REQUEST FOR PROPOSALS

FOR

SIGNALS & COMMUNICATIONS SYSTEM

METRO REQUEST FOR PROPOSALS NO. 4020000163

Proposer’s signature on Request for Proposals (Section II – Forms for Proposing/Award) constitutes acceptance of a contract that may result from this solicitation. Contract award/execution may be made by METRO without discussion.

METRO FUNDING 100%

IMPORTANT – REQUEST FOR PROPOSAL
All responses to this solicitation must be labeled as indicated below and delivered or mailed to the following address:

Metropolitan Transit Authority
Procurement Division
Plan Room, 2nd Floor
1900 Main Street
Houston, Texas 77002

Upper Left Corner of Envelope Must Indicate:
Proposer/Contractor Name and Address

Lower Left Corner of Envelope Must Indicate:
Solicitation Number
Due Date
Due Time
Solicitation Title

METRO does not accept electronic bid/proposal submissions. Only physical, hardcopy documents are accepted.
# TABLE OF CONTENTS

SECTION I - PROPOSING REQUIREMENTS AND INSTRUCTIONS .......................................................................................................................... iv
  1 REQUEST FOR PROPOSAL ................................................................................................................................. iv
  2 INSTRUCTIONS TO PROPOSERS ................................................................................................................... v
  3 SMALL BUSINESS AND DISADVANTAGED BUSINESS ENTERPRISE PROGRAMS ........................................... xii
  4 PROPOSAL FORMS SUBMISSION CHECKLIST .............................................................................................. xvi
  5 PROPOSER’S QUESTIONNAIRE ......................................................................................................................... xviii
  6 TECHNICAL PROPOSAL SUBMISSION PAGE .................................................................................................. xxiii
  7 TECHNICAL PROPOSAL -- PRICING EXCLUDED ........................................................................................... xxiv

SECTION II - FORMS FOR PROPOSING/AWARD ......................................................................................................................... 1
  1 PRICING PROPOSAL SUBMISSION PAGE .......................................................... ......................................................... 1
  2 OFFER/ACCEPTANCE/AWARD SIGNATURE PAGE .......... ............................................................ 2
  3 SOLICITATION/CONTRACT AMOUNT, ITEMS AND PRICES ................................................................. 3
  4 KEY PERSONNEL FORM ............................................................................................................................... 5

SECTION III - DELIVERIES OR PERFORMANCE ARTICLES ............................................................................................................. 6
  1 DEFINITIONS ..................................................................................................................................................... 6
  2 PERIOD OF PERFORMANCE ............................................................................................................................ 6
  3 SERVICES TO BE PERFORMED ....................................................................................................................... 6
  4 WORK AUTHORIZATIONS ............................................................................................................................. 6
  5 TEXAS ETHICS COMMISSION (TEC) ELECTRONIC FILING ........................................................................ 7

SECTION IV - INSPECTION AND ACCEPTANCE ARTICLES ........................................................................................................... 8
  1 INSPECTION OF SERVICES ............................................................................................................................. 8

SECTION V - CONTRACT ADMINISTRATION DATA ARTICLES ........................................................................................................ 9
  1 COMPENSATION .............................................................................................................................................. 9
  2 INVOICING AND PAYMENT ............................................................................................................................ 9
  3 ADMINISTRATIVE CONTROL OF CORRESPONDENCE ................................................................................ 10
  4 CONTRACTOR REPRESENTATIVE ................................................................................................................... 10
  5 NOTICES .......................................................................................................................................................... 10

SECTION VI - INSURANCE ARTICLES........................................................................................................................................... 12
  1 CONTRACTOR’S INSURANCE ........................................................................................................................... 12
  2 INDEMNIFICATION AGREEMENT .................................................................................................................. 13

SECTION VII - SMALL BUSINESS PROGRAM ARTICLES FOR CONTRACTS WITH SMALL BUSINESS GOALS .................................................. 14

SECTION VIII - SPECIAL TERMS AND CONDITIONS ARTICLES ................................................................................................... 15
  1 AVAILABILITY OF FUNDS FOR THE NEXT FISCAL YEAR ................................................................................ 15
  2 COMMERCIAL WARRANTY ............................................................................................................................. 15
  3 CONFIDENTIALITY AND NONDISCLOSURE ................................................................................................. 15
  4 CONTRACTOR’S EMPLOYEES ....................................................................................................................... 15
  5 COPYRIGHT AND PATENT INDEMNITY ......................................................................................................... 16
  6 HEALTH, SAFETY AND FIRST AID ................................................................................................................. 16
  7 INTER-LOCAL/COOPERATIVE PURCHASE ................................................................................................. 16
  8 MOST FAVORED CUSTOMER ........................................................................................................................ 16
  9 USE OF WORK PRODUCTS – ASSIGNMENT OF COPYRIGHT .................................................................. 17

SECTION IX - GENERAL TERMS AND CONDITIONS ARTICLES ....................................................................................................... 18
  1 ACCESS REQUIREMENTS FOR INDIVIDUALS WITH DISABILITIES .............................................................. 18
  2 ASSIGNMENT .................................................................................................................................................. 18
  3 CHANGES ......................................................................................................................................................... 18
  4 COMPLIANCE WITH LAWS/PERMITS AND LICENSES .............................................................................. 18
  5 CONTRACT ORDER OF PRECEDENCE ........................................................................................................... 19
  6 CONTRACTOR’S KEY PERSONNEL ................................................................................................................ 19
  7 COVENANT AGAINST CONTINGENT FEES .................................................................................................... 19
  8 DISPUTES ......................................................................................................................................................... 19
  9 DISSEMINATION OF CONTRACT INFORMATION ........................................................................................ 19
 10 DRUG AND ALCOHOL TESTING .................................................................................................................... 19
 11 EQUAL OPPORTUNITY FOR VEVRAA PROTECTED VETERANS ............................................................... 20
 12 ETHICAL CONDUCT ...................................................................................................................................... 22
 13 FORCE MAJESTE ............................................................................................................................................. 22
 14 INDEPENDENT CONTRACTOR ..................................................................................................................... 22
 15 INTERPRETATION, JURISDICTION AND VENUE .......................................................................................... 22
 16 LABOR REQUIREMENTS .............................................................................................................................. 22
17 METRO-FURNISHED PROPERTY ........................................................................................................................................... 23
18 RESPONSIBILITY OF THE CONTRACTOR ............................................................................................................................. 23
19 RIGHTS AND REMEDIES ......................................................................................................................................................... 23
20 SEVERABILITY .......................................................................................................................................................................... 23
21 SUBCONTRACTING .................................................................................................................................................................  23
22 TERMINATION FOR CONVENIENCE OF METRO ................................................................................................................... 23
23 TERMINATION FOR DEFAULT ................................................................................................................................................. 24
24 USE OF METRO’S NAME IN CONTRACTOR ADVERTISING OR PUBLIC RELATIONS ........................................................ 24
25 WAIVERS .................................................................................................................................................................................. 24
26 ACCESS TO RECORDS ........................................................................................................................................................... 24
27 CONTRACTOR NON DISCRIMINATION ........................................................................................................................................ 25
28 DEBARMENT AND SUSPENSION ............................................................................................................................................ 25
29 METRO NON DISCRIMINATION ............................................................................................................................................... 25
30 RESTRICTIONS ON LOBBYING ............................................................................................................................................... 25
31 ENTIRE AGREEMENT .............................................................................................................................................................. 26

SECTION X - EXHIBITS .......................................................................................................................................................................... 27
1 EXHIBIT A SCOPE OF SERVICES ......................................................................................................................................... 27
2 EXHIBIT B CONTRACTOR’S RELEASE .................................................................................................................................. 30
3 EXHIBIT C FEDERAL HEAVY AND HIGHWAY CONSTRUCTION WAGE RATES ................................................................ 31
4 EXHIBIT D CERTIFICATION OF RESTRICTIONS ON LOBBYING ................................................................................... 33
5 EXHIBIT E DEBARMENT AND SUSPENSION FORM ............................................................................................................ 34
6 EXHIBIT F CODE OF ETHICS OF THE METROPOLITAN TRANSIT AUTHORITY ............................................................... 35
7 EXHIBIT G SMALL BUSINESS FORMS .................................................................................................................................... 36
   Form 1 CONTRACTOR UTILIZATION PLAN FORM ........................................................................................................... 36
   Form 2 BUSINESS ASSURANCE STATEMENT ..................................................................................................................... 41
   Form 3 SUBCONTRACTOR/SUPPLIER LETTER OF INTENT .............................................................................................. 42
   Form 4 CONTRACTOR UTILIZATION PLAN PLEDGE ......................................................................................................... 43
8 EXHIBIT H PERSONAL PROTECTIVE EQUIPMENT ............................................................................................................. 44
9 EXHIBIT I TRACK ACCESS PROCEDURES OVERVIEW .................................................................................................... 46
SECTION I - PROPOSING REQUIREMENTS AND INSTRUCTIONS

1 REQUEST FOR PROPOSAL

RFP NO.: 4020000163 RFP ISSUE DATE: June 8, 2020

PROJECT NAME: Signals and Communications System

For: [ ] Supplies/Equipment [ X ] Services [ ] Other

ISSUED BY: Metropolitan Transit Authority of Harris County (METRO)
(No collect calls accepted):

SUBMIT INQUIRIES BY WRITING OR CALLING:

METROPOLITAN TRANSIT AUTHORITY NAME: Juanita W. Jackson
Procurement Division TITLE: Senior Contract Administrator
1900 Main Street TELEPHONE: (713) 739-4069
Houston, Texas 77002 E-MAIL: jw02@ridemetro.org

METRO Procurement Web site: https://www.ridemetroapp.org/procurement/

NOTE TO PROPOSERS: PROPOSERS ARE RESPONSIBLE FOR ALL INFORMATION IN THIS SOLICITATION, HOWEVER,
PLEASE PAY PARTICULAR ATTENTION TO INFORMATION SHADED IN GRAY.

PROPOSAL DUE DATE/TIME/LOCATION: Proposals will be received until 2:00 PM Central Standard Time (CST) on July 15, 2020. The Proposal, ONE (1) ORIGINAL HARDCOPY delivered in a sealed envelope to the METRO Procurement Office Plan Room, 1900 Main Street, Houston, Texas 77002, and ONE (1) ELECTRONIC PDF COPY delivered to JUANITA.JACKSON@RIDEMETRO.ORG, is to be submitted bearing the name and address of the Proposer and the identification 'Request for Proposal No. 4020000163.' Proposals received will not be opened publicly. Both the electronic and hardcopy proposal MUST be received by the deadline specified herein.

A PRE-PROPOSAL CONFERENCE will be held at 9:00 AM local time on Tuesday, June 16, 2020 - see dial-in information below. (In-person participation is not offered for this conference.) The purpose of the conference is to explain the solicitation requirements and answer any questions prospective bidders may have regarding the solicitation. All questions pertaining to this solicitation shall be presented IN WRITING to the above METRO representative at or prior to the Pre-Bid Conference. IT IS STRONGLY URGED THAT ALL BIDDERS JOIN IN THE PRE-PROPOSAL CONFERENCE.

Dial-In Telephone No.: (866) 528-2256
Participant Passcode: 7435082

PERFORMANCE PERIOD: The period of performance under this Contract shall be for a period of three (3) years, with two (2) one (1) option period(s). (See Contract Article ‘Period of Performance’ in Section III).

PERFORMANCE AND PAYMENT BONDS: A performance bond shall be required if the Contract amount is over $100,000.00. A payment bond shall be required if the Contract amount is over $25,000.00. Bonds shall be executed for one hundred percent (100%) of the value of the Contract. (See Contract Articles ‘Performance and Payment Bonds’ and ‘Additional Bond Security’ in Section III).

INSURANCE: Each prospective proposer is cautioned to review the Insurance requirements of this solicitation. (See Contract ‘Insurance Articles’ in Section VI.)

LICENSING: When a special license or permit is required by federal, state or local law or ordinance, a proposer must be properly licensed prior to proposing and furnish evidence of such with the proposal.

OBLIGATION: This Request for Proposals does not obligate the Metropolitan Transit Authority to award a contract, or to pay any costs incurred in the preparation or submittal of any proposal.

DAVIS BACON’S RATES: Wage rates for this solicitation are those of Federal-General Wage Decision TX200038 for Highway Construction and Federal-General Wage Decision TX200031 for Heavy Construction in Harris County, dated January 3, 2020. See Exhibit C.

REGISTRATION ON PROCUREMENT WEBSITE: All proposers MUST register on METRO’s procurement website at
https://www.ridemetroapp.org/procurement/ to ensure that they receive the latest solicitations and updates via their registered e-mail address.

REPRODUCTION: All forms contained in this solicitation may be reproduced if more space is needed due to the number of subcontractors or suppliers to be submitted with the proposal or for any other reason.

SMALL BUSINESS PARTICIPATION GOAL: METRO has adopted a Small Business Enterprise Program to encourage the participation of Small Business enterprises in contracting activities through race-gender neutral means. METRO sets Small Business Participation goals on its contracts. Small Business Participation goals can be satisfied by METRO-certified Small Businesses (SBE), Texas Unified Certification Program (TUCP)-certified Disadvantaged Business Enterprises (DBE), or a combination of both. All references to Small Businesses in this document include Disadvantaged Business Enterprises. Copies of METRO’s Small Business and Disadvantaged Business Enterprise Programs can be obtained upon request.

The link to the METRO SBE directory is https://ridemetro.sbdbe.com/ The link to the TUCP DBE directory is https://txdot.txdotcms.com/

The Small Business Participation goal for this solicitation is N/A.

IF A SMALL BUSINESS PARTICIPATION GOAL IS LISTED ABOVE, PROPOSERS ARE REQUIRED TO DEMONSTRATE A COMMITMENT TO THE SMALL BUSINESS PARTICIPATION GOAL IN ORDER TO BE CONSIDERED IN THE EVALUATION PROCESS.

METRO ENCOURAGES SMALL BUSINESS PARTICIPATION EVEN IF NO SMALL BUSINESS PARTICIPATION GOAL HAS BEEN ESTABLISHED.

METRO encourages Contractors to use financial institutions owned and controlled by socially and economically disadvantaged individuals. A listing of such institutions may be found at https://www.fdic.gov/regulations/resources/minority/mdr.html

TYPE OF AWARD: METRO anticipates the award of a time and material type contract as a result of this solicitation.

2 INSTRUCTIONS TO PROPOSERS

A. INTRODUCTION

1. The Metropolitan Transit Authority of Harris County Texas, (METRO) is seeking proposals from qualified proposers (firms), under the negotiated method of procurement, to provide services for Signals and Communications Services. METRO invites firms to submit a proposal in response to this Request for Proposals (RFP) as generally described in the Scope of Services, Exhibit A of this solicitation.

2. This document is comprised of a RFP and a proposed contract. The proposed contract is made available so proposers are made aware of the contemplated terms and conditions of any resulting contract. If exceptions are taken to the solicitation (including the terms and conditions of the proposed contract), please elaborate in the proposal.

B. APPROVAL OF CONTRACT

If required by the METRO Procurement Manual, award of a contract evolving from this solicitation shall be contingent upon the prior receipt of written approval from the METRO Board of Directors. No contractual agreement shall be binding on METRO until this approval has been obtained. It shall be the responsibility of firms responding to this solicitation to monitor Board award decisions. All persons and/or entities responding to this solicitation hereby acknowledge the contract award requirement enumerated in this Paragraph. Anticipated Board Items are posted on METRO’s web site at https://www.ridemetro.org/Pages/BoardMeetingsAndNotices.aspx

Public Notice of Solicitation Results
The anticipated METRO Board meeting month for approval of a contract resulting from this solicitation will be forthcoming. It is the responsibility of the proposer to check METRO’s website for notices on the specific dates for METRO Board meetings. All proposers of this solicitation and METRO hereby agree that this provision shall serve as the minimum required action by the proposer toward exercising due diligence in obtaining the results of this solicitation. The requirement of approval by the METRO Board of Directors for any particular solicitation is dependent upon several factors. However, all proposers shall be required to check the METRO web site regarding whether or not the solicitation associated with their proposal requires approval by the METRO Board of Directors. All persons and/or entities responding to this solicitation hereby acknowledge the public notice of solicitation results enumerated in this Paragraph. METRO Board meeting notices are posted on METRO's website at: https://www.ridemetro.org/Pages/BoardMeetingsAndNotices.aspx
C. AWARD OF CONTRACT

1. A Not-to-Exceed Contract, with fixed, unit prices, will be awarded to the responsive, responsible proposer(s) whose proposal conforming to this solicitation will be most advantageous to METRO, price and other factors considered.

2. METRO may accept within the time specified herein, any proposal whether or not there are negotiations subsequent to its receipt, unless the proposal is withdrawn by written notice received by METRO prior to award. If subsequent negotiations are conducted, they shall not constitute a rejection or counter offer on the part of METRO.

3. METRO may award a contract, based on initial proposals received, without discussion of such proposals. Accordingly, a proposer should submit each initial proposal on the most favorable terms from a price and technical standpoint.

4. The lowest price proposer is not guaranteed receipt of the METRO contract award.

5. METRO reserves the right to: 1) cancel the entire solicitation; (2) issue subsequent Request for Proposals; (3) negotiate with all qualified proposers considered to be within the competitive price range; (4) reject any or all proposals and (5) waive informalities and minor irregularities in proposals received.

6. Any financial data submitted with any proposal hereunder or any representation concerning facilities or financing will not form a part of any resulting contract.

7. A written Notice-of-Award will be issued to the successful proposer upon being selected for award of a contract and execution of any resultant contract.

8. Unsuccessful proposers can request a debriefing by contacting the Contract Administrator named in this solicitation.

D. CERTIFICATION REGARDING DEBARMENT, SUSPENSION, INELIGIBILITY AND VOLUNTARY EXCLUSION - LOWER TIER COVERED TRANSACTION

1. The proposer certifies, by submission of the proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any federal department or agency.

2. Where the proposer is unable to certify to any of the statements in this certification, the proposer shall attach an explanation to the proposal it submits to METRO.

E. CONFLICTS DISCLOSURE

Vendors doing business with METRO or seeking to do business with METRO are required to file a completed questionnaire (FORM CIQ) disclosing the vendor’s affiliations or business relationship with any Board Member, local government officer (or his or her family member). Form CIQ is available on METRO’s website at https://www.ridemetro.org/Pages/ConflictsDisclosure.aspx.

F. COVENANT AGAINST CONTINGENT FEES

By submitting this proposal, the proposer certifies that it has not employed any company or person (other than a full-time, bona fide employee working solely for the proposer) to solicit or secure this contract, and has not paid or agreed to pay any company or person (other than a full-time, bona fide employee working solely for the proposer) any fee, commission, percentage, or brokerage fee contingent upon or resulting from the award of this contract; and agrees to furnish information relating to the above, as requested by the Contracting Officer.

G. DISCOUNTS

1. No discounts will be considered in the evaluation of proposals.

2. Discounts for early payment may be offered in the original proposal or on individual invoices submitted under the resulting contract, and discounts offered will be taken by METRO if payment is made within the discount period specified.

3. Discounts that are included in proposals become a part of the resulting contract and are binding on the Contractor.

H. DISQUALIFICATION

METRO reserves the right to disqualify a proposal, after receipt of the proposal, upon evidence of collusion with intent to defraud or other illegal practices on the part of a proposer.
I. EVALUATION CRITERIA

A Proposal’s proposal will be evaluated on the criteria described herein for a possible total score of up to 100 points. The evaluation criteria are identified with the relative weights listed below.

Proposals should be organized under the following headings and should address each topic to demonstrate the Proposer’s qualifications and ability to perform the Work.

Proposals shall be initially evaluated and ranked on the basis of the evaluation factors shown below. If the offeror is a joint venture or other form of diverse teaming arrangement, the specific entities comprising the joint venture or diverse teaming arrangement or in each entity’s individual capacity to address evaluation factors. Evidence concerning work on each of the projects shall be sufficient to permit evaluation on the following factor, ranked in order of importance.

<table>
<thead>
<tr>
<th>FACTOR</th>
<th>RELATIVE IMPORTANCE</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Work Plan</td>
<td></td>
</tr>
<tr>
<td>• Proposed method of accomplishing the work required for this project.</td>
<td>20 points</td>
</tr>
<tr>
<td>• An explanation of the offeror’s financial and management plan to meet the contract requirements.</td>
<td></td>
</tr>
<tr>
<td>• A staffing plan that identifies supervisor(s) and any other key personnel who will be assigned to the work. Submit, at minimum, current resumes of the supervisor(s) and key personnel (inclusive of all relevant joint venture and subcontractor personnel) who will be assigned to the work. Resumes must be complete and concise, featuring experience that is most directly relevant to the task responsibility to which the individual will be assigned. Resumes must be dated (e.g. date of education, experience, employment, etc.) and must state the function(s) to be performed on the project by each of the key personnel.</td>
<td></td>
</tr>
<tr>
<td>• Proposed approach to managing the work.</td>
<td></td>
</tr>
<tr>
<td>• Include list of owned equipment available for use on this work.</td>
<td></td>
</tr>
<tr>
<td>• Safety and Quality</td>
<td></td>
</tr>
<tr>
<td>• a. Describe Proposer’s approach to safety, including safety culture</td>
<td></td>
</tr>
<tr>
<td>• c. Provide Proposer’s EMR &amp; OSHA Ratings for the last three (3) years</td>
<td></td>
</tr>
<tr>
<td>• d. Describe Proposer’s approach to quality and ISO Quality Compliance and provide the ISO 9001:2015 certificate</td>
<td></td>
</tr>
<tr>
<td>• e. Describe any awards with regards to Safety</td>
<td></td>
</tr>
<tr>
<td>2. Quality Control Plan</td>
<td></td>
</tr>
<tr>
<td>• The offeror’s self-inspection procedures and provide a copy of its self-inspection checklist.</td>
<td></td>
</tr>
<tr>
<td>• A detailed description of the method to be used to identify and document acceptable/unacceptable performance and to communicate such findings to METRO.</td>
<td></td>
</tr>
<tr>
<td>• Describe the method to be used to correct performance deficiencies.</td>
<td></td>
</tr>
<tr>
<td>3. Qualifications of the Firm and Staff</td>
<td></td>
</tr>
<tr>
<td>• At a minimum, and in detail: (i) discuss offeror’s history and experience relevant to METRO’s needs as set out in this solicitation, (ii) describe offeror’s direct experience on projects of similar size, scope and complexity, and (iii) provide dates, locations, costs of assignments, names of project managers, and names and current contact information for business references and clients. Also discuss the qualifications of all other firms proposed to be utilized in the performance of the work (including joint venture members or major subcontractors/sub-consultants) and clearly differentiate which qualifications listed relate to which firm.</td>
<td></td>
</tr>
</tbody>
</table>
• Provide information that demonstrates customer/client satisfaction with overall job performance and quality of completed work accomplished in the last three (3) years. Explain corrective actions taken, if any, for substandard performance, and any current performance problems such as cost overruns, extended performance periods, etc. Negative or unsatisfactory performance may result in a downward adjustment of points.

• Project Experience
  a. Proposers shall include their current master's electrician license number in the cover letter and provide a copy of the certificate
  b. Provide at least one (1) Light Rail Transit, Class 1 Railroad, Heavy Rail Transit, and/or Commuter Railroad project completed in the last five (5) years where the Proposer performed the Systems installation for the same scope that will be maintained on the Houston LRT Maintenance project and include:
  c. Describe experience working during non-revenue windows on active rail systems
  d. Describe experience working during revenue hours on active rail systems
  e. Describe Proposer's local resources and experience including:
    o i. Staffing resources available
    o ii. Access to highly experienced craft, familiar with METRO systems or similar systems
    o iii. Highlight all Systems Railroad work performed in the US
    o iv. Owned-Equipment fleet and indicate:
      o a) Hi-Rail equipment
      o b) Specialized equipment currently in Harris County area
    o v. Describe Proposer's ability to rapidly mobilize for larger task orders and unscheduled maintenance/repair activities
  f. Knowledge of current or similar Systems
    o i. Experience with or similar communications and signaling systems
    o ii. Knowledge of axle counter and track circuits and other train signaling technology

• Key Personnel
  a. Key Personnel Qualifications
    o i. Project Manager (provide 1 resume) - 10 years min. of Maintenance experience
    o ii. Superintendents (provide 2 resumes) - 5 years min. of Maintenance experience
  b. Provide a suggested org chart for the project

• Financial
  a. Proposer's shall submit a copy of the bonding capacity in a letter from an admitted Surety company.

4. Pricing 40 points
   All price proposals will be evaluated separately from the technical proposals and will be ranked on the basis of lowest overall cost to METRO.

J. EXAMINATION OF DOCUMENTS
1. A complete set of proposal documents shall be used in preparing a proposal. METRO assumes no responsibility for errors or misinterpretations resulting from the use of incomplete sets of documents.

