



CamTran, Johnstown, PA is soliciting price proposals to engage the services of a Certified Public Accounting (CPA) firm to provide annual year-end financial audit services and financial reporting for CamTran and the Inclined Plane, Johnstown, PA. CamTran welcomes you or your business to submit a bid for the same. If interested, please review the attached information as to the required knowledge/experience and proposal submittal procedures required by CamTran for consideration of you or your business to perform this request. Please ensure that if you obtain this solicitation information from the CamTran website ([www.camtranbus.com](http://www.camtranbus.com)) that you contact Anne Covalt at [acovalt@camtranbus.com](mailto:acovalt@camtranbus.com) or Tom Sylvia at [tsylvia@camtranbus.com](mailto:tsylvia@camtranbus.com) in order to be added to the bidder's listing for any addenda that might be issued.

**REQUEST FOR PROPOSAL (RFP)**

**For**  
**Financial Audit Services**  
**Issued by:**  
**Cambria County Transit Authority**  
**502 Maple Avenue**  
**Johnstown, PA 15901**  
**Telephone: 814-535-5526 ext. 222**  
**Fax: 814-536-5951**  
**E-mail: [tsylvia@camtranbus.com](mailto:tsylvia@camtranbus.com)**

<b>Sunday March 24, 2019</b>	<b>Request for Proposal Released</b>
<b>Tuesday, April 2, 2019</b>	<b>Request for questions and clarifications due to CamTran by 10 a.m.</b>
<b>Friday, April 5, 2019</b>	<b>Answers to questions and clarifications released by CamTran</b>
<b>Thursday, April 18, 2019</b>	<b>Proposals-Due by 3 p.m. prevailing time</b>
<b>Monday, April 29, 2019</b>	<b>Anticipated issuance of award and Notice to Proceed</b>

**Request for Proposals  
Financial Audit Services  
Table of Contents**

Introduction..... 5  
Overview..... 6

A. Instruction to Offerors..... 7

- 1. Procedure..... 7
- 2. Questions/Inquiries & Clarifications..... 7
- 3. Offeror’s Responsibility..... 7
- 4. Proposal Documents..... 8
- 5. Pre-Proposal Conference (Not applicable) ..... 8
- 6. Proposal Withdrawal..... 8
- 7. Preparation and Submission of Proposals..... 8
- 8. Procurement Schedule..... 10

B. Proposal Requirements..... 10

C. Qualification Requirements..... 11

D. Proposer’s Team Expertise..... 11

E. Evaluation Process and Selection Criteria..... 13

F. Scope of work..... 15

- Deliverables..... 17

G. Provisions..... 18

- 1. Contract Performance Period..... 18
- 2. Assignment and/or Subcontracting..... 18
- 3. Payments..... 18

H. General Conditions..... 19

- 1. Definition of Terms..... 19
- 2. Liabilities Against Procuring Agency..... 19
- 3. Taxes..... 19
- 4. Permits, Licenses and Fees..... 19
- 5. Proposal Postponement and Delay..... 19
- 6. Opening of Proposals..... 20
- 7. Rejection of Proposals..... 20
- 8. Disputes..... 20
- 9. Protest Procedures..... 20
- 10. Insurance Coverage..... 21
- 11. Contract Changes..... 21

I. Required Clauses..... 22

Attachments A-O must be reviewed, signed and returned with your bid package. Failure to complete these forms and submit it with your bid will render the bid non-responsive.

Attachment A-Proposal Form..... 23

Attachment B-Proposers Request, Questions and Clarifications..... 25

Attachment C-Non Collusion Affidavit..... 26

Attachment D-Certification of Lower Tier Regarding Debarment..... 27

Attachment E-Commonwealth Non-Discrimination Clause..... 28

Attachment F-Americans with Disabilities Act Compliance..... 30

Attachment G-Title VI of the Civil Rights Act of 1964..... 31

Attachment H-Lobbying Certificate..... 32

Attachment I-Notice of Federal Requirements..... 33

Attachment J-Environmental, Resource Conserv. And Energy Requirements..... 34

Attachment K-Hold Harmless Agreement..... 35

Attachment L-Offeror Integrity..... 36

Attachment M-Debarment Certification..... 39

Attachment N-Disadvantaged Business Enterprise ..... 40

Attachment O-Offeror’s Checklist..... 41

J. Federal Third Party Contract Provisions..... 42

1. Notice of Federal Requirements..... 42
2. No Government Obligation to Third Parties..... 42
3. Civil Rights..... 42
  - a. Equal Employment Opportunity..... 42
  - b. Disadvantaged Business Enterprise..... 43
  - c. Title VI of the Civil Rights Act of 1964..... 45
  - d. Access Requirements for Individuals with Disabilities..... 46
4. Commonwealth of Pennsylvania Non-Discrimination Clause..... 47
5. Termination..... 47
6. Breaches and Dispute Resolution..... 49
7. Lobbying..... 50
8. Interest of Members of Congress..... 50
9. Interest of Public Officials..... 50
10. Debarred Bidders..... 50
11. Cargo Preference..... 50
12. Buy America Procurements..... 51
13. Debarment and Suspension..... 51
14. Environmental Requirements..... 53
15. Privacy Act..... 57
16. Program Fraud and False Fraudulent Statements..... 57
17. Contract Work Hours and Safety Standards Act..... 58
18. Audit and Inspection of Records..... 59
19. Fly America..... 60
20. Rights In Data..... 60
21. Seat Belt Use..... 61
22. Federal Changes..... 62
23. Veterans Employment..... 62

K. Additional Bid Criteria.....63

L. Additional Proposal Requirements Information..... 68

## **INTRODUCTION**

Invitations are extended to qualified bidders for Financial Audit Services as stated in the Statement of Work.

CamTran will receive proposals for this contract, at its office at 502 Maple Ave, Johnstown, PA 15901 by **Thursday, April 18, 2019 by 3 p.m.** prevailing time. At that time, proposals will be opened at a public meeting in the CamTran boardroom. Any proposal received after that time will be returned to the proposer unopened.

Bid documents are available at CamTran's office located at 502 Maple Ave. Johnstown, PA 15901 or by contacting Anne Covalt at (814) 535-5526 ext. 201 or [acovalt@camtranbus.com](mailto:acovalt@camtranbus.com). This RFP will also be available on the CamTran website at [www.camtranbus.com](http://www.camtranbus.com).

The successful bidder will be required to comply with all applicable Non-Discrimination and Non-Collusion laws and regulations to certify that they are not on the Comptrollers General's list of ineligible contractors. CamTran solicits and encourages small and Disadvantaged Business Enterprise (DBE) participation. The successful bidder will be required to comply with all applicable Equal Employment Opportunity (EEO) laws and regulations. Cambria County Transit Authority and CamTran may be used interchangeable throughout this document. CamTran provides equal opportunity in Employment, Service and Contractual Agreements. **There are sections included in the Attachments (Attachments A-O) that must be reviewed, signed and returned with your bid package. Failure to complete these forms and submit it with your bid will render the bid non-responsive.**

The proposal must be clearly marked on the outside bearing the name and address of the bidder and marked Financial Audit Services. CamTran reserves the right to reject any and all bids and award the contract as it deems to be in the best interest of the Cambria County Transit Authority.

## **OVERVIEW-Cambria County Transit Authority (CamTran)**

CamTran is the primary public transportation provider for the Cambria County, PA region with office locations in Ebensburg and Johnstown, PA (3). Currently, CamTran provides fixed route transit service within Johnstown, PA, Cambria County and Windber, PA, Somerset County, a service area that accounts for 1.2 million passenger rides yearly. In addition to traditional fixed-route service, CamTran provides American with Disabilities Act (ADA) paratransit service and shared ride (Reserve-A-Ride) services. CamTran is a municipal authority and is governed by the Municipal Authorities Act of 1945. CamTran is governed by a nine member Board of Directors. Members are appointed by the Board of Commissioners of Cambria County. CamTran employs 136 employees in a variety of operating and administrative positions. CamTran operates a fleet of 64 revenue vehicles. CamTran is funded through a variety of programs at the Federal, State and local level. CamTran follows all applicable third party procurement policies in accordance with the Federal Transit Administration (FTA) Circular 4220.1F. In addition to providing the public transportation described above, CamTran also operates the Historic Johnstown Inclined Plane. The Johnstown Inclined Plane is an 896.5 foot (273.3 M) funicular in Johnstown, Cambria County, Pennsylvania. The incline and its two stations connect the city of Johnstown, situated in a valley at the confluence of the Stonycreek and the Little Conemaugh Rivers, to the borough of Westmont on Yoder Hill. The Johnstown Inclined Plane is billed as the "world's steepest vehicular inclined plane", as it is capable of carrying automobiles, in addition to passengers, up or down a slope with a grade of 70.9 percent. The travel time from one station to the other is 90 seconds. After a catastrophic flood in 1889, the Johnstown Inclined Plane was completed in 1891 to serve as an escape route for future floods, as well as a convenient mode of transportation for the residents of the new communities situated above the valley.

Notice is hereby given that the Cambria County Transit Authority (CamTran) is requesting proposals for Financial Audit Services as described within the attached documents. **Each proposal shall consist of two (2) separately sealed submittals (envelopes).** The submittals are as follows: (i) **Proposal Requirements** (ii) **Cost submittal**. Sealed proposals containing the two separately sealed envelopes, clearly marked Financial Audit Services will be received at the offices of the Cambria County Transit Authority, 502 Maple Avenue, Johnstown, PA 15901 until **3:00 P.M., Eastern Time, Thursday, April 18, 2019**, at which time they will be publicly opened and read aloud. Proposals received thereafter will be considered non-responsive and will be returned to the Offeror unopened. Contract award may be subject to a financial assistance contract between the Cambria County Transit Authority (CamTran), the Pennsylvania Department of Transportation (PennDOT) and the Federal Transit Administration (FTA). The Offeror's attention is directed to the fact that all applicable Federal and State laws, municipal ordinances and codes, and the rules and regulations of all authorities having jurisdiction shall apply to the Contract throughout, and they are deemed to be included in the Contract the same as though herein written in full.

## A. **INSTRUCTIONS TO OFFERORS**

### 1. **PROCEDURE**

All proposals will be due at the date and time indicated in the Request for Proposals notice, at the offices of CamTran, 502 Maple Avenue, Johnstown, PA 15901. Proposals must be submitted in a sealed envelope clearly marked **Financial Audit Services** with the two referenced envelopes inside. Proposals received after the scheduled opening time will be considered non-responsive and will be returned to the Offeror unopened.

Proposals will be accepted by hand delivery, Commercial Carrier Service or U.S. Postal Delivery. CamTran assumes no responsibility for delay in the U.S. Postal Services or in any type of delivery which results in the late arrival of any proposal.

### 2. **QUESTIONS/INQUIRIES AND CLARIFICATIONS:**

Any questions or requests for clarification on any aspect of these RFP submission requirements may be directed to:

CamTran  
Attn: Thomas G. Sylvia  
502 Maple Avenue  
Johnstown, PA 15901  
Email: [tsylvia@camtranbus.com](mailto:tsylvia@camtranbus.com)

All communication must utilize the CamTran Requests, Questions and Clarifications form in Attachment B. Notice that there is a cutoff date for submitting questions. Correspondence will not be accepted by any other format or party. Contact with any other person at CamTran may result in the Proposer being disqualified from consideration on this project.

### 3. **OFFEROR'S RESPONSIBILITY**

Each Offeror shall familiarize themselves with the attached forms. Each Offeror shall familiarize themselves with the facility and local conditions that may in any manner affect the cost, progress or performance of the Work and shall familiarize themselves with federal, state and local laws, ordinances, rules and regulations that may in any manner affect the cost, progress or performance of the Work.

#### **4. PROPOSAL DOCUMENTS**

The Proposal Documents are available as defined in the Request for Proposals. Addenda, if any, will be distributed via e-mail. Certain information may be repeated within this RFP for clarity.

#### **5. PRE-PROPOSAL CONFERENCE**

Not applicable.

#### **6. PROPOSAL WITHDRAWAL**

The Offeror may not withdraw their proposal submission before the expiration of ninety (90) days from the date of the proposal opening. An Offeror may withdraw their proposal after that date only if they state such intent in writing prior to Award.

#### **7. PREPARATION AND SUBMISSION OF PROPOSALS**

A total of one (1) original proposal package, three (3) photocopies and one electronic copy thereof must be included. Proposals shall be submitted on the form furnished in these specifications titled "Proposal Form-Attachment A" and include all required Proposal Attachments (please remove the forms from proposal package). Each proposal must follow the form shown, without change, restriction, reservation, addition or deletion. Proposals shall be signed in ink. Erasures or other changes in a bid must be explained and initialed by the Offeror or noted over the signatures of the Offerors. Proposals containing any conditions, omissions, unexplained erasures or alterations; items not called for in the Proposal; or irregularities of any kind may be rejected by CamTran as being incomplete.

Required components for this proposal are:

- A. Letter of Transmittal: One original separate from the bound proposals and a copy bound in each copy of the proposal. This Letter of Transmittal shall be no greater than two pages in length and shall contain the following:
  - (a) Statement as to the name, title, address, telephone, fax number(s) and e-mail address of the individual(s) with authority to bind the Proposer in contractual matters. The Letter of Transmittal shall be signed by such individual.
  - (b) Statement as to the address and legal form of the Proposer. If the Proposer is a corporation, the Proposer shall identify its state of incorporation. If a joint venture is being proposed, provide the above information for all participating firms.
  - (c) Statement that the proposal will remain in effect for and not be withdrawn for 90 days after the date due at CamTran.
  - (d) Statement acknowledging receipt of each and every Addendum, by Addendum number and date, that CamTran may issue to the RFP.



B. The Price Proposal Form: (Proposal Attachment A), filled out completely (in a separate envelope). Utilize additional paper if required.

C. Proposal Requirements: The proposal should be a comprehensive, accurate and effective presentation. The proposal should be bound along the left long side, without unnecessary frills, fancy bindings or other decorative or extraneous materials.

Attachments such as brochures, promotional literature, etc., shall not be included.

- (a) One (1) original with three (3) copies of the proposal must be provided.
- (b) The proposal shall also include an Appendix, which shall be at the end of the proposal document. The Appendix shall include additional information as deemed important by the proposer.
- (c) The font size for all material prepared in response to this RFP shall not be less than 10 pt.
- (d) The proposal should be contained on 8-1/2" x 11" paper with fold-outs from this as may be required.

