



## **VIRGINIA RAILWAY EXPRESS**

### **REQUEST FOR PROPOSALS**

**(RFP) No. 020-018**

### **SAFETY AND SECURITY CONSULTING SERVICES**

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**RFP Issued: June 22, 2020**

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## TABLE OF CONTENTS

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I.	INTRODUCTION TO RFP.....	3
II.	PROCUREMENT SCHEDULE .....	4
III.	INSTRUCTIONS FOR OFFERORS.....	5
IV.	PROPOSAL REQUIREMENTS.....	14
V.	SUBMISSION OF PROPOSAL.....	20
VI.	EVALUATION PROCESS AND CRITERIA .....	23
VII.	CONTRACT AWARD/EXECUTION .....	27
VIII.	SPECIAL PROVISIONS.....	29
IX.	GENERAL PROVISIONS .....	33
X.	INSURANCE REQUIREMENTS.....	65
XI.	SMALL BUSINESS AND VETERAN BUSINESS CONCERNS.....	68
XII.	ATTACHMENTS.....	71

**Attachment A-** Scope of Work

**Attachment B-** Representations, Certifications and Other Statements of Bidders/Offerors

**Attachment C-** Federal Transit Administration (FTA) Third Party Contract Provisions

**Attachment D-** Disadvantaged Business Enterprise (DBE) Provisions and Forms

**Attachment E-** Cost Proposal



## I. INTRODUCTION TO RFP

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### 01. **PURPOSE**

- A. The purpose of this Request for Proposals (RFP) is to establish a Contract with a qualified and experienced safety and security consulting firm to assist in the continuous improvement of the Virginia Railway Express (VRE) System Safety and Security Program, as well as the development of ancillary emergency response plans and other pertinent documents.
- B. It is VRE's intent to select one (1) Offeror to perform work on an on-call, task order basis.

### 02. **VRE BACKGROUND**

- A. VRE is a commuter rail service linking the District of Columbia and Northern Virginia. The Northern Virginia Transportation Commission (NVTC) and the Potomac and Rappahannock Transportation Commission (PRTC) are transportation districts established under Virginia law and jointly own this service.
- B. VRE is governed by an Operations Board comprised of representatives from each of the nine jurisdictions that fund the commuter rail service, including the cities of Alexandria, Fredericksburg, Manassas, and Manassas Park as well as the counties of Arlington, Fairfax, Prince William, Stafford and Spotsylvania. The Director of the Virginia Department of Rail and Public Transportation (DRPT) also represents the Commonwealth of Virginia on the VRE Operations Board. The Operations Board serves as an advisory board to the NVTC and PRTC governing boards.
- C. VRE began operations in 1992 and carries an average of approximately 19,000 weekday trips on two (2) lines. In January 2014, VRE's Operations Board adopted System Plan 2040 which calls for expansion of service, requiring the addition of railcars, expansion of station and yard facilities, as well as expanding operations to meet the goal of doubling ridership by 2040. VRE's multi-prong program addresses short term growth needs, as well as longer term capacity improvements and investments in maintaining and servicing VRE's equipment and facilities.
- D. The primary mission of VRE is to provide commuter-oriented passenger rail service between the outlying suburbs and the Washington-Arlington-Alexandria urban core. Some tourists and "day-trippers" also ride the trains. The service is heavily oriented towards that core area in the morning peak and in the opposite direction in the evening peak.



## II. PROCUREMENT SCHEDULE

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<b>RFP Issued</b>	<b>June 22, 2020</b>
<b>Confirm Participation in the Virtual Pre-Proposal Meeting</b>	<b>June 26, 2020</b> at 11:00 A.M. EST
<b>Virtual Pre-Proposal Meeting</b>	<b>July 1, 2020</b> at 10:00 A.M. EST
<b>Submission of Written Questions</b>	<b>July 7, 2020</b> at 2:00 P.M. EST
<b>Proposals Due (Closing Date and Time)</b>	<b>July 23, 2020</b> at 2:00 P.M. EST
<b>Interviews (Optional)</b>	<b>August 19, 2020</b> from 9:00 A.M. to 2:00 P.M. EST

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Virginia Railway Express (VRE) reserves the right to make changes to the above-mentioned schedule. All such changes shall be made by an addendum to the solicitation. Offerors must frequently monitor VRE's website at [www.vre.org](http://www.vre.org) for information concerning this solicitation, including any addenda or notices.