2. METRO, in making copies of these documents available on the above terms, does so only for the purpose of obtaining proposals on the Work and does not convey a license or grant for any other use.

3. Each proposer should carefully examine these documents and take such other steps as may be reasonably necessary to ascertain the contract performance requirements. Failure to do so will not relieve the proposer from responsibility for estimating properly the difficulty or cost of successfully performing the contract. Extra compensation will not be allowed for conditions which are determinable by examining these documents.
K. EXPLANATIONS/AMENDMENTS ISSUED TO PROPOSERS

1. Any explanation desired by a proposer regarding the meaning or interpretation of the RFP or its scope of services must be requested in writing and received by METRO Procurement Officer no later than 2:00 PM CST on June 26, 2020. METRO’s response will be in the form of an amendment and will be furnished to all prospective proposers. METRO may also issue amendments when a solicitation is changed.

2. The proposer must acknowledge receipt of every amendment issued by METRO in the space provided on the Amendment form itself and submit a copy of all amendments with the proposal, or send a letter of amendment acknowledgement to be received by METRO before the time set for receipt of proposals. Oral explanations or instructions given before the award of the contract will not be binding. METRO will assume no responsibility for any understanding or representations concerning conditions made by any of its officers or agents prior to the execution of the contract, unless included in these documents.

L. INDEPENDENT PRICE DETERMINATION

By submitting this proposal, the proposer certifies that he has not colluded, conspired, connived, or agreed, directly or indirectly, with any proposer, to put in a sham proposal or to refrain from proposing; and further, that he has not in any manner, directly or indirectly sought by agreement, collusion, communication or conference, with any person, to fix the proposal amount herein or any other proposer, or to fix any overhead, profit, or cost element of said proposal amount, or that of any other proposer, or to secure any advantage against METRO or any person interested in the proposed contract.

M. INSTRUCTIONS FOR CERTIFICATION

1. By signing and submitting a proposal, the proposer is providing the certification set out in Paragraph D above.

2. The certification in this Instructions to Proposers is a material representation of fact upon which reliance will be placed by METRO to enter into a resultant contract. If it is later determined that the proposer/contractor knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, METRO may pursue available remedies, including suspension and/or debarment.

3. The proposer shall provide immediate written notice to METRO if at any time the proposer learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

4. The terms ‘covered transaction,’ ‘debarred,’ ‘suspended,’ ‘ineligible,’ ‘lower tier covered transaction,’ ‘participant,’ ‘person,’ ‘primary covered transaction,’ ‘principal,’ ‘proposal,’ and ‘voluntarily excluded,’ as used herein, have the meanings set out in the Definition and Coverage sections of rules implementing Executive Order 12549. The proposer may contact the designated METRO Contracts Administrator for assistance in obtaining a copy of this regulation.

5. The proposer agrees by submitting a proposal that, should the resulting contract for the proposed covered transactions entered into, it shall not knowingly enter into any subcontract with a firm that is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by METRO.

6. The proposer further agrees by submitting this proposal that it will include the instruction titled ‘Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transaction,’ at Paragraph D, without modification, in all solicitations for lower tier covered transactions, expected to equal or exceed $25,000.00.

N. LATE PROPOSALS; MODIFICATION OR WITHDRAWAL OF PROPOSALS

1. Any proposal or modification of proposal received at the METRO office designated in the Request for Proposals after the exact time specified for receipt will not be considered. Late proposals received will be retained unopened in the official contract file.

2. A proposal may be withdrawn in person by a proposer or his authorized representative, provided his identity is made known and he signs a receipt for the proposal, but only if the withdrawal is made prior to the exact time set for receipt of proposals.

3. Modifications of proposals already submitted will be considered if received at the office designated in the Request for Proposals by the time set for receipt of proposals.

O. PREPARATION OF PROPOSAL

1. A proposal shall be submitted on the forms furnished, or copies thereof, shall be completed in ink or be typed, and shall be manually signed. If erasures or other changes appear on the forms, each erasure or change shall be initialed by the person signing the proposal. Electronic, facsimile (fax) or emailed proposals are not authorized.

2. If a proposal is from an individual, sole proprietorship, or a proposer operating under a trade name, the proposal shall be signed by that individual.
3. A proposal by a partnership shall be executed in the partnership name and signed by a partner; the official address of the partnership shall be shown below the signature.

4. A proposal by a corporation shall be executed in the corporate name by the president or a vice-president (or other corporate officer accompanied by evidence of authority to sign) and the corporate seal shall be affixed and attested by the corporate secretary or assistant secretary.

5. A proposal submitted by a joint venture shall list the names of all joint venturers and the mailing addresses of each and shall be executed by all joint venturers in the same manner as if they were individually submitting proposals. The signature portion of the Proposal form in Section II shall be altered as appropriate for execution by the joint venture and all joint venturers.

6. All names shall be typed or printed below the signature.

7. The proposal shall contain an acknowledgment of receipt of all amendments to the solicitation. Refer to Paragraph K above.

8. Communications regarding this solicitation are to be directed to the address and to the attention of the METRO person shown in this Request for Proposals document.

9. If a proposer considers any of the terms or conditions of the solicitation (including the proposed contract) to be unacceptable, the proposer should identify those which are so, and cite reasons therefore in a supplement to its proposal cover letter. Any such exceptions or revisions, and the reasons therefore, will be considered as factors in evaluation of the proposal.

10. In an effort to promote greater use of recycled and environmentally preferable products and minimize waste, all proposals submitted should comply with the following:
   a) All RFPs and copies should be printed on recycled paper with a minimum post-consumer content of thirty percent (30%) or on tree-free paper (i.e., paper made from raw materials other than trees, such as kenaf);
   b) Unless absolutely necessary, all proposals and copies should minimize or eliminate the use of non-recyclable or non-reusable materials, such as plastic report covers, plastic dividers, vinyl sleeves and bindings;
   c) To further reduce the use of materials not essential to proposals, METRO encourages Proposers to forgo the use of three-ring binders or glued materials when assembling the originals and copies of the RFP and other required information. Instead, METRO prefers and appreciates the use of paper clips, binder clips, staples, rubber bands, and other materials containing recycled content, such as folders, paper clips, discs or thumb drives, envelopes, boxes, etc. METRO also appreciates receiving Submittals assembled in formats that allow for easy removal and recycling of paper and other materials; and
   d) Unnecessary samples, attachments or documents not specifically asked for should not be submitted with a proposal.

P. PROHIBITION ON LOBBYING

No proposer shall, directly or indirectly, engage in any conduct (other than the submission of the proposal or other prescribed submissions and/or presentations before the Evaluation or Selection Committees) to influence any employee of METRO or any member of the Metropolitan Transit Authority Board of Directors concerning the award of a contract as a result of this solicitation. Violation of this prohibition may result in disqualification of the proposer from further participation in the solicitation for the services or goods sought herein or from participation in future METRO solicitations or contracts. The communication blackout period shall commence from the issue of a solicitation through contract award. The Contract Administrator is the only METRO representative authorized to communicate with firms or their representatives during the blackout period.

Q. PROPOSAL CONTENTS

There are two parts of this Request for Proposal that must be completed, the Technical and Pricing proposals as described below. Documents for both parts must be submitted by the date and time established for receipt of proposals for a proposal to be considered for contract award by METRO.

1. Technical Proposal: The Proposer shall submit ONE (1) ORIGINAL HARDCOPY and ONE (1) ELECTRONIC PDF COPY in accordance with the instructions in Section 1, Article 1 above. Submit original and number [1] copies). The technical proposal establishes a proposer’s technical qualifications based on set criteria listed herein. Proposer’s technical proposals should be structured to respond to criteria noted within each of the Evaluation Factors shown in Paragraph I, above, and in the same order as the factors are listed.

2. Price Proposal: The Proposer shall submit ONE (1) ORIGINAL HARDCOPY and ONE (1) ELECTRONIC PDF COPY in accordance with the instructions in Section 1, Article 1 above. Each proposer’s cost proposal (see proposal form, ‘Proposal Amount/Schedule of Items and Prices,’ in Section II) shall be submitted concurrently with the Technical Proposal and shall

x
be in a separate, sealed envelope clearly named as such, and referencing RFP No. 4020000163.

R. PROPOSAL EVALUATION PROCESS

1. Selection of a firm to provide the services required herein may be made by an Evaluation Committee comprised of METRO staff members who have expertise and knowledge in the disciplines related to the project and in accordance with this Request for Proposals. The Committee's evaluations will be based on all available information, including proposals, reports, discussions, reference and other appropriate checks, and the personal knowledge of the individual members' areas of expertise. Proposal requirements set forth herein are designed to provide guidance to the proposer concerning the type of documentation that will be used by the Evaluation Committee. Proposals will be evaluated using the criteria set forth in Paragraph I above. The weight of each factor is also shown.

2. The evaluation process may also include the participation of an Oral Presentation Committee; an Executive Selection Committee, or a Board Selection Committee. The participation of some or all of these committees may occur at the beginning of the evaluation process, foregoing a staff member Evaluation Committee altogether, or to convene after the Evaluation Committee has made an initial shortlist. Members of the METRO Board of Directors may elect to participate as scoring members or non-scoring observers on any of these committees.

3. Small Business Participation: The proposer shall demonstrate commitment to meet or exceed the Small Business Participation goal. Where applicable, consideration will be given to a proposer's performance with respect to Small Business goal achievements on past METRO contracts. Proposals must include all required Small Business forms properly completed and executed. (See Article 3, 'Summary of Proposal Forms Submission,' in Section I).

S. PROPOSER QUALIFICATIONS/ELIGIBILITY FOR AWARD

1. Each proposer shall complete, and submit the applicable forms contained in this document. If the proposer is a joint venture, each joint venturer shall prepare and submit separate forms.

2. In order for a proposer to be eligible to be awarded the contract, a proposal must be responsive to the Request for Proposals, show the proposer's technical competency, and METRO must be able to determine that the proposer is responsible to perform the contract satisfactorily.

3. A responsive proposal complies with all material aspects of the solicitation. Proposals that do not comply with all the terms and conditions of this solicitation will be rejected as nonresponsive.

4. Responsible proposers as a minimum must:
   a) Have financial resources adequate to perform the contract, or ability to obtain such resources as required during the performance of the contract;
   b) Be able to comply with the required or proposed delivery or performance schedule, taking into consideration all existing business commitments;
   c) Have the necessary technical equipment, material and capability, including qualified supervision and skilled workforce, adequate to perform the contract, or the ability to obtain such resources as are required during the course of the contract;
   d) Have a satisfactory record of business integrity and ethics;
   e) Have a satisfactory record of current and/or past performance in behalf of METRO and/or other owners, including the areas of scheduling, submittals; record keeping, reporting, qualified supervision, skilled workforce, safety, quality of equipment, materials and workmanship, timely performance, warranties and guarantees;
   f) If applicable, have a satisfactory record as a Contractor of achieving Small Business Participation goals in past METRO projects, as well as providing evidence satisfactory to METRO that the proposer will comply with Small Business Program requirements and any Small Business Participation goal contained herein;
   g) Certify that it is not on the U.S. General Services Administration's 'Lists of Parties Excluded from Federal Procurement or Non-Procurement Programs.' Signing and submitting the proposal is so certifying;
   h) Be otherwise qualified and eligible to receive an award under applicable laws and regulations.

5. A proposer may be requested to submit written evidence verifying that it meets the minimum criteria necessary to be determined a responsible proposer. Refusal to provide requested information will result in the proposer being declared nonresponsive, and the proposal will be rejected.

T. PROTESTS
1. Each protest or objection to the solicitation documents shall be submitted for resolution to the Chief Procurement Officer. Each such protest shall be in writing and shall be supported by the information set forth in Chapter 12 of METRO's Procurement Manual to enable the protest to be considered. A protest or objection will not be considered if it is insufficiently supported or it is not received within the time limits specified herein.

2. A protest based upon terms, conditions or form of a proposed procurement action prior to proposal due date, shall be submitted so that it is received by the Chief Procurement Officer no later than five (5) calendar days prior to the specified proposal due date.

3. For a protest concerning an award decision, including proposal evaluations, the initial protest must be received by the Chief Procurement Officer not later than five (5) calendar days after the interested party knows, or through exercise of reasonable diligence should have known, whichever is earlier, of the grounds for the protest.

4. Each protest will be processed in accordance with METRO's Protest Procedures located in Chapter 12 of METRO's Procurement Manual, and as selected by the awarded Contractor, as will be displayed in the ‘Disputes’ Article in Section IX of a resultant contract. A copy of the procedures will be provided to the protester upon written request to METRO's Chief Procurement Officer.

5. A written final determination on any protest will be rendered by METRO's President & Chief Executive Officer and will be provided to the protester as soon as practicable.

6. The protester must exhaust its administrative remedies by pursuing METRO's protest procedures to completion prior to appealing METRO's decision to the FTA.

7. Federal Transit Administration (FTA) Circular 4220.1F, Paragraph 7L, addresses proposal protests. A copy of this Paragraph will be provided to the protester upon written request to METRO. Review of a protest by FTA will be limited to a grantee's failure to have or follow its written protest procedures, its failure to review a complaint or protest, or violations of federal law or regulations. An appeal to FTA must be received by the cognizant FTA regional or Headquarters Office within five (5) working days of the date the protester learned or should have learned of an adverse decision by METRO or other basis of appeal to FTA. Violations of a specific federal law or regulation will be handled by the complaint process stated within that law or regulation. Alleged violations on other grounds are under the jurisdiction of the appropriate state or local administrative or judicial authorities.

U. POSTPONEMENT OF DATE SET FOR RECEIPT OF PROPOSALS

Notwithstanding the time for receipt of proposals established in the Request for Proposals, the date and time for receipt of proposals may be postponed solely at METRO's discretion.

V. SOLICITATION ORDER OF PRECEDENCE

Notwithstanding the Article of this solicitation entitled 'Contract Order of Precedence,' in the event of an inconsistency between provisions of this solicitation prior to award, the inconsistency shall be resolved by giving precedence in the following order:

1. Solicitation Amendments (if any) with the latest having precedence;
2. Instructions to Proposers;
3. The Proposal Form;
4. The proposed contract articles;
5. Scope of services; and
6. Any other full-text provision of this solicitation whether incorporated by reference or otherwise.

W. SUBMISSION OF PROPOSALS

A proposal shall be submitted so as to be received no later than the exact time and at the place indicated in the Request for Proposals and shall be enclosed in a sealed envelope clearly identified as a proposal with the project title, Request for Proposals number and proposal receipt time. The envelope shall identify the name and address of the proposer and shall contain all required documents. Failure to do so may result in a premature opening of, or a failure to open, such proposal.

X. TAXES

METRO is exempt from payment of Federal Excise and Transportation Tax and the Texas Limited Sales, Excise and Use Tax. The Contractor's invoice(s) shall not contain assessment for any of these taxes.

3 SMALL BUSINESS AND DISADVANTAGED BUSINESS ENTERPRISE PROGRAMS
A. The Metropolitan Transit Authority of Harris County, Texas (METRO) has implemented a Small Business Enterprise Program, hereinafter referred to as the Program, for small businesses attempting to provide goods and/or services as prime Contractors to METRO or as subcontractors to other prime Contractors to METRO. It is the policy of METRO to promote equal opportunity and non-discrimination in all of its procurement matters in accordance with state and federal law. The Program seeks to provide METRO-certified Small Businesses (SBE) and federally-certified Disadvantaged Businesses Enterprises (DBE) a fair opportunity to participate in METRO projects through race-gender neutral means. The Small Business Enterprise Program shall not be used to discriminate against any person or company or group of persons or companies because of race, color, national origin, religion, sex (including gender identity and sexual orientation), disability, or age. Each bidder, proposer, Contractor and subcontractor shall comply with this non-discrimination requirement.

B. The Small Business Enterprise Program is a separate program from METRO’s Disadvantaged Business Enterprise (DBE) Program which is administered by the federal government and applies to federally funded projects. METRO’s Small Business and Disadvantaged Business Enterprise Programs can be found at https://www.ridemetro.org/Pages/SB-FormsTemplates.aspx

C. Nothing in the Small Business or Disadvantaged Business Enterprise Programs should be construed to give a bidder or proposer a property interest in a proposal, bid or contract prior to the Board of Directors’ award of the contract and compliance with all statutory and legal requirements.

METRO has established a Small Business Participation goal for this solicitation. The Small Business Participation goal may be satisfied by utilizing METRO-certified Small Businesses or federally-certified Disadvantaged Business enterprises or a combination of both. All references to Small Businesses include Disadvantaged Businesses. The Small Business Participation goal is: N/A%

D. BIDDERS WHO FAIL TO COMMIT TO THE SMALL BUSINESS CONTRACT GOAL WILL BE DEEMED NONRESPONSIVE AND NO FURTHER CONSIDERATION WILL BE GIVEN TO THEIR BID.

E. All prime Contractors, whether SBE/DBE or non-SBE/DBE, must always self-perform at a minimum thirty percent (30%) of the contract regardless of the Small Business Participation goal percentage.

F. Small Business Goal Commitment for a Small Business Participation goal listed in above item D: EXAMPLE SCENARIOS

1. If a Small Business Participation goal is established in item D above, bidders/proposers who fail to commit to the Small Business Participation goal will be deemed nonresponsive and no further consideration will be given to their bid/proposal.

2. Non-certified Small Business or TUCP Disadvantaged Business Enterprise primes must subcontract at a minimum the Small Business Participation goal percentage to METRO-certified Small Business firms, TUCP Disadvantaged Business Enterprise firms or a combination of both in order to satisfy the Small Business Participation goal requirement.

3. The performance of a METRO-certified Small Business or federally certified Disadvantaged Business Enterprise prime may satisfy the Small Business Participation goal requirement if:

   a) The SBE/DBE prime self-performs at a minimum the Small Business Participation goal percentage

      Example: Small Business Participation goal is 35%
      The SBE/DBE prime self-performs 35%
      The prime has satisfied the 35% Small Business Participation goal

   b) The SBE/DBE prime combined with a SBE/DBE subcontractor performs at a minimum the Small Business Participation goal percentage

      Example: Small Business Participation goal is 40%
      The SBE/DBE prime self-performs 35%
      SBE/DBE subcontractor performs 5%
      The prime has satisfied the 40% Small Business Participation goal

   c) The SBE/DBE prime cannot self-perform 100% of the contract. The prime must subcontract at a minimum the Small Business Participation goal percentage. At a minimum, fifty percent (50%) of the Small Business Participation goal must be subcontracted to a SBE, DBE or a combination of both.

      Example: Small Business Participation goal is 35%
      SBE/DBE prime self-performs 65%
      Subcontractors (METRO-certified) perform 17.5%
      Subcontractors (non-certified) performs 17.5%
      The prime has satisfied the 35% Small Business Participation goal
d) Joint venture Contractors with SBE/DBE partners will count towards the Small Business Participation goal only for the percentage of the SBE/DBE partner.

Example: Joint venture  
1 - Non-SBE/DBE partner @ 50% of joint venture  
1 - SBE/DBE partner @ 50% of joint venture  
Joint venturer is performing 30% of the contract = 15% Small Business participation

e) Joint venturers and their partners are prohibited from submitting as a prime and as a subcontractor on the same submission.

Example: Joint venturer submits as a prime  
Joint venture partners are listed as subcontractors on the same submission  
Joint venturers and partners are prohibited from submitting in this way

3. Non-certified bidders/proposers are prohibited from multiple submissions of bids or proposals, i.e. submitting as a prime Contractor in one submission and as a subcontractor in another submission for the same project. Such multiple submissions may result in the disqualification of all submissions where the bidder/proposer is listed.

5. Certified bidders/proposers may submit as a Prime in one submission and as a subcontractor in one (1) other submission for the same project.

6. Agreements between a bidder/proposer and a Small Business Enterprise or Disadvantaged Business Enterprise in which the SBE or DBE promises not to provide subcontracting quotations to other bidders/proposers shall be prohibited.

7. SBEs and DBEs, not submitting as a Prime are limited to submitting as subcontractors on only four (4) bid/proposal submissions for the same project. Failure to adhere to this four (4) bid/proposal limit may result in the disqualification of the offending SBE or DBE from all bids/proposals.

G. Required Small Business Documents

Note: The ‘Contractor’s Utilization Plan,’ ‘Business Assurance Statement,’ ‘Subcontractor/Supplier Letter of Intent,’ and ‘Contractor Utilization Plan Pledge’ forms constitute the Contractor’s commitment to subcontract to certified businesses.

Note: Submission of the forms identified as ‘Contractor Owned’ are a condition to be met by the proposers in order to be deemed responsive and must be met as a condition prior to contract award. Any changes or adjustments to the information on these forms shall be submitted to the Contracting Officer and the Office of Small Business for approval. Once approved, the updated form(s) will be added to the contract file without requiring modification to the contract.

Note: All Small Business forms are to be submitted together under a single tab in bid/proposal submissions. If no Small Business Participation goal has been established, only the Contractor Utilization Plan Form must be submitted.

1. Contractor Utilization Plan ‘Contractor Owned’  See Exhibit G, Form 1

a) IT IS MANDATORY that every bidder or proposer submit a Contractor’s Utilization Plan (the ‘Plan’) when submitting a bid or proposal or response to request for qualifications, whether or not a Small Business Participation goal has been established.

b) The bidder/proposer must use this form to identify all subcontractors with whom the bidder/proposer intends to contract, specifying the agreed price and/or percentage to be paid each subcontractor for such work, and certifying the contract items and parts thereof to be performed by each subcontractor. Only percentages of Contract Work Effort are to be indicated when responding to RFQ/RFP submissions, as pricing is determined later in the procurement process.

c) If applicable, the Plan should set forth how the Small Business Participation goal for the proposed project is to be met. The Plan will be used by METRO as a factor in evaluating whether a bidder/proposer has complied with the requirements of the Program to satisfy the Small Business Participation goal.

d) If the Small Business participation submitted by the bidder/proposer does not meet an established Small Business Participation goal, if any, the bidder/proposer will be deemed non-responsive and will not be considered for contract award.

e) Failure to submit a complete Plan for a contract with a Small Business Participation goal will result in bid/proposal being deemed non-responsive and will not be considered for contract award.

f) When a Small Business Participation goal has been established, the Contractor shall adhere to the Plan submitted unless a waiver is received from the Office of Small Business. Any changes in the Plan regarding the proposed use of
certified subcontractors in discharging the contract duties must be approved by the Office of Small Business. The approval of the Office of Small Business will not be unreasonably withheld upon a showing of good cause to make the change.

g) When adding a certified subcontractor to the Plan with a Small Business Participation goal, the Contractor must submit a copy of the subcontract agreement to the Office of Small Business within fifteen (15) days of receiving approval from the Office of Small Business.

h) The Contractor Utilization Plan must include the following:

1) A simple, straight-forward statement outlining subcontractor participation regardless of certification, inclusive of scope, responsibilities and percentage of work.

2) Materials and supplies shall be counted towards the small business goal as follows:

   i. 100 percent of the cost of materials or supplies purchased from a small business manufacturer can be applied towards the Small Business Participation goal of a Contract. A manufacturer is defined as a firm that operates or maintains a factory or establishment that produces, on the premises, the materials, supplies, articles, or equipment of the general character described by the scope and/or specifications of the contract; and

   ii. Sixty percent of the cost of materials or supplies purchased from a small business regular dealer can be applied towards the Small Business Participation goal of a Contract. A regular dealer is defined as 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 scope and/or specifications of the contract are bought, kept in stock, and regularly sold or leased to the public in the usual course of business.

3) Proposer/bidders should include copies of documents demonstrating that each Small Business team member is acceptably certified as either a METRO-certified Small Business or federally certified Disadvantaged Business Enterprise and verifying that such certification is active as of the date of proposal/bid submission.

   i. METRO accepts ONLY the following certifications:

   • SBE - Metropolitan Transit Authority of Harris County (METRO)
   • DBE - City of Houston)
   • DBE - City of Austin
   • DBE – Corpus Christi Regional Transportation Authority
   • DBE – North Central Texas Regional Certification Agency
   • DBE – South Central Texas Regional Certification Agency
   • DBE - Texas Department of Transportation (DOT)
   • DBE Certification from other states
   • 8 (a) Certification – Small Business Administration

   ii. Examples of certifications METRO DOES NOT accept:

   • HUB Certification - Historically Underutilized Business
   • MBE Certification - Minority Business Enterprise
   • WBE Certification - Women Business Enterprise
   • Small Business Enterprise (SBE) Certification from any other agency
   • Any certifications that are not listed in above section i.

   iii. The link to the METRO SBE directory is https://ridemetro.sbdbe.com/ The link to the TUCP DBE directory is https://txdot.txdotcms.com/. Proposers/bidders are encouraged to use these links to verify certifications. Firms with unacceptable certifications will not be counted towards the Small Business contract goal.

   iv. If a proposer/bidder submits plans to add a firm as part of its small business participation that is not yet certified as referenced above, that firm must be either METRO Small Business- or federal Disadvantaged Business Enterprise-certified prior to the bid/proposal submittal date. Firms certified after the bid/proposal submittal date will not be counted towards the commitment. Additional Small Business certification information and forms may be found at METRO’s website: www.ridemetro.org under Small Business.

