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**August 28, 2014**

**REQUEST FOR PROPOSAL (RFP)**

**REGIONAL MEANS-BASED TRANSIT FARE PRICING STUDY**

NOTICE IS HEREBY GIVEN that the Metropolitan Transportation Commission (MTC) invites your firm to submit a proposal for the Regional Means-Based Transit Fare Pricing Study.

The Request for Proposal (RFP) documents for this project are available for download on the MTC website at <http://procurements.mtc.ca.gov/>. Proposers are responsible for checking the website for any Addenda to this RFP that may be issued. Responses should be submitted in accordance with the instructions set forth in this RFP.

Interested firms must submit an original and six (6) copies, as well as one electronic PDF version, of their proposal by **4:00 p.m., Friday, October 10, 2014**, in accordance with the instructions contained in the RFP. Other key RFP Dates are listed in Section IV, Consultant Selection Timetable, of the RFP.

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Thank you for your interest.

Sincerely,

Steve Heminger  
Executive Director

SH: KM

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# I. MTC, PROJECT PURPOSE AND BACKGROUND

## *A. Description of MTC*

MTC was created by the state Legislature in 1970 (California Government Code § 66500 *et seq.*) to serve as the transportation planning, coordinating and financing agency for the nine-county San Francisco Bay Area.

## *B. Project Purpose*

MTC is conducting the Regional Means-Based Transit Fare Pricing Study in order to answer the following three interrelated questions:

1. Is there a way to make transit more affordable for the Bay Area's low-income residents?
2. How can the region best move towards a more consistent regional standard for fare discount policies?
3. Is there a transit affordability solution that is financially viable and administratively feasible, and does not adversely affect the transit system's service levels and performance?

## *C. Background*

Although MTC as a regional planning and coordinating agency does not determine specific fare policies for individual transit operators, MTC does have statutory authority to promote regional transit fare coordination [See MTC Resolution No. 3866 and California Government Code § 66516] As such, MTC has been involved in identifying potential affordability barriers to transit for low-income riders and promoting solutions through various regional planning and policy initiatives for more than 10 years. These include:

- **Coordinated Public Transit-Human Services Transportation Plan for the San Francisco Bay Area:** MTC's Coordinated Plan cites transit fares, especially distance-based fares for long trips, monthly passes requiring high up-front costs, and certain transfer policies, as being barriers to mobility for some low-income persons. These findings are supported by numerous Community Based Transportation Plans sponsored by MTC throughout the region since 2002. The original Coordinated Plan, adopted in 2007, identified subsidized fares for low-income riders and youth as a regional priority to address affordability barriers. The Coordinated Plan Update, adopted in March 2013, reaffirmed these needs and identified such discounts or subsidies as a regional priority while noting the potentially high costs and implementation barriers for such programs.
- **Lifeline Transportation Program:** Since 2005, MTC's Lifeline Transportation Program has provided funding for over 316 projects that address mobility and accessibility needs in low-income communities throughout the region. After funding several small and targeted fare-discount programs in the First and Second Cycle programs, MTC has available up to \$300,000 in the Third Cycle program to undertake a more comprehensive regional effort toward the development and potential implementation of a regional means-based transit fare discount. The region's Long Range Plan, Plan Bay Area, continues MTC's commitment to the Lifeline Transportation Program.

- **2012 Means-Based Fare Discount Funding Requests:** In 2012, two of the region’s large transit operators, the San Francisco Municipal Transportation Agency (SFMTA) and the Santa Clara Valley Transportation Authority (VTA), as well as the Alameda County Transportation Commission (ACTC), approached MTC with requests to fund fare discount pilot programs targeting youth (in San Francisco and Alameda counties) and low-income adults (in San Jose). Although MTC did not approve these requests for regional funds at the time, MTC reaffirmed its desire to clarify the regional need for such discounts and the potential revenue and ridership impacts through the study approved in the Third Cycle Lifeline Transportation Program. In October 2012, MTC approved youth or low income pilot pass programs as a potential use of Transit Performance Initiative (TPI) Incentive Grant Program funds. SFMTA is using \$1.6 million of these funds for the Free Muni for Youth Pilot Program, a 16-month pilot program that started in March 2013. VTA is using \$1.3 million of these funds for the Low Income Fare Pilot Program, a two-year pilot program. More recently, Google has indicated that it will provide funding to SFMTA to extend its pilot program for an additional two years.
- **Regional Transportation Plan:** The current Regional Transportation Plan, Plan Bay Area, and its predecessor, Transportation 2035 (adopted in 2009), both identify improving affordability of housing and transportation for low-income households as a key regional policy objective. Research included in the Plan Bay Area Equity Analysis Report showed that between 2000 and 2010, the inflation-adjusted cost of the average transit fare paid per trip in the region rose 34% while inflation-adjusted per-capita income fell by 12%. These findings suggest that over the past decade, those who use transit have been paying steadily more to ride even while incomes have fallen in real terms.
- **Transit Sustainability Project:** In 2012, MTC adopted the Transit Sustainability Project (TSP) recommendations, aimed at improving the overall financial stability of the region’s transit system in a constrained funding environment. The financial sustainability of the transit operators is a key part of the context for the regional study of means-based fare policies. Pursuant to MTC Resolution No. 4060, one of the TSP recommendations is related to the uniformity of fare discounts:

**Consider fare policies focused on the customer that improve regional/local connections . . .** Continue to work towards a more consistent regional standard for fare discount policies and minimize transfer penalties so that passengers can choose the most optimal route for their transit trip.

Furthermore, in April 2013, recommendations from a comprehensive operational analysis were amended into the TSP, including implementing two pilot programs that increase the discount for riders transferring between BART and AC Transit. Results of these pilots may inform future regional fare policies.

For additional background, please refer to <http://procurements.mtc.ca.gov/Solicitations/solicitation-list.html>, which includes supporting documentation:

1. *Funding for Low-Income Transit Pass Pilot Programs*, MTC Programming and Allocations Committee (PAC) Agenda Item 3d. May 9, 2012.
2. *Funding Recommendation for Low-Income Transit Pass Pilot Programs*, MTC Programming and Allocation Committee (PAC) Agenda Item 3b. June 13, 2012.
3. *Funding Options for Low-Income Transit Pass Programs*, MTC Programming and Allocations Committee (PAC) Agenda Item 4a. July 11, 2012.
4. *Santa Clara Valley Transportation Authority Low-Income Fare Program Study*, VTA Transit Planning and Operations Committee Agenda Item 11. October 18, 2012.
5. *Student Transit Pass Research Case Studies Summary*, Alameda County Transportation Commission Transportation Expenditure Plan Development Steering Committee Agenda Item 7. August 9, 2011.
6. *Transit Sustainability Project Recommendations*, MTC Resolution No. 4060. May 23, 2012.
7. *Coordinated Public Transit Human Services Transportation Plan*, MTC Resolution No. 4085. March 2013.
8. *Statistical Summary of Bay Area Transit Operators*, MTC. Annual.
9. *Plan Bay Area*, MTC. July 18, 2013. - [http://mtc.ca.gov/planning/plan\\_bay\\_area/](http://mtc.ca.gov/planning/plan_bay_area/)
10. *Final Equity Analysis Report: Including Title VI, Environmental Justice & Equity Analysis for Plan Bay Area*. July 2013.
11. *MTC Transit Passenger Demographic Survey*. 2006.
12. *MTC Transit Passenger Survey*. 2012 to present. - <http://mtcgis.mtc.ca.gov/foswiki/Main/TravelerBehaviorData>
13. *MTC's Transit Coordination Implementation Plan*, MTC Resolution No. 3866, Revised. October 26, 2011.
14. *Translink for Transit Oriented Development: Pilot Project Evaluation and Recommendations for Future Implementation*, MTC. June 2010.

## **II. SCOPE OF WORK, PERIOD OF PERFORMANCE, AND BUDGET**

### ***A. Scope of Work***

The scope of work for the project is provided in *Appendix A, Scope of Work*. The firm selected to enter into a contract (“Consultant”) will be expected to perform all work and analysis necessary to complete the scope of work.

Work under Task 1 through Task 6 will be performed on a firm-fixed-price basis, with payment based on MTC’s receipt of satisfactory deliverables. All work under Task 7 will be assigned pursuant to MTC-initiated task orders, which will include a specific scope of work based on the Task 7 identified in *Appendix A, Scope of Work*. Payment for work performed under task orders may be deliverables-based or time and materials, as determined by the MTC Project Manager. A sample task order form is attached hereto as Attachment A-2, *Task Order Form* to *Appendix D, MTC Standard Consultant Contract*.

### ***B. Period of Performance***

MTC expects the work to commence on or about January 1, 2015, and to be completed no later than August 31, 2015. At MTC's sole option, the contract may be extended for up to three additional years for work related to the *Appendix A, Scope of Work*.

### ***C. Budget***

MTC has budgeted approximately two hundred thousand dollars (\$200,000) to pay for work on Tasks 1 through 6 as detailed under *Appendix A, Scope of Work*. MTC has not yet established a budget for potential Task Orders under Task 7 as detailed in *Appendix A, Scope of Work*.

## **III. PROPOSERS' CONFERENCE AND REQUESTS FOR CLARIFICATION OR EXCEPTIONS**

A Proposers' Conference will be held at 1:00 p.m. on Thursday, September 4, 2014 at the Joseph P. Bort MetroCenter Building, 101 8<sup>th</sup> Street, Oakland, in the 2nd Floor Claremont Conference Room.

Any addenda to this RFP will be posted on MTC's website. All Proposers are responsible for checking the website for any such addenda.

Any requests for clarification of or exceptions to RFP requirements must be received by MTC no later than 4:00 p.m., on Monday, September 8, 2014, to guarantee response or consideration. MTC reserves the right to reject any proposal that contains unauthorized conditions or exceptions.

## **IV. CONSULTANT SELECTION TIMETABLE**

|   |  |
|---|--|
| 1:00 p.m., on Thursday, September 4, 2014                                 | Proposers' Conference, at 101 8 <sup>th</sup> Street, Oakland, CA 94607, 2nd Floor Claremont Conference Room |
| 4:00 p.m., on Monday, September 8, 2014                                   | Closing date/time for receipt of requests for modifications/exceptions                                       |
| No later than three (3) working days prior to the date proposals are due. | Deadline for protesting RFP provisions   |
| <b>4:00 p.m., Friday, October 10, 2014*</b>                               | <b>Closing date/time for receipt of proposals</b>  |
| Week of October 20, 2014*   | Interviews/Discussions (if held)   |
| Week of October 27, 2014*   | Date for receipt of Best and Final Offers (if required)  |
| December 10, 2014*  | MTC Administration Committee Approval  |

*\*Interview, award and approval dates are approximate and are subject to change before or after the closing date of the RFP.*

## V. SUBMITTAL OF PROPOSALS

1. Interested firms must submit an original and six (6) copies, as well as one electronic PDF version, of their proposal by **4:00 p.m., Friday, October 10, 2014. Submission of an electronic copy of the proposal without hard copies will not satisfy the submission requirement.**
2. Proposals are to be addressed as follows:  
Regional Means-Based Transit Fare Pricing Study  
Attention: Kristen Mazur  
101 8<sup>th</sup> Street, 3<sup>rd</sup> Floor Receptionist  
Oakland, CA 94607
3. Proposer's name and return address must also appear on the envelope.
4. Proposals will be received only at the address shown above and **no later than the date and time indicated**. MTC is not responsible for deliveries delayed for any reason. Any proposals received after said date and time or at a place other than the stated address cannot be considered and will be returned to the Proposer unopened.
5. No proposals submitted solely by email and no faxed proposals will be considered.
6. All proposals, whether delivered by an employee of the Proposer, U.S. Postal Service, courier or package delivery service, must be received and time stamped at the stated address **prior to or no later than the time designated**. The timestamp located on the 3<sup>rd</sup> floor at the receptionist desk shall be considered the official timepiece for the purpose of establishing the time of receipt of proposals
7. Proposer agrees and acknowledges all RFP specifications, terms and conditions and indicates ability to perform by submission of a proposal.
8. A signed proposal submitted to MTC in response to this RFP shall constitute a binding offer from Proposer to contract with MTC according to the terms of the proposal for a period of one hundred twenty (120) days after the proposals are due to MTC.
9. A Proposal may be withdrawn at any time before the date and time when Proposals are due by submitting a written request for its withdrawal to the MTC Project Manager.
10. This RFP does not commit MTC to award a contract or to pay any costs incurred by any Proposer in the preparation of a proposal in response to this RFP.
11. Only one proposal will be accepted from any one person, partnership, corporation, or other entity; however, several alternatives may be included in one response.
12. MTC reserves the right to accept or reject all proposals submitted, waive minor irregularities, request additional information, or revisions to offers, and negotiate with any or all proposers.

13. MTC reserves the right in its sole discretion not to enter into any contract as a result of this RFP.
14. If the selected Proposer fails to enter into a contract with MTC in a timely manner as determined by MTC, in accordance with the terms and conditions of this RFP, MTC reserves the right to reject the proposal and enter into a contract with the next highest scoring firm.