The proposal shall be organized in the following fashion using tabbed, numbered separators for each section:

- Cover: Containing RFP title and Proposer's name.
- Letter of Transmittal: Copy of letter previously described.
- Table of Contents:
- Section 1 Overview of Proposer (Reference Section L)
- Section 2 Experience Record (Reference Section L)
- Section 3 Project Work Plan (Reference Section L)
- Section 4 Project Organization and Management Plan (Reference Section L)
- Section 5 Required Clauses and Certifications
- Appendix: The Appendix (if required)

D. Certifications: (Proposal Attachments C thru N), signed and returned with the Proposal Form.

E. Offeror's Checklist (Attachment O)

## 8. PROCUREMENT SCHEDULE

The following is the expected schedule of activities associated with this RFP:

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## B. PROPOSAL REQUIREMENTS

1. All proposals must contain a transmittal letter that includes the signature of a representative of the proposer authorized to negotiate and enter into contracts on its behalf. The signed transmittal letter must clearly indicate that the proposer agrees that all terms of its proposal will remain valid for a period of ninety (90) days after the cited closing date for submission of proposals. This time period may be extended by mutual agreement in writing. Conditional proposals, or those which take exceptions to the specifications of this RFP, will be considered non-responsive and will be rejected.
2. The Proposer will submit one (1) hard copy original proposal with the originals of all the required paperwork along with three (3) additional copies and one electronic copy of the proposal and the required paperwork. FAX copies will not be accepted. The information must be submitted in a **sealed envelope** clearly marked on the outside Financial Audit Services
3. Primary technical Point of Contact (POC) for this project will be Lisa Layton, Controller at 814-535-5526 Ext. 203 or by e-mail at llayton@camtranbus.com
4. Proposals can be sent certified mail or other means that guarantees a signed receipt to CamTran, 502 Maple Ave, Johnstown, PA 15901. Proposals may also be hand-delivered. All proposals must be submitted by **Thursday, April 18, 2019 by 3 p.m.** FAXED/EMAIL PROPOSALS WILL NOT BE ACCEPTED.
5. The price should be submitted on the PRICE PROPOSAL FORM A included in this Request for Proposal.
6. NOTE: The Cambria County Transit Authority is **tax exempt**. However, CamTran can in no way guarantee and we have no recommendation or position on whether any part of the project may qualify as tax exemption. If the contractor attempts to go that route, they are responsible for any repayment of monies that CamTran may lose due to an error in opinion on that matter.
7. The bidder must submit all pertinent and requested information regarding the project.
8. Price quoted must remain in effect for a period of 90 days after bid award.

9. Please sign all attachments and return where appropriate. Failure to sign appropriate forms may render your bid *NON-RESPONSIVE*.
10. The project start date will begin on June 1, 2019.
11. Any deviation from the specifications outlined should be clearly described in the proposal and reason for those changes detailed.
12. All QUESTIONS MUST BE SUBMITTED IN WRITING using the enclosed Form B.
13. Three (3) references must be submitted on work completed in the past four (4) years consisting of similar types of projects.
14. All sub-contractors must comply with all the same Federal, State and Local rules and regulations.
15. Proof of Insurance coverage must be submitted with this proposal.
16. All contractors/sub-contractors must comply with all OSHA rules and regulations.
17. CamTran reserves the right to reject any and all bids, or parts thereof, whenever it determines, at its sole discretion that such rejection is in the best interest of CamTran.
18. All records of this contract must be and will be kept on file for a minimum of three (3) years after the completion of this project.
19. Payment will be paid promptly after complete invoices, outlining the details of the work completed is reviewed and approved by the CamTran Board of Directors.

#### **C. QUALIFICATION REQUIREMENTS**

1. Proposer must be a certified public accounting firm licensed to practice in the Commonwealth of Pennsylvania.
2. Proposer must not have been the subject of an unfavorable review of its peers or any other disciplinary action or have been sanctioned by the Peer Review Board of the American Institute of Certified Public Accountants (AICPA) or any other body that governs the standards of the accounting profession within the last ten (10) years.
3. Proposer must have experience in conducting financial audits for Commonwealth municipalities or authorities with emphasis on public transportation authorities that receive grant funding from PennDOT and other departments of the Commonwealth.
4. Proposer must possess and have demonstrated technical expertise with regard to evaluating the grantee's compliance with grant accounting, financial reporting, and management of Commonwealth and Federal funds according to Federal and PennDOT requirements pursuant to FTA Circular 5010.1E Grant Management Guidelines and PennDOT Audit Guidelines on Grant Management, Accounting, and Reporting.

#### **D. PROPOSER'S TEAM EXPERTISE**

Qualifications and Engagement Team expertise (to be included in Section 2 Experience Record). Detailed narrative statement describing the experience of the proposer's project team assigned to the engagement, especially with regard to engagements that are relevant to services that are specified in this RFP. Resumes of key personnel should include a description of such experience. Included in this section of the proposal, proposer must include (also reference Section L-Additional Proposal Requirements Information):

1. firm name, business address, telephone number, and name of contact person;
2. a description of the firm;
3. a confirmation that the firm meets the qualification requirements set forth in the RFP;
4. a listing of the firm's principals and non-key personnel anticipated to be assigned to this engagement, along with an experience statement for each of these individuals including the appropriate training and/or certifications;
5. the location of the office(s) from which the services will be provided;
6. the extent of experience with audits of Pennsylvania public transportation agencies and/or municipality authorities;
7. the extent of experience conducting reviews in accordance with Federal Single Audit requirements and PennDOT grant compliance reviews;
8. a listing of any and all subcontractors intended to be used on this project, along with the scope of work expected to be assigned to each subcontractor and a detailed experience statement for the subcontractor in that particular area.

**Experience with previous projects/references.** A minimum of three (3) examples of relevant client engagements undertaken by the proposer including the client manager's name, address and telephone number.

**Work Plan.** A detailed work plan and calendar that clearly indicates how the final deliverables will be completed on a timely basis. The work plan and calendar should include:

1. the explanation of procedures to be used to conduct the audit;
  2. the commencement of the engagement;
  3. the performance and completion of field work;
  4. a list of supporting documents and schedules required along with due dates;
  5. a preliminary draft audit report, draft Federal Single Audit, draft State compliance audit and all supporting notes that will be delivered to the transit agency;
  6. the review period provided to the transit agency in order to examine all draft work products;
  7. meeting(s) between proposer and transit agencies to review edits to draft work products;
  8. the completion of all final work products;
  9. meetings with transit agencies Board of Directors;
  10. the distribution of required reports and supporting schedules for PennDOT, FTA, and local agencies, and;
  11. Any other services or products to be provided to the transit agency.
- A. Fee Structure. The fee structure for this engagement is a cost plus structure with a not-to-exceed capped amount for all services described in this RFP and any additional services proposed in response to this RFP. The proposal shall include a maximum fee for each of the three (3) years of the contract plus optional two (2) additional years. For each of the five (5) years, the fee schedule must clearly specify the maximum number of hours by position title and the rate for each position to arrive at the proposed annual

fee for each agency. Proposer is also to clearly itemize other expenses (i.e. travel, mileage, etc.) as part of its cost proposal.

- B. Price breakdown should be submitted on the Proposal Form Attachment A included in this RFP. The cost submittal shall be placed in a separately **sealed envelope** within the sealed proposal and kept separate from the Proposal Requirements. **Failure to meet this requirement may result in disqualification of the proposal.** CamTran will not be responsible for or pay any costs, charges or fees not included or identified in the proposal.
- C. Disadvantaged Business Enterprise Participation. The proposal must outline the extent to which Disadvantaged Business Enterprises (DBEs) are included in the proposed services including DBE company name(s), contact information, service to be provided and portion of proposed fee to be received by DBE firm(s). The proposal shall also indicate under what authority DBE certification was established, including a copy of such certification as an attachment.

## E. **EVALUATION PROCESS AND SELECTION CRITERIA**

### A. **Evaluation Process**

1. A CamTran Evaluation Committee (“Committee”) will first determine which proposers are qualified based on the qualification requirements and which proposers were responsive to the submittal requirements described in the RFP.
2. The Committee will then score and rank each proposal received from the qualified and responsive proposers using the selection criteria described. Based on these scores and ranks, one or more qualified proposers may be selected to be interviewed by the Committee.
3. If a proposer is asked to make a presentation to the committee, the oral presentations will be evaluated on the basis of the selection criteria described in addition to the quality of the presentations and responses to questions posed by the Committee.
4. If suitable proposals are received, CamTran may request best and final offers from qualified proposers. Negotiations with the highest ranked firm will commence with the intention of awarding the contracts. If negotiations with the highest ranked firm are unsuccessful, CamTran may decide to commence negotiations with the next highest ranked firm and so on until a contract is awarded.
5. CamTran reserves the right to accept or reject any or all proposals and to separately negotiate with any firm in a manner deemed appropriate to serve in the best interests of CamTran.
6. CamTran reserves the right to make its decision on submitted proposals only and to waive any immaterial irregularities.
7. Following the Committee’s evaluation of all proposals, the Committee will select and recommend one (1) proposal, which will be reviewed with the Executive Director. The Executive Director will then forward the recommended proposal to the Board of Directors for final action. Only upon formal action of the Board will a contract be awarded. The Board of Directors has the right to reject all proposals.

## **B. Selection Criteria**

Proposals will be evaluated and ranked pursuant to the weight of each of the criteria shown below:

- a. **Firm and Engagement Team Background and Experience** **40%**
  - 1. Experience of the firm and the assigned engagement team in completing financial audits for municipal authorities, especially transportation authorities, who receive Federal and PennDOT funding.
  - 2. Experience of the firm and the assigned engagement team in performing Federal single audits and compliance audits.
  - 3. Quality of references.
  - 4. Experience, education, supplemental training and certifications of the assigned engagement staff.
  - 5. DBE certification and/or use of DBE firm(s).
  
- b. **Work Plan Strategy and Implementation** **35%**
  - 1. Proposer's ability to initiate and complete audits in a timely manner while ensuring a high quality product.
  - 2. Proposer's approach demonstrates an advisory and advocacy relationship with its clients.
  - 3. Proposer is communicative throughout the audit process, provides satisfactory direction.
  - 4. Proposer demonstrates the ability to understand and successfully fulfill all federal and PennDOT reporting requirements.
  - 5. Work plan demonstrates the proposer's understanding of the required tasks and deliverables, provides a clear confirmation of proposer's intent to complete all tasks and presents all deliverables and final audit reports by the timelines listed in the RFP.
  - 6. Work plan schedule provides for sufficient review time of all deliverables by client and works collaboratively with client to meet audit and all reporting requirements.
  
- c. **Fee Proposal** **25%**

Fee schedule for services proposed relative to other proposals.

A Contract, if any, will be awarded by CamTran within thirty (30) days to the successful Offeror after CamTran has determined the offer to be in its best interest. CamTran reserves the right to waive any informality in proposals received when such a waiver is in the best interest of CamTran.

Award of this contract will be made to the responsible Offeror submitting the proposal deemed most advantageous and to the best value of CamTran. The Offeror agrees that his proposal will be valid for at least a ninety (90) day period from the date the proposals are opened.

F. **SCOPE OF WORK**

The services to be provided include, but are not limited to:

1. One audit to be performed for CamTran and its blended component unit, the Inclined Plane, in accordance with Government Auditing Standards (GAS).
2. Audit reports containing financial statements prepared in accordance with Generally Accepted Accounting Principles (GAAP) promulgated by the Government Accounting Standards Board (GASB).
3. The performance of Federal Single Audits and provision Federal Single Audit reports pursuant to the Office of Management and Budget (OMB) Circular A-133 and OMB Circular A-128 "Audits of State and Local Government."
4. The performance of Pennsylvania Department of Transportation (PennDOT) Grant Compliance Audits and provision PennDOT Grant Compliance audit reports pursuant to PennDOT Guidelines on Grant Management, Accounting and Reporting and PennDOT's Financial Reporting Manual.
5. Preparation of Annual Form 990 and 990T for the Inclined Plane, Inc.
6. Assistance with accounting policies and procedures during the audit.
7. Telephone/email assistance with accounting and/or tax issues as needed throughout the year.
8. Assistance with responses to Federal or State audit/close-out letters.

The audit shall comply with the Single Audit Act of 1984, the Single Audit Act Amendments of 1996 and OMB Circular A-133 and be sufficient to issue an independent auditors report on the following:

- A. Report on Compliance and on Internal Control Over Financial Reporting Based on Audit of Financial Statements Performed in Accordance with GAS; and
- B. Report on Compliance with Requirements Applicable to each Major Program and Internal Control Over Compliance in accordance with OMB Circular A-133.

As part of this scope of service, Proposers, in the course of performing audit for CamTran, are required to issue one report with regard to the compliance of grants provided by the Commonwealth pursuant to PennDOT's Guidelines on Grant Management, Accounting and Reporting. Proposers are also responsible for advising CamTran of any other required audits that are discovered in the course of this engagement in order for the agencies to be in compliance with Federal, State and local guidelines and legislation. The table below shows the components of the services to be performed by either the transit agency or the proposer. Proposers are instructed to rely on this information to understand the level of effort required to perform the services while taking into consideration the level of support and assistance that will be provided by agency staff within CamTran.