4) When requested, a timeline for performance by subcontractors.

5) Signature of the bidder/proposer.

2. Business Assurance Statement (BAS) ‘Contractor Owned’ See Exhibit G, Form 2
a) Bidders/proposers are required to submit an executed Business Assurance Statement form with their bid/proposal when a Small Business Participation goal has been established.

b) Bidders/proposers must enter their Small Business Participation goal commitment. This includes the SBE/DBE prime’s participation if applicable.

c) Bidders/proposers must enter into agreements with the subcontractors listed on the Plan

d) Bidders/proposers must include the BAS Clauses in their subcontractor agreements

3. Letter of Intent (LOI) ‘Contractor Owned’ See Exhibit G, Form 3

a) Bidders/proposers are required to submit a Letter of Intent form for all subcontractors when a Small Business Participation goal has been established.

b) The Letters of Intent must be executed by the prime and the subcontractor

4. Contractor Utilization Plan Pledge (Pledge) ‘Contractor Owned’ See Exhibit G, Form 4

a) Bidders/proposers are required to submit an executed Pledge form with their bid or proposal when a Small Business Participation goal has been established.

b) Bidders/proposers must pledge prompt payment to ALL subcontractors

c) Bidders/proposers must affirm adherence to METRO’s Nondiscrimination Mandate.

d) When applicable, bidders/proposers must pledge prompt payment of retainage

e) Bidders/proposers must include the Pledge Clauses in their subcontractor agreements

H. Incentives Utilizing Small Businesses

1. Fees for Solicitation Documents. Submitters making a valid proposal and participating in the Program will receive a refund for up to seven (7) sets of documents purchased from METRO.

2. Bid Security/Bond. A bid security will no longer be required except for federally funded construction solicitations exceeding $100,000.

3. METRO’s Incentives. METRO may utilize other incentives, as set forth in the bid specifications or request for proposal, as it determines appropriate.

I. METRO encourages Contractors to use financial institutions owned and controlled by socially and economically disadvantaged individuals. A listing of such institutions may be found at https://www.fdic.gov/regulations/resources/minority/mdi.html

4. PROPOSAL FORMS SUBMISSION CHECKLIST

Insert requested information and sign and date where indicated.

SUBMIT WITH COMPLETED PROPOSAL

SUBMIT WITH COMPLETED PROPOSAL

☐ ‘Proposer’s Questionnaire’ Section I, Article 5
☐ ‘Technical Proposal Submission’ page Section I, Article 6
☐ ‘Technical Proposal’ (without pricing) Section I, Article 7, in sealed envelope, separate from pricing
☐ ‘Pricing Proposal’ Submission Section II, Article 1
☐ ‘Offer/Acceptance/Award Signature’ page Section II, Article 2
☐ ‘Solicitation/Contract Amount, Items and Prices’ form Section II, Article 3, in separate, sealed envelope
☐ ‘Key Personnel’ form Section II, Article 4
☐ ‘Certification of Restrictions on Lobbying’ form Section XI, Exhibit D
☐ ‘Debarment and Suspension Certification’ form Section XI, Exhibit E
☐ ‘Contractor’s Utilization Plan’ form Section XI, Exhibit G, Form 1

SUBMIT IF A SMALL BUSINESS GOAL IS ESTABLISHED

☐ ‘Business Assurance Statement’ form Section XI, Exhibit G, Form 2
☐ ‘Subcontractor/Supplier Letter of Intent’ form Section XI, Exhibit G, Form 3
☐ ‘Contractor’s Utilization Plan Pledge’ form Section XI, Exhibit G, Form 4
☐ Acceptable Small Business Certification documentation

SUBMIT ONLY IF APPLICABLE

☐ Evidence of attainment of proper license or permit, if special licensing or permitting is required by federal, state or local law or ordinance.
5  PROPOSER'S QUESTIONNAIRE

Every Contractor and subcontractor anticipated to be utilized in performance of these services is to complete this questionnaire where applicable.

All completed questionnaires are to be submitted with the prime proposer’s proposal.

A. Name of Company: _____________________________________________________

B. Address of Company: ___________________________________________________

_____________________________________________________________________

_____________________________________________________________________

_____________________________________________________________________

Telephone #: _____________ Fax #:________________ Email: _________________________________

Office hours: ___________________________________________________

C. Location of office responsible for providing services if different from above:

_____________________________________________________________________

_____________________________________________________________________

_____________________________________________________________________

_____________________________________________________________________

Telephone #: _____________ Fax #:________________ Email: _________________________________

Office hours: ___________________________________________________

D. Is the building where the firm is located (check one):

Leased ____ Corporate-owned ____ Individual-owned ____

E. Geographical Service Area: _______________________________________________

F. Texas Taxpayer Number: _________________________________________________

G. What is the address and telephone number of your firm’s headquarters?

_____________________________________________________________________

_____________________________________________________________________

_____________________________________________________________________

H. What is the address of the office/location where your firm’s financial records are kept/stored?

_____________________________________________________________________

_____________________________________________________________________

I. Who at your office would be a METRO Auditor’s principal contact?
Name: _______________________________________________________
Telephone #: _____________ Fax #:________________ Email: _________________________________
Office hours: __________________________________________________

J. Name your principal financial institution for financial responsibility reference:
Name of Bank: _______________________________________________________
Street Address: _______________________________________________________
City and State: _______________________________________________________
Telephone: __________________________________________________________
E-Mail: _____________________________________________________________
Officer Familiar with Proposer’s Account: __________________________________

K. State your firm’s annual average receipts for the past three (3) fiscal years:

<table>
<thead>
<tr>
<th>YEAR</th>
<th>AVE. ANNUAL RECEIPTS</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

L. Is your firm aware of, and will it comply with Texas Government Code, Title 10, Chapter 2251 when making payments to subcontractors?
Yes ____ No ____

M. Does your firm agree (if awarded a contract) to make corporate data and records (as they relate to the contract) available to METRO for audit during performance of and for a period of three (3) years after contract completion?
Yes ____ No ____

N. Your firm maintains its accounts on a(n) (check one):
Accrual Basis Accounting System ____ Cash Basis Accounting System ____

O. What is your firm’s fiscal year ending date? ____________________

P. Have you attached a copy of your firm’s last annual financial (profit/loss) statement?
Yes ____ No ____

Q. Does your firm have other branches operating in other places?
Yes ____ No ____ If yes:
How many? _____ Are separate accounting reports prepared for each branch?
Yes ____ No ____
What indirect overhead rate will be used in the Contract?
The branch that will provide the services ____ The combined rate of the home office and all branches ____. 

R. Has your firm ever been audited by METRO?
Yes ____ No ____ If yes:
The date of the last audit was: __________________________________________

S. Have your firm’s accounting records been subjected to an annual independent audit?
Yes ____ No ____
If yes, please provide a copy of CPA reports for the last two (2) years.
T. Has your firm recently been audited by a cognizant Federal Government Audit Agency? Yes ____ No ____ If yes:
   By which agency? ______________________________________
   Periods covered by the audit: _____________________________
   Have you attached a copy of the latest audit performed by such agency? Yes ____ No ____

U. Has your firm established project accounting records to record costs by individual project? Yes ____ No ____

V. Are the costs in these records used as the basis for your firm’s financial status reports and billing purposes? Yes ____ No ____

W. Does your firm post credits for rebates, returns and allowances as a reduction to expenditures? Yes ____ No ____

X. Are employees consistently identified and classified as to direct and indirect categories of labor? Yes ____ No ____

Y. Does your firm currently employ or has it ever employed, at any time over the past twelve (12) months, any current or former METRO employees, associates, or representatives in any capacity whatsoever? Yes ____ No ____ If yes:
   Please provide on a separate sheet of paper the name of the individual, the purpose of employment, and the period employed.

Z. Does your firm currently employ or carry on its payrolls any individual of a nationality other than United States citizen? Yes ____ No ____ If yes:
   Is the individual known to have entered and are working in the United States in accordance with the established laws of the United States Immigration and Naturalization Authority? Yes ____ No ____

AA. Please list the individuals authorized to negotiate with METRO in connection with this Request for Proposal.

<table>
<thead>
<tr>
<th>NAME</th>
<th>TITLE</th>
<th>TELEPHONE</th>
<th>EMAIL</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

BB. How many years has your organization been in business as a Contractor or consultant under your present business name? _______ Years

CC. How many people are currently employed by your firm?
   In Harris County? _______ Outside Harris County? _______
DD. List the names of personnel who will be directly responsible for or in any way involved in providing the required services. Resumes must be included for named personnel.

<table>
<thead>
<tr>
<th>NAME</th>
<th>TITLE</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

EE. Have you or your organization, or any officer or partner thereof, failed to complete a contract? Yes ____ No ____ If yes:

Provide details:

______________________________________________________________________________________
______________________________________________________________________________________
______________________________________________________________________________________
______________________________________________________________________________________

Please provide a name and contact information of a representative at client firms for which your firm was unable to complete any contract or project within the last five years, who can describe circumstances surrounding that event. (Include projects from which your firm was removed, terminated, contract not extended, or lost for any reason.)

<table>
<thead>
<tr>
<th>NAME</th>
<th>TITLE</th>
<th>TELEPHONE</th>
<th>EMAIL</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

FF. Is any litigation pending against your organization that will affect your company's ability to perform the required services? Yes ____ No ____ If yes:

Provide details:

______________________________________________________________________________________
______________________________________________________________________________________
______________________________________________________________________________________
______________________________________________________________________________________

GG. List names of client companies, including public bodies, for whom you have furnished the same or similar type of service.

<table>
<thead>
<tr>
<th>NAME</th>
<th>ADDRESS</th>
<th>EMAIL</th>
<th>TELEPHONE</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

xxi
By signing below, the proposer/contractor represents the following: (1) the business/company contracting with METRO is in good standing with the state of Texas; (2) the business/company is authorized to transact business in the state of Texas; and (3) the business/company does not have any outstanding debts (including, but not limited to, tax liens) that affect the proposer/contractor’s ability to transact business in the state of Texas. The proposer/contractor shall provide METRO proof to support the above representations.

The undersigned certifies that he/she is legally authorized by the proposer to make the statements and representations contained in this proposal, and represents and warrants that the foregoing information is true and accurate to the best of his/her knowledge, and intends that the Metropolitan Transit Authority, Harris County, Texas, can rely thereon in evaluating this proposal.

NAME: ____________________________________________   TITLE: ______________________________
Please Print

SIGNATURE: By: _________________________________   DATE OF SIGNING: ___________________
METROPOLITAN TRANSIT AUTHORITY OF HARRIS COUNTY TEXAS

REQUEST FOR PROPOSALS (RFP)

Requisition No.:1120002045  RFP No.: 4020000163  Date of RFP: June 8, 2020  Contract No.: TBD

Description of Project: For Signals and Communications System

(TO BE COMPLETED BY PROPOSER)

In compliance with the above referenced Request for Proposals, the undersigned hereby proposes to furnish all of the resources necessary to complete the above referenced project for the total price listed in the 'Solicitation/Contract Amount, Items and Prices' Article herein and in accordance with the Contract documents.

The undersigned agrees that this offer will remain valid for a period of one hundred twenty (120) calendar days after the date of receipt of proposals.

PROPOSER NAME AND ADDRESS: (Full Name of Firm, Corporation, Partnership, Joint Venturer)

FULL NAME OF PARTNERS (Type or print)

BUSINESS NAME (Type or print)

ADDRESS (Type or print)

PHONE: (  ) _______________  FAX NO: (  ) _______________

CITY, STATE, ZIP CODE (Type or print)

EMAIL: __________________________

BY: (Sign in ink)

NAME: (Type or print)     TITLE

DATE: _______________

Any resulting contract will consist of this form and Sections II through X of the original solicitation.

Upon written acceptance of this offer, executed by METRO and mailed or otherwise furnished within the one hundred twenty (120)-day offer validity period, the Proposer/Contractor will, within fourteen (14) calendar days (unless a longer period is allowed) after receipt of award documents, provide required certification of insurance, bonds and other documentation as may be required.

The resulting Contract sets forth the entire agreement between the parties with respect to the subject matter thereof, and supersedes and replaces all proposals, negotiations, representations, and implied obligations. The obligations, liabilities and remedies set forth herein are exclusive and shall operate as limitations on any action brought in connection with this Contract, including an action in tort. The resulting Contract is binding upon and shall inure to the benefit of the parties hereto and their successors and permitted assigns but shall not inure to the benefit of any third party or other person.

DIRECTIONS FOR SUBMITTING PROPOSALS: Envelopes containing proposals, guarantee, and other proposal documents shall be sealed, marked and addressed as follows:

METROPOLITAN TRANSIT AUTHORITY
Procurement Division Plan Room
1900 Main St.
Houston, Texas 77002

NOTE: Identify the envelope containing a proposal with the project title, Request for Proposals number, proposal due date, and the proposer’s company name and address.
THE TECHNICAL PROPOSAL EXCLUDES AND IS TO BE SUBMITTED IN A SEPARATE SEALED ENVELOPE FROM THE PRICING PROPOSAL.
SECTION II - FORMS FOR PROPOSING/AWARD

1 PRICING PROPOSAL SUBMISSION PAGE

METROPOLITAN TRANSIT AUTHORITY OF HARRIS COUNTY TEXAS

REQUEST FOR PROPOSALS

======================================================================================================
Requisition No.: 1120002045          RFP No.: 4020000163          Date of RFP: June 8, 2020          Contract No.: TBD

Description of Project: For Signals and Communications System

======================================================================================================

In compliance with the above referenced Request for Proposals, the undersigned hereby proposes to furnish all of the resources necessary to complete the above referenced project for the total price listed in the ‘Solicitation/Contract Amount, Items and Prices’ Article herein and in accordance with the Contract documents.

Any resulting contract will consist of this form and Sections II through XI of the original solicitation.

The undersigned agrees that this offer will remain valid for a period of one hundred twenty (120) calendar days after the date of receipt of proposals.

Upon written acceptance of this offer, executed by METRO and mailed or otherwise furnished within the one hundred twenty (120)-day offer validity period, the Proposer/Contractor will, within fourteen (14) calendar days (unless a longer period is allowed) after receipt of award documents, provide required certification of insurance, bonds and other documentation as may be required.

The resulting Contract sets forth the entire agreement between the parties with respect to the subject matter thereof, and supersedes and replaces all proposals, negotiations, representations, and implied obligations. The obligations, liabilities and remedies set forth herein are exclusive and shall operate as limitations on any action brought in connection with this Contract, including an action in tort. The resulting Contract is binding upon and shall inure to the benefit of the parties hereto and their successors and permitted assigns but shall not inure to the benefit of any third party or other person.

(TO BE COMPLETED BY PROPOSER AT THE CONCLUSION OF NEGOTIATIONS OF THE CONTRACT)

PROPOSER NAME AND ADDRESS (Full Name of Firm, Corporation, Partnership, Joint Venturer):

FULL NAME OF PARTNERS (Type or Print):

BUSINESS NAME (Type or print)

ADDRESS (Type or print)

PHONE: (   ) ________  FAX NO: (   ) ________

CITY, STATE, ZIP CODE (Type or print)

EMAIL: _________________________

BY: (Sign in ink)

NAME (Type or print)     TITLE (Type or print)

DATE: ________________

DIRECTIONS FOR SUBMITTING PROPOSALS:

Envelopes containing proposals, guarantee, and other proposal documents shall be sealed, marked and addressed as follows:

METROPOLITAN TRANSIT AUTHORITY

Procurement Division Plan Room

1900 Main St.

Houston, Texas 77002

NOTE: Identify the envelope containing a proposal with title, the project Request for Proposals number, proposal due date, and the proposer’s company name and address.
OFFER

(TO BE COMPLETED AND SIGNED BY PROPOSER/CONTRACTOR
AT THE CONCLUSION OF NEGOTIATIONS OF THE CONTRACT)

SIGNATURE OF PROPOSER/CONTRACTOR:   ATTEST:

BY: ______________________________________ (MUST BE SIGNED BY AUTHORIZED PERSON)

NAME: ____________________________________ (Type or Print)

TITLE: ____________________________________

DATE: ____________________________________

Note: If Joint Venture, each party shall provide the above information and sign the offer.

======================================================================================================

ACCEPTANCE AND AWARD

(TO BE COMPLETED AND SIGNED BY METRO)

METRO and the Contractor have executed this Contract and it shall be effective on the ____ day of ____________, 20_____.

METROPOLITAN TRANSIT AUTHORITY OF HARRIS COUNTY

Executed for and on behalf of the Metropolitan Transit Authority pursuant to Resolution No. __________ of the Board of Directors on the ____ day of _____________, 20____, and on file in the office of the Assistant Secretary of the Authority.

BY: ___________________________________

Name: Michael Kyme
Title: Chief Procurement Officer

APPROVED:

___________________________________

Name: Debbie Sechler
Title: Executive Vice President, Administration

___________________________________

Name: Arthur C. Smiley III
Title: Chief Financial Officer

APPROVED AS TO FORM:

___________________________________

Name: Cydonii Fairfax
Title: Executive Vice President & General Counsel

ATTEST:

___________________________________

Title: Assistant Secretary
THE PRICING PROPOSAL IS TO BE SUBMITTED IN A SEALED ENVELOPE SEPARATE FROM THE TECHNICAL PROPOSAL.

The Contractor shall furnish all labor, tools, supplies, specialized equipment, staffing, transportation, supervision, management, overhead and profit to perform all operations necessary for Signals and Communications System in accordance with the Scope of Services as defined in Exhibit A and at the rates specified below. Please insert the Excel Worksheet in this section.

<table>
<thead>
<tr>
<th>NO. AS</th>
<th>ITEM DESCRIPTION</th>
<th>UNIT</th>
<th>HOURS</th>
<th>HOURLY RATE</th>
<th>EXTENDED AMOUNT</th>
<th>HOURLY RATE</th>
<th>EXTENDED AMOUNT</th>
<th>HOURLY RATE</th>
<th>EXTENDED AMOUNT</th>
<th>HOURLY RATE</th>
<th>EXTENDED AMOUNT</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>STRAIGHT TIME</td>
<td>HR</td>
<td>1,000</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
<tr>
<td></td>
<td>OVERTIME</td>
<td>HR</td>
<td>40</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
<tr>
<td>2</td>
<td>STRAIGHT TIME</td>
<td>HR</td>
<td>1,000</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
<tr>
<td></td>
<td>OVERTIME</td>
<td>HR</td>
<td>40</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
<tr>
<td>3</td>
<td>STRAIGHT TIME</td>
<td>HR</td>
<td>2,000</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
<tr>
<td></td>
<td>OVERTIME</td>
<td>HR</td>
<td>120</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
<tr>
<td>4</td>
<td>STRAIGHT TIME</td>
<td>HR</td>
<td>150</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
<tr>
<td></td>
<td>OVERTIME</td>
<td>HR</td>
<td>20</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
<tr>
<td>5</td>
<td>STRAIGHT TIME</td>
<td>HR</td>
<td>500</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
<tr>
<td></td>
<td>OVERTIME</td>
<td>HR</td>
<td>20</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
<tr>
<td>6</td>
<td>STRAIGHT TIME</td>
<td>HR</td>
<td>450</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
<tr>
<td></td>
<td>OVERTIME</td>
<td>HR</td>
<td>150</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
<tr>
<td>7</td>
<td>STRAIGHT TIME</td>
<td>HR</td>
<td>450</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
<tr>
<td></td>
<td>OVERTIME</td>
<td>HR</td>
<td>100</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
<tr>
<td>8</td>
<td>STRAIGHT TIME</td>
<td>HR</td>
<td>150</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
<tr>
<td></td>
<td>OVERTIME</td>
<td>HR</td>
<td>0</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
<tr>
<td>9</td>
<td>STRAIGHT TIME</td>
<td>HR</td>
<td>450</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
<tr>
<td></td>
<td>OVERTIME</td>
<td>HR</td>
<td>50</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
<tr>
<td>10</td>
<td>STRAIGHT TIME</td>
<td>HR</td>
<td>250</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
<tr>
<td></td>
<td>OVERTIME</td>
<td>HR</td>
<td>50</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
<tr>
<td>11</td>
<td>STRAIGHT TIME</td>
<td>HR</td>
<td>200</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
<tr>
<td></td>
<td>OVERTIME</td>
<td>HR</td>
<td>20</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
<tr>
<td>12</td>
<td>STRAIGHT TIME</td>
<td>HR</td>
<td>600</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
<tr>
<td></td>
<td>OVERTIME</td>
<td>HR</td>
<td>50</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
<tr>
<td>13</td>
<td>STRAIGHT TIME</td>
<td>HR</td>
<td>800</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
<tr>
<td></td>
<td>OVERTIME</td>
<td>HR</td>
<td>50</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
<tr>
<td>14</td>
<td>STRAIGHT TIME</td>
<td>HR</td>
<td>500</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
<tr>
<td></td>
<td>OVERTIME</td>
<td>HR</td>
<td>0</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
<tr>
<td>15</td>
<td>STRAIGHT TIME</td>
<td>HR</td>
<td>400</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
<tr>
<td></td>
<td>OVERTIME</td>
<td>HR</td>
<td>0</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
</tbody>
</table>

**SUB-TOTAL: GROUP A HOURS**

<table>
<thead>
<tr>
<th></th>
<th>Extended Amount Year 1</th>
<th>Extended Amount Year 2</th>
<th>Extended Amount Year 3</th>
<th>Extended Amount Option Year 1</th>
<th>Extended Amount Option Year 2</th>
</tr>
</thead>
<tbody>
<tr>
<td>TOTAL GROUP A: YR 1, YR 2, YR 3, OPT YR 1 OPT YR 2</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
<tr>
<td>NO.</td>
<td>ITEM DESCRIPTION</td>
<td>MAKE</td>
<td>UNIT</td>
<td>HOURS</td>
<td>HOURLY RATE</td>
</tr>
<tr>
<td>-----</td>
<td>---------------------------------------------------------------------------------</td>
<td>------</td>
<td>------</td>
<td>-------</td>
<td>-------------</td>
</tr>
<tr>
<td>1</td>
<td>AIR COMPRESSOR (AND ALL NECESSARY HOSES, TOOLS, ETC)</td>
<td>HR</td>
<td>750</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
<tr>
<td>2</td>
<td>DIRECTIONAL BORING MACHINE W/WATER TANK AND AIR COMPRESSOR</td>
<td>HR</td>
<td>120</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
<tr>
<td>3</td>
<td>ELECTRIC GENERATOR W/LIGHT &amp; TOOLS</td>
<td>HR</td>
<td>700</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
<tr>
<td>4</td>
<td>FUSION SPlicer</td>
<td>HR</td>
<td>65</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
<tr>
<td>5</td>
<td>MINI-EXCAVATOR, RUBBER TRACK OR DIRT TRENCHING MACHINE</td>
<td>HR</td>
<td>4,000</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
<tr>
<td>6</td>
<td>MOBILE WELDING SYSTEM (INCLUDING AT NECESSARY) RODS, EQUIP, CUTTING TORCH, ETC.</td>
<td>HR</td>
<td>300</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
<tr>
<td>7</td>
<td>OTDR</td>
<td>HR</td>
<td>350</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
<tr>
<td>8</td>
<td>SAWCUT RG</td>
<td>HR</td>
<td>900</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
<tr>
<td>9</td>
<td>SPICE TRAILER</td>
<td>HR</td>
<td>50</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
<tr>
<td>10</td>
<td>TRAILER, POLE</td>
<td>HR</td>
<td>150</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
<tr>
<td>11</td>
<td>TRAILER, WIRE</td>
<td>HR</td>
<td>1,500</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
<tr>
<td>12</td>
<td>TRUCK, AERIAL BUCKET (MIN 35' WORKING HEIGHT)</td>
<td>HR</td>
<td>1,600</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
<tr>
<td>13</td>
<td>TRUCK, POLE-BORING &amp; SETTING MACHINE-CAPABLE OF HANDLING 45' POLE &amp; SETTING DEPTH OF 16'</td>
<td>HR</td>
<td>600</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
<tr>
<td>14</td>
<td>TRUCK, SERVICE</td>
<td>HR</td>
<td>2,000</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
<tr>
<td>15</td>
<td>TRUCK, DUMP</td>
<td>HR</td>
<td>800</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
<tr>
<td>16</td>
<td>RUBBER-TIRE BACKHOE</td>
<td>HR</td>
<td>500</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
<tr>
<td>17</td>
<td>HYDRO HAMMER BREAKER</td>
<td>HR</td>
<td>600</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
<tr>
<td>18</td>
<td>PAD FOOL DRUM ROLLER, 48&quot; WIDTH</td>
<td>HR</td>
<td>100</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
<tr>
<td>19</td>
<td>SMOOTH DRUM ROLLER, 44&quot; WIDTH</td>
<td>HR</td>
<td>100</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
<tr>
<td>20</td>
<td>CREW TRUCK</td>
<td>HR</td>
<td>100</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
<tr>
<td>21</td>
<td>20' MATERIALS TRAILER</td>
<td>HR</td>
<td>100</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
<tr>
<td>22</td>
<td>DRILLING OF TRACK TO INSTALL AXEL COUNTERS TO INCLUDE DRILL BITS</td>
<td>HR</td>
<td>32</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
</tbody>
</table>