## **VI. FORM OF PROPOSAL**

Proposals must be signed in ink and include a statement that the person or persons signing the proposal is/are authorized to authorize and submit the proposal on behalf of the Proposer. Page limits, where specified, are for single-sided print. Proposers are encouraged to print double-sided copies to save paper.

Proposal content and completeness are most important. Clarity is essential and will be considered in assessing the Proposer's capabilities.

Proposers must provide the information listed below. Any material deviation from these requirements may be cause for rejection of the proposal, as determined in MTC's sole discretion.

Each proposal must include the following:

### **A. Transmittal Letter**

Proposals must include a transmittal letter signed by an official authorized to solicit business and enter into contracts for the firm and the name and telephone number of a contact person, if different from the signatory. Indicate whether there are any conflicts of interest, actual or apparent, that would limit the Proposer's ability to provide the requested services and describe the plan for mitigating such conflicts. Acknowledge the receipt of any addendum to this RFP. Indicate that the Proposal is a firm offer to enter into a contract to perform work related to this RFP for a period of one hundred twenty (120) days from the due date for Proposals.

### **B. Title Page**

Proposals must include a title page that includes the RFP subject, the name of the proposer's firm, local address, telephone number, name of contact person, contact person's email address, and the date.

### **C. Table of Contents**

Proposals must include a table of contents that includes a clear identification of the material by section and page number.

### **D. Overview and Summary**

This section should clearly convey the Proposer's understanding of the nature of the work and the general approach to be taken, and identify any specific considerations. It should include, but not be limited to, the following:

1. A discussion of the project's purpose;
2. A summary of proposed approach; and
3. The assumptions made in selecting the approach.

#### E. Work Plan

This section should present a work plan for Task 1 through Task 6 described in *Appendix A, Scope of Work*. The proposed work plan should:

1. Discuss how the Proposer will conduct the identified task, identify deliverables, and propose a schedule. The proposal should discuss the tasks in sufficient detail to demonstrate a clear understanding of the project and component tasks. The proposal may include additional tasks or sub-tasks the Proposer believes necessary to accomplish the project goals. The schedule should show the expected sequence of tasks, subtasks and milestones.
2. Provide a staffing plan for each task. Provide an organizational chart that shows roles and responsibilities of key personnel and reporting structure, including reporting and communication relationships between MTC, Proposer staff, and subcontractors, if any.
3. Describe approach to managing resources and maintaining quality results. Include a description of the role of any subcontractors, their specific responsibilities, and how their work will be supervised to maintain quality results.
4. Identify and explain any problem areas and/or potential obstacles (such as maintaining schedule, budget overruns, feasibility, etc.) to successful completion of the Scope of Work, attached as *Appendix A*. Discuss methods, formal and informal, that you will use to track and resolve these problems/obstacles during the project.

#### F. Qualifications and References

1. Describe proposed team's qualifications specific to the performance of the Scope of Work attached as *Appendix A*. Identify the personnel, including subcontractors' personnel, whose expertise or experience addresses each of the specified needs. Proposers are welcome to identify and provide examples of any other qualifications they feel are critical to the successful completion of the Scope of Work attached as *Appendix A*.
2. Identify key personnel (including subcontractor personnel) and briefly discuss individual qualifications to perform each task. Each key personnel resume should not exceed two pages.
3. Provide a succinct description (one page maximum per project) of any previous projects similar to the services requested, indicating the project title, duration, budget, sponsoring agency and sponsor project manager, and roles played by individuals proposed for this

study. Include the name of the agency for whom the work was performed, year performed, name of the contact person and their telephone number.

4. Provide at least one sample of a written technical report or memo and two samples of material developed for a similar study effort. The samples must have been prepared by key members of the Proposer team and should identify the authors. Only one copy of each sample is required, and the samples will be returned after proposal evaluation, upon request. The samples will be considered in evaluating firm and staff expertise and experience, and written presentation effectiveness.
5. Provide a list of references (including references for subcontractors) and their contact information.
6. Provide a summary of all contracts your firm (including subcontractors) has held with MTC, Metropolitan Transportation Commission Service Authority for Freeways and Expressways (MTC SAFE), Bay Area Toll Authority (BATA), Bay Area Headquarters Authority (BAHA) and Bay Area Infrastructure Financing Authority (BAIFA) in the past three years, including a brief description of the scope of work, the contract amount, and date of execution.

#### G. Cost Proposal

Based on the tasks and staffing plan described in response to E.1 and E.2, listed above, provide a breakdown of the expected expenditures of funds for Task 1 through Task 6 in *Appendix A, Scope of Work*. The budget should include, but is not limited to, a task budget and a line item budget with billing rates for each phase.

1. The task budget should present a breakdown of hours and expenses by task and deliverable in each phase of the project. It should identify or refer to key personnel or job descriptions in relation to each task to provide a full explanation of the resources committed to the project.
2. A line item budget should be submitted for each phase of the project. The line item budget should present a breakdown of costs by cost categories, including billing rates for key personnel and job classifications. The line item budget should be set forth on the Cost and Price Analysis Form attached hereto as *Appendix B* to this RFP. A line item budget should also be submitted for proposed sub-consultants with contracts estimated to exceed \$25,000. *Appendix B* is available in electronic spreadsheet format upon request. The line item budget is requested for evaluation purposes only; payment for Task 1 through Task 6 in *Appendix A, Scope of Work* shall be based on receipt of deliverables satisfactory to MTC.
3. Please include information (date and outcome) on firm's most recent pre-award audit, if applicable.

Provide the fully loaded hourly rate for all personnel who might perform work related to Task 7 in *Appendix A, Scope of work*.

## H. California Levine Act Statement

Submit a signed Levine Act statement (*Appendix C*).

## I. Insurance Provisions

Submit a signed acknowledgement that your firm agrees to provide the required certificates of insurance providing verification of the minimum insurance requirements listed in *Appendix D-1, Insurance Requirements*, within ten (10) days of MTC's notice to firm that it is the successful Proposer.

(See Section VIII.B of this RFP for how to request exceptions to the minimum insurance requirements.)

# VII. PROPOSAL EVALUATION

## *A. Review for General Responsiveness*

The Project Manager, in consultation with the MTC's Office of General Counsel, will conduct an initial review of the proposals for general responsiveness and inclusion of the items requested in Section VI of this RFP. Proposers failing to satisfy the federal Disadvantaged Business Enterprise (DBE) requirements (if applicable), will not be considered responsive. Also, any proposal that does not include enough information to permit the evaluators to rate the proposal in any one of the evaluation factors listed below will be considered non-responsive and will not be evaluated. A proposal that fails to include one or more items requested in the Section VI may be considered responsive, if evaluation in every criterion is possible. MTC reserves the right to request additional information from responsive proposers prior to evaluation.

## *B. Evaluation Panel and Evaluation Criteria*

Responsive proposals will then be evaluated by an evaluation panel of MTC staff, partner agency staff, and representative(s) from MTC's Policy Advisory Council. The evaluation of the proposals shall be within the sole judgment and discretion of the evaluation panel.

All contact during the evaluation phase shall be through the MTC Project Manager only. Proposers shall neither contact nor lobby any evaluation panel members during the evaluation process. Attempts by proposer to contact and/or influence members of the evaluation panel may result in disqualification of proposer.

Responsive proposals shall be evaluated on the basis of the following evaluation factors, which are listed in descending order of importance.

- Approach to carrying out project, including without limitation, allocation of resources;
- Firm and assigned staff expertise and experience in conducting similar types of projects involving all qualifications requested;
- Cost effectiveness and hourly rates; and

- Presentation effectiveness, including the abilities to write, illustrate, and present both qualitative and quantitative information in a clear and illustrative manner. Oral communication skills will be evaluated if interviews or discussions are held.

### ***C. Proposer Discussions***

Following the initial evaluation, the evaluation panel may elect to recommend award to a particular Proposer (with or without interviews), or to enter into discussions with a “short list” of Proposers, consisting of those Proposers reasonably likely, in the opinion of the panel, to be awarded the contract.

The purpose of discussions with a Proposer on the “short list” will be to identify specific deficiencies and weaknesses in its proposal and to provide the Proposer an opportunity to consider possible approaches to alleviating or eliminating them. These deficiencies or weaknesses may include technical issues, management approach, cost, or team composition. Discussions may take place through written correspondence and/or during face-to-face interviews. The Proposer’s project manager, as well as other key personnel identified by the evaluation panel, will be expected to participate in any discussions. A Proposer on the “short list” invited to participate in discussions will be expected to provide a presentation limited to 20 minutes consisting of an overview of its approach to the Project.

### ***D. Request for Best and Final Offer***

Following discussions, if held, proposers on the “short list” will be given the opportunity to revise their written proposals to address the concerns raised during discussions through issuance of Request for Best and Final Offer (BAFO). Following receipt of the BAFOs, the evaluation panel will evaluate the BAFOs against the evaluation criteria.

MTC reserves the right not to convene oral interviews or discussions, and to make an award on the basis of initial proposals. Accordingly, each initial proposal should be submitted on the most favorable terms from a price and a technical viewpoint. References may be contacted at any point in the evaluation process.

The panel will recommend a Consultant to the MTC Executive Director, based on their evaluation of the written proposals or BAFOs and oral interviews or discussions (if held). The Executive Director will review the recommendation and, if he agrees, he will approve the award or forward the recommendation to the appropriate MTC Committee for approval (if required).

## **VIII. GENERAL CONDITIONS**

### ***A. Award***

Any award made will be to the Consultant whose proposal is most advantageous to MTC based on the evaluation criteria defined in Section VII. If the selected firm fails to enter into a contract with MTC in a timely manner as determined by MTC, in accordance with the terms and conditions of this RFP, MTC reserves the right to reject the proposal of the selected firm and enter into a contract with the next highest scoring firm.

## ***B. Contract Arrangements***

MTC Standard Consultant Contract is attached as *Appendix D*. If a proposer wishes to propose a change to any standard MTC contract provision, the provision and the proposed alternative language must be submitted prior to the closing date for receipt of requests for clarifications/exceptions. If no such change is requested, the Proposer will be deemed to accept MTC's standard contract provisions, unless such language is protested in accordance with Section C below.

The selected Consultant will be required to maintain insurance coverage, during the term of the contract, at the levels described in *Appendix D-1, Insurance Requirements*. Proposer agrees to provide the required certificates of insurance providing verification of the minimum insurance requirements in *Appendix D-1*, within ten (10) days of MTC's notice that it is the successful Proposer. Requests to change MTC's insurance requirements should be submitted on or prior to the closing date for receipt of requests for clarifications/exceptions. MTC will review the requests and issue an addendum if material changes requested by a prospective Proposer are acceptable. Objections to MTC determinations on requests to change insurance requirements pursuant to the protest provisions of this RFP must be brought to MTC's attention no later than the deadline for protesting RFP provisions or compliance with all material insurance requirements will be assumed.

The contract resulting from this RFP will be a combination of firm fixed price, with payment based on MTC's receipt of satisfactory deliverables (for Task 1 through Task 6 in *Appendix A, Scope of Work*) and task order (for Task 7 in *Appendix A, Scope of Work*). Task orders may be established on a firm-fixed-price or time-and-materials basis.

## ***C. Selection Disputes***

A Proposer may object to a provision of the RFP on the grounds that it is arbitrary, biased, or unduly restrictive, or to the selection of a particular Consultant on the grounds that MTC procedures, the provisions of the RFP or applicable provisions of federal, state or local law have been violated or inaccurately or inappropriately applied by submitting to the Project Manager a written explanation of the basis for the protest:

1. No later than 4:00 p.m. on the third day prior to the date proposals are due, for objections to RFP provisions; or
2. No later than 4:00 p.m. on the third day after the date the firm is notified that it did not meet the minimum qualifications or was found to be non-responsive; or
3. No later than 4:00 p.m. on the third day after the date on which the firm is notified that it was not selected, or if applicable the date the appropriate committee authorizes award, whichever is later, for objections to consultant selection.

Except with regard to initial determinations of non-responsiveness, the evaluation record shall remain confidential until the MTC Executive Director or appropriate MTC Committee authorizes award.

Protests of recommended awards must clearly and specifically describe the basis for the protest in sufficient detail for the MTC review officer to recommend a resolution to the Executive Director or Section Director, as appropriate.

The MTC Executive Director will respond to the protest in writing, based on the recommendation of a staff review officer. Should a proposer wish to appeal the decision of the MTC Executive Director, it may file a written appeal with MTC, no later than 4:00 p.m. on the third business day after receipt of the written response from the MTC Executive Director. MTC's decision will be the final agency decision.

Authorization to award an agreement to a particular Proposer by MTC shall be deemed conditional until the expiration of the protest period or, if a protest is filed, the issuance of a written response to the protest by the MTC Executive Director or, if the decision of the MTC Executive Director is appealed, the issuance of MTC's decision.

#### ***D. Public Records***

This RFP and any material submitted in response to this RFP are subject to public inspection under the California Public Records Act (Government Code § 6250 *et seq.*), unless exempt by law. Other than proprietary information or other information exempt from disclosure by law, the content of proposals submitted to MTC will be made available for inspection consistent with its policy regarding Public Records Act requests.