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### III. INSTRUCTIONS FOR OFFERORS

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**01. COMPETITIVE NEGOTIATION**

This solicitation is a competitive negotiation, as defined in the PRTC and VRE Public Procurement Policy and Procedures Manual. The content of the Proposals is not public record until a Notice of Intent to Award has been issued. The opening of Proposals is therefore not public.

**02. PROPOSAL AND CONTRACT REQUIREMENTS**

- A. Federal funds may be used for the subsequent Contract. Federal requirements are subject to change. The Offeror is responsible for complying with the most current regulations. The Offeror agrees that the most recent of such Federal requirements will govern the administration of the Contract at any particular time during performance of the Contract, unless VRE issues a written determination otherwise.
- B. Additionally, VRE follows Virginia procurement laws. Accordingly, all applicable State requirements will apply. Offerors are expected to become familiar with these requirements and shall not submit Proposals if unable to execute a Contract containing such provisions.
- C. VRE will provide a Contract containing these provisions for execution by the prospective Contractor that is selected. Offerors shall not use their own standard contracts for this engagement.

**03. OBLIGATION OF CONTRACTOR**

- A. Before submitting a Proposal, the Offeror shall be responsible for reading and examining the solicitation documents including these Instructions for Offerors. Submission of a Proposal shall be deemed verification of such reading and examination by the Offeror.
- B. By submitting a Proposal, the Contractor agrees that it has satisfied itself from a personal investigation of the conditions to be met, that the obligations herein are fully understood, and no claim may be made, nor will there be any right to cancellation or relief from the Contract because of any misunderstanding or lack of information.

**04. COMPETITION INTENDED**

It is VRE's intent that this solicitation promotes competition. It shall be the Offeror's responsibility to advise VRE if any language or requirements included in this RFP restrict or limit the purchase to a single source. Such notification must be received by the VRE Manager of Purchasing and Contract Administration, in writing, not later than fifteen (15) calendar days prior to the date and time set for receipt of Proposals. A review of such notifications will be made, and the Offeror notified of the results of the review.



- 05. INTEREST IN MORE THAN ONE PROPOSAL AND COLLUSION**  
Reasonable grounds for believing that an Offeror is interested in more than one Proposal for a solicitation, including both as an Offeror and as a Subcontractor for another Offeror, or that collusion exists between two or more Offerors, will result in rejection of all affected Proposals. However, an individual or entity acting only as a Subcontractor may be included as a Subcontractor on two or more different Offerors' Proposals. Offerors rejected under this provision will also be disqualified if they respond to a re-solicitation for the same work.
- 06. POINT OF CONTACT**
- A. All inquiries or correspondence shall be directed to the VRE Contract Administrator and the Purchasing Manager whose names and contact information appear on the face of this solicitation.
- B. Communications relating to this RFP, other than to the Contract Administrator and the Purchasing Manager, are prohibited during the RFP response period. **Do not contact VRE consultants, or VRE personnel other than the Contract Administrator and Purchasing Manager regarding this solicitation.**
- 07. WRITTEN COMMUNICATIONS**
- A. VRE will assume no responsibility for any understanding or representations concerning conditions made by any of its officers or agents prior to the execution of the Contract, unless included in this RFP or related documents or addenda thereto.
- B. Oral explanations or instructions given before award of the Contract will not be binding.
- 08. CLARIFICATION OF TERMS**  
If an Offeror has questions about the solicitation documents, the Offeror shall contact the VRE Contract Administrator and Purchasing Manager whose names appears on the face of the solicitation. Any revisions to the solicitation will be made only by addendum issued by VRE.
- 09. AVAILABILITY OF SOLICITATION DOCUMENTS**  
The electronic versions of the solicitation documents are intended to provide convenience to prospective Offerors. Be advised that it is the responsibility of prospective Offerors to monitor VRE's website for any addenda, notices or postings. Failure to submit signed addenda may be grounds to declare a Proposal non-responsive.
- 10. PRE-PROPOSAL MEETING**
- A. A non-mandatory **pre-proposal meeting** to discuss the requirements of this solicitation will be held for all prospective Offerors via GoToMeeting video conference on the *date and time specified in PART II - PROCUREMENT SCHEDULE* of this RFP.



- B. Individuals interested in participating in the video conference via computer, tablet or smartphone can join at <https://global.gotomeeting.com/join/324064885>. To dial in using your phone, call (224) 501-3412 and enter Access Code: 324-064-885.
- C. The video conference will use audio through the microphone and speakers on your computer, tablet or smartphone. However, there is also an ability to participate by phone as an audio-only option.