**GROUP B - EQUIPMENTS**

**TOTAL GROUP B: YR 1, YR 2, YR 3, OPT YR 1 OPT YR 2**

$0.00

**SIGNAL & COMMUNICATIONS SYSTEMS**

**GRAND TOTAL: GROUP A & B: YR 1, 2, 3 AND OPT YR 1 & 2**

$0.00
4 KEY PERSONNEL FORM

PRIME CONTRACTOR: ________________________________________
Name: ___________________________________ TEL (___) _____________
Title: _____________________________________ FAX (___) _____________
E-Mail: __________________________________________________________________

SUBCONTRACTORS:
Subcontractor Firm: ________________________________________
Name: ___________________________________ TEL (___) _____________
Title: _____________________________________ FAX (___) _____________
E-Mail: __________________________________________________________________

Subcontractor Firm: ________________________________________
Name: ___________________________________ TEL (___) _____________
Title: _____________________________________ FAX (___) _____________
E-Mail: __________________________________________________________________

Subcontractor Firm: ________________________________________
Name: ___________________________________ TEL (___) _____________
Title: _____________________________________ FAX (___) _____________
E-Mail: __________________________________________________________________

Subcontractor Firm: ________________________________________
Name: ___________________________________ TEL (___) _____________
Title: _____________________________________ FAX (___) _____________
E-Mail: __________________________________________________________________

Subcontractor Firm: ________________________________________
Name: ___________________________________ TEL (___) _____________
Title: _____________________________________ FAX (___) _____________
E-Mail: __________________________________________________________________

Subcontractor Firm: ________________________________________
Name: ___________________________________ TEL (___) _____________
Title: _____________________________________ FAX (___) _____________
E-Mail: __________________________________________________________________

Subcontractor Firm: ________________________________________
Name: ___________________________________ TEL (___) _____________
Title: _____________________________________ FAX (___) _____________
E-Mail: __________________________________________________________________

Subcontractor Firm: ________________________________________
Name: ___________________________________ TEL (___) _____________
Title: _____________________________________ FAX (___) _____________
E-Mail: __________________________________________________________________
SECTION III - DELIVERIES OR PERFORMANCE ARTICLES

1 DEFINITIONS
A. ‘METRO’ shall mean Metropolitan Transit Authority of Harris County, Texas.
B. The term ‘President & Chief Executive Officer’ means the President & Chief Executive Officer of the Metropolitan Transit Authority and the term ‘the duly authorized representative’ means any person specifically authorized to act for the President & Chief Executive Officer. These representatives are authorized to obligate METRO by executing this Contract, and any modification thereto.
C. The term ‘Contracting Officer’ means the Contract Administrator who has been designated the responsibility, by the METRO Chief Procurement Officer, for overall administration of the contract, excluding the execution of contract modifications.
D. The term ‘METRO Project Manager’ means the technical representative who has been designated to act on behalf of METRO in monitoring and assessing the Contractor’s services and/or technical performance and progress; inspecting and periodically reporting on such performance and progress during the stated period of performance, and finally certifying as to the acceptability of the contract Work in its entirety or any portion thereof, as required by the contract documents.
E. The term ‘Contract Disputes Appeals Committee’ means the METRO administrative body designated by the President & Chief Executive Officer to hear a Contractor’s appeal submitted under the ‘Disputes’ Article of this Contract.
F. The term ‘Contractor’ shall mean the individual, partnership, corporation, organization, or association contracting with METRO to furnish all materials, goods and work defined herein. As may be used herein, the terms ‘Contractor and ‘Consultant’ are synonymous.
G. The term ‘subcontract’ means any agreement including purchase orders (other than one involving an employer employee relationship) entered into between the Contractor and a subcontractor calling for services, labor, equipment, and/or materials required for Contract performance, including any modifications thereto.
H. The terms ‘subcontractor’ and ‘subcontractor and supplier’ mean any individual, partnership, firm, corporation or joint venture that contracts with the Contractor to furnish services, labor, equipment and/or materials under this Contract. As used herein, the terms ‘subcontractor’ and ‘subcontractor and supplier’ are synonymous.

2 PERIOD OF PERFORMANCE
A. This Contract shall be for a period of three (3) years from the effective date of the Contract with a two (2) one (1) year option periods, unless otherwise extended or terminated by METRO in accordance with the terms and conditions of this Contract.
B. In the event additional time is required by METRO to initiate a new contract, The Contractor agrees to continue providing services to METRO on a month-to-month basis for a period not-to-exceed six (6) months at the same prices, terms and conditions of the original Contract.

3 SERVICES TO BE PERFORMED
The Contractor shall furnish all necessary labor, materials, tools, supplies, specialized equipment, staffing, transportation, supervision, management, and shall perform all operations necessary and required for Signals and Communications System in accordance with the terms and conditions of this Contract. Specific services to be performed are listed in Exhibit A, ‘Scope of Services,’ and made a part hereof.

4 WORK AUTHORIZATIONS
A. Performance of the Services contemplated in this Contract shall be undertaken only upon the issuance of written Work Authorizations by the METRO Contracting Officer. The format for the Work Authorization document itself shall be as indicated in the exhibit ("B") entitled "WORK AUTHORIZATION FORM", except that the Contracting Officer may add such other items of information as he may deem necessary to accurately describe the requirement of that particular Work Authorization.
B. Work Authorizations may be amended by the METRO Contracting Officer in the same manner as they are issued.
C. METRO reserves the right to contract with other sources for the provision of similar services. Provided however, METRO will use best efforts to issue at least one work authorization to Contractor during the term of this Contract.
D. Work Authorizations issued prior to and in effect at the time of the expiration date of this Contract shall continue to be in effect and performed by the Contractor until such time as all requirements have been met and a written acceptance of the Services performed has been made by METRO’s Project Manager. Provided however, no new Work Authorizations shall be issued after the expiration of the Contract term as indicated in Section 3 above.
E. The terms and conditions of this Contract, shall apply to each Work Authorization issued.

5  TEXAS ETHICS COMMISSION (TEC) ELECTRONIC FILING

In the event this Contract requires the approval of METRO's Board of Directors, the Contractor shall submit to METRO, after notification that METRO's Board has authorized the Contract and prior to final execution of the Contract, a completed, signed and notarized Form 1295 generated by the Texas Ethics Commission's (the TEC) electronic filing application in accordance with the provisions of Section 2252.908 of the Texas Government Code and the rules promulgated by the TEC (a Form 1295). The Contractor hereby confirms and agrees to submit such forms with the TEC through its electronic filing application at: https://www.ethics.state.tx.us/whatsnew/elf_info_form1295.htm.
SECTION IV - INSPECTION AND ACCEPTANCE ARTICLES

1 INSPECTION OF SERVICES

A. The Contractor shall provide and maintain a quality control and service inspection system acceptable to METRO covering the services under this Contract. Complete records of all inspection services performed by the Contractor shall be maintained and made available to METRO during Contract performance and for a three (3) year period after the term of the Contract.

B. METRO has the right to inspect and test all services called for by the Contract, to the extent practicable at all times and places during the term of the Contract. METRO shall perform inspections and tests in a manner that will not unduly delay the services.

C. If any of the services do not conform to Contract requirements, METRO may require the Contractor to perform the services again in conformity with Contract requirements, at no additional compensation.

D. When the defects in services cannot be corrected by performance, METRO may:
   1. Require the Contractor to take necessary action to ensure that future performance conforms to Contract requirements; and
   2. Reduce the Contract price to reflect the reduced value of the services performed.

E. If the Contractor fails to promptly perform the services again or take the necessary action to ensure future performance in conformity with Contract requirements, METRO may:
   1. By contract or otherwise, perform the services and charge to the Contractor any cost incurred by METRO that is directly related to the performance of such services; or
   2. Terminate the Contract for default.
SECTION V - CONTRACT ADMINISTRATION DATA ARTICLES

1  COMPENSATION

A. As full consideration for the satisfactory performance by the Contractor of this Contract, METRO shall pay to the Contractor compensation in the amount of $_________.___ and _____/100 Dollars ($_________.___), in accordance with Section II, No. 3, less any prompt payment discount earned or set forth in Paragraph B below, and in accordance with the payment provisions of this Contract.

B. Prompt payment discount(s): ___. In connection with any discount offered for prompt payment, time shall be computed from the date of receipt of a properly prepared invoice by METRO or acceptance of all materials and goods furnished and work performed, whichever is later. For the purposes of computing the discount earned, payment shall be considered to have been made on the date that the payment is mailed or the date which an electronic funds transfer was made.

2  INVOICING AND PAYMENT

A. On a monthly basis or based on a METRO-approved payment milestone schedule, the Contractor shall submit an original invoice for Work, services, equipment, materials or other items that have been inspected and accepted by METRO, to the address shown below:

Sr. Director of Accounting/Controller
METROPOLITAN TRANSIT AUTHORITY
1900 Main St., 5th Floor (77002)
P.O. Box 61429
Houston, Texas  77208-1429

B. METRO shall pay the amount due the Contractor under this Contract after:

1. Acceptance of services;
2. Presentation of a properly prepared invoice;
3. For each invoice with a Small Business Participation goal, update METRO’s Online Contract Audit screen demonstrating payments to subcontractors and confirmation of receipt of payment by subcontractors;
4. For each invoice with a Small Business Participation goal, update METRO’s online Subcontractor Invoice Report demonstrating subcontractor’s invoices for the billing period and upload a copy of the subcontractor’s invoice. The Contractor’s invoice to METRO should include subcontractor’s invoice for the same period of performance;
5. Presentation of a completed ‘Contractor’s Release’ form, Exhibit B, with every invoice, thereby releasing all claims against METRO arising by virtue of this Contract, other than claims, in stated amounts that the Contractor has specifically excepted from the operation of the release. A release may also be required of the assignee if the Contractor’s claim to amounts payable under this Contract has been assigned. The Contractor shall complete a ‘Contractor’s Release’ form, Exhibit B, or other Contractor’s release form acceptable to METRO and submit with every invoice; and
6. If the Contractor has previously been paid for items or services that are later found to be deficient, defective or otherwise unacceptable, subsequent invoices may be adjusted accordingly. In such instances, METRO shall provide the Contractor a written explanation for such adjustments.

C. Subcontractor and Supplier Payments:

1. The Contractor shall provide payment to each subcontractor and supplier within five (5) business days after receiving payment from METRO for amounts previously invoiced for work performed or materials furnished under the Contract with a Small Business Participation goal. Subcontract payment provisions shall require payments to subcontractors within five (5) business days after the Contractor received payment from METRO. Interest on late payments is subject to the provisions of Texas Government Code, Title 10, Chapter 2251, regarding payments to subcontractors.

2. In the event of disputed amounts, the Contractor shall provide a written response to a subcontractor or supplier, with a copy to the Contracting Officer, specifically addressing any disputed amounts on invoices. The Contractor should resolve all disputed invoices at the earliest time to avoid a delay in the submission of print out of METRO’s Online Contract Audit screen with subcontractor payment verification which could delay payment to the Contractor. In the event that the Contractor cannot resolve a subcontractor or supplier disputed invoice, the Contractor shall bring the matter to the attention of the Contracting Officer at the time of submitting the Contractor’s invoice for payment. The Contracting Officer will investigate the situation and make a determination whether the Contractor’s invoice should be processed for payment without the required contract Audit verification. The Contracting Officer will not mediate the dispute between the Contractor and any subcontractor or supplier in the resolution of disputed invoices.
D. Metro’s Online Contract Audit on Contracts with Small Business Participation Goals:
   1. Contractors are required to update Metro’s Online Contract Audit screen and Subcontractor Invoice Report, and to upload subcontractor invoices;
   2. Failure of the Contractor to update Metro’s Online Contract Audit screen, Subcontractor Invoice Report and/or subcontractor’s invoices will be cause for the return of the invoice to the Contractor as an improperly prepared invoice; and
   3. In the event that no invoice is due for the past month, Metro’s Online Contract Audit screen shall nevertheless be updated, showing payment/nonpayment confirmation by the subcontractor/supplier.

E. Metro is exempt from payment of Federal Excise and Transportation Tax and Texas Limited Sales, Excise and Use Tax. Metro’s Federal Excise Tax Number is 76-79-0020K and Metro’s State Tax Exempt Number is 1-74-1998278-4. The Contractor’s invoices shall not contain assessment of any of these taxes.

F. For each invoice with a Small Business Participation goal, payments will be made within fifteen (15) business days after receipt of a properly prepared invoice, which includes Metro’s on-line Contract Audit screen and Subcontractor Invoice Report updates and upload of subcontractor invoices. Invoices with no Small Business Participation goal will be made within thirty (30) business days after receipt of a properly prepared invoice. Payments shall be considered made when Metro deposits the Contractor’s payment in the mail or the date on which an electronic transfer of funds was made. Interest on payments under this Contract shall accrue and be paid only in accordance with Texas Government Code, Title 10, Chapter 2251, which shall be the Contractor’s sole remedy under this Article.

G. All material and work covered by payments made shall, at the time of payment, become the sole property of Metro, but this provision shall not be construed as:
   1. Relieving the Contractor from the sole responsibility for all material, goods and Work upon which payments have been made or the restoration of any damaged Work; or as
   2. Waiving the right of Metro to require the fulfillment of all of the terms of the Contract.

3 ADMINISTRATIVE CONTROL OF CORRESPONDENCE

Contract-related correspondence, transmittal letters, etc., issued by each party to this Contract will refer to the Contract number shown on the cover page of this Contract. The correspondence shall be addressed to the appropriate Metro representative set forth elsewhere in this Contract. Should it be addressed to other than the Contracting Officer, a copy shall be provided to the Contracting Officer.

4 CONTRACTOR REPRESENTATIVE

A. Prior to the start of performance, the Contractor shall advise Metro in writing of the primary and alternate representative (including phone number) who will have management responsibility for the total Contract, with the authority to transmit instructions, receive information, receive and act on technical matters and resolve problems of a contractual nature, and represent the Contractor in all matters with regard to the Project. These representatives may be changed by the Contractor from time to time, with the written approval of Metro.

B. Contractor personnel who will require access to any Metro property on a frequent basis (greater than 20 hours a week), will require a Contractor badge. Metro’s Project Manager is responsible for coordinating these badges with Metro’s Facilities Maintenance Department. Badges will carry an expiration date of 90 days; if further access is required, Metro’s Project Manager must resubmit a Contractor badge request on the Contractor’s behalf to the Facilities Maintenance Department with the appropriate levels of approval.

C. At the termination of this Contract, the Contractor shall return to Metro’s Project Manager all Metro issued identification badges and Metro Q Cards for deactivation by Metro’s Human Resources Department. The Contractor shall also immediately notify Metro’s Project Manager and return such identification badges and Metro Q Cards for those Contractor employees whose services are no longer needed during the course of this Contract. The Contractor will be assessed a $10.00 fee for each identification badge or Metro Q Card that is lost or not returned to Metro.

5 NOTICES

All notices to either party by the other shall be delivered personally or sent by U.S. registered or certified mail, postage prepaid, addressed to such party at the following respective addresses for each:

Authority: Juanita W. Jackson
Contracting Officer
Metropolitan Transit Authority of Harris County, Texas
1900 Main St., 8th Floor
Houston, Texas 77002
and shall be deemed given on the date so delivered or so deposited in the mail, unless otherwise provided herein. Either party hereto may change the above address by sending written notice of such change of address to the other in the manner provided for above.
SECTION VI - INSURANCE ARTICLES

1 CONTRACTOR’S INSURANCE

A. The Contractor shall purchase and maintain in effect during the entire period of this contract, including any maintenance period thereof, insurance of the types and with minimum limits of liability as stated below. Such insurance shall protect Contractor from claims which may arise out of or result from Contractor's operations whether such operations are performed by Contractor or by any subcontractor or by anyone for whose acts any of them may be liable.

WORKERS’ COMPENSATION INSURANCE providing Statutory Benefits in accordance with the Workers’ Compensation Act of the State of Texas and/or any other State or Federal law as may be applicable to the work being performed under this contract. EMPLOYER’S LIABILITY with limits of liability not less than:

$1,000,000 Each Accident
$1,000,000 Each Employee for Disease
$1,000,000 Policy Limit for Disease

Policy shall be endorsed with a waiver of subrogation recognizing the waiver of all rights of subrogation or recovery against METRO as stated in paragraph B. below.

COMMERCIAL GENERAL LIABILITY utilizing Insurance Services Office Form CG 00 01 or its substantial equivalent providing coverage on an “occurrence” basis, including bodily injury, property damage, and products and completed operations with limits no less than:

$1,000,000 Each Occurrence
$2,000,000 General Aggregate
$2,000,000 Products and Completed Operations Liability Aggregate

• Policy shall be endorsed to name METRO as Additional Insured as respects Contractor's ongoing and completed operations in performance of this contract.
• Policy shall be endorsed with a waiver of subrogation recognizing the waiver of all rights of subrogation or recovery against METRO as stated in paragraph B. below.
• Such insurance shall be primary and non-contributing with any other valid and collectible insurance or self-insurance available to METRO.

BUSINESS AUTOMOBILE LIABILITY utilizing Insurance Services Office Form CA 00 01 or its substantial equivalent including liability coverage for all autos owned, rented, hired or borrowed by the Contractor, as well as liability coverage for mobile equipment subject to compulsory insurance or financial responsibility laws or other motor vehicle insurance laws with the following minimum limit:

$1,000,000 Any One Accident- Combined Single Limit

• Policy shall be endorsed to name METRO as Additional Insured as respects Contractor's operations in performance of this contract.
• Policy shall be endorsed with a waiver of subrogation recognizing the waiver of all rights of subrogation or recovery against METRO as stated in paragraph B. below.
• Such insurance shall be primary and non-contributing with any other valid and collectible insurance or self-insurance available to METRO.

UMBRELLA LIABILITY provided in excess of the underlying Commercial General Liability insurance above, with the following minimum limits:

$5,000,000 Each Occurrence
$5,000,000 Aggregate

Such Umbrella Liability policy shall follow form of all coverage and endorsements included the underlying Commercial General Liability and shall expressly provide that the umbrella or excess policy will drop down over a reduced or exhausted aggregate limit of the underlying insurance.

The following provisions apply with respect to all insurance coverages required above:

The insurance coverages required in this section shall not limit the Contractor’s liability or limit the indemnification provisions set forth herein.
If the Contractor maintains higher limit than the minimums shown above, METRO requires and shall be entitled to coverage for the higher limits maintained by the Contractor. Any available insurance proceeds in excess of the specific minimum limits of insurance and coverage shall be available to METRO.

The limits of liability as required above may be provided by a single policy of insurance or by a combination of primary, excess or umbrella policies. But in no event shall the total limits of liability available for any one occurrence or accident be less than the amount required above.

All policies of insurance presented as proof of compliance with the above requirements shall be on forms and with insurance companies approved by METRO. All such insurance policies shall be provided by insurance companies having Best's ratings of A- or greater and VI or greater (A-/VI) as shown in the most current issue of Best's Key Rating Guide. Policies of insurance issued by insurance companies not rated by Best's or having Best's ratings lower than A-VI will not be accepted as complying with the insurance requirements of the contract unless such insurance companies were approved in writing prior to award of contract.

B. Contractor agrees to waive all rights of subrogation or recovery against METRO arising out of any claims for injury(ies) or damages resulting from the work performed by or on behalf of Contractor under this agreement and/or the use of any METRO premises or equipment in the performance of this agreement.

C. Proof of compliance with these insurance requirements shall be furnished to METRO in the form of an original certificate of insurance including the endorsements mentioned in section A. above, or copies of the applicable policy language effecting required coverage signed by an authorized representative or agent of the insurance company(ies), within fourteen (14) days of notice of award of contract and before any work under this contract will be allowed to commence. Certificates will be unacceptable unless they clearly show that all of the above stipulated requirements have been met. Renewal or replacement certificates shall be furnished METRO not less than seven (7) days prior to the expiration or termination date of the applicable policy(ies). Otherwise, METRO may halt all work under this contract upon expiration or other termination of any required coverage, and work will not be allowed to resume until a satisfactory renewal certificate is received.

D. The Certificate Holder shall read as follows on the Certificate of Insurance:

Metropolitan Transit Authority of Harris County, TX (METRO)
1900 Main St
Houston, TX 77002

E. Contractor shall require any and all subcontractors performing work under this contract to obtain and maintain the insurance coverage specified in this section. Such insurance shall be endorsed to name METRO and its directors, officers and employees as Additional Insured as respects to subcontractor’s operations in performance of this contract. In addition, subcontractor and their respective insurers providing the required insurance coverage will waive all rights of subrogation or recovery against METRO providing such coverage shall be endorsed to recognize this required waiver of subrogation. The insurance limits may be provided through a combination of primary and excess policies, including the umbrella form of policy. In the event a subcontractor is unable to furnish insurance in the limits required under this contract, the Contractor shall endorse the subcontractor as an Additional Insured on its General Liability and Automobile Liability policies and provide METRO a certificate of insurance showing such coverage.

Such insurance will be primary and non-contributing with any other insurance and be in a form and from insurance companies reasonably acceptable to METRO.

Any request to deviate from the stipulated insurance limits required of subcontractor must be approved by METRO and will be based solely on the scope of work to be performed by the subcontractor. Contractor shall obtain and make available for inspection by METRO upon request current certificates of insurance evidencing insurance coverages carried by subcontractor.

2 INDEMNIFICATION AGREEMENT

A. THE CONTRACTOR AGREES TO AND SHALL INDEMNIFY AND HOLD HARMLESS METRO, ITS DIRECTORS AND EMPLOYEES FROM AND AGAINST ANY AND ALL CLAIMS, LOSSES, DAMAGES, CAUSES OF ACTION, SUITS AND LIABILITY OF EVERY KIND, INCLUDING ALL EXPENSES OF LITIGATION, COURT COSTS AND ATTORNEY’S FEES, FOR BODILY INJURY, SICKNESS, DISEASE OR DEATH OF ANY PERSON, OR FOR DAMAGES TO ANY PROPERTY, INCLUDING CONSEQUENTIAL DAMAGES OR LOSS OF USE THEREOF, BROUGHT OR RECOVERABLE BY THIRD PARTIES AGAINST METRO, ITS DIRECTORS AND/OR EMPLOYEES AND ARISING OUT OF OR RESULTING FROM ANY NEGLIGENT ACT OR OMISION BY THE CONTRACTOR IN THE PERFORMANCE OF THIS CONTRACT. THE CONTRACTOR AGREES TO PROVIDE ACKNOWLEDGEMENT OF INDEMNIFICATION WITHIN TEN DAYS FROM RECEIPT OF DEMAND FOR INDEMNIFICATION FROM METRO.

B. THE INDEMNITY PROVIDED FOR IN THIS ARTICLE SHALL HAVE NO APPLICATION TO ANY CLAIM, LOSS OR DAMAGE, CAUSE OF ACTION, SUIT OR LIABILITY BROUGHT OR RECOVERABLE AGAINST METRO, ITS DIRECTORS AND/OR EMPLOYEES TO THE EXTENT THE INJURY, DEATH OR DAMAGE RESULTS SOLELY FROM A GROSS NEGLIGENT ACT OR WILLFUL BEHAVIOR BY METRO.
SECTION VII - SMALL BUSINESS PROGRAM ARTICLES FOR CONTRACTS WITH SMALL BUSINESS GOALS

A. The Contractor hereby agrees to attain Small Business participation in the amount of \( \_\_\% \) of the total Contract amount.

B. The Contractor shall enter into agreements for the Work identified in the ‘Contractor Utilization Plan Form’ (Plan) and submit copies of the agreements to the Contracting Officer within 15 days of contract award. The agreements will include:

1. Prompt payment clause;
2. Non-discrimination clause;
3. Release of retainage clause, where applicable;
4. Business Assurance clauses;
5. Federal clauses, where applicable; and
6. Subcontractor’s obligation to participate in the B2GNow Payment Compliance System.

C. The Contractor shall adhere to the Plan submitted, including self-performing a minimum thirty percent (30%) of the Contract, unless a waiver is received from the Office of Small Business. Any changes in the Plan regarding the proposed use of certified subcontractors in discharging the Contract duties must be approved by the Office of Small Business. The approval of the Office of Small Business will not be unreasonably withheld upon a showing of good cause to make the change. When adding a certified subcontractor to the Plan, the Contractor must submit a copy of the subcontract agreement to the Contracting Officer within 15 days of receiving approval from the Office of Small Business.