If the Proposer believes any proposal content contains trade secrets or other proprietary information that the proposer believes would cause substantial injury to the proposer's competitive position if disclosed, the proposer may request that MTC withhold from disclosure such proprietary materials by marking each page containing proprietary information, including financial information submitted under Section VI of this RFP, as confidential and shall include the following notice at the front of its proposal:

“The data on the following pages of this proposal, including financial information submitted under Section VI of this RFP marked along the right margin with a vertical line, contain technical or financial information which are trade secrets and/or which, if disclosed, would cause substantial injury to the proposer's competitive position. The proposer requests that such data be used for review by MTC only, but understands that exemption from disclosure will be limited by MTC's obligations under the California Public Records Act. If an agreement is awarded to the proposer submitting this proposal, MTC shall have the right to use or disclose the data, unless otherwise provided by law. [List pages].”

Failure to include this notice with relevant page numbers shall render any “confidential/proprietary” markings inadequate. Individual pages shall accordingly not be treated confidentially. **Any language purporting to render the entire proposal confidential or proprietary will be regarded as ineffective and will be disregarded. In addition, the proposer may not designate any required proposal forms or the cost proposal as confidential. Consequently, any language purporting to render any proposal forms or the cost proposal as confidential or proprietary will be regarded as ineffective and will be disregarded.**

In the event properly marked data is requested pursuant to the California Public Records Act, the proposer will be advised of the request. If the Proposal requests that MTC withhold such data from disclosure and MTC complies with the proposer's request, the proposer shall assume all responsibility for any challenges resulting from the non-disclosure; indemnify and defend MTC and hold it harmless from and against all claims, legal proceedings, and resulting damages and costs (including but not limited to attorneys' fees that may be awarded to the party requesting such proposer information); and pay any and all costs and expenses relating to the withholding of the proposer information.

If the Proposer does not mark each page containing proprietary information as confidential, does not include the statement described above at the front of its Proposal, and does not request that MTC withhold information marked as confidential and requested under the California Public Records Act, MTC shall have no obligation to withhold the information from disclosure, and the proposer shall not have a right to make a claim or maintain any legal action against MTC or its commissioners, officers, employees or agents in connection with such disclosure.

#### ***E. Key Personnel***

Key staff persons assigned to the project are expected to remain on the project. Any change in key staff persons of the proposed project team is subject to prior written approval of MTC. Removal of any key staff persons identified in the proposal without written consent of the MTC Project Manager may be considered a material breach of contract.

#### ***F. Conflicts Of Interest***

By submitting a proposal, the Proposer represents and warrants that no commissioner, officer or employee of MTC is in any manner interested directly or indirectly in the proposal or in the contract that may be made under it or in any profits expected to arise therefrom, as set forth in California Government Code Section 1090.

The Proposer further warrants and represents that it presently has no interest and agrees that it will not acquire any interest that would present a conflict of interest under California Government Code Sections 1090 *et seq.* or 87100 *et seq.* during the performance of services under any contract resulting from this RFP and that it will not knowingly employ any person having such an interest. Violation of this provision may result in the contract being deemed void and unenforceable.

Whenever MTC is awarding a contract that involves the rendering of advice, it will consider whether there exists the potential for bias, because of other activities, relationships or contracts of the Proposer, and if so, whether any potential bias can be mitigated acceptably by MTC and the Proposer. After award, the Consultant shall take all reasonable measures to preclude the existence or development of an organizational conflict of interest in connection with work performed under the agreement resulting from this and other MTC solicitations. An organizational conflict of interest occurs when, due to other activities, relationships, or contracts, a firm or person is unable, or potentially unable, to render impartial assistance or advice to MTC; a firm or person's objectivity in performing the contract work is or might be impaired; or a firm or person has an unfair competitive advantage in proposing for award of a contract as a result of information gained in performance of this or some other project.

Proposer shall not engage the services of any subcontractor or independent contractor on any work related to this Agreement if the subcontractor or independent contractor, or any employee

of the subcontractor or independent contractor, has an actual or apparent organizational conflict of interest related to work or services contemplated under this Agreement.

## APPENDIX A, SCOPE OF WORK

The Consultant's role will be to carry out the scope of work described below. The Consultant may modify the scope of work presented below if, based on their professional expertise and knowledge, they can provide an approach that will more effectively address the goals of this project; however, the consultant will identify and explain any modifications to the requested scope. In particular, the Proposer may wish to combine or restructure Task 3 (Develop preliminary means-based fare scenarios and conduct focus groups) and Task 4 (Conduct a qualitative and quantitative evaluation of alternative scenarios and compile findings), so that the development and evaluation of alternative scenarios is a more iterative process.

### I. Project Overview

The purpose of the Regional Means-Based Transit Fare Pricing Phase 1 Study is to develop scenarios for funding and implementing a regional means-based transit fare program or programs in the nine-county Bay Area, and to determine the feasibility of implementing the scenarios. Each of the scenarios must be consistent with the following three overall program objectives:

1. Make transit **more affordable for low-income residents**
2. Move towards a **more consistent regional standard** for fare discount policies
3. Be **financially viable and administratively feasible**, without adversely affecting the transit system's service levels and performance

Key project activities will include identifying potential fare structures and instruments, eligible recipients, overall program costs (including both startup and ongoing administration) and impact on fare revenues, potential funding opportunities, relationships to other existing discounts, institutional issues and options to overcome them, and technical implementation considerations, including integration with the regional Clipper® program.

Depending on concept feasibility, as determined by Tasks 2 through 6, preliminary implementation activities could commence under a Task Order issued for Task 7. Issuance of a Task Order shall be at the discretion of MTC. The intent of this project is to complete a study (Tasks 1-6) and possibly some preliminary implementation work (Task 7), whereas extensive implementation efforts would take place in a subsequent and separate Phase 2.

### II. Tasks

#### Task 1. Develop detailed work scope and schedule

##### **Task 1.1 – Conduct pre-project meeting and develop final work scope and schedule**

The Consultant will conduct a pre-project meeting with MTC staff to review project scope, discuss expectations, and develop a final, detailed work scope, including proposed outreach process, deliverables and project schedule. MTC staff will provide the Consultant with the Technical Advisory Committee (TAC) membership. Throughout the project, MTC staff will be responsible for scheduling TAC meetings and preparing TAC meeting agendas.

**Deliverable #1.1: Final work scope and schedule**

**Task 2. Review existing policies and conditions**

**Task 2.1 – Review existing policies and research**

The Consultant will review, analyze, and compile existing policies and conditions related to transit affordability and means-based discounts, including information on the effectiveness of the programs. Specific subtasks will include, but are not limited to:

- 1) Review and report on existing studies/summaries of transit and transportation affordability issues outside the Bay Area and their applicability to transit and transportation affordability issues inside the Bay Area (see the Background and Project Purpose section of the RFP for a list of background materials).
- 2) Briefly summarize current examples of means-testing implemented and proposed in other policy areas, e.g., healthcare, public utility provision, housing, social services, and how discounts and program administration are funded.
- 3) Review and compile existing fare and fare discount policies for Bay Area transit operators (including federally required as well as discretionary discounts), as well as recent fare studies.
- 4) Review and compile brief summaries and up-to-date data on existing means-based transit fare discount programs or other low-income transit pass programs in North America. Include a review of programs where passes are provided to social service agencies for distribution to low-income clients. Include a review of available data from recent San Francisco Municipal Transportation Agency (SFMTA), Santa Clara Valley Transportation Authority (VTA), and Marin Transit programs for low income youth and adults.
- 5) Review and compile Bay Area census and transit-rider survey data to enable an assessment of low-income populations and their transit use – geographic concentrations, socioeconomic characteristics, number of individuals/households, frequency of use, trip length, trip destination, and other data deemed relevant. As part of MTC’s Transit Passenger Survey Project, which began in 2012, MTC has updated transit passenger survey data available for approximately 13 of the region’s transit operators. This will be made available to the consultant. An additional three operators will be surveyed in Fall 2014. For those transit operators who have not yet been surveyed as part of the Transit Passenger Survey Project by the time the consultant begins work on this task, MTC will provide survey data from MTC’s 2006 Transit Passenger Demographic Survey. The consultant should supplement MTC’s 2006 survey data with more recent transit operators’ on-board survey data, to the extent that it is available.
- 6) To the extent possible, obtain information from each of the nine (9) Bay Area county social services/human services agencies on recent annual funding for low-income client transportation and how those programs are administered and utilized. In addition, for other agencies and organizations with readily available data (e.g. schools and other organizations

that subsidize transit), collect data on funding levels for low-income client transportation and how those programs are administered and utilized.

For this task, make use of but do not duplicate work done recently by MTC and several Bay Area transit operators on low-income or youth transit pass programs. (See the Background and Project Purpose section of the RFP for a list of background material.)

**Task 2.2 – Meet with MTC staff and TAC to discuss existing conditions and implications for developing scenarios**

The Consultant will meet with MTC staff and the TAC to review existing policies and conditions and discuss implications for developing scenarios under Task 3.

**Task 2.3 – Present study overview and objectives to the Commission (or Committee)**

The Consultant will present to the Commission (or Committee) an overview of the study to date, including the existing policies and conditions and objectives of the study.

**Deliverable #2.1a:** Memorandum summarizing existing policies and conditions, including key data and issues identified, and relevant findings (draft and final)

**Deliverable #2.1b:** Census, transit rider survey data, and funding data compiled and organized in a comprehensive database or excel spreadsheet

**Deliverable #2.2:** Presentation materials for TAC meeting (prior to meeting), and meeting notes and summary of feedback (after meeting)

**Deliverable #2.3:** Presentation for Commission (or Committee) meeting (prior to meeting), and meeting notes and summary of feedback (after meeting)

**Task 3. Develop preliminary means-based fare scenarios and conduct focus groups**

**Task 3.1 – Develop preliminary means-based fare scenarios**

The Consultant will develop preliminary means-based transit fare scenarios applicable to the Bay Area. Specific subtasks will include but are not limited to:

- 1) Using demographic data from Task 2, identify potential user/market groups, such as youth, adults, etc., by county, etc.
- 2) Develop 4-5 alternative means-based fare scenarios that address the existing conditions identified in Task 2 and are consistent with the three overall program objectives identified in Section I, Project Overview, including:
  1. Make transit **more affordable for low-income residents**
  2. Move towards a **more consistent regional standard** for fare discount policies

3. Be **financially viable and administratively feasible**, without adversely affecting the transit system's service levels and performance

The Consultant will conduct preliminary analysis sufficient to inform the discussion with stakeholders and confirm the financial viability of the scenarios. The scenarios should encompass a range of possible policy tools (e.g., flat region-wide discount, changes to individual policies, new intra- and inter-agency transfer policies).

- 3) For each alternative, outline the general contours of the scenario. The information included for each of the scenarios will be:
  - Definition of target population
  - Size of target population and geographic location
  - What is being proposed in terms of a discount or pass or other policy tool
  - Administrative structure, with attention to program administration costs and distribution of fare media, including which entities are best suited to verify eligibility and how this will be accomplished
  - Functional or technical considerations for Clipper® use. Scenarios must be consistent with MTC's Clipper® Implementation Requirements, particularly the policy that Clipper®'s primary market is frequent transit riders (i.e., commuters and transit passholders), and the requirement that operators shall not establish other fare payment systems or fare policies that could deter or discourage these patrons' preference to use Clipper® (see MTC Resolution No. 3866, Revised, Appendix B-3, for a full list of Clipper® Implementation Requirements).
- 4) If alternatives are identified that affect other types of fares or fare discounts (i.e., in order to fund a new discount program), identify how these alternatives would be structured as well as potential impacts on other affected user groups.

### **Task 3.2 – Conduct Focus Groups**

The Consultant will conduct 2 to 3 user or community focus groups to provide feedback on concepts and incorporate into scenarios. The consultant may propose that the focus groups be conducted as part of a different task or tasks. At least one of the focus groups should include social service case workers or other staff who can advise on the administrative burden/ease of any alternatives. In consultation with MTC staff, the Consultant will identify the focus group membership, and schedule and conduct the focus groups.

### **Task 3.3 – Meet with MTC staff and TAC to review draft alternatives and seek feedback**

The Consultant will meet with MTC staff and the TAC to review draft alternatives and seek feedback prior to finalizing alternatives.

**Deliverable #3.1:** Draft memorandum summarizing alternative fare scenarios for evaluation

**Deliverable #3.2:** Identification of focus group membership, presentation materials for focus groups (prior to meeting), and meeting notes and summary of outcomes (after meeting)

**Deliverable #3.3:** TAC Meeting notes and final memorandum summarizing alternative fare scenarios

**Task 4. Conduct a qualitative and quantitative evaluation of alternative scenarios and compile findings**

**Task 4.1 – Conduct a qualitative and quantitative evaluation of the alternative scenarios**

The Consultant will conduct a qualitative and quantitative evaluation of the alternative means-based transit fare scenarios identified in Task 3 as meriting further analysis.