<b>Financial Statement/Supplemental Information</b>	<b>Version</b>	<b>Transit Agency CamTran</b>
Trial Balance	--	Agency
Management Discussion and Analysis	Preliminary	Proposer & Agency
	Final	Proposer
Balance Sheet/Statement of Net Position	Preliminary	Agency
	Final	Proposer
<b>Financial Statement/Supplemental Information</b>	<b>Version</b>	<b>Transit Agency CamTran</b>
Statement of Revenue, Expenses and Change in Net Position	Preliminary	Proposer
	Final	Proposer
Statement of Cash Flows	Preliminary	Proposer
	Final	Proposer
Statement of Capital Grants	Preliminary	Proposer
	Final	Proposer
Notes to Financial Statements	Preliminary	Proposer
	Final	Proposer
Depreciation Schedules	Preliminary	Agency
	Final	Proposer
Account Reconciliations	--	Agency
Schedule of Operating Assistance Funding	--	Agency
Schedule/Copies of Grant Agreements	--	Agency
Schedule of Investments	--	Agency



Schedules of Capital Projects	--	Agency
Schedule of Expenditures of Federal Awards	Preliminary	Proposer
	Final	Proposer
Federal Single Audit Report	--	Proposer
PennDOT Compliance Audit Report, legacy budget reports & required supplemental schedules	--	Proposer
Schedule of Findings and Questioned Costs	Preliminary	Proposer
	Final	Proposer

<b>Financial Statement/Supplemental Information</b>	<b>Version</b>	<b>Transit Agency CamTran</b>
Report to Board of Directors – Board of Directors Meeting	--	Proposer
Municipal Authority Act Publication Report	--	Proposer
Forms 990 and 990-T for the Inclined Plane	--	Proposer

<b>Deliverables</b>	<b>Due Date</b>	<b>Number of Copies</b>
		<b>CamTran</b>
Pre Audit Review with Management	Date in Work Plan	--
Financial Audit Report	10/17/2019	10
Report to Federal Audit Clearinghouse	10/21/2019	2
Report to Commonwealth of PA Office of the Budget	10/21/2019	2
Report to Department of Community and Economic	10/21/2019	2
Internal Control Letter	10/21/2019	10
Post Audit Review with Management	10/10/2019	--
Report to Board of Directors	10/17/2019	10
Municipal Auth. Act Publication Report for local paper	10/21/2019	1
Forms 990 & 990-T for the Inclined Plane	1/31/2020	2

**G. PROVISIONS**

**1. CONTRACT PERFORMANCE PERIOD**

The Financial Audit Services will be effective beginning June 1, 2019. The contract is for a term of three (3) years (June 1, 2019 through May 30, 2022) with up to two (2) one year renewals at the sole discretion of CamTran. CamTran intends to provide Notice of Intent to Award on approximately Monday, April 29, 2019.

The Financial Records subject to audit are shown below:

	<b>Fiscal Years</b>		
<b>Original Term</b>	<b>7/1/18-6/30/19</b>	<b>7/1/19-6/30/20</b>	<b>7/1/20-6/30/21</b>
<b>Extension Option</b>	<b>7/1/21-6/30/22</b>	<b>7/1/22-6/30/23</b>	<b>N/A</b>

**2. ASSIGNMENT AND/OR SUBCONTRACTING**

The Offeror’s Proposal, if accepted and resultant Contract may not be assigned without permission of CamTran. A listing of all subcontractors, if any, and the portion of the Contract they will perform must be submitted with the proposal. If subcontractors are stated, this does not relieve the successful Offeror from any prime responsibility of complete and acceptable performance under any awarded Contract.

**3. PAYMENTS**

CamTran shall remit payment associated with each Application for Payment within thirty (30) Calendar days of receipt pending approval by the CamTran Board of Directors.

## **H. GENERAL CONDITIONS**

### **1. DEFINITION OF TERMS**

The terms “CamTran”, “Cambria County Transit Authority”, “Authority”, “Purchaser”, “Owner” or “Procuring Agency” where they appear in the contract documents means CamTran, 502 Maple Avenue, Johnstown, PA 15901.

“Offeror”, “Proposer”, “Bidder”, “Vendor” or “Contractor” where they appear refers to the Offeror/Proposer.

“Proposal Documents” include the Request for Proposals, Instructions to Offerors, Provisions, General Conditions, Bid/Proposal, Contract and Addenda/Amendments, if any.

“Contract” means a written agreement resulting from this proposal and signed by the Contracting Parties or their properly authorized representatives or agents.

### **2. LIABILITIES AGAINST PROCURING AGENCY**

The Offeror shall indemnify, keep and save harmless the Procuring Agency, its agents, officials and employees against all injuries, deaths, losses, damages, claims, suits, liabilities, judgments, costs and expenses, which may accrue against the Procuring Agency arising out of, or resulting from, the Offeror’s acts or omissions, including acts or omissions of its employees, servants, and agents. Reference Hold Harmless Agreement Certification – Proposal Attachment K.

### **3. TAXES**

The successful Offeror shall pay all applicable sales, consumer, use and other similar taxes required by law. The successful Offeror is responsible for reviewing the pertinent Commonwealth statutes and complying with all requirements. CamTran is tax exempt. A tax exemption certificate will be provided to the successful Offeror upon request.

### **4. PERMITS, LICENSES AND FEES**

Successful Offeror shall procure and execute all permits and licenses and pay all charges and fees necessary and incidental to this RFP (if required).

### **5. PROPOSAL POSTPONEMENT AND DELAY**

CamTran reserves the right to revise or amend the specifications up to the time set for opening the proposals. Such revisions and amendments, if any, will be announced by addenda to this solicitation. Copies of such amendments will be furnished to all parties who request a proposal package from CamTran. If the revisions and amendments require changes in prices proposed, the date set for opening proposals may be postponed by such a number of days as in the opinion of CamTran will enable Offerors to revise their

proposals. In any case, proposal opening will be at least five (5) days after the last addendum, and the amendments will include an announcement of the new date, if applicable, for opening proposals.

## **6. OPENING OF PROPOSALS**

Proposals will be opened publicly at the time and place mentioned in the Request for Proposals.

## **7. REJECTION OF PROPOSALS**

CamTran reserves the right to reject any or all proposals, parts thereof or items therein and to waive technicalities required for the interest of CamTran.

## **8. DISPUTES**

Except as otherwise provided in this contract, any dispute arising under this contract which is not disposed of by agreement shall be decided by the CamTran Contracting Officer, who shall reduce his decision to writing and mail or otherwise furnish a copy thereof to the Offeror. The decision of the Contracting Officer shall be final and conclusive, subject only to review by a court of competent jurisdiction in Cambria County. Pending final resolution of a dispute hereunder, the Offeror shall process diligently with the performance of the contract and in accordance with the Contracting Officer's decision.

## **9. PROTEST PROCEDURES**

### **a. Protests Prior to Proposal Opening**

Any protests, prior to proposal opening, must be submitted in writing and received by CamTran at least seven (7) calendar days prior to proposal opening. Each protest must be in writing and supported by sufficient information to enable the protest to be considered. A protest will not be considered by CamTran if it is insufficiently supported or if it is not received within the specified time frame. CamTran's response will be in writing and set forth the reasons for its response. The decision of CamTran is final, unless determined by a court of competent jurisdiction to have been fraudulent, or capricious, or arbitrary, or so grossly erroneous as necessarily to imply bad faith or not supported by substantial evidence.

### **b. Protests After Proposal Opening**

Protests after proposal opening will be considered only as to issues which were not apparent before proposal opening. After proposal opening no protests of specifications will be considered.

Any protest after proposal opening, including a protest of contract award, must be in writing and received by CamTran within five (5) calendar days of the action being protested. No other form of protest will be considered. After the time for protest award has expired, these protest procedures will be considered to be

inapplicable, and any disputes will be resolved by CamTran under contract provisions or other remedies, if available. Protest submitted to CamTran shall:

1. Include the name and address of protester.
2. Identify clearly the procurement under which the protest is being submitted.
3. Identify the action being protested and provide sufficient detailed documentation to support the protest action.
4. Indicate the action, ruling or relief desired from CamTran.

CamTran will review the protest and render its decision in writing fifteen (15) calendar days of receipt of the protest, setting forth the reasons for its decision.

CamTran is responsible, in accordance with good administrative practice and sound business judgment, for the settlement of all contractual and administrative issues arising out of the procurement, including protests, contract defaults, disputes or breaches. The decision of CamTran as to protests shall be final and conclusive.

#### **10. INSURANCE COVERAGE**

The Offeror shall provide their **Certificate of Insurance**. Offeror shall include CamTran as additional insured under Offeror's general liability policy or under a separate protective liability policy. Insurance company must be approved in Pennsylvania and have Best's rating of A- or higher and Class IV or higher. Policy terms, conditions, exclusions, restrictions, etc. must be acceptable to CamTran. A copy of the Policy must be provided for CamTran approval.

#### **11. CONTRACT CHANGES**

Any proposed changes in this contract shall be submitted to CamTran for CamTran's prior approval.

**B. REQUIRED CLAUSES**



ADDENDUM NO. \_\_\_\_\_

DATED \_\_\_\_\_

COMPANY NAME \_\_\_\_\_

ADDRESS \_\_\_\_\_

PHONE/FAX/E-MAIL: \_\_\_\_\_

\_\_\_\_\_  
AUTHORIZED PERSON

\_\_\_\_\_  
SIGNATURE

\_\_\_\_\_  
TITLE

\_\_\_\_\_  
DATE



**ATTACHMENT B: PROPOSER'S REQUESTS, QUESTIONS AND CLARIFICATIONS FORM**

**Financial Auditing Services**

**All requests, questions and clarifications must be submitted in writing and received on or before 10 a.m. Tuesday, April 2, 2019. Proposers shall use the following form:**

Name of Company/Individual: \_\_\_\_\_

Nature of Company (partnership, corporation, etc.): \_\_\_\_\_

Contact Person: \_\_\_\_\_

Phone #: \_\_\_\_\_ E-mail: \_\_\_\_\_

Company's Mailing Address: \_\_\_\_\_

REQUESTS/COMMENTS/QUESTIONS/CLARIFICATIONS (attach additional sheets as necessary):

I certify that neither I, nor my company, are on the Comptroller General's list of ineligible bidders; and that we have not been prohibited from doing business with the Commonwealth of Pennsylvania or its agencies/subdivisions.

\_\_\_\_\_  
Owner/Partner/Officer Date

**Submit this completed form by 10 a.m. Tuesday, April 2, 2019 to:  
[tsylvia@camtranbus.com](mailto:tsylvia@camtranbus.com)**

**ATTACHMENT C NON-COLLUSION AFFIDAVIT**

CamTran  
502 Maple Avenue  
Johnstown, PA 15901

---

TO: CamTran, Johnstown, Pennsylvania

The Undersigned, having examined the Request for Proposal and other documents and being familiar with the various conditions under which these services, equipment and/or supplies are to be used, agrees to furnish all labor, materials, tools, equipment and services called for in the bid for the prices stated.

The Undersigned hereby certifies that this proposal is genuine and not a sham, collusive, or fraudulent or made in the interest of or in behalf of any person, firm or corporation not herein named, and that the Undersigned has not, directly induced or solicited any Bidder to submit a sham bid or any other person, firm or corporation to refrain from bidding and that the Undersigned has not, in any manner, sought by collusion to secure for themselves an advantage over any other bidder.

Company Name \_\_\_\_\_

Address \_\_\_\_\_  
\_\_\_\_\_

Signature \_\_\_\_\_

Printed Name \_\_\_\_\_

Title \_\_\_\_\_

Date \_\_\_\_\_

TRADING AND DOING BUSINESS AS (CHECK ONE)

Individual       Partnership       Corporation

(Seal)

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

The Lower Tier Participant (potential sub-recipient under an FTA project, potential third party contractor, or potential subcontractor under a major third party contract),

(Name of Firm)\_\_\_\_\_

certifies, by submission of this proposal, that neither it nor its “principals” as defined at 49 CFR, Part 29105(p), 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-recipient under an FTA project, potential third party contractor, or potential subcontractor under a major third party contract),

(Name of Firm)\_\_\_\_\_

is unable to certify to any of the statements in this certification, such participant shall attach an explanation to this proposal.)

THE LOWER-TIER PARTICIPANT (potential sub-recipient under an FTA project, potential third party contractor, or potential subcontractor under a major third party contract),

(Name of Firm)\_\_\_\_\_

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 USC SECTIONS 3801 ET SEQ. ARE APPLICABLE THERETO.

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

The undersigned chief legal counsel for the

(Name of Firm)\_\_\_\_\_

hereby certifies that the

(Name of Firm)\_\_\_\_\_

Has authority under State and Local law to comply with the subject assurances and that the certification above has been legally made.

Signature of Applicant’s Attorney:

Date: \_\_\_\_\_

## **ATTACHMENT E-COMMONWEALTH NON-DISCRIMINATION CLAUSE**

1. Offeror shall not discriminate against any employee, applicant for employment, independent contractor or any other person because of race, color, religious creed, ancestry, national origin, age, sex, handicap or disability.

Offeror shall take affirmative action to ensure that applicants are employed, and that employees or agents are treated during employment, without regard to their race, color, religious creed, ancestry, national origin, age, sex, handicap or disability. Such affirmative action shall include, but is not 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.

Offeror shall post in conspicuous places, available to employees, agents, applicants for employment and other persons, a notice to be provided by the contracting agency setting forth the provisions of this non-discrimination clause.

2. Offeror shall in advertisements or requests for employment placed by it or on its behalf state all qualified applicants will receive consideration for employment without regard to race, color, religious creed, ancestry, national origin, age, sex, handicap or disability.
3. Offeror shall send each labor union or workers' representative with which it has a collective bargaining agreement or other contract or understanding, a notice advising said labor union or workers' representative of its commitment to this non-discrimination clause. Similar notice shall be sent to every other source of recruitment regularly utilized by Offeror.
4. It shall be no defense to a finding of noncompliance with the Contract Compliance Regulations issued by the Pennsylvania Human Relations Commission or this non-discrimination clause that Offeror has delegated some of its employment practices to any union, training program or other source of recruitment which prevents it from meeting its obligations. However, if the evidence indicates that the Offeror was not on notice of the third-party discrimination or made a good faith effort to correct it, such factor shall be considered in mitigation in determining appropriate sanctions.
5. Where the practices of a union or of any training program or other source of recruitment will result in the exclusion of minority group persons, so that Offeror will be unable to meet its obligations under the Contractor Compliance Regulations issued by Pennsylvania Human Relations Commission, or this non-discrimination clause. Offeror shall then employ and fill vacancies through other non-discriminatory employment procedures.

