confirmation document represents:

   (a) The Proposer’s commitment to use a DBE sub-consultant/supplier whose participation it submitted to meet a contract goal; and
   (b) The DBE sub-consultant/supplier’s confirmation that it is participating in the Contract as provided in the Proposer’s commitment.
   (c) If the contract goal is not met, Proposer must provide evidence of its Good Faith Efforts in accordance with Paragraph E. Determination of DBE Responsibility.

In accordance with 49 CFR §26.39 (Fostering Small Business Participation), the Proposer is also required to identify all other sub-consultants/suppliers scheduled to participate in the Contract by submitting the attached Non DBE Participation Schedule with the Technical Proposal.

Any questions regarding DBE and or SBE Participation should be directed to SEPTA’s DBE Program Office at (215) 580-7278.

3. The requirements of this section also apply to DBE Proposers for prime contracts. In determining whether a DBE Proposer for a prime contract has met a Contract goal, the work the DBE has committed to perform with its own forces as well as the work it has committed to be performed by DBE sub-consultants and DBE suppliers will be counted.

4. SEPTA's DBE Program Office will provide upon request SEPTA's DBE Directory. The DBE Directory is revised on a continual basis; i.e., at least weekly, and identifies all firms eligible to participate as DBEs in SEPTA's program. Additionally, interested persons can obtain access to a state-wide combined directory through SEPTA’s membership in the Pennsylvania Unified Certification Program (PAUCP) at [http://www.paucp.com](http://www.paucp.com). These DBE directories list the firm’s name, address, phone number, fax number, email address and the types of work the firm has been certified to perform as a DBE.
D. DETERMINATION OF PERCENTAGE OF DBE PARTICIPATION

DBE participation shall be credited toward achieving the DBE Goal as follows:

1. When a DBE participates in a contract, only the value of the work actually performed by the DBE will be counted toward DBE goals.

2. SEPTA will count the entire amount of that portion of a construction contract (or other contract covered by paragraph D.3. below) that is performed by the DBE's own forces, including the cost of supplies and materials obtained by the DBE for the work of the contract, and supplies purchased or equipment leased by the DBE (except supplies and equipment the DBE sub-consultant purchases or leases from the prime contractor or its affiliates).

3. SEPTA will count the entire amount of fees or commissions charged by a DBE firm for providing a bona fide service, such as professional, technical, consultant, or managerial services, or for providing bonds or insurance specifically required for the performance of the contract, toward DBE goals, provided SEPTA determines the fee to be reasonable and not excessive as compared with fees customarily allowed for similar services.

4. When a DBE subcontracts part of the work of its contract to another firm, the value of the subcontracted work may be counted toward DBE goals only if the DBE's sub-consultant is itself a DBE. Work that a DBE subcontracts to a non-DBE firm does not count toward DBE goals.

5. When a DBE performs as a participant in a joint venture, SEPTA will count a portion of the total value of the contract equal to the distinct, clearly defined portion of the work of the contract that the DBE performs with its own forces toward DBE goals.

6. SEPTA will count expenditures to a DBE contractor toward DBE goals only if the DBE is performing a commercially useful function on that contract, as determined by SEPTA's DBE Program Office.

(a) A DBE is considered to perform a commercially useful function when it is responsible for execution of a specific scope of work in a contract and is carrying out its responsibilities by actually performing, managing, and supervising the work involved. To perform a commercially useful function, the DBE must also be responsible, with respect to materials and supplies used on the contract, for negotiating price, determining quality and quantity when ordering the material, and installing (where applicable) and paying for the material itself. To determine whether a DBE is performing a commercially useful function, SEPTA will evaluate the amount of work subcontracted; industry practices; whether the amount the firm is to be paid under the contract is commensurate with the work it is actually performing; and the DBE credit claimed for its performance of the work and other relevant factors.

(b) A DBE does not perform a commercially useful function if its role is limited to that of an extra participant in a transaction, contract, or project through which funds are passed in order to obtain the appearance of DBE participation. In determining whether a DBE is such an extra participant, SEPTA will examine similar
transactions, particularly those in which DBEs do not participate.

(c) If a DBE does not perform or exercise responsibility for at least 30 percent of the total cost of its contract with its own work force, or the DBE subcontracts a greater portion of the work of a contract than would be expected on the basis of normal industry practice for the type of work involved, SEPTA will presume that the DBE is not performing a commercially useful function.

(d) When a DBE is presumed not to be performing a commercially useful function, SEPTA will accept evidence from the DBE or prime contractor to rebut this presumption. Evidence from independent sources, such as trade journals or independent studies by consultants, is particular desirable in such circumstances.

7. SEPTA will use the following factors in determining whether a DBE trucking company is performing a commercially useful function:

(a) The DBE must be responsible for the management and supervision of the entire trucking operation for which it is responsible on a particular contract, and there cannot be a contrived arrangement for the purpose of meeting DBE goals.

(b) The DBE must itself own and operate at least one fully licensed, insured, and operational truck used on the Contract.

(c) The DBE receives credit for the total value of the transportation services it provides on the Contract using trucks it owns, insures, and operates using drivers it employs.

(d) The DBE may lease trucks from another DBE firm, including an owner-operator who is certified as a DBE. The DBE who leases trucks from another DBE receives credit for the total value of the transportation services the lessee DBE provides on the Contract.

(e) The DBE may also lease trucks from a non-DBE firm, including an owner-operator. The DBE who leases trucks from a non-DBE is entitled to credit for the total value of transportation services provided by non-DBE lessees not to exceed the value of transportation services provided by DBE-owned trucks on the contract. The DBE does not receive credit for the total value of the transportation services provided by the lessee, since these services are not provided by a DBE.

(f) For purposes of this paragraph D.7., a lease must indicate that the DBE has exclusive use of and control over the truck. This does not preclude the leased truck from working for others during the term of the lease with the consent of the DBE, so long as the lease gives the DBE absolute priority for use of the leased truck. Leased trucks must display the name and identification number of the DBE.

8. SEPTA will count expenditures with DBEs for materials or supplies toward DBE goals as provided in the following:

(a) If the materials or supplies are obtained from a DBE manufacturer, count 100% of the cost of the materials and supplies toward DBE goals. For purposes of this
section, a "manufacturer" is a firm that operates or maintains a factory or establishment that produces, on the premises, the materials, supplies, articles, or equipment required under the Contract and of the general character described by the Specifications.