**11. CONFIRM PARTICIPATION IN THE PRE-PROPOSAL MEETING**

Offerors interested in participating in the video conference shall confirm their desire to participate by contacting the Contract Administrator and Purchasing Manager, whose names and contact information appear on the face of this solicitation, prior to the ***date and time specified in PART II – PROCUREMENT SCHEDULE*** of this RFP. It is recommended that prospective Offerors monitor VRE’s website for an addendum which may change the format of the pre-proposal meeting.

**12. SUBMISSION OF WRITTEN QUESTIONS**

- A. **Deadline:** All questions and requests for clarification regarding the meaning or interpretation of this RFP and other solicitation documents, or any ambiguities, discrepancies, inconsistencies, or conflicts in or between any of the technical, pricing, or contractual provisions, must be submitted no later than the ***date and time specified in PART II. – PROCUREMENT SCHEDULE*** of this RFP. Questions and clarifications requested after such time will not be answered unless VRE elects, at its sole discretion, to do so.
- B. **Format for Questions:** Questions must be submitted in Microsoft Word format and include the related Section number and title.
- C. **VRE Point of Contact:** Questions must be submitted to the VRE Contract Administrator and Purchasing Manager in writing via electronic mail as listed on Page 1 of this RFP. No questions or requests for additional information, clarification or any other communication should be directed to any other individual.
- D. **No oral communication will be accepted.** VRE will not be bound by any oral communications, or written interpretations or clarifications that are not set forth in an addendum.
- E. Questions and responses will be posted on VRE’s website at [www.vre.org](http://www.vre.org).
- F. Any interpretation of a question made by VRE will be responded to and distributed in the form of an addendum to the RFP and will be available to all interested Offerors through VRE’s website.



13. **ADDENDA**

VRE may issue addenda to the RFP. Addenda, if any, will be issued at least five (5) calendar days prior to the Proposal closing date. Any addendum issued less than five (5) calendar days prior to the closing date will, if necessary, contain a provision modifying the Proposal closing date to a date that will provide Offerors adequate time to respond to the addendum.

14. **MODIFICATION OF PROPOSAL CLOSING DATE**

VRE reserves the right to modify the Proposal closing date and/or time. If Offerors have already submitted their Proposals to VRE when the Proposal closing date and/or time are modified, VRE will afford those Offerors the opportunity to revise or withdraw their Proposals.

15. **VRE INCLEMENT WEATHER POLICY**

In the event of inclement weather conditions, such as heavy snowfall, icy streets and sidewalks, flooding, earthquakes, tornadoes, and other natural disasters, which result in the cancellation of VRE service operation, the Proposal due date will be extended to the next business day VRE service operates. Notification of service operation interruptions and the resumption of service are generally posted on VRE's website. An official addendum to the solicitation will be posted on VRE's website at the earliest opportunity once VRE service resumes operation.

16. **CANCELLATION/WITHDRAWAL OF RFP**

VRE reserves the right to cancel or withdraw in whole or in part this RFP at its sole discretion. Offerors will be notified in the event the RFP is cancelled via VRE's website.

17. **WAIVER OF INFORMALITIES**

VRE reserves the right to waive informalities and minor irregularities in Proposals.

18. **WITHDRAWAL OF PROPOSAL PRIOR TO CLOSING DATE**

Proposals may be withdrawn by written notice from the Offeror to the VRE Purchasing Manager prior to the RFP closing date and time. The withdrawal shall be made by the person signing the Proposal or by any individual who is authorized by the Offeror. The Offeror must provide written evidence of the individual's authority to withdraw the Proposal if the individual withdrawing the Proposal is other than the person signing the Proposal. Proposals may be withdrawn no later than two (2) business days prior to the closing date.

19. **LATE PROPOSALS**

Proposals received after the Proposal closing date and time shall not be considered. Late Proposals will be returned to the Offeror UNOPENED, if the solicitation number, closing date and Offeror's return address are shown on the package.