Each scenario should be evaluated against the three overall program objectives, including the following:

1. The degree to which the scenario makes transit more affordable for low-income residents
2. The degree to which the scenario moves toward a more consistent regional standard for fare discount policies
3. The degree to which the scenario is financially viable and administratively feasible, without adversely affecting the transit system's service levels and performance. The detailed financial analysis for each scenario shall include the following:
  - Total cost (including start-up, ongoing administration, costs to adapt the existing Clipper® card technology and/or implement with the next-generation Clipper® system, etc.) and any additional resource needs
  - Revenue impacts
  - Potential revenue offsets or other funding mechanisms

The evaluation should include a baseline (i.e., No Project) that reflects future anticipated costs/revenues by operator assuming current fare policies based on 10-year projections. This data is available in the transit operators' Short Range Transit Plans (SRTPs) and in Plan Bay Area.

The evaluation should also consider whether the three overall program objectives could be better met by services or programs other than new fixed route discounts (for example, changes to transfer policies, vouchers for other transportation services, etc.).

**Task 4.2 – Meet with MTC staff, TAC and an advisory group to review qualitative and quantitative evaluation**

The Consultant will review the qualitative and quantitative evaluation with MTC staff, the TAC, and the Partnership Technical Advisory Committee and incorporate their feedback into the evaluation.

Based on recommendations from the TAC, it will be decided which scenario(s) are recommended for further consideration. For the recommended scenario(s), the consultant shall prepare additional information as described in Task 4.3 (e.g., an Action Plan, recommendations for implementation).

**Task 4.3 – Compile evaluation findings and prepare additional information for recommended scenario(s)**

The Consultant will compile qualitative and quantitative evaluation results and stakeholder feedback into a summary with key findings, results, and recommendations for consideration in development and implementation of a regional program or programs. Include an Action Plan that identifies the steps needed to implement the recommended scenarios, such as approvals required, legal requirements (e.g., Title VI, other), steps/timeline for obtaining funding if necessary, phase-in plan if appropriate, etc. Identify how the regional program or programs could be implemented including whether there would be benefits to conducting pilot programs or other sub-regional programs as initial steps, and, if so, identify preliminary parameters for those pilot or sub-regional programs.

Consultant will prepare recommendations and compile evaluation findings in consultation with MTC staff.

**Deliverable #4.1:** Qualitative and quantitative evaluation of alternative scenarios for discussion with TAC and advisory groups

**Deliverable #4.2:** Presentation materials for TAC and advisory group meetings (prior to meeting), and meeting notes and summary of feedback (after meeting)

**Deliverable #4.3:** Memorandum that summarizes key findings, evaluation results and recommendations, and includes an Action Plan

**Task 5. Prepare Draft Report**

The Consultant will draft a report that summarizes Tasks 2-4, highlights key findings and recommendations, and presents the most promising policy options (in terms of meeting the three stated program objectives) for consideration, including a clear discussion of the potential trade-offs.

Meet with MTC staff to review draft report. Meet with the TAC to review draft report and solicit input on recommendations.

Present draft results to Commission or Committee, including TAC feedback.

**Deliverable #5.1:** Draft report (one electronic copy of Word/Excel file(s) for review)

**Deliverable #5.2:** Presentation materials for TAC (prior to meeting)

**Deliverable #5.3:** Presentation for Commission or Committee meeting

**Deliverable #5.4:** Memorandum summarizing all comments received from the TAC and stakeholders

**Task 6. Prepare Final Report**

The Consultant will meet with MTC staff and incorporate the input and comments received in Task 5 into a final report.

**Deliverable #6.1:** Final report (6 hard copies and 1 PDF copy with Word/Excel backup)

**Task 7. Additional support related to implementation and/or non-fixed route alternatives**

Based on the feasibility of the means-based fare scenarios (the results of Tasks 2 through 6), at MTC's discretion the Consultant will provide additional analysis as requested. Potential tasks could include but are not limited to the following:

- Transitional support for the implementation of an alternative scenario (if one is selected) and ultimate transition to a regional means-based transit fare;
- Support for and evaluation of pilot effort(s);
- Further development and implementation support/evaluation of non-fixed route alternatives; and/or
- Support for Title VI analysis, if needed.

All required services will be authorized by Task Order, initiated and developed according to the Task Order Process described in Attachment A-1, of Appendix D, MTC Standard Consultant Contract. Task Orders will include, at a minimum, a detailed description of the work to be performed, a completion date for performance, a maximum payment amount, payment terms (deliverables-based or time and materials) and subconsultant participation (if any), in a completed form as shown in Attachment A-2, Task Order Form, Appendix D, MTC Standard Consultant Contract, attached hereto and incorporated herein by this reference.

**Deliverable #7:** *Task Order Progress Reports* on any Task Orders are required biweekly after issuance of the Task Order until the Task Order is completed.

## APPENDIX B, COST AND PRICE ANALYSIS FORM<sup>1</sup>

| COST AND PRICE ANALYSIS - RESEARCH AND DEVELOPMENT CONTRACTS  |                 |                           |                                |  |
|---|-----------------|---------------------------|--------------------------------|--|
| This form is to be used in lieu of FAA Form 3515 as provided under FAPR 2-16.260-2, it will be executed and submitted with proposals in response to "Requests for Proposals", for procurement of research and development services. If your cost accounting system does not permit analysis of costs as required, contact the purchasing office for further instructions. |                 |                           | PURCHASE REQUEST NUMBER        |  |
| NAME AND ADDRESS OF OFFERER   |                 | TITLE OF PROJECT          |                                |  |
| DETAIL DESCRIPTION  | ESTIMATED HOURS | RATE/HOUR                 | TOTAL ESTIMATED COST (Dollars) |  |
| 1. DIRECT LABOR (Specify)   |                 |                           |                                |  |
|   |                 |                           |                                |  |
|   |                 |                           |                                |  |
|   |                 |                           |                                |  |
|   |                 |                           |                                |  |
|   |                 |                           |                                |  |
|   |                 |                           |                                |  |
|   |                 |                           |                                |  |
| TOTAL DIRECT LABOR  |                 |                           |                                |  |
| 2. BURDEN (Overhead-specify) Dept. or Cost Center   | Burden Rate     | X BASE                    | BURDEN (\$)                    |  |
|   |                 |                           |                                |  |
|   |                 |                           |                                |  |
|   |                 |                           |                                |  |
| TOTAL BURDEN  |                 |                           |                                |  |
| 3. DIRECT MATERIAL  |                 |                           |                                |  |
|   |                 |                           |                                |  |
|   |                 |                           |                                |  |
| TOTAL MATERIAL  |                 |                           |                                |  |
| 4. SPECIAL TESTING (Including field work at Government installations)   |                 |                           |                                |  |
|   |                 |                           |                                |  |
|   |                 |                           |                                |  |
|   |                 |                           |                                |  |
| TOTAL SPECIAL TESTING   |                 |                           |                                |  |
| 5. SPECIAL EQUIPMENT (If direct charge - specify in Exhibit B on reverse)   |                 |                           |                                |  |
| 6. TRAVEL (If direct charge)  |                 |                           |                                |  |
| a. TRANSPORTATION   |                 |                           |                                |  |
| b. PER DIEM OR SUBSISTENCE  |                 |                           |                                |  |
| TOTAL TRAVEL  |                 |                           |                                |  |
| 7. CONSULTANTS (Identify - purpose - rate)  |                 |                           |                                |  |
|   |                 |                           |                                |  |
|   |                 |                           |                                |  |
| TOTAL CONSULTANTS   |                 |                           |                                |  |
| 8. SUBCONTRACTORS (Specify in Exhibit A on reverse)   |                 |                           |                                |  |
| 9. OTHER DIRECT COSTS (Specify in Exhibit B on reverse - explain royalty costs, if any)   |                 |                           |                                |  |
| 10. TOTAL DIRECT COST AND BURDEN  |                 |                           |                                |  |
| 11. GENERAL AND ADMINISTRATIVE EXPENSE (Rate % of item nos.)  |                 |                           |                                |  |
| 12. TOTAL ESTIMATED COST  |                 |                           |                                |  |
| 13. FIXED FEE OR PROFIT (State basis for amount in proposal)  |                 |                           |                                |  |
| 14. TOTAL ESTIMATED COST AND FIXED FEE OR PROFIT  |                 |                           |                                |  |
| 15. OVERHEAD RATE AND GENERAL AND ADMINISTRATIVE RATE INFORMATION   |                 |                           |                                |  |
| A. GOVERNMENT AUDIT PERFORMED   | DATE OF AUDIT   | ACCOUNTING PERIOD COVERED |                                |  |

<sup>1</sup> This document is available as an Excel spreadsheet by email upon request to Project Manager.



**APPENDIX C, CALIFORNIA LEVINE ACT STATEMENT**

California Government Code § 84308, commonly referred to as the “Levine Act,” precludes an officer of a local government agency from participating in the award of a contract if he or she receives any political contributions totaling more than \$250 in the 12 months preceding the pendency of the contract award, and for three months following the final decision, from the person or company awarded the contract. This prohibition applies to contributions to the officer, or received by the officer on behalf of any other officer, or on behalf of any candidate for office or on behalf of any committee.

MTC’s commissioners include:

|                     |                   |                     |
|---------------------|-------------------|---------------------|
| Alicia C. Aguirre   | Federal D. Glover | Joe Pirzynski       |
| Tom Azumbrado       | Scott Haggerty    | Jean Quan           |
| Tom Bates           | Anne W. Halsted   | Bijan Sartipi       |
| David Campos        | Steve Kinsey      | James P. Spering    |
| Dave Cortese        | Sam Liccardo      | Adrienne J. Tissier |
| Bill Dodd           | Mark Luce         | Scott Wiener        |
| Dorene M. Giacopini | Jake Mackenzie    | Amy Rein Worth      |

1. Have you or your company, or any agent on behalf of you or your company, made any political contributions of more than \$250 to any MTC commissioner in the 12 months preceding the date of the issuance of this request for qualifications?

YES  NO

If yes, please identify the commissioner: \_\_\_\_\_

2. Do you or your company, or any agency on behalf of you or your company, anticipate or plan to make any political contributions of more than \$250 to any MTC commissioners in the three months following the award of the contract?

YES  NO

If yes, please identify the commissioner: \_\_\_\_\_

Answering yes to either of the two questions above does not preclude MTC from awarding a contract to your firm. It does, however, preclude the identified commissioner(s) from participating in the contract award process for this contract.

\_\_\_\_\_  
DATE

\_\_\_\_\_  
(SIGNATURE OF AUTHORIZED OFFICIAL)

\_\_\_\_\_  
(TYPE OR WRITE APPROPRIATE NAME, TITLE)

\_\_\_\_\_  
(TYPE OR WRITE NAME OF COMPANY)

## APPENDIX D, MTC STANDARD CONSULTANT CONTRACT

### PROFESSIONAL SERVICES AGREEMENT

Between METROPOLITAN TRANSPORTATION COMMISSION

And **INSERT NAME OF CONSULTANT**

For REGIONAL MEANS-BASED TRANSIT FARE PRICING STUDY

THIS AGREEMENT is made and entered into as of the **xx** day of **Month**, 2014, by and between the Metropolitan Transportation Commission (herein called "MTC "), a regional transportation planning agency established pursuant to California Government Code § 66500 and **INSERT NAME OF CONSULTANT**, (herein called "CONSULTANT"), a **PICK ONE OF THE FOLLOWING:** partnership, \_\_\_\_\_[state of incorporation] corporation/ nonprofit corporation/joint venture organized under the laws of the State of \_\_\_\_\_.

### RECITALS

WHEREAS, MTC intends to conduct a Regional Means-Based Transit Fare Pricing Study (herein called "the Project"); and

WHEREAS, the services required for the Project cannot be performed satisfactorily by the officers and employees of MTC; and

WHEREAS, the parties hereto now wish to enter into an agreement (the "Agreement") pursuant to which CONSULTANT will render professional services in connection with the Project as hereinafter provided.

NOW, THEREFORE, the parties hereto agree as follows:

#### 1. SCOPE OF SERVICES

CONSULTANT's services are described in Attachment A, Scope of Work, attached hereto and incorporated herein by this reference. CONSULTANT agrees to perform or secure the performance of all specified services within the maximum payment specified in Article 3, subject to the prior written approval of a work plan by Kristen Mazur, (herein called "MTC Project Manager"). As MTC Project Manager, Kristen Mazur is responsible for communication with CONSULTANT and the administration of this Agreement. MTC'S Executive Director or designated representative may substitute a new MTC Project Manager by written notice to CONSULTANT.

A general description of the tasks for Task Order related work to be required of CONSULTANT is included in this Agreement under Task 7 of Attachment A, Scope of Work,

attached hereto and incorporated herein by this reference. All required services for Task 7 shall be authorized by Task Order. All services described in a duly executed Task Order are hereby incorporated into the Agreement upon their execution. All Task Orders shall be developed according to the process established in Attachment A-1, Task Order Process, attached hereto and incorporated herein, and should include, at a minimum, a completed form as shown in Attachment A-2, Task Order Form.

CONSULTANT's point of contact and the individual authorized to communicate to MTC on behalf of CONSULTANT is **INSERT NAME OF CONSULTANT's PM** ("CONSULTANT Project Manager"). A change in the CONSULTANT Project Manager requires MTC written approval.