(b) If the materials or supplies are purchased from a DBE Regular Dealer count 60% of the cost of the materials and supplies toward DBE goals. For purposes of this section, a "regular dealer" is a firm that owns, operates, or maintains a store, warehouse, or other establishment in which the materials, supplies, articles or equipment of the general character described by the Specifications and required under the Contract are brought, kept in stock, and regularly sold to the public in the usual course of business. To be a regular dealer, the firm must be an established, regular business that engages, as its principal business and under its own name, in the purchase and sale or lease of the products in question. A person may be a regular dealer in such bulk items as petroleum products, steel, cement, gravel, stone, or asphalt without owning, operating, or maintaining a place of business as previously provided if the person both owns and operates distribution equipment. Any supplementing of regular dealers' own distribution equipment shall be by a long-term lease and not on an ad hoc or contract-by-contract basis. Packagers, brokers, manufacturers' representatives, or other persons who arrange or expedite transactions are not regular dealers within the meaning of this paragraph.

(c) With respect to materials or supplies purchased from a DBE which is neither a manufacturer nor a regular dealer, SEPTA will only count the entire amount of fees or commissions charged for assistance in the procurement of the materials and supplies, or fees or transportation charges for the delivery of materials or supplies required on a job site, toward DBE goals, provided SEPTA determines the fees to be reasonable and not excessive as compared with fees customarily allowed for similar services. No portion of the cost of the materials and supplies themselves will be counted towards DBE goals.

9. SEPTA will not count the participation of a DBE sub-consultant toward the prime contractor's DBE achievements until the amount being counted toward the goal has been paid to the DBE.

E. DETERMINATION OF DBE RESPONSIBILITY

1. SEPTA will only award a contract with a DBE goal to a Proposer who meets the participation goal or makes good faith efforts to meet it. A Proposer must do either of the following things:

(a) Documents that it has obtained sufficient DBE participation to meet the goal; or

(b) Documents that it made adequate good faith efforts to meet the goal, even though it did not succeed in obtaining sufficient DBE participation to do so.

2. In determining whether a Proposer has made good faith efforts to meet the DBE Goal, SEPTA will look at the documentation supporting the different kinds of efforts that the Proposer has made, as well as the quantity and intensity of those efforts. As requested by
SEPTA's DBE Program Office, a Proposer shall be required to submit in writing the efforts undertaken to demonstrate the Proposer's good faith efforts to obtain DBE participation for this Contract. At a minimum, the Proposer's written statement shall include the following information, as well as address the steps specified in 49 CFR, part 26, Appendix A, IV - Guidance Concerning Good Faith Efforts:

(a) Whether the Proposer attended any pre-bid meetings that were scheduled by SEPTA to inform DBEs of contracting and subcontracting opportunities;

(b) Whether the Proposer advertised in general circulation, trade association, and minority focus-media concerning the subcontracting opportunities;

(c) Whether the Proposer provided written notice to a reasonable number of specific DBEs that their interest in the contract was being solicited, in sufficient time to allow the DBEs to participate effectively;

(d) Whether the Proposer followed up initial solicitations of interest by contacting DBEs to determine with certainty whether the DBEs were interested;

(e) Whether the Proposer selected portions of the work to be performed by DBEs in order to increase the likelihood of meeting the DBE Goal (including, where appropriate, breaking down contracts into economically feasible units to facilitate DBE participation);

(f) Whether the Proposer provided interested DBEs with adequate information about the plans, specifications and requirements of the contract;

(g) Whether the Proposer negotiated in good faith with interested DBEs, not rejecting DBEs as unqualified without sound reasons based on a thorough investigation of their capabilities;

(h) Whether the Proposer made efforts to assist interested DBEs in obtaining bonding, lines of credit, or insurance required by SEPTA or the proposer; and

(i) Whether the Proposer effectively used the services of available DBE community organizations, DBE contractors' groups, local, State and Federal DBE business assistance offices, and other organizations that provide assistance in recruitment and placement of DBEs.

3. If SEPTA determines that the apparent successful Proposer has failed to meet the requirements specified in paragraph E.1. above, SEPTA will provide upon receipt of written request from the Proposer an opportunity for administrative reconsideration:

(a) As part of this reconsideration, the Proposer will have the opportunity to provide additional written documentation or argument concerning the issue of whether it met the goal or made adequate good faith efforts to do so.

(b) SEPTA's decision on reconsideration will be made by an official who did not take part in the original determination that the Proposer failed to meet the goal or make
adequate good faith efforts to do so.

(c) The Proposer will have the opportunity to meet in person with SEPTA's reconsideration official to discuss the issue of whether it met the goal or made adequate good faith efforts to do so.

(d) SEPTA will send the Proposer a written decision on reconsideration, explaining the basis for finding that the proposer did or did not meet the goal or make adequate good faith efforts to do so.

(e) The result of the reconsideration process is not administratively appealable to the Department of Transportation.

F. **DBE MODIFICATION(S) OR SUBSTITUTION(S)**

1. In the event that a Proposer required a modification to its DBE Participation Schedule after contract award, then the Proposer must notify, in writing, SEPTA's DBE Program Office, and request approval for the modification. This will include any modifications or substitutions to items or work, material, services and/or DBE firms identified on the initial DBE Participation Schedule. The Proposer must provide SEPTA with any and all documents and information as may be requested with respect to the requested modification. If the modification involves a substitution and if SEPTA agrees that a substitution may be made, then the Proposer shall make good faith efforts as set forth in paragraph E.2. above to substitute that DBE firm with another DBE firm. Such efforts must be documented to the satisfaction of SEPTA's DBE Program Office in the event that the Proposer is unable to contract with another DBE firm. The level of DBE Participation achieved will be reviewed in accordance with the requirements of paragraph E.2. above. The substitute DBE firm must be certified by SEPTA's DBE Program Office in order for the Proposer to receive credit towards achieving the DBE Goal for this SEPTA contract.

2. If after award of the Contract, a DBE sub-consultant is terminated, or fails to complete its work on the Contract for any reason, SEPTA will require the prime contractor to make good faith efforts to find another DBE sub-consultant to substitute for the original DBE. These good faith efforts shall be directed at finding another DBE to perform at least the same dollar value of work under the Contract as the DBE that was terminated, to the extent needed to meet the Contract goal established by SEPTA.

G. **REPORTING AND RECORDKEEPING REQUIREMENTS**

To ensure that all obligations under the contracts awarded to DBEs are met, SEPTA’s DBE Program Office shall monitor the Contractor’s performance during the life of the Contract.

1. Upon execution of its SEPTA contract, the Contractor shall enter into written subcontract agreement(s) with the DBE(s) listed in its DBE Participation Schedule(s). Copies of the Contractor’s executed subcontract agreement(s) with DBEs shall be provided to SEPTA’s DBE Program Office by the Contractor immediately upon execution.
2. The Contractor shall submit a work schedule outlining when the DBE subcontractor(s) will commence and complete work on the project, at such times as prescribed by SEPTA’s DBE Program Office.

