

Request for Proposals (RFP) #18-7023-31D

Indefinite Delivery/Indefinite Quantity (IDIQ) On-Call  
Innovative Service Model Research, Planning, Crowd-Sourcing/  
Hackathon Management, Implementation, and Evaluation Services

Issue Date: March 29, 2018

Contact: Denise Adams  
Procurement Manager

Telephone Number: (816) 346-0224

FAX Number: (816) 346-0336

E-Mail: [dadams@kcata.org](mailto:dadams@kcata.org)

## REQUEST FOR PROPOSALS (RFP) #18-7023-31D

### **Indefinite Delivery/Indefinite Quantity (IDIQ) On-Call Innovative Service Model Research, Planning, Crowd-Sourcing/ Hackathon Management, Implementation, and Evaluation Services**

March 29, 2018

The Kansas City Area Transportation Authority (KCATA) is the regional transit authority in the Kansas City metropolitan area. KCATA is requesting proposals from a qualified and experience firm(s) to provide on-call services in the areas of innovative service model research, planning, crowd-sourcing/hackathon management, implementation and evaluation services.

The KCATA intends to award one or more task order, or Indefinite Delivery/Indefinite Quantity (IDIQ) contracts. Services may not be required on a constant, continuous basis but rather on an as-needed basis during the term of the contract. Individual work orders will be negotiated and issued based on the fee structure provided. The KCATA is not obligated for services until a work order is issued.

The funds expended for work orders under these contracts may contain a percentage of funds appropriated by the United States Department of Transportation (DOT) and managed by the Federal Transit Administration (FTA), or the funds may be a combination of funds appropriated by the State of Missouri, State of Kansas, or local county, or city governments. The contract will be between the selected firms and KCATA. The Indefinite Delivery/Indefinite Quantity (IDIQ) contract will contain required federal and state procurement terms and conditions, which will be applicable irrespective of funding source. The highest procurement standards, terms and conditions will apply.

It is the policy of KCATA and the United States Department of Transportation (USDOT) that Disadvantaged Business Enterprises (DBEs) and Small Business Enterprises (SBEs), as defined herein and in the Federal regulations published as 49 CFR Part 26, shall have an equal opportunity to participate in in DOT-assisted contracts. It is also the policy of KCATA to:

1. Ensure nondiscrimination in the award and administration of DOT-assisted contracts;
2. Create a level playing field on which DBEs/SBEs can compete fairly for DOT-assisted contracts;
3. Ensure that the DBE program is narrowly tailored in accordance with applicable law;
4. Ensure that only firms that fully meet 49 CFR Part 26 eligibility are permitted to participate as DBE's;
5. Help remove barriers to the participation of DBEs in DOT assisted contracts;
6. To promote the use of DBEs/SBEs in all types of federally assisted contracts and procurement activities; and
7. Assist in the development of firms that can compete successfully in the marketplace outside the DBE program.

This Contract is subject to the Requirements of Title 49, Code of Federal Regulations Part 26, "Participation by Disadvantage Business Enterprises in Department of Transportation Financial Assistance Programs." KCATA's overall agency goal for DBE participation is 15.0%.

Because some of the projects may be federally funded, KCATA will evaluate each work order prior to issuance to determine a DBE goal. Proposers are requested to include DBE and SBE firms as part of their proposed teams.

Certified Minority Owned Business Enterprises (MBEs), Woman Owned Business Enterprises (WBEs), Small Business Enterprises (SBE's) and DBE firms are encouraged to submit proposals as prime or subcontractors.

Proposals are subject to all terms, conditions, and provisions of this document, including Affirmative Action and Equal Employment Opportunity regulations. Offerors shall read and understand the requirements of this RFP.

A non-mandatory Pre-Proposal Conference will be held at 9:00 AM CDT on April 3, 2018 in KCATA's Breen Building Large Conference Room, 1200 East 18<sup>th</sup> Street, Kansas City, MO, 64108. Interested parties may participate via teleconference. Contact information is available in Section 1, "Proposal Schedule."

Any questions, comments or requests for clarification are due from proposers no later than 4:00 PM CDT on April 9, 2018 with KCATA's response by April 12, 2018. Questions and comments must be submitted in writing to Denise Adams via email at [dadams@kcata.org](mailto:dadams@kcata.org) and Kristen Emmendorfer at [kristene@kcata.org](mailto:kristene@kcata.org). or via fax to 816-346-0336. If required, KCATA's response to these submissions will be in the form of an Addendum.

Proposals must be submitted in accordance with the instructions contained herein no later than 4:00 PM CDT on April 16, 2018. Proposals received after time specified shall not be considered for award. Proposals received via facsimile (fax) or electronic mail (e-mail) shall not be considered. Proposals not meeting specified delivery and method of submittal will not be opened nor considered responsive.

Proposals submitted must be addressed and delivered to KCATA at the following address. This is also the address to be used for all communication in connection with this RFP:

Kansas City Area Transportation Authority  
Attn: Denise Adams – Procurement Department  
1350 East 17<sup>th</sup> Street  
Kansas City, Missouri 64108

**RFP #18-7023-31D must be included on the submittal cover.** If delivering in person, please allow time to navigate KCATA's security clearance and parking.

Submission of a proposal shall constitute a firm offer to the KCATA for one hundred (120) days from the date of RFP closing. This Request for Proposal does not commit the KCATA to award a contract, pay any cost incurred in preparation of a proposal in response to this request, or to procure or contract for services. The KCATA reserves the right to accept or reject any or all proposals received as a result of this RFP, to interview or negotiate with any qualified individual or firm, to modify this request, or to cancel in part or in its entirety the RFP if it is in the best interest of the KCATA.

***No person or entity submitting a proposal in response to this RFP, nor any officer, employee, agent, representative, relative or consultant representing such a person (or entity) may contact through any means, or engage in any discussion concerning the evaluation and award of this contract with any member of the KCATA's Board of Commissioners or any employee of KCATA during the period beginning on the date of proposal issue and ending on the date of the selection of the Contractor. Any such contact would be grounds for disqualification of the proposer. Contact with KCATA Procurement Department staff during such time period must be limited to site visits, technical questions, and discussions leading to Best and Final Offers (BAFOs).***

Michael Graham  
Vice President Finance & Procurement/CFO

## TABLE OF CONTENTS

Page

<b>SECTION 1. PROPOSAL CALENDAR.....</b>	<b>6</b>
<b>SECTION 2. SCOPE OF WORK.....</b>	<b>7</b>
2.1 Introduction .....	7
2.2 Term .....	7
2.3 Primary Objectives.....	7
2.4 Qualifications of the Proposer.....	7
2.5 Statement of Purpose.....	8
2.6 The IDIQ Contract .....	8
2.7 Work Order (WO) Process.....	9
2.8 Invoicing, Reporting and Evaluation .....	11
<b>SECTION 3. PROPOSAL INSTRUCTIONS .....</b>	<b>13</b>
3.1 General Information.....	13
3.2 Reservations .....	13
3.3 Proposer’s Responsibilities .....	13
3.4 Authorization to Propose .....	14
3.5 Withdrawal & Incomplete Proposals.....	14
3.6 Modification of Proposals .....	14
3.7 Unbalanced Proposal.....	14
3.8 Protests .....	14
3.9 Disclosure of Proprietary Information .....	15
3.10 Disadvantaged Business Enterprise (DBE) Requirements.....	15
<b>SECTION 4. PROPOSAL SUBMISSION, EVALUATION AND AWARD .....</b>	<b>20</b>
4.1 Proposal Format .....	20
4.2 Volume I -- Cost/Price Proposal .....	20
4.3 Volume II -- Technical Proposal.....	21
4.4 Volume III -- Contractual.....	23
4.5 Basis for Contract Award.....	25
4.6 Technical Proposal Evaluation Criteria .....	26
4.7 Presentations/Interviews/Written Responses .....	26
4.8 Consultant Selection.....	26
<b>ATTACHMENTS.....</b>	<b>27</b>
Attachment A Sample Contract Terms and Conditions .....	27
Attachment B KCATA’s Travel Policy for Contractors.....	49
Attachment C Proposal Submittal Checklist Form .....	50
Attachment D Cost/Price Proposal .....	51
Attachment E Vendor Registration Form .....	53
Attachment F Affidavit of Civil Rights Compliance.....	55
Attachment G-1 Guidelines for Workforce Analysis .....	57
Attachment G-2 Workforce Analysis Report .....	58
Attachment H-1 Affidavit of Primary Participants Regarding Employee Eligibility Verification.....	59
Attachment H-2 Affidavit of Lower-Tier Participants Regarding Employee Eligibility Verification .....	60
Attachment I-1 Certification of Primary Participants Regarding Restrictions on Debarment .....	61
Attachment I-2 Certification of Lower-Tier Participants Regarding Restrictions on Debarment.....	62
Attachment J-1 Certification of Primary Participants Regarding Restrictions on Lobbying.....	63
Attachment J-2 Certification of Lower-Tier Participants Regarding Restrictions on Lobbying .....	64
Attachment K Letter of Intent to Subcontract (if using DBE subcontractor) .....	65

**NO PROPOSAL REPLY FORM**

**PROPOSAL #18-7023-31D**

**Indefinite Delivery/Indefinite Quantity (IDIQ) On-Call  
Innovative Service Model Research, Planning, Crowd-Sourcing/  
Hackathon Management, Implementation, and Evaluation Services**

To assist KCATA in obtaining good competition on its Request for Proposals, we ask that if you received a solicitation but do not wish to propose, please state the reason(s) below and return this form to Denise Adams, Procurement Department, KCATA, 1350 East 17<sup>th</sup> Street, Kansas City, MO 64108 or via fax (816) 346-0336 or via email to dadams@kcata.org.

This information will not preclude receipt of future invitations unless you request removal from the Proposer's List by so indicating below.

*Unfortunately, we must offer a "No Proposal" at this time because:*

\_\_\_ 1. We do not wish to participate in the proposal process.

\_\_\_ 2. We do not wish to propose under the terms and conditions of the Request for Proposal document. Our objections are:

---

---

\_\_\_ 3. We do not feel we can be competitive.

\_\_\_ 4. We do not provide the services on which Proposals are requested.

\_\_\_ 5. Other: \_\_\_\_\_

\_\_\_ We wish to remain on the Proposer's list for these services.

\_\_\_ We wish to be removed from the Proposer's list for these services.

\_\_\_\_\_  
FIRM NAME

\_\_\_\_\_  
SIGNATURE

**SECTION 1  
PROPOSAL CALENDAR**

RFP Issued..... March 29, 2018

Pre-Proposal Conference ..... April 3, 2018  
KCATA’s Breen Building – Large Conference Room 9:00 AM CDT  
1200 East 18<sup>th</sup> Street, Kansas City, MO 64108

Call-In Information: (816) 346-0338  
Participant Code: 0126409

Questions, Comments and Requests for Clarifications Due to KCATA ..... April 9, 2018  
1:00 PM CDT

**Questions/Comments are to be emailed to Denise Adams at [dadams@kcata.org](mailto:dadams@kcata.org)  
and to Kristen Emmendorfer @ [kristene@kcata.org](mailto:kristene@kcata.org)**

KCATA’s Response to Questions, Comments and Requests for Clarification (if required)..... April 12, 2018

RFP Closing..... April 16, 2018  
4:00 p.m. CDT

Interviews (Tentative and if required) ..... April 24-26, 2018

Contract Award (Tentative).....May 2018

## SECTION 2 SCOPE OF SERVICES/WORK

### 2.1 Introduction

- A. The Kansas City Area Transportation Authority (KCATA or Authority) is the regional transit authority in the Kansas City metropolitan area. It was formed by a compact in 1965 and has authority to manage and operate transit service in both Kansas and Missouri. The compact gives KCATA responsibility for planning, constructing, owning and operating passenger transportation systems and facilities within the seven-county Kansas City metropolitan area. These include the counties of Cass, Clay, Jackson and Platte in Missouri, and Johnson, Leavenworth and Wyandotte in Kansas. KCATA is governed by a 10-member Board of Commissioners, five from the state of Kansas and five from the state of Missouri.
- B. KCATA currently operates seventy-one (71) routes (a combination of fixed routes, bus rapid transit, and Metroflex routes) and provides related paratransit services (both American with Disabilities Act (ADA) complimentary paratransit and non-ADA). In addition, KCATA provides management and customer information services for localities within its service area and will create future partnerships designed to increase the service footprint throughout the region utilizing public / private partnerships.
- C. In 2016 KCATA established the Regional Service Delivery and Innovation Division (RSDI). The role of this division is to develop, facilitate, implement, and manage the KCATA's forward thinking approach to emerging transportation business strategies and partnerships to increase ridership. This is done through:
- Relationship Management- Fostering and maintaining relationships with key stakeholders and focusing the creative ingenuity of the region's art, business, and technology communities on transportation solutions.
  - Strategic Partners- Identification and execution of partnership opportunities
  - Unique Service Offerings- Development of "right-fit" services

### 2.2 Term

The term of this agreement shall be for a period of date of contract award through one year. The KCATA shall have the option to renew the contract annually for up to two (2), one - (1) year periods. Work in process prior to expiration of the Agreement shall be completed and as construed by KCATA to be within the "contract term."

### 2.3 Primary Objectives

Successful proposers will work with KCATA staff, as needed, to achieve these goals:

- Position the Kansas City Area Transportation Authority as the regional leader in the identification, assessment, implementation, and evaluation of innovative transportation service models.
- Increase overall ridership on transportation services provided or facilitated by the KCATA.

### 2.4 Qualifications of the Proposer

- A. Qualified proposers will possess the skill set(s) required for the services specified herein. Experience working with transportation and quasi-governmental agencies is preferred, but not required.
- B. The key personnel proposed and named in the submission shall remain assigned to the project throughout the period of the contract. No diversion or replacement shall be made without the submission of a resume and explanation of the professional work history of proposed replacement

demonstrating equal or better skills and qualifications. Final approval of the replacement shall be by KCATA.

- C. Any subcontracting firm or individuals must be clearly identified in the proposal, as well as a brief description of how the subcontractor will be used. It is expressly understood that by proposing subcontractor(s), contractor assumes full liability and responsibility for the subcontractor's performance.

## **2.5 Statement of Purpose**

- A. The intent of this solicitation is to provide the KCATA with qualified and experienced firms that perform a variety of analytical services under Indefinite Delivery/Indefinite Quantity (IDIQ) contracts to provide "on-call" professional innovative consulting services. The services provided will assist the KCATA with identifying, assessing demand for and implementing new service models and modes that meet the needs of a diverse and mobile citizenry.
- B. KCATA seeks to award IDIQ contracts to firms and organizations that can provide the following services:
  - 1. **Ideation Strategy/Management for Emerging Technology, and Service Model Assessments.** KCATA seeks to include innovative approaches and strategies identifying opportunities to enhance service; implement new on-demand new service models; collect and monetize data. These strategies include the facilitation and management of civic hackathons, crowd sourcing, and other engagement strategies technological sector. The selected vendor(s) will assist in identifying problem statements; locating facilities to host events; coordinating event partners; soliciting participants; and measuring performance.
  - 2. **Market Analysis.** KCATA seeks to understand the market for mobility services and to utilize that information for market development and penetration; for formulating marketing strategies, understanding consumer and potential consumer profiles; and for the development of consumer service adoption strategies.
  - 3. **Service Evaluation and Impact Analysis.** The KCATA seeks evaluation and impact services for pilot programs. The evaluation should include economic, environmental, ridership, and financial impacts at the least. Other areas of study may be identified depending on the pilot program.
- C. Respondents must, at a minimum, provide the management, technical and administrative personnel required to plan, implement and document the services described above with either internal resources or through subcontracting/partnership arrangements.

## **2.6 The IDIQ Contract**

- A. It is KCATA's intent to negotiate and award contracts with a minimum of two qualified firms.
- B. The contract will be an Indefinite Delivery/Indefinite Quantity (IDIQ) contract with an obligation for service being based on the issuance of a specific Work Order (WO) with detailed scope of services and cost information. The Authority is not obligated for services until a work order is issued and executed. It is expected that the value of contracted services shall not exceed \$150,000 annually, but the actual amount may be more or less and KCATA does not guarantee a minimum annual level of compensation to any Consultant awarded an IDIQ Contract.
- C. The IDIQ Contract will be a negotiated instrument and is an umbrella contract that does not designate



specific projects or tasks of services. The IDIQ Contract establishes a relationship, specifying terms and conditions of employment, as well as establishing negotiated hourly rates for different professional, technical and administrative classifications of personnel proposed to be available for performance of work.

- D. Compensation for performance under the Agreement will be on an incurred cost plus fixed-fee basis, or in selective cases, based on a negotiated fixed price basis. The terms of the Agreement shall establish an hourly rate schedule for the Consultant and subconsultants for specific classifications of personnel.
- E. Consultants awarded an IDIQ umbrella contract will be offered an opportunity to negotiate for the award of specific Work Orders (WO). KCATA reserves the right to negotiate independently with each Consultant.
- F. The services may not be required on a constant, continuous basis, but rather on an as-needed, on-call basis, during the term of the Contract. The Consultant will provide services pursuant to negotiated WO. Each WO may vary in its size and scope and may entail providing a single support staff person for limited durations. Each WO will be issued on a fixed-price basis.
- G. The IDIQ contracts with consultants are NON-EXCLUSIVE. The KCATA expressly reserves the right to contract with other consultants and contractors for performance of the services described in this RFP. KCATA retains and does not vacate any discretionary rights or authority because of any IDIQ Contract for specified services.
- H. Consultant's coordinator (team leader) will represent the consultant's team and will be the primary contact responsible for all transmittals and communications to the KCATA Project Manager. Likewise, the KCATA Project Manager will represent KCATA as the primary contact responsible for all transmittals and communications to the Consultant.
- I. The Consultant will notify KCATA whenever there is a new sub consultant to be added to the existing WO or to the contract, and submit loaded hourly rates for their position. Prior approval from KCATA is required before the new sub consultant can be added to the current contract/WO.
- J. It is understood and agreed that the Consultant's agreement shall govern only those WO's mutually negotiated and agreed to under each Consultant's IDIQ Agreement and shall not in any manner affect, modify, amend or otherwise change any other contract or agreement that may heretofore have been entered into between the parties.
- K. Negotiation of a WO shall not modify, change or amend the Consultant's agreement with the KCATA.