D. The Contractor’s failure to comply with the aforementioned Small Business participation provisions and the Contractor Utilization Plan Pledge provisions may result in the:

1. Withholding of payment until such compliance is achieved or a waiver of the provisions is provided by METRO;
2. Revocation of the benefits and incentives provided under the Program; or
3. Cancellation, termination or suspension of the Contract, in whole or in part.

E. Where applicable, the Contractor’s Small Business Participation goal achievement and compliance with the Small Business Program will be considered during evaluation for future METRO contracts.

F. The Contractor and Subcontractors shall permit access to their books, records, and accounts by the Contracting Officer, Office of Small Business representative or a designated representative 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 accessible to METRO for a minimum of three (3) years following completion of this Contract. The Contractor will include this provision in the subcontractor agreements.

G. To ensure that all obligations under this Contract are met, METRO will conduct periodic reviews of the Contractor’s Small Business efforts during Contract performance. The Contractor shall bring to the attention of METRO’s Contracting Officer and Office of Small Business any situation in which regularly scheduled progress payments are not made to Small Business subcontractors. Failure to make prompt payment or to notify METRO could result in the action outlined in item D above.

H. The Contractor may review documents at METRO which specify:

1. Guidance for making determinations of Small Business participation in the Program;
2. The procedure used to determine whether a company is in fact a Small Business; and
3. Appeals procedure for denial of certification as a Small Business.
SECTION VIII - SPECIAL TERMS AND CONDITIONS

ARTICLES

1  AVAILABILITY OF FUNDS FOR THE NEXT FISCAL YEAR

METRO’s obligation for performance of this Contract is contingent upon availability of funds from which payment for contract purposes can be made. No liability on the part of METRO for any payment may arise under this Contract until funds are made available for performance and until the Contractor receives notice of availability, in writing, from the Contracting Officer. Any option exercised by METRO that will be performed in whole or in part in a subsequent fiscal year is subject to availability of funds in the subsequent fiscal year and is governed by the terms of this Article.

2  COMMERCIAL WARRANTY

In addition to any warranty, if any, specified in the Scope of Services, Exhibit A, incorporated by reference, the Contractor shall provide its standard warranty for services as described in the Scope of Services. Warranty shall apply for all materials, goods or work purchased under this Contract, warranted that they will be free from defects, will conform to all applicable specifications, and will be suited for the intended purpose of said materials, goods or work. Neither acceptance of, nor payment for said materials, goods or work shall constitute a waiver or modification of any of the warranties of the Contractor or the rights of METRO thereunder. Upon receipt of a written request by METRO the Contractor shall submit, within fourteen (14) calendar days, a copy of its standard commercial warranty for the item(s) purchased in this Contract.

3  CONFIDENTIALITY AND NONDISCLOSURE

A. The Contractor acknowledges that in rendering these services, METRO Confidential Information [will or may] be revealed to the Contractor. ‘Confidential Information’ means non-public, sensitive or proprietary information disclosed before, on or after the effective date, by METRO to the Contractor or its employees, agents, officers, directors, or affiliates. Except as required by applicable federal, state or local law or regulation, Confidential Information does not include information that at the time of disclosure is, or thereafter becomes, generally available to and known by the public other than as a result of this Contract, information from a lawful third-party source, and information that was already in the possession of the Contractor. The Contractor shall not use any such Confidential Information without METRO’s written permission. The Contractor shall not disclose METRO Confidential Information to any person or entity other than its representatives involved in this Contract.

B. If the Contractor knows or suspects any misuse or disclosure of METRO Confidential Information, the Contractor will immediately notify METRO and restrict the use and disclosure of such Confidential Information.

C. On METRO’s request, the Contractor shall promptly return or destroy all Confidential Information in its possession.

D. At any time during the term of this and for a period of three (3) years from the date of expiration of this Contract, at METRO’s request, the Contractor shall provide to METRO or its designated agents full access to the Contractor’s premises to inspect and audit the relevant books, records, physical and electronic controls to verify the Contractor’s compliance with the terms of this clause. Notwithstanding the above, any valid order of disclosure under the Texas Public Information Act shall be lawful if prompt written notice is given to METRO before disclosure. The Contractor understands that disclosure can lead to irreparable harm which injunctive relief alone may not be an adequate remedy. METRO reserves its right to all other remedies available at law.

4  CONTRACTOR’S EMPLOYEES

A. The Contractor shall screen all employees and require satisfactory personal references in order to determine the character of prospective employees before hiring.

B. The Contractor’s employees shall, while on duty at a METRO facility, wear in plain view an identification badge to be furnished by METRO, containing their name and status as temporary.

C. All Contractor and subcontractor employees shall be neatly attired at all times in a manner that will reflect credit both upon Contractor and the facility in which they are working.

D. All Contractor and subcontractor employees shall be U.S. citizens or possess written documentation verifying legal authorization to work in the United States.

E. The Contractor shall require its employees and subcontractors to comply with the instructions pertaining to conduct and other regulations called to the attention of the Contractor by the Project Manager or his designee.

F. At the request of the Contracting Officer or Project Manager, the Contractor shall remove an employee from its work force who is found unacceptable or unsatisfactory by the Project Manager. It shall be the Contractor’s responsibility to find a suitable replacement for the removed employee. No claim associated with such an action will be authorized.

G. The Contractor shall replace the removed worker, at the Contractor’s expense, with a suitable replacement within twenty four (24) hours after immediately removing the violating employee.
H. The Contractor’s personnel shall comply with all written rules and regulations supplied to the Contractor regarding personal and professional conduct, safety, security and other matters that are generally applicable to METRO’s employees, such as the Electronic Communications Guideline; and otherwise conduct themselves in a businesslike manner.

5 COPYRIGHT AND PATENT INDEMNITY

The Contractor warrants and represents to METRO that the licensed products do not infringe any patent, copyright, trademark or trade secret. In the event any legal proceedings are brought against METRO claiming an infringement of a patent, copyright, trademark or trade secret based on METRO’s use of the licensed products, the Contractor agrees to defend and indemnify METRO at the Contractor’s own expense any for such legal proceeding relating to such claim, and to hold METRO harmless from any damage incurred or awarded as the result of settlement or judgment against METRO.

6 HEALTH, SAFETY AND FIRST AID

A. METRO places and requires the Contractor to place the highest importance and priority on health and safety for all services performed by the Contractor at any METRO facility. At all METRO facilities, the Contractor shall comply with all applicable fire, safety and health laws and regulations, as well as any safety and health requirements of METRO. The Contractor shall ensure that all of its employees are made aware of all safety, fire and health requirements and regulations applicable to the Work to be performed pursuant to this Contract. METRO shall furnish the Contractor with copies of all safety and health requirements of METRO that relate particularly to the services the Contractor has been requested to perform and to the general safety of any particular METRO facility.

B. The Contractor shall not permit to exist a hazardous, unsafe, unhealthy or environmentally unsound condition or activity over which it has control at a METRO facility. In the event the Contractor becomes aware of any such condition or activity, it shall promptly notify METRO and immediately take whatever steps are necessary to eliminate, terminate, abate or rectify such condition. If METRO becomes aware of such condition or activity before it is known to the Contractor, it shall notify the Contractor and request the Contractor’s prompt corrective action. METRO shall take prompt corrective action with respect to any hazardous, unsafe, unhealthy or environmentally unsound condition or activity resulting from its activities or operations. Each party shall cooperate with the other to eliminate, terminate, abate and rectify any such condition.

C. In the case of any emergency, METRO shall make emergency first aid and related services available to the employees of the Contractor to the same extent that such emergency first aid and related services would be available to an employee of METRO located at the same facility. Nothing contained herein shall be construed as imposing any duty upon METRO to provide emergency first aid treatment or related services to the Contractor’s employees where such emergency first aid treatment or related services are not already available to any employee.

7 INTER-LOCAL/COOPERATIVE PURCHASE

The Contractor agrees that any agreement inclusive of pricing resulting from this solicitation is extended to other public entities (e.g., state agency, local government, state of Texas educational institutions) authorized by state law to participate under cooperative procurement contracts or Interlocal Agreements with the following understandings:

A. Unless specifically stated otherwise, any volume of products or services stated in this Contract document reflects only products or services to be purchased by METRO and does not include potential purchases by other entities;

B. The Contractor shall establish a direct relationship with each entity concerning the placement of orders, issuance of the purchase order, contractual disputes, invoicing, payment and all other matters relating or referring to such entity’s access to the agreement;

C. Each entity is a financially separate entity and shall be solely responsible for the financial commitments of that entity;

D. METRO shall not be held liable for any costs, damages or other obligations incurred by any participating entity;

E. It is the entity’s decision whether or not to enter into an agreement with the Contractor; and

F. Any purchases made by an entity shall be in accordance with each entity’s purchasing policy and procedures.

8 MOST FAVORED CUSTOMER

The Contractor shall voluntarily provide METRO with the benefits of any more favorable terms it has or negotiates with any organization or facility whose circumstances and operations are substantially the same as those of METRO.
9 USE OF WORK PRODUCTS – ASSIGNMENT OF COPYRIGHT

A. The Contractor conveys and assigns to the METRO its entire interest and full ownership worldwide in and to any work, invention, notes, plans, computations, databases, tabulations, exhibits, reports, underlying data, photographs and other work products, and any modifications and improvements to them (collectively ‘Documents’), and the copyrights, patents, trademarks, trade secrets, and any other proprietary rights therein (collectively ‘Proprietary Rights’) that the Contractor, its agents, employees, Contractors, and subcontractors (collectively ‘Authors’) develop, write, or produce under this Agreement.

B. The Authors shall not claim or exercise any Proprietary Rights related to the Work. If requested by METRO’s Project Manager, the Contractor shall place a conspicuous notation on any Works that indicate that METRO owns the Proprietary Rights.

C. The Contractor shall execute all Documents required by the Project Manager to further evidence this assignment and ownership. The Contractor shall cooperate with METRO in registering, creating, and enforcing Proprietary Rights arising under this Agreement. If the Contractor’s assistance is requested and rendered under this Section, then METRO shall reimburse the Contractor for all out-of-pocket expenses it incurs in rendering assistance, subject to the availability of funds. On termination of this Agreement, or if requested by the Project Manager, the Contractor shall deliver all Works to METRO. The Contractor shall obtain written agreements from the Authors that bind them to the terms in this Section. All Works developed, written, or produced under this Agreement for use as a contribution to a collective work; a part of a motion picture or other audiovisual work; a translation; a supplementary work; a compilation; an instructional text; a test; answer material for a test; or an atlas, are ‘works made for hire.’

D. The Contractor may retain copies of the Documents for its archives. The Contractor shall not otherwise use, sell, license, or market the Documents.
SECTION IX - GENERAL TERMS AND CONDITIONS ARTICLES

1  ACCESS REQUIREMENTS FOR INDIVIDUALS WITH DISABILITIES

The Contractor agrees to comply with, and assures that any subcontractor or any other third-party Contractor under this Contract complies with, all applicable requirements regarding Access for Individuals with Disabilities contained in the Americans with Disabilities Act of 1990 (ADA), as amended, 42 U.S.C. § 12101 et seq.; Section 504 of the Rehabilitation Act of 1973, as amended, 29 U.S.C. § 794; 49 U.S.C. § 5301(d); and any other applicable federal regulations, including any amendments thereto.

2  ASSIGNMENT

The performance of the services under this Contract shall not be assigned by the Contractor except upon written consent of METRO. The Contractor may assign monies due or to become due to it under the Contract and such assignment will be recognized by METRO, if given proper notice thereof, to the extent permitted by law. Assignment of monies will be subject to proper offsets in favor of METRO and to deductions provided for in this Contract. Money withheld, whether assigned or not, will be subject to being used by METRO for the completion of the Work in the event that the Contractor defaults under the Contract. The validity of the assignment and the rights of the assignee against METRO shall be governed by the laws of the state of Texas. METRO reserves the right to assign all or portion of the services awarded under this Contract including options. METRO’s right of assignment will remain in force over the period of the Contract or until completion of the Contract to include options, whichever occurs first.

3  CHANGES

A. The President & Chief Executive Officer or the duly authorized representative may, at any time, by written order, and without notice to the sureties, if any, make changes within the general scope of this Contract, including any one or more of the following:

1. Specifications or description of services to be performed;
2. Time of performance (i.e., hours of day, days of the week, etc.); or
3. Place of performance of the services.

B. If any such change causes an increase or decrease in the cost of, or the time required for, performance of any part of this Contract, whether or not changed by the order, the President & Chief Executive Officer or the duly authorized representative shall make an equitable adjustment in the Contract price, the time of performance, or both, and shall modify the Contract.

C. The Contractor must submit any ‘proposal for adjustment’ under this Article within thirty (30) calendar days from the date of receipt of the written order. However, if the President & Chief Executive Officer or the duly authorized representative decides that the facts justify it, the President & Chief Executive Officer or the duly authorized representative may receive and act upon a proposal submitted before final payment of the Contract.

D. Failure to agree to any adjustment shall be a dispute under the ‘Disputes’ Article of this Contract. However, nothing in this Article shall excuse the Contractor from proceeding with the Contract as changed.

E. Except for those changes properly authorized and executed as provided in this Article, the Contractor shall notify the Contracting Officer in writing promptly within fifteen (15) calendar days from the date that the Contractor identifies any METRO conduct (including actions, inactions and written or oral communications) that the Contractor regards as a change to the Contract terms and conditions. This notification shall contain all information available to the Contractor regarding the change. The Contractor's failure to provide notification as required herein may jeopardize being compensated for the change if in fact a change has been made.

F. The parties agree that the terms and conditions of this Contract may only be modified and/or amended by mutual agreement between the parties. Said mutually agreed upon amendment and/or modification shall be written and executed by both parties prior to becoming effective.

4  COMPLIANCE WITH LAWS/PERMITS AND LICENSES

The Contractor shall give notices and comply with all federal, state and municipal laws, ordinances, rules, regulations and orders of any public authority bearing on the performance of this Contract, including, but not limited to, the laws referred to in this Contract. If the Contractor or METRO observes that this Contract is at variance therewith in any respect, the observing party shall promptly notify the other party in writing, and any necessary changes shall be adjusted by appropriate contract modification. Upon request, the Contractor shall furnish to METRO certificates of compliance with all such laws, ordinances, rules, regulations and orders. The Contractor shall also be responsible for obtaining all necessary permits and licenses required for performance under the Contract.
5 CONTRACT ORDER OF PRECEDENCE

In the event of an inconsistency between provisions of this Contract, the inconsistency shall be resolved by giving precedence in the following order:

1. Contract Modifications, if any;
2. Contract Articles;
3. Scope of Services;
4. Technical Specifications; and
5. Drawings

6 CONTRACTOR’S KEY PERSONNEL

The Contractor’s key personnel listed in Section II.4, ‘Key Personnel,’ are considered to be essential to performance of any of the Services being contemplated hereunder. Prior to substituting other personnel for any of the individuals specified, the Contractor shall notify METRO reasonably in advance and shall submit justification in sufficient detail to permit evaluation of the impact on these Services. No such substitutions shall be made by the Contractor without first securing METRO approval. The proposal form entitled ‘Key Personnel’ may be amended from time to time during the course of the Contract to either add or delete personnel, as appropriate.

7 COVENANT AGAINST CONTINGENT FEES

The Contractor warrants that no person or selling agency has been employed or retained to solicit or secure this Contract upon an agreement or understanding for a commission, percentage, brokerage, or contingent fee, excepting bona fide employees or bona fide established commercial or selling agencies maintained by the Contractor for the purpose of securing business. For breach or violation of this warranty METRO shall have the right to annul this Contract without liability or in its discretion, to deduct from the Contract price or consideration, or otherwise recover, the full amount of such commission, percentage, brokerage or contingent fee.

8 DISPUTES

Any dispute concerning a question of fact arising under this Contract that is not disposed of by agreement will be decided by the Contracting Officer, who will reduce his decision to writing and mail or otherwise furnish a copy thereof to the Contractor. The decision of the Contracting Officer will be final unless, within ten (10) calendar days from the date of receipt of such copy, the Contractor mails or otherwise furnishes to the Contracting Officer a written appeal addressed to the METRO Disputes Contract Appeals Committee. The Contract Disputes Appeals Committee will be designated by the President & Chief Executive Officer and will hear the Contractor’s appeal and make a recommendation to the President & Chief Executive Officer for the final decision. In connection with any appeal proceeding under this Article, the Contractor will be afforded an opportunity to be heard and to offer evidence in support of his appeal. The decision of the President & Chief Executive Officer will be final and conclusive with respect to the Contractor’s administrative remedies under this ‘Disputes’ Article. Pending final decision of a dispute hereunder, the Contractor shall proceed diligently with the performance of the Contract and in accordance with the Contracting Officer’s decision. This ‘Disputes’ Article does not preclude consideration of questions of law in connection with decisions provided for above. Nothing in this Contract, however, shall be construed as making final the decision of any administrative official, representative, or committee on a question of law.

9 DISSEMINATION OF CONTRACT INFORMATION

The Contractor shall not publish, permit to be published, or distribute for public consumption, any information, oral or written, concerning the performance of this Contract, without prior written consent of METRO's President & Chief Executive Officer. Two (2) copies of any material proposed to be published or distributed shall be submitted to the METRO President & Chief Executive Officer through the Contracting Officer.

10 DRUG AND ALCOHOL TESTING

A. This Clause pertains if the Contractor is required to perform safety-sensitive functions under this Contract.

B. A safety-sensitive function is defined as:

1. Operating a revenue service vehicle, including when not in revenue service;
2. Operating a non-revenue service vehicle, when required to be operated by a holder of a Commercial Driver’s License;
3. Controlling dispatch or movement of a revenue service vehicle;
4. Maintaining (including repairs, overhaul and rebuilding) a revenue service vehicle or equipment used in revenue service; or

5. Carrying a firearm for security purposes.

C. The Contractor agrees to establish and implement a drug and alcohol testing program that complies with 49 C.F.R. Part 655, produce any documentation necessary to establish its compliance with 49 C.F.R. Part 655, 49 C.F.R. Part 40, and 49 C.F.R. Part 29 and permit any authorized representative of the United States Department of Transportation or its operating administrations, the State Oversight Agency of the state of Texas or METRO, to inspect the facilities and records associated with the implementation of the drug and alcohol testing program as required under 49 C.F.R. Part 655, 49 C.F.R. Part 40, and 49 C.F.R. Part 29 and review the testing process.

D. The Contractor agrees further to certify annually its compliance with Part 655 before March 1st and to submit the Management Information System (MIS) reports before March 15th to METRO’s Drug and Alcohol Coordinator at METRO, 1900 Main Street, P.O. Box 61429, Houston, Texas 77208-1429.

E. To certify compliance, the Contractor shall use the ‘Substance Abuse Certifications’ in the ‘Annual List of Certifications and Assurances for the Federal Transit Administration Grants and Cooperative Agreements,’ which is published annually in the Federal Register.

F. The Contractor agrees further to submit for review and approval before acting on a Notice to Proceed, a copy of the policy statement the Contractor has developed to implement its drug and alcohol testing program.

G. In addition, the Contractor agrees to consult with METRO on the selection of a certified laboratory, substance abuse professional, or Medical Review Officer, or the use of a consortium.

11 EQUAL OPPORTUNITY FOR VEVRAA PROTECTED VETERANS

The definitions set forth in 41 C.F.R. § 60-300.2 apply to the terms used throughout this Clause, and they are incorporated herein by reference.

A. The Contractor will not discriminate against any employee or applicant for employment because he or she is a disabled veteran, recently separated veteran, active duty wartime or campaign badge veteran, or Armed Forces service medal veteran (hereinafter collectively referred to as ‘protected veteran(s)’) in regard to any position for which the employee or applicant for employment is qualified. The Contractor agrees to take affirmative action to employ, advance in employment and otherwise treat qualified individuals without discrimination based on their status as a protected veteran in all employment practices, including the following:

1. Recruitment, advertising, and job application procedures;
2. Hiring, upgrading, promotion, award of tenure, demotion, transfer, layoff, termination, right of return from layoff and rehiring;
3. Rates of pay or any other form of compensation and changes in compensation;
4. Job assignments, job classifications, organizational structures, position descriptions, lines of progression, and seniority lists;
5. Leaves of absence, sick leave, or any other leave;
6. Fringe benefits available by virtue of employment, whether or not administered by the Contractor;
7. Selection and financial support for training, including apprenticeship, and on-the-job training under 38 U.S.C. § 3687, professional meetings, conferences, and other related activities, and selection for leaves of absence to pursue training;
8. Activities sponsored by the Contractor including social or recreational programs; and
9. Any other term, condition, or privilege of employment.

B. The Contractor agrees to immediately list all employment openings which exist at the time of the execution of this Contract and those which occur during the performance of this Contract, including those not generated by this Contract and including those occurring at an establishment of the Contractor other than the one where the contract is being performed, but excluding those of independently operated corporate affiliates, with the appropriate employment service delivery system where the opening occurs. Listing employment openings with the state workforce agency job bank or with the local employment service delivery system where the opening occurs will satisfy the requirement to list jobs with the appropriate employment service delivery system. In order to satisfy the listing requirement described herein, Contractors must provide information about the job vacancy in any manner and format permitted by the appropriate employment service delivery system which will allow that system to provide priority referral of veterans protected by VEVRAA for that job vacancy. Providing information on employment openings to a privately run job service or exchange will satisfy the Contractor’s listing obligation if the privately run job service or exchange provides the information to the appropriate employment service delivery system in any manner and format that the employment
I. The Contractor agrees to post in conspicuous places, available to employees and applicants for employment, notices in a form

H. In the event of the Contractor's noncompliance with the requirements of this clause, actions for noncompliance may be taken in

G. The Contractor agrees to comply with the rules, regulations, and relevant orders of the Secretary of Labor issued pursuant to

D. Whenever a Contractor, other than a state or local governmental Contractor, becomes contractually bound to the listing

C. Listing of employment openings with the appropriate employment service delivery system pursuant to this Clause shall be made at least concurrently with the use of any other recruitment source or effort and shall involve the normal obligations which attach to the placing of a bona fide job order, including the acceptance of referrals of veterans and nonveterans. The listing of employment openings does not require the hiring of any particular job applicants or from any particular group of job applicants, and nothing herein is intended to relieve the Contractor from any requirements in executive orders or regulations regarding nondiscrimination in employment.

E. The provisions of Paragraphs B and C of this Clause do not apply to the listing of employment openings which occur and are filled outside of the 50 states, the District of Columbia, the commonwealth of Puerto Rico, Guam, the Virgin Islands, American Samoa, the commonwealth of the Northern Mariana Islands, Wake Island, and the Trust Territories of the Pacific Islands.

F. As used in this Clause:

1. All employment openings include all positions except executive and senior management, those positions that will be filled from within the Contractor's organization, and positions lasting three days or less. This term includes full-time employment, temporary employment of more than three days' duration, and part-time employment.

2. Executive and senior management means: (1) Any employee (a) compensated on a salary basis at a rate of not less than $455 per week (or $380 per week, if employed in American Samoa by employers other than the federal government), exclusive of board, lodging or other facilities; (b) whose primary duty is management of the enterprise in which the employee is employed or of a customarily recognized department or subdivision thereof; (c) who customarily and regularly directs the work of two or more other employees; and (d) who has the authority to hire or fire other employees or whose suggestions and recommendations as to the hiring, firing, advancement, promotion or any other change of status of other employees are given particular weight; or (2) any employee who owns at least a bona fide 20-percent equity interest in the enterprise in which the employee is employed, regardless of whether the business is a corporate or other type of organization, and who is actively engaged in its management.

3. Positions that will be filled from within the Contractor's organization means employment openings for which no consideration will be given to persons outside the Contractor's organization (including any affiliates, subsidiaries, and parent companies) and includes any openings which the Contractor proposes to fill from regularly established 'recall' lists. The exception does not apply to a particular opening once an employer decides to consider applicants outside of his or her own organization.

G. The Contractor agrees to comply with the rules, regulations, and relevant orders of the Secretary of Labor issued pursuant to the Act.

H. In the event of the Contractor's noncompliance with the requirements of this clause, actions for noncompliance may be taken in accordance with the rules, regulations, and relevant orders of the Secretary of Labor issued pursuant to the Act.