3. The Contractor shall keep a regular accounting of actual expenditures of funds made under all contract and subcontract agreements with DBEs; specifically, an accounting of the actual amount of DBE expenditures for each contract. **The Contractor shall submit a DBE Invoice Payment Report to SEPTA with each invoice or request for payment from SEPTA.**

4. The Contractor shall submit monthly reports of actual contract expenditures to DBE’s by the Contractor. This information must be submitted electronically via SEPTA’s website (http://bizweb.septa.org/bizwebsepta).

5. The Contractor and subcontractor(s) shall permit access to their books, records and accounts by SEPTA (or its designated representative) or the Federal Transit Administration (FTA) for the purpose of investigation to ascertain compliance with these specified requirements. Such records shall be maintained by the Contractor in a fashion which is readily assessable to SEPTA and/or the FTA for a minimum of five (5) years following completion of this Contract.

6. With regard to any claim or dispute with respect to payment of a subcontractor at any tier, Contractor expressly agrees to defend, indemnify and hold SEPTA harmless in the event any suit is brought on account of a dispute between any of the parties including but not limited to subcontractor(s), supplier(s) and material men and in particular, Contractor shall assume the defense affirmatively at its sole cost whenever such suit is brought in any jurisdiction.

H. **SANCTIONS FOR VIOLATIONS**

If at any time SEPTA has reason to believe that the Contractor is in violation of its obligations under this section, SEPTA may, in addition to pursuing any other available legal remedy, commence proceedings to impose sanctions on the Contractor. Such sanctions may include, but are not limited to, one (1) or more of the following:

1. The suspension of any payment, or part thereof, due to the Contractor until such time as the issues concerning the Contractor's compliance are resolved;

2. The termination or cancellation of the Contract, in whole or in part, unless the Contractor is able to demonstrate to SEPTA's satisfaction, within a reasonable time period as designated by SEPTA, its compliance with the terms of this Section; and

3. The denial of the Contractor of the right to participate in any further contracts awarded by SEPTA for a period not longer than three (3) years.

No such sanctions shall be imposed by SEPTA upon Contractor except in accordance with SEPTA's Procurement Manual and the terms of the Contract.
I. **MISCELLANEOUS**

The Contractor is encouraged to utilize the services of financial institutions owned and controlled by socially and economically disadvantaged individuals as defined at 49 CFR part 26.5.
As specified in the DBE Participation Section included in the Proposal Documents, the Proposer shall furnish to SEPTA’s satisfaction the details of disadvantaged business enterprise participation.

**NOTE:** Firms must be Pennsylvania Unified Certification Program (PA UCP)-certified prior to being listed on a DBE Participation Schedule.

**PROJECT NAME:** General Safety and Engineering Services  
**PROPOSAL NO.:** 19-00149-ARIB

### TABLE I. ALL WORK/SERVICES TO BE PERFORMED BY THE DBE FIRM

<table>
<thead>
<tr>
<th>1</th>
<th>NAME OF DBE FIRM</th>
<th>CONTACT PERSON, BUSINESS ADDRESS, TELEPHONE NUMBER</th>
<th>2</th>
<th>DESCRIPTION OF WORK TO BE PERFORMED</th>
<th>3</th>
<th>TOTAL DBE AGREED PRICE TO BE CREDITED TO DBE GOAL</th>
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</thead>
<tbody>
<tr>
<td>Firm Name:</td>
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### TABLE II. MATERIAL/SUPPLIES TO BE PURCHASED FROM “REGULAR DEALERS”

<table>
<thead>
<tr>
<th>1</th>
<th>NAME OF DBE FIRM</th>
<th>CONTACT PERSON, BUSINESS ADDRESS, TELEPHONE NUMBER</th>
<th>2</th>
<th>DESCRIPTION OF MATERIAL TO BE SUPPLIED</th>
<th>3</th>
<th>TOTAL DBE AGREED PRICE TO BE CREDITED TO DBE GOAL (Total Price x .6)</th>
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</thead>
<tbody>
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(Type or Print all information)

Name of Proposer: (type or print)  
Contact: (type or print)  
Email:  
Title:  
Signature: (type or print)  
Date:

- A FULLY COMPLETED DBE PARTICIPATION SCHEDULE, FOR EACH DBE FIRM DESIGNATED TO PARTICIPATE, IS REQUIRED TO BE SUBMITTED WITH THE TECHNICAL PROPOSAL.
- FAILURE OF THE PROPOSER TO SUBMIT FULLY COMPLETED DBE PARTICIPATION SCHEDULE(S) WITH THEIR TECHNICAL PROPOSAL MAY RESULT IN THE REJECTION OF THEIR PROPOSAL.
- PROPOSER MUST SIGN AND DATE ABOVE.
- PROPOSER WILL BE REQUIRED TO PROVIDE A COMMITMENT/CONFIRMATION DOCUMENT FOR EACH DESIGNATED DBE FIRM UPON REQUEST FROM SEPTA.

Proposers are hereby notified that the information contained herein will be verified with the designated DBE firm. Additionally, if and when the award of a contract is made, the DBE firm listed herein will be simultaneously notified of the award.

SEPTA reserves the right to waive informalities herein in its sole reasonable discretion.

1 See Section D. “Determination of Percentage of DBE Participation” for discussion of types of participation and credit given toward achieving the DBE Goal.
2 This must be expressed as a percentage of the Proposer’s total maximum price to SEPTA.
Disadvantaged Business Enterprise (DBE)  
INVOICE PAYMENT REPORT (IPR)

APPLICATION DATE:  
PERIOD FROM:  TO:  

CONTRACTOR NAME  
AND ADDRESS:  

PROJECT NAME:  

CONTRACT NUMBER:  
PURCHASE ORDER NUMBER:  

FOR SEPTA'S USE ONLY  
Contractor's Application for Payment  
- APPROVED  - REJECTED  
- ITEM(S) DISALLOWED (specify):  

PART I: CONTRACT INFORMATION  

<table>
<thead>
<tr>
<th>Original Contract Sum:</th>
<th>Original DBE Subcontractor(s) Sum:</th>
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<tbody>
<tr>
<td>Net Change by Change Order:</td>
<td>Net Change by Change Order:</td>
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<tr>
<td>Contract Sum to Date:</td>
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<td>Total Billed to Date:</td>
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<td>Retainage: 0.00%</td>
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<tr>
<td>Total Previous Invoices Submitted Less Retainage:</td>
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</tr>
<tr>
<td>Current Amount Due:</td>
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</tbody>
</table>