**20. WITHDRAWAL OF PROPOSALS AFTER PROPOSAL OPENING**

- A. Requests for withdrawal of Proposals after opening of such Proposal, but prior to award, shall be transmitted to the VRE Purchasing Manager. The Offeror shall give notice in writing of its claim of right to withdraw its Proposal accompanied by full documentation supporting the request (original work papers, documents, and materials used in the preparation of the Proposal). If the request is based on a claim of error, documentation must show the basis of the error. Proposals may be withdrawn within two (2) business days of the conclusion of the Proposal opening procedure.
- B. Proposals may be withdrawn for good cause after the closing date and prior to award. No Offeror who is permitted to withdraw a Proposal shall, for compensation, supply any material or labor to or perform any subcontract or other work agreement for the person or firm to whom the Contract is awarded or otherwise benefit, directly or indirectly, from the performance of the project for which the withdrawn Proposal was submitted.
- C. An Offeror may withdraw its Proposal from consideration if the Price/Cost/Fee Proposal was substantially lower than the other Proposals due solely to a mistake therein, provided the Proposal was submitted in good faith, and the mistake was a clerical mistake as opposed to a judgment mistake, and was actually due to an unintentional arithmetic error or an unintentional omission of a quantity of work, labor or material made directly in the compilation of a Proposal, which unintentional arithmetic error or unintentional omission can be clearly shown by objective evidence drawn from inspection of original work papers, documents and materials used in the preparation of the Proposal sought to be withdrawn.
- D. If VRE denies the withdrawal of a Proposal within ten (10) calendar days after receiving notice from the Offeror under the provisions of this Section, VRE will notify the Offeror in writing stating the reasons for its decision and award the Contract to such Offeror at the proposed price, provided such Offeror is a responsible and responsive Offeror.

**21. REJECTION OF PROPOSALS**

- A. VRE expressly reserves the right to reject any or all Proposals or any part of a Proposal, and to resolicit the services in question, if such action is deemed to be in the best interest of VRE.
- B. Proposals which fail to meet the solicitation requirements, or which are incomplete, conditional or obscure, or which contain additions not called for, erasures, alterations or irregularities of any kind or in which errors occur, or which contain abnormally high or abnormally low prices, for any class or item of work, may be rejected as invalid at VRE's discretion.
- C. The receipt of more than one (1) Proposal from the same Offeror, whether or not the same or different names appear on the signature page, shall result in none of the Offeror's Proposals being considered.



- D. Reasonable proof for believing that any Offeror has an interest in more than one (1) Proposal for the work contemplated will cause the rejection of all Proposals made by the Offeror directly or indirectly.
- E. Any or all Proposals shall be rejected if there is reason to believe that collusion exists among the Offerors.

**22. DISPOSITION OF PROPOSALS**

Offerors' Proposals will not be returned. VRE will retain the original Proposal for the contract file and destroy the remaining copies.

**23. PROPOSAL PREPARATION COSTS**

This RFP does not commit VRE to an award, nor to pay any costs associated with the preparation and/or submission of any Proposal. VRE shall not reimburse any costs incurred by Offerors in responding to this RFP or in competing for Contract award.

**24. QUALIFICATION OF OFFERORS**

VRE may make such reasonable investigations as deemed proper and necessary to determine the ability of the Offeror to furnish the services and/or goods required in the performance of this Contract. The Offeror shall furnish to VRE all such information and data for this purpose as may be requested. VRE further reserves the right to reject any Proposal if the evidence submitted by, or investigations of, such Offeror fails to satisfy VRE that such Offeror is properly qualified to carry out the obligations of the Contract and to provide the services and/or goods contemplated therein.

**25. ADDITIONAL INFORMATION**

VRE reserves the right to ask any Offeror to clarify its Proposal.

**26. PRE-AWARD SURVEY**

- A. After the due date and prior to Contract award, VRE shall have reviewed and evaluated all data submitted by the Offeror.
- B. VRE reserves the right to perform or have performed a financial review of the successful Offeror's resources, and to require the submission of a statement of work in progress by the Offeror.
- C. VRE may make such reasonable investigations as deemed proper and necessary to determine the Offeror's responsibility and ability to perform the Contract. The Offeror shall furnish VRE such information and data for this purpose as may be requested. VRE reserves the right to inspect the Offeror's physical firm prior to award to satisfy questions regarding the Offeror's capabilities.

**27. DEBARMENT STATUS**

- A. By submitting a Proposal, and completing the representation and certifications, the Offeror certifies that it is not currently debarred, suspended, declared ineligible or voluntarily excluded from submitting Proposals on contracts by any agency of the Commonwealth of Virginia or the U.S. Federal Government, nor are they an agent



of any person or entity that is currently debarred from submitting Proposals on contracts by an agency of the Commonwealth of Virginia or the U.S. Federal Government. Contractors debarred by the Commonwealth Transportation Board and/or the U.S. Federal Government shall be ineligible to submit a Proposal to VRE.