## **2.7 Work Order (WO) Process**

- A. The administrative procedures for issuing, negotiating and administering the Work Order are set forth below:
  - 1. The KCATA Project Manager may issue a request for preparation of a WO generally describing the objectives and goals of a project. The Consultant will develop the scope of work, and outline the specific tasks to be accomplished. Tasks will be listed under specific discipline headings and each task will list the various category of staffing and hours required to perform the work. If applicable, other professional consultants and technical support services will be listed with estimated costs. Allowable, reimbursable expenses will be itemized.

1. All travel expenses, if any, shall be approved in advance and in accordance with the KCATA's Travel Policy for Contractors as indicated in Attachment B. No modifications will be accepted.
2. Each WO may contain a DBE participation goal, as established by KCATA prior to the WO's issuance. Consultants who fail to meet the DBE participation goal shall show and document its "good faith efforts" to achieve the DBE goal. Good faith efforts shall be based on KCATA's prior established requirements. Failure to provide established DBE participation or evidence of good faith effort on a WO will disqualify the Consultant from future work orders.
3. For WOs that contain DBE goals, the Consultant will explain how and what means will be used to achieve the DBE goal (i.e., partnership, limited partnership, subcontractor, etc.). Only work performed directly by the DBE will be counted toward the DBE participation. Majority firms attached as subcontractors to DBE subcontractors on a WO will not be counted toward that DBE commitment.
4. Once the WO has been accepted in writing by KCATA, Consultants may not remove or modify a DBE's work without prior approval from KCATA. The reasons for the termination, substitute or modification must be documented, with the DBE firm must be notified in writing prior to any change.
5. KCATA Project Manager may issue a WO to a Consultant of KCATA's choice for negotiation of services and pricing. The Consultant will use the negotiated loaded hourly rate as agreed to in the IDIQ Contract. The Consultant will use the team leader, team members, subcontractors, and fees as agreed to in the IDIQ Contract.
6. If a Consultant desires to be awarded a negotiated WO, they must negotiate in good faith and present KCATA with a fair and reasonable price position at the inception of negotiations. If negotiations fail, then KCATA will proceed to negotiate with the next consultant.
4. All WOs will include the following information:
  - a. Proper name of the project or short title.
  - b. Assigned KCATA procurement number.
  - c. Brief narrative description of the project.
  - d. Scope of work.
  - e. Identified disciplines involved, with various categories of staffing assigned and hours considered necessary for each work element at the contracted hourly rate, to be broken out between Prime and Subcontractor.
  - f. Amount of anticipated expenses.
5. For simple or small WOs the submittal procedures and data may be modified by the Project Manager. The complexity of the project will determine the makeup of the WO. In either case, KCATA will be looking for a clear, definitive description of the project so both the Consultant and KCATA may negotiate a fair and reasonable price for the services to be performed.
6. When a WO is accepted, a specific time of performance will be agreed to by both the KCATA and the Consultant. A written Notice to Proceed (NTP) will be issued.
7. Written approval of the WO by the Chief Financial Officer constitutes a Notice to Proceed (NTP). WOs may require work on an emergency basis, which may include nights and/or weekends.

**B. Additional Work Order Requirements**

1. KCATA may request the services of an IDIQ contractor to prepare an Independent Cost Estimate (ICE) in relation to a future WO. The contractor performing the ICE may not be selected to perform the services needed under that WO.
2. To mitigate any conflict of interest, Consultants will be restricted from participating in future competitive solicitations based on Specifications or Statements of Work developed under an awarded Work Order.
3. The contractor shall submit draft and final WOs in a timely manner. The KCATA and the contractor shall mutually agree upon the prescribed number of days for the contractor to submit the draft and final WOs.
4. KCATA's Project Manager reserves the right to reject any contractor-submitted WOs and request the contractor to submit a revised WO with adjustments (revised cost, length of time, solution recommendation, etc.)
5. The Contractor shall not be paid for the preparation of the WO.
6. The WO request, the draft and final WOs, and the contractor's project work must be within the scope of the performance requirements identified in the contract which the contractor was awarded and must not change any provision of the contract.
7. The KCATA's Project Manager shall have the right to modify the Scope of Work and prices may be changed. Changes in compensation for modifications, changes in the Scope of Work, or cancellation must be mutually agreed to in writing by the Consultant, the KCATA Project Manager, or other appointed KCATA representatives. All monetary changes will be approved under the signature of the KCAT Chief Financial Officer or designee. Such amendments will become attachments to the original WO, and will describe in detail the nature of the amendments, including staffing requirements, man-hours, reimbursables, cost adjustments, etc.
8. KCATA may terminate the WO at any time, for the convenience of the KCATA, without penalty or recourse, by giving written notice to the contractor at least ten (10) calendar days prior to the effective date of such termination. In the event of termination pursuant to this paragraph, all documents, data, reports, and accomplishments prepared, furnished or completed by the contractor pursuant to the terms of the contract shall, at the option of the KCATA's designated Project Manager, become the property of the KCATA. The contractor shall be entitled to receive just and equitable compensation for that work completed and accepted by the KCATA pursuant to the WO prior to the effective date of termination.

**2.8 Invoicing, Reporting and Evaluation**

- A. Progress reporting is a required element for each WO. The frequency and scope of reporting will be negotiated with each WO, but is generally expected to be on a monthly basis providing a brief narrative status of work accomplished, work in process, compliance with WO budget and issues of interest to KCATA. KCATA expects to evaluate performance under each WO and discuss the evaluation results with the Consultant. The purpose of the evaluation(s) will be to ensure the continued quality of the Consultant's work under the agreement while making a record of performance.
- B. Invoices shall include the following information:

- Contract number, Work Order number and Project title
- Detail of work hours performed by Consultant's staff including rate of pay
- Detail of work hours performed by any Subcontractor including staff and rate of pay. A copy of the subcontractor's invoice should be included.
- Detail of any expenses incurred, including travel, along with receipts and documentation

**SECTION 3**  
**PROPOSAL INSTRUCTIONS**

**3.1 General Information**

- A. The terms “solicitation” and “Request for Proposals (RFP)” are used interchangeably, and the terms “offer” and “proposal” are used interchangeably. The terms “Proposer,” “Contractor” and “Offeror” are also used interchangeably.
- B. Interested firms may submit proposals until proposal closing as listed in the Proposal Calendar in Section 1. Proposals received after the time specified may not be considered for award. Proposals received via facsimile (fax) or electronic mail (e-mail) will not be considered. Proposals must be delivered or mailed to KCATA’s Procurement Department at 1350 E. 17th Street, Kansas City, MO 64108. If delivering proposals in person, please allow time to get through KCATA’s security clearance and parking.
- C. In cases where communication is required between bidders and the KCATA, such as requests for information, instruction, and clarification of specifications, such communication shall be forwarded in writing by the indicated deadline and directly to Denise Adams, Procurement Manager, at dadams@kcata.org. The subject line of electronic communications must reference the RFP number and title.
- D. Submitting a proposal constitutes a firm offer to KCATA for one hundred twenty (120) days from the closing date.
- E. KCATA is not responsible for any cost or expense that may be incurred by the Proposer before the execution of a contract, including costs associated with preparing a proposal or interviews.

**3.2 Reservations**

- A. KCATA reserves the right to waive informalities or irregularities in proposals, to accept or reject any or all proposals, to cancel this RFP in part or in its entirety, and to re-advertise for proposals if it is in the best interest of the Authority. KCATA shall be the sole judge of what is in its best interest with respect to this RFP.
- B. KCATA also reserves the right to award a contract solely on the basis of the initial proposal without interviews or negotiations. Therefore, offers should be submitted to KCATA on the most favorable terms possible, from a cost or price and technical standpoint.

**3.3 Proposer’s Responsibilities**

- A. By submitting a proposal, the Proposer represents that:
  - 1. The Proposer has read and understands the RFP and the proposal is made in accordance with the RFP requirements and instructions;
  - 2. The Proposer possesses the capabilities, resources, and personnel necessary to provide efficient and successful service to KCATA; and
  - 3. It is authorized to transact business in the State of Missouri.
- B. Before submitting a proposal, the Proposer should make all investigations and examinations necessary to ascertain site or other conditions and requirements affecting the full performance of the contract.

### **3.4 Authorization to Propose**

If an individual doing business under a fictitious name makes the proposal, the proposal should so state. If the proposal is made by a partnership, the full names and addresses of all members of the partnership must be given and one principal member should sign the proposal. If a corporation makes the proposal, an authorized officer should sign the proposal in the corporate name. If the proposal is made by a joint venture, the full names and addresses of all members of the joint venture should be given and one authorized member should sign the proposal.

### **3.5 Withdrawal & Incomplete Proposals**

- A. Proposals may be withdrawn upon written request received by KCATA before proposal closing. Withdrawal of a proposal does not prejudice the right of the Proposer to submit a new proposal, provided the new proposal is received before the closing date.
- B. Incomplete proposals may render the proposal non-responsive.

### **3.6 Modification of Proposals**

Any proposal modifications or revisions received after the time specified for proposal closing may not be considered.

### **3.7 Unbalanced Proposals**

KCATA may determine that an offer is unacceptable if the prices proposed are materially unbalanced. An offer is materially unbalanced when it is based on prices significantly less than cost for some work and prices which are significantly overstated in relation to cost for other work.

### **3.8 Protests**

- A. The following protest procedures will be employed for this procurement. For the purposes of these procedures, “days” shall mean business days of KCATA administrative personnel which are days other than a Saturday, Sunday or legal holiday observed by KCATA for such administrative personnel.
  - 1. **Pre-Submittal.** A pre-submittal protest is received prior to the proposal due date. Pre-submittal protests must be received by the Authority, in writing and addressed to KCATA’s Director of Procurement, no later than five (5) days before the bid closing date.
  - 2. **Post-Submittal/Pre-Award.** A post-submittal/pre-award protest is a protest against making an award and is received after receipt of proposals but before award of a contract. Post-submittal protests must be received by the Authority, in writing and addressed to the KCATA’s Director of Procurement, no later than five (5) days after the bid closing date.
  - 3. **Post-Award.** Post-Award protests must be received by the Authority, in writing and addressed to KCATA’s Director of Procurement, no later than five (5) days after the date of the Notice of Intent to Award.
- B. KCATA’s Director of Procurement shall respond in writing within five (5) days from the date of the written request. If the protester is not satisfied with the response of the Director of Procurement, the protester may appeal in writing to KCATA’s Chief Financial Officer within five (5) days from the date of the Director of Procurement’s response.

- C. The Chief Financial Officer will decide if the protest and the appeal (if any) have been given fair and reasonable consideration, or if additional consideration is warranted. The Chief Financial Officer's response will be provided within ten (10) days after receipt of the request. The Chief Financial Officer's decision is final and no further action on the protest shall be taken by the KCATA.
- D. By written notice to all parties, KCATA's Director of Procurement may extend the time provided for each step of the protest procedures, extend the date of notice of award, or postpone the award of a contract if deemed appropriate for protest resolution.
- E. Protesters shall be aware of the Federal Transit Administration's (FTA) protest procedures with the FTA Regional Office (ref: FTA Circular 4220.1F) If federal funding is involved, FTA will review protests from a third party only when: 1) a grantee does not have a written protest procedure or fails to follow its procedure, or fails to review a complaint or protest; or 2) violations of specific federal laws or regulations have occurred.
- F. An appeal to FTA must be received by FTA's regional office within five (5) working days of the date the protester learned or should have learned of KCATA's decision. Protests shall be addressed to: Regional Administrator, FTA Region 7, 901 Locust, Room 404, Kansas City, Missouri, 64106.

### **3.9 Disclosure of Proprietary Information.**

- A. A proposer may restrict the disclosure of scientific and technological innovations in which it has a proprietary interest, or other information that is protected from public disclosure by law, which is contained in the proposal by:
  - 1. marking each page of each such document prominently in at least 16 point font with the words "Proprietary Information;"
  - 2. printing each page of each such document on a different color paper than the paper on which the remainder of the proposal is printed; and
  - 3. segregating each page of each such document in a sealed envelope, which shall prominently display, on the outside, the words "Proprietary Information" in at least 16 point font, along with the name and address of the Proposer.
- B. After either a contract is executed pursuant to this RFP, or all proposals are rejected, the proposals will be considered public records open for inspection. If access to documents marked "Proprietary Information," as provided above, is requested under the Missouri Sunshine Law, Section 610 of the Revised Statutes of Missouri, the KCATA will notify the Proposer of the request and the Proposer shall have the burden to establish that such documents are exempt from disclosure under the law. Notwithstanding the foregoing, in response to a formal request for information, the KCATA reserves the right to release any documents if the KCATA determines that such information is a public record pursuant to the Missouri Sunshine Law.

### **3.10 Disadvantaged Business Enterprise (DBE) Requirements**

- A. It is the policy of KCATA and the United States Department of Transportation (USDOT) that Disadvantaged Business Enterprises (DBE's) and Small Business Enterprises (SBE's), as defined herein and in the Federal regulations published as 49 CFR Part 26, shall have an equal opportunity to participate in in DOT-assisted contracts. It is also the policy of KCATA to:
  - 1. Ensure nondiscrimination in the award and administration of DOT-assisted contracts;

2. Create a level playing field on which DBE's/SBE's can compete fairly for DOT-assisted contracts;
  3. Ensure that the DBE program is narrowly tailored in accordance with applicable law;
  4. Ensure that only firms that fully meet 49 CFR Part 26 eligibility are permitted to participate as DBE's;
  5. Help remove barriers to the participation of DBE's in DOT assisted contracts;
  6. To promote the use of DBE's in all types of federally assisted contracts and procurement activities; and
  7. Assist in the development of firms that can compete successfully in the marketplace outside the DBE program.
- B. Certified Minority Owned Business Enterprises (MBE's), Woman Owned Business Enterprises (WBE's), Small Business Enterprises (SBE's) and DBE firms are encouraged to submit proposals as prime or subcontractors.
- C. **Non-discrimination.** Proposers shall not discriminate on the basis of race, color, national origin, or sex in the performance of this project. The Proposer shall carry out applicable requirements of 49 CFR Part 26 in the award and administration of DOT-assisted contracts. Failure by the Proposer to carry out these requirements is a material breach of the resulting contract, which may result in the termination of the contract or such other remedy as KCATA deems appropriate.
- D. **DBE Certification.** DBE firms may participate as prime Contractors, subcontractors or suppliers. KCATA will only recognize firms that are certified as DBEs under the DOT guidelines found in 49 CFR Part 26. Firms must be certified as a DBE by a member of the Missouri Regional Certification Committee, which includes KCMO, MoDOT, City of St. Louis, Metro in St. Louis or KCATA. A list of certified firms may be found at [www.modot.mo.gov/ecr/index.htm](http://www.modot.mo.gov/ecr/index.htm).

MBE and WBE certifications from an MRCC partner (City of Kansas City, City of St. Louis) will be accepted.

- E. **DBE Participation Credit.** DBE firms may participate as Prime Contractors, Subcontractors or Suppliers.

The following shall be credited towards achieving the goals, except as provided herein:

1. The total contract dollar amount that a qualified DBE Prime Contractor earns for that portion of work on the contract that is performed by its own workforce, is performed in a category in which the DBE is currently certified, and is a commercially useful function as defined by the Program.
2. The total contract dollar amount that a Prime Contractor has paid or is obligated to pay to a subcontractor that is a qualified DBE; and
3. Subcontractor participation with a lower tier DBE subcontractor; and
4. Sixty percent (60%) of the total dollar amount paid or to be paid by a Prime Contractor to obtain supplies or goods from a supplier who is not a manufacturer and who is a qualified DBE. If the



DBE is a manufacturer of the supplies, then one hundred percent (100%) may be credited, to be determined on a case-by-case basis.

5. NO CREDIT, however, will be given for the following:
  - a. Participation in a contract by a DBE that does not perform a commercially useful function as defined by the Program; and
  - b. Any portion of the value of the contract that a DBE Subcontractor subcontracts back to the prime contractor or any other contractor who is not a qualified DBE; and
  - c. Materials and supplies used on the contract unless the DBE is responsible for negotiating the price, determining quality and quantity, ordering the materials and installing (where applicable) and paying for material itself; and
  - d. Work performed by a DBE in a scope of work other than that in which the DBE is currently certified.

F. **Good Faith Efforts.** Failure to meet the contracted DBE participation commitment without documented evidence of good faith efforts may result in termination of the contract.

1. In evaluating good faith efforts, KCATA will consider whether the Proposer has performed the following, along with any other relevant factors:
  - a. Soliciting through all reasonable and available means (e.g. attendance at pre-bid meetings, advertising and/or written notices) the interest of all certified DBEs who have the capability to perform the work of the contract. The bidder must solicit this interest within sufficient time to allow the DBEs to respond to the solicitation. The bidder must determine with certainty if the DBEs are interested by taking appropriate steps to follow up initial solicitations. Copies of the solicitation efforts (dated facsimiles, advertisements, emails) must be submitted.
  - b. Selecting portions of the work to be performed by DBEs in order to increase the likelihood that the DBE goals will be achieved. This includes, where appropriate, breaking out contract work items into economically feasible units to facilitate DBE participation, even when the prime contractor might otherwise prefer to perform these work items with its own forces.
  - c. Providing interested DBEs with adequate information about the plans, specifications, and requirements of the contract in a timely manner to assist them in responding to a solicitation.
  - d. Negotiating in good faith with interested DBEs.
2. It is the bidder's responsibility to make a portion of the work available to DBE subcontractors and suppliers and to select those portions of the work or material needs consistent with the available DBE subcontractors and suppliers, so as to facilitate DBE participation. Evidence of such negotiation includes the names, addresses, and telephone numbers of DBEs that were considered; a description of the information provided regarding the plans and specifications for the work selected for subcontracting; and evidence as to why additional agreements could not be reached for DBEs to perform the work.
3. A bidder using good business judgment would consider a number of factors in negotiating with

subcontractors, include DBE subcontractors, and would take a firm's price and capabilities as well as contract goals into consideration. However, the fact that there may be some additional costs involved in finding and using DBEs is not in itself sufficient reason for a bidder's failure to meet the contract DBE goal, as long as such costs are reasonable. Also, the ability or desire of a prime contractor to perform the work of a contract with its own organization does not relieve the bidder of the responsibility to make good faith efforts. Prime contractors are not, however, required to accept higher quotes from DBEs if the price difference is excessive or unreasonable.