SEPTA Project Manager

PART II: DBE INFORMATION  

<table>
<thead>
<tr>
<th>Total Invoices Submitted for DBE Payment to Date:</th>
</tr>
</thead>
<tbody>
<tr>
<td>DBE Subcontractor(s) Sum to Date:</td>
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<tr>
<td>Total Invoices Submitted for DBE Payment to Date Less Retainage:</td>
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<tr>
<td>Retainage: 0.00%</td>
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<tr>
<td>Total Previous Invoices Submitted Less Retainage:</td>
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<tr>
<td>Current DBE Payment Due:</td>
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</table>

List DBE Subcontractor(s), DBE Invoice Number(s) and the current DBE Payment Due:

<table>
<thead>
<tr>
<th>DBE Subcontractor Name</th>
<th>DBE Invoice Number</th>
<th>DBE Amount Due</th>
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The undersigned Contractor certifies that the above listed DBE charges have been incurred by the respective DBE subcontractor(s) and that the DBE firm(s) has(ve) been paid or will be paid this amount from the proceeds of the attached invoice. The Contractor further certifies that records supporting these DBE expenditures, including retainage, shall be maintained and made available to SEPTA or its designee upon request.

Company Official:  
(Type or print)  
(Signature)  
Title:  
(Type or print)  
Date:  

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NAECFTEC  0819
SEPTA
NON-DBE PARTICIPATION SCHEDULE
(Request for Proposals)

As specified in the DBE Participation Section included in the Solicitation Documents, the Proposer must furnish to SEPTA the details of non-DBE sub-consultant participation.

PROJECT NAME: General Safety and Engineering Services

RFP NO.: 19-00149-ARIB

1. WORK/SERVICES TO BE PERFORMED BY SUBCONSULTANTS

2. MATERIAL/SUPPLIES TO BE PURCHASED FROM SUPPLIERS

<table>
<thead>
<tr>
<th>NAME OF FIRM</th>
<th>DESCRIPTION OF WORK/SERVICES TO BE PERFORMED / MATERIAL TO BE SUPPLIED</th>
<th>TOTAL PARTICIPATION</th>
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<tbody>
<tr>
<td>Firm Name:</td>
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(Type or Print all information)

Name of Proposer: ___________________________  Tele. No.: (_____)_________________________

(type or print)

Email: ___________________________

Contact: ___________________________  Title: ___________________________

(type or print)

Signature: ___________________________  Date: ___________________________

(type or print)
RE: DBE PARTICIPATION - COMMITMENT/CONFIRMATION

SEPTA RFP No. ____________________________
Project Name: ____________________________

<Proposer> is committed to contracting with <DBE Firm> for participation on the SEPTA solicitation referenced above. <DBE Firm> is scheduled to provide the following services and/or materials/supplies:

<Provide a Detailed Description of the Services and/or Materials/Supplies* to be furnished by the named DBE Firm>.
For approximately $<$$, $$$>, or xx% of the total contract.

(*60% of the total agreed price for DBE suppliers will be credited towards the DBE goal)

<table>
<thead>
<tr>
<th>Proposer's Representative Name/Title (please type or print)</th>
<th>Signature</th>
<th>Date</th>
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<table>
<thead>
<tr>
<th>DBE Firm's Representative Name/Title (please type or print)</th>
<th>Signature</th>
<th>Date</th>
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</table>
Attachment 7

SEPTA Solicitation Statistics
SEPTA SOLICITATION STATISTICS

Dear Contractor/Consultant/Subcontractor/Sub-consultant:

In accordance with Federal Regulation 49 CFR part 26.11, SEPTA must maintain bidding statistics on all contractors/consultants and subcontractors/sub-consultants bidding on contracts. Please include copies of this form with your bid/proposal package to any subcontractors/sub-consultants. You are required to return the form for each bidder/proposer with your bid/proposal package. This applies to both disadvantaged business enterprises (DBEs) and non-DBEs (a DBE is a firm which meets the criteria set forth in 49 CFR part 26).

Thank you for your assistance with this request. If you should have any questions, comments or suggestions, please contact the Director of SEPTA’s DBE Program Office at 215-580-3710.

The information gathered on this form will be used for statistical purposes only and is set forth under 49 CFR part 26.

<table>
<thead>
<tr>
<th>Firm Name:</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Firm Address:</td>
<td></td>
</tr>
<tr>
<td>Description of Services:</td>
<td></td>
</tr>
<tr>
<td>NAICS Code:</td>
<td>(<a href="http://www.census.gov/epcd/www/naics.html">www.census.gov/epcd/www/naics.html</a>)</td>
</tr>
<tr>
<td>Status:</td>
<td>DBE   _______ Non-DBE   _______</td>
</tr>
<tr>
<td>Month/Year firm established:</td>
<td></td>
</tr>
</tbody>
</table>

Company Owner(s) Ethnic Group Membership: (optional)

☐ Black           ☐ Hispanic        ☐ Native American
☐ Asian Pacific   ☐ Subcontinent Asian
☐ Other (specify)________________________________________________________________________

Annual Gross Receipts of the Firm: (check one)

<table>
<thead>
<tr>
<th>Less than $500,000</th>
<th>$500,000 - $1 Million</th>
<th>$1 Million - $5 Million</th>
<th>$5 Million - $10 Million</th>
<th>$10 Million - $20 Million</th>
<th>Above $20 Million</th>
</tr>
</thead>
</table>

Project Name: __________________________________________ Bid Number: __________________________

Name (Type or Print): __________________________________ Date: ________________

Title: __________________________________________________

Signature: ____________________________________________ Telephone No.: (_____)

Email Address: ________________________________________ Facsimile No.: (_____)

Rev 092410

NAECFTEC 0819
Attachment 8

Project Progress

And

Performance Evaluation Form
## PERFORMANCE EVALUATION
(OTHER THAN ARCHITECT-ENGINEER)

### IMPORTANT:
Be sure to complete both pages of this Performance Evaluation. If additional space is necessary for any item, use Remarks Section on next page.