I. The Contractor agrees to post in conspicuous places, available to employees and applicants for employment, notices in a form to be prescribed by the Director, Office of Federal Contract Compliance Programs, provided by or through the Contracting Officer. Such notices shall state the rights of applicants and employees as well as the Contractor's obligation under the law to take affirmative action to employ and advance in employment qualified employees and applicants who are protected veterans. The Contractor must ensure that applicants or employees who are disabled veterans are provided the notice in a form that is accessible and understandable to the disabled veteran (e.g., providing Braille or large print versions of the notice, posting the notice for visual accessibility to persons in wheelchairs, providing the notice electronically or on computer disc, or other versions). With respect to employees who do not work at a physical location of the Contractor, a Contractor will satisfy its posting obligations by posting such notices in an electronic format, provided that the Contractor provides computers that can access the electronic posting to such employees, or the Contractor has actual knowledge that such employees otherwise are able to access the
electronically posted notices. Electronic notices for employees must be posted in a conspicuous location and format on the company's intranet or sent by electronic mail to employees. An electronic posting must be used by the Contractor to notify job applicants of their rights if the Contractor utilizes an electronic application process. Such electronic applicant notice must be conspicuously stored with, or as part of, the electronic application.

J. The Contractor will notify each labor organization or representative of workers with which it has a collective bargaining agreement or other contract understanding that the Contractor is bound by the terms of VEVRAA, and is committed to take affirmative action to employ and advance in employment, and shall not discriminate against, protected veterans.

K. The Contractor will include the provisions of this Clause in every subcontractor purchase order of $100,000 or more, unless exempted by the rules, regulations, or orders of the Secretary issued pursuant to VEVRAA so that such provisions will be binding upon each subcontractor or vendor. The Contractor will take such action with respect to any subcontractor purchase order as the Director, Office of Federal Contract Compliance Programs, may direct to enforce such provisions, including action for noncompliance.

L. The Contractor must, 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 their protected veteran status.

12 ETHICAL CONDUCT

A. The METRO Board of Directors has adopted a Code of Ethics governing the conduct of its officers and employees. The Contractor agrees it will familiarize itself with this Code of Ethics and that it will not offer, confer or agree to confer any prohibited benefit as consideration for a METRO Board Member’s or employee’s decision, opinion, recommendation, vote or other exercise of discretion as a public servant or in exchange for the Board Member’s or employee’s having exercised his official powers or performed his official duties nor will the Contractor participate in any other violation of this Code.

B. The Contractor is required to maintain those records necessary to prove beyond a reasonable doubt the Contractor’s compliance with the METRO Code of Ethics Policy. METRO shall have the right to review for the purpose of determining compliance with the Code of Ethics Policy all disbursement records and supporting documents including invoices, payment vouchers, employee expense reports and petty cash records.

C. Breach of this Article by the Contractor may result in termination of the Contract and exclusion of the Contractor from future contracts with METRO for a period of time determined by the METRO Board of Directors.

13 FORCE MAJEURE

A. To the extent that the Contractor shall be wholly or partially prevented from its performance within the terms specified of any obligation or duty placed on the Contractor by reason of or through riot, acts of war, acts of terrorism, insurrection, order of court, legislative action, act of God, or specific cause reasonably beyond the parties’ control and not attributable to its neglect or nonfeasance, in such event, the time for the performance of such obligation or duty may be suspended until such disability to perform is removed. Determination of force majeure shall rest solely with METRO.

B. In the event the Contractor seeks to characterize an event as a ‘Force Majeure Event,’ the Contractor shall have the obligation to immediately notify METRO at the time the Contractor becomes aware of said force majeure event. Further, the Contractor shall have the obligation to provide METRO with written notice upon the cessation of said Force Majeure event.

14 INDEPENDENT CONTRACTOR

It is understood and agreed that the Contractor shall be deemed to be an Independent Contractor in all its operations and activities hereunder; that the employees furnished by the Contractor to perform Work hereunder shall be deemed to be the Contractor’s employees or independent subcontractors; that the Contractor’s employees shall be responsible for all obligations and reports covering social security, unemployment insurance, income tax, and other reports and deductions required by state or federal law.

15 INTERPRETATION, JURISDICTION AND VENUE

This Contract shall be construed and interpreted solely in accordance with the laws of the state of Texas. Venue of any suit, right or cause of action arising under or in connection with this Contract shall lie exclusively in Harris County, Texas.

16 LABOR REQUIREMENTS

A. No Contractor or subcontractor holding a service contract for any dollar amount shall pay any of its employees working on the contract less than the minimum wage specified in section 6(a)(1) of the Fair Labor Standards Act (29 U.S.C. § 206).

B. Payrolls and basic records relating thereto shall be maintained by the Contractor during the course of the work and preserved for a period of three years thereafter for all laborers and mechanics working at the site of the work. Such records shall contain the name, address, and social security number of each such worker, his or her correct classification, hourly rates of wages paid (including rates of contributions or costs anticipated for bona fide fringe benefits or cash equivalents thereof).
RFP No. 4020000163

C. METRO reserves the right to audit Contractor-certified payroll records at METRO’s discretion.

17 METRO-FURNISHED PROPERTY

A. METRO shall provide to the Contractor, at the times and locations stated in this Contract, the METRO-furnished property described in this Contract.

B. Title to METRO-furnished property shall remain with METRO. The Contractor shall use the METRO-furnished property only in connection with this Contract. The Contractor shall maintain adequate property control records of METRO-furnished property in accordance with sound industrial practice and shall make such records available for METRO’s inspection at all reasonable times.

C. The Contractor shall inspect the METRO-furnished property prior to acceptance. Upon acceptance of METRO-furnished property, the Contractor assumes the risk and responsibility for its loss or damage, except:

1. For reasonable wear and tear;
2. To the extent the property is consumed in performing this Contract; or
3. As otherwise provided for by the provisions of this Contract.

D. The Contract performance period is based upon the expectation that METRO-furnished property, suitable for use, will be available to the Contractor at the times stated in the Schedule or if not stated, in sufficient time to enable the Contractor to meet the performance dates.

E. If the METRO-furnished property is not available to the Contractor by the required time, or is unsuitable for use as determined by a qualified professional, the Contracting Officer shall, upon the Contractor's timely written request, make a determination of delay, if any, caused the Contractor, and shall make an adjustment in the Contract performance period. The right to adjustment in the performance period shall be the Contractor's exclusive remedy. METRO shall not be liable for suit for breach of Contract for:

1. Any delay in availability of METRO-furnished property;
2. Availability of METRO-furnished property in a condition not suitable for its intended use;
3. A decrease in, or substitution of, METRO-furnished property; or
4. Failure to replace METRO-furnished property for which METRO is responsible.

F. Upon completing this Contract, the Contractor shall follow the instructions of METRO regarding the disposition of all METRO-furnished property not consumed in the performance of this Contract.

18 RESPONSIBILITY OF THE CONTRACTOR

A. The Contractor shall be responsible for the professional quality, technical accuracy and the coordination of all designs, drawings, specifications, and other services furnished by the Contractor under this Contract. The Contractor shall, without additional compensation, correct or revise any errors or deficiencies in its designs, drawings, specifications, and other services.

19 RIGHTS AND REMEDIES

The rights and remedies of METRO provided for under this Contract are in addition to any rights or remedies provided by law.

20 SEVERABILITY

If any provision of this Contract the application thereof to any person or circumstance, is rendered or declared illegal for any reason and shall be invalid or unenforceable, the remainder of this Contract and the application of such provision to other persons or circumstances shall not be affected thereby but shall be enforced to the greatest extent permitted by applicable law.

21 SUBCONTRACTING

The Contractor shall not subcontract any portion of the work without obtaining the Contracting Officer's written consent thereto.

22 TERMINATION FOR CONVENIENCE OF METRO

A. METRO may terminate this Contract at any time after award of the Contract by written notice to the Contractor if METRO determines that such termination is in its best interest. Upon receipt of written notice of termination, the Contractor shall cease performance to the extent specified in the notice of termination. In the event of termination in whole, the Contractor shall prepare a final invoice within thirty (30) calendar days of such termination reflecting the service(s) actually furnished pursuant to the
Contract and to the satisfaction of METRO, that have not appeared on any previous invoice.

B. METRO agrees to pay the Contractor, in accordance with the terms of the Contract, for conforming service(s) actually furnished and verifiable costs that have been incurred or will be incurred by the termination, which shall be the sole amount owed to the Contractor whether for damages or otherwise, by virtue of the termination of this Contract.

23 TERMINATION FOR DEFAULT

A. METRO may, subject to Paragraphs D and E below, by written notice of default to the Contractor, terminate this Contract in whole or in part if the Contractor fails to perform the services within the time and in the manner specified in this Contract or any extension thereof; or fails to perform any of the other provisions of this Contract.

B. METRO's right to terminate this Contract may be exercised if the Contractor does not cure the condition or conditions constituting default within ten (10) calendar days (or such longer period as may be authorized in writing by the Contracting Officer) after receipt of the notice from the Contracting Officer specifying the failure.

C. If METRO terminates this Contract, it may acquire, under the terms and in the manner the Contracting Officer considers appropriate, services similar to that terminated, and the Contractor will be liable to METRO for any excess costs.

D. The Contractor shall not be liable for any excess costs if the failure to perform the Contract arises from causes beyond the control and without the fault or negligence of the Contractor. Examples of such causes include:

1. Acts of God or of the public enemy;
2. Fires;
3. Floods;
4. Epidemics;
5. Quarantine restrictions;
6. Unusually severe weather; or,

In each instance, the failure to perform must be beyond the control and without the fault or negligence of the Contractor.

E. METRO shall pay the Contract price(s) for completed and accepted services. METRO may withhold from these amounts any sum the Contracting Officer determines to be necessary to protect METRO against loss because of outstanding liens or claims of former lien holders.

F. If, after termination, it is determined that the Contractor was not in default, or that the default was excusable, the rights and obligations of the parties shall be the same as if the termination had been issued for the convenience of METRO.

G. The rights and remedies of METRO under this Article are in addition to any other rights and remedies provided by law or under this Contract.

24 USE OF METRO'S NAME IN CONTRACTOR ADVERTISING OR PUBLIC RELATIONS

If the Contractor should desire to use METRO's name, logo or any other material in its advertisement or public relations programs, the Contractor shall receive prior written approval from METRO. Any such information relating to METRO shall be factual and in no way imply that METRO endorses the Contractor's firm, services, or products. The Contractor shall insert the substance of this Article in each subcontract and supply Contractor purchase order.

25 WAIVERS

A. Neither METRO's review, approval or acceptance of, nor payment for, the Work required under this Contract shall be construed to operate as a waiver of any rights under this Contract of any cause of action arising out of the performance of the Contract, and the Contractor shall be and remain liable to METRO in accordance with applicable law and the terms of this Contract for all damages to METRO caused by the Contractor's negligent act, error or omission in the performance of any of the Work furnished under this Contract.

B. The waiver by METRO of any breach of any term, covenant, condition, or agreement herein contained shall not be deemed to be a waiver of any subsequent breach of the same, or of a breach of any other term, covenant, condition, or agreement herein contained.

26 ACCESS TO RECORDS
A. The Contractor agrees to provide METRO, 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 that are directly pertinent to this Contract for the purposes of making audits, examinations, excerpts and transcriptions. The Contractor also agrees, pursuant to 49 C.F.R. § 633.17, to provide the FTA Administrator or his authorized representatives including any Project Management Oversight Contractor (PMOC) access to the Contractor’s records and construction sites pertaining to a major capital project, defined at 49 U.S.C. § 5302(a)(1), that is receiving federal financial assistance through the programs described at 49 U.S.C. §§ 5307, 5309 or 5311.

B. The Contractor agrees to provide METRO, the FTA Administrator or his authorized representatives, including any PMO Contractor, access to the Contractor’s records and construction sites pertaining to a major capital project, defined at 49 U.S.C. § 5302(a)(1), that is receiving federal financial assistance through the programs described at 49 U.S.C. §§ 5307, 5309 or 5311. By definition, a major capital project excludes contracts of less than the simplified acquisition threshold currently set at $100,000.

C. Where METRO enters into a contract for a capital project or improvement (defined at 49 U.S.C. § 5302(a)(1) through other than competitive bidding, the Contractor shall make available records related to the contract to METRO, the Secretary of Transportation and the Comptroller General or any authorized officer or employee of any of them for the purposes of conducting an audit and inspection.

D. 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.

E. The Contractor agrees to maintain all books, records, accounts and reports required under this Contract for a period of not less than three (3) years after the date of termination or expiration of this Contract, except in the event of litigation or settlement of claims arising from the performance of this Contract, in which case the Contractor agrees to maintain same until METRO, 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. Reference 49 C.F.R. § 18.39(j)(11).

F. The FTA does not require the inclusion of these requirements in subcontracts.

27 CONTRACTOR NON-DISCRIMINATION

The Contractor or subcontractor(s) shall not discriminate on the basis of race, color, national origin, religion, sex (including gender identity and sexual orientation), disability, or age in the performance of this Contract. The Contractor shall carry out applicable requirements of 49 C.F.R. Part 26 in the award and administration of DOT-assisted contracts. Failure by the Contractor to carry out these requirements is a material breach of this Contract, which may result in the termination of this Contract or such other remedy as METRO deems appropriate.

28 DEBARMENT AND SUSPENSION

A. This Contract is a covered transaction for purposes of 49 C.F.R. Part 29. As such, the Contractor is required to verify that none of the Contractor’s principals, as defined at 49 C.F.R. § 29.995, or affiliates, as defined at 49 C.F.R. § 29.905, are excluded or disqualified as defined at 49 C.F.R. §§ 29.940 and 29.945.

B. The Contractor is required to comply with 49 C.F.R. § 29, Subpart C and must include the requirement to comply with 49 C.F.R. § 29, Subpart C in any lower tier covered transaction it enters into.

C. The Contractor must sign and submit the ‘Debarment and Suspension Certification,’ included herein as Exhibit E. The certification in this Clause is a material representation of fact relied upon by METRO. If it is later determined that the proposer knowingly rendered an erroneous certification, in addition to remedies available to METRO, the federal government may pursue available remedies, including but not limited to suspension and/or debarment. The proposer agrees to comply with the requirements of 49 C.F.R. § 29, Subpart C while this offer is valid and throughout the period of any contract that may arise from this offer. The proposer further agrees to include a provision requiring such compliance in its lower tier covered transactions.

29 METRO NON-DISCRIMINATION

METRO shall not discriminate on the basis of race, color, national origin, religion, sex (including gender identity and sexual orientation), disability, or age in the award and performance on any DOT-assisted Contractor in the administration of its program or the requirements of 49 C.F.R. Part 26. METRO shall take all necessary and reasonable steps under 49 C.F.R. Part 26 to ensure non-discrimination in the award and administration of DOT-assisted contracts. METRO’s program, as required by 49 C.F.R. Part 26 and as approved by the DOT, is incorporated by reference in this Contract. Implementation of this program is a legal obligation and failure to carry out its terms shall be treated as a violation of this Contract. Upon notification to METRO of its failure to carry out its approved program, the Department may impose sanctions as provided for under Part 26 and may, in appropriate cases, refer the matter for enforcement under 18 U.S.C. § 1001 and/or the Program Fraud Civil Remedies Act of 1986 (31 U.S.C. § 3801, et seq.).

30 RESTRICTIONS ON LOBBYING
Contractors who apply or bid for an award of $100,000 or more shall file the certification required by 49 C.F.R. 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, 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 tier shall also disclose the name of any registrant under the Lobbying Disclosure Act of 1995 who has made lobbying contracts 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 tier to tier, up to the recipient. See Section X, Exhibit D, ‘Certification of Restrictions on Lobbying.’

31 ENTIRE AGREEMENT

This Contract and attached Exhibits constitute the entire agreement between the parties and shall supersede all prior offers, negotiations, exceptions and understandings, whether oral or written, between the parties hereto. No modification of this Contract (including any change in the Work) shall be binding upon METRO or the Contractor unless evidenced by a written modification issued pursuant to the ‘Changes Provision’ or by other written order modification hereof, as appropriate.
SECTION X - EXHIBITS

1 EXHIBIT A SCOPE OF SERVICES

SCOPE OF SERVICES
FOR
SIGNALS & COMMUNICATIONS SYSTEM

1.0 Scope of Work

The current rail system has three (3) Rail Corridors (Red, Green and Purple) which consists of 23 miles of double track. This is a contract for maintenance/repair services associated with METRO’s Signals & Communications System. The maintenance/repair work will be performed on METRO owned facilities: bar signals, signal houses, communication houses, crossing cases, axle counter cases, fiber optics, warning devices, rail platforms, axle counters, track circuits, twc loops, high-load detectors, switch machines and security devices. The maintenance/repair work will be performed on an as-needed basis. The specific work requirements will be identified in Work Authorizations to be issued by METRO.

METRO will provide ALL materials necessary to perform the maintenance/repair work. The Contractor shall provide the necessary staffing and specialized equipment required to complete the maintenance/repair activity. The Contractor shall have a minimum of five (5) years of Signaling System experience working on a light rail system operating in the US. The contractor shall have a local presence in Houston.

Examples of the types of work expected to be performed under this contract are:

Signals and Communications Maintenance/Repairs Services:
• (50) Repair bar signals, (18) signal houses, (46) communication houses, (24) grade crossing cases, (72) axle counter cases, (55) warning devices, (60) rail platforms, (570) axle counter heads, (163) track circuits and (326) twc
• Fiber optic cable repairs / replacement and splicing for METRO’s 23-mile light rail system
• Replacement of coax cable associated with the twc loops on METRO’s 23-mile light rail system
• Pulling wires/cables associated with powered frequency and audio frequency track circuits on 7.5 miles of METRO’s light rail system.
• Pulling wires/cables associated with powered switch machines. There are (103) powered switches on METRO’s 23-mile light rail system
• Repair or replace high-load detectors. There are seven (7) locations; they include two (2) at Fannin/610, two (2) at Fulton/610, and three (3) at 45/Scott
• Replacement of powered switch machines (103)
• Replacement of (169) security devices

1.2 THIS CONTRACT IS FOR MAINTENANCE / REPAIR SERVICES AND ALL ASSOCIATED TESTING, AND SAFETY RE-CERTIFICATION THAT MAY BE NECESSARY. THIS CONTRACT SHALL NOT BE USED FOR THE PURPOSE OF ENGINEERING DESIGN.

1.3 The contractor is expected to be available to respond, assess, and recommend a path forward WITHIN 48 HOURS OF NOTIFICATION for unscheduled maintenance/repair activities. For planned maintenance/repair services, the contractor and METRO shall coordinate a date and time for the maintenance/repairs to be executed.

1.4 The contractor will be responsible to obtain all necessary city, county, and state permits necessary in support of any projects executed under this contract.

2.0 DOCUMENTS

The following documents shall be used in the execution of work under this Contract:

2.1 Technical Specifications

2.2.1 AREMA and APTA

2.2.2 Project Standard Specifications

2.2.3 METRO nonstandard specifications and Scope of Services written for unique requirements during the Contract period.
3.0 WORK AUTHORIZATION ORDERING

Work required under this Contract shall be in response to scheduled and unscheduled maintenance/repairs ordered by issuance of formal written Work Authorizations as follows:

3.1 As the need exists for performance under the terms of this Contract, the METRO Project Manager will notify the Contractor of an existing requirement.

3.2 Upon the receipt of this notification, the Contractor shall respond within one (1) working day, or as otherwise instructed by METRO, by:

   3.2.1 Visiting the proposed site in the company of the METRO Project Manager and Contractor, or;

   3.2.2 Establishing contact with the METRO Project Manager and Contractor to further define the scope of the requirements.

3.3 Upon establishment of the scope of the individual requirement, the Contractor shall then prepare a proposal for accomplishment of the task.

3.4 The Contractor's proposal shall be submitted within five (5) working days unless otherwise specified by METRO.

3.5 METRO's Contracting Officer will review the proposal for completeness and issue a Work Authorization.

3.6 In the event METRO does not issue a Work Authorization after receipt of Contractor's proposal, METRO is not obligated to reimburse the Contractor for any costs incurred in the preparation of the proposal.

4.0 SCHEDULING OF WORK

4.1 Each executed Work Authorization shall constitute a Notice to Proceed. The first day of performance under a Work Authorization shall be the effective date specified in the Work Authorization. Any preliminary work started or materials ordered or purchased before receipt of the executed Work Authorization shall be at the risk and expense of the Contractor. The Contractor shall diligently prosecute the work to completion within the time set forth in the Work Authorization. The period of performance includes allowance for mobilization, holidays, weekend days, inclement weather, and cleanup, therefore, claims for delay based on these elements will not be allowed. When the Contractor considers the Work complete and ready for its intended use, the Contractor shall request Chief of Signals & Communications (or designee) to inspect the Work to determine the status of completion. When METRO determines the Work to be substantially complete, METRO will issue a Certificate of Substantial Completion with a list of items to be completed or corrected prior to final payment for the Work Authorization. The Contractor shall proceed promptly to complete and correct items on the list.

4.2 Delivery of equipment shall be made with minimal interference to METRO operations and personnel.

4.3 The Contractor shall take all precautions to ensure no damage will result from its operations to private or public property. All damages shall be repaired or replaced by the Contractor at no cost to METRO.

4.4 Where no formal Traffic Control Plan is specified, the Contractor shall be responsible for providing all necessary traffic control, such as barricades and traffic cones, as required for each Work Authorization at no additional cost to METRO. Proposed traffic control methods shall be submitted to METRO for final approval.

5.0 QUALITY ASSURANCE/QUALITY CONTROL PROGRAM AND INSURANCE

The Contractor shall submit, for METRO’s review and approval, a Quality Assurance/Quality Control Plan within 15 calendar days after Contract award. This plan should address all aspects of quality control including responsibility for surveillance of work, documentation, trend analysis, corrective action, and interface with METRO personnel.

The Contractor shall submit proof of insurance as required in Section VII-Insurance Articles, and as required in the work authorization.

6.0 PROJECT MANAGER

The Contractor's Project Manager shall be knowledgeable in signaling and communication systems and equipment. The contractor shall submit the credentials of the proposed Project Manager as part of the proposal for approval by
METRO reserves the right to approve or disapprove the proposed key personnel.

7.0 **WORK BY METRO**

METRO reserves the right to undertake or award contracts for the performance of the same or similar type work as contemplated herein, and to do so will not breach or otherwise violate this Contract.
2 Exhibit B Contractor's Release

Pursuant to the terms of METRO Contract No. ______________, as amended, and in consideration of the sum of _______________ Dollars ($______), which has been or is to be paid under said Contract to ___________________ (hereinafter called the Contractor) or its assignees, if any, the Contractor for itself and its subcontractors, upon payment of the said sum by the Metropolitan Transit Authority (hereinafter called METRO), does release and discharge METRO, its officers, agents, and employees, of and from all liabilities, obligations, claims and demand whatsoever under or arising from the said Contract, except specified claims as follows:

____________________________________________________________________________________________________________________________________________________.

(IF NONE, SO STATE)________________________________________________________________________________________.

IN WITNESS WHEREOF, this release has been executed this ___ day of __________, 20__.  

By: ________________________________________________________  
(Signature of Company Official)

Certificate

I, _______________________________, certify that I am _______________________ (title) of the firm named as the Contractor in the foregoing release; that ________________________, (name) who signed said release on behalf of the Contractor and its subcontractors, was the ___________________(title) of said firm; that said release was duly signed for on behalf of said firm and is within the scope of its powers as so constituted.