4. Not rejecting DBEs as being unqualified without sound reasons based on a thorough investigation of their capabilities. The contractor's standing within its industry, membership in specific groups, organizations, or associations and political or social affiliations (for example union vs. non-union employee status) are not legitimate causes for the rejection or non-solicitation of bids in the contractor's efforts to meet the project goal.
5. Making efforts to assist interested DBEs in obtaining bonding, lines of credit, or insurance as required by the KCATA or contractor.
6. Making efforts to assist interested DBEs in obtaining necessary equipment, supplies, materials, or related assistance or services.
7. Effectively using the services of available minority/women community organizations; minority/women contractors' groups; local, state, and Federal minority/women business assistance offices; and other organizations as allowed on a case-by-case basis to provide assistance in the recruitment and placement of DBEs.
8. In determining if the Contractor did use good faith efforts in securing DBE Participation, KCATA may request copies of each DBE and non-DBE subcontractor quote in the event a non-DBE subcontractor was selected over a DBE for work on the contract.

G. **Request for Modification, Replacement or Termination of Disadvantaged Business Enterprise (DBE) Project Participation.** Contractor is responsible for meeting or exceeding the DBE commitment it has proposed for the project and as amended by any previously approved Request for DBE Modification/Substitution. Any Change Orders or amendment modifying the amount Contractor is to be compensated will impact the amount of compensation due to DBEs for purposes of meeting or exceeding the Proposer commitment. Contractor shall consider the effect of a Change Order or amendment and submit a Request for Modification/Substitution if the DBE commitment changes.

- A. **Termination Only for Cause** - Once the contract has been awarded; Contractor may not terminate a DBE subcontractor without KCATA's prior written consent. This includes, but is not limited to, instances in which a Contractor seeks to perform work originally designated for a DBE subcontractor with its own forces or those of an affiliate, a non-DBE firm, or with another DBE firm.
- B. **Good Cause** - Good cause includes the following circumstances:
  1. The listed DBE subcontractor fails or refuses to execute a written contract; or
  2. The listed DBE subcontractor fails or refuses to perform the work of its normal industry standards. Provided, however, that the good cause does not exist if the failure or refusal of the DBE subcontractor to perform its work on the subcontract results from the bad faith or discriminatory action of the Prime Contractor; or

3. The listed DBE subcontractor fails or refuses to meet the Prime Contractor's reasonable, nondiscriminatory bond requirements; or
  4. The listed DBE subcontractor becomes bankrupt, insolvent, or exhibits credit unworthiness; or
  5. The listed DBE subcontractor is ineligible to work on public works projects because of suspension and debarment proceedings pursuant to 2 CFR Parts 180, 215 and 1200 or applicable state law; or
  6. The DBE subcontractor is not a responsible contractor; or
  7. The listed DBE subcontractor voluntarily withdraws from the project and provides the Prime Contractor written notice of its withdrawal;
  8. The listed DBE is ineligible to receive DBE credit for the type of work required;
  9. A DBE owner dies or becomes disabled with the result that the listed DBE contractor is unable to complete its work on the contract;
  10. Other documented good cause that compels KCATA to terminate the DBE subcontractor. Provided the good cause does not exist if the Prime contractor seeks to terminate a DBE it relied upon to obtain the contract so that the Prime Contractor can self-perform the work for which the DBE contractor was engaged or so that the Prime Contractor can substitute another DBE or non-DBE contractor.
- C. Before submitting its request to terminate or substitute a DBE subcontractor, the Prime Contractor must give notice in writing to the DBE subcontractor, with a copy to KCATA, of its intent to request to terminate and/or substitute, and the reason for the request.
- D. The Prime Contractor must give the DBE five days to respond to the Prime Contractor's notice and advise the KCATA and the Contractor of the reasons, if any, why it objects to the proposed termination of its subcontract and why KCATA should not approve the Prime Contractor's action. If required in a particular case as a matter of public necessity (e.g., safety), the response period may be shortened.

**SECTION 4  
PROPOSAL SUBMISSION, EVALUATION AND AWARD**

**4.1 Proposal Format**

Proposals shall be submitted as follows.

- A. The proposal package consists of three (3) volumes.
- B. The originals of volumes 1 and 2 shall be unbound. All copies of volumes 1, 2 and 3 shall be separately bound and all copies and originals shall have the RFP number and name, the offeror's identity, volume number and volume title printed on the cover page.
- C. Volumes shall be submitted in the following order:
  - 1. Volume I – Cost/Price Proposal: One (1) original and one (1) copy
  - 2. Volume II – Technical Proposal: One (1) original and four (4) copies
  - 3. Volume III – Contractual: One (1) original of the completed signed solicitation documents to include DBE & subcontractor documents (if utilized), Receipt of Addenda form (if issued) and the documents listed in Section 4.4 below.
- D. Proposers are asked to provide a complete set (Volumes I, II and III) of their proposal documents in .pdf format (each volume separate) on a flash/jump drive. This should be included with Volume III submittals.

**4.2 Volume I - Cost/Price Proposal**

- A. KCATA will evaluate cost/price proposals for reasonableness, completeness, and realism as appropriate.
- B. Proposers shall complete the Cost/Price Proposal (Appendix D) to include:
  - 1. Employee Names and Positions/Titles
  - 2. Direct Labor Costs, which are limited to actual W-2 costs incurred and will be limited to the hourly rates as proposed by the Consultant in this Proposal and approved by KCATA negotiations.
  - 3. Proposer's Overhead rate supported by the most recent statement of Direct labor, Fringe Benefits and General Overhead, prepared in accordance with Title 48 CFR, Part 31 of the Federal Acquisition Regulations. Proposers may submit audited statements from other agencies that support the proposed Overhead rates.
  - 4. The maximum rate allowed for Fixed Fees will be capped at 10% for the duration of the contract, including option years.
- C. The Direct Labor Costs will be fixed for the first year of the contract term. Future labor rates for option years will be negotiated on such factors as the Bureau of Labor Statistics' Employment Cost Index for private industry workers, wages and salaries in effect 60 days prior to the contract anniversary, and will take into consideration changes in personnel, promotions and retirements.

- D. Proposer must provide this information for all subconsultants proposed for this Agreement at the time of submission deadline.
- E. The Cost/Price Proposal shall be submitted in a separate, sealed envelope and labeled as such. **No price information is to be included in the Technical Proposal.**

#### **4.3 Volume II -- Technical Proposal**

##### **A. Technical Proposal Page Limit**

- F. The technical proposal page limit is 30 pages. If a Proposer submits a proposal exceeding this limit, KCATA may consider the pages up to the allowable number and discard all subsequent pages.
- G. The following are excluded from the page count:
- Title Page
  - Table of Contents
  - Letter of Transmittal
  - Tabs or Indices
  - Additional lists of references
  - Résumé/background information (please restrict to a maximum of three (3) pages per individual)
  - Manuals, charts and graphics as requested in this RFP
- H. One page is defined as one side of a single, 8-1/2 x 11" page, with 11 point minimum font size for the substantive text. Any page over this size will be counted as two (2) pages. Any page or partial page with substantive text, tables, graphics, charts, résumés, etc. will be counted as one (1) page. Proposers may use their discretion for the font size of other materials (e.g. graphics, charts).

##### **B. Volume II - Technical Proposal**

1. Each technical proposal should enable the evaluation committee to make a thorough evaluation and arrive at a sound determination as to whether or not the proposal will meet KCATA's requirements. Each technical proposal must be so specific, detailed and complete as to clearly and fully demonstrate that the Proposer has a thorough knowledge and understanding of the requirements and has valid and practical solutions for technical problems. Statements which paraphrase the requirements or state that "standard procedures will be employed" are inadequate to demonstrate how the Proposer will comply with the requirements of this procurement.
2. To achieve a uniform review process and obtain the maximum degree of compatibility, technical proposals must be organized as follows:
  - a. Title Page. Show the RFP number and title, the name of the firm, address, telephone number(s), name and title of contact person, telephone number(s), email address, facsimile number and date.
  - b. Letter of Transmittal. The letter should be addressed to Denise Adams, Procurement Manager, and signed by a corporate officer with authority to bind the firm. The letter must contain the following:

- 1) Identification of proposing firm(s), including name, address, telephone number(s) and email addresses of each subcontractor.
- 2) Proposed working relationship among proposing firms (e.g., prime, subcontractor), if applicable.
- 3) Name, title, address, telephone number and email address of the contact person for the project.
- 4) Give a brief overview of the proposed project. Be sure to note its competitive advantages and make a positive commitment to provide the services as specified.

c. Experience, Quality, Stability and Reputation of the Firm

- 1) Provide a brief synopsis of the firm, including when and where incorporated, major business activities, and a listing of officers of the company. State whether the firm is local, regional, or national and how long the firm has been in existence under current ownership or management. Provide a brief narrative describing number of employees, and organizational structure.
- 2) Give a brief overview of experience of key personnel in the field of innovative services as detailed in the Scope of Services (Section 2). The offeror shall demonstrate past performance related to the scope of work. The offeror shall provide a minimum of five (5) contract references both for itself and for any major subcontractor to enable KCATA to assess the quality of the offeror's major subcontractors' past performance. The referenced contracts shall be similar in scope, magnitude and complexity to that contemplated in this RFP, and include any public-sector clients. The following information shall be included for each contract:
  - Name and address of contracting entity, state or local governments agency or commercial customer;
  - Contract type;
  - Contract value;
  - Brief description of services as required under the contract, including performance location(s) and performance period;
  - Name, telephone number, and e-mail address of individual able to provide information about offeror's past performance.

This information is required for Subcontractors proposed for this agreement.

- 3) Provide an organizational chart showing how the account will be staffed in all functional areas. Indicate how the local staff will be supported by other regional or national staff and the reporting relationships between local staff and other firm management staff, if applicable.
- 4) Describe the firm's unique capabilities and client experiences that different you from your competitors.

- 5) List an industry groups to which you belong. What is your company's required certifications? What current certifications does your company have? Include certifications obtained for each of the staff members assigned to this project.

d. Exceptions, and Omissions

- 1) Exceptions. The proposal should clearly identify any exceptions to the requirements set forth in this RFP. Proposers should also review the sample terms and conditions (Attachment A), and identify any exceptions to the clauses included therein. Any exceptions to the Terms and Conditions must be provided in the Proposal documents. The Proposers submittal may be considered non-responsive in the event KCATA and Proposer do not reach agreement on any exceptions noted.
- 2) Omissions. The Contractor will be responsible for providing all services which are necessary within the general parameters described in this RFP, and consistent with established industry practices, regardless of whether those services are specifically mentioned in this RFP or not. The Proposer should clearly identify any omissions to the requirements set forth in the RFP.

e. Subcontractor Utilization Plan

- 1) Subcontractors must be approved by KCATA prior to contract award. If applicable, Proposers shall provide the following information regarding unaffiliated firms that will perform a portion of the work.
  - Company name
  - Address
  - Contact person and title
  - Telephone number, facsimile number and email address
  - Indicate if an affiliate or subsidiary of another firm and provide details
  - Date business was established and number of years under present ownership/management
  - Services to be performed on this project
  - Resumes indicating experience, education, licenses and certifications of key personnel that will be involved in this project
  - Provide up to five (5) current, relevant references for contracts performing similar work. Include contract amount, contract start/end dates, type of services performed, assigned Project Manager and other key personnel.
- 2) Include the following signed and dated certification statement:

*"I certify that each subcontractor has been notified that it has been listed in this proposal and that each subcontractor has consented, in writing, to its name being submitted for this RFP. Additionally, I certify that I shall notify each subcontractor in writing if the award is granted to my firm, and I will make all documentation available to KCATA upon request."*

#### **4.4 Volume III – Contractual**

- A. **Financial Condition of the Firm.** Financial data will be held in confidence and will not become part of the procurement file or the awarded contract file. In this section the Proposer must submit information demonstrating that it is financially sound and has the necessary financial resources to

perform the contract in a satisfactory manner. The Proposer is required to permit KCATA to inspect and examine its financial statements. The Proposer shall submit the firm's most recent unaudited financial statements as well as two (2) years of its most recent audited annual financial statements. These statements consist of Statement of Financial Position (Balance Sheet), Results of Operations (Income Statement), Statement of Cash Flow, and Statement of Retained Earnings, and applicable footnotes. Supplementary financial information may be requested as necessary.

**B. Disclosure of Investigations/Actions.** Proposer must provide a detailed description of any investigation or litigation, including administrative complaints or other administrative proceedings, involving any public-sector clients during the past five (5) years including the nature and status of the investigation, and, for any litigation, the caption of the action, a brief description of the action, the date of inception, status, and, if applicable, the disposition.

**C. Debarment**

1. The Proposer must certify (Attachment I) that is not included in the "U. S. General Services Administration's List of Parties Excluded from Federal Procurement or Non-Procurement Programs."
2. The Proposer agrees to refrain from awarding any subcontractor of any amount (at any tier) to a debarred or suspended subcontractor, and to obtain a similar certification from any subcontractor (at any tier) seeking a contract exceeding \$25,000.
3. The Proposer agrees to provide KCATA with a copy of each conditioned debarment or suspension certification provided by a prospective subcontractor at any tier, and to refrain from awarding a subcontract with any party that has submitted a conditioned debarment or suspension certification until FTA approval is obtained.

**D. Lobbying**

1. Pursuant to Public Law 104-65, the Proposer is required to certify that no Federal funds were used to influence or attempt to influence an officer or employee of any Federal department or agency, a member of Congress or State legislature, an officer or employee of Congress or State legislature, or an employee of a member of Congress or State legislature regarding the project(s) included in this contract (see Attachment J).
2. Proposers who use non-Federal funds for lobbying on behalf of specific projects or proposals must submit disclosure documentation when these efforts are intended to influence the decisions of Federal officials. If applicable, Standard Form-LLL, "Disclosure Form to Report Lobbying", is required with the Proposer's first submission initiating the KCATA's consideration for a contract. Additionally, Disclosure forms are required each calendar quarter following the first disclosure if there has been a material change in the status of the previous disclosure. A material change includes: 1) a cumulative increase of \$25,000 or more in the amount paid or expected to be paid for influencing or attempting to influence a covered Federal action; 2) a change in the person(s) or individual(s) influencing or attempting to influence a covered Federal action; or 3) a change in the officer(s) or employee(s) or Member(s) contacted to influence or attempt to influence a covered Federal action.
3. The Proposer is required to obtain the same certification and disclosure from all subcontractors (at all tiers) when the Federal money involved in the subcontract is \$100,000 or more. Any disclosure forms received by the Proposer must be forwarded to the KCATA.



**E. Employee Eligibility Verification**

1. The Proposer shall affirm that it does not knowingly employ any person in connection with the contracted services who does not have the legal right or authorization under Federal law to work in the United States as defined in 8 U.S.C. §1324a(h)(3).
2. The Proposer is required by sworn affidavit and provision of documentation, to affirm its enrollment and participation in a Federal work authorization program with respect to employees working in connection with the contracted services (Attachment H). Acceptable documentation is a copy of the Memorandum of Understanding (MOU) executed by your firm and the Department of Homeland Security.
3. The Proposer is required to obtain the same affirmation from all subcontractors at all tiers.

**F. Proposer Status and Affirmative Action**

1. Vendor Registration. All firms doing business with the KCATA shall complete a Vendor Registration Form (Attachment E) unless already registered with KCATA. It is the vendors' responsibility to keep a current form on file with KCATA's Procurement Department.
2. Affirmative Action Compliance.
  - a. Contractors and subcontractors agree to comply with Federal Transit Law, specifically 49 U.S.C. 5332 which prohibits discrimination, including discrimination in employment and discrimination in business opportunity.
    - (1) A notarized Affidavit of Civil Rights Compliance form (Attachment F).
    - (2) A completed Workforce Analysis Report Form AA1, Part 2 (Attachment G-2). A current EEO-1 filed with another government agency may be substituted for this document.
  - b. For questions on these requirements, or for assistance in completing the forms, please contact KCATA's Contractor Administrator Specialist at (816) 346-0336 or via email at [mgay@kcata.org](mailto:mgay@kcata.org).

- G. Letter of Intent to Subcontract.** This document (Attachment K) must be executed between the Prime and any certified DBE subcontractor.

**4.5 Basis for Contract Award**

- A. This is a "best value," competitive, negotiated source selection. Award of contract, if any, will be made to the responsive and responsible Proposer whose offer conforming to the solicitation is judged by an integrated assessment of the evaluation criteria to be the most advantageous to the Authority, price/cost and other factors considered. For this procurement, all evaluation factors other than cost/price, when combined are more important than cost/price.
- B. KCATA may select other than the lowest cost/priced, technically acceptable offer if it is determined that the additional technical merit offered is worth the additional cost in relation to other proposals received. KCATA is more concerned with obtaining excellent service than with making an award at the lowest overall cost/price to the Authority. However, the Authority will not make an award at a significantly higher overall cost to achieve only slightly superior technical features.

- C. Offerors are further cautioned that KCATA may not necessarily make an award to the Proposer with the highest technical ranking if doing so would not represent the best value to KCATA. For evaluation purposes, if proposals become more technically equivalent, then cost/price becomes more important and may be the deciding factor.

**4.6 Technical Proposal Evaluation Criteria**

In addition to cost/price, proposals will be evaluated by the evaluation committee on the basis of the following criteria.

- Experience in managing projects similar in size and Scope.....40 Points Total
- Experience, quality, stability and reputation of Proposer and Key Personnel.....30 Points Total
- Price Proposal .....20 Points Total
- Proposal merit (thoroughness; addressing project scope).....10 Points Total

**4.7 Presentations/Interviews/Written Responses**

- A. Highly-qualified Proposers submitting responsive and responsible proposals may be invited to interview with the evaluation committee at their own expense. The evaluation committee may also require a Proposer(s) to submit written responses to questions regarding its proposal. Proposers selected for interview will be notified.
- B. KCATA may waive the interviews and award a contract based solely on the Technical Proposals and Cost Proposals submitted.

**4.8 Consultant Selection**

- A. Based on the evaluation process described above, the Evaluation Committee will determine the best-qualified firm/team(s) for this procurement and contract negotiations will begin immediately with the selected firms.
- B. If negotiations are successful, the Evaluation Committee will recommend award to the best-qualified firm(s)/team(s).
- C. Authorization for the Contractor to begin work on the project will be issued by the Procurement department upon contract execution. Any work provided by Contractor prior to official notice is at Contractor’s risk and may not be considered eligible for reimbursement.

**ATTACHMENT A**  
**SAMPLE CONTRACT/TERMS AND CONDITIONS**

**THIS AGREEMENT**, made and entered into this \_\_\_\_\_ day of \_\_\_\_\_, 2018, by and between the **Kansas City Area Transportation Authority (KCATA)**, a body corporate and politic, and a political subdivision of the States of Missouri and Kansas, with offices at 1350 East 17th Street, Kansas City, Missouri, 64108 and \_\_\_\_\_ (**Contractor**), with offices at \_\_\_\_\_.