<table>
<thead>
<tr>
<th>1. FUND NUMBER</th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>1</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>2. PURCHASE ORDER</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>3. CPMS NUMBER</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### 4. TYPE OF REPORT (Check one)
- INTERIM
- COMPLETION OF SERVICE OR STUDY
- TERMINATION

### 5. REPORT NUMBER

### 6. DATE OF REPORT

### 7. NAME AND ADDRESS OF CONSULTANT

### 8. PROJECT DESCRIPTION AND LOCATION

### 9. OFFICE RESPONSIBLE FOR

<table>
<thead>
<tr>
<th>A. SELECTION OF CONSULTANT</th>
<th>B. NEGOTIATION/AWARD OF CONTRACT</th>
<th>C. ADMINISTRATION OF CONTRACT</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### 10. CONTRACT DATA

<table>
<thead>
<tr>
<th>A. TYPE OF WORK</th>
<th>B. TYPE OF CONTRACT</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>FIXED PRICE</td>
</tr>
<tr>
<td></td>
<td>COST PLUS FIXED FEE</td>
</tr>
<tr>
<td></td>
<td>OTHER (Specify)</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>C. PROJECT COMPLEXITY</th>
<th>D. PROFESSIONAL SERVICES CONTRACT</th>
</tr>
</thead>
<tbody>
<tr>
<td>DIFFICULT</td>
<td>INITIAL CONTRACT NO. AMOUNT</td>
</tr>
<tr>
<td>SIMPLE</td>
<td>AMENDMENTS NO. AMOUNT</td>
</tr>
<tr>
<td>ROUTINE</td>
<td>CLAIMS BY CONSULTANT NO. AMOUNT</td>
</tr>
<tr>
<td></td>
<td>FINAL CONTRACT SUM</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>E. DATE OF NOTICE TO PROCEED</th>
<th>F. CONTRACT COMPLETION DATE (Including extensions)</th>
<th>G. ACTUAL COMPLETION DATE</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### 11. KEY CONSULTANT DATA

<table>
<thead>
<tr>
<th>A. NAMES</th>
<th>B. ADDRESS</th>
<th>C. SPECIALTY</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### 12. OVERALL RATING
- EXCELLENT
- AVERAGE
- POOR

### 13. RECOMMENDED FOR FUTURE CONTRACTS?
- YES
- NO (If "NO", explain in REMARKS on reverse)

### 14A. NAME AND TITLE OF RATING OFFICIAL

### 14B. SIGNATURE

### 14C. DATE

### 15A. NAME AND TITLE OF REVIEWING OFFICIAL

### 15B. SIGNATURE

### 15C. DATE
# Performance Evaluation (Other than Architect/Engineer)

*Continuation from previous page*

Consultant:

<table>
<thead>
<tr>
<th>Performance Elements</th>
<th>N/A</th>
<th>Excellent</th>
<th>Average</th>
<th>Poor</th>
<th>No Information</th>
<th>Signature &amp; Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Professionalism</td>
<td></td>
<td></td>
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<tr>
<td>Accuracy of Work</td>
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<tr>
<td>Cooperation</td>
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<tr>
<td>Completeness</td>
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<td></td>
</tr>
<tr>
<td>Coordination</td>
<td></td>
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<td></td>
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<tr>
<td>Effectiveness of Management</td>
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<td></td>
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<tr>
<td>Timely Performance</td>
<td></td>
<td></td>
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<td></td>
<td></td>
</tr>
<tr>
<td>Personnel Qualifications</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Quality of Presentation</td>
<td></td>
<td></td>
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<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Quality of Work</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**REMARKS** *(Explain all Excellent and Poor ratings.)*
Attachment 9

Certification Regarding Compliance

With

Immigration Reform and Control Act of 1986
Certification Regarding Compliance with
Immigration Reform and Control Act of 1986

The undersigned certifies, to the best of his or her knowledge and belief, that:

1. Contractor has and will continue to comply with, for the duration of this Contract, the requirements of 8 U.S.C. § 1324a with respect to the hiring, recruiting or referral for employment of an alien in the United States of America.

2. Contractor will:
   1) Complete the Employee Eligibility Form (I-9) for each person that it hires
   2) Utilize the electronic employment verification system (“E-Verify”) designated in Executive Order 12989, and shall keep each I-9 Form on file for at least three (3) years, or one (1) year after employment ends, whichever is longer.

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

This certification is a material representation of fact upon which reliance was placed when the parties entered into this Contract. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Act 43 of 2006, the Illegal Alien Labor on Assisted Act also known and cited as the Prohibition of Illegal Alien Labor on Assisted Projects Act.

Signature: ____________________________________________

Company Name: ________________________________________

Title: _________________________________________________

Date: _________________________________________________

[END OF SECTION]
Attachment 10

Commonwealth of Pennsylvania
Contract Requirements
Commonwealth of Pennsylvania Contract Requirements

DEFINITIONS:

A. For the purpose of these provisions, the term Contractor is defined as any person, including, but not limited to, a proposer, offeror, supplier, or sub-grantee, who will furnish or perform or seeks to furnish or perform, goods, supplies, services, construction or other activity, under a purchase order, contract, or sub-grant with SEPTA.

SR-1 Nondiscrimination/Sexual Harassment Clause.

A. APPLICABILITY

This article applies to all purchase orders and contracts.

B. The contractor agrees:

In the hiring of any employee(s) for the manufacture of supplies, performance of work, or any other activity required under any sub-grant agreement, contract, or subcontract, a sub-grantee, a contractor, a subcontractor, or any person acting on behalf of SEPTA shall not discriminate in violation of the Pennsylvania Human Relations Act (PHRA) and applicable federal laws against any citizen of this Commonwealth who is qualified and available to perform the work to which the employment relates.

Any sub-grantee, contractor or any subcontractor or any person on their behalf shall not in any manner discriminate in violation of the PHRA and applicable federal laws against or intimidate any of its employees.

Any sub-grantee, contractor or any subcontractor shall establish and maintain a written nondiscrimination and sexual harassment policy and shall inform their employees of the policy. The policy must contain a provision that sexual harassment will not be tolerated and employees who practice it will be disciplined. Posting this Nondiscrimination/Sexual Harassment Clause conspicuously in easily-accessible and well-lighted places customarily frequented by employees and at or near where the grant services are performed shall satisfy this requirement.

Any sub-grantee, contractor or any subcontractor shall not discriminate in violation of the PHRA and applicable federal laws against any sub-grantee, contractor, subcontractor or supplier who is qualified to perform the work to which the grant relates.

Each sub-grantee, contractor and subcontractor represents that it is presently in compliance with and will maintain compliance with all applicable federal, state, and local laws and regulations relating to nondiscrimination and sexual harassment. Each sub-grantee, contractor and subcontractor further represents that it has filed a Standard Form 100 Employer Information Report ("EEO-1") with the U.S. Equal
Employment Opportunity Commission ("EEOC") and shall file an annual EEO-1 report with the EEOC as required for employers subject to Title VII of the Civil Rights Act of 1964, as amended, that have 100 or more employees and employers that have federal government contracts or first-tier subcontracts and have 50 or more employees. Any sub-grantee, any contractor or any subcontractor shall, upon request and within the time periods requested by SEPTA, furnish all necessary employment documents and records, including EEO-1 reports, and permit access to their books, records, and accounts by the granting agency and the Bureau of Small Business Opportunities (BSBO), for the purpose of ascertaining compliance with the provisions of this Nondiscrimination/Sexual Harassment Clause.