6. Offeror shall comply with the Contract Compliance Regulations of the Pennsylvania Human Relations Commission, 16 PA Code Chapter 49 and with all laws prohibiting discrimination in hiring or employment opportunities. In the event of Offeror's non-compliance with the non-discrimination clause of this contract or with any such laws, this contract may, after hearing and adjudication, be terminated or suspended, in whole or in part, and Offeror may be declared temporarily ineligible for further Commonwealth contracts, and such other sanctions may be imposed and remedies invoked as provided by the Contract Compliance Regulations.
7. Offeror shall furnish all necessary employment documents and records to, and permit access to its books, records and accounts by, the contracting agency and the Human Relations Commission, for purposes of investigation to ascertain compliance with the provisions of the Contract Compliance Regulations, pursuant to PA Code Chapter 49.35 of these Regulations. If Offeror does not possess documents or records reflecting the necessary information requested, it shall furnish such information on reporting forms supplied by the contracting agency or the Commission.
8. Offeror shall actively recruit minority subcontractors or subcontractors with substantial minority representation among their employees.
9. Offeror shall include the provisions of this non-discrimination clause in every subcontract, so that such provisions will be binding upon each subcontractor.
10. The terms used in this non-discrimination clause shall have the same meaning as in the Contract Compliance Regulations issued by the Pennsylvania Human Relations Commission, 16 PA Code Chapter 49.
11. Offeror obligations under this clause are limited to the Offeror's facilities within Pennsylvania or where the contract is for purchase of goods manufactured outside of Pennsylvania, the facilities at which such goods are actually produced.

DATE: \_\_\_\_\_ FIRM NAME: \_\_\_\_\_

BY

SIGNATURE AND TITLE: \_\_\_\_\_

## ATTACHMENT F-AMERICANS WITH DISABILITIES ACT COMPLIANCE

The undersigned agrees to comply with, and assure that any third party contractor under this Project complies with all applicable requirements of the Americans with Disabilities Act of 1990 (ADA), 42 USC && 12101 et seq. and 49 USC & 322; Section 504 of the Rehabilitation Act of 1973, as amended, 29 USC & 794; Section 16 of the Federal Transit Act, as amended, 49 USC app. & 1612; and the following regulations and any amendments thereto:

1. U.S. DOT regulations, "Transportation Services for Individuals with Disabilities (ADA)," 49 C.F.R. Part 37;
2. U.S. DOT regulations, "Nondiscrimination on the basis of Handicap in Programs and Activities Receiving or Benefiting from Federal Financial Assistance," 49 C.F.R. Part 27;
3. U.S. DOT regulations, "Americans With Disabilities (ADA) Accessibility Specifications for Transportation Vehicles," 49 C.F.R. Part 38;
4. Department of Justice (DOJ) regulations, "Nondiscrimination on the Basis of Disability in State and
5. Local Government Services," 28 C.F.R. Part 35;
6. DOJ regulations, "Nondiscrimination on the Basis of Disability by Public Accommodations and in Commercial Facilities," 28 C.F.R. Part 36;
7. General Services Administration regulations, "Construction and Alteration of Public Buildings,"
8. "Accommodations for the Physically Handicapped," 41 C.F.R. Part 101-19;
9. Equal Employment Opportunity Commission (EEOC) "Regulations to Implement the Equal Employment Provisions of the Americans with Disabilities Act," 29 C.F.R. Part 1630;
10. Federal Communications Commission regulations, "Telecommunications Relay Services and Related Customer Premises Equipment for the Hearing and Speech Disabled," 47 C.F.R. Part 64, Subpart F;
11. U.S. ATBCB regulations, "Electronic and Information Technology Accessibility Standards," 36 C.F.R. Part 1194; and
12. FTA regulations, "Transportation for Elderly and Handicapped Persons," 49 C.F.R. Part 609.

DATE: \_\_\_\_\_ FIRM NAME: \_\_\_\_\_

BY: SIGNATURE & TITLE: \_\_\_\_\_

**ATTACHMENT G-TITLE VI OF THE CIVIL RIGHTS ACT OF 1964**

The undersigned agrees to comply with, and assure the compliance by its third party contractors and subcontractors under this project, with all requirements of Title VI of the Civil Rights Act of 1964, 42 USC & 2000d; U.S. DOT regulations, “nondiscrimination in Federally-Assisted Programs of the Department of Transportation—Effectuation of Title VI of the Civil Rights Act,” 49 C.F.R. Part 21.

DATE: \_\_\_\_\_ FIRM NAME: \_\_\_\_\_

BY

SIGNATURE & TITLE: \_\_\_\_\_

**ATTACHMENT H-LOBBYING CERTIFICATE**

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

1. No Federal appropriated funds have been paid or will be paid by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
2. If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions, as amended by "Government wide Guidance for New Restrictions on Lobbying", 61 Fed. Req. 1413 (1/19/96).
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 subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by 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.

The Offeror, \_\_\_\_\_, certifies or affirms the truthfulness and accuracy of each statement of its certification and disclosure, if any. In addition, the Offeror understands and agrees that the provisions of 31 U.S.C. A3801, *et. seq.*, apply to this certification and disclosure, if any.

DATE: \_\_\_\_\_ FIRM NAME: \_\_\_\_\_

BY

SIGNATURE & TITLE: \_\_\_\_\_



**ATTACHMENT I-NOTICE OF FEDERAL REQUIREMENTS**

The undersigned understands that Federal laws, regulations, policies, and related administrative practices applicable to this Agreement on the date the Agreement was executed may be modified from time to time. The undersigned agrees that the most recent of such Federal requirements will govern the administration of this Agreement at any particular time, except if there is sufficient evidence in the Agreement of a contrary intent. Such contrary intent might be evidenced by express language in Part I of the Federal Transit Administration Agreement, or a letter signed by the Federal Transit Administrator the language of which modifies or otherwise conditions the text of a particular provision of Part II of the Federal Transit Administration Agreement. Likewise, new Federal laws, regulations, policies, and administrative practices may be established after the date the Agreement has been executed and may apply to this Agreement. To achieve compliance with changing Federal requirements, the undersigned agrees to include in all sub assistance agreements and third party contracts financed with Government (FTA) assistance specific notice that Federal requirements may change and the changed limits or standards set forth in this Agreement to be observed in the performance of the Project are minimum requirements.

DATE: \_\_\_\_\_ FIRM NAME: \_\_\_\_\_

BY

SIGNATURE & TITLE: \_\_\_\_\_

**ATTACHMENT J-ENVIRONMENTAL, RESOURCE CONSERVATION AND ENERGY REQUIREMENTS**

The undersigned recognizes that many Federal and State statutes imposing environmental, resource conservation, and energy requirements may apply to the Project. Some, but not all, of the major Federal laws that may affect the Project include: the National Environmental Policy Act of 1969, 42 USC && 4331 et seq.; the Clean Air Act, as amended, 42 USC && 7401 et seq. and scattered sections of 29 USC; the Clean Water Act, as amended, scattered sections of 33 and 12 USC; the Resource Conservation and Recovery Act, as amended, 42 USC && 6901 et seq.; and the Comprehensive Environmental Response, Compensation, and Liability Act, as amended, 42 USC && 9601 et seq.

The undersigned also recognizes that the Environmental Protection Agency (EPA), the Federal Highway Administration (FHWA), and other agencies of the Federal Government have issued and are expected in the future to issue requirements in the forms of regulations, guidelines, standards, orders, or other directives that may affect the Project.

Accordingly, the undersigned agrees to adhere to, and impose on its subcontractors, any such Federal requirements, as the Government may now or in the future promulgate. Listed below are the requirements of particular concern to the FTA. The undersigned expressly understand that this list does not constitute his or hers entire obligation to meet Federal requirements.

- a. Environmental Protection. To the extent applicable, compliance with the requirements of the National Environmental Policy Act of 1969, as amended, 42 USC && 4321 et seq.; Section 14 of the Federal Transit Act, as amended, 49 USC Section 1610; the Council on Environmental Quality regulations, 40 C.F.R. Part 1500 et seq.; and the joint FHWA/FTA regulations “Environmental Impact and Related Procedures,” at 23 C.F.R. Part 771 and 49 C.F.R. Part 622.
- b. Air Pollution. Compliance with the joint FHWA/FTA regulations, “Air Quality Conformity and Priority Procedures for Use in Federal-Aid Highway and Transit Projects” 49 C.F.R. Part 623. This includes satisfactory assurances that any facilities or equipment acquired, constructed, or improved as a part of the Project are or will be designed and equipped to limit air pollution as provided in accordance with the following EPA regulations: “Control of Air Pollution from Motor Vehicles and Motor Vehicle Engines,” 40 C.F.R. Part 85; “Control of Air Pollution from New and In-Use Motor Vehicles and New and In-Use Motor Vehicle Engines: Certification and Test Procedures,” 40 C.F.R. Part 86; and “Fuel Economy of Motor Vehicles,” 40 C.F.R. Part 600;; in accordance with applicable Federally-approved State Implementation Plan(s) (in particular, the Transportation Control Measures); and in accordance with applicable Federal regulations, directives and other standards.
- c. Energy Conservation. The undersigned and its third party contractors shall comply with mandatory standards and policies relating to energy efficiency that are contained in applicable State energy conservation plans issued in compliance with the Energy Policy and Conservation Act, 42 USC && 6321 et seq.

DATE: \_\_\_\_\_ FIRM NAME: \_\_\_\_\_ BY \_\_\_\_\_

SIGNATURE & TITLE: \_\_\_\_\_

**ATTACHMENT K-HOLD HARMLESS AGREEMENT**

KNOW ALL MEN BY THESE PRESENTS, THAT \_\_\_\_\_  
hereinafter called OFFEROR, has entered or will enter into an Agreement with CamTran  
hereinafter called the OWNER for

\_\_\_\_\_.

NOW, THEREFORE, in consideration of the award of said Contract to the OFFEROR, as well as other good and valuable consideration, OFFEROR, intending to be legally bound hereby, agrees to indemnify and save harmless the OWNER, from and against all claims, damages, losses and expenses (including attorney’s fees) arising out of or resulting from the performance of the Work, provided that any such claim, damage, loss or expense; (a) is attributable to bodily injury, sickness, disease or death, or to injury or destruction of property (real or personal) including loss of use resulting therefrom; and (b) is also caused in whole or in part by any act or omission of the OFFEROR, any subcontractor, anyone directly or indirectly employed or controlled by any one of them regardless of whether or not said claim, damage, loss or expense is caused in part by any of the named parties above.

The obligations of the OFFEROR to CamTran under this paragraph shall not extend to the liability of CamTran, his agents or employees arising out of (a) the preparation or approval of maps, drawings, opinions, reports, surveys, change orders, designs or specifications; or (b) the giving of or the failure to give directions or instruction by CamTran, his agents or employees provided that such giving or failure to give is the primary (active) cause of injury or damage.

In any and all claims against any of the named parties above, or any of their agents or employee of the OFFEROR or any subcontractor or anyone directly or indirectly employed by any of them or any one for whose acts any one or more of them may be liable, the indemnification obligation of the OFFEROR hereunder shall not be limited in any way by any limits on the amount or type of damages, compensation or benefits payable by or for the OFFEROR or any subcontractor under the Workmen’s Compensation Act, or any disability benefit acts or any other employee benefit act of the Commonwealth of Pennsylvania or any other state.

OFFEROR

By \_\_\_\_\_  
(Signature)

By \_\_\_\_\_  
(Signature)

Attest:  
  
\_\_\_\_\_

Date \_\_\_\_\_

## ATTACHMENT L-OFFEROR INTEGRITY

\_\_\_\_\_, hereinafter referred to as the Offeror, agrees to and certifies that:

### 1. DEFINITIONS

- a. "Confidential information" means information that is not public knowledge, or available to the public on request, disclosure of which would give an unfair, unethical, or illegal advantage to another desiring to contract with the Commonwealth of Pennsylvania or CamTran.
  - b. "Consent" means written permission signed by a duly authorized officer or employee of the Commonwealth or CamTran, provided that where the material facts have been disclosed, in writing, by pre-qualification, bid, proposal or contractual terms, CamTran shall be deemed to have consented by virtue of execution of this agreement.
  - c. "Offeror" means the individual or entity that has entered into this agreement with the Owner, including directors, officers, partners, managers, key employees and owners of more than five percent (5%) interest.
  - d. "Financial Interest" means:
    1. Ownership of more than five (5%) percent interest in any business; or
    2. Holding a position as an officer, director, trustee, partner, employee or the like, or holding any position of management.
  - e. "Gratuity" means any payment of more than nominal monetary value in the form of cash, travel, entertainment, gifts, meals, lodging, loans, subscriptions, advances, deposits of money, services, employment or contracts of any kind.
2. The Offeror shall maintain the highest standards of integrity in the performance of this agreement and shall take no action in violation of state or federal laws, regulations or other requirements that govern contracting with the Commonwealth of Pennsylvania and/or CamTran.
  3. The Offeror shall not disclose to others any confidential information gained by virtue of this agreement.
  4. The Offeror shall not, in connection with this or any other agreement with the Owner or the Commonwealth of Pennsylvania, directly or indirectly, offer, confer or agree to confer any pecuniary benefit on anyone as consideration for the decision, opinion, recommendation, vote, other exercise of discretion or violation of a known legal duty by any officer or employee of the Owner or the Commonwealth of Pennsylvania.

5. The Offeror shall not, in connection with this or any other agreement with the Owner or the Commonwealth, directly or indirectly, offer, give or agree or promise to give to anyone any gratuity for the benefit of or at the direction or request of any officer or employee of CamTran or the Commonwealth.
6. Except with the consent of CamTran and the Commonwealth, neither the Offeror nor anyone in privity with the Offeror shall accept or agree to accept from, or give or agree to give to, any person, any gratuity from any person in connection with the performance of work under this agreement except as provided therein.
7. Except with the consent of CamTran and the Commonwealth, the Offeror shall not have a financial interest in any other Offeror, subcontractor or supplier providing services, labor or material on this project.
8. The Offeror, upon being informed that any violation of these provisions has occurred or may occur, shall immediately notify CamTran in writing.
9. The Offeror, by execution of this agreement and by the submission of any bills or invoices for payment pursuant thereto, certifies and represents that the Offeror has not violated any of these provisions.
10. The Offeror shall, upon request of the Office of State Inspector General or County Controller, reasonably and promptly make available to that office and its representatives, for inspection and copying, all business and financial records of the Offeror of, concerning, and referring to this agreement with CamTran or which are otherwise relevant to the enforcement of these provisions.
11. For violation of any of the above provisions, CamTran (or Commonwealth, if applicable) may terminate this and any other agreement with the Offeror, claim liquidated damages in an amount equal to the value of anything received in breach of these provisions, claim liquidated damages for all expenses incurred in obtaining another contractor to complete performance hereunder, and debar and suspend the Offeror from doing business with CamTran or Commonwealth. These rights and remedies are in addition to those the Commonwealth or CamTran may have under law, statute, regulations or otherwise.