In the performance of its services, CONSULTANT represents that it has and will exercise the degree of professional care, skill, efficiency, and judgment of consultants with special expertise in providing such services, and CONSULTANT represents that it carries and will maintain all applicable licenses, certificates, and registrations needed for the work in current and good standing.

### 1.1 PROGRESS REPORTS

CONSULTANT shall provide MTC with monthly progress reports according to the schedule and form approved by the MTC Project Manager.

### 2. PERIOD OF PERFORMANCE

CONSULTANT's services hereunder shall commence on or after \_\_\_\_\_, 2014, and shall be completed no later than August 31, 2015, unless extended by duly executed amendment or earlier terminated, as hereinafter provided. CONSULTANT's services shall be performed in accordance with the schedule included in Attachment B, Project Schedule, attached hereto and incorporated herein by this reference. **CONSULTANT's services for Task 7 shall be performed in accordance with the schedule included in each signed Task Order.**

### 3. COMPENSATION AND METHOD OF PAYMENT

Subject to duly executed amendments, MTC will pay CONSULTANT for its services as described in Attachment A and in duly executed Task Orders a total amount, including (as applicable) labor, supervision, applicable surcharges such as taxes, insurance, and fringe benefits, indirect costs, overhead, profit, subcontractors costs (including mark-up), travel, equipment, materials and supplies, expenses and any fixed fee, **SPELL OUT AMOUNT IN WHOLE DOLLARS (\$ \_\_\_\_\_)** ("Maximum Payment"). MTC shall make payments to

CONSULTANT in accordance with the provisions described in Attachment C, Compensation and Method of Payment, attached hereto and incorporated herein by this reference.

All invoices shall be made in writing and delivered or mailed to MTC as follows:

Attention: Accounting Section  
Metropolitan Transportation Commission  
Joseph P. Bort MetroCenter  
101 - 8th Street  
Oakland, CA 94607-4700

Payment shall be made by MTC within thirty (30) days of receipt of an acceptable invoice, approved by the Project Manager or a designated representative.

#### 4. KEY PERSONNEL

The key personnel to be assigned to this work by CONSULTANT and, if applicable, their hourly rates and the estimated hours to be supplied by each are set forth in Attachment D, Key Personnel, attached hereto and incorporated herein by this reference. Substitution of any of the personnel named in Attachment D or a decrease in the hours provided to the project by such personnel of more than 10% requires the prior written approval of the Project Manager or a designee. CONSULTANT shall maintain records documenting compliance with this Article, which shall be subject to the audit requirements of Article 15. CONSULTANT agrees that all personnel assigned to this work will be professionally qualified for the assignment to be undertaken. MTC reserves the right to direct removal of any individual, including key personnel, assigned to this work.

#### 5. AMENDMENTS

MTC reserves the right to request changes in the services to be performed by CONSULTANT. All such changes shall be incorporated in written amendments, which shall specify the changes in work performed and any adjustments in compensation and schedule. All amendments shall be executed by the Executive Director or a designated representative and CONSULTANT and specifically identified as amendments to the Agreement. The MTC Project Manager is not a designated representative, for purposes of approving an amendment.

#### 6. TERMINATION

A. Termination for Convenience. MTC may terminate this Agreement for convenience, in whole or in part, at any time by written notice to CONSULTANT. Upon receipt of notice of termination, CONSULTANT shall stop work under this Agreement immediately, to the extent

provided in the notice of termination, and shall promptly submit its termination claim to MTC. CONSULTANT shall be reimbursed for costs incurred for incomplete deliverables up to the time of termination and a reasonable profit not to exceed \_\_%, plus reasonable termination costs, not to exceed the amount payable for such deliverables. For terminated deliverables-based Task Orders, CONSULTANT shall be reimbursed for costs incurred for incomplete deliverables up to the time of termination and a reasonable profit not to exceed \_\_%, plus reasonable termination costs, not to exceed the amount payable for such deliverables. For terminated time-and-materials Task Orders, CONSULTANT shall be paid for hours worked, plus authorized expenses and reasonable termination costs, not to exceed the maximum amount payable under the terminated Task Order. If CONSULTANT has any property in its possession belonging to MTC, CONSULTANT will account for the same, and dispose of it in the manner MTC directs. Except as provided above, MTC shall not in any manner be liable for CONSULTANT's actual or projected lost profits had CONSULTANT completed the services required by this Agreement.

B. Termination for Default. If CONSULTANT does not deliver the work products specified in this Agreement in accordance with the delivery schedule or fails to perform in the manner called for in the Agreement, or if CONSULTANT fails to comply with any other material provision of the Agreement, MTC may terminate this Agreement for default. Termination shall be effected by serving a fifteen (15) day advance written notice of termination on CONSULTANT, setting forth the manner in which CONSULTANT is in default. If CONSULTANT does not cure the breach or describe to MTC's satisfaction a plan for curing the breach within the fifteen (15) day period, MTC may terminate the Agreement for default. In the event of such termination for default, CONSULTANT will be entitled to be reimbursed only for work performed in full compliance with the contract requirements as follows: CONSULTANT shall be reimbursed for costs incurred for incomplete deliverables up to the time of termination, not to exceed the amount payable for such deliverables. For terminated deliverables-based Task Orders, CONSULTANT shall be reimbursed for costs incurred for incomplete deliverables up to the time of termination, not to exceed the amount payable for such deliverables. For terminated time-and-materials Task Orders, CONSULTANT shall be paid for hours worked, plus authorized expenses, not to exceed the maximum payable under the terminated Task Order. Such reimbursement will be offset by any costs incurred by MTC to complete work required under the Agreement. In no event shall MTC be required to reimburse CONSULTANT for any costs incurred for work causing or contributing to the default. If CONSULTANT has any property in its possession belonging to MTC, CONSULTANT will account for the same, and dispose of it in the manner MTC directs. MTC shall not in any manner be liable for the CONSULTANT's actual or projected lost profits had the CONSULTANT completed the services required by this Agreement.

C. If it is determined by MTC that CONSULTANT's failure to perform resulted from unforeseeable causes beyond the control of CONSULTANT, such as a strike, fire, flood, earthquake or other event that is not the fault of, or is beyond the control of CONSULTANT, MTC, after setting up a new delivery or performance schedule, may allow CONSULTANT to continue work, or treat the termination as a termination for convenience.

#### 7. INSURANCE AND FINANCIAL SECURITY REQUIREMENTS

CONSULTANT shall, at its own expense, obtain and maintain in effect at all times during the life of this Agreement the types of insurance and financial security listed in Attachment E, Insurance and Financial Security (Bond) Provisions, attached hereto and incorporated herein, against claims, damages and losses due to injuries to persons or damage to property or other losses that may arise in connection with the performance of work under this Agreement. All insurance must be placed with insurers with a Best's rating of A-VIII or better.

#### 8. INDEPENDENT CONTRACTOR

CONSULTANT is an independent contractor and not an employee or agent of MTC and has no authority to contract or enter into any agreement in the name of MTC. CONSULTANT has, and hereby retains, full control over the employment, direction, compensation and discharge of all persons employed by CONSULTANT who are assisting in the performance of services under this Agreement. CONSULTANT shall be fully responsible for all matters relating to the payment of its employees, including compliance with social security, withholding tax and all other laws and regulations governing such matters. CONSULTANT shall be responsible for its own acts and those of its agents and employees during the term of this Agreement.

#### 9. INDEMNIFICATION

To the maximum extent permitted by law, CONSULTANT shall indemnify, keep and hold harmless MTC and those entities (if any) identified as additional insureds in Attachment E, Insurance and Financial Security (Bond) Provisions, and their commissioners, directors, officers, agents, and employees ("MTC Indemnified Parties") against any and all demands, claims, suits or actions arising out of any of the following:

A. Any injury or death to persons or property or pecuniary, financial or economic losses that may occur, or that may be alleged to have occurred, arising from the performance of this Agreement by CONSULTANT caused by any breach of the Agreement or negligent act or omission or willful misconduct of the CONSULTANT or its officers, employees, subconsultants or agents; or

B. Any allegation that materials or services provided by CONSULTANT under this Agreement infringe or violate any copyright, trademark, patent, trade secret, or any other intellectual-property or proprietary right of any third party.

CONSULTANT further agrees to defend any and all such claims, actions, suits or other legal proceedings and pay all charges of attorneys and all other costs and expenses of defenses as they are incurred. If any judgment is rendered against any of the MTC Indemnified Parties, CONSULTANT shall, at its expense, satisfy and discharge the same.

The provisions set forth in this Article are intended to be applied to the fullest extent allowed under the law and, if any portion of it is found to be void or unenforceable, the remainder is to be severable and enforceable. This indemnification shall survive termination or expiration of this Agreement.

#### 10. DATA TO BE FURNISHED BY MTC

All data, reports, surveys, studies, drawings, software (object or source code), electronic databases, and any other information, documents or materials (“MTC Data”) made available to CONSULTANT by MTC for use by CONSULTANT in the performance of its services under this Agreement shall remain the property of MTC and shall be returned to MTC at the completion or termination of this Agreement. No license to such MTC Data, outside of the Scope of Work of the Project, is conferred or implied by CONSULTANT’s use or possession of such MTC Data. Any updates, revisions, additions or enhancements to such MTC Data made by CONSULTANT in the context of the Project shall be the property of MTC and subject to the provisions of Article 11.

10.1 NOT USED

10.2 NOT USED

#### 11. OWNERSHIP OF WORK PRODUCTS

All drawings, designs, specifications, manuals, reports, studies, surveys, models, software, source code and source code documentation, documentation or system architecture and any other documents, materials, data and products (“Work Products”) prepared or assembled and furnished to MTC by CONSULTANT or its subconsultants pursuant to this Agreement shall be and are the property of MTC. MTC shall be entitled to copies and access to these materials during the progress of the work. Any such materials remaining in the hands of the CONSULTANT or in the hands of any subconsultant upon completion or termination of the work shall be immediately delivered to MTC. CONSULTANT hereby assigns to MTC ownership of any and all rights, title and interest in and to such Work Products, including ownership of any copyright, patent,

trademark, trade secret, or other intellectual property or proprietary rights in the Work Product. CONSULTANT also agrees to execute all papers necessary for MTC to perfect its ownership of the rights in the Work Product. Notwithstanding the above, "Work Products" are not intended nor shall they be construed to include CONSULTANT'S pre-existing intellectual property secured, developed, written, or produced by CONSULTANT prior to the execution of this Agreement or developed concurrently with this Agreement but not specifically for this Agreement; CONSULTANT shall retain all right, title and interest in any such pre-existing intellectual property.

CONSULTANT shall be responsible for the preservation of any and all such Work Products prior to transmittal to MTC, and CONSULTANT shall replace any such Work Products as are lost, destroyed, or damaged while in its possession without additional cost to MTC.

CONSULTANT represents and warrants that all materials prepared under this Agreement are original or developed from materials in the public domain (or both) and that all materials prepared under and services provided under this Agreement do not infringe or violate any copyright, trademark, patent, trade secret, or other intellectual-property or proprietary right of any third party.

## 12. SUBCONTRACTS

A. Subconsultants approved by MTC for subcontract work under this Agreement are listed in Attachment G, Subconsultant List, attached hereto and incorporated herein by this reference. Any subconsultants must be engaged under written contract with the CONSULTANT with provisions allowing the CONSULTANT to comply with all requirements of this Agreement, including without limitation Article 11, OWNERSHIP OF WORK PRODUCTS. Failure of a subconsultant to provide insurance in accordance with Article 7, INSURANCE REQUIREMENTS, shall be at the risk of CONSULTANT.

B. Nothing contained in this Agreement or otherwise, shall create any contractual relation between MTC and any subcontractors, and no subcontract shall relieve CONSULTANT of his/her responsibilities and obligations hereunder. CONSULTANT agrees to be as fully responsible to MTC for the acts and omissions of its subcontractors and of persons either directly or indirectly employed by any of them as it is for the acts and omissions of persons directly employed by CONSULTANT. CONSULTANT's obligation to pay its subcontractors is an independent obligation from MTC's obligation to make payments to CONSULTANT.

C. Any substitution of subcontractors listed in Attachment G must be approved in writing by MTC's Project Manager in advance of assigning work to a substitute subcontractor.

D. Applicable provisions of this Agreement shall be included in any subcontract or subconsultant agreement in excess of \$25,000 entered into under of this Agreement.

### 13. ASSIGNMENT OF AGREEMENT

CONSULTANT shall not assign this Agreement, or any part thereof without prior express written consent of the Project Manager or a designated representative, and any attempt thereat shall be void and unenforceable.

### 14. RECORDS

CONSULTANT agrees to establish and maintain an accounting system conforming to Generally Accepted Accounting Principles (GAAP) that is adequate to accumulate and segregate reasonable, allowable, and allocable project costs. CONSULTANT further agrees to keep all records pertaining to the project being funded for audit purposes for a minimum of four (4) years following the fiscal year of last expenditure under the Agreement; or until completion of any litigation, claim or audit, whichever is longer. Any conflicting language regarding retention of records contained in Attachment H, Federally-Required Clauses, shall supersede this Article.