Any sub-grantee, contractor or any subcontractor shall include the provisions of this Nondiscrimination/Sexual Harassment Clause in every sub-grant agreement, contract or subcontract so that those provisions applicable to sub-grantees, contractors or subcontractors will be binding upon each sub-grantee, contractor or subcontractor.

Each sub-grantee’s, contractor’s and subcontractor’s obligations pursuant to these provisions are ongoing from and after the effective date of the agreement through the termination date thereof. Each sub-grantee, contractor and subcontractor shall have an obligation to inform the SEPTA if, at any time during the term of the agreement, it becomes aware of any actions or occurrences that would result in violation of these provisions.

SEPTA may cancel or terminate the agreement and all money due or to become due under the agreement may be forfeited for a violation of the terms and conditions of this Nondiscrimination/Sexual Harassment Clause. In addition, the SEPTA may proceed with debarment or suspension and may place the sub-grantee, contractor, or subcontractor in the Contractor Responsibility File.

SR–2 ADA Provision

A. APPLICABILITY

This article applies to all purchase orders and contracts.

B. During the term of this agreement, the contractor agrees as follows:

Pursuant to federal regulations promulgated under the authority of the Americans with Disabilities Act, 28 C. F. R. § 35.101 et seq., the contractor understands and agrees that no individual with a disability shall, on the basis of the disability, be excluded from participation in this agreement or from activities provided for under this agreement. As a condition of accepting and executing this agreement, the contractor agrees to comply with the "General Prohibitions Against Discrimination," 28 C. F. R. § 35.130, and all other regulations promulgated under Title II of the Americans with Disabilities Act which are applicable to the benefits, services, programs, and activities provided by SEPTA through contracts with contractors.

The contractor shall be responsible for and agrees to indemnify and hold harmless
SEPTA from all losses, damages, expenses, claims, demands, suits, and actions brought by any party against the Commonwealth as a result of the contractor's failure to comply with the provisions of the above paragraph.

SR–3 Contractor Integrity Provisions.

A. APPLICABILITY

It is essential that those who seek to contract with SEPTA observe high standards of honesty and integrity. They must conduct themselves in a manner that fosters public confidence in the integrity of SEPTA’s contracting and procurement process.

DEFINITIONS. For purposes of these Contractor Integrity Provisions, the following terms shall have the meanings found in this Section:

“Affiliate” means two or more entities where (a) a parent entity owns more than fifty percent of the voting stock of each of the entities; or (b) a common shareholder or group of shareholders owns more than fifty percent of the voting stock of each of the entities; or (c) the entities have a common proprietor or general partner.

“Consent” means written permission signed by a duly authorized officer or employee of SEPTA, provided that where the material facts have been disclosed, in writing, by prequalification, bid, proposal, or contractual terms, SEPTA shall be deemed to have consented by virtue of the execution of this contract.

“Contractor” means the individual or entity that has entered into this contract with SEPTA.

“Contractor Related Parties” means any affiliates of the Contractor and the Contractor’s executive officers, Pennsylvania officers and directors, SEPTA’s Board members or owners of 5 percent or more interest in the Contractor.

“Financial Interest” means either:

(1) Ownership of more than a five percent interest in any business; or

(2) Holding a position as an officer, director, trustee, partner, employee, or holding any position of management.

“Gratuity” means tendering, giving, or providing anything of more than nominal monetary value including, but not limited to, cash, travel, entertainment, gifts, meals, lodging, loans, subscriptions, advances, deposits of money, services, employment, or contracts of any kind. The exceptions set forth in the Governor’s Code of Conduct, Executive Order 1980-18, the 4 Pa. Code §7.153(b), shall apply.

“Non-bid Basis” means a contract awarded or executed by SEPTA with Contractor without seeking bids or proposals from any other potential proposer or offeror.
B. In furtherance of this policy, Contractor agrees to the following:

Contractor shall maintain the highest standards of honesty and integrity during the performance of this contract and shall take no action in violation of state or federal laws or regulations or any other applicable laws or regulations, or other requirements applicable to Contractor or that govern contracting or procurement with SEPTA.

Contractor shall establish and implement a written business integrity policy, which includes, at a minimum, the requirements of these provisions as they relate to the Contractor activity with the SEPTA and SEPTA employees and which is made known to all Contractor employees. Posting these Contractor Integrity Provisions conspicuously in easily-accessible and well- lighted places customarily frequented by employees and at or near where the contract services are performed shall satisfy this requirement.

Contractor, its affiliates, agents, employees and anyone in privity with Contractor shall not accept, agree to give, offer, confer, or agree to confer or promise to confer, directly or indirectly, any gratuity or pecuniary benefit to any person, or to influence or attempt to influence any person in violation of any federal or state law, regulation, executive order of the Governor of Pennsylvania, statement of policy, management directive or any other published standard of the Commonwealth in connection with performance of work under this contract, except as provided in this contract.

Contractor shall not have a financial interest in any other contractor, subcontractor, or supplier providing services, labor, or material under this contract, unless the financial interest is disclosed to SEPTA in writing and SEPTA consents to Contractor’s financial interest prior to SEPTA’s execution of the contract. Contractor shall disclose the financial interest to SEPTA at the time of bid or proposal submission, or if no bids or proposals are solicited, no later than Contractor’s submission of the contract signed by Contractor.

Contractor certifies to the best of its knowledge and belief that within the last five (5) years Contractor or Contractor Related Parties have not:

(1) been indicted or convicted of a crime involving moral turpitude or business honesty or integrity in any jurisdiction;

(2) been suspended, debarred or otherwise disqualified from entering into any contract with any governmental agency;

(3) had any business license or professional license suspended or revoked;

(4) had any sanction or finding of fact imposed as a result of a judicial or administrative proceeding related to fraud, extortion, bribery, bid rigging, embezzlement, misrepresentation or anti-trust; and
been, and is not currently, the subject of a criminal investigation by any federal, state or local prosecuting or investigative agency and/or civil antitrust investigation by any federal, state or local prosecuting or investigative agency.