**FOR AND IN** consideration of the mutual agreements of the parties herein contained and other valuable considerations, the sufficiency of which is hereby acknowledged, the parties hereto do mutually agree as follows:

**1. APPOINTMENT OF CONTRACTOR; WORK ORDERS**

- a. **Agreement.** KCATA and Contractor agree to be bound by the terms and conditions of this Agreement when a Work Order (also referred to as "WO" as defined in paragraph b below) is executed for a specific task. KCATA hereby retains Contractor as an independent contractor for the sole purpose of performing the services described in the Work Order awarded to Contractor as described herein. For each WO awarded to Contractor, Contractor hereby agrees to perform such services (the "Services") described in each WO on the terms and conditions as set forth below.
- b. **Work Order.** At any time during the Term (as defined in Section 3 below), KCATA may negotiate with the Contractor a Work Order (WO) describing the nature of one or more specific tasks, the cost framework to be used by Contractor and any other information relating to the WO or other Work. KCATA and Contractor agree that the form of the WO may change during the term of this Agreement. Contractor acknowledges that KCATA may in its sole discretion amend, delete or add provisions to a WO based on negotiations, including without limitation, the terms and conditions, proposal formats, and terms of compensation which must be mutually agreed to in writing. Based on the offer received, KCATA may negotiate with Contractor regarding the specific tasks and price. If Contractor is selected, Contractor and KCATA shall execute the WO, and there shall exist a binding obligation between Contractor and KCATA pursuant to the terms of this Agreement and the WO regarding the Services.

**2. GENERAL SCOPE OF DUTIES**

Contractor's duties under this Agreement are generally to provide "on-call" innovative services as described in the Scope of Services attached hereto as **Appendix B**. WO's will specify work to be performed and limits of Contractor's authority. Approved WO's shall be attached to this Agreement and become a part thereof.

**3. TIME OF PERFORMANCE; TERM**

This Agreement shall have a term of *(date of award)* through *(one year)*. The KCATA shall have the option to renew this agreement annually for two, one-year periods. Work in progress prior to expiration of the Agreement shall be completed and is construed by KCATA to be within the "Term."

**4. COMPENSATION**

The Contractor agrees to perform the services to be specified as negotiated in each WO in an aggregate amount not to exceed Two Hundred Fifty Thousand Dollars (\$250,000) annually. Compensation for services to be performed under each WO under this Agreement shall be on the fully loaded per hour rates of the job classification personnel performing the work order tasks for actual work performed with each WO having a guaranteed not to exceed total amount.

The parties agree that all WO's will comply with the Fully Loaded Rate Agreement as negotiated for the Contractor, attached as **Appendix C** and incorporated herein by this reference. All cost components are subject to audit and possible adjustment based on the audited information.

- A. It is expressly understood and agreed that in no event shall Consultant be compensated in an amount greater than the amount specified in any individual WO for the services performed under such WO.

- B. Travel costs shall follow the Travel Policy incorporated into this Agreement as **Appendix E** and shall be reimbursed only with prior written approval of KCATA's Project Manager.
- C. No mark-up, profit, fee or overhead will be taken by the Contractor on subcontractors' invoices.

**5. MANNER OF PAYMENT**

- A. Contractor shall submit a separate monthly invoice for work performed under each Work Order during the preceding month to KCATA's Project Manager. All invoices shall be numbered, dated, and submitted in duplicate showing the **Work Order number, the Purchase Order#, and Agreement #18-7023-31D**.
- B. Each invoice shall detail, pursuant to the categories of costs (i.e. labor costs, general and administrative expenses, subcontractors' costs, general and administrative overhead costs for subcontractors, other direct costs, fixed fees for Contractor and subcontractors, and the DBE proportion), for services performed during the billing period; the personnel performing these services and their applicable hourly rate of compensation, which shall conform to the rates specified in the Rate Agreement, shall also be detailed.
- C. The invoices shall be in a format acceptable to the KCATA Project Manager. Monthly invoices from Contractor shall be submitted not more than fifteen (15) days after the end of each calendar month. Invoices submitted more than one hundred eighty (180) days beyond the date work performed will not be reimbursed.
- D. Provided the services performed have been acceptable, approved invoices shall be paid within thirty (30) days of their receipt. Submittal of the final invoice shall be made no more than thirty (30) days after completion of work specified, unless such date is change by mutual agreement of Contractor and KCATA.

**6. MISCELLANEOUS PROVISIONS**

The following sections, attached and incorporated herein, including this agreement and modifications issued hereafter, constitute the entire contract document between the KCATA and the Contractor.

- Appendix A. Contract Terms and Conditions; and
- Appendix B. Scope of Work; and
- Appendix C. KCATA's Travel Policy for Contractors; and
- Appendix C. Proposal Cost Page Submitted by Contractor (Listing of Fully Loaded Rates)

**7. BINDING EFFECT**

This Agreement has all requisite approvals of the parties hereto and will insure to the benefit of and bind the respective successors and permitted assigns of the parties hereto.

**IN WITNESS WHEREOF**, the parties hereto for themselves, their successors and assigns, have executed this Agreement the day and year first above written.

\_\_\_\_\_  
**(CONTRACTOR)**

**KANSAS CITY AREA TRANSPORTATION  
AUTHORITY (KCATA)**

By \_\_\_\_\_

By \_\_\_\_\_  
Daniel Serda, Chairman of the Board

By \_\_\_\_\_  
Melissa Bynum, Secretary of the Board

## **CONTRACT TERMS AND CONDITIONS**

### **1. ACCEPTANCE OF MATERIALS – NO RELEASE**

Acceptance of any portion of the services or materials prior to final acceptance shall not release the Contractor from liability for faulty workmanship or materials, or for failure to fully comply with all of the terms of this Contract. KCATA reserves the right and shall be at liberty to inspect all materials and workmanship at any time during the Contract term, and shall have the right to reject all materials and workmanship which do not conform with the conditions, Contract requirements or specifications; provided, however, that KCATA is under no duty to make such inspection, and Contractor shall (notwithstanding any such inspection) have a continuing obligation to furnish all services or materials and workmanship in accordance with the instructions, Contract requirements and specifications. Until delivery and acceptance, and after any rejections, risk of loss will be on the Contractor, unless loss results from negligence of KCATA.

### **2. AGREEMENT IN ENTIRETY**

This Contract represents the entire and integrated agreement between the parties and supersedes all prior negotiations, representations or agreements, either written or oral. This Contract may be amended only by written instrument signed by all parties.

### **3. ASSIGNMENT**

The Contractor shall not assign any interest in this Contract and shall not transfer any interest in the same (whether by assignment or novation), without the prior written consent of KCATA. In the event of KCATA's consent to assignment of this Contract, all of the terms, provisions and conditions of the Contract shall be binding upon and inure to the benefit of the parties and their respective successors, assigns and legal representative.

### **4. BANKRUPTCY**

In the event the Contractor enters into proceedings relating to bankruptcy, whether voluntary or involuntary, the Contractor agrees to furnish, by certified mail, written notification of the bankruptcy to the KCATA official identified in the "Notification and Communication" section. This notification shall be furnished within five (5) days of the initiation of the proceedings relating to bankruptcy filing. This notification shall include the date on which the bankruptcy petition was filed, the identity of the court in which the bankruptcy petition was filed, and a listing of KCATA Contract numbers against which final payment has not been made. This obligation remains in effect until final payment under this Contract.

### **4. BREACH OF CONTRACT; REMEDIES**

- A. If the Contractor shall fail, refuse or neglect to comply with any terms of this Contract, such failure shall be deemed a total breach of contract and the Contractor shall be subject to legal recourse by KCATA, plus costs resulting from failure to comply including the KCATA's reasonable attorney fees, whether or not suit be commenced.
- B. The duties and obligations imposed by this Contract and the rights and remedies available hereunder shall be in addition to and not a limitation of any duties, obligations, rights and remedies otherwise imposed or available by law or equity. No action or failure to act by KCATA shall constitute a waiver of any right or duty afforded under this Contract, nor shall any such action or failure to act constitute an approval of or acquiescence in any breach hereunder, except as may be specifically agreed in writing.

### **5. CHANGES**

KCATA may at any time, by a written order, and without notice to the Contractor, make changes within the

general scope of this Contract. No such changes shall be made by the Contractor without prior written approval by KCATA. If any such change causes an increase or decrease in the Contract sum, or the time required for performance of this Contract, whether changed or not changed by such order, an equitable adjustment shall be made by written modification. Any Contractor's claim for adjustment under this clause must be asserted within 30 days from the date of receipt by the Contractor of the notification of change. Nothing in this clause shall excuse the Contractor from proceeding with this Contract as changed.

## 7. CHANGES TO FEDERAL REQUIREMENTS

Contractor shall at all times be aware and comply with all applicable Federal Transit Administration regulations, policies, procedures and directives, including without limitation, those listed directly or by reference in the Agreement between the Authority and FTA (FTA MA (23) dated July 6, 2016), as they may be amended or promulgated from time to time during the term of this Contract. Contractors' failure to so comply shall constitute a material breach of this Contract. Contractor agrees to include this clause in all subcontracts at any tier. It is further agreed that the clause shall not be modified, except to identify the subcontractors who will be subject to its provisions.

## 8. CIVIL RIGHTS

- A. **Nondiscrimination.** In accordance with Title VI of the Civil Rights Act, as amended, 42 U.S.C. § 2000d, section 303 of the Age Discrimination Act of 1975, as amended, 42 U.S.C. § 6102, section 202 of the Americans with Disabilities Act of 1990, 42 U.S. C. § 12132, and Federal transit law at 49 U.S.C. § 5332, the Contractor agrees that it will not discriminate against any employee or applicant for employment because of race, color, creed, age, sex, sexual orientation, gender identity, national origin or disability. In addition, the Contractor agrees to comply with applicable Federal implementing regulations and other implementing regulations that the Federal Transit Administration (FTA) may issue.
- B. **Equal Employment Opportunity.** The following equal employment opportunity requirements apply to this Contract:
1. Race, Color, Creed, National Origin or Sex. In accordance with Title VII of the Civil Rights Act, as amended, 42. U.S.C. §2000e, *et seq.*, and Federal transit laws at 49 U.S.C. §5332, the Contractor agrees to comply with all applicable equal opportunity requirements of the U.S. Department of Labor (U.S. DOL) regulations, "Office of Federal Contract Compliance Programs, Equal Employment Opportunity, Department of Labor" 41 C.F.R. Parts 60 *et seq.*, (which implement Executive Order No. 11246, "Equal Employment Opportunity," as amended by Executive Order No. 11375, "Amending Executive Order 11246 Relating to Equal Employment Opportunity," 42 U.S.C. 2000e note), and with any applicable Federal statutes, executive orders, regulations, and Federal policies that may in the future affect construction activities undertaken in the course of the Contract. The Contractor agrees to take affirmative action to ensure that applicants are employed, and that employees are treated during employment without regard to their race, color, creed, age, sex, sexual orientation, gender identity or national origin. Such action shall include, but not be limited to, the following: employment, upgrading, demotion or transfer, recruitment or recruitment advertising, layoff or termination; rates of pay or other forms of compensation; and selection for training, including apprenticeship. In addition, the Contractor agrees to comply with any implementing requirements FTA may issue.
  2. Age. In accordance with the Age Discrimination in Employment Act, 29 U.S.C. §§ 621-634, U.S. Equal Employment Opportunity Commissioner (U.S.EEOC) regulations, "Age Discrimination in Employment Act," 29 C.F.R. part 1625, the Age Discrimination Act of 1975, as amended, 42 U.S.C. § 6101 *et seq.*, and U. S. Department of Health and Human Services regulations, "Nondiscrimination on the Basis of Age in Programs or Activities Receiving Federal Financial Assistance," 45 C.F. R. part 90, and Federal transit law at 49 U.S.C. §5332, the Contractor agrees to refrain from

discrimination against present and prospective employees for reason of age. In addition, the Contractor agrees to comply with any implementing requirements FTA may issue.

3. Disabilities. In accordance with section 504 of the Rehabilitation Act of 1973, as amended, 29 U.S.C. § 794, the Americans with Disabilities Act of 1990, as amended, 42 U.S.C. §12102 *et seq.*, the Architectural Barriers Act of 1968, as amended, 42 U.S.C. § 4151 *et eq.*, and the Federal transit law at 49 U.S.C. § 5332, the Contractor agrees that it will not discriminate against individuals on the basis of disability. In addition, the Contractor agrees to comply with any implementing requirements FTA may issue.

- C. Contractor understands that it is required to include this Article in all subcontracts. Failure by the Contractor to carry out these requirements or to include these requirements in any subcontract is a material breach of this Contract, which may result in the termination of this Contract or such other remedy as the KCATA deems appropriate, including but not limited to withholding monthly progress payments and/or disqualifying the Contractor from future bidding as non-responsible.

## **9. CONFLICTS OF INTEREST (ORGANIZATIONAL)**

The Contractor certifies that it has no other activities or relationships that would make the Contractor unable, or potentially unable, to render impartial assistance or advice to KCATA, or that would impair the Contractor's objectivity in performing work under this Contract, or that would result in an unfair competitive advantage to Contractor or to another third party performing the Project work.

## **10. CONTINUITY OF SERVICES**

The Contractor recognizes that the services under this Contract are vital to the KCATA and must be continued without interruption and that, upon contract expiration, a successor, either the KCATA or another contractor may continue them.

The Contractor agrees to exercise its best efforts and cooperation to effect an orderly and efficient transition to a successor, and time is of the essence.

## **11. CONTRACTOR'S PERSONNEL**

All of the services required hereunder shall be performed by the Contractor or under its supervision and all personnel engaged in the services shall be fully qualified and authorized under state and local law to perform such services. Any change in the key personnel, as described in the contractor's proposal, shall be subject to the written approval of KCATA; such approval shall not be unreasonably withheld. The parties agree that at all times during the entire term of this Contract that the persons listed in Contractor's proposal shall serve as the primary staff person(s) of Contractor to undertake, render and oversee all of the services of this Contract subject to KCATA's right to remove personnel. KCATA reserves the right to require the Contractor to remove any personnel and or subcontractors for any cause provided such request for removal shall be documented in writing to Consultant.

## **12. CONTRACTOR'S RESPONSIBILITY**

No advantage shall be taken by the Contractor or its subcontractor of the omission of any part or detail which goes to make the equipment complete and operable for use by KCATA. In case of any variance, this specification shall take precedence over Contractor's or subcontractor's own specifications. The Contractor shall assume responsibility for all materials and services used whether the same is manufactured by the Contractor or purchased ready made from a source outside the Contractor's company.

## **13. DEBARMENT AND SUSPENSION CERTIFICATION**

- A. The Contractor shall comply and facilitate compliance with U.S. DOT regulations "Nonprocurement

Suspension and Debarment,” 2 C.F.R. Part 1200, which adopts and supplements the U.S. Office of Management and Budget & U.S. OMB) “Guidelines to Agencies on Governmentwide Debarment and Suspension (Nonprocurement),” 2 C.F.R. part 180.

- B. The Contractor, its principals and any affiliates, shall certify that it is not included in the “U.S. General Services Administration’s List of Parties Excluded from Federal Procurement or Non-procurement Programs,” as defined at 49 CFR Part 29, Subpart C.
- C. The Contractor agrees to refrain from awarding any subcontract of any amount (at any tier) to a debarred or suspended subcontractor, and to obtain a similar certification from any subcontractor (at any tier) seeking a contract exceeding \$25,000.
- D. The Contractor agrees to provide KCATA a copy of each conditioned debarment or suspension certification provided by a prospective subcontractor at any tier, and to refrain from awarding a subcontract with any party that has submitted a conditioned debarment or suspension certification until FTA approval is obtained.

#### 14. DISADVANTAGED BUSINESS ENTERPRISE (DBE)

- A. This Contract is subject to the requirements of Title 49, Code of Federal Regulations, Part 26, Participation by Disadvantaged Business Enterprises in Department of Transportation Financial Assistance Programs. The national goal for participation of Disadvantaged Business Enterprises (DBE’s) is 10 percent. *KCATA’s overall goal for DBE participation is 15.0 percent. **No separate contract goal has been established for this procurement.***
- B. The Contractor shall not discriminate on the basis of race, color national origin, or sex in the performance of this Contract. The Contractor shall carry out applicable requirements of 49 CFR. Part 26 in the award and administration of this DOT-assisted contract. Failure by the Contractor to carry out these requirements is a material breach of this Contract, which may result in the termination of this Contract or such other remedy as KCATA deems appropriate. Each subcontract the Contractor signs with a subcontractor must include the assurance in this paragraph (see 49 C.F.R. 26.13(b)).
- C. The Contractor may not substitute, remove or terminate a DBE subcontractor without KCATA’s prior written consent. Written consent of termination may only be given if the Contractor has demonstrated good cause. Before submitting its request to terminate or substitute a DBE subcontractor, the Prime Contractor must give notice in writing to the DBE subcontractor, with a copy to KCATA, of its intent to request to terminate and/or substitute, and the reason for the request. The Contractor must give the DBE five days to respond to the Contractor’s notice and advise KCATA and the Contractor of the reasons, if any, why it objects to the proposed termination of its subcontract and why KCATA should not approve the Contractor’s action. If required in a particular case as a matter of public necessity (e.g., safety), the response period may be shortened.
- D. **Good Cause.** Good cause includes the following circumstances:
  - 1. The listed DBE subcontractor fails or refuses to execute a written contract; or
  - 2. The listed DBE subcontractor fails or refuses to perform the work of its normal industry standards. Provided, however, that the good cause does not exist if the failure or refusal of the DBE subcontractor to perform its work on the subcontract results from the bad faith or discriminatory action of the Prime Contractor; or
  - 3. The listed DBE subcontractor fails or refuses to meet the Prime Contractor’s reasonable, nondiscriminatory bond requirements; or



4. The listed DBE subcontractor becomes bankrupt, insolvent, or exhibits credit unworthiness; or
5. The listed DBE subcontractor is ineligible to work on public works projects because of suspension and debarment proceedings pursuant to 2 CFR Parts 180, 215 and 1200 or applicable state law; or
6. The DBE subcontractor is not a responsible contractor; or
7. The listed DBE subcontractor voluntarily withdraws from the project and provides the Prime Contractor written notice of its withdrawal;
8. The listed DBE is ineligible to receive DBE credit for the type of work required;
9. A DBE owner dies or becomes disabled with the result that the listed DBE contractor is unable to complete its work on the contract;
10. Other documented good cause that compels KCATA to terminate the DBE subcontractor. Provided the good cause does not exist if the Prime contractor seeks to terminate a DBE it relied upon to obtain the contract so that the Prime Contractor can self-perform the work for which the DBE contractor was engaged or so that the Prime Contractor can substitute another DBE or non-DBE contractor.