### 15. AUDITS

CONSULTANT shall permit MTC, and its authorized representatives to have access to CONSULTANT's books, records, accounts, and any and all work products, materials, and other data relevant to this Agreement, for the purpose of making an audit, examination, excerpt and transcription during the term of this Agreement and for the period specified in Article 14. CONSULTANT shall in no event dispose of, destroy, alter, or mutilate said books, records, accounts, work products, materials and data for that period of time.

CONSULTANT further agrees to include in all its subcontracts hereunder exceeding \$25,000 a provision to the effect that the subcontractor agrees that MTC, or any of its duly authorized representatives shall have access to and the right to examine any directly pertinent books, documents, papers, and records of such subcontractor for the term specified above.

Any conflicting language regarding audits contained in Attachment H, Federally-Required Clauses, shall supersede this Article.

### 16. NOTICES

Except for invoices submitted by CONSULTANT pursuant to Article 3, all notices or other communications to either party by the other shall be deemed given when made in writing and delivered, mailed, emailed, or faxed to such party at their respective addresses as follows:

To MTC:

Attention: Kristen Mazur  
Metropolitan Transportation Commission  
101 - 8th Street  
Oakland, CA 94607-4700

Email: kmazur@mtc.ca.gov  
Fax: 510.817-5848

To CONSULTANT:

Attention: **Insert Name of Appropriate Person**  
**Consultant's name**  
**Consultant's address**  
**Consultant's address**  
**Email: X**  
**Fax: X**

## 17. SOLICITATION OF CONTRACT

CONSULTANT warrants that it has not employed or retained any company or persons, other than a bona fide employee working solely for CONSULTANT, to solicit or secure this Agreement, and that it has not paid or agreed to pay any company or person other than bona fide employees working solely for CONSULTANT, any fee, commission, percentage, brokerage fee, gift, or any other consideration contingent upon or resulting from the award or making of the Agreement. For breach or violation of this warranty, MTC shall have the right to terminate the Agreement without liability or, at its discretion, the right to deduct from CONSULTANT's maximum payment the full amount of such fee, commission, percentage, brokerage fee, gift or contingent consideration.

## 18. PROHIBITED INTERESTS

CONSULTANT covenants that it presently has no interest and shall not acquire any interest, direct or indirect, which would conflict in any manner or degree or have the potential of conflicting with the performance of services required under the Agreement or the impartial rendering of assistance or advice to MTC. CONSULTANT further covenants that in the performance of the Agreement no person having any such interest shall be employed.

No member, officer, employee or agent of MTC, during his/her tenure shall have any prohibited interest as defined by California Government Code Sections 1090, *et seq.* and 87100 *et seq.*, direct or indirect, in the Agreement or the proceeds thereof. Prohibited interests include interests of immediate family members, domestic partners, and their employers or prospective employers. Accordingly, CONSULTANT further covenants that it has made a complete disclosure to MTC of all facts of which it is aware upon due inquiry bearing upon any possible interest, direct or indirect, which it believes any member, officer, agent or employee of MTC (or an immediate family member, domestic partner or employer or prospective employer of such member, officer, agent or employee) presently has, or will have in the Agreement, or in the performance thereof, or in any portion of the profits thereunder. Willful failure to make such disclosure, if any, shall constitute grounds for cancellation and termination hereof by MTC.

## 18.1 ORGANIZATIONAL CONFLICTS OF INTEREST

CONSULTANT shall take all reasonable measures to preclude the existence or development of an organizational conflict of interest in connection with work performed under this Agreement. An organizational conflict of interest occurs when, due to other activities, relationships, or contracts, a firm or person is unable, or potentially unable, to render impartial assistance or advice to MTC; a firm or person's objectivity in performing the contract work is or might be impaired; or a firm or person has an unfair competitive advantage in proposing for award of a contract as a result of information gained in performance of this or some other Agreement.

CONSULTANT shall not engage the services of any subconsultant or independent contractor on any work related to this Agreement if the subconsultant or independent contractor, or any employee of the subconsultant or independent contractor, has an actual or apparent organizational conflict of interest related to work or services contemplated under this Agreement.

If at any time during the term of this Agreement CONSULTANT becomes aware of an organizational conflict of interest in connection with the work performed hereunder, CONSULTANT shall immediately provide MTC with written notice of the facts and circumstances giving rise to this organizational conflict of interest. CONSULTANT's written notice will also propose alternatives for addressing or eliminating the organizational conflict of interest. If at any time during the period of performance of this Agreement, MTC becomes aware of an organizational conflict of interest in connection with CONSULTANT's performance of the work hereunder, MTC shall similarly notify CONSULTANT. In the event a conflict is presented, whether disclosed by CONSULTANT or discovered by MTC, MTC will consider the conflict presented and any alternatives proposed and meet with CONSULTANT to determine an appropriate course of action. MTC's determination as to the manner in which to address the conflict shall be final.

Failure to comply with this section may subject the CONSULTANT to damages incurred by the MTC in addressing organizational conflicts that arise out of work performed by CONSULTANT, or to termination of this Agreement for breach.

## 19. LAWS AND REGULATIONS

CONSULTANT shall comply with any and all applicable laws, statutes, ordinances, rules, regulations, and procedural requirements of any national, state, or local government, and of any agency of such government, including but not limited to MTC, that relate to or in any manner affect the performance of the Agreement. Those laws, statutes, ordinances, rules, regulations and procedural requirements which are imposed on MTC as a recipient of federal or state funds are hereby in turn imposed on CONSULTANT.

## 20. CLAIMS OR DISPUTES

CONSULTANT shall be solely responsible for providing timely written notice to MTC of any claims for additional compensation and/or time in accordance with the provisions of the Agreement. It is MTC's intent to investigate and attempt to resolve any CONSULTANT claims before CONSULTANT has performed any disputed work. Therefore, CONSULTANT's failure to provide timely notice shall constitute a waiver of CONSULTANT's claims for additional compensation and/or time.

CONSULTANT shall not be entitled to the payment of any additional compensation for any cause, including any act, or failure to act, by MTC, or the failure or refusal to issue a modification, or the happening of any event, thing, or occurrence, unless it has given MTC due written notice of a potential claim. The potential claim shall set forth the reasons for which CONSULTANT believes additional compensation may be due, the nature of the costs involved, and the amount of the potential claim.

Such notice shall be given to MTC prior to the time that CONSULTANT has started performance of the work giving rise to the potential claim for additional compensation.

If there is a dispute over any claim, CONSULTANT shall continue to work during the dispute resolution process in a diligent and timely manner as directed by MTC, and shall be governed by all applicable provisions of the Agreement. CONSULTANT shall maintain cost records of all work that is the basis of any dispute.

If an agreement can be reached which resolves CONSULTANT's claim, the parties will execute an Agreement modification to document the resolution of the claim. If the parties cannot reach an agreement with respect to the CONSULTANT claim, they may choose to pursue dispute resolution pursuant to Article 24, DISPUTE RESOLUTION, or MTC may terminate the Agreement.

## 21. REMEDIES FOR BREACH

In the event CONSULTANT fails to comply with the requirements of the Agreement in any way, MTC reserves the right to implement administrative remedies which may include, but are not limited to, withholding of progress payments and contract retentions, and termination of the Agreement in whole or in part.

The duties and obligations imposed by the Agreement and the rights and remedies available thereunder shall be in addition to and not a limitation of any duties, obligations, rights and remedies otherwise imposed or available by law. No action or failure to act by MTC or CONSULTANT shall constitute a waiver of any right or duty afforded any of them under the

Agreement, nor shall any such action or failure to act constitute an approval of or acquiescence in any breach thereunder, except as may be specifically agreed in writing.

## 22. TEMPORARY SUSPENSION OF WORK

MTC, in its sole discretion, reserves the right to stop or suspend all or any portion of the work for such period as MTC may deem necessary. The suspension may be due to the failure on the part of CONSULTANT to carry out orders given or to perform any provision of the Agreement or to factors that are not the responsibility of CONSULTANT. The CONSULTANT shall comply immediately with the written order of MTC to suspend the work wholly or in part. The suspended work shall be resumed when CONSULTANT is provided with written direction from MTC to resume the work.

If the suspension is due to CONSULTANT's failure to perform work or carry out its responsibilities in accordance with this Agreement, or other action or omission on the part of the CONSULTANT, all costs shall be at CONSULTANT's expense and no schedule extensions will be provided by MTC.

In the event of a suspension of the work, CONSULTANT shall not be relieved of CONSULTANT's responsibilities under this Agreement, except the obligations to perform the work which MTC has specifically directed CONSULTANT to suspend under this section.

If the suspension is not the responsibility of CONSULTANT, suspension of all or any portion of the work under this Section may entitle CONSULTANT to compensation and/or schedule extensions subject to the Agreement requirements.

## 23. WARRANTY OF SERVICES

A. In the performance of its services, CONSULTANT represents and warrants that it has and will exercise the degree of professional care, skill, efficiency, and judgment of consultants with special expertise in providing such services, and that it carries and will maintain all applicable licenses, certificates, and registrations needed for the work in current and good standing. In addition, CONSULTANT shall provide such specific warranties as may be set forth in specific Task Orders as agreed upon by the parties.

B. In the event that any services provided by CONSULTANT hereunder are deficient because of CONSULTANT's or subconsultants failure to perform said services in accordance with the warranty standards set forth above, MTC shall report such deficiencies in writing to the CONSULTANT within a reasonable time. MTC thereafter shall have:

1. The right to have CONSULTANT re-perform such services at the CONSULTANT's expense; or

2. The right to have such services done by others and the costs thereof charged to and collected from the CONSULTANT if within 30 days after written notice to CONSULTANT requiring such re-performance, CONSULTANT fails to give satisfactory evidence to the MTC that it has undertaken said re-performance; or
3. The right to terminate the Agreement for default. CONSULTANT shall be responsible for all errors and omissions and is expected to pay for all deficient work as a result of errors and omissions.

#### 24. DISPUTE RESOLUTION

A. Informal Resolution of Disputes. CONSULTANT and MTC shall use good faith efforts to resolve all disputes informally at the project manager level. In the event such efforts are unsuccessful, either party may request that MTC provide a written determination as to the proposed resolution of the dispute. Within twenty-one (21) calendar days of the request, MTC's Project Manager shall provide a written determination as to the dispute, which shall include the basis for its decision. Upon CONSULTANT's written acceptance of the Project Manager's determination, the Agreement may be modified and the determination implemented or, failing agreement, MTC may in its sole discretion pay such amounts and/or revise the time for performance in accordance with the Project Manager's determination.

If the Project Manager's determination is not accepted by CONSULTANT, the matter shall promptly be referred to senior executives of the parties having designated authority to settle the dispute. The senior executives will exchange memoranda stating the issues in dispute and their respective positions and then meet for negotiations at a mutually agreed time and place. If the matter has not been resolved within thirty calendar (30) days of commencement of senior management negotiations, the parties may mutually agree to try to settle the dispute by means of alternate dispute resolution methodologies, as set forth below.

B. Controversies Subject to Alternative Dispute Resolution. Any claim or controversy concerning the interpretation, application, or implementation of this Agreement between MTC and CONSULTANT which cannot be resolved through the informal efforts described above, may, by specific agreement of the parties, be submitted to alternative dispute resolution (that is, mediation or arbitration) with the parameters for such dispute resolution being agreed to by the parties at the time.

C. Other Remedies. If a dispute is not resolved through discussion or the parties do not agree to alternative dispute resolution, either party may pursue available legal remedies in a California State or Federal court of competent jurisdiction. CONSULTANT must file a government claim pursuant to Government Code section 910 *et seq.* in order to initiate a civil action.

D. Pending Resolution. CONSULTANT shall continue to work during the dispute resolution process in a diligent and timely manner as directed by MTC, and shall be governed by all applicable provisions of the Agreement.

E. Cost of Alternative Dispute Resolution Proceedings. Each party shall bear the costs and expenses incurred by it in connection with such alternative dispute resolution processes. The cost of any mediator or independent decision maker shall be shared equally between the parties.

F. Survival of this Article. This Article shall survive completion or terminations of this Agreement, but under no circumstances shall either party call for an alternative dispute resolution of any claim or dispute arising out of this Agreement after such period of time as would normally bar the initiation of legal proceeding to litigate such claim or dispute under the laws of the State of California.

## 25. CHOICE OF LAW

All questions pertaining to the validity and interpretation of the Agreement shall be determined in accordance with the laws of California applicable to agreements made and to be performed within the State.

## 26. ATTORNEYS' FEES

If any legal proceeding should be instituted by either of the parties to enforce the terms of this Agreement or to determine the rights of the parties under this Agreement, the prevailing party in said proceeding shall recover reasonable attorneys' fees, in addition to all court costs.

## 27. PARTIAL INVALIDITY

If any term or condition of the Agreement is found to be illegal or unenforceable, such term or condition shall be deemed stricken and the remaining terms and conditions shall remain valid and in full force and effect.

## 28. BENEFIT OF AGREEMENT

The Agreement shall bind and benefit the parties hereto and their heirs, successors, and permitted assigns.