If Contractor cannot so certify to the above, then it must submit along with its bid, proposal or contract a written explanation of why such certification cannot be made and SEPTA will determine whether a contract may be entered into with the Contractor. The Contractor’s obligation pursuant to this certification is ongoing from and after the effective date of the contract through the termination date thereof. Accordingly, the Contractor shall have an obligation to immediately notify SEPTA in writing if at any time during the term of the contract if becomes aware of any event which would cause the Contractor’s certification or explanation to change. Contractor acknowledges that SEPTA may, in its sole discretion, terminate the contract for cause if it learns that any of the certifications made herein are currently false due to intervening factual circumstances or were false or should have been known to be false when entering into the contract.

Contractor shall comply with the requirements of the Lobbying Disclosure Act (65 Pa.C.S.3A01 et seq.) regardless of the method of award. If this contract was awarded on a Non-bid Basis, Contractor must also comply with the requirements of the Section 1641 of the Pennsylvania Election Code (25 P.S. §3260a).

When Contractor has reason to believe that any breach of ethical standards as set forth in law, the Governor’s Code of Conduct, or these Contractor Integrity Provisions has occurred or may occur, including but not limited to contact by a SEPTA officer or employee which, if acted upon, would violate such ethical standards, Contractor shall immediately notify the SEPTA contracting officer or SEPTA’s Office of the Inspector General in writing.

Contractor, by submission of its bid or proposal and/or execution of this contract and by the submission of any bills, invoices or requests for payment pursuant to the contract, certifies and represents that it has not violated any of these Contractor Integrity Provisions in connection with the submission of the bid or proposal, during any contract negotiations or during the term of the contract, to include any extensions thereof. Contractor shall immediately notify SEPTA in writing of any actions for occurrences that would result in a violation of these Contractor Integrity Provisions. Contractor agrees to reimburse SEPTA for the reasonable costs of investigation incurred by SEPTA’ Office of the Inspector General for investigations of the Contractor’s compliance with the terms of this or any other agreement between the Contractor and SEPTA that results in the suspension or debarment of the Contractor. Contractor shall not be responsible for investigative costs for investigations that do not result in the Contractor’s suspension or debarment.

Contractor shall cooperate with the Commonwealth’s Office of the Inspector General in its investigation of any alleged Commonwealth agency or employee breach of ethical standards and any alleged Contractor non-compliance with these Contractor Integrity Provisions. Contractor agrees to make identified Contractor employees available for interviews at reasonable times and places. Contractor, upon the inquiry
or request of an Inspector General, shall provide, or if appropriate, make promptly available for inspection or copying, any information of any type or form deemed relevant by the Office of the State Inspector General to Contractor's integrity and compliance with these provisions. Such information may include, but shall not be limited to, Contractor's business or financial records, documents or files of any type or form that refer to or concern this contract. Contractor shall incorporate this paragraph in any agreement, contract or subcontract it enters into in the course of the performance of this contract/agreement solely for the purpose of obtaining subcontractor compliance with this provision. The incorporation of this provision in a subcontract shall not create privity of contract between SEPTA and any such subcontractor, and no third party beneficiaries shall be created thereby.

For violation of any of these Contractor Integrity Provisions SEPTA may terminate this and any other contract with Contractor, claim liquidated damages in an amount equal to the value of anything received in breach of these Provisions, claim damages for all additional costs and expenses incurred in obtaining another contractor to complete performance under this contract, and debar and suspend Contractor from doing business with SEPTA and the Commonwealth. These rights and remedies are cumulative, and the use or non-use of any one shall not preclude the use of all or any other. These rights and remedies are in addition to those the Commonwealth may have under law, statute, regulation, or otherwise.

SR-4 Contractor Responsibility.

A. APPLICABILITY

This article applies to all purchase orders and contracts.

B. For the purpose of these provisions, the term “Contractor” is defined as any person, including, but not limited to, a proposer, offeror, loan recipient, grantee, or sub-grantee, who has furnished or seeks to furnish goods, supplies, services, or leased space, or who has performed or seeks to perform construction activity under contract, subcontract, grant, or sub-grant with the Commonwealth, or with a person under institutions. The term “Contractor” may include a permittee, licensee, or any agency, political subdivision, instrumentality, public authority, or other entity of the Commonwealth.

1. The Contractor must certify, in writing, for itself and all its subcontractors, that as of the date of its execution of any Commonwealth contract, that neither the Contractor, nor any subcontractors, nor any suppliers are under suspension or debarment by the Commonwealth or any governmental entity, instrumentality, or authority and, if the Contractor cannot so certify, then it agrees to submit, along with the bid/proposal, a written explanation of why such certification cannot be made.

2. The Contractor must also certify, in writing, that as of the date of its execution of any Commonwealth contract, it has no tax liabilities or other Commonwealth obligations.
3. The Contractor’s obligations pursuant to these provisions are ongoing from and after the effective date of the contract through the termination date thereof. Accordingly, the Contractor shall have an obligation to inform the contracting agency if, at any time during the term of the contract, it becomes delinquent in the payment of taxes, or other Commonwealth obligations, or if it or any of its subcontractors are suspended or debarred by the Commonwealth, the federal government, or any other state governmental entity. Such notification shall be made within 15 days of suspension or debarment.

4. The failure of the Contractor to notify the contracting agency of its suspension or debarment by the Commonwealth, any other state, or the federal government shall constitute an event of default of the Contract with the Commonwealth.

5. The Contractor agrees to reimburse the Commonwealth for reasonable costs of investigation incurred by the Office of the Inspector General for investigations of the Contractor’s compliance with the terms of this or any other agreement between the Contractor and the Commonwealth, which results in the suspension or debarment of the Contractor. Such costs shall include, but shall not be limited to, salaries of investigators, including overtime; travel and lodging expenses; and expert witness and documentary fees. The Contractor shall not be responsible for investigative costs for investigations which do not result in the Contractor’s suspension or debarment.

6. The Contractor may obtain the current list of suspended and debarred Commonwealth Contractors by either searching the Internet at http://www.dgs.state.pa.us/debarment.htm or contacting the:

   Department of General Services
   Office of Chief Counsel
   603 North Office Building
   Harrisburg, PA 17125
SR-5  Retainage

A. APPLICABILITY

This article applies to all construction purchase orders and contracts.

B. SEPTA may withhold an amount not to exceed ten (10%) percent of SEPTA’s portion of net Project cost of this Agreement to ensure substantial completion by the contractor of the Project. SEPTA may at any time release any portion of any such retainage if, in the opinion of SEPTA, the contractor has substantially completed sufficient portions of the Project to justify such payments.

SR-6  Steel Products

A. APPLICABILITY

This article applies to all purchase orders and contracts.