By: ________________________________________________________  
(Signature of Certifying Person)

(If a Corporation, affix the Corporate Seal)
### PREVAILING WAGES

<table>
<thead>
<tr>
<th>LABOR CLASSIFICATION</th>
<th>BASIC HOURLY</th>
<th>FRINGE HOURLY</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Carpenters</strong></td>
<td>14.04</td>
<td></td>
</tr>
<tr>
<td><strong>Cement Mason / Concrete Finisher</strong></td>
<td>12.50</td>
<td>1.17</td>
</tr>
<tr>
<td><strong>Electrician</strong></td>
<td>17.00</td>
<td>0.04</td>
</tr>
<tr>
<td><strong>Formbuilder / Formsetter</strong></td>
<td>13.84</td>
<td>1.17</td>
</tr>
<tr>
<td><strong>Ironworker, Reinforcing</strong></td>
<td>11.28</td>
<td></td>
</tr>
<tr>
<td><strong>Laborers</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Common</td>
<td>8.94</td>
<td>8.94</td>
</tr>
<tr>
<td>Landscape</td>
<td>7.35</td>
<td>7.35</td>
</tr>
<tr>
<td>Mason Tender Cement</td>
<td>9.94</td>
<td>9.94</td>
</tr>
<tr>
<td>Pipelayer</td>
<td>10.14</td>
<td>10.14</td>
</tr>
<tr>
<td><strong>Pipefitter</strong></td>
<td>17.00</td>
<td>0.04</td>
</tr>
<tr>
<td><strong>Power Equipment Operator:</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Backhoe</td>
<td>13.47</td>
<td>13.47</td>
</tr>
<tr>
<td>Bulldozer</td>
<td>12.58</td>
<td>12.58</td>
</tr>
<tr>
<td>Crane</td>
<td>15.33</td>
<td>0.57</td>
</tr>
<tr>
<td>Excavator</td>
<td>16.37</td>
<td>16.37</td>
</tr>
<tr>
<td>Front End Loader</td>
<td>12.16</td>
<td>12.16</td>
</tr>
<tr>
<td>Grader</td>
<td>12.20</td>
<td>1.48</td>
</tr>
<tr>
<td>Tractor</td>
<td>15.00</td>
<td>15.00</td>
</tr>
<tr>
<td><strong>Sprinkler Fitter (Fire Sprinklers)</strong></td>
<td>29.53</td>
<td>21.27</td>
</tr>
<tr>
<td><strong>Truck Driver</strong></td>
<td>12.02</td>
<td>1.02</td>
</tr>
</tbody>
</table>

**WELDERS:** Receive rate prescribed for craft performing operation to which welding is incidental.

---

Unlisted classifications needed for work not included within the scope of the classifications listed may be added after award only as provided in the labor standards contract clauses [29 CFR 5.5 (a) (1) (ii)].
### LABOR CLASSIFICATION

<table>
<thead>
<tr>
<th>Labor Classification</th>
<th>Hourly Rates</th>
</tr>
</thead>
<tbody>
<tr>
<td>CEMENT MASON/ CONCRETE FINISHER (Paving and Structures)</td>
<td>$12.98</td>
</tr>
<tr>
<td>ELECTRICIAN</td>
<td>$27.11</td>
</tr>
<tr>
<td>FORM BUILDER / FORM SETTER</td>
<td></td>
</tr>
<tr>
<td>Paving &amp; Curb</td>
<td>$12.34</td>
</tr>
<tr>
<td>Structures</td>
<td>$12.23</td>
</tr>
<tr>
<td>LABORER</td>
<td></td>
</tr>
<tr>
<td>Asphalt Raker</td>
<td>$12.36</td>
</tr>
<tr>
<td>Flagger</td>
<td>$10.33</td>
</tr>
<tr>
<td>Laborer, Common</td>
<td>$11.02</td>
</tr>
<tr>
<td>Laborer, Utility</td>
<td>$11.73</td>
</tr>
<tr>
<td>Pipelayer</td>
<td>$12.12</td>
</tr>
<tr>
<td>Work Zone Barricade Servicer</td>
<td>$11.67</td>
</tr>
<tr>
<td>PAINTER (Structures)</td>
<td>$18.62</td>
</tr>
<tr>
<td>POWER EQUIPMENT OPERATOR</td>
<td></td>
</tr>
<tr>
<td>Asphalt Distributor</td>
<td>$14.06</td>
</tr>
<tr>
<td>Asphalt Paving Machine</td>
<td>$14.32</td>
</tr>
<tr>
<td>Broom or Sweeper</td>
<td>$12.68</td>
</tr>
<tr>
<td>Concrete Pavement Finishing Machine</td>
<td>$13.07</td>
</tr>
<tr>
<td>Concrete Paving, Curing, Float, Texturing Machine</td>
<td>$11.71</td>
</tr>
<tr>
<td>Concrete Saw</td>
<td>$13.99</td>
</tr>
<tr>
<td>Crane, Hydraulic 80-tons or less</td>
<td>$13.86</td>
</tr>
<tr>
<td>Crane, Lattice boom 80-tons or less</td>
<td>$14.97</td>
</tr>
<tr>
<td>Crane, Lattice boom Over 80-tons</td>
<td>$15.80</td>
</tr>
<tr>
<td>Crawler Tractor</td>
<td>$13.68</td>
</tr>
<tr>
<td>Excavator, 50,000 lbs. or less</td>
<td>$12.71</td>
</tr>
<tr>
<td>Excavator, Over 50,000 lbs.</td>
<td>$14.53</td>
</tr>
<tr>
<td>Foundation Drill, Crawler Mounted</td>
<td>$17.43</td>
</tr>
<tr>
<td>Foundation Drill, Truck Mounted</td>
<td>$15.89</td>
</tr>
<tr>
<td>Front End Loader, 3 cu yd or less</td>
<td>$13.32</td>
</tr>
<tr>
<td>Front End Loader, over 3 cu yd</td>
<td>$13.17</td>
</tr>
<tr>
<td>Loader / Backhoe</td>
<td>$14.29</td>
</tr>
<tr>
<td>Mechanic</td>
<td>$16.96</td>
</tr>
<tr>
<td>Milling Machine</td>
<td>$13.53</td>
</tr>
<tr>
<td>Motor Grader, Fine Grade</td>
<td>$15.69</td>
</tr>
<tr>
<td>Motor Grader, Rough</td>
<td>$14.23</td>
</tr>
<tr>
<td>Off Road Hauler</td>
<td>$14.60</td>
</tr>
<tr>
<td>Pavement Marking Machine</td>
<td>$11.18</td>
</tr>
<tr>
<td>Piledriver</td>
<td>$14.95</td>
</tr>
<tr>
<td>Roller, Asphalt</td>
<td>$11.95</td>
</tr>
<tr>
<td>Roller, Other</td>
<td>$11.57</td>
</tr>
<tr>
<td>Scraper</td>
<td>$13.47</td>
</tr>
<tr>
<td>Spreader Box</td>
<td>$13.58</td>
</tr>
</tbody>
</table>

### WELDERS

- Receive rate prescribed for craft performing operation to which welding is incidental.

Unlisted classifications needed for work not included within the scope of the classifications listed may be added after award only as provided in the labor standards contract clauses (29 CFR, 5.5 (a) (1) (ii)).
4  EXHIBIT D CERTIFICATION OF RESTRICTIONS ON LOBBYING

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

A. No federal appropriated funds have been or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an office or employee of any agency, a member of Congress, an officer or employee 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.

B. 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. After a Contract is awarded by METRO, if applicable, the undersigned is also required to submit to METRO’s Contracting Officer a signed copy of the Form-LLL, ‘Disclosure Form to Report Lobbying,’ for all sub-awards at all tiers in excess of $100,000.00.

C. 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. Once a Contract is awarded by METRO, the undersigned is also required to submit to METRO’s Contracting Officer a signed copy of the certificate for all sub-contracts at all tiers in excess of $100,000.00.

This certification is a material representation of fact upon which reliance is 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.

Executed this _______________ day of ____________________, 20___

Company Name: _____________________________________________

By: ________________________________________________________

(Signature of Company Official)

___________________________________________________________

(Title of Company Official)
5  EXHIBIT E DEBARMENT AND SUSPENSION FORM

The undersigned certifies, by submission of this certification, that neither the proposer’s/contractor’s company nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any federal department or agency.

If the company is unable to certify to any of the statements in this certification, the company shall attach an explanation to this certification.

I hereby certify that I am authorized to execute this certification on behalf of the company and certify the truthfulness and accuracy of the contents herein or attached hereto to the best of my belief. The company does/does not (strike one) have in-house legal counsel.

Company Name: ____________________________________________

By:  __________________________________________________

Signature of Company Official  Date

Title of Company Official

The following shall also be completed if the Company has in-house legal counsel:

The undersigned legal counsel for ____________________________________ hereby certifies that ____________________________________ has authority under state and local law to comply with the subject assurances and that the certification above has been legally made.

_____________________________________________________________

Signature of Company’s Attorney  Date
EXHIBIT F CODE OF ETHICS OF THE METROPOLITAN TRANSIT AUTHORITY

Please refer to the current versions of METRO's Codes of Ethics for METRO Employees and for the METRO Board of Directors at https://www.ridemetro.org.Pages/ConflictsDisclosure.aspx
Form 1 CONTRACTOR UTILIZATION PLAN FORM

INSTRUCTIONS TO COMPLETING CONTRACTOR UTILIZATION PLAN FORM

The Contractor Utilization Plan identifies the bidder’s/proposer’s (prime) team of certified and non-certified subcontractors and suppliers. It is also used to determine the percent (%) of Small Business (SB) participation on the team. All team members must be listed on the form regardless of certification status. Make additional copies of the appropriate Section(s) of the form, if needed, to include all team members.

Information applicable to all members of the team in Sections 1, 2, 3 & 4 of the CUP:

- Name, tax identification number, business address and contact information of prime, subcontractors and suppliers.
- Brief description of work to be performed by prime or subcontractors; or products to be provided by the suppliers.
- Certification status of prime, subcontractor(s) and supplier(s). Include a copy of the METRO SBE certificate or a DBE certificate for any applicable members of the team. Be sure to reference the solicitation regarding the types of SB certifications that METRO accepts or visit the METRO website [www.ridemetro.org](http://www.ridemetro.org) and go to the Small Business link.
- Percentages of the total contract value to be performed by the prime and each subcontractor and supplier. (Note: The total of all team members must equal 100%.)
- Price is REQUIRED on this form when responding to “Invitations for Bid” (IFB) solicitations. Price is only required on the FINAL CUP for “Requests for Qualifications” (RFQ) or “Requests for Proposals” (RFP) solicitations.

<table>
<thead>
<tr>
<th>Type of Work to be Performed or Materials Supplied</th>
<th>Indicate if SBE/DBE (Y/N)</th>
<th>Percent of Contract Effort</th>
<th>Price (IFB ONLY)</th>
</tr>
</thead>
<tbody>
<tr>
<td>SBE</td>
<td>DBE</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Name of Business: ______________________________
Tax ID No.: ______________________________
Business Address: ______________________________
Telephone No.: ______________________________
Contact Person: ______________________________
Title: ______________________________
Email Address: ______________________________

CUP Completion Instructions continued on next page
Section 1 – Prime Contractor: This Section is only for the bidder/proposer’s information.

Section 2 – Subcontractors: This Section is used to list all certified and non-certified subcontractors.

Section 3 – Suppliers – Manufacturers (100%): In this section, list all certified and non-certified suppliers that manufacturer or produce the product they are providing.

- 100% of each certified supplier’s contract value (or percentage) will count towards the SB goal.

Section 4 – Suppliers – Dealers (60%): In this section, list all certified and non-certified suppliers that purchase their products from a wholesaler.

- 60% of each certified supplier’s contract value (or percentage) will count towards the SB goal.

- Note that the “Percent of Contract Effort” in this section is divided into 2 parts: “100%” and “60%”. BOTH PERCENTAGES MUST BE SPECIFIED IF A SUPPLIER IS CERTIFIED.

- The “100%” represents the total value of the P.O. (or Contract) as a percentage of the total value of the bid. For example: If the total bid is $1,000,000 and the P.O. value is $100,000, then the 100% value = 10% and the 60% value = 6%. In this example, only 6% ($60,000) will be counted towards the SB goal. See example below:

<table>
<thead>
<tr>
<th>Percent of Contract Effort</th>
<th>Price (IFB ONLY)</th>
</tr>
</thead>
<tbody>
<tr>
<td>100% Value (%): 10%</td>
<td>100% Value ($)</td>
</tr>
<tr>
<td></td>
<td>$100,000</td>
</tr>
<tr>
<td>60% Value (%): 6%</td>
<td>60% Value ($)</td>
</tr>
<tr>
<td></td>
<td>$60,000</td>
</tr>
</tbody>
</table>

- Reminder: In the case of an RFP or RFQ, only specify the percentages.

Summary Totals & SBE/DBE Participation Section

- In this section, under “TOTAL AMOUNT OF BID/PROPOSAL”, specify the dollar amounts and the corresponding percentages relative to the total bid amount from Sections 1, 2, 3, & 4. (Important: The total dollars must match your bid amount and the corresponding percentages must total to 100%).

- Under “% SBE/DBE Participation” specify the percent of SB participation per Sections 1,2,3 & 4. See IFB example below:

**EXAMPLE ONLY SCENARIO:** The Prime is not certified, and all of the subcontractors and suppliers are certified firms. The Small Business goal is 35%.

<table>
<thead>
<tr>
<th>TOTAL AMOUNT OF BID/PROPOSAL</th>
<th>% SBE/DBE Participation</th>
</tr>
</thead>
<tbody>
<tr>
<td>PRIME: $500,000</td>
<td>50 % 0 %</td>
</tr>
<tr>
<td>SUBCONTRACTORS: $300,000</td>
<td>30 % 30 %</td>
</tr>
<tr>
<td>SUPPLIER-MANUFACTURERS: $100,000</td>
<td>10 % 10 %</td>
</tr>
<tr>
<td>SUPPLIERS-DEALERS: $100,000</td>
<td>10 % 6 %</td>
</tr>
<tr>
<td>TOTAL BID/PROPOSAL AMOUNT:</td>
<td>$1,000,000</td>
</tr>
<tr>
<td></td>
<td>100 % 46 %</td>
</tr>
</tbody>
</table>

(Note: If the solicitation is an RFP or RFQ, only specify the percentages.)

Remember to submit all Sections, enter the information highlighted in yellow below, sign and date the form.

Submitted By: ___________________________  Business Name: ___________________________
Signature of Owner/Officer of Business  (Date)

Address: ___________________________  Telephone/Email: ___________________________
Bidder/Proposer presents the following participants in this solicitation and any resulting contract.

<table>
<thead>
<tr>
<th>Section 1 – PRIME CONTRACTOR</th>
<th>Type of Work to be Performed or Materials Supplied</th>
<th>Indicate if SBE/DBE (Y/N)</th>
<th>Percent of Contract Effort</th>
<th>Price (IFB ONLY)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Name of Business</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Tax ID No.</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Business Address</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Telephone No.</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Contact Person</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Title</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Email Address</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Section 2 – SUBCONTRACTORS</th>
<th>Type of Work to be Performed or Materials Supplied</th>
<th>Indicate if SBE/DBE (Y/N)</th>
<th>Percent of Contract Effort</th>
<th>Price (IFB ONLY)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Name of Business</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Tax ID No.</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Business Address</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Telephone No.</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Contact Person</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Title</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Email Address</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Name of Business</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Tax ID No.</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Business Address</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Telephone No.</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Contact Person</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Title</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Email Address</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Bidder/Proposer presents the following participants in this solicitation and any resulting contract.

**Section 3 – SUPPLIERS – MANUFACTURERS 100%**

Counts for 100% toward small business goal when purchased from small business manufacturer (see Instructions to Bidders/Proposers).

<table>
<thead>
<tr>
<th>Name of Business</th>
<th>Tax ID No.</th>
<th>Business Address</th>
<th>Telephone No.</th>
<th>Contact Person</th>
<th>Title</th>
<th>Email Address</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Name of Business</th>
<th>Tax ID No.</th>
<th>Business Address</th>
<th>Telephone No.</th>
<th>Contact Person</th>
<th>Title</th>
<th>Email Address</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Name of Business</th>
<th>Tax ID No.</th>
<th>Business Address</th>
<th>Telephone No.</th>
<th>Contact Person</th>
<th>Title</th>
<th>Email Address</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Indicate if SBE/DBE (Y/N)</th>
<th>Percent of Contract Effort (100%)</th>
<th>Price (IFB ONLY)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>SBE</th>
<th>DBE</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

39
Bidder/Proposer presents the following participants in this solicitation and any resulting contract.

<table>
<thead>
<tr>
<th>Section 4 – SUPPLIERS – DEALERS 60%</th>
</tr>
</thead>
<tbody>
<tr>
<td>Counts for 60% toward small business goal when purchased from small business regular dealer (see Instructions to Bidders/Proposers).</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Type of Work to be Performed or Materials Supplied</th>
<th>Indicate if SBE/DBE (Y/N)</th>
<th>Percent of Contract Effort</th>
<th>Price (IFB ONLY)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>SBE</td>
<td>DBE</td>
<td>100%</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

| Name of Business | __________________________ |
| Tax ID No.       | __________________________ |
| Business Address | __________________________ |
| Telephone No.    | __________________________ |
| Contact Person   | __________________________ |
| Title            | __________________________ |
| Email Address    | __________________________ |

| Name of Business | __________________________ |
| Tax ID No.       | __________________________ |
| Business Address | __________________________ |
| Telephone No.    | __________________________ |
| Contact Person   | __________________________ |
| Title            | __________________________ |
| Email Address    | __________________________ |

TOTAL AMOUNT OF BID/PROPOSAL % SBE/DBE Participation

- PRIME: $__________________ % %
- SUBCONTRACTORS: $__________________ % %
- SUPPLIERS-MANUFACTURERS: $__________________ % %
- SUPPLIERS-DEALERS: $__________________ % %

TOTAL BID/PROPOSAL AMOUNT: $__________________ % %

The Contractor agrees to adhere to this Plan submitted unless a waiver is received from the Office of Small Business. Any changes in the Plan regarding the proposed use of certified subcontractors in discharging the contract duties must be approved by the Office of Small Business. The approval of the Office of Small Business will not be unreasonably withheld upon a showing of good cause to make the change.

Submitted By: _____________________________________________   Business Name:  ______________________________________
Signature of Owner/Officer of Business (Date)                Address: _________________________________________________
Telephone/Email: __________________________________________
Form 2  BUSINESS ASSURANCE STATEMENT

The undersigned certifies that he/she has read, understands and agrees to be bound by the small business provisions set forth in this Solicitation. The undersigned further certifies that he/she is legally authorized by the proposer/contractor to make the statements and representations in this solicitation and that said statements and representations are true and accurate to the best of his/her knowledge and belief. The undersigned agrees to attain the small business utilization percentages of the total offer amount as set forth below:

Small Business contract Goal Commitment = ___% - must match commitment on the Contractor Utilization Plan form

The undersigned will enter into formal agreement(s) for work to be identified on the ‘Contractor Utilization Plan Form’ form conditioned upon execution of a contract with METRO and agrees to include the two assurance statements below in all subcontracts.

Copies of the subcontract agreements will be submitted to the Contracting Officer within fifteen 15 days of contract award and within fifteen 15 days of the addition of new subcontractors to the Contractor Utilization Plan.

The undersigned certifies that the firm shown below has not discriminated against any subcontractors because of race, color, national origin, religion, sex (including gender identity and sexual orientation), disability, or age, but has provided full and equal opportunity to all potential subcontractors irrespective of race, color, national origin, religion, sex (including gender identity and sexual orientation), disability, or age.

The undersigned understands that if any of the statements and representations are made knowing them to be false or there is a failure to implement any of the stated intentions, objectives, goals, and commitments set forth herein without prior approval of METRO’s President & Chief Executive Officer or duly authorized representative, the proposer/contractor will be subject to the loss of any Contractor, the termination thereof resulting from this proposal, and could be ineligible for future METRO contract awards.

Signature: ___________________________________________ Date of Signing: ________________

Title: _______________________________________________  

Firm or Corporation: ______________________________________________________________________

Address: _______________________________________________________________________________

______________________________________________________________________________________

Telephone Number: __________________________________
Form 3  SUBCONTRACTOR/SUPPLIER LETTER OF INTENT

PLEASE SUBMIT SEPARATE FORMS FOR EACH SUBCONTRACTOR/SUPPLIER

For use by submitters to identify subcontractors and suppliers.

Solicitation No.: _________________________

Project Title: _________________________________________________________________________________________________

Prime Contractor: _____________________________________________________________________________________________

Subcontractor/Supplier: ______________________________________________________________________________________

Small Business  Yes ☐  No ☐  Disadvantaged Business:  Yes ☐  No ☐

Contact Name: _______________________________________________________________________________________________

Address: __________________________________________________________________________________________________

Phone: __________________________ Fax: ________________________________

Period of Performance: _________________________________________________________________________________________

Description of proposed materials or services to be performed under the Contract Utilization Plan:

_______________________________________________________________________________________________________________

Signature of Subcontractor/Supplier  Title

Signature of Prime Contractor  Title
Form 4 CONTRACTOR UTILIZATION PLAN PLEDGE

Copies of the Subcontract Agreements will be submitted to the Contracting Officer within fifteen (15) days of Contract award and within fifteen (15) days of the addition of new Subcontractors to the Contractor Utilization Plan and will include the Clauses below:

Pledge of Prompt Payments

I pledge to pay all Subcontractors within five (5) business days after receiving payment from METRO for amounts previously invoiced for work performed or materials furnished under the Contract.

Signature: _________________________________
Title: _____________________________________
Date: ____________________________________

METRO’s Non-discrimination Mandate

I affirm that ___________________________ (Company name) adheres to METRO’s Non-discrimination Mandate and has not discriminated against any subcontractors in considering subcontracting opportunities based on race, color, national origin, religion, sex (including gender identity and sexual orientation), disability, or age.

Signature: _________________________________
Title: _____________________________________
Date: ____________________________________

(FOR CONSTRUCTION CONTRACTS)

I pledge to release the retainage of all Subcontractors within thirty (30) days after satisfactory completion and approval of work performed. Subcontractors may petition the prime Contractor to make the final payment and may notify METRO of the request. As METRO releases retainage for payment to the Subcontractor, the prime Contractor is required to immediately (within 15 days) pay the Subcontractor. The release of retainage will be made to the Subcontractor regardless of the prime invoicing METRO.

Signature: _________________________________
Title: _____________________________________
Date: ____________________________________
A. PURPOSE

To establish safety guidelines regarding the use of Personal Protective Equipment (PPE) at METRO Facilities, Construction Sites, and other locations where employees are exposed to hazards.

II. SCOPE

This guideline outlines mandatory requirements for wearing PPE for all employees, Contractors, and visitors of the Metropolitan Transit Authority of Harris County. PPE for eyes, head, face and extremities shall be provided to all employees, and maintained in a reliable and sanitary manner per these guidelines. PPE is issued whenever by reason of hazards of process, environmental chemical hazards or radiological hazards exist or have the potential to exist within the employee’s task assignment. The PPE issued will be of the type needed to afford protection against the hazards to be encountered.

This guideline does not supersede any local, state, or federal law. If this guideline is in conflict with any other law, rule, or regulation the stricter of the two will apply.

III. RESPONSIBILITY

System Safety will provide guideline oversight and is responsible for subsequent updates.

All METRO employees and Contractors are responsible for compliance with and enforcement of this guideline.

IV. GENERAL

A. Eye & Face Protection

Eye and face protection meeting the ANSI Z87.1 (appropriate for the hazard or potential hazard) shall be worn by all affected employees in any METRO maintenance shop, construction areas, areas so designated by signage and/or during work activities where there is a potential for injury to the eyes. Protective eyewear will not be required when employees are in office areas, break areas, storerooms or inside the primary walkway through the maintenance shop (as designated by the yellow lines). Eye and face PPE must be distinctly marked to facilitate and document compliance.

Safety Glasses: Safety glasses (equipped with side shields) are protective devices intended to shield the wearer’s eyes from a variety of hazards. While safety glasses are primary protectors and may be used alone they may also be used in conjunction with other protectors.

Goggles: Goggles are protective devices intended to fit the immediate surrounding area of the eyes, and to protect the eyes from a variety of hazards. While they are primary protectors and may be used alone, they may be used in conjunction with other protectors.

Faceshields: Faceshields are protective devices intended to shield the wearer’s face, or portions thereof, in addition to the eyes from certain hazards.

NOTE: Faceshields are secondary protectors and shall be used only with primary protectors.

Welding Helmets: Welding helmets are protective devices intended to shield the wearer’s eyes from optical radiation and impact.

NOTE: Welding helmets are secondary protective devices and shall only be used in conjunction with primary protectors.
Employees who wear prescription lenses while engaged in operations where a potential for eye hazards exist shall wear eye protection that incorporates the prescription in its design, or shall wear eye protection that can be worn over the prescription without disturbing the proper fit or position of the lenses.

Maintenance employees may enroll in the Prescription Safety Glass Program. Contact System Safety for more information.

B. Head Protection

All employees, Contractors and visitors must wear bump caps when there is a potential for injury to the head from bumping into objects.

ANSI Z89.1 Class E&G hard hats must be worn while performing/supporting aerial device work, in construction areas, or where there is a potential for injury to the head from falling objects.

C. Foot Protection

Individuals who have the potential to incur foot injuries because of their work activities must wear safety toe shoes which meet two ASTM standards – ASTM F 2412 and ASTM F 2413. This includes mechanics, technicians, cleaners, storeroom personnel, painters, wrecker operators, T-Truck mechanics, Facilities Maintenance personnel, Maintenance of Way personnel, and High Occupancy Vehicle (HOV) lane personnel.

All other employees, Contractors and visitors must wear safety toe shoes in work areas where there is potential for foot injuries from falling or rolling objects, objects piercing the sole, and exposure to electrical hazards. Safety toe footwear worn at construction sites must cover the ankle.

D. Hand Protection

Affected employees shall use the proper hand protection when hazards exist from skin absorption of harmful substances, severe cuts or lacerations, severe abrasions, punctures, chemical or thermal burns, and harmful temperature extremes. Hand protection shall be selected on the basis of the tasks to be performed, conditions present, duration of use, the hazards and potential hazards identified.

E. Safety Vests

All METRO employees, visitors, and Contractors working in bus and rail yards are required to wear ANSI Class II, or better, high visibility safety vests at all times. Vests are also required for employees working along the rail alignment, or anywhere they have exposure to vehicular traffic. Safety vests must also be worn at all construction sites.
Track Access Procedures – Overview

Anyone who needs to perform work within the METRORail Safety Zone are required to follow SOP002 Track Access Procedures listed below to ensure safety of personnel and safe movement of trains.