E. Before submitting its request to terminate or substitute a DBE subcontractor, the Prime Contractor must give notice in writing to the DBE subcontractor, with a copy to KCATA, of its intent to request to terminate and/or substitute, and the reason for the request. The Prime Contractor must give the DBE five days to respond to the Prime Contractor's notice and advise the KCATA and the Contractor of the reasons, if any, why it objects to the proposed termination of its subcontract and why KCATA should not approve the Prime Contractor's action. If required in a particular case as a matter of public necessity (e.g., safety), the response period may be shortened.

## **15. DISCLAIMER OF FEDERAL GOVERNMENT OBLIGATION OR LIABILITY**

The Contractor, and any subcontractors acknowledge and agree that, notwithstanding any concurrence by the Federal Government in or approval of the solicitation or award of this contract, absent the express written consent by the Federal Government, the Federal Government is not a party to this contract and shall not be subject to any obligations or liabilities to the Contractor, or any other party (whether or not a party to this Contract) pertaining to any matter resulting from this Contract. It is further agreed that the clause shall be included in each subcontract and shall not be modified, except to identify the subcontractor who will be subject to its provision.

## **16. DISPUTE RESOLUTION**

A. Except as otherwise provided in this Contract, any dispute concerning a question of fact arising under this Contract which is not disposed of by agreement shall be decided by KCATA's Director of Procurement, who shall reduce the decision to writing and mail or otherwise furnish a copy to the Contractor. The decision of the Director of Procurement shall be final and conclusive unless within ten (10) days from the date of receipt of such copy the Contractor mails or otherwise furnishes a written appeal addressed to the Chief Financial Officer, with a copy to the Director of Procurement. The determination of such appeal by the Chief Financial Officer shall be final and conclusive unless determined by a court of competent jurisdiction to have been fraudulent or capricious, arbitrary, or not supported by substantial evidence. In connection with any appeal proceeding under this clause the Contractor shall be afforded an opportunity to be heard and to offer evidence in support of its appeal. Pending final decision of a dispute hereunder, and unless otherwise directed in writing by KCATA, the Contractor shall proceed diligently with performance in accordance with the Director of Procurement's decision.

B. The duties and obligations imposed by the Contract and the rights and remedies available hereunder shall be in

addition to and not a limitation of any duties, obligations, rights and remedies otherwise imposed or available by law. No action or failure to act by the KCATA or Contractor shall constitute a waiver of any right or duty afforded any of them under the Contract, nor shall any such action or failure to act constitute an approval of or acquiescence in any breach thereunder, except as may be specifically agreed in writing.

## 17. EMPLOYEE ELIGIBILITY VERIFICATION

- A. To comply with Section 285.500 RSMo, *et seq.*, the Contractor is required by sworn affidavit and provision of documentation, to affirm its enrollment and participation in a federal work authorization program with respect to the employees working in connection with the contracted services. The Contractor shall also affirm that it does not knowingly employ any person in connection with the contracted services who does not have the legal right or authorization under federal law to work in the United States as defined in 8 U.S.C. §1324a(h)(3). The Contractor is required to obtain the same affirmation from all subcontractors at all tiers with contracts exceeding \$5,000.
- B. A federal work authorization program is any of the electronic verification of work authorization programs operated by the United States Department of Homeland Security (E-Verify) or an equivalent federal work authorization program operated by the United States Department of Homeland Security to verify information of newly hired employees, under the Immigration Reform and control Act of 1986 (IRCA), P.L.99-603.

## 18. ENVIRONMENTAL REGULATIONS

- A. **Clean Air.** The Contractor agrees to comply with all applicable standards, orders, or regulations issued pursuant to the Clean Air Act, as amended, 42 U.S.C. §7401 *et seq.* The Contractor agrees to report, and to require each subcontractor at every tier receiving more than \$100,000 from this Contract to report any violation of these requirements resulting from any project implementation activity to KCATA. KCATA will in turn, report each violation as required to assure notification to FTA and the appropriate U.S. EPA Regional Office.
- B. **Clean Water.** The Contractor agrees to comply with all applicable standards, orders, or regulations issued pursuant to the Federal Water Pollution Control Act, as amended, 33 U.S.C. § 1251 *et seq.* The Contractor agrees to report, and require each subcontractor at every tier receiving more than \$100,000 from this Contract to report any violation of these requirements resulting from any project implementation activity to KCATA. The Contractor understands that KCATA will in turn, report each violation as required to assure notification to FTA and the appropriate U.S. EPA Regional Office
- C. **Energy Conservation.** The Contractor agrees to comply with mandatory standards and policies relating to energy efficiency, which are contained in the state energy conservation plan issued in compliance with the Energy Policy and Conservation Act. The Contractor agrees to include the requirements of this clause in all subcontracts under this Contract.
- D. **Recovered Materials/Recycled Products.** To the extent practicable and economically feasible, the Contractor agrees to provide a competitive preference for products and services that conserve natural resources and protect the environment and are energy efficient. Examples of such products may include, but are not limited to products described in U.S. Environmental Protection Agency guidelines at 40 CFR Part 247, which implements Section 6002 of the Resource Conservation and Recovery Act, as amended (42 U.S.C. 6962), and Executive Order 12873. The Contractor also agrees to include these requirements in each subcontract at every tier receiving more than \$10,000.

## 19. FRAUD AND FALSE OR FRAUDULENT STATEMENTS OR RELATED ACTS

- A. The Contractor acknowledges that the provisions of the Program Fraud Civil Remedies Act of 1986, as

amended, 31 U.S.C. § 3801 *et seq.* and U.S DOT regulations, “Program Fraud Civil Remedies,” 49 CFR Part 31, apply to its actions pertaining to the Project. Upon execution of the Contract, the Contractor certifies and affirms the truthfulness and accuracy of any statement it has made, it makes, or may make pertaining to the project covered under this Contract. In addition to other penalties that may be applicable, the Contractor further acknowledges that if it makes a false, fictitious, or fraudulent claim, statement, submission, or certification, the Federal Government reserves the right to impose the penalties of the Program Fraud Civil Remedies Act of 1986 on the Contractor to the extent the Federal Government deems appropriate.

- B. The Contractor also acknowledges that if it makes, or causes to be made, a false, fictitious, or fraudulent claim, statement, submission, or certification to the Federal Government in connection with this Contract, the Government reserves the right to impose on the Contractor the penalties of 18 U.S.C. § 1001 and 49 U.S.C. § 5307(n)(1), to the extent the Federal Government deems appropriate.
- C. The Contractor agrees to include these clauses in each subcontract, and it is further agreed that the clauses shall not be modified, except to identify the subcontractor who will be subject to the provisions.

## **20. GOVERNING LAW; CHOICE OF JUDICIAL FORUM**

This Contract shall be deemed to have been made in, and be construed in accordance with, the laws of the State of Missouri. Any action of law, suit in equity, or other judicial proceeding to enforce or construe this Contract, respecting its alleged breach, shall be instituted only in the Circuit Court of Jackson County, Missouri.

## **21. HEADINGS**

The headings included in this Contract are inserted only as a matter of convenience and for reference, and in no way define, limit or describe the scope of intent of any provision, and shall not be construed to affect, in any manner, the terms and provisions hereof of the interpretation or construction thereof.

## **22. INCORPORATION OF FEDERAL TRANSIT ADMINISTRATION TERMS**

The provisions in this Contract include certain standard terms and conditions required by the U.S. Department of Transportation (DOT), whether or not expressly set forth. All contractual provisions required by DOT, as set forth in FTA Circular 4220.1F or any revision thereto, are hereby incorporated by reference. Anything to the contrary herein notwithstanding, all FTA mandated terms shall be deemed to control in the event of a conflict with other provisions contained in the Contract. Contractor shall not perform any act, fail to perform any act, or refuse to comply with any KCATA requests that would cause KCATA to be in violation of the FTA terms and conditions. The Contractor agrees to include this clause in all subcontracts at any tier. It is further agreed that the clause shall not be modified, except to identify the subcontractors who will be subject to the provision.

## **23. INDEPENDENT CONTRACTOR**

- A. The parties agree that the Contractor is an independent contractor under this Contract. Under no circumstance shall the Contractor be considered an agent, employee or representative of KCATA and KCATA shall not be liable for any claims, losses, damages, or liabilities of any kind resulting from any action taken or failed to be taken by the Contractor.
- B. The Contractor shall furnish adequate supervision, labor, materials, supplies, security, financial resources and equipment necessary to perform all the services contemplated under this Contract in an orderly, timely, and efficient manner.

## **24. INSURANCE**

- A. The insurance required in this Contract shall be written for not less than any limits of liability required by law

or by those set forth below, whichever is greater, and shall include blanket contractual liability insurance as applicable to the Contractor's obligations under the Liability and Indemnification section below. All policies, except Professional Liability and Workers' Compensation policies, shall name KCATA, its commissioners, officers, and employees as additional insureds. Explosion, collapse and underground coverage shall not be excluded. The insurance should be written with companies acceptable to KCATA and the companies should have a minimum A.M. Best's insurance rating of A-(VIII). An exception to the minimum A.M. Best rating is granted for Workers Compensation exposures insured through the Builders' Association of Self Insurance Fund (BASIF) or Missouri Employers' Mutual Insurance Company.

B. The Contractor shall be required to furnish to KCATA certificates of required insurance including relevant additional insured endorsements of insurance. Prior to execution of the Contract, and thereafter furnish copies of the certificates, from time to time, whenever reasonably requested by KCATA. The certificates (with the exception of Professional Liability and Workers Compensation coverage) shall specifically state that:

1. Contractual liability coverage is applicable; and

2. The Kansas City Area Transportation Authority, its commissioners, officers and employees are named as additional insureds (Named Insureds) on the policies covered by the certificate; using this specific wording: *Kansas City Area Transportation Authority, its commissioners, officers, and employees are named as additional insureds as respects general liability and where required by written contract. Any coverage afforded the certificate holder as an additional insured shall apply as primary and not excess or contributing to any insurance or self-insurance in the name of the certificate holder, and shall include a waiver of subrogation.*

C. Further, from time to time and whenever reasonably requested by KCATA, the Contractor shall represent and warrant to KCATA (1) the extent to which the insurance limits identified below have been, or may be, eroded due to paid or pending claims under the policies; and (2) the identity of other entities or individuals covered as an additional insured on the policies. Further, the Contractor shall confirm that the insurers' obligation to pay defense costs under the policies is in addition to, and not part of the liability limits stated in the policies.

D. All such insurance, with the exception of Professional Liability coverage, shall contain endorsements that the policies may not be canceled or amended or allowed to lapse by the insurers with respect to KCATA its commissioners, officers and employers by the insurance company without thirty (30) days prior notice by certified mail to KCATA in addition to the Named Insured (s) and that denial of coverage or voiding of the policy for failure of Contractor to comply with its terms shall not affect the interest of KCATA, its commissioners, officers and employees thereunder.

E. The requirements for insurance coverage are separate and independent of any other provision hereunder.

1. **Worker's Compensation:**

- a. State: Missouri and/or Kansas – Statutory
- b. Employer's Liability: Bodily Injury by Accident -- \$500,000 Each Accident  
Bodily Injury by Disease -- \$500,000 Each Employee  
Bodily Injury by Disease -- \$500,000 Policy Limit

The Contractor and any subcontractor shall maintain adequate workers' compensation insurance as required by law to cover all employees during performance of services, or during delivery, installation, assembly or related services in conjunction with this Agreement.

2. **Commercial General Liability:**

Bodily Injury and Property Damage to include Products and Completed Operations:

\$1,000,000 Each Occurrence  
\$2,000,000 General Aggregate (per project)  
\$1,000,000 Personal and Advertising Injury  
\$50,000 Fire Damage  
\$5,000 Medical Expenses  
2 Years (Completed Operations)

Contractor shall procure and maintain at all times during the term of the KCATA purchase order or the Contract commercial general liability insurance for liability arising out of the operations of the Contractor and any subcontractors. The policy(ies) shall include coverage for the Contractor's and subcontractors' products and completed operations for at least two (2) years following project completion, or as otherwise noted. The policy(ies) shall name as an additional insured, in connection with Contractor's activities, the KCATA, its commissioners, officers, and employees. Using ISO Form CG 20 10 11 85 (or OCG20 26 0704 in the case of a Blanket Endorsement), or such other additional insured forms acceptable to KCATA. The Insurer(s) shall agree that its policy(ies) is primary insurance and that it shall be liable for the full amount of any loss up to and including the total limit of liability without right of contribution from any other insurance or self-insurance KCATA may have.

3. **Auto Liability:**

Bodily Injury and Property Damage: \$1,000,000 Combined Single Limit

The policy(ies) shall include automobile liability coverage for all vehicles, licensed or unlicensed, on or off the KCATA premises, whether the vehicles are owned, hired or non-owned, covering use by or on behalf of the Contractor and any subcontractors during the performance of work under this Contract.

4. **Professional Liability Insurance**

Professional Liability Limit: \$1,000,000 Each Occurrence  
\$1,000,000 Annual Aggregate

**Where applicable**, the Contractor shall obtain professional liability insurance covering any damages caused by an error, omission or any negligent acts of the Contractor or its employees with regard to performance under this Agreement.

5. **Pollution Liability**

Pollution Liability Limit: \$1,000,000 Each Occurrence  
\$1,000,000 Annual Aggregate

**Where applicable**, the Contractor shall obtain and keep in effect during the term of the Contract, Pollution Liability Insurance covering their liability for bodily injury, property damage and environment damage, including clean up and remediation costs arising out of the work or services to be performed under this contract. Coverage shall apply to the above for premises and operations, products and completed operations and automobile liability. Automobile liability coverage may be satisfied by utilizing ISO Endorsement CA 9948 or equivalent.

6. **Umbrella or Excess Liability**

Umbrella or Excess Liability Limit: \$1,000,000 Each Occurrence  
\$1,000,000 Aggregate (per project)

**Where applicable**, the Contractor shall obtain and keep in effect during the term of the contract, Umbrella or Excess Liability Insurance covering their liability over the limit for primary general liability, automobile liability, and employer's liability.

## 25. LIABILITY AND INDEMNIFICATION

- A. **Contractor's Liability.** Contractor shall be liable for all damages to persons (including employees of Contractor) or property of any type that may occur as a result of any act or omission by Contractor, any subcontractors, or sub-subcontractor, their respective agents or anyone directly employed by any of them or anyone for whose acts any of them may be liable or arising out of any product provided or services rendered under this Agreement.
- B. **Subrogation.** Contractor, its agents and any subcontractor hereby waive and relinquish any right of subrogation or claim against KCATA, its commissioners, senior leaders and employees arising out of the use of KCATA's premises (including any equipment) by any party in performance of this Agreement.
- C. **Indemnification.**
1. To the fullest extent permitted by law, Contractor agrees to and shall indemnify, defend and hold harmless KCATA, its Commissioners, officers and employees from and against any and all claims, losses, damages, causes of action, suits, liens and liability of every kind, (including all expenses of litigation, expert witness fees, court costs and attorney's fees whether or not suit be commenced) by or to any person or entity (collectively the "Liabilities") arising out of, caused by, or resulting from the acts or omissions of Contractor, subcontractors, or sub-subcontractors, their respective agents or anyone directly or indirectly employed by any of them in performing work under this Contract, and provided such claim is attributable to bodily injury, sickness, disease or death of any person, or injury to or destruction of property, including consequential damages, regardless of whether or not such claim, damage, loss or expense is caused in part by a party indemnified hereunder, so long as such Liabilities are not caused by the sole negligence or willful misconduct of a party indemnified hereunder. Such obligation shall not be construed to negate, abridge or otherwise reduce other rights or obligations of indemnity which would otherwise exist as to a party or person described in this paragraph.
  2. In claims against any person or entity indemnified under this section, by an employee or Contractor, subcontractor or sub-subcontractor or anyone directly or indirectly employed by any of them, the indemnification obligation shall not be limited by a limitation on the amount or type of damages, compensation or benefits payable by or for the Contractor, subcontractor, or sub-subcontractor under worker's compensation acts, disability benefit acts or other employee benefit acts. If any action at law or suit in equity is instituted by any third party against Contractor arising out of or resulting from the acts of Contractor in performing work under this Contract, Contractor shall promptly notify KCATA of such suit.
  3. If any action at law or suit in equity is instituted by any third party against KCATA or its commissioners, officers or employees arising out of or resulting from the acts of Contractor, a subcontractor or sub-subcontractor, their respective agents or anyone directly or indirectly employed by any of them in providing products, equipment or materials, or in performing work or services under this Contract, and if Contractor has failed to provide insurance coverage to KCATA against such action as required herein or otherwise refuses to defend such action, KCATA shall have the right to conduct and control, through counsel of its choosing, the defense of any third party claim, action or suit, and may compromise or settle the same, provided that KCATA shall give the Contractor advance notice of any proposed compromise or settlement.
  4. KCATA shall permit Contractor to participate in the defense of any such action or suit through counsel chosen by the Contractor, provided that all fees and expenses of such counsel shall be borne by Contractor. If KCATA permits Contractor to undertake, conduct and control the conduct and settlement of such action or suit, Contractor shall not consent to any settlement that does not include as an unconditional term thereof the giving of a complete release from liability with respect to such action or

suit to KCATA. Contractor shall promptly reimburse KCATA for the full amount of any damages, including fees and expenses of counsel for KCATA, incurred in connection with any such action.

**26. LICENSING, LAWS AND REGULATIONS**

- A. The Contractor shall, without additional expense to KCATA, be responsible for obtaining any necessary licenses and permits, and for complying with all federal, state, and municipal laws, codes, and regulations applicable to the providing of products, equipment or materials, or the performance of the Services, under this Contract.
- B. The Contractor shall comply with all applicable and current rules, regulations and ordinances of any applicable federal, state, county or municipal governmental body or authority, including but not limited to those as set forth by the Environmental Protection Agency, the Missouri Department of Natural Resources, the Kansas Department of Health and Environmental, the FTA, the Department of Transportation, and the City of Kansas City, Missouri.