12. The Offeror is not currently and/or has not been debarred or suspended from doing business with the Commonwealth, the Federal Government, or CamTran except in the following instances:

*(if None write NONE)*

- 1.
- 2.

OFFEROR:

\_\_\_\_\_

BY : \_\_\_\_\_

WITNESS:

\_\_\_\_\_

State of                      County of

Sworn and subscribed to before me this date                      of                      , 20

Notary Public:

My Commission Expires:

**ATTACHMENT M-DEBARMENT CERTIFICATION**

The Offeror hereby certifies to the best of its knowledge and belief that its principals:

1. Are not presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from covered transactions by the Commonwealth of Pennsylvania, the Federal Government or other states.
2. Have not within the preceding three-year period 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 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 the preceding three-year period had one or more public transactions (Federal, State or local) terminated for cause or default.

THE OFFEROR CERTIFIES OR AFFIRMS THE TRUTHFULNESS AND ACCURACY OF THE CONTENTS OF THE STATEMENTS SUBMITTED ON OR WITH THIS CERTIFICATION.

DATE: \_\_\_\_\_ FIRM NAME: \_\_\_\_\_

BY

SIGNATURE & TITLE: \_\_\_\_\_

**ATTACHMENT N-DISADVANTAGED BUSINESS ENTERPRISE CERTIFICATION**

1. Policy. It is the policy of the Department of Transportation that disadvantaged business enterprises as defined in 49 CFR Part 26 shall have the opportunity to participate in the performance of contracts financed in whole or in part with Federal funds under this agreement. Consequently, the DBE requirements of 49 CFR Part 26 apply to this agreement.
2. DBE Obligation. The Offeror agrees to ensure that disadvantaged business enterprises as defined in 49 CFR Part 26 have the opportunity to participate in the performance of contracts and subcontracts financed in whole or in part with Federal funds provided under this agreement. In this regard, all Offerors shall take necessary and reasonable steps in accordance with 49 CFR Part 26 to ensure that disadvantaged business enterprises have the opportunity to compete for and perform contracts. Offerors shall not discriminate on the basis of race, color, national origin, or sex in the performance of this contract.

Failure by the Offeror to carry out these requirements is a material breach of the contract which may result in the termination of this contract or such other remedy as CamTran deems appropriate.

DATE: \_\_\_\_\_ FIRM NAME: \_\_\_\_\_

BY

SIGNATURE & TITLE: \_\_\_\_\_



**ATTACHMENT O- OFFEROR’S CHECKLIST**

This form must be completed and returned with submission of proposal. The Offeror shall use this list to ensure all required certification, affidavits and documentation have been provided. Failure to return this form may be cause for the bid to be considered non-responsive.

		<b>Offeror Check Off</b>	<b>CamTran Check Off</b>
Attachment A	Proposal Form	_____	_____
Attachment B	Proposer’s Request, Questions	_____	_____
Attachment C	Non Collusion Affidavit	_____	_____
Attachment D	Certification of Lower Tier	_____	_____
Attachment E	Commonwealth Non-Discrimination	_____	_____
Attachment F	American with Disabilities Act	_____	_____
Attachment G	Title VI of the Civil Rights Act	_____	_____
Attachment H	Lobbying Certificate	_____	_____
Attachment I	Notice of Federal Requirements	_____	_____
Attachment J	Environmental Resource Conserv.	_____	_____
Attachment K	Hold Harmless Agreement	_____	_____
Attachment L	Offer Integrity	_____	_____
Attachment M	Debarment Certification	_____	_____
Attachment N	Disadvantaged Business Enterprise	_____	_____
Attachment O	Offeror’s Checklist	_____	_____

## **J. FEDERAL THIRD PARTY CONTRACT PROVISIONS**

The following clauses are part of this and all contracts.

### 1. Notice of Federal Requirements

This procurement is subject to a financial assistance contract between the Federal Transit Administration (FTA) and CamTran. The contractor shall at all times comply with all applicable FTA regulations, policies, procedures and directives, including without limitation those listed herein, as they may be amended or promulgated from time to time during the term of this contract. Contractor's failure to so comply shall constitute a material breach of this contract. The preceding provisions include, in part, certain Standard Terms and Conditions required by DOT, whether or not expressly set forth in the preceding contract provisions. All contractual provisions required by DOT, as set forth in FTA Circular 4220.1F, as amended, are hereby incorporated by reference. Anything to the contrary herein notwithstanding, all FTA mandated terms shall be deemed to control in the event of a conflict with other provisions contained in this Agreement. The Contractor shall not perform any act, fail to perform any act, or refuse to comply with any CamTran requests which would cause CamTran to be in violation of the FTA terms and conditions.

### 2. No Government Obligation to Third Parties

- a. The Purchaser and Contractor acknowledge and agree that, notwithstanding any concurrence by the Federal Governmental in or approval of the solicitation or award of the underlying contract, absent the express written consent by the Federal Government, the Federal Government is not a party to this contract and shall not be subject to any obligations or liabilities to the Purchaser, Contractor or any other party (whether or not a party to that contract) pertaining to any matter resulting from the underlying contract.
- b. The Contractor agrees to include the above clause in each subcontract financed in whole or in part with Federal assistance provided by FTA. It is further agreed that the clause shall not be modified, except to identify the subcontractor who will be subject to its provisions.

### 3. Civil Rights

- a. Equal Employment Opportunity – The Contractor agrees to comply with all applicable EEO requirements of the U.S. Department of Labor regulations, “Office of Federal Contract Compliance Programs, Equal Employment Opportunity, Department of Labor”, 41 CFR, Parts 60 et. seq., which implement Executive Order No. 11246, “EEO”, as amended by Executive Order 11375 Relating to EEO, 42 U.S.C. Section 2000 (e), and any Federal statutes, executive orders, regulations and Federal policies pertaining to construction undertaken as part of this project.

The contractor shall take affirmative actions to ensure that applicants employed,

and that employees are treated during their employment, without regard to their race, religion, color, sex or national origin. Such actions 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."

1. Nondiscrimination on the Basis of Sex – The Contractor agrees, to the extent applicable, to comply with Title IX of the Education Amendments of 1972, as amended, 20 U.S.C., Section 1681, 1683, and 1685 through 1687, which prohibit discrimination on the basis of sex and any Federal requirements that may be promulgated.

2. Nondiscrimination on the Basis of Age – The Contractor agrees to comply with the applicable requirements of the Age Discrimination Act of 1975, as amended, 42 U.S.C., Section 6101 through 6107, and implementing regulations, which prohibits discrimination on the basis of age.

b. Disadvantaged Business Enterprise (DBE)

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

(2) DBE Obligation - The supplier or contractor agrees to ensure that disadvantaged business enterprises as defined in 49 CFR Part 26, as amended, have the maximum opportunity to participate in the performance of contracts and subcontracts financed in whole or part with Federal funds provided under this agreement. In this regard all recipients or contractors shall take necessary and reasonable steps in accordance with 49 CFR Part 26, as amended, to ensure that disadvantaged business enterprises have the maximum opportunity to compete for and perform contracts. Contractors shall not discriminate on the basis of race, creed, color, national origin, age or sex in the award and performance of DOT-assisted contracts.

Where the contractor is found to have failed to exert sufficient reasonable and good faith efforts to involve DBE's in the work provided, CamTran may declare the contractor non-compliant and in breach of contract.

The contractor will keep records and documents for a reasonable time following performance of this contract to indicate compliance with CamTran's DBE Program. These records and documents will be made available at reasonable times and places for inspection by any authorized representative of CamTran and will be submitted to CamTran upon request.

CamTran will provide affirmative assistance as may be reasonable and necessary to assist the prime contractor in implementing their program for DBE participation.

- (3) DBE Non-Discrimination - The Contractor or subcontractor shall not discriminate on the basis of race, color, national origin or sex in the performance of this contract or agreement. The Contractor shall carry out applicable requirements of 49 CFR Part 26 in the award and administration of this contract. Failure by the Contractor or Subcontractor to carry out these requirements is a material breach of the contract or agreement, which may result in the termination of this contract or agreement or such other remedy as CamTran deems appropriate.
- (4) Prompt Payment Clause - The prime contractor agrees to pay each subcontractor under this prime contract for satisfactory performance of its contract no later than thirty (30) calendar days from the receipt of each payment the prime contractor receives from CamTran. The prime contractor agrees further to return retainage payments to each subcontractor within thirty (30) calendar days after the subcontractor's work is satisfactorily completed. Any delay or postponement of payment from the above referenced time frame may occur only for good cause following written approval of CamTran. This clause applies to both DBE and non-DBE subcontractors.

If the prime contractor seeks a delay or postponement of payments to its subcontractor(s), in accordance with the above requirement, it must first submit its request in writing to, and receive written approval from, CamTran. The request for delay or postponement must list the reason or reasons for the request in sufficient detail as to permit CamTran to make a determination. The decision to allow a delay or postponement shall rest solely and exclusively with CamTran.

Absent written approval from CamTran for a delay or postponement, and upon receipt by CamTran of written notification from the subcontractor that the requirements for prompt payment have not been met, CamTran may withhold reimbursement from future prime contractor invoices for amounts due to subcontractors for satisfactory work unless and until the prime contractor takes corrective action by paying its subcontractors any past due amounts promptly in accordance with this requirement and also assuring, in writing, that future payments will be so made. Any prime contractor who does not take such corrective action when required to do so will not be permitted to bid on future projects that involve subcontractors unless and until a written assurance of compliance with the prompt payment provisions is provided to CamTran. CamTran reserves the right to determine that a prime contractor who has not met the prompt payment provisions is not a

responsible bidder for future contracts.

c. Title VI of the Civil Rights Act of 1964

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

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

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

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

Information and Reports: The Contractor shall provide all information and reports required by the Regulations or directives issued pursuant thereto, and shall permit access to its books, records, account, other sources of information and its facilities as may be determined by the Recipient or the Federal Transit Administration (FTA) to be pertinent to ascertain compliance with such Regulations, orders and instructions.

Where any information is required or a Contractor is in the exclusive possession of another who fails or refuses to furnish this information, the Contractor shall so certify to the Recipient, or the Federal Transit Administration, as appropriate, and shall set forth what efforts it has made to obtain the information.

Sanctions for Noncompliance: In the event of the Contractor's noncompliance with the nondiscrimination provisions of this contract, the Recipient shall impose such contract sanctions as it or the Federal Transit Administration may determine to be appropriate, including, but not limited to:

(1) Withholding of payments to the Contractor under the contract until the Contractor complies, and/or;

(2) Cancellation, termination or suspension of the contract, in whole or in part. Incorporation of Provision: The Contractor shall include the provisions of paragraph (1) through (6) of this section in every subcontract, including procurement of materials and leases of equipment, unless exempt by the Regulations or directives issues pursuant thereto. The Contractor shall take such action with respect to any subcontract or procurement as the Recipient or the Federal Transit Administration may direct as a means of enforcing such provisions including sanctions for noncompliance: Provided however, that in the event a Contractor becomes involved in, or is treated with, litigation with a Subcontractor or Supplier as a result of such direction, the Contractor may request the Recipient, and in addition, the Contractor may request the United States to enter into such litigation to protect the interests of the United States.

d. Access Requirements for Individuals with Disabilities

CamTran agrees to comply with, and assure that any subrecipient, or third party contractor under the Project complies with all applicable requirements of the Americans with Disabilities Act of 1990 (ADA), 42 USC 12101 et seq. and 49 USC 322; Section 504 of the Rehabilitation Act of 1973, as amended, 29 USC 794; Section 16 of the Federal Transit Act, as amended, 49 USC ap. 1612; and the following regulations and any amendments thereto:

- (1) U.S. DOT Regulations, "Transportation Services for Individuals with Disabilities (ADA)," 49 CFR Part 37;
- (2) U.S. DOT Regulations, "Nondiscrimination on the Basis of Handicap in Programs and Activities Receiving or Benefiting from Federal Financial Assistance," 49 CFR Pat 27;
- (3) U.S. DOT Regulations, "Americans with Disabilities (ADA) Accessibility Specifications for Transportation Vehicles," 49 CFR Part 38;
- (4) Department of Justice (DOJ) Regulations, "Nondiscrimination on the Basis of Disability in State and Local Government Services," 28 CFR Part 36;
- (5) DOJ Regulations, "Nondiscrimination on the Basis of Disability by Public Accommodations and in Commercial Facilities," 28 CFR Part 36;
- (6) General Services Administration regulations, "Construction and Alteration of Public Buildings," "Accommodations for the Physically Handicapped," 41 CFR Part 101-19;

- (7) (EEOC) "Regulations to Implement the Equal Employment Provisions of the Americans with Disabilities Act," 29 CFR Part 1630; Equal Employment Opportunity Commission;
  - (8) Federal Communications Commission Regulations, "Telecommunications Relay Services and Related Customer Premises Equipment for the Hearing and Speech Disabled," 47 CFR Part 64, Subpart F; and
  - (9) FTA Regulations, "Transportation for Elderly and Handicapped Persons," 49 CFR part 609.
4. Commonwealth of Pennsylvania Non-Discrimination Clause - CamTran is a contract recipient of funds from the Commonwealth of Pennsylvania. As a condition for the receipt of the funds, CamTran must certify its compliance with the Non-Discrimination Clause and CamTran must require all subcontractors certify their compliance with the Non-Discrimination Clause.
5. Termination (For contracts of \$10,000 or greater)
- a. Termination for Convenience (General Provision): CamTran may terminate this contact, in whole or in part, at any time by written notice to the Contractor when it is in the Government's best interest. The Contractor shall be paid its costs, including contract close-out costs, and profit on work performed up to the time of termination. The Contractor shall promptly submit its termination claim to CamTran to be paid the Contractor. If the Contractor has any property in its possession belonging to CamTran, the Contractor will account for the same and dispose of it in the manner CamTran directs.
  - b. Termination for Default (Breach or Cause) (General Provision): If the Contractor does not deliver supplies in accordance with the contract delivery schedule, or, if the contract is for services, 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, CamTran 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.

If it is later determined by CamTran that the Contractor had an excusable reason for not performing, such as a strike, fire, or flood, events which are not the fault of or are beyond the control of the Contractor, CamTran, 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.