- **Safety Zone**: Trackway which may include other areas such as street, shared poles on sidewalks and substations.
- **Track Safety Certification Card**: Issued by METRORail. Valid for 1 year.
- **Trackway**: The area within 15 feet of the centerline of any track.
- **Work Permit**: A written permit authorizing approved work activities within the METRORail Safety Zone.
- **Work Zone**: An area of work within defined limits, where movement of rail equipment is governed by the Flagger.
- **Red Tag**: Required to work within a 10 feet radius of the OCS necessitating a power down.

1. All contractors/individuals must complete the METRORail Track Safety Course at the “S&I” Facility Rm107 (5880 Texas St). To schedule a class, call 713-515-6290 and / or email track.safety@ridemetro.org.

2. Trackway Allocation Request Form must be submitted by 5pm Tuesday prior to the week of the scheduled work (see form for contact / additional information).

3. Attended Track Allocation meeting held every Wednesday 10:00 am at the “ROC” Facility (1601 W. Belfort) to review scope of work being done and discuss any problems, issues that may need to be addressed before work is to commence (meeting attendance will need to be a week prior to date of requested work).

4. A Track Access Schedule will be distributed to all interested parties via e-mail by close of business each Friday. **Track Access Schedule runs Sunday 00:01 thru Saturday 23:59.

5. A Work Permit must be obtained daily at the ROC or S&I Station Office prior to the commencing each day's work activities and can be picked up 24hrs in advance.

6. A Work Permit is valid only for the date the times indicated on the Work Permit. The Work Permit limits and conditions must not be exceeded without authorization from Rail Control (713-843-5499).

7. The Work Permit and/or Red Tag must always be available at the work site for inspection.

8. All persons working in the Safety Zone must always have their Track Safety Certification Card with them.

9. All work crews or individuals must notify Rail Control prior to entering the Trackway and again immediately upon leaving the Trackway (notify when work starts and ends).

10. All work crews or individuals must notify Rail Control of changes in location, equipment in use and other pertinent information required to safeguard the movement of trains or equipment in their Work Zone.

**NOTE:** 11 thru 14 apply when working under SOP003 Red Tag Procedure (OCS power removed & grounded)

11. Work Permits must be picked up 1st before getting Red Tags. The Red Tags are issued in the field/work site.

12. Prior to beginning work under Red Tag Procedures, the designated individual will meet with Traction Power personnel who will identify work limits and demonstrate power removal.

13. The designated individual must maintain a method of communication with the Rail Control Center, Traction Power designee and the METRORail Station Office at all times.

14. It is mandatory that the designated individual both obtain a Red Tag prior to beginning work and promptly return the Red Tag to the appropriate Traction Power designee after the work is complete.

**NOTE:** A “monthly” Work Permit may be requested for Routine Maintenance or work scheduled to run multiple days.

- A Work Permit for Routine Maintenance/multiple day project will be issued for a period not to exceed 1 month.
- Submit TAR form for your monthly Work Permit on the last Tuesday or week of each month for the next month.
- The requestor needs to pick up the monthly Work Permit on or before the 1st day of the month or 1st day back to work for the month. **Work Permit start/end dates will be 1st thru 31st.**
# 2020 Track Safety Contractor Class Schedule

<table>
<thead>
<tr>
<th>Month</th>
<th>January 2020</th>
<th>February 2020</th>
<th>March 2020</th>
<th>April 2020</th>
</tr>
</thead>
<tbody>
<tr>
<td>Date</td>
<td>S M T W Th F S</td>
<td>S M T W Th F S</td>
<td>S M T W Th F S</td>
<td>S M T W Th F S</td>
</tr>
<tr>
<td>5</td>
<td>6 7 8 9 10 11</td>
<td>1 2 3 4 5 6 7 8</td>
<td>1 2 3 4 5 6 7</td>
<td>5 6 7 8 9 10 11</td>
</tr>
<tr>
<td>12</td>
<td>13 14 15 16 17 18</td>
<td>9 10 11 12 13 14</td>
<td>15 16 17 18 19 20</td>
<td>12 13 14 15</td>
</tr>
<tr>
<td>26</td>
<td>27 28 29 30 31</td>
<td>22 23 24 25 26 27 28 29</td>
<td>29 30 31</td>
<td>26 27 28 29 30</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Month</th>
<th>May 2020</th>
<th>June 2020</th>
<th>July 2020</th>
<th>August 2020</th>
</tr>
</thead>
<tbody>
<tr>
<td>Date</td>
<td>S M T W Th F S</td>
<td>S M T W Th F S</td>
<td>S M T W Th F S</td>
<td>S M T W Th F S</td>
</tr>
<tr>
<td>3</td>
<td>4 5 6 7 8 9</td>
<td>1 2 3 4 5 6 7</td>
<td>1 2 3 4 5 6 7</td>
<td>2 3 4 5 6 7 8</td>
</tr>
<tr>
<td>10</td>
<td>11 12 13 14 15 16</td>
<td>10 11 12 13 14 15</td>
<td>9 10 11 12 13 14</td>
<td>9 10 11 12 13</td>
</tr>
<tr>
<td>17</td>
<td>18 19 20 21 22 23</td>
<td>14 15 16 17 18 19</td>
<td>16 17 18 19 20 21</td>
<td>16 17 18 19</td>
</tr>
<tr>
<td>31</td>
<td></td>
<td>28 29 30</td>
<td>28 29 30</td>
<td>30 31</td>
</tr>
</tbody>
</table>

**September 2020**

<table>
<thead>
<tr>
<th>Date</th>
<th>S M T W Th F S</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>2 3 4 5</td>
</tr>
<tr>
<td>6</td>
<td>7 8 9 10 11 12</td>
</tr>
<tr>
<td>13</td>
<td>14 15 16 17 18 19</td>
</tr>
<tr>
<td>20</td>
<td>21 22 23 24 25 26</td>
</tr>
<tr>
<td>27</td>
<td>28 29 30</td>
</tr>
</tbody>
</table>

**October 2020**

<table>
<thead>
<tr>
<th>Date</th>
<th>S M T W Th F S</th>
</tr>
</thead>
<tbody>
<tr>
<td>4</td>
<td>5 6 7 8 9 10</td>
</tr>
<tr>
<td>11</td>
<td>12 13 14 15 16 17</td>
</tr>
<tr>
<td>18</td>
<td>19 20 21 22 23 24</td>
</tr>
<tr>
<td>25</td>
<td>26 27 28 29 30 31</td>
</tr>
</tbody>
</table>

**November 2020**

<table>
<thead>
<tr>
<th>Date</th>
<th>S M T W Th F S</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>2 3 4 5 6 7</td>
</tr>
<tr>
<td>8</td>
<td>9 10 11 12 13 14</td>
</tr>
<tr>
<td>15</td>
<td>16 17 18 19 20 21</td>
</tr>
<tr>
<td>22</td>
<td>23 24 25 26 27 28</td>
</tr>
<tr>
<td>29</td>
<td>30</td>
</tr>
</tbody>
</table>

**December 2020**

<table>
<thead>
<tr>
<th>Date</th>
<th>S M T W Th F S</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>2 3 4 5 6</td>
</tr>
<tr>
<td>6</td>
<td>7 8 9 10 11</td>
</tr>
<tr>
<td>13</td>
<td>14 15 16 17 18 19</td>
</tr>
<tr>
<td>20</td>
<td>21 22 23 24 25 26</td>
</tr>
<tr>
<td>27</td>
<td>28 29 30 31</td>
</tr>
</tbody>
</table>

**METRORAIL Track Safety Team**

5880 Texas Street
Houston, Texas 77011

Phone: 713.615.6290

Email: Track.Safety@ridemetro.org

Attendees must be registered prior to class date to attend.
Class dates and times are subject to change.
Please contact the METRORail Track Safety Team to confirm class schedule.
RFP No. 4020000163

Work Permit

Permit No. 2019-0479
Co./Dept. Downtown District
Valid Dates: 10/1/2019 to 10/31/2019
Valid Times 00:01 to 23:59

This permit is valid DAILY between the above dates and between the following times.

Location(s):

<table>
<thead>
<tr>
<th>Line</th>
<th>From</th>
<th>To</th>
<th>Track</th>
</tr>
</thead>
<tbody>
<tr>
<td>Red</td>
<td>Pierce</td>
<td>Commerce</td>
<td>Both</td>
</tr>
</tbody>
</table>

Work to be Performed:
Power washing roadway and sidewalks during evening and night hours. General Landscape and fountain maintenance during the day.

Equipment on Tracks:
Power washer, hand tools.

Required Resources:

<table>
<thead>
<tr>
<th>Metro Resource</th>
<th>No.</th>
<th>Rate</th>
<th>INITIAL</th>
</tr>
</thead>
<tbody>
<tr>
<td>None</td>
<td></td>
<td>$0.00/h</td>
<td>(\w/)</td>
</tr>
</tbody>
</table>

Power Outage No

\[\)\]

WORK PERMITS ISSUED THAT REQUIRE A POWER OUTAGE CANNOT BEGIN UNTIL POWER DOWN IS COMPLETE, RED TAG ISSUED BY TRACTION POWER PERSONNEL AND TCC NOTIFIED.

THE TRACTION ELECTRIFICATION SYSTEM SHALL BE CONSIDERED ENERGIZED AT ALL TIMES (UNLESS A RED TAG IS ISSUED)!

WORK PERMIT HOLDERS MUST NOTIFY THE TRAIN CONTROL CENTER BY RADIO OR AT (713) 843-5499 PRIOR TO BEGINNING WORK AND, NO LATER THAN TIME SHOWN ABOVE, WHEN WORK HAS BEEN COMPLETED. COMMUNICATE DIRECTLY WITH THE ON-DUTY CONTROLLER.

The receiver of this work permit certifies that all members of the crew are in possession of a valid track safety identification card and will comply with all safety rules and procedures.

Received By: PETTIS MICHAEL

Phone: 7132483335

Track Access meetings are held weekly on Wednesdays, 10:00 am at the Rail Operations Center.
Request for trackway access must be submitted by 5 pm Tuesday, prior to the week of the scheduled work!
This section to be completed by requesting party:

<table>
<thead>
<tr>
<th>Day</th>
<th>Date</th>
<th>Time On/Off</th>
<th>Work Location</th>
<th>Track</th>
<th>Description of Work and Equipment Used</th>
<th>Power Requirements (On/Off)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Sun</td>
<td></td>
<td>/</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Mon</td>
<td></td>
<td>/</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Tue</td>
<td></td>
<td>/</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Wed</td>
<td></td>
<td>/</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Thu</td>
<td></td>
<td>/</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Fri</td>
<td></td>
<td>/</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Sat</td>
<td></td>
<td>/</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Sub-Contractors on Site:  

<table>
<thead>
<tr>
<th>Company Name</th>
<th>Supervisor Name</th>
<th>Phone No</th>
<th>Company Name</th>
<th>Supervisor Name</th>
<th>Phone No</th>
</tr>
</thead>
</table>

Can LRV Enter & Pass Work Limits – YES / NO  
METRO Police Required YES / NO  
City Flagman Required YES / NO  
Will You Be Closer Than 10” of the Nearest OCS Wire – YES / NO  
METRO Flagman Required YES / NO  
Additional Pages Submitted with Request – YES / NO

Special restrictions required on adjacent track:

* Permits are good only for the day (s) stamped.  * Work party MUST notify TCC immediately before entering and immediately upon leaving the Safety Zone.

* All personnel in the Trackway must wear approved safety vests or rainwear and be Safety Certified to perform work in the Safety Zone.

* Requests for Trackway Allocation must be submitted by 5 PM Tuesday prior to the week of the scheduled work.  * 24 Hours Notice required for changes to requests.

Caution: The Overhead Contact System (OCS) is to be considered LIVE and HOT at all times except when working under a Red Tag Allocation / Power OFF

Submit request for METRORail Operations Division areas to: E-mail ee02@ridemetro.org

Violations of Track Access rules can result in suspension and/or up to termination of permit and Track Access.

**** NOTE: All requests to shutdown train service must be made a minimum of (3) weeks in advance. ****
METROAD provides certain personnel services made necessary by work conducted along METROAD and/or within the rail Safety Zone. METRO charges for the services as described below:

Certified Flagger/Rail Operator $27 per hour
Traction Power Maintainer $38.55 per hour (All Traction Power support services require 2 maintainers)
Supervisor $41.31 per hour
MTA Police Officer $36.00 per hour
Bus Bridge $100.06 per hour per Bus Operator

The services necessary for the work requested are determined by METRO based on the Trackway Allocation Request. In the event METRO determines the services of a Certified Flagger/Rail Operator(s), a Traction Power Maintainer(s), a METRO Police Officer(s), a Field Supervisor(s) or Bus Bridge are necessary, the personnel will be assigned by METRO, and work will not be allowed without those services.

The company identified below (Requestor) will be responsible for the payment for the services described above. METRO will prepare and submit an invoice within thirty days of the final date on which the above services are provided. Payment for those services will be due within thirty days after submission of the invoice.

The provision of the above services does not in any way alter the legal rights or responsibilities of the parties. METRO does not warrant, guarantee, insure, indemnify, or in any other way accept responsibility for the acts or failures to act of the entity, company, employees, or agents of the Requestor.

METRO's agreement to provide the necessary personnel support services is based solely on the description of the work as provided in the Trackway Allocation Request. Any omissions or errors in the description of the work, and any damages arising there from, are the sole responsibility of the requestor.

By signing below, the Requestor, through its authorized representative, agrees to the METRO Personnel Utilization Fee Agreement as described above. Through his or her signature, the undersigned affirms that he or she has authority to bind the Requestor to this agreement. NOTE: Failure to cancel personnel support services by 3:00PM the day prior to scheduled work date will result in the Requestor/Contractor being charged 2 hours for the services requested.

Company Name: _______________________________ Phone: _______________________________

Representative Name: __________________________ Email: _______________________________

Representative Signature: ________________________ Billing Address: __________________________

Date: _______________________________
SYSTEM SAFETY ZONE - FROM CURB TO CURB AND FROM CROSSWALK TO CROSSWALK AT INTERSECTIONS
MAIN STREET - CBD
CROSS SECTION LOOKING NORTHEAST

TRACKWAY ALLOCATION PROCEDURE
SYSTEM SAFETY ZONE SECTION FOR MAIN STREET BETWEEN WEST GRAY AND COMMERCE

DATE: 8-10-2003
BY: 
EXHIBIT NO.
**NOTE:** All requests to shutdown rail service must be made a minimum of (3) weeks in advance.

Violations of Track Access Rules can result in suspension and/or termination of Permit and Track Access.

Submit Request for METRO RAIL Operations Division area to:

**E-mail:** e002@metro.ort

**Phone:**

**Fax:**

---

**Trackway Allocation Request (METRO RAIL Operations Division)**

Metro Transit Authority of Harris County

---

**Contract No.**

---

**RFP No.** 402000163
METRO PERSONNEL UTILIZATION FEE AGREEMENT

Metro Rail, a division of Harris County Metropolitan Transit Authority, hereby agrees to provide personnel support services as described below to METRO for a fee of $100.00 per hour for bus operators, $30.00 per hour for support personnel, and $27.00 per hour for certified firefighters. The services provided shall be billed to Metro Rail at the rates listed above and shall be for a maximum of 2 hours per day. The services required shall be provided on a 24-hour basis by qualified personnel designated by METRO. The services provided shall be for the benefit of METRO and its employees and shall be subject to the terms and conditions agreed upon by the parties. The parties agree to the terms and conditions set forth in this agreement and any amendments thereto. This agreement may be terminated by either party upon written notice at any time.
I. **Purpose**

In order to protect personnel and equipment from the hazards of moving trains and energized traction power, to maintain the safe movement of trains through work areas, and to avoid conflict or delays in train operations, access to the METRORail System Safety Zone must be planned and approved by METRORail prior to the performance of any work.

II. **Definitions**

**Daily Track Access Log:** A log utilized by the Control Center to track and document personnel entering and exiting the right of way.

**Employee in Charge (EIC):** The designated person in charge of a work crew who assumes responsibility for the work crew and work being performed at the work site.

**Routine Maintenance:** Preventative Maintenance (PMs) and inspections performed by METRORail personnel within the Safety Zone on a recurring basis.

**Non-Routine Maintenance:** All activities performed in the Safety Zone that do not qualify as routine maintenance.

**Overhead Contact System (OCS):** The system of overhead wires and support structures which supplies electrical power to trains.

**Red Tag:** A tag issued by TES personnel to an EIC or designated individual of a work crew that ensures the power to the OCS has been removed and the OCS has been grounded within a designated area.

**Safety Zone:** The Trackway which may include other areas such as street, shared poles on sidewalks and substations.

**Track Safety Certification Card:** A card issued by METRORail to personnel intending to work within the METRORail Safety Zone certifying that they have successfully completed the METRO Track Safety Certification Class.

**Trackway Access Schedule:** A schedule published weekly indicating authorized construction, maintenance and testing activities for the following week.

**Trackway:** The area within fifteen (15) feet of the centerline of any track on the mainline.

**Train Control Center (TCC):** The facility equipped and staffed to direct and monitor the movement of trains on the rail system.

**Train Order:** A written set of instructions given by TCC governing movement of a specific train.
Trackway Allocation

Work Permit: A written permit issued by the Station Office authorizing approved work activities within the METRORail Safety Zone.

Work Zone: An area of work within defined limits, where movement of rail equipment is governed by the Flagger.

III. Procedure

Anyone requiring access to the Safety Zone for any activity requires approval through the Trackway Allocation Procedure. The Trackway Allocation Request Form must be submitted to the Superintendent, Rail Control (or designee, throughout this document) no later than 5:00 P.M. on Tuesday of the week prior to the commencement of any planned work. The Superintendent, Rail Control may forward copies to Rail Maintenance, Rail Transportation and Safety for further review and comment.

METRORail personnel performing routine or emergency work are not required to obtain a specifically scheduled Track Allocation or a Work Permit, provided Rail Control consents and the appropriate measures for worker protection are in place (e.g., Flagging, Work Zone, Red Tag, other SOPs).

A Trackway Allocation Meeting will be held at a designated time each week with representatives from Rail Control, Rail Maintenance, and the Trackway Allocation requestors. At this meeting, the Superintendent, Rail Control will determine final disposition of each request for the week commencing the following Sunday at 12:01 A.M. In considering what work is approved, the Superintendent will consider the priority of each proposed work as it relates to safety, state of good repair, and competing requests for the same space; the total number of work sites scheduled to run concurrently; and the ability of the system to safely run service around the total number of track closures scheduled concurrently.

Work activities within ten feet of the overhead contact system (OCS) require a Red Tag in addition to a METRORail Work Permit (SOP 003). The Superintendent, Rail Control may also require a Red Tag due to other special conditions or situations (e.g., cranes, areas of heavy construction).

The Superintendent, Rail Control (or his/her designee) will publish via e-mail a Trackway Access Schedule for the following week by the close of business each Friday. Each requesting party, after receiving the weekly schedule, may plan the work per the instructions on the Track Access Schedule.

In the event of an emergency requiring attention to safeguard persons or property or to preserve Rail service, the Controller on duty may permit immediate access to the right-of-way. A Work Permit will not be required to commence the repairs; however, an application for a Work Permit shall be made as soon as practical after the repairs and/or
alterations are initiated. The Controller (or other field personnel so designated by Control) will make the determination and direct the implementation of the appropriate safety measures as related to rail operations (including but not limited to flagger(s), Work Zone, Red Tag, other track allocation requirements, etc.).

Revisions to the approved Trackway Allocation Request Form or weekly Trackway Access Schedule can be authorized by the Superintendent, Rail Control or his/her designee.

All persons working in the METRORail Safety Zone must successfully complete the METRORail Track Safety Course and must have in their possession a METRORail Track Safety Certification Card. Additionally, an approved METRORail Work Permit must be at the work site as well as a METRORail Red Tag if required (SOP 003). The Work Permit will be obtained from either Station Office (located on the first floor at the Rail Operations Center, 1601 W. Bellfort, Houston TX 77054 or, once opened, at the Rail S&I Building at 6200 Harrisburg, Houston, TX 77011). The Work Permit can be obtained up to 24 hours prior to commencing the work.

The Work Permit is valid only for the date and times indicated on the Work Permit. For work scheduled to run multiple days, the Superintendent, Rail Control may specify the Work Permit be issued for a period not to exceed one month. The Work Permit limits and conditions must not be exceeded without authorization from Rail Control.

A certified METRORail Flagger (SOP 222) and/or a City-certified Flagger may be required in work areas that have an impact on vehicular traffic.

The Employee in Charge (EIC) of the work crew must notify Rail Control prior to entering the Trackway and again immediately upon leaving the Trackway (SOP 221).

A copy of the approved Work Permit and/or Red Tag Form must be in the possession of the work party at the work site. Failure to show the Work Permit at the request of METRO personnel may result in removal of the work party from the Trackway.

METRORail reserves the right to cancel or suspend any work at any time if it is determined to be unsafe, if that work may cause damage to the system elements of METRORail, or if necessary to preserve Rail service.

All persons in the Trackway, whether METRO employees or others, shall immediately follow all orders from Rail Control unless doing so would result in injury to personnel or damage to equipment.

Deviations from the scheduling or Work Permit provisions of this SOP may be approved by the Superintendent, Rail Control or on-duty Controller.
**Trackway Allocation**

**IV. Responsibilities**

**A. Employees, Contractors and other maintenance providers**

1. Submit requests for Work Permit(s) as required.
2. Possess a Work Permit for the activities being performed.
3. Obtain authorization from Rail Control prior to entering the METRORail Safety Zone.
4. Assign and identify the EIC to Rail Control (SOP 221).
5. Assure a certified METRORail Flagger is on scene if required.
6. Advise Rail Control of changes in location, equipment in use and other pertinent information required to safeguard the movements of trains in your Work Zone.
7. Inform Rail Control immediately upon clearing the METRORail Safety Zone.

**B. Superintendent, Rail Control (or Designee)**

1. Issue the weekly Trackway Access Schedule.
2. Ensure proper documentation of all revisions to the Trackway Access Schedule.
3. Facilitate the weekly Track Allocation meeting.

**C. Controller**

1. Authorize access to the METRORail Safety Zone.
2. Authorize EIC or Field Supervisor to set up Work Zone if required (SOP 220).
3. Coordinate activities with those performing work to ensure minimal impact on train movement as well as vehicular and pedestrian traffic.
4. Notify trains to resume normal operations once work crew has cleared and Work Zone has been removed.
5. Ensure all maintenance activities are entered into the Work Permit database and close all applicable Work Permits once work has been completed.
6. Permit immediate access to the METRORail Safety Zone in the event of an emergency that threatens life or property.

**D. Field Supervisors and/or Safety personnel**

2. Monitor work areas and check for compliance with METRORail rules and procedures.
Trackway Allocation


E. Station Office Supervisor

1. Verify the work is listed on the Trackway Access Schedule and notify Rail Control once permit has been issued.

2. Obtain authorization from Rail Control prior to issuing a Work Permit(s) to a crew not listed on the Trackway Access Schedule.

3. Verify from the person obtaining the Work Permit that all members of the work crew have a valid Track Safety Certification card.

4. Advise the individual in charge of the work crew of any special instructions and note these instructions on the Work Permit.

5. Complete all applicable fields in the Work Permit database and ensure all required signatures are obtained.

6. Issue Work Permit(s) as appropriate.

7. Place the original signed Work Permit in the Trackway Allocation Logbook.
Trackway Allocation

V. Related SOPs

003  Red Tag Procedure
220  Work Zone with Markers
221  Employee in Charge
222  Flagging

VI. Committee & Approval

<table>
<thead>
<tr>
<th>Committee Member</th>
<th>Initials</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>M. Argaw</td>
<td>MA</td>
<td>01/20/2016</td>
</tr>
<tr>
<td>M. Reaux</td>
<td>MR</td>
<td>01/20/2016</td>
</tr>
<tr>
<td>S. Gatson</td>
<td>SG</td>
<td>01/20/2016</td>
</tr>
<tr>
<td>K. Luebeck</td>
<td>KL</td>
<td>01/20/2016</td>
</tr>
<tr>
<td>A. Dominguez</td>
<td>AD</td>
<td>01/20/2016</td>
</tr>
<tr>
<td>A. Villarreal</td>
<td>AV</td>
<td>01/20/2016</td>
</tr>
<tr>
<td>M. Blanco</td>
<td>MB</td>
<td>01/20/2016</td>
</tr>
<tr>
<td>J. Malcolm</td>
<td>JM</td>
<td>01/20/2016</td>
</tr>
</tbody>
</table>

Approved: [Signature]

Chief Safety Officer, Sean Cagan

Date: 1/25/16

Approved: [Signature]

Sr. Director of Rail Operations, Scott Grogan

Date: 1/29/16