**27. LOBBYING RESTRICTIONS**

- A. The Contractor is bound by its certification contained in its offer to the Authority regarding the use of federal or non-federal funds to influence, or attempt to influence any federal officer or employee regarding the award, execution, continuation, or any similar action of any federal grant or other activities as defined in 31 U.S.C. 1352, 2 C.F.R. § 200.450, 2 C.F.R. part 200 appendix II (J) and 49 CFR Part 20. The Contractor agrees to comply with this requirement throughout the term of the Contract.
- B. The Contractor agrees to include these requirements in all subcontracts at all tiers exceeding \$100,000 and to obtain the same certification and disclosure from all subcontractors (at all tiers).

**28. NOTIFICATION AND COMMUNICATION**

Communications regarding technical issues and activities of the project shall be exchanged with KCATA's designated Project Manager.

Issues regarding the contract document, changes, amendments, etc. are the responsibility of KCATA's Procurement Department. All notices and communications on all matters regarding this Contract may be given via email to \_\_\_\_\_ at \_\_\_\_\_ by delivery or mailing the same postage prepaid, addressed to the following:

If to KCATA: \_\_\_\_\_  
Kansas City Area Transportation Authority  
1350 East 17<sup>th</sup> Street  
Kansas City, MO 64108

If to Contractor: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

The Contractor shall notify KCATA immediately when a change in ownership has occurred, or is certain to occur.

The addresses to which notices may be made may be changed from time to time by notice mailed as described above. Any notice given by mail shall be deemed given on the day after that on which it is deposited in the United States Mail as provided above.

## **29. OWNERSHIP, IDENTIFICATION, AND CONFIDENTIALITY OF WORK**

- A. All reports, programs, documentation, designs, drawings, plans, specifications, schedules and other materials prepared, or in the process of being prepared, for the services to be performed by Contractor shall be and are the property of KCATA, and shall be identified in an appropriate manner by a title containing KCATA's name and address.
- B. KCATA shall be entitled access to and copies of these materials during the progress of the work.
- C. Any such material remaining in the possession of the Contractor or in the possession of a subcontractor upon completion or termination of the work, and for which KCATA has reimbursed the contractor, shall be immediately delivered to KCATA. If any materials are lost, damaged or destroyed before final delivery to KCATA, the Contractor shall replace them at its own expense, and the Contractor assumes all risks of loss, damage or destruction of or to such materials.
- D. The Contractor may retain a copy of all materials produced under this Contract for its own internal use.
- E. Any KCATA materials to which the Contractor has access or materials prepared by the Contractor shall be held in confidence by the Contractor, who shall exercise all reasonable precautions to prevent the disclosure of confidential information to anyone except the officers, employees and agents of the Contractor as necessary to accomplish the work set forth in this agreement.
- F. Access to or copies of any reports, information, data, etc., available to or prepared or assembled by the Contractor under this Contract shall not be made available to any third party by the Contractor without the prior written consent of KCATA.
- G. Each tangible product resulting from work performed under this Contract shall be labeled with information stating that the project has been financed with Federal assistance provided by the U.S. Department of Transportation, Federal Transit Administration.

## **30. PATENTS AND RIGHTS IN DATA AND COPYRIGHTS**

### **A. Rights in Data**

- 1. The term "subject data" used in this clause means recorded information, whether or not copyrighted, that is delivered or specified to be delivered under the Contract. The term includes graphic or pictorial delineation in media such as drawings or photographs; text in specifications or related performance or design-type documents; machine forms such as punched cards, magnetic tape, or computer memory printouts, and information retained in computer memory. The term "subject data" does not include financial reports, cost analyses, and similar information incidental to contract administration.
- 2. The following restrictions apply to all subject data first produced in the performance of the Contract:
  - a. Except for its own internal use, Contractor may not publish or reproduce subject data in whole or in part or in any manner or form, nor may Contractor authorize others to do so, without the written consent of KCATA, until such time as KCATA may have either released or approved the release of such data to the public.
  - b. In accordance with 2 C.F.R. part 200, Appendix II (F) and 37 C.F.R. part 401, the Federal Government reserves a royalty-free, non-exclusive and irrevocable license to reproduce, publish, or otherwise use, and to authorize others to use, the following subject data for "Federal Government purposes":



- (1) Any subject data developed under the Contract, whether or not a copyright has been obtained; and
  - (2) Any rights of copyright purchased by KCATA or Contractor using Federal assistance in whole or in part provided by FTA.
- c. “For Federal Government Purposes” means use only for the direct purpose of the Federal Government. Without the copyright owner’s consent, the Federal Government may not extend its Federal license to any other party. When FTA awards Federal assistance for experimental, developmental, or research work, it is FTA's general intention to increase transportation knowledge available to the public, rather than to restrict the benefits resulting from the work to participants in that work. Therefore, unless FTA determines otherwise, Contractor performing experimental, developmental, or research work, agrees to permit FTA to make available to the public, either FTA's license in the copyright to any subject data developed in the course of the Contract, or a copy of the subject data first produced under the Contract for which a copyright has not been obtained. If the experimental, developmental, or research work, which is the subject of the underlying Contract, is not completed for any reason whatsoever, all data developed under this Contract shall become subject data as defined previously and shall be delivered as the Federal Government may direct. This subsection, however, does not apply to adaptations of automatic data processing equipment or programs for the KCATA or Contractor’s use whose costs are financed in whole or part with Federal assistance provided by FTA for transportation capital projects.
- d. Unless prohibited by state law, Contractor agrees to indemnify, save, and hold harmless KCATA and the Federal Government, its officers, agents, and employees acting within the scope of their official duties against any liability, including costs and expenses, resulting from any willful or intentional violation by KCATA or Contractor of proprietary rights, copyrights, or rights of privacy, arising out of the publication, translation, reproduction, delivery, use or disposition of any data furnished under this Contract. Neither the KCATA nor the Contractor shall be required to indemnify the Federal Government for any such liability arising out of the wrongful act of any employee, official, or agents of the Federal Government.
- e. Nothing contained in this clause on rights in data shall imply a license to the KCATA or to the Federal Government under any patent or be construed as affecting the scope of any license or other right otherwise granted to KCATA or to the Federal Government under any patent.
- f. Data developed by the KCATA or Contractor and financed entirely without using Federal assistance provided by the Federal Government that has been incorporated into work required by this Contract to which this clause has been added is exempt from the requirements of subsections (b), (c), and (d) of this clause, provided that the KCATA or Contractor identifies that data in writing at the time of delivery of the contract work.
- g. Contractor agrees to include these requirements in each subcontract for experimental, developmental, or research work financed in whole or in part with federal assistance.

### **31. PRIVACY ACT REQUIREMENTS**

- A. The Contractor agrees to comply with, and assures the compliance of its employees and subcontractors with the information restrictions and other applicable requirements of the Privacy Act of 1974, 5 U.S.C. § 552. Among other things, the Contractor agrees to obtain the express consent of the KCATA and/or the Federal Government before the Contractor or its employees operate a system of records on behalf of the KCATA or Federal Government.
- B. The Contractor understands that the requirements of the Privacy Act, including the civil and criminal penalties for violation of that Act, apply to all individuals involved, and that failure to comply with the terms of the

Privacy Act may result in termination of the underlying Agreement.

- C. The Contractor agrees that strict privacy will be maintained in the collection, storage, use, transfer, access to and/or security of personnel information. Contractor agrees to protect such information, and to limit the use of the information to that required by the contract.
- D. Contractor shall be liable to each employee for loss of any private or personal information lost or left unsecure by Contractor. Contractor shall not have any personal employee information for any reason outside of this contract.

### **32. PROHIBITED INTERESTS**

- A. No board member, officer, employee or agent of KCATA or of a local public body who has participated or will participate in the selection, award, or administration of this Contract, nor any member of his or her immediate family, business partner or any organization which employs, or intends to employ any of the above during such period, shall have any interest, direct or indirect, in this Contract or the proceeds thereof, to any share or part of this Contract, or to any benefit arising there from. This shall not be construed to prevent any such person from owning stock in a publicly owned corporation.
- B. No member of, or delegates to, the Congress of the United States shall be admitted to any share or part of the Contract, or to any benefit arising there from. This shall not be construed to prevent any such person from owning stock in a publicly-owned corporation.

### **33. PROHIBITED WEAPONS AND MATERIALS**

- A. Missouri Revised Statutes, Section 571.107 (R.S.Mo. §571.107) allows government units and businesses to prohibit persons holding a concealed carry endorsement from carrying concealed firearms on its premises. Accordingly, KCATA has adopted the following rules prohibiting weapons, whether concealed or not, and whether or not the individual carrying the weapon has an endorsement or permit to carry.
- B. No weapon, including firearms concealed or not, or other instrument intended for use as a weapon, or any object capable of inflicting serious bodily injury upon another person or property may be carried in or on any facility or property of KCATA, including vehicles of contractors parked on KCATA property or leased facilities, or vehicles used in transporting KCATA customers, even if a person has a permit to carry a concealed weapon, unless authorized in writing to do so by KCATA. For the purposes hereof, a weapon shall include, but not be limited to, a firearm, knife, sword, mace, or any instrument of any kind known as blackjack, billy club, club, sandbag and metal knuckles.
- C. No explosives, flammable liquids, acids, fireworks, other highly combustible materials, radioactive materials or biochemical materials may be carried on or in any KCATA property, facility or vehicle, including vehicles of contractors parked on KCATA property or leased facilities, or vehicles used in transporting any KCATA customer, except as authorized in writing by KCATA.
- D. Any contractor, subcontractor, employee or agent thereof, who has a firearm or other weapon, including those used for recreational purposes, in his/her possession, including on his/her person, in a vehicle on an KCATA facility, in a vehicle carrying KCATA customers, or accessible such as in first aid kits, toolboxes, purses, lunch or carrying bags, etc., at any time while performing KCATA contracted services or on KCATA property, including parking lots, concealed or not, shall be immediately prohibited from performing any further KCATA work, even if the person has a permit to carry a concealed weapon.
- E. Any KCATA contractor, subcontractor, employee or agent thereof, while performing KCATA contracted services or on any KCATA property or facilities, who has in his/her possession, carries, transports, displays, uses, flourishes, or threatens another person with a weapon, radioactive material, biochemical material or other

dangerous weapon, object or material, which has the capability of inflicting bodily injury, shall be immediately prohibited from performing any further KCATA work and reported to local law enforcement authorities.

#### **34. RECORD RETENTION AND ACCESS**

- A. The Contractor agrees that, during the course of this agreement and any extensions thereof, and for three years thereafter, it will maintain intact and readily accessible all data, documents, reports, records, contracts, and supporting materials relating to this Contract. In the event of litigation or settlement of claims arising from the performance of this Contract, the Contractor agrees to maintain same until such litigation, appeals, claims or exceptions related thereto have been disposed of.
- B. The Contractor shall permit KCATA, the U.S. Secretary of Transportation, the Comptroller General of the United States, and, as applicable, the City of Kansas City, Missouri, to inspect all work, materials, construction sites, payrolls, and other data and records, and to audit the books, records, and accounts of the Contractor relating to its performance under this Contract.
- C. The Contractor agrees to permit any of the foregoing parties to reproduce by any means whatsoever or to copy excerpts and transcriptions as reasonably needed, and to include this clause in all subcontracts.

#### **35. REQUESTS FOR PAYMENT**

- A. Invoices requesting payment shall be submitted directly to KCATA's Procurement Department. All invoices shall be numbered, dated and submitted in duplicate, and contain full descriptive information of materials or services furnished. All invoices and correspondence shall reference KCATA's Contract number. Separate invoices shall be submitted for each purchase order or work (task) order.
- B. Payment by KCATA will be made within the later of 1) 30 days after receipt of a proper invoice, or 2) 30 days after KCATA's acceptance of supplies delivered or services performed by the Contractor. On a final invoice where the payment amount is subject to contract settlement actions, acceptance shall be deemed to have occurred on the effective date of the contract settlement.
- C. All final invoices shall be submitted to KCATA within 90 days of project completion or contract termination. Invoices submitted more than 90 days after project completion or contract termination will not be valid and will not be paid. Contractor indemnifies and holds KCATA harmless for any suit filed for payment of invoices submitted after 90 days of project completion or contract termination.
- D. **Subcontractor Payments**
  - 1. Prompt Payment. The Contractor shall establish procedures to ensure timely payment of amounts due pursuant to the terms of its subcontracts. The Contractor shall pay each DBE and non-DBE subcontractor for satisfactory performance of its contract, or any billable portion thereof, in accordance with the timing set forth in any applicable laws or no later than 30 days, whichever is less, from the date of the Contractor's receipt of payment from the Authority for work by that subcontractor.
  - 2. Prompt Return of Retainage. If retainage is withheld from subcontractors, the Contractor is required to return any retainage payment to its DBE and non-DBE subcontractors in accordance with the timing set forth in any applicable laws or no later than 30 days, whichever is less, from the date of receipt of the retainage payment from the Authority related to the subcontractor's work. Any delay or postponement of payment from said time frame may occur only for good cause following written approval from KCATA.
  - 3. The Contractor shall certify on each payment request to the Authority that payment has been or will be made to all subcontractors. Lien waivers may be required for the Contractor and its subcontractors. The Contractor shall notify KCATA on or before each payment request, of any situation in which scheduled

subcontractor payments have not been made.

4. If a subcontractor alleges that the Contractor has failed to comply with this provision, the Contractor agrees to support any Authority investigation, and if deemed appropriate by the Authority, to consent to remedial measures to ensure that subcontractors are properly paid as set forth herein.
5. The Contractor agrees that the Authority may provide appropriate information to interested subcontractors who inquire about the status of Authority payments to the Contractor.
6. Nothing in this provision is intended to create a contractual obligation between the Authority and any subcontractor or to alter or affect traditional concepts of privity of contract between all parties.

### **36. RIGHT TO OFFSET**

KCATA, without waiver or limitation of any rights, may deduct from any amounts due Contractor in connection with this Contract, or any other contract between Contractor and KCATA, any amounts owed by Contractor to KCATA, including amounts owed by Contractor pursuant to Contractor's obligation to indemnify KCATA against third party claims arising out of Contractor's performance of work under this Contract.

### **37. SEAT BELT USE POLICY**

The Contractor agrees to comply with terms of Executive Order No. 13043 "Increasing Seat Belt Use in the United States" and is encouraged to include those requirements in each subcontract awarded for work relating to this Contract.

### **38. SEVERABILITY**

If any clause or provision of this Contract is held to be invalid illegal or otherwise unenforceable by a court of competent jurisdiction, the remaining provisions of this Contract shall continue in full force and effect.

### **39. SUBCONTRACTORS**

- A. **Subcontractor Approval.** None of the work or services covered by this Contract shall be subcontracted without the prior written approval of KCATA. The only subcontractors approved for this Contract, if any, are listed in an appendix to this Contract. Any substitutions or additions of subcontractors must have the prior written approval of KCATA as set forth herein.
- B. **DBE Subcontractor Employment.** See Disadvantaged Business Enterprise Provisions.
- C. **Subcontractor Payments.** See Requests for Payment Provisions.
- D. **Adequate Provision(s) in Subcontract(s).** Any subcontracts related to this Contract must contain adequate provisions to define a sound and complete agreement. In addition, all subcontracts shall contain contractual provisions or conditions that allow for:
  1. Administrative, contractual, or legal remedies in instances where subcontractors violate or breach contract terms, including sanctions and penalties as may be appropriate.
  2. Termination for cause and for convenience including the manner by which it will be effected and the basis for settlement.
  3. The following provisions if included in this Contract:

Acceptance of Material – No Release  
Agreement in Entirety  
Assignment  
Bankruptcy  
Breach of Contract; Remedies  
Changes  
Civil Rights  
Conflicts of Interest  
Contractor's Personnel  
Contractor's Responsibility  
Debarment and Suspension  
Disadvantaged Business Enterprise (DBE)  
Disclaimer of Federal Government Obligations or Liability  
Dispute Resolution  
Employee Eligibility Verification  
Environmental Regulations  
Federal Changes  
Fraud and False or Fraudulent Statements or Related Acts  
Governing Law  
Headings  
Incorporation of FTA Terms  
Independent Contractor  
Inspection of Services  
Insurance  
Liability and Indemnification  
Licensing, Laws and Regulations  
Lobbying Restrictions  
Notification and Communication  
Ownership, Identification, and Confidentiality of Work  
Patents and Rights in Data and Copyrights  
Privacy Act Requirements  
Prohibited Interests  
Prohibited Weapons and Materials  
Record Retention and Access  
Requests for Payment  
Right to Offset  
Severability  
Subcontractors  
Suspension of Work  
Taxpayer Identification Number (TIN)  
Termination  
Texting While Driving and Distracted Driver  
Unavoidable Delays  
General Provisions

- E. The Contractor will take such action with respect to any subcontractor as KCATA or the U.S. Department of Transportation may direct as means of enforcing such provisions of this contract.
- F. KCATA reserves the right to review the Contractor's written agreement with its subcontractors (DBE and non-DBE) to confirm that required federal contract clauses are included.
- G. KCATA may perform random audits and contact minority subcontractors to confirm the reported DBE participation.

#### 40. SUSPENSION OF WORK

KCATA may order the Contractor, in writing, to suspend, delay, or interrupt all or any part of the work under this agreement for the period of time that KCATA determines appropriate for the convenience of KCATA.

#### 41. TAXPAYER IDENTIFICATION NUMBER (TIN)

The Contractor is required to provide its TIN, which is the number required by the IRS to be used by KCATA in reporting income tax and other returns. The TIN provided by the Contractor is \_\_\_\_\_.