- c. Opportunity to Cure (General Provision): CamTran in its sole discretion may, in the case of a termination for breach or default, allow the Contractor (an appropriately short period of time) in which to cure the defect. In such case, the notice of termination will state the time period in which cure is permitted and other appropriate conditions.

If Contractor fails to remedy to CamTran's satisfaction the breach or default or any of the terms, covenants, or conditions of this Contract within ten (10) days after receipt by Contractor or written notice from CamTran setting forth the nature of said breach or default, CamTran 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 CamTran from also pursuing all available remedies against Contractor and its sureties for said breach or default.

- d. Waiver of Remedies for any Breach: In the event that CamTran elects to waive its remedies for any breach by Contractor of any covenant, term or condition of this Contract, such waiver by CamTran shall not limit CamTran's remedies for any succeeding breach of that or of any other term, covenant or condition of this Contract.

- e. Termination for Convenience (Professional or Transit Service Contracts): CamTran, by written notice, may terminate this contract, in whole or part, when it is in the Government's interest. If this contract is terminated, CamTran shall be liable only for payment under the payment provisions of this contract for services rendered before the effective date of termination.

- f. Termination for Convenience of Default (Cost-Type Contracts): CamTran may terminate this contract, or any portion of it, by serving a notice of termination on the Contractor. The notice shall state whether the termination is for convenience of CamTran or for the default of the Contractor. If the termination is for default, the notice shall state the manner in which the Contractor has failed to perform the requirements of the contract. The Contractor shall account for any property in its possession paid for from funds received from CamTran, or property supplied to the Contractor by CamTran. If the termination is for default, CamTran may fix the fee, if the contract provides for a fee, to be paid the Contractor in proportion to the value, if any, of work performed up to the time of termination. The Contractor shall promptly submit its termination claim to CamTran and the parties shall negotiate the termination settlement to be paid the Contractor.

If the termination is for convenience of CamTran, the Contractor shall be paid its contract close-out costs, and a fee, if the contract provided for payment of a fee, in proportion to the work performed up to the time of termination.

If, after serving a notice of termination for default, CamTran determines that the Contractor has an excusable reason for not performing, such as a strike, fire, flood, events which are not the fault of and are beyond the control of the Contractor,



CamTran, after setting up a new work schedule, may allow the Contractor to continue work, or treat the termination as a termination for convenience.

6. Breaches and Dispute Resolution (Relevant to Contracts in Excess of \$10,000)

All contracts in excess of \$100,000 shall contain provisions or conditions which will allow for administrative, contractual, or legal remedies in instances where contractors violate or breach contract terms, and provide for such sanctions and penalties as may be appropriate. CamTran may include provisions for bonding, penalties for late or inadequate performance, retained earnings, liquidated damages or other appropriate measures.

Disputes - Disputes arising in the performance of this contract which are not resolved by agreement of the parties shall be decided in writing by the authorized representative of CamTran. This decision shall be final and conclusive unless within ten (10) days from the date of receipt of its copy, the Contractor mails or otherwise furnishes a written appeal to the Board of Directors. In connection with any such appeal, the Contractor shall be afforded an opportunity to be heard and to offer evidence in support of its position. The decision of the Board of Directors shall be binding upon the Contractor and the Contractor shall abide by the decision.

Performance During Dispute - Unless otherwise directed by CamTran, Contractor shall continue performance under this Contract while matters in dispute are being resolved.

Claims for Damages - Should either party to the contract suffer injury or damage to person or property because of any act or omission of the party or any of his employees, agents or others for those acts he is legally liable, a claim for damages therefor shall be made in writing to such other party within a reasonable time after the first observance of such injury or damage.

Remedies - Unless this contract provides otherwise, all claims, counterclaims, disputes and other matters in question between CamTran and the Contractor arising out of or relating to this agreement or its breach will be decided by arbitration if the parties mutually agree, or in a court of competent jurisdiction within Cambria County in the Commonwealth of Pennsylvania.

Rights and Remedies - The duties and obligations imposed by the Contract Documents and the rights and remedies available thereunder shall be in addition to and not a limitation of any duties, obligations, rights and remedies otherwise imposed or available by law. No action or failure to act by CamTran or its representative 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.

7. Lobbying (For Contracts of \$100,000 or Greater) - Contractors who apply or bid for an award of \$100,000 or more shall file the certification required by 49 CFR Part 20, "New Restrictions on Lobbying." Each tier certifies to the tier above that it will not and has not used Federal appropriated funds to pay any person or organization for influencing or attempting to influence an officer or employee of any agency, a member of Congress, officer or employee of Congress, or an employee of a member of Congress in connection with obtaining any Federal contract, grant or any other award covered by 31 USC 1352. Each tier shall also disclose the name of any registrant under the Lobbying Disclosure Act of 1995 who has made lobbying contacts on its behalf with non-Federal funds with respect to that Federal contract, grant or award covered by 31 USC 1352. Such disclosures are forwarded from tier to tier up to CamTran.
8. Interest of Members of Congress - "No member of or delegate to the Congress of the United States shall be admitted to any share or part of this contract or to any benefit arising therefrom."
9. Interest of Public Officials: "No member, officer, or employee of the public body or of a local public body during his tenure or for one year thereafter shall have any interest, direct or indirect, in this contract or the proceeds thereof."
10. Debarred Bidders - "Neither Contractor nor any officer or controlling interest holder of Contractor is currently, or has been previously, on any debarred bidders list maintained by the U.S. Government."
11. Cargo Preference - Pursuant to 46 CFR Part 381, the following clauses are in effect for any contracts under which equipment, materials or commodities may be transported by ocean vessel in carrying out the contract:

The Contractor agrees:

- a. To utilize privately owned United States flag commercial vessels to ship at least 50% of the gross tonnage (computed separately for dry bulk carriers, dry cargo liners, and tankers) involved, whenever shipping any equipment, materials, or commodities pursuant to this section, to the extent such vessels are available at fair and reasonable rates for United States flag commercial vessels.
- b. To furnish within 20 days following the date of loading for shipments originating within the United States, or within 30 working days following the date of loading for shipments originating outside the United States, a legible copy of a rated, "on-board" commercial ocean bill-of-lading in English for each shipment of cargo described in paragraph (a) above to the Recipient (through the prime Contractor in the case of Subcontractor bills-of-lading) and to the Division of National Cargo, Office of Market Development, Maritime Administration, 400 Seventh St. S.W., Washington, D.C. 20590, marked with appropriate identification of the Project.

- c. To insert the substance of the provisions of this clause in all subcontracts issued pursuant to this contract.
12. Buy America Procurements of \$150,000 or more for Iron, Steel or Manufactured Products and Rolling Stock (Service Type Contracts are Exempt) - Procurements of \$150,000 or more are subject to the Federal Transit Administration (FTA) Buy America Requirements in 49 CFR 661. A Buy America Certificate must be completed and submitted with a bid. A bid which does not include the certificate will be considered non-responsive. A waiver from the Buy America Provision may be sought by CamTran if grounds for a waiver exist. The Contractor agrees to comply with 49 U.S.C. 5323 (j) and 49 CFR Part 661, which provide that Federal Funds may not be obligated unless steel, iron and manufactured products used in FTA funded projects are produced in the United States, unless a waiver has been granted by FTA or the product is subject to a general waiver.
13. Debarment and Suspension (Integrity Certification - Contracts of \$25,000) - Federal Regulations prohibit CamTran from entering into contracts in excess of \$25,000 for goods and services from contractors that have been suspended or debarred from receiving Federally-assisted contracts. CamTran imposes this same regulation upon contractors to require that their subcontractors (in excess of \$25,000) not be suspended or debarred.

Contractors with contracts in excess of \$25,000 and their subcontractors with contracts in excess of \$25,000 shall each certify that they are not debarred or suspended from receiving federally-assisted contracts. It is the Contractor's responsibility to submit the certifications of any of its subcontractors who meet the \$25,000 threshold. The Contractor and subcontractors shall each submit both of the certificates included in the bid document.

- a. Certification Regarding Debarment, Suspension and Other Responsibility Matters - Lower Tier Covered Transactions (Third Party Contracts over \$25,000).

Instructions for Certification

- (1) By signing and submitting this bid or proposal, the prospective lower tier participant is providing the signed certification set out below.
- (2) The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, CamTran may pursue available remedies, including suspension and/or debarment.
- (3) The prospective lower tier participant shall provide immediate written notice to CamTran if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

- (4) The terms "covered transaction," "debarment," "suspended," "ineligible," "lower tier covered transaction," "participant," "persons," "lower tier cover transaction," "principal," "proposal," and "voluntary excluded" as used in this clause, have the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549 (49 CFR Part 29). You may contact CamTran for assistance in obtaining a copy of those regulations.
  - (5) The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized in writing by CamTran.
  - (6) The prospective lower tier participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transaction," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
  - (7) A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Non-procurement List issued by U.S. General Service Administration.
  - (8) Nothing contained in the foregoing shall be construed to require establishment of system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
  - (9) Except for transactions authorized under Paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible or voluntarily excluded from participation in this transaction, in addition to all remedies available to the Federal Government, CamTran may pursue available remedies including suspension and/or debarment.
- b. "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transactions"
- (1) The prospective lower tier participant certifies, by submission of this bid or

proposal, that neither it nor its "principals" (or defined at 49 CFR 29.105(p)) is presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from participation in this transaction by any Federal department or agency.

- (2) When the prospective lower tier participant is unable to certify to the statements in this certification, such prospective participant shall attach an explanation to this proposal.

14. Environmental Requirements

CamTran recognizes that many Federal and State Statutes imposing environmental, resource conservation and energy requirements may apply to the Project. Some, but not all, of the major Federal laws that may affect the Project include: the National Environmental Policy Act of 1969, 42 USC 4321 et seq.; the Clean Air Act, as amended, scattered sections 33 and 12 USC; the Resource Conservation and Recovery Act, as amended, 45 USC 6901 et seq.' and the Comprehensive Environmental Response, Compensation, and Liability Act, as amended, 42 USC 9601, et seq.. CamTran recognizes that the Environmental Protection Agency (EPA), the Federal Highway Administration (FHWA), and other agencies of the Federal Government have issued and are expected in the future to issue requirements in the form of regulations, guidelines, standards, orders or other directives that may affect the Project.

Accordingly, CamTran agrees to adhere to, and impose on its sub-recipients, any such Federal requirements, as the Government may now or in the future promulgate. Listed below are requirements of particular concern to the FTA. CamTran expressly understands that this list does not constitute CamTran's entire obligation to meet Federal requirements.

- a. Environmental Protection - To the extent applicable, the Contractor agrees to comply with the requirements of the National Environmental Policy Act of 1969, as amended, 42, USC 4321 et seq.; Executive Order No. 11514, as amended, "Protection and Enhancement of Environmental Quality, " 42 U. S.C. 4321 note; FTA statutory requirements at 49 U.S.C. 5324(b); U.S. Council on Environmental Quality regulations, pertaining to compliance with the National Environmental Policy Act of 1969, as amended, 40 C.F.R. Part 1500 et seq.; and the joint FHWA/FTA regulations, "Environmental Impact and Related Procedures," at 23 CFR Part 771 and 49 CFR Part 622, and when promulgated, joint FHWA/FTA regulations, "NEPA and Related Procedures for Transportation Decision making, Protection of Public Parks, Wildlife and Waterfowl Refuges, and Historic Sites," 23 C.F.R. Part 1420 and 49 C.F.R. Part 623.
- b. Air Quality - The Contractor agrees to comply with all applicable regulations, standards, orders, and requirements implementing the Clean Air Act, as amended, 42 U.S.C. 7401 et. seq. In addition: (1) The Contractor agrees to comply with the applicable requirements of the U.S. EPA regulations, "Conformity to State or Federal Implementation Plans of Transportation Plans, Programs, and Projects

Developed, Funded or Approved Under Title 23 U.S.C. or the Federal Transit Act, 40 C.F.R. Part 51, Subpart T; and “Determining Conformity of Federal Actions to State or Federal Implementation Plans”, 40 C.F.R. Part 93. To support the requisite air quality conformity finding for the Project, the Contractor agrees to implement each air quality mitigation or control measure incorporated in the Project. The Contractor further agrees that any Project identified in an applicable State Implementation Plan as a Transportation Control Measure will be wholly consistent with the design concept and scope of the Project described in the State Implementation Plan. (2)The Contractor agrees to comply with the following U.S. EPA regulations to the extent they are applicable to the Project: "Control of Air Pollution from Motor Vehicles and Motor Vehicle Engines, " 40 CFR Part 85; and " Control Air Pollution from New and In-Use Motor Vehicles and New And In-Use Vehicle Engines: Certification and Test Procedures," 40 CFR Part 86; and "Fuel Economy of Motor Vehicles, " 40 CFR Part 600. (3) The Contractor agrees to comply with the notification of violating facility requirements of Executive Order No.11738, “Administration of the Clean Air Act and the Federal Water Pollution Control Act with Respect to Federal Contracts, Grants, or Loans,” 42 U.S.C. 7606 note.