## 29. NO THIRD PARTY BENEFICIARIES

This Agreement is not for the benefit of any person or entity other than the parties.

30. ENTIRE AGREEMENT; MODIFICATION

This Agreement for Services, including any attachments, constitutes the complete Agreement between the parties and supersedes any prior written or oral communications. CONSULTANT represents that in entering into the Agreement it has not relied on any previous representations, inducements, or understandings of any kind or nature. This Agreement may be modified or amended only by written instrument signed by both the CONSULTANT and MTC. In the event of a conflict between the terms and conditions of this Agreement and the attachments, the terms of this Agreement will prevail.

IN WITNESS WHEREOF, the Agreement has been executed by the parties hereto as of the day and year first written above.

METROPOLITAN TRANSPORTATION  
COMMISSION

NAME OF CONSULTANT

---

Steve Heminger, Executive Director

---

Insert Appropriate Name, Title

**ATTACHMENT A**  
**Scope Of Work**

The services to be performed by CONSULTANT shall consist of services requested by the Project Manager or a designated representative including, but not limited to, the following:

- 1.
  - 2.
- ETC.

MTC may request additional services on an as-needed basis. All such services shall be authorized by Task Order, initiated and developed according to the detailed task order process described in Attachment A-1, Task Order Process, attached hereto and incorporated herein by this reference. Task Orders shall include, at a minimum, a detailed description of the work to be performed, a completion date for performance, a maximum payment amount, payment terms (deliverables-based or time and materials) and subconsultant participation (if any), in a completed form as shown in Attachment A-2, Task Order Form, attached hereto and incorporated herein by this reference.

## **ATTACHMENT A-1, TASK ORDER PROCESS**

Detailed Task Order Process:

Task Orders will be numbered sequentially. The period of performance shall be as set forth in the individual Task Order. The process for developing, signing and tracking task orders is summarized as follows:

Step 1 – The MTC Project Manager (“MTC PM”) prepares a draft Task Order to issue to CONSULTANT. The MTC PM may solicit feedback from CONSULTANT to facilitate drafting the Task Order.

Step 2\* – CONSULTANT prepares a proposal in response to the draft Task Order. A draft Task Order, as included in this Agreement as Attachment A-2, Task Order Form, attached hereto and incorporated herein by this reference, shall be provided to CONSULTANT for review and comment.

Step 3\* – The MTC PM reviews CONSULTANT’s proposal to determine if it meets the objectives of the draft Task Order and if CONSULTANT’s proposed costs are reasonable. The MTC PM may solicit early feedback from the MTC Director of Programming and Allocations at this time, if necessary. Any changes to the draft Task Order deemed appropriate by MTC shall be incorporated in a draft Final Task Order.

Step 4\* – The MTC PM forwards the draft Final Task Order to the MTC Contract Administrator for review and approval. Once approved, the MTC PM forwards two copies of the Task Order to the MTC Director of Programming and Allocations, for review and approval. The MTC Director of Programming and Allocations signs both copies of a Final Task Order to signify approval and returns them to the MTC PM.

Step 5 – The MTC PM sends both copies of the signed Final Task Order to CONSULTANT, who signs both copies and returns one to the MTC PM.

Step 6 – The MTC PM sends one copy of the fully executed Task Order to the MTC or MTC Task Lead who initiates work, and sends another copy to MTC Finance to encumber funds against the Task Order. The MTC PM keeps the original fully-executed Task Order for the official project record.

Step 7 – Any services added to the Agreement by a Task Order shall be subject to all applicable conditions of the Agreement. Revisions to Task Orders shall require written approval by both the MTC Director of Programming and Allocations and CONSULTANT. Revisions to Task Orders shall require written approval by both the MTC Director of Programming and Allocations and CONSULTANT.

Step 8 – The MTC PM is responsible for overseeing the successful conclusion of the Task Order, and will manage the progress of the work, track invoices against the Task Order budget, and track milestone completion against the Task Order schedule.

Step 9 – Once the MTC PM determines the Task Order is complete, the MTC PM will send written notification to CONSULTANT that the Task Order is complete and that all associated invoices are due to MTC within 30 days. Any balance of budget is made available to spend on future task orders at the MTC PM's discretion.

Step 10 – The MTC PM will annually assess the need for a Contract audit.

*\*The MTC Project Manager may revise the Task Order and/or CONSULTANT may be asked to revise the proposal based on feedback received during Steps 2 through 4.*

**ATTACHMENT A-2**  
Task Order Form

|   |  |
|---|--|
| 1. Task Order No. (include FY)                                    |  |
| 2. Title of Task:   |  |
| 3. MTC or BATA Task Lead (if different from MTC Project Manager): |  |
| 4. Description of work:   | <i>Summarize key task expectations. For more information, see attached <u>Task Order Budget and Schedule</u> and <u>Detailed Description of Work</u> (attached).</i> |
| 5. Original Maximum Payment:                                      |  |
| 6. Amended Maximum Payment:                                       | <i>Include each amendment to maximum payment, by amendment number, for particular fiscal year.</i>   |
| 7. Completion Date:   | Date<br>Schedule attached.   |
| 8. Payment terms:   | <i>Check the one that applies (see below for more information):</i><br><input type="checkbox"/> Time and Materials<br><input type="checkbox"/> Deliverables          |

9. Payment Terms [*complete A for Task Orders including one or more deliverables-based payments or B for Time and Materials Task Orders.*]

A. Deliverables-based.

|    | <u>Deliverable</u> | <b><u>Total Cost*</u></b> |
|----|--------------------|---------------------------|
| 1. |                    | \$1                       |
| 2. |                    | \$1                       |
| 3. |                    | \$1                       |
| 4. |                    | \$1                       |
| 5. |                    | \$1                       |
| 6. |                    | \$1                       |
| 7. |                    | \$1                       |
|    | <b>Total:</b>      | <b>\$7.00</b>             |

\*Due upon satisfactory completion as determined by the MTC Project Manager.

**B. Time and Materials**

*Specify hourly rate for applicable personnel and include estimate of expenses.*

|               | <u>Personnel/Expense</u> | <u>Duties</u> | <u>Rate</u> | <u>Est. Hours</u> | <u>Total Cost</u> |
|---------------|--------------------------|---------------|-------------|-------------------|-------------------|
| 1.            |                          |               | \$          |                   | \$1               |
| 2.            |                          |               | \$          |                   | \$1               |
| 3.            |                          |               | \$          |                   | \$1               |
| 4.            |                          |               | \$          |                   | \$1               |
| 5.            |                          |               | \$          |                   | \$1               |
| <b>Total:</b> |                          |               |             |                   | <b>\$5.00</b>     |

| <u>Activity</u>       | <u>Lead</u> | <u>Estimated Amount Budgeted</u> |
|-----------------------|-------------|----------------------------------|
|                       |             | \$1                              |
|                       |             | \$1                              |
|                       |             | \$1                              |
|                       |             | \$1                              |
|                       |             | \$1                              |
|                       |             | \$1                              |
| TOTAL MAXIMUM PAYMENT |             | \$6.00                           |

METROPOLITAN TRANSPORTATION  
COMMISSION

CONSULTANT

\_\_\_\_\_  
Anne Richman,  
Director of Programming and Allocations  
Date: \_\_\_\_\_

\_\_\_\_\_  
[Insert name and title of authorized individual](#)  
Date: \_\_\_\_\_

Task Order Schedule

| <u>Deliverable/Milestone</u> |  | <u>Due Date</u> |
|------------------------------|--|-----------------|
|                              |  | Date            |
|                              |  |                 |
|                              |  |                 |
|                              |  |                 |
|                              |  |                 |
|                              |  |                 |

Detailed Description of Work

**Task Order #: Title**

1. Description of subtask 1.  
*Deliverable – deliverable name*
2. Description of subtask 2.  
*Deliverable – deliverable name*
3. Description of subtask 3.  
*Deliverable – deliverable name*
4. Etc.

**ATTACHMENT B**  
**Project Schedule**

| Task # | Work to be Performed/Deliverables (#) | <u>Completion Date</u> |
|--------|---------------------------------------|------------------------|
|        |                                       |                        |
|        |                                       |                        |
|        |                                       |                        |
|        |                                       |                        |

For Task Order based work, CONSULTANTs services shall be performed in accordance with the schedule included in each duly executed Task Order.

**ATTACHMENT C**  
**Compensation and Method of Payment**

A. Compensation.

CONSULTANT shall be paid, as full compensation for the satisfactory completion of the work described in Attachment A, the firm fixed sum of agreed upon amount, which includes all labor, supervision, applicable surcharges such as taxes, insurance, and fringe benefits, as well as indirect costs, overhead and profit allowance, subcontractors costs, travel, equipment, materials and supplies. Any amendments to this Agreement shall be based on the hourly rates set forth in Attachment D, Key Personnel, attached hereto and incorporated herein by this reference. In no event shall the total compensation to be paid CONSULTANT under the Agreement exceed the Maximum Payment specified in Article 3 of the Agreement.

CONSULTANT shall be compensated for its work under Task 7 as specified in signed Task Orders. All Task Orders shall be developed according to the process established in Attachment A-1, Task Order Process, attached hereto and incorporated herein, and should include, at a minimum, a completed form as shown in Attachment A-2, Task Order Form.

Payment terms for Task 7 may be based on acceptance of agreed-upon deliverables or upon time and materials reimbursement, depending on the requirements of each Task Order. For time and materials-based payment of Task Orders, labor rates in Attachment D, Key Personnel Assignments, shall apply. The hourly rates in Attachment D include all applicable surcharges such as taxes, insurance and fringe benefits as well as indirect costs, overhead and profit allowance, equipment, materials and supplies. Said hourly rates shall remain in effect for the term of the Agreement, unless MTC prior written authorization is obtained for any changes. In no event shall the total compensation to be paid CONSULTANT under the Agreement exceed the Maximum Payment specified in Article 3 of the Agreement.

B. Progress Payments. Payment for CONSULTANT's services shall be due in the amounts indicated below, upon acceptance by Project Manager of the following deliverables or milestones, described in detail in Attachment A:

| Task | <u>Deliverables (#)</u>  | <u>Amount Due</u>   |
|------|--|---------------------|
| 1    | Do this (#1)   | \$0                 |
| 2    | Do that (#2)   | \$0                 |
|      |  | 0                   |
|      | Excel is inside Word Tables. Highlight field, hit F9 or Table Formula = Format \$. | \$0                 |
|      |  | highlight #, hit F9 |

C. Method of Payment. CONSULTANT shall submit an invoice identifying the project deliverable or milestone for which payment is sought no later than thirty (30) days after MTC's acceptance of such deliverable/milestone. If applicable, CONSULTANT's final invoice must

include the certification that all Personally Identifiable Information (PII) has been destroyed in accordance with Attachment F.

For Task Order based work CONSULTANT shall submit invoices for services rendered no more frequently than on a monthly basis. Invoices shall identify work for which payment is requested by Task Order number (including fiscal year). All invoices will be dated, numbered in serial order, and signed by CONSULTANT. If applicable, CONSULTANT's final invoice must include the certification that all Personally Identifiable Information (PII) has been destroyed in accordance with Attachment F.

For Task Orders authorizing payment on the basis of satisfactory deliverables, CONSULTANT shall specify each deliverable for which payment is requested, the amount requested, and the total amount paid to date under the Task Order.

For Task Orders authorizing time and materials payment, CONSULTANT shall specify the work performed, hours worked, and amount due (by personnel), authorized expenses (with receipts for such expenses), the total amount claimed under the invoice and the amount paid to date under the Task Order.

**ATTACHMENT D**  
**Key Personnel Assignments**

|    | <u>Name</u> | <u>Rate/hour</u> | <u>Est. hours</u> | <u>Task Description</u> |
|----|-------------|------------------|-------------------|-------------------------|
| 1. |             | \$xx             |                   |                         |
| 2. |             |                  |                   |                         |
| 3. |             |                  |                   |                         |
| 4. |             |                  |                   |                         |
| 5. |             |                  |                   |                         |
| 6. |             |                  |                   |                         |
| 7. |             |                  |                   |                         |
| 8. |             |                  |                   |                         |

\* Applicable to development of payment provisions in amendments only.

**ATTACHMENT E**  
**Insurance and Financial Security (Bond) Provisions**

1. INSURANCE

A. Minimum Coverages. The insurance requirements specified in this section shall cover CONSULTANT's own liability and the liability arising out of work or services performed under this Agreement by any subconsultants, subcontractors, suppliers, temporary workers, independent contractors, leased employees, or any other persons, firms or corporations that CONSULTANT authorizes to work under this Agreement (hereinafter referred to as "Agents.") CONSULTANT shall, at its own expense, obtain and maintain in effect at all times during the life of this Agreement the following types of insurance against claims, damages and losses due to injuries to persons or damage to property or other losses that may arise in connection with the performance of work under this Agreement.

CONSULTANT is also required to assess the risks associated with work to be performed by Agents under subcontract and to include in every subcontract the requirement that the Agent maintain adequate insurance coverage with appropriate limits and endorsements to cover such risks. To the extent that an Agent does not procure and maintain such insurance coverage, CONSULTANT shall be responsible for said coverage and assume any and all costs and expenses that may be incurred in securing said coverage or in fulfilling CONSULTANT's indemnity obligation as to itself or any of its Agents in the absence of coverage.