#### 42. TERMINATION

- A. **Termination for Convenience.** The KCATA may terminate this Contract, in whole or in part, at any time by written notice to the Contractor when it is in KCATA's best interest. The Contractor will only be paid the Contract price for supplies delivered and accepted, or services performed in accordance with the manner of performance set forth in the Contract.
- B. **Funding Contingency.** If this Contract is subject to financial assistance provided by the U.S. Department of Transportation, the Contractor agrees that withdrawal or termination of such financial assistance by the U.S. DOT may require KCATA to terminate the agreement.
- C. **Termination for Default.**
1. If the Contractor does not deliver supplies in accordance with the contract delivery schedule, or if the Contract is for services, and the Contractor fails to perform in the manner called for in the Contract, or if the Contractor fails to comply with any other provisions of the Contract, KCATA may terminate this Contract for default. Termination shall be effected by serving a notice of termination on the Contractor setting forth the manner in which the Contractor is in default. The Contractor will only be paid the contract price for supplies delivered and accepted, or services performed in accordance with the manner of performance set forth in the Contract.
  2. If the termination is for failure of the Contractor to fulfill the contract obligations, KCATA may complete the work by contract or otherwise and the Contractor shall be liable for any additional cost incurred by KCATA. If, after termination for failure to fulfill contract obligations, it is determined that the Contractor was not in default, KCATA, after setting up a new delivery or performance schedule, may allow the Contractor to continue work, or treat the termination as a termination for convenience.
- D. **Opportunity to Cure.** KCATA in its sole discretion may, in the case of a termination for breach or default, allow the Contractor an appropriately short period of time in which to cure the defect. In such case, the written notice of termination will state the time period in which cure is permitted and other appropriate conditions. If Contractor fails to remedy to KCATA's satisfaction the breach or default of any of the terms, covenants, or conditions of this Contract within the time period permitted, KCATA shall have the right to terminate the Contract without any further obligation to Contractor. Any such termination for default shall not in any way operate to preclude KCATA from also pursuing all available remedies against Contractor and its sureties for said breach or default.
- E. **Waiver of Remedies for any Breach.** In the event that KCATA elects to waive its remedies for any breach by Contractor of any covenant, term or condition of this Agreement, such waiver by KCATA shall not limit KCATA's remedies for any succeeding breach of that or of any other term, covenant, or condition of this Agreement.
- F. **Property of KCATA.** Upon termination of the Contract for any reason, and if the Contractor has any property

in its possession belonging to KCATA, the Contractor shall protect and preserve the property, account for the same, and dispose of it in the manner KCATA directs. Upon termination of the Contract for any reason, the Contractor shall (1) immediately discontinue all services affected (unless the notice directs otherwise), and (2) deliver to KCATA's Project Manager all data, drawings, specifications, reports, estimates, summaries, and other information and materials accumulated in performing this Contract, whether completed or in process.

#### **43. TEXTING WHILE DRIVING AND DISTRACTED DRIVING**

Consistent with Executive Order No. 13513, "Federal Leadership on Reducing Text Messaging While Driving," October 1, 2009, 23 U.S.C. Section 402 note, and DOT Order 3902.10, "Text Messaging While Driving," December 30, 2009, the Contractor agrees to promote policies and initiatives for its employees and other personnel that adopt and promote safety policies to decrease crashes by distracted drivers, including policies to ban text messaging while driving, and to encourage each subcontractor to do the same.

#### **44. UNAVOIDABLE DELAYS**

A delay is unavoidable only if the delay was not reasonably expected to occur in connection with or during the Contractor's performance, and was not caused directly or substantially by acts, omissions, negligence, or mistakes of the Contractor, the Contractor's suppliers, or their agents, and was substantial and in fact caused the Contractor to miss delivery dates, and could not adequately have been guarded against by contractual or legal means.

#### **45. GENERAL PROVISIONS**

- A. **No Third-Party Beneficiaries.** The parties do not intend to confer any benefit hereunder on any person, firm or entity other than the parties hereto.
- B. **Extensions of Time.** No extension of time for performance of any Contractor obligations or acts shall be deemed an extension of time for performance of any other obligations or acts.
- C. **Binding Effect.** This Contract shall bind and inure to the benefit of the legal representatives, successors and permitted assigns of the parties.
- D. **Counterparts.** This Contract may be executed at different times and in two or more counterparts and all counterparts so executed shall for all purposes constitute one contract, binding on all the parties hereto, notwithstanding that all parties shall not have executed the same counterpart. And, in proving this Contract, it shall not be necessary to produce or account for more than one such counterpart executed by the party against whom enforcement is sought.
- E. **Interpretation; Update of Citations.** Unless otherwise specified herein, (a) the singular includes the plural and the plural the singular; (b) words importing any gender include the other genders; and (c) references to persons or parties include their permitted successors and assigns. The parties recognize and agree that many of the laws, regulations, policies, procedures and directives stated as governing the Contractor's performance of its work or services, or the supplying of products, equipment, or materials, pursuant to this Contract are subject to updating, amendment or replacement. Therefore, all such references in this Contract are agreed by the parties to be deemed to refer to the then current updated, amended or replacement form of such laws, regulations, policies, procedures and directives in effect at the applicable time during the term of this Contract and the same are hereby incorporated into this Contract by this reference.
- F. **When Effective.** Notwithstanding any provision contained in this Contract to the contrary, this Contract shall become effective only after the execution and delivery of this Contract by each of the parties hereto and no course of conduct, oral contract or written memoranda shall bind the parties hereto with respect to the subject matter hereof except this Contract.

- G. **Further Actions; Reasonableness and Cooperation by Parties; Time for Certain Actions.** Each party agrees to take such further actions and to execute such additional documents or instruments as may be reasonably requested by the other party to carry out the purpose and intent of this Contract. Except where expressly stated to be in a party's sole discretion, or where it is stated that a party has the ability to act in its sole judgment or for its own uses or purposes, wherever it is provided or contemplated in this Contract that a party must give its consent or approval to actions or inactions by the other party or a third party in connection with the transactions contemplated hereby, such consent or approval will not be unreasonably withheld or delayed. If no time period is set hereunder for a party to approve or consent to an action or inaction by the other party or a third party such approval shall be given or affirmatively withheld in writing within ten (10) business days after it is requested in writing or it shall be deemed given.
  
- H. **Time Periods.** A "business day" is a business working day of KCATA administrative personnel which are days other than a Saturday, Sunday or legal holidays observed by the KCATA for administrative personnel. If the time period by which any right or election provided under this Contract must be exercised, or by which any act required hereunder must be performed, expires on a day which is not a business day, then such time period shall be automatically extended through the close of business on the next regularly scheduled business day.
  
- I. **Survival.** In addition to any provisions expressly stated to survive termination of this Contract, all provisions which by their terms provide for or contemplate obligations or duties of a party which are to extend beyond such termination (and the corresponding rights of the other party to enforce or receive the benefit thereof) shall survive such termination.
  
- J. **Authority of Signatories.** Any person executing this Contract in a representative capacity represents and warrants that such person has the authority to do so and, upon request, will furnish proof of such authority in customary form.

Contractor's Initials \_\_\_\_\_

KCATA's Initials \_\_\_\_\_

KCATA's Initials \_\_\_\_\_



**ATTACHMENT B.**  
**KCATA'S TRAVEL POLILCY FOR CONTRACTORS**

Contractors will be reimbursed for authorized and documented expenses incurred while conducting KCATA business. Expenses for a traveler's companion are not eligible for reimbursement. Contractors are expected to make prudent business decisions and comparison shop for airfares, rental cars, lodging, etc., and to keep in mind that they are being reimbursed with public monies.

Receipts, paid bills or other documentary evidence for expenditures must be submitted with requests for reimbursement. The request for reimbursement must clearly indicate the amount, date, place and essential character of the expenditures.

The KCATA reserves the right to modify this travel policy with proper notification to Contractors.

1. **Airfare:** Commercial airline, coach class seating only. When possible, trips should be planned far enough in advance to assure purchase discounts.
2. **Lodging:** The KCATA has negotiated special rates at specific hotels. Contractors may stay at the hotel of their choice, but will be reimbursed no more than a maximum daily amount of \$160.00 plus tax unless the contractor obtains prior written authorization from KCATA.
3. **Meals:** The **actual costs** of meals, including tips of generally 15-17%, will be reimbursed up to a maximum of \$70 per person a day. Alcoholic beverages are **not** an eligible reimbursable expense.
4. **Auto Rental:** Rental or leased vehicles will not be reimbursed unless pre-approved in writing by KCATA in advance. The class of auto selected, if authorized, should be the lowest class appropriate for the intended use and number of occupants.
5. **Telephone:** Project-related, long-distance business calls will be reimbursed.
6. **Number of Trips to Travel Home on Weekends:** When extended stays in Kansas City are required, the KCATA will reimburse for trips home on weekends only every third weekend. In some instances, KCATA may require relocation of an employee to Kansas City.
7. **Taxis, Airport Shuttles, Public Transportation:** Transportation between the airport and hotel will be reimbursed. Contractors should consider the number in their party and compare taxi rates to airport shuttle fees when the shuttle serves the hotel.
8. **Personal Vehicle:** Mileage for usage of personal vehicles for business travel outside the seven-county Kansas City metropolitan area (Clay, Cass, Jackson and Platte Counties in Missouri; Johnson, Wyandotte and Douglas counties in Kansas) will be reimbursed at KCATA's current rate, which is based on the IRS current established rate for that period.

## ATTACHMENT C PROPOSAL SUBMITTAL REQUIREMENTS

Listed below are documents that are required to be submitted in response to this Request for Proposals (RFP).

- Volume I – Cost/Price Proposal
  - ✓ Cost Proposal Form (Attachment D). One (1) unbound original and one (1) copy.
  
- Volume II – Technical Proposal. One (1) unbound original and four (4) copies.
  
- Volume III -- Contractual
  - ✓ Vendor Registration Form (Attachment E); (unless already on file with KCATA). *Include this form for each Subcontractor.*
  - ✓ Affidavit of Civil Rights Compliance (Attachment F). *Include this form for each Subcontractor.*
  - ✓ Work Force Analysis Report Form (Attachment G-2; unless already on file with KCATA). *Include this Report for each Subcontractor.*
  - ✓ Affidavit of Primary Participants Regarding Employee Eligibility Verification (Attachment H). *Include Attachment H-2 (Lower-Tier Participants) if using Subcontractors.*
  - ✓ Certification of Debarment (Primary) Form (Attachment I). *Include Attachment I-2 (Lower Tier Participants) if using Subcontractors.*
  - ✓ Certification of Lobbying (Primary) Form (Attachment J). *Include Attachment JI-2 (Lower Tier Participants) if using Subcontractors.*
  - ✓ Letter of Intent to Subcontract (Attachment K). *Include if using DBE subcontractors.*
  - ✓ Certification of Receipt of Addenda Form (*If issued*)
  - ✓ Audited Financial Statements for Past Two Years
  - ✓ .PDF copy of complete set of proposal documents (Volumes I through III) on flash/jump drive. A separate .pdf should be created for each Volume.

*The electronic copy of Attachments E through K can be obtained by going to:*

[http://www.kcata.org/about\\_kcata/entries/vendor\\_forms](http://www.kcata.org/about_kcata/entries/vendor_forms)

**ATTACHMENT D  
COST/PRICE PROPOSAL**

**REQUEST FOR PROPOSALS #18-7023-31D  
IDIQ FOR ON-CALL INNOVATIVE SERVICES WITH WORK ORDERS**

- Prime Contractor shall submit fully loaded hourly wage rates for the first year of the contract term for each anticipated employee that will be utilized for this Agreement. KCATA will assign “estimated hours” representative of a sample Work Order in order to achieve a comparative Cost/Price Analysis.
- Provide the Overhead rate supported by the most recent statement of Direct labor, Fringe Benefits and General Overhead, prepared in accordance with Title 48 CFR, Part 31 of the Federal Acquisition Regulations. Proposers may submit audited statements from other agencies that support the Overhead rates.
- Information for all Sub-Consultants is to be submitted at the time of Proposal Closing. Information for Sub-Consultants must be separated and identified by Firm Name. A separate sheet may be used if need.
- The maximum fixed fee allowed for contract term and subsequent option years will be capped at ten percent (10%).

<b>PRIME CONTRACTOR</b>			
<b>OVERHEAD RATE:</b> _____ %		<b>FIXED FEE:</b> _____ %	
<b>Employee Name</b>	<b>Position/ Job Title</b>	<b>Direct Labor Rate</b>	<b>Fully Loaded Rate (Direct + OH + Fee)</b>
		\$	\$
		\$	\$
		\$	\$
		\$	\$
		\$	\$
		\$	\$
		\$	\$
		\$	\$
		\$	\$
		\$	\$
		\$	\$
		\$	\$
		\$	\$
		\$	\$
		\$	\$
		\$	\$

**Pricing for Option Years Two through Five.** Future labor rates for option years will be negotiated based on such factors as the Bureau of Labor Statistics’ Employment Cost Index for private industry workers, wages and salaries in effect 60 days prior to the contract anniversary, and will take into consideration changes in personnel, promotions and retirements.

**ATTACHMENT D (CONTINUED)  
COST/PRICE PROPOSAL**

**REQUEST FOR PROPOSALS #18-7023-31D  
IDIQ FOR ON-CALL INNOVATIVE SERVICES WITH WORK ORDERS**

The undersigned, acting as an authorized agent or officer for the Proposer, does hereby agree to the following:

1. The offer submitted is complete and accurate, including all forms required for submission in accordance with the terms and conditions listed in this Request for Proposals (RFP) and any subsequent Addenda. The Proposer shall immediately notify the KCATA in the event of any change.
2. The undersigned agrees to perform services as described herein for the consideration stated in accordance with the terms and conditions listed in the RFP. The rights and obligations of the parties to any resultant purchase order/contract shall be subject to and governed by this document and any documents attached or incorporated herein by reference.

---

---

Company Name (Type / Print)	Date
-----------------------------	------

---

Address / City / State / Zip

---

Authorized Signature	Title
----------------------	-------

---

Name (Type / Print)

---

Telephone #	Facsimile #
-------------	-------------

---

E-mail Address

**ATTACHMENT E  
KCATA VENDOR REGISTRATION FORM**

Thank you for your interest in doing business with the Kansas City Area Transportation Authority. To be placed on the KCATA Registered Vendors List for goods and services, please complete this form **in its entirety** and return it to the KCATA Procurement Department. Submittal of this registration form will place your company on the KCATA Registered Vendor List, but does not guarantee a solicitation. The list will be periodically purged. If you do not receive solicitations, inquire to confirm that your company remains on our list. Current business opportunities can be found in the "Doing Business with KCATA" section of our website, [www.kcata.org](http://www.kcata.org).

**Firms are required to submit this information to KCATA once. However, it is your responsibility to notify KCATA of any changes to your business that may affect your registration (i.e. address, contact information).**

<b>Legal Entity Name:</b>				<b>Phone:</b>	
<b>Doing Business As:</b>				<b>Toll-free Phone:</b>	
<b>Physical Address:</b>				<b>Fax:</b>	
<b>City:</b>				<b>Email:</b>	
<b>State:</b>		<b>Zip:</b>		<b>Website:</b>	
<b>Contact Person Name:</b>				<b>Title:</b>	
<b>Contact Phone:</b>				<b>Contact Email:</b>	
<b>Mailing Address:</b>				<b>Phone:</b>	
<b>City:</b>				<b>Fax:</b>	
<b>State:</b>		<b>Zip:</b>		<b>Comments:</b>	
<b>Business Type:</b>	<input type="checkbox"/> Individual		<input type="checkbox"/> Partnership		<input type="checkbox"/> Corporation
	<input type="checkbox"/> Limited Liability Company		<input type="checkbox"/> Other (Explain) _____		
<b>If Incorporated, in Which State:</b>				<b>Federal Tax ID No:</b>	
<b>Years in Business:</b>				<b>Years in Business Under Current Name:</b>	
<b>Does your firm have a Data Universal Numbering System (DUNS) number as a Federal contractor?</b> If so, please provide. DUNS numbers may be obtained free of charge from Dun & Bradstreet at 1-866-705-5711 or at <a href="http://www.fedgov.dnb.com/webform">www.fedgov.dnb.com/webform</a> .					DUNS # _____
<b>Annual Gross Receipts.</b> This information is required by U. S. Department of Transportation and Vendors will be requested to update this information on a regular basis.	<input type="checkbox"/> Less than \$250,000		<input type="checkbox"/> \$250,000 to \$500,000		<input type="checkbox"/> \$500,000 to \$1 Million
	<input type="checkbox"/> \$1 Million to 5 Million		<input type="checkbox"/> \$5 Million to 10 Million		<input type="checkbox"/> More than \$10 Million
<b>Standard Invoice Terms:</b>	<b>Due Days</b>		<b>Discount Days</b>		<b>Percent</b>
<b>Please provide a description of the goods and services you are interested in providing to KCATA.</b> Include the corresponding North America Industry Classification System (NAICS) Codes for your business type. For a listing of the codes visit U.S. Small Business Administration's website at <a href="http://www.sba.gov/content/small-business-size-standards">http://www.sba.gov/content/small-business-size-standards</a> .					
<b>NAICS CODE(S) :</b>				<b>NAICS CODE(S):</b>	
<b>NAICS CODE(S):</b>				<b>NAICS CODE(S):</b>	

<b>1. Is your firm a Disadvantaged Business Enterprise (DBE) based on the definitions and U.S. Department of Transportation certification guidelines in 49 CFR Part 26?</b> If YES, submit a copy of a copy of your current certification from your state's UCP.	<input type="checkbox"/> YES	<input type="checkbox"/> NO	<input type="checkbox"/> ENCLOSED
<b>2. Is your firm a Small Business Enterprise (SBE) as defined by the U.S. Small Business Administration's Small Business Size Guidelines and 13 CFR 121?</b> For further information on 13 CFR 121 and SBE designation refer to SBA's website at <a href="http://www.sba.gov/content/small-business-size-standards">http://www.sba.gov/content/small-business-size-standards</a>	<input type="checkbox"/> YES	<input type="checkbox"/> NO	<input type="checkbox"/> ENCLOSED
<b>3. Is your firm a Woman-Owned Business Enterprise (WBE) or Minority Owned Business Enterprise (MBE) certified by a nationally recognized organization?</b> If YES, please provide a copy of your certification documentation.	<input type="checkbox"/> YES	<input type="checkbox"/> NO	<input type="checkbox"/> ENCLOSED

**4. Does your firm meet any of these other federal business classifications?** If YES, please provide a copy of certification documents.

Service Disabled, Veteran Owned Business
  SBA 8(a) Certified Business  
 HubZone Program Certified
  Other \_\_\_\_\_

**DBE/SBE CERTIFICATION:** The KCATA participates in the U. S. Department of Transportation's DBE and SBE programs. Certification in these programs is based on the regulations in 49 CFR Part 26. If your firm is interested in becoming a certified DBE or SBE, please contact KCATA's Contracting/Supplier Diversity Coordinator at (816) 346-0272 or via email at [cmoore@kcata.org](mailto:cmoore@kcata.org).

**WORKER ELIGIBILITY AFFIDAVIT:** As required by §285.500 RSMo, et seq., any business contracting to perform work in excess of \$5,000 for the KCATA shall provide a sworn affidavit affirming: (1) its enrollment and participation in a federal work authorization program such as U. S. Department of Homeland Security's E-Verify, accompanied by corresponding documentation to evidence its enrollment in that program; and (2) that it does not knowingly employ any person who does not have the legal right or authorization under federal law to work in the United States. Prior to being awarded any contract with KCATA, you will be required to furnish proof of your firm's participation in such program.