- c. Use of Public Land - No publicly owned land from a park, recreation area, or wildlife or waterfowl refuge of national, State or local significance as determined by the Federal, State or local officials having jurisdiction thereof, or any land from an historic site of national, State, or local significance may be used for the Project unless specific findings required by 49 USC 303 are made by the US DOT.
- d. Wild and Scenic Rivers - The Contractor agrees to comply with the Wild and Scenic Rivers Act of 1968, as amended, 16 U.S.C. 1271 et seq. relating to protecting components of the national wild and scenic rivers system.
- e. Coastal Zone Management - The Contractor agrees to assure Project Consistency with the approved State management program developed under the Coastal Zone Management Act of 1972, as amended, 16 U.S.C. 1451 et seq.
- f. Wetlands - The Contractor agrees to comply with the protections for wetlands in accordance with Executive Order No. 11990, as amended, “Protection of Wetlands,” 42 U.S.C. 444321 note.
- g. Floodplains - The Contractor agrees to comply with the flood hazards protections in floodplains in accordance with Executive Order No. 11988, as amended, “Floodplain Management” 42 U.S.C. 4321 note.
- h. Endangered Species - The Contractor agrees to comply with the protections for endangered species of the Endangered Species Act of 1973, as amended, 16 U.S.C. 1531 et seq.
- i. Historic Preservation - The Contractor agrees to facilitate compliance with the

Federal historic and archaeological preservation requirements of section 106 of the National Historic Preservation Act, as amended, 16 U.S.C. 470f; of Executive Order No. 11593, "Protection and Enhancement of the Cultural Environment," 16 U.S.C. 470 note; and of the Archaeological and Historic Preservation Act of 1974, as amended, 16 U.S.C. 469a et seq. by taking the following actions::

- (1) Consulting the State Historic Preservation Officer on the conduct of investigation in accordance with Advisory Council on Historic Preservation regulations, "Protection of Historic and Cultural Properties," 36 CFR Part 800, to identify properties and resources listed in or eligible for inclusion in the

National Register of Historic Places that may be affected by the Project, and notifying the Government (FTA) of the existence of any such properties:  
and

- (2) Complying with all Federal requirements to avoid or mitigate adverse effects upon such properties.

j. Environmental Justice - The Contractor agrees to comply with the policies of Executive Order No. 12898, "Federal Actions to Address Environmental Justice in Minority Populations and Low-Income Populations," 42 U.S.C. 4321 note.

k. Mitigation of Adverse Environmental Effects - Should the Proposed project cause or result in adverse environmental effects, the Contractor agrees to take all reasonable measures to minimize those adverse effects, as required by 49 U.S.C. 5324(b), and other applicable Federal laws and regulations, including joint FHWA/FTA regulations, "Environmental Impact and Related Procedures," 23 C.F.R. Part 771 and 49 C.F.R. Part 622 and, when promulgated, with new FHWA/FTA regulations, "NEPA" and Related Procedures for Transportation Decision making, Protection of Public Parks, Wildlife and Waterfowl Refuges, and Historic Sites," 23 C.F.R. Part 1420, and 49 C.F.R. Part 623. The Contractor agrees to comply with all environmental mitigation measures identified as commitments in applicable environmental documents (i.e. environmental assessments, environmental impact statements, memoranda of agreement and documents required by 49 C.F.R. 303) and with any conditions imposed by the Federal Government in a finding of no significant impact or a record of decision. The Contractor agrees that those mitigation measures are incorporated by reference and made part of any agreements. The Contractor agrees that deferred mitigation measures will be incorporated by reference and made part of any agreement as soon as agreement with the Federal Government is reached and understands that those mitigation measures agreed upon may not be modified or withdrawn without the express written approval of the Federal Government.

l. Energy Conservation - CamTran and its third party contractors shall comply with

mandatory standards and policies relating to energy efficiency that are contained in applicable State energy conservation plans issued in compliance with the Energy Policy and Conservation Act, 42 USC 6321 et seq. and 49 CFR Part 18.

m. Clean Water Requirements (Relevant to Contracts in Excess of \$100,000) -

(1) The Contractor agrees to comply with all applicable standards, order or regulations issued pursuant to the Federal Water Pollution Control Act, as amended, 33 USC 1251 et seq. The Contractor agrees to report each violation to the Purchaser and understands and agrees that the Purchaser will, in turn, report each violation as required to assure notification to FTA and the appropriate EPA Regional Office.

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

(3) The Contractor agrees to protect underground sources of drinking water consistent with the provisions of the Safe Drinking Water Act of 1974, as amended, 42 U.S.C. Section 300(h) et seq.

(4) The Contractor agrees to comply with the notification of violating facilities provisions of Executive Order No. 11738, "Administration of the Clean Air Act and the Federal Water Pollution Control Act with Respect to Federal Contracts, Grants, Loans," 42 U.S.C. Section 7606.

n. Clean Air Requirements (Relevant to Contracts in Excess of \$100,000)

(1) The Contractor agrees to comply with all applicable standards, orders or regulations issued pursuant to the Clean Air Act, as amended, 42 USC 7401 et seq. The contractor agrees to report each violation to the Purchaser and understands and agrees that the Purchaser will, in turn, report each violation as required to assure notification to FTA and the appropriate EPA Regional Office.

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

o. Recycled Products (Relevant to Recycled Products Contracts in Excess Of \$100,000)

(1) The Recycled Products requirements apply to all contracts for items designated by the EPA, when the contractor procures \$10,000 or more of one of these items during the fiscal year or the previous fiscal year with federal funds.

(2) The Contractor agrees to comply with all requirements of Section 6002 of the



Resource Conservation and Recovery Act (RCRA), as amended (42 USC 6962), including but not limited to the regulatory provisions of 40 CFR Part 247, and Executive Order 12873, as they apply to the procurement of the items designated in Subpart B of 40 CFR Part 247.

15. Privacy Act (Contracts Involving Federal Privacy Act Requirements)

The following requirements apply to the Contractor and its employees that administer any system of records on behalf of the Federal Government under any contract.

- a. The Contractor agrees to comply with, and assures the compliance of its employees with, the information restrictions and other applicable requirements of the Privacy Act of 1974, 5 USC 522a. Among other things, the Contractor agrees to obtain the express consent of the Federal Government before the Contractor or its employees operate a system of records on behalf of the Federal Government. The Contractor understands that the requirements of the Privacy Act, including the civil and criminal

penalties for violation of that Act, apply to those individuals involved, and that failure to comply with the terms of the Privacy Act may result in termination of the underlying contract.

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

16. Program Fraud and False or Fraudulent Statements

- a. The Contractor acknowledges that the provisions of the Program Fraud Civil Remedies Act of 1986, as amended 31 USC 3801 et seq. and US DOT regulations, "Program Fraud Civil Remedies," 49 CFR Part 31, apply to its actions pertaining to this Project. Upon execution of the underlying contract, the Contractor certifies or affirms the truthfulness and accuracy of any statement it has made, it makes, or may make, or cause to be made, pertaining to the underlying contract or the FTA assisted project for which this contract work is being performed. In addition to other penalties that may be applicable, the Contractor further acknowledges that if it makes, or caused to be made, a false, fictitious, or fraudulent claim, statement, submission or certification, the Federal Government reserves the right to impose the penalties of the Program Fraud Civil Remedies Act of 1986 on the Contractor to the extent the Federal Government deems appropriate.

- b. The Contractor also acknowledges that if it makes, or caused to be made, a false, fictitious or fraudulent claim, statement, submission or certification to the Federal Government under a contract connected with a project that is financed in whole or in part with Federal assistance originally awarded by FTA under the authority of 49 USC 5307, the Government reserves the right to impose the penalties of 18 USC

1001 and 49 USC 5307 (n)(1) on the Contractor, to the extent the Federal Government deems appropriate.

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

17. Contract Work Hours and Safety Standards Act (Non-Construction Contracts in excess of \$2,500)

The following clauses are specifically mandated under Department of Labor regulation 29 CFR Part 5.5.

- a. Overtime requirements. No Contractor or subcontractor contracting for any part of the contract work which may require or involve the employment of laborers or mechanics shall require or permit any such laborer or mechanic in any workweek in which he or she is employed on such work to work in excess of forty hours in such workweek unless such laborer or mechanic receives compensation at a rate not less than one and one-half times the basic rate of pay for all hours worked in excess of forty hours in such workweek.
- b. Violation; liability for unpaid wages; liquidated damages. In the event of any violation of the clause set for in paragraph (a) of this section the contractor and any subcontractor responsible therefor shall be liable for the unpaid wages. In addition, such contractor and subcontractor shall be liable to the United States for liquidated damages. Such liquidated damages shall be computed with respect to each individual laborer or mechanic, including watchmen and guards, employed in violation of the clause set forth in paragraph (a) of this section, in the sum of \$10 for each calendar day on which such individual was required or permitted to work in excess of the standard workweek of forty hours without payment of the overtime wages required by the clause set forth in paragraph (a) of this section.
- c. Withholding for unpaid wages and liquidated damages. CamTran shall upon its own action or upon written request of an authorized representative of the Department of Labor withhold or cause to be withheld, from any moneys payable on account of work performed by the contractor or subcontractor under any such contract or any other Federal contract with the same prime contractor, or any other federally-assisted contract subject to the Contract Work Hours and Safety Standards Act, which is held by the same prime contractor, such sums as may be determined to be necessary to satisfy any liabilities of such contractor or subcontractor for unpaid wages and liquidated damages as provided in the clause set forth in paragraph (b) of this section.
- d. Subcontracts. The contractor or subcontractor shall insert in any subcontracts the clauses set forth in this section and also a clause requiring the subcontractors to

include these clauses in any lower tier subcontracts. The prime contractor shall be responsible for compliance by any subcontractor or lower tier subcontractor with the clauses set forth in this section.

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

18. AUDIT AND INSPECTION OF RECORDS (To be included in all negotiated contracts and construction contracts entered into without competitive bidding procedures)

The Contractor agrees that CamTran, the FTA Administrator, the Comptroller General of the U.S., or any of their duly authorized representatives, shall, for the purpose of audit and examination be permitted to inspect all work, materials, payrolls and other data and records with regard to the project and to audit the books, records, and accounts with regard to the project. Further, the Contractor agrees to maintain all required records for at least three years after CamTran makes its final payments and all other pending matters are closed. Contractor also agrees, pursuant to 49 CFR Part 633.17 to provide the FTA Administrator or his authorized representatives including any PMO Contractor access to Contractor's records and construction sites pertaining to a major capital project, defined at 49 U.S.C. 5302(a)1, which is receiving federal financial assistance through programs described at 49 U.S.C. 5307, 5309 or 5311.

19. FLY AMERICA

The Contractor understands and agrees that it will not participate in the costs of international air transportation of any persons involved in or property acquired for this project unless that air transportation is provided by U.S. flag air carrier to the extent service by these carriers is available, in accordance with the International Air Transportation Fair Competitive Practices Act of 1974, as amended, 49 CFR Section 301-3.61(b), and any later regulations at 41 CFR Section 301-10.131, et seq.

20. Rights in Data (Planning, Research, Development and Demonstration Projects Only)

- a. The term "subject data" used in this section means recorded information, whether or not copyrighted, that is delivered or specified to be delivered under this agreement. The term includes graphic or pictorial delineation's in media such as drawings or photographs; test in specifications or related performance or design-type documents; machine forms such as punch cards, magnetic tape, or computer memory printouts; and information retained in computer memory. Examples include, but are not limited to: computer software, engineering drawings and associated lists, specifications, standards, process sheets, manuals, technical reports, catalog item identifications and related information. The term does not include financial reports, cost analyses and similar information incidental to Project administration.
- b. The following restrictions apply to all subject data first produced in the performance of this agreement:
  - (1) Except for its own internal use, the Recipient may not publish or reproduce such data in whole or in part, or in any manner or form, or may the Recipient authorize others to do so, without the written consent of the Government, until such time as the Government may have either released or approved the release of such data to the public; this restriction on publication, however, does not apply to agreements with academic institutions.
  - (2) As authorized by 49 CFR Section 18.34, the Government reserves a royalty-free, non-exclusive and irrevocable license to reproduce, publish or otherwise use, and to authorize others to use, for Federal Government purposes:
    - (a) Any work developed under grant, cooperative agreement, sub-grant, sub-agreement or third party contract, irrespective of whether or not a copyright has been obtained; and
    - (b) Any rights of copyrights to which a Recipient, sub-recipient or third party contractor purchases ownership with Federal assistance.

- c. When the FTA provides assistance to a Recipient for a Project involving planning, research, development or a demonstration, it is generally the FTA's intent to increase the body of mass transit knowledge, rather than to limit the benefits of the Project to those parties that have participated therein. Therefore, unless the FTA determines otherwise, the Recipient of FTA assistance to support planning, research, development or a demonstration financed under the Federal Transit Act, as amended, understands and agrees that, in addition to the rights set forth in (2) above, the FTA may make available to any FTA Recipient, Sub-recipient, Third Party Contractor, or Third Party Subcontractor, either the FTA's license in the copyright to the "subject data" derived under this agreement or a copy of the "subject data" first produced under this agreement. In the event that such a Project, is not completed, for any reason whatsoever, all data developed under that Project shall become subject data as defined in (a) of this agreement and shall be delivered as the Government may direct. This subsection, however, does not apply to adaptations of automatic data processing equipment or programs of for the Recipients use which costs are financed with capital funds (Section 3, 9, 16, 18 of the Federal Transit Act, as amended, or Title 23 funds).
- d. Unless prohibited by State law, the Recipient agrees to indemnify, save and hold harmless the Government, its officers, agents, and employees acting within the scope of their official duties against any liability, including costs and expenses, resulting from any willful or intentional violation by the Recipient of proprietary rights, copyrights, or right of privacy, arising out of the publication, translation, reproduction, delivery, use or disposition of any data furnished under this agreement. The Recipient shall not be required to indemnify the Government for any such liability arising out of the wrongful acts of employees or agents of the Government.
- e. Nothing contained in this section on rights in data shall imply a license to the Government under any patent to be construed as affecting the scope of any license or other right otherwise granted to the Government under any patent.
- f. The requirements of subsections (b), (c) and (d) of the above do not apply to material furnished to the Recipient by the Government and incorporated in the work carried out under the agreement; provided that such incorporated material is identified by the Recipient at the time of delivery of such work.

21. Seat Belt Use

In accordance with Executive Order No. 13043, "Increasing Seat Belt Use in the United States," 23 U.S.C. 402 note, the Contractor is encouraged to adopt on-the-job seat belt use policies and programs for its employees that operate company-owned, rented or personally-operated vehicles and shall include this provision in all third party contracts and subcontracts under this Project.

22. Federal Changes

49 CFR Part 18 Applicability to Contracts. The Federal Changes requirement applies to all contracts. The flow down changes requirement flows down appropriately to each applicable changed requirement. No specific language is mandated. The following language has been developed by FTA. Federal Changes - Contractor shall at all times comply with all applicable FTA regulations, policies, procedures and directives, including without limitation those listed directly or by reference in the Master Agreement between Purchaser and FTA, as they may be amended or promulgated from time to time during the term of this contract. Contractor's failure to so comply shall constitute a material breach of this contract.