In the event CONSULTANT or its Agents procure excess or umbrella coverage to maintain certain requirements outlined below, these policies shall also satisfy all specified endorsements and stipulations, including provisions that CONSULTANT's insurance be primary without right of contribution from MTC. Prior to beginning work under this contract, CONSULTANT shall provide MTC with satisfactory evidence of compliance with the insurance requirements of this section.

1. Workers' Compensation Insurance with Statutory limits, and Employer's Liability insurance with a limit of not less than \$1,000,000 per employee and \$1,000,000 per accident, and any and all other coverage of CONSULTANT's employees as may be required by applicable law. Such policy shall contain a Waiver of Subrogation in favor of MTC. Such Workers Compensation & Employers Liability may be waived, if and only for as long as CONSULTANT is a sole proprietor or a corporation with stock 100% owned by officers with no employees.

2. Commercial General Liability Insurance for Bodily Injury and Property Damage liability, covering the operations of CONSULTANT and CONSULTANT's officers, agents, and employees and with limits of liability which shall not be less than \$1,000,000 combined single

limit per occurrence with a general aggregate liability of not less than \$2,000,000, and Personal & Advertising Injury liability with a limit of not less than \$1,000,000. Such policy shall contain a Waiver of Subrogation in favor of MTC.

MTC and those entities listed in Part 3 of this Attachment E (if any), and their commissioners, directors, officers, representatives, agents and employees are to be named as additional insureds. Such insurance shall be primary and contain a Separation of Insureds Clause as respects any claims, losses or liability arising directly or indirectly from CONSULTANT's operations.

3. Business Automobile Insurance for all automobiles owned (if any), used or maintained by CONSULTANT and CONSULTANT's officers, agents and employees, including but not limited to owned (if any), leased (if any), non-owned and hired automobiles, with limits of liability which shall not be less than \$1,000,000 combined single limit per accident.

4. Umbrella Insurance in the amount of \$1,000,000 providing excess limits over Employer's Liability, Automobile Liability, and Commercial General Liability Insurance. Such umbrella coverage shall be following form to underlying coverage including all endorsements and additional insured requirements.

5. Errors and Omissions Professional Liability Insurance for errors and omissions and the resulting damages, including, but not limited to, economic loss to MTC and having minimum limits of \$1,000,000 per claim.

The policy shall provide coverage for all work performed by CONSULTANT and any work performed or conducted by any subcontractor/consultant working for or performing services on behalf of the CONSULTANT. No contract or agreement between CONSULTANT and any subcontractor/consultant shall relieve CONSULTANT of the responsibility for providing this Errors & Omissions or Professional Liability coverage for all work performed by CONSULTANT and any subcontractor/consultant working on behalf of CONSULTANT on the project.

6. Property Insurance. Property Insurance covering CONSULTANT'S own business personal property and equipment to be used in performance of this Agreement, materials or property to be purchased and/or installed on behalf of MTC (if any), and builders risk for property in the course of construction (if applicable). Coverage shall be written on a "Special Form" policy that includes theft, but excludes earthquake, with limits at least equal to the replacement cost of the property. Such policy shall contain a Waiver of Subrogation in favor of MTC.

B. Acceptable Insurers. All policies will be issued by insurers acceptable to MTC, generally with a Best's Rating of A-VIII or better.

C. Self-Insurance. CONSULTANT's obligation hereunder may be satisfied in whole or in part by adequately funded self-insurance, upon evidence of financial capacity satisfactory to MTC.

D. Deductibles and Retentions. CONSULTANT shall be responsible for payment of any deductible or retention on CONSULTANT's policies without right of contribution from MTC. Deductible and retention provisions shall not contain any restrictions as to how or by whom the deductible or retention is paid. Any deductible or retention provision limiting payment to the Named Insured is unacceptable.

In the event that MTC seeks coverage as an additional insured under any CONSULTANT insurance policy that contains a deductible or self-insured retention, CONSULTANT shall satisfy such deductible or self-insured retention to the extent of loss covered by such policy, for any lawsuit arising from or connected with any alleged act of CONSULTANT, subconsultant, subcontractor, or any of their employees, officers or directors, even if CONSULTANT or subconsultant is not a named defendant in the lawsuit.

E. Claims Made Coverage. . If any insurance specified above is written on a "Claims-Made" (rather than an "occurrence") basis, then in addition to the coverage requirements above, CONSULTANT shall:

- (1) Ensure that the Retroactive Date is shown on the policy, and such date must be before the date of this Agreement or the beginning of any work under this Agreement;
- (2) Maintain and provide evidence of similar insurance for at least three (3) years following project completion, including the requirement of adding all additional insureds; and
- (3) If insurance is cancelled or non-renewed, and not replaced with another claims-made policy form with a Retroactive Date prior to the Agreement effective date, CONSULTANT shall purchase "extended reporting" coverage for a minimum of three (3) years after completion of the work.

F. Failure to Maintain Insurance. All insurance specified above shall remain in force until all work or services to be performed are satisfactorily completed, all of CONSULTANT's personnel, subcontractors, and equipment have been removed from MTC's property, and the work or services have been formally accepted. CONSULTANT must notify MTC if any of the above required coverages are non-renewed or cancelled. The failure to procure or maintain required insurance and/or an adequately funded self-insurance program will constitute a material breach of this Agreement.

G. Certificates of Insurance. Prior to commencement of any work hereunder, CONSULTANT shall deliver to MTC Certificates of Insurance verifying the aforementioned coverages. Such certificates shall make reference to all provisions and endorsements referred to above and shall be signed on behalf of the insurer by an authorized representative thereof.

H. Disclaimer. The foregoing requirements as to the types and limits of insurance coverage to be maintained by CONSULTANT are not intended to and shall not in any manner limit or qualify the liabilities and obligations otherwise assumed by CONSULTANT pursuant hereto, including, but not limited to, liability assumed pursuant to Article 9 of this Agreement.

2. NOT USED

3. ADDITIONAL INSUREDS

The following entities are to be named as Additional Insureds under applicable sections of this Attachment E and as MTC Indemnified Parties, pursuant to Article 9 of the Agreement.

- Metropolitan Transportation Commission (MTC)

**ATTACHMENT F**  
**Not Used**

**ATTACHMENT G**  
**Subconsultant List**

|    | <u>Name/Address of Subconsultant</u> | <u>Amount of Subcontract</u> | <u>Description of Work</u> |
|----|--------------------------------------|------------------------------|----------------------------|
| 1. |                                      |                              |                            |
| 2. |                                      |                              |                            |
| 3. |                                      |                              |                            |
| 4. |                                      |                              |                            |
| 5. |                                      |                              |                            |
| 6. |                                      |                              |                            |

**LIST "None" ABOVE IF NO SUBCONTRACTORS ARE BEING USED.**

**APPENDIX D-1, INSURANCE REQUIREMENTS**

Minimum Insurance Coverages. Consultant shall, at its own expense, obtain and maintain in effect at all times the following types of insurance against claims, damages and losses due to injuries to persons or damage to property or other losses that may arise in connection with the performance of work under this Agreement, placed with insurers with a Best's rating of A-VIII or better.

|            |   |
|------------|---|
| Yes<br>(√) | <b>Please certify by checking the box below that required coverages will be provided within five (5) days of MTC's notice to firm that it wishes to contract with the firm.</b>   |
| —          | <u>Workers' Compensation Insurance</u> with Statutory limits, and Employer's Liability insurance with a limit of not less than \$1,000,000 per employee and \$1,000,000 per accident, and any and all other coverage of CONSULTANT's employees as may be required by applicable law. Such policy shall contain a Waiver of Subrogation in favor of MTC. Such Workers Compensation & Employers Liability may be waived, if and only for as long as CONSULTANT is a sole proprietor or a corporation with stock 100% owned by officers with no employees.   |
| —          | <u>Commercial General Liability Insurance</u> for Bodily Injury and Property Damage liability, covering the operations of CONSULTANT and CONSULTANT's officers, agents, and employees and with limits of liability which shall not be less than \$1,000,000 combined single limit per occurrence with a general aggregate liability of not less than \$2,000,000, and Personal & Advertising Injury liability with a limit of not less than \$1,000,000. Such policy shall contain a Waiver of Subrogation in favor of MTC.<br><br>MTC and their commissioners, directors, officers, representatives, agents and employees are to be named as additional insureds. Such insurance shall be primary and contain a Separation of Insureds Clause as respects any claims, losses or liability arising directly or indirectly from CONSULTANT's operations. |
| —          | <u>Business Automobile Insurance</u> for all automobiles owned (if any), used or maintained by CONSULTANT and CONSULTANT's officers, agents and employees, including but not limited to owned (if any), leased (if any), non-owned and hired automobiles, with limits of liability which shall not be less than \$1,000,000 combined single limit per accident.   |
| —          | <u>Umbrella Insurance</u> in the amount of \$1,000,000 providing excess limits over Employer's Liability, Automobile Liability, and Commercial General Liability Insurance. Such umbrella coverage shall be following form to underlying coverage including all endorsements and additional insured requirements.   |
| —          | <u>Errors and Omissions Professional Liability Insurance</u> for errors and omissions and the resulting damages, including, but not limited to, economic loss to MTC and having minimum limits of \$1,000,000 per claim.  |
| —          | <u>Property Insurance.</u> Property Insurance covering CONSULTANT'S own business personal property and equipment to be used in performance of this Agreement, materials or property to be purchased and/or installed on behalf of MTC (if any), and builders risk   |

for property in the course of construction (if applicable). Coverage shall be written on a "Special Form" policy that includes theft, but excludes earthquake, with limits at least equal to the replacement cost of the property. Such policy shall contain a Waiver of Subrogation in favor of MTC.

MTC and their commissioners, directors, officers, representatives, agents and employees are to be named as additional insureds. Such insurance shall be primary and contain a Separation of Insureds Clause as respects any claims, losses or liability arising directly or indirectly from Consultant's operations.

All policies will be issued by insurers acceptable to MTC, generally with a Best's Rating of A-VIII or better.

Consultant's obligation hereunder may be satisfied in whole or in part by adequately funded self-insurance, upon evidence of financial capacity satisfactory to MTC.

Consultant shall be responsible for payment of any deductible or retention on Consultant's policies without right of contribution from MTC. Deductible and retention provisions shall not contain any restrictions as to how or by whom the deductible or retention is paid. Any deductible or retention provision limiting payment to the Named Insured is unacceptable.

In the event that MTC seeks coverage as an additional insured under any Consultant insurance policy that contains a deductible or self-insured retention, Consultant shall satisfy such deductible or self-insured retention to the extent of loss covered by such policy, for any lawsuit arising from or connected with any alleged act of Consultant, subconsultant, subcontractor, or any of their employees, officers or directors, even if Consultant or subconsultant is not a named defendant in the lawsuit.

If any insurance specified above is written on a "Claims-Made" (rather than an "occurrence") basis, then in addition to the coverage requirements above, Consultant shall:

1. Ensure that the Retroactive Date is shown on the policy, and such date must be before the date of this Agreement or the beginning of any work under this Agreement;
2. Maintain and provide evidence of similar insurance for at least three (3) years following project completion, including the requirement of adding all additional insureds; and
3. If insurance is cancelled or non-renewed, and not replaced with another claims-made policy form with a Retroactive Date prior to the Agreement effective date, Consultant shall purchase "extended reporting" coverage for a minimum of three (3) years after completion of the work.

All insurance specified above shall remain in force until all work or services to be performed are satisfactorily completed, all of Consultant's personnel, subcontractors, and equipment have been removed from MTC's property, and the work or services have been formally accepted.

Consultant must notify MTC if any of the above required coverages are non-renewed or cancelled. The failure to procure or maintain required insurance and/or an adequately funded self-insurance program will constitute a material breach of this Agreement.

Prior to commencement of any work hereunder, Consultant shall deliver to MTC Certificates of Insurance verifying the aforementioned coverages. Such certificates shall make reference to all provisions and endorsements referred to above and shall be signed on behalf of the insurer by an

authorized representative thereof.

The foregoing requirements as to the types and limits of insurance coverage to be maintained by Consultant are not intended to and shall not in any manner limit or qualify the liabilities and obligations otherwise assumed by Consultant pursuant hereto, including, but not limited to, liability assumed pursuant to the Indemnification section of this Agreement.

**By signing below you acknowledge and agree to provide the required certificate of insurance providing verification of the minimum insurance requirements listed above within ten (10) days of MTC’s notice to firm that it wishes to contract with the firm.**

|                               |  |
|-------------------------------|--|
| Representative Name and Title |  |
| Name of Authorizing Official  |  |
| Authorized Signature          |  |
| Date                          |  |

**NOTE: If you were unable to check “Yes” for any of the required minimum insurance coverages listed above, a request for exception to the appropriate insurance requirement(s) must be brought to MTC’s attention no later than closing date/time for receipt of requests for modifications/exceptions. If such modifications/exceptions are not brought to MTC’s attention consistent with the provisions of this RFP, compliance with the insurance requirements will be assumed.**