B. All steel products used or supplied in the performance of the Contract shall be products produced from steel made in the United States in conformity with the Steel Products Procurement Act of 1978 (Act No. 3 of 1978, P.L. 6 (73 P.S. §1881 et seq.)), as amended and, if the federal Buy America requirements are applicable to the Contract, in full conformity with the Buy America provisions of 49 U.S.C. §5323 (j) [formerly the Federal Surface Transportation Assistance Act of 1982, as amended] and the applicable regulations in 49 CFR part 661.

Contractor shall insert this requirement as a special condition for any subcontract awarded in the performance of the Project.

SR-7  Diverse Business Participation for Non-Federally-Funded Projects

A. APPLICABILITY

This article applies to all purchase orders and contracts.

B. For non-federally funded projects, the Contractor shall comply with provisions of Section 303 of Title 74 of Purdon's Statutes. 74 Pa.C.S. §303 (Diverse business participation)."

SR-8  Right to Know

A. APPLICABILITY

This article applies to all purchase orders and contracts.

B. Sub-grantee or Contractor understands that this Agreement and records related to or arising out of the Agreement are subject to requests made pursuant to the Pennsylvania Right-to-Know Law, 65 P.S. §§ 67.101-3104, (“RTKL”).

If SEPTA needs the Sub-grantee’s or Contractor’s assistance in any matter arising out of the RTKL related to this Agreement, it shall notify the Sub-grantee or Contractor using the legal contact information provided in the Agreement. The Sub-grantee or Contractor,
at any time, may designate a different contact for such purpose upon reasonable prior written notice to SEPTA.

Upon written notification from SEPTA that it requires Sub-grantee’s or Contractor’s assistance in responding to a request under the RTKL for information related to this Agreement that may be in Sub-grantee’s or Contractor’s possession, constituting, or alleged to constitute, a public record in accordance with the RTKL (“Requested Information”), Sub-grantee or Contractor shall:

(1) Provide SEPTA, within ten (10) calendar days after receipt of written notification, access to, and copies of, any document or information in Sub-grantee’s or Contractor’s possession arising out of this Agreement that SEPTA reasonably believes is Requested Information and may be a public record under the RTKL; and

(2) Provide such other assistance as SEPTA may reasonably request, in order to comply with the RTKL with respect to this Agreement.

If Sub-grantee or Contractor considers the Requested Information to include a request for a Trade Secret or Confidential Proprietary Information, as those terms are defined by the RTKL, or other information that Sub-grantee or Contractor considers exempt from production under the RTKL, Sub-grantee or Contractor must notify SEPTA and provide, within seven (7) calendar days of receiving the written notification, a written statement signed by a representative of Sub-grantee or Contractor explaining why the requested material is exempt from public disclosure under the RTKL.

SEPTA will rely upon the written statement from Sub-grantee or Contractor in denying a RTKL request for the Requested Information unless SEPTA determines that the Requested Information is clearly not protected from disclosure under the RTKL. Should SEPTA determine that the Requested Information is clearly not exempt from disclosure, Sub-grantee or Contractor shall provide the Requested Information within five (5) business days of receipt of written notification of SEPTA’s determination.

If Sub-grantee or Contractor fails to provide the Requested Information within the time period required by these provisions, Sub-grantee or Contractor shall indemnify and hold SEPTA harmless for any damages, penalties, costs, detriment or harm that SEPTA may incur as a result of Sub-grantee’s or Contractor’s failure, including any statutory damages assessed against SEPTA.

SEPTA will reimburse Sub-grantee or Contractor for any costs associated with complying with these provisions only to the extent allowed under the fee schedule established by the office of Open Records or as otherwise provided by the RTKL if the fee schedule is inapplicable.

Sub-grantee or Contractor may file a legal challenge to any SEPTA decision to release a record to the public with the Office of Open Records, or in the Pennsylvania Courts, however, Sub-grantee or Contractor shall indemnify SEPTA for any legal expenses incurred by SEPTA as a result of such a challenge and shall hold SEPTA harmless for any damages, penalties, costs, detriment or harm that SEPTA may incur as a result of Sub-grantee’s or Contractor’s failure, including any statutory damages assessed against SEPTA, regardless of the outcome of such legal challenge. As between the parties, Sub-grantee or Contractor agrees to waive all rights or remedies that may be available to it as a result of SEPTA’s disclosure of Requested Information pursuant to the RTKL.
The Sub-grantee’s or Contractor’s duties relating to the RTKL are continuing duties that survive the expiration of this Agreement and shall continue as long as the Sub-grantee or Contractor has Requested Information in its possession.

[END OF SECTION]
Attachment 11

SEPTA EEO/AA Contractual Requirements
SEPTA EEO/AA Contractual Requirements

**Nondiscrimination:**

During the performance of the Contract, the Contractor agrees as follows:

1. The Contractor will not discriminate against any employee or applicant for employment because of race, color, creed, religion, sex, age, or national origin. The Contractor will take affirmative action to ensure that applicants are employed, and that employees are treated during employment without regard to their race, color, creed, 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 agrees to post in conspicuous places, available to employees and applicants for employment, notices to be provided setting forth the provisions of this nondiscrimination clause.

2. The Contractor will, in all solicitations or advertisements for employees placed by or on behalf of the Contractor, state that all qualified applicants will receive consideration for employment without regard to race, color, religion, sex, age, or national origin.

3. The Contractor will send to each Labor Union or Representative of workers with which he/she has a collective bargaining agreement or other contract or understanding, a notice to be provided advising the said Labor Union or Worker's Representative of the Contractor’s commitments under this Attachment, and shall post copies of the notice in conspicuous places available to employees and applicants for employment.

4. The Contractor will comply with all Affirmative Action provisions of the Contract.

5. The Contractor will furnish all information and reports required by SEPTA and will permit access to its books, records, and accounts by the EEO Compliance Officer for purposes of investigation to ascertain compliance with such rules, regulations and orders.

6. In the event of the Contractor's noncompliance with the nondiscrimination clause of the Contract, the Contract may be cancelled, terminated, or suspended in whole or in part and the Contractor may be declared ineligible for further SEPTA contracts.

7. The Contractor will include the portion of the sentence immediately preceding Paragraph 1 and the provisions of paragraph 1 through 8 in every subcontract or purchase order so that such provisions shall be binding upon each sub-consultant or vendor. The Contractor will take such action with respect to any subcontract or purchase order as SEPTA may direct as a means of enforcing such provisions, including sanctions for noncompliance.

8. The Contractor shall have an Affirmative Action Plan declaring that it does not discriminate on the basis of race, color, religion, creed, national origin or sex and specifying minority and female goals to assure implementation of the Plan.

[END OF SECTION]