23. Veterans Employment

As provided in 49 U.S.C. § 5325(k), to the extent practicable, the Recipient agrees and assures that each of its Subrecipients: (1) Will give a hiring preference to veterans, as defined in 5 U.S.C. § 2108, who have the skills and abilities required to perform construction work required under a third party contract in connection with a Capital Project supported with federal assistance appropriated or made available for 49 U.S.C. chapter 53, and (2) Will not require an employer to give a preference to any veteran over any equally qualified applicant who is a member of any racial or ethnic minority, female, an individual with a disability, or a former employee. Contractor also assures that its subrecipients will: (1) Will give a hiring preference to veterans (as defined in 5 U.S.C. § 2108), who have the skills and abilities required to perform construction work required under a third party contract in connection with a capital project supported with funds made available or appropriated for 49 U.S.C. chapter 53, to the extent practicable, and (2) Will not require an employer to give a preference to any veteran over any equally qualified applicant who is a member of any racial or ethnic minority, female, an individual with a disability or a former employee.

## **K. ADDITIONAL BID CRITERIA**

### **Intent of RFP**

The specifications of this RFP indicate MINIMUM requirements unless otherwise indicated.

The price quoted by the bidder shall include items of labor, materials, tools, equipment and all other costs necessary to fully complete the project.

No change orders either deleting from or adding to these specifications will be allowed after the bid contract has been awarded without prior written approval by CamTran. If the change order involves a price change, the Contractor's request for CamTran approval shall be accompanied by a statement signed by an officer of the purchaser that the price change is fair and reasonable, along with the basis for that determination. A change order cannot expand the scope of the contract.

### **Acceptance of Bids**

The purchaser reserves the right to accept any bid or to reject any and all bids. Any or all bids may be rejected if there is a sound documented business reason. Awards shall be made only to responsible bidders that possess the potential ability to perform successfully under the terms and conditions of this procurement. Consideration shall be given to such matters as bidder integrity, record of past performance and financial and technical resources when determining responsibility. Bids may be modified or withdrawn by written notice or in person by a bidder if the bidder's identify is made known and a receipt of the bid is signed prior to the exact hour and date set for the opening of bids.

### **Withdrawal of Bids after Bid Opening**

Withdrawal of erroneous bids after bid opening but before award based on bid mistakes shall be permitted by the written determination of CamTran's contracting officer. This may be done when the bidder requests relief and presents credible evidence that the reason for the lower bid price was a clerical mistake as opposed to judgment mistake and was actually due to an unintentional arithmetical error or an unintentional omission of a substantial quantity of work, labor, material or services made directly in the compilation of the bid. The request for relief and the supporting evidence must be received by CamTran's contracting officer within five (5) calendar days after bid opening.

### **Clarifications, Exceptions and Approved Equals**

A minimum of ten calendar (10) days before the bid opening, all potential bidders may request the purchaser to give clarification, exceptions or approved equals for portions of the specification. Written notice of any changes or approved equals allowed or disallowed will be mailed no less than seven (7) calendar days prior to bid opening to all potential bidders. The bidder must comply with all specified items or his bid will be considered non-responsive. No

exceptions to the specification will be allowed after the bid opening.

## **Protests and Disputes**

Any protests that may arise prior to or following the bid opening shall be filed in accordance with the Protest Procedures. Any disputes that may arise shall be handled in accordance with the Dispute Procedures.

### **Dispute Resolutions**

Any bidder that is successful in obtaining a bid through the Cambria County Transit Authority must agree to a contract provision that any and all disputes will be subject to the jurisdiction and venue of the Cambria County Court of Common Pleas.

### **Commonwealth Nondiscrimination Clause**

By signing and submitting the bid proposal form, the bidder agrees to comply with the Commonwealth Nondiscrimination Clause, which is made a part of this RFP.

### **Disputes**

Except as otherwise provided in this contract, any dispute before, during and after construction concerning a question of fact arising under this contract which is not disposed of by agreement shall be decided by the Contracting Officer (CamTran), who shall reduce their decision to writing and mail or otherwise furnish a copy thereof to the Contractor. The decision of the Contracting Officer shall be final and conclusive, subject only to review by a court of competent jurisdiction. Pending final resolution of a dispute hereunder, the Contractor shall proceed diligently with the performance of the contract and in accordance with the Contracting Officer's decision.

### **Protest Procedures**

#### **1) Protests Prior to Bid Opening**

Any protests, prior to bid opening, must be submitted in writing and received by CamTran at least seven (7) calendar days prior to bid opening. Each protest must be in writing and supported by sufficient information to enable the protest to be considered. A protest will not be considered if it is insufficiently supported or if it is not received within the specified time frame. CamTran's response will be in writing and set forth the reasons for its response. The decision is final, unless determined by a court of competent jurisdiction to have been fraudulent, or capricious, or arbitrary or so grossly erroneous as necessarily to imply bad faith or not supported by substantial evidence.

#### **2) Protests after Bid Opening**

Protests after bid opening will be considered only as to issues which were not apparent before bid opening. After bid opening no protests of specifications and drawings will be



considered.

Any protest after bid opening, including a protest of contract award, must be in writing and received by CamTran within five (5) calendar days of the action being protested. No other form of protest will be considered. After the time for protest award has expired, these protest procedures will be considered to be inapplicable, and any disputes will be resolved by CamTran under contract provisions or other remedies, if available.

3) Protests submitted shall:

- i. Include the name and address of protester.
- ii. Identify clearly the procurement under which the protest is being submitted.
- iii. Identify the action being protested and provide sufficient detailed documentation to support the protest action.
- iv. Indicate the action, ruling or relief desired from CamTran.

CamTran will review the protest and render its decision in writing within fifteen (15) calendar days of receipt of the protest, setting forth the reasons for its decision. CamTran is responsible, in accordance with good administrative practice and sound business judgment, for the settlement of all contractual and administrative issues arising out of the procurement, including protests, contract defaults, disputes or breaches. The decision by CamTran as to protests shall be final and conclusive.

### **Federally Required Certifications**

- 1) By signing and submitting this bid proposal, the bidder agrees to comply with the following:
  - a) Sections 103 and 107 of the Contract Work Hours and Safety Standards Act (40 U.S.C. 327-330) as supplemented by Department of Labor regulations (29 CFR Part 5).
  - b) 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 (Pub. L. 94-163, 89 Stat. 871).
  - c) Access by the purchaser, the Pennsylvania Department of Transportation, the Federal Transit Administration, the Comptroller General of the United States, or any of their duly authorized representatives to any books, documents, papers and records of the bidder (contractor) which are directly pertinent to the contract resulting from this RFP for the purpose of making audit, examination, excerpts and transcriptions.
  - d) Retention of all required records for three years after the purchaser makes final payment and all other ending matters are closed.
  - e) Federal Civil Rights Requirements which is made a part of this RFP.
  - f) Contract Work Hours and Safety Standards Act, which is made a part of this RFP.

- g) Program Fraud and False or Fraudulent Statements or Related Acts.
- (1) The bidder acknowledges that the provisions of the Program Fraud Civil Remedies Act of 1986, as amended, 31 U.S.C. §3801 et seq. and U.S. DOT regulations, “Program Fraud Civil Remedies,” 49 C.F.R. Part 31, apply to its actions pertaining to this Project. Upon execution of the underlying contract, the bidder certifies or affirms the truthfulness and accuracy of any statement it has made, it makes, it may make, or causes to be made, pertaining to the underlying contract or the FTA assisted project for which this contract work is being performed. In addition to other penalties that may be applicable, the bidder further acknowledges that if it makes, or causes to be made, a false, fictitious or fraudulent claim, statement, submission or certification, the Federal Government reserves the right to impose the penalties of the Program Fraud Civil Remedies Act of 1986 on the bidder to the extent the Federal Government deems appropriate.
  - (2) The bidder also acknowledges that if it makes or causes to be made, a false, fictitious or fraudulent claim, statement, submission or certification to the Federal Government under a contract connected with a project that is financed in whole or in part with Federal assistance originally awarded by FTA under the authority of 49 U.S.C. § 5307, the Government reserves the right to impose the penalties of 18 U.S.C. §1001 and 49 U.S.C. §5307(n)(1) on the bidder, to the extent the Federal Government deems appropriate.
  - (3) The bidder agrees to include the above two clauses in each subcontract financed in whole or in part with Federal assistance provided by FTA. It is further agreed that the clauses shall not be modified, except to identify the subcontractor who will be subject to the provisions.
- h) Incorporation of Federal Transit Administration (FTA) Terms. The preceding provisions include, in part, certain Standard Terms and Conditions required by PENNDOT, whether or not expressly set forth in the preceding contract provisions. All contractual provisions required by PENNDOT, and those as set forth in FTA Circular 4220.1F are hereby incorporated by reference. Anything to the contrary herein notwithstanding, all FTA mandated terms shall be deemed to control in the event of a conflict with other provisions contained in this Agreement. The bidder shall not perform any act, fail to perform any act or refuse to comply with any purchaser requests which would cause the purchaser to be in violation of the FTA terms and conditions.
- i) No Obligation by the Federal Government.
- (1) The purchaser and bidder acknowledge and agree that, notwithstanding any concurrence by the Federal Government in or approval of the solicitation or award of the underlying contract, absent the express written consent by the Federal Government, the Federal Government is not a party to this contract and shall not be subject to any obligations or liabilities to the purchaser, bidder or any other party (whether or not a party to that contract pertaining to any matter resulting from the underlying contract).
  - (2) The bidder agrees to include the above clause in each subcontract financed in

whole or in part with Federal assistance provided by FTA. It is further agreed that the clause shall not be modified, except to identify the subcontractor who will be subject to its provisions.

- j) Federal Changes. The bidder shall at all times comply with all applicable FTA regulations, policies, procedures and directives, including without limitation those listed directly or by reference in the Agreement FTA MA (8) dated October 1 2001 between the purchaser and FTA, as they may be amended or promulgated from time to time during the duration of this contract. The bidder's failure to so comply shall constitute a material term breach of this contract.

### **Summary of Items to be Supplied with Bid**

All applicable documents and forms included must be executed and furnished by the bidder or the bid shall be disqualified. All addenda to the RFP must be acknowledged on the Price Proposal Form or acknowledged in a separate letter that is signed by the individual signing the Proposal Form and received by CamTran prior to the bid opening. Failure to acknowledge addenda (if applicable) will result in the automatic rejection of the bid unless receipt of addenda by the bidder can be verified by certified mail receipt or acknowledgement of receipt by email [acovalt@camtranbus.com](mailto:acovalt@camtranbus.com)

### **Terms of Payment**

Contracts resulting from this bid shall be subject to a financial assistance contract between the purchaser and the Commonwealth of Pennsylvania and the U.S. Department of Transportation (if applicable). The purchaser shall make full payment within thirty (30) calendar days of the date the service is determined by the purchaser to be in acceptable condition. The purchaser shall not be charged interest until the purchaser has received funding from the State for the purchase of the service. The State and Federal government will not be subject to any interest charges under any circumstances.

### **Bid Familiarity**

- 1) Each bidder shall thoroughly examine and be familiar with all the contract documents, including but not limited to the legal and procedural documents, bid conditions, specifications and addenda, if any, as well as any related requirements of these bid conditions and specifications. The submission of a proposal shall constitute an acknowledgement that the bidder has thoroughly examined and is familiar with the contract documents and specifications in every detail.

## **L. ADDITIONAL PROPOSAL REQUIREMENTS INFORMATION**

### **A. Overview of Proposer**

This section shall contain the following information, unless otherwise specifically noted. Proposer shall include the required information in this section in the “Overview of Proposer” section of its Proposal.

#### **Description of Proposer**

A concise description of the Proposer including organizational structure, subsidiary companies, identification of principals or parent companies, length of time in business, office locations and size and overall number of personnel by discipline. If the Proposer is a joint venture, the Proposer shall furnish this information for each entity forming the joint venture and clearly indicate the reason for the joint venture as it directly applies to this Project. Proposer shall also provide a general overview description of its proposed subcontractors.

#### **Contractor/Subcontractor Percentage of Work**

The Proposer shall provide, in its proposal, a statement as to the percentage of work that will be performed by the Proposer.

The Proposer shall identify all of its proposed subcontractors in its proposal, and must identify the tasks they will perform, the percentage of the work to be performed by each subcontractor, their qualifications to perform the work and the reason the tasks are to be subcontracted.

### **B. Experience Record**

This section shall contain the following information, unless otherwise specifically noted. Proposer shall include the required information in this section in the “Experience Record” section of its Proposal.

Proposer shall provide complete, concise and accurate descriptions of the Proposer's and its subcontractors experience in providing services.

The Experience Record should include the following:

- (a) A statement about the overall qualifications and experience citing regional and/or national experience of the business for which this RFP is being offered (Financial Auditing).
- (b) A statement about the overall depth of staff and commitment of the business to assure the timely completion of the work within the clients’ pre-established budget and schedule. The name, address and telephone number of the proposed project manager.

- (c) If certain services must be provided through subcontractors or special consultants, this must be documented by providing the name, qualifications and experience of the subcontractor or special consultant.
- (d) Include a list of at least three financial auditing projects which the company has completed since 2015.
- (e) Specifically note any contract previously worked on by the member companies as a team (if applicable).

Particular emphasis should be placed on those projects performed by Proposer's and its proposed subcontractors offices and staff to be assigned to the Project. The Proposer's actual role on the identified projects shall be clearly described. The Proposer's and its proposed subcontractors qualifications and ability to perform all identified Contract Services should be clearly defined.

**C. Project Work Plan**

This section shall contain the following information, unless otherwise specifically noted. Proposer shall include the required information in this section in the "Project Work Plan" section of its Proposal.

**Methodology**

Proposer shall identify its methodology for the performance of the tasks. The Work Plan should include a detailed description of the methodology for accomplishing required work tasks and their interrelationships. Any substantive and/or procedural innovations used by the Proposer on similar projects that are applicable or can be tailored to the plan should also be identified.

**D. Project Organization and Management Plan**

This section shall contain the following information, unless otherwise specifically noted. Proposer shall include the required information in this section in the "Project Organization and Management Plan" section of its Proposal.

**Description of Organization and Management Plan**

A detailed description of the Proposer's Organization and Management Plan, which shall be established to perform the Services as outlined in the RFP. The Organization and Management Plan shall clearly identify the project manager and key personnel associated with each work task and for the entire period covered by the RFP. The plan shall also describe the involvement of DBE subcontractors in the project, if applicable. If the Proposer is a joint venture, the company affiliation of each staff member must be identified.

**Joint Venture Requirements**

If the Proposer is a joint venture, the Proposer shall include a written statement explaining how the joint venture will fulfill the requirements of the RFP. The explanation shall fully discuss and identify the responsibility of each entity forming the joint venture for performing the Services and providing the insurance required by the Agreement.