**VENDOR CERTIFICATION:** I certify that information supplied herein (including all pages attached) is correct and that neither the business entity nor any person in any connection with the business entity as a principal or officer, so far as known, is now debarred or otherwise declared ineligible from bidding for furnishing materials, supplies, or services to the Kansas City Area Transportation Authority or declared ineligible to participate in federally funded projects.

<b>Signature</b>	<b>Date</b>
<b>Printed Name</b>	<b>Title</b>

**The following documents must be returned:**

- Completed Vendor Registration Form
- KCATA Workforce Analysis/EEO-1 Report
- Affidavit of Civil Rights Compliance (*found on KCATA's website as Attachment B*)

**Return completed Vendor Registration Packet to Kansas City Area Transportation Authority,  
 Procurement Department, 1350 East 17th Street, Kansas City, MO 64108  
 Fax: (816) 346-0336 or email: [mgay@kcata.org](mailto:mgay@kcata.org)**

**[NOTE: Vendors will be required to submit a signed IRS W9 form prior to authorization of any purchase.](#)**

*A foreign corporation may not transact business in Missouri until it obtains a Certificate of Authority. To apply, you must use the forms provided by the Missouri Secretary of State's office, as required by law.*

**ATTACHMENT F**  
**AFFIDAVIT OF CIVIL RIGHTS COMPLIANCE**

STATE OF \_\_\_\_\_

COUNTY OF \_\_\_\_\_

On this \_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_, before me appeared \_\_\_\_\_, personally known by me or otherwise proven to be the person whose name is subscribed on this affidavit and who, being duly sworn, stated as follows: I am the \_\_\_\_\_ (title) of \_\_\_\_\_ (business entity) and I am duly authorized, directed or empowered to act with full authority on behalf of the business entity in making this affidavit.

I hereby swear or affirm that the business entity complies with the following:

- A. **Nondiscrimination.** In accordance with Title VI of the Civil Rights Act, as amended, 42 U.S.C. § 2000d, section 303 of the Age Discrimination Act of 1975, as amended, 42 U.S.C. § 6102, section 202 of the Americans with Disabilities Act of 1990, 42 U.S. C. § 12132, and Federal transit law at 49 U.S.C. § 5332, the Contractor agrees that it will not discriminate against any employee or applicant for employment because of race, color, creed, national origin, sex, age, or disability. In addition, the Contractor agrees to comply with applicable Federal implementing regulations and other implementing regulations that the Federal Transit Administration (FTA) may issue.
  
- B. **Equal Employment Opportunity.** The following equal employment opportunity requirements apply to this Contract:
  - 1. Race, Color, Creed, National Origin or Sex. In accordance with Title VII of the Civil Rights Act, as amended, 42. U.S.C. §2000e, *et seq.*, and Federal transit laws at 49 U.S.C. §5332, the Contractor agrees to comply with all applicable equal opportunity requirements of the U.S. Department of Labor (U.S. DOL) regulations, “Office of Federal Contract Compliance Programs, Equal Employment Opportunity, Department of Labor” 41 C.F.R. Parts 60 et seq., (which implement Executive Order No. 11246, “Equal Employment Opportunity,” as amended by Executive Order No. 11375, “Amending Executive Order 11246 Relating to Equal Employment Opportunity,” 42 U.S.C. 2000e note), and with any applicable Federal statutes, executive orders, regulations, and Federal policies that may in the future affect activities undertaken in the course of the Contract. The Contractor agrees to take affirmative action to ensure that applicants are employed, and that employees are treated during employment, without regard to their race, color, creed, sex, sexual orientation, gender identity, national origin, disability or age. Such action shall include, but not be limited to, the following: employment, upgrading, demotion or transfer, recruitment or recruitment advertising, layoff or termination; rates of pay or other forms of compensation; and selection for training, including apprenticeship. In addition, the Contractor agrees to comply with any implementing requirements FTA may issue.
  
  - 2. Age. In accordance with Section 4 of the Age Discrimination in Employment Act of 1967, as amended, 29 U.S.C. § 623 and Federal transit law at 49 U.S.C. §5332, the Contractor agrees to refrain from discrimination against present and prospective employees for reason of age. In addition, the Contractor agrees to comply with any implementing requirements FTA may issue.

**ATTACHMENT F (CONTINUED)**

3. Disabilities. In accordance with section 102 of the Americans with Disabilities Act, as amended, 42 U.S.C. §12112, the Contractor agrees that it will comply with the requirements of U.S. Equal Employment Opportunity Commission, "Regulations to Implement the Equal Employment Provisions of the Americans with Disabilities Act," 29 C.F.R. Part 1630, pertaining to employment of persons with disabilities. In addition, the Contractor agrees to comply with any implementing requirements FTA may issue.

\_\_\_\_\_  
Affiant's Signature

\_\_\_\_\_  
Date

Subscribed and sworn to me before this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_.

\_\_\_\_\_  
Notary Public Signature

\_\_\_\_\_  
Date

My Commission expires: \_\_\_\_\_



**ATTACHMENT G-1  
GUIDELINES FOR WORKFORCE ANALYSIS**

**DEFINITIONS:** Contractor shall apply the following definitions to the categories in KCATA's Workforce Analysis/EEO-1 Report form.

**RACIAL/ETHNIC**

1. **WHITE** (not of Hispanic origin): All persons having origins in any of the original peoples of Europe, North Africa, or the Middle East.
2. **BLACK** (not of Hispanic origin): All persons having origins in any of the Black racial groups of Africa.
3. **HISPANIC**: All persons of Mexican, Puerto Rican, Cuban, Central or South American origin, regardless of race.
4. **ASIAN or PACIFIC ISLANDER**: All persons having origins in any of the original peoples of the Far East, Southeast Asia, the Indian Subcontinent, or the Pacific Islands. This area includes, for example, China, Japan, Korea, the Philippine Islands, and Samoa.
5. **AMERICAN INDIAN or ALASKAN NATIVE**: All persons having origins in any of the original peoples of North America, and who maintain cultural identification through tribal affiliation or community recognition.

**JOB CATEGORIES**

1. **OFFICIALS and MANAGERS**: Includes chief executive officers, presidents, vice-presidents, directors and kindred workers.
2. **PROFESSIONALS**: Includes attorneys, accountants and kindred workers.
3. **TECHNICIANS**: Includes computer programmers and operators, drafters, surveyors, highway technicians, inspectors and kindred workers.
4. **SALES WORKERS**: Includes contract sales representatives, purchasing agents, customer relations representatives and kindred workers.
5. **OFFICE and CLERICAL**: Includes secretaries, book-keepers, clerk typists, payroll clerks, accounts payable clerks, receptionists, switchboard operators and kindred workers.
6. **CRAFT WORKERS** (skilled): Includes mechanics and repairers, electricians, carpenters, plumbers and kindred workers.
7. **OPERATIVES** (semi-skilled): Includes bricklayers, plaster attendants, welders, truck drivers and kindred workers.
8. **LABORERS** (unskilled): Includes laborers performing lifting, digging, mixing, loading and pulling operations and kindred workers.
9. **SERVICE WORKERS**: Includes janitors, elevator operators, watchmen, chauffeurs, attendants and kindred workers.

## ATTACHMENT G.2 – EEO-1 / WORK FORCE ANALYSIS REPORT

Report all permanent, temporary, or part-time employees including apprentices and on-the-job trainees.  
Enter the appropriate figures on all lines and in all columns. All blank spaces will be considered zero.

Job Categories	Number of Employees (Report employees in only one category)														
	Race/Ethnicity														
	Hispanic or Latino		Not Hispanic or Latino												Total Col A-N
	Male	Female	Male						Female						
White			Black or African American	Native Hawaiian or Other Pacific Islander	Asian	American Indian or Alaska Native	Two or more races	White	Black or African American	Native Hawaiian or Other Pacific Islander	Asian	American Indian or Alaska Native	Two or more races		
A	B	C	D	E	F	G	H	I	J	K	L	M	N	O	
Executive/Senior-Level Officials and Managers															
First/Mid-Level Officials and Managers															
Professionals															
Technicians															
Sales Workers															
Administrative Support Workers															
Craft Workers															
Operatives															
Laborers and Helpers															
Service Workers															
<b>TOTAL</b>															
<b>PREVIOUS YEAR TOTAL</b>															
<b>TYPE OF BUSINESS</b>	<input type="checkbox"/> Manufacturing		<input type="checkbox"/> Wholesale		<input type="checkbox"/> Construction		<input type="checkbox"/> Regular Dealer		<input type="checkbox"/> Selling Agent		<input type="checkbox"/> Service Establishment		<input type="checkbox"/> Other		

Signature of Certifying Official

Company Name

Printed Name and Title

Address/City/State/Zip Code

Date Submitted

Telephone Number/Fax Number

**ATTACHMENT H.1  
AFFIDAVIT OF PRIMARY PARTICIPANTS  
COMPLIANCE WITH SECTION 285.500 RSMO, ET SEQ.  
REGARDING EMPLOYEE ELIGIBILITY VERIFICATION**

STATE OF \_\_\_\_\_

COUNTY OF \_\_\_\_\_

On this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_, before me appeared \_\_\_\_\_, personally known by me or otherwise proven to be the person whose name is subscribed on this affidavit and who, being duly sworn, stated as follows: I am the \_\_\_\_\_ (title) of \_\_\_\_\_ (business entity) and I am duly authorized, directed or empowered to act with full authority on behalf of the business entity in making this affidavit.

I hereby swear or affirm that the business entity does not knowingly employ any person in connection with the contracted services who does not have the legal right or authorization under federal law to work in the United States as defined in 8 U.S.C. §1324a(h)(3).

I hereby additionally swear or affirm that the business entity is enrolled in an electronic verification of work program operated by the United States Department of Homeland Security (E-Verify) or an equivalent federal work authorization program operated by the United States Department of Homeland Security to verify information of newly hired employees, under the Immigration Reform and Control Act of 1986, and that the business entity will participate in said program with respect to any person hired to perform any work in connection with the contracted services.

I have attached hereto documentation sufficient to establish the business entity's enrollment and participation in the required electronic verification of work program. I shall require that the language of this affidavit be included in the award documents for all sub-contracts exceeding \$5,000.00 at all tiers and that all subcontractors at all tiers shall affirm and provide documentation accordingly.

\_\_\_\_\_  
Affiant's signature

Subscribed and sworn to before me this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_

\_\_\_\_\_  
Notary Public

My Commission expires:

**NOTE: An example of acceptable documentation is the E-Verify Memorandum of Understanding (MOU) – a valid, completed copy of the first page identifying the business entity and a valid copy of the signature page completed and signed by the business entity, the Social Security Administration and the Department of Homeland Security.**

**ATTACHMENT H.2**  
**AFFIDAVIT OF LOWER-TIER PARTICIPANTS**  
**COMPLIANCE WITH SECTION 285.500 RSMO, ET SEQ.**  
**REGARDING EMPLOYEE ELIGIBILITY VERIFICATION**

STATE OF \_\_\_\_\_

COUNTY OF \_\_\_\_\_

On this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_, before me appeared \_\_\_\_\_, personally known by me or otherwise proven to be the person whose name is subscribed on this affidavit and who, being duly sworn, stated as follows: I am the \_\_\_\_\_ (title) of \_\_\_\_\_ (business entity) and I am duly authorized, directed or empowered to act with full authority on behalf of the business entity in making this affidavit.

I hereby swear or affirm that the business entity does not knowingly employ any person in connection with the contracted services who does not have the legal right or authorization under federal law to work in the United States as defined in 8 U.S.C. §1324a(h)(3).

I hereby additionally swear or affirm that the business entity is enrolled in an electronic verification of work program operated by the United States Department of Homeland Security (E-Verify) or an equivalent federal work authorization program operated by the United States Department of Homeland Security to verify information of newly hired employees, under the Immigration Reform and Control Act of 1986, and that the business entity will participate in said program with respect to any person hired to perform any work in connection with the contracted services.

I have attached hereto documentation sufficient to establish the business entity's enrollment and participation in the required electronic verification of work program. I shall require that the language of this affidavit be included in the award documents for all sub-contracts exceeding \$5,000.00 at all tiers and that all subcontractors at all tiers shall affirm and provide documentation accordingly.

\_\_\_\_\_  
Affiant's signature

Subscribed and sworn to before me this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_

\_\_\_\_\_  
Notary Public

My Commission expires:

**NOTE: An example of acceptable documentation is the E-Verify Memorandum of Understanding (MOU) – a valid, completed copy of the first page identifying the business entity and a valid copy of the signature page completed and signed by the business entity, the Social Security Administration and the Department of Homeland Security.**

**ATTACHMENT I.1  
CERTIFICATION OF PRIMARY PARTICIPANT  
REGARDING DEBARMENT, SUSPENSION, AND OTHER  
RESPONSIBILITY MATTERS**

The Primary Participant (applicant for an FTA grant or cooperative agreement, or potential Contractor for a major third party contract), \_\_\_\_\_ certifies to the best of its knowledge and belief, that it and its principals:

1. Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;
2. Have not within a three-year period preceding this bid, been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
3. Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (2) of this certification; and
4. Have not within a three-year period preceding this application/bid had one or more public transactions (Federal, State or local) terminated for cause or default.

If the primary participant (applicant for FTA grant, or cooperative agreement, or potential third party Contractor) is unable to certify to any of the statements in this certification, the participant shall attach an explanation to this certification.

**THE PRIMARY PARTICIPANT (APPLICANT FOR AN FTA GRANT OR COOPERATIVE AGREEMENT, OR POTENTIAL CONTRACTOR FOR A MAJOR THIRD PARTY CONTRACT), \_\_\_\_\_ CERTIFIES OR AFFIRMS THE TRUTHFULNESS AND ACCURACY OF THE CONTENTS OF THE STATEMENTS SUBMITTED ON OR WITH THIS CERTIFICATION AND UNDERSTANDS THAT THE PROVISIONS OF 31 U.S.C., SECTIONS 3801 *ET SEQ.* ARE APPLICABLE THERETO.**

\_\_\_\_\_  
Signature and Title of Authorized Official

\_\_\_\_\_  
Date

**ATTACHMENT I.2**  
**CERTIFICATION OF LOWER-TIER PARTICIPANTS REGARDING**  
**DEBARMENT, SUSPENSION, AND OTHER INELIGIBILITY**  
**AND VOLUNTARY EXCLUSION**

The Lower Tier Participant (potential sub-grantee or sub-recipient under an FTA project, potential third party Contractor, or potential subcontractor under a major third party contract) \_\_\_\_\_, certifies, by submission of this bid, that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.

If the Lower Tier Participant (potential sub-grantee or sub-recipient under an FTA project, potential third party Contractor, or potential subcontractor under a major third party contract) is unable to certify to any of the statements in this certification, such participant shall attach an explanation to this bid.

**THE LOWER-TIER PARTICIPANT (POTENTIAL SUB-GRANTEE OR SUB-RECIPIENT UNDER AN FTA PROJECT, POTENTIAL THIRD PARTY CONTRACTOR, OR POTENTIAL SUBCONTRACTOR UNDER A MAJOR THIRD PARTY CONTRACT), \_\_\_\_\_, CERTIFIES OR AFFIRMS THE TRUTHFULNESS AND ACCURACY OF THE CONTENTS OF THE STATEMENTS SUBMITTED ON OR WITH THIS CERTIFICATION AND UNDERSTANDS THAT THE PROVISIONS OF 31 U.S.C., SECTIONS 3801 *ET SEQ.* ARE APPLICABLE THERETO.**

\_\_\_\_\_  
Signature and Title of Authorized Official

\_\_\_\_\_  
Date

**ATTACHMENT J.1**  
**CERTIFICATION OF PRIMARY PARTICIPANTS**  
**REGARDING RESTRICTIONS ON LOBBYING**

I, \_\_\_\_\_ (Name and Title of Grantee Official or Potential Contractor for a Major Third Party Contract), hereby certify on behalf of \_\_\_\_\_ (Name of Grantee or Potential Contractor) that:

1. No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
2. If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.
3. The undersigned shall require that the language of this certification be included in the award documents for all sub-awards at all tiers (including subcontracts, sub-grants, and contracts under grants, loans, and cooperative agreements) and that all sub-recipients shall certify and disclose accordingly.

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

Executed this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_\_

By \_\_\_\_\_  
Signature of Authorized Official

\_\_\_\_\_  
Title of Authorized Official

**ATTACHMENT J.2**  
**CERTIFICATION OF LOWER-TIER PARTICIPANTS**  
**REGARDING RESTRICTIONS ON LOBBYING**

I, \_\_\_\_\_ (Name and Title of Grantee Official or Potential Subcontractor under a Major Third Party Contract), hereby certify on behalf of \_\_\_\_\_ (Name of Grantee or Potential Subcontractor) that:

1. No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
2. If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.
3. The undersigned shall require that the language of this certification be included in the award documents for all sub-awards at all tiers (including subcontracts, sub-grants, and contracts under grants, loans, and cooperative agreements) and that all sub-recipients shall certify and disclose accordingly.

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

Executed this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_.

By \_\_\_\_\_  
Signature of Authorized Official

\_\_\_\_\_  
Title of Authorized Official



**ATTACHMENT K**

**LETTER OF INTENT TO SUBCONTRACT**

*(To be completed for Each DBE Subcontractor on Project)*

Project Number \_\_\_\_\_

Project Title \_\_\_\_\_

\_\_\_\_\_ (“Prime Contractor”) agrees to enter into a contractual agreement with \_\_\_\_\_ (“DBE Subcontractor”), who will provide the following goods/services in connection with the above-referenced contract:

(Insert a brief narrative describing the goods/services to be provided. Broad categorizations (e.g., “electrical,” “plumbing,” etc.) or the listing of the NAICS Codes in which DBE Subcontractor is certified are insufficient and may result in this Letter of Intent to Subcontract not being accepted.)

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_.

DBE Subcontractor is currently certified with the Missouri Regional Certification Committee (MRCC) to perform in the capacities indicated herein. Prime Contractor agrees to utilize DBE Subcontractor in the capacities indicated herein, and DBE Subcontractor agrees to work on the above-referenced contract in the capacities indicated herein, contingent upon award of the contract to Prime Contractor.

\_\_\_\_\_  
Signature: Prime Contractor

\_\_\_\_\_  
Signature: DBE Subcontractor

\_\_\_\_\_  
Print Name

\_\_\_\_\_  
Print Name

\_\_\_\_\_  
Title

\_\_\_\_\_  
Date

\_\_\_\_\_  
Title

\_\_\_\_\_  
Date