- B. By submitting a Proposal, the Contractor further certifies that it is not debarred, suspended, declared ineligible, or voluntarily excluded from participating in contracts with the Commonwealth of Virginia or the U.S. Federal Government, and that it will refrain from awarding any subcontract to a debarred or suspended Subcontractor.
- C. In addition, prospective contractors agree to comply with the requirements of Executive Orders Nos. 12549 and 12689, "Debarment and Suspension," 31 USC Section §6101 note; and U.S. DOT regulations, "Government Debarment and Suspension (Non-procurement)," within 49 CFR Part 29.

**28. CONFLICT OF INTEREST STATEMENT**

- A. The Offeror shall provide a statement disclosing any potential conflicts of interest they, any of its joint venture partners, any subsidiaries of a joint venture partner, any companies sharing common ownership with a joint venture partner, or any of its Subcontractors may have in regard to this procurement. The statement shall have the notarized signature of a principal of the Offeror, on the form provided in this solicitation.
- B. A conflict situation can arise when an Offeror takes action or has interests that interfere with the Offeror's ability to perform its work objectively and effectively. The Purchasing Manager may preclude those entities from receiving an award for any such work reasonably deemed to pose a conflict of interest with the work provided hereunder.
- C. The Offeror, any of its joint venture partners, any subsidiaries of a joint venture partner, any companies sharing common ownership with a joint venture partner, or any of its Subcontractors will be precluded from providing other services to VRE which conflict with its services under this Contract.

**29. INSPECTION OF PROPOSALS**

The Virginia Freedom of Information Act, §2.2-3700 *et seq.* shall govern the release of public records related to this procurement. Trade secrets or proprietary information related to a procurement may not be subject to public disclosure, provided the requirements of §2.2-4342F VA Code Ann. are met.

**30. TRADE SECRETS OR PROPRIETARY INFORMATION**

- A. Trade secrets or proprietary information submitted by an Offeror in connection with a procurement transaction submitted pursuant to the Code of Virginia, subsection F of §2.2-4342 shall not be subject to the Virginia Freedom of Information Act (§ 2.2- 3700 *et seq.*).



- B. However, the Offeror shall:
1. Invoke the protections of this Section prior to or upon submission of the data or other materials:
  2. Identify the data or other materials to be protected by clearly marking each individual page with “PROPRIETARY”; and
  3. State the reason why protection is necessary.
- C. It is the Offeror’s sole responsibility to defend such exemptions if challenged in a court of competent jurisdiction.
- D. Except for the foregoing limitation, VRE may duplicate, use, and disclose in any matter and for any purpose whatsoever and have others do so, all data furnished in response to this RFP. VRE has the right to release trade secrets or proprietary information to a third party which may assist VRE in the review and evaluation of Proposals.

**31. REPLACEMENT OR AUGMENTATION OF KEY PERSONNEL OR SUBCONTRACTORS**

The Key Personnel and Subcontractors in an Offeror’s Proposal are considered essential to the Offeror’s qualifications and may not be replaced or substituted, nor may additional personnel or Subcontractors be added, after qualification of the Offeror’s proposal unless VRE approves the changes in advance in writing.

**32. AUTHORITY TO TRANSACT BUSINESS**

- A. Any Offeror organized as a stock or nonstock corporation, limited liability company, business trust, or limited partnership or registered as a registered limited liability partnership must be authorized to transact business in the Commonwealth of Virginia as a domestic or foreign business entity if so, required by Title 13.1 or Title 50 of the Code of Virginia, or as otherwise required by law. The proper and full legal name of the entity and the identification number issued to the Offeror by the Virginia State Corporation Commission must be included in the Representations, Certifications and Other Statements of Bidders/Offerors provided as an attachment to this solicitation.
- B. Any Offeror that is not required to be authorized to transact business in the Commonwealth must include in its Proposal a statement describing why the Offeror is not required to be so authorized. VRE may require an Offeror to provide documentation that 1) clearly identifies the complete name and legal form of the entity and 2) establishes that the entity is authorized by the State Corporation Commission to transact business in the Commonwealth of Virginia. Failure of an Offeror to provide such documentation may be grounds for rejection of its Proposal or cancellation of any award. For further information, refer to the Commonwealth of Virginia State Corporation Commission’s website at: [www.scc.virginia.gov](http://www.scc.virginia.gov).



**33. EXCEPTION TO TERMS AND CONDITIONS**

- A. The Offeror must state whether it requests revisions to any of the terms and, if so, the Offeror must explain the reason(s) for the request(s) and propose alternative language. An Offeror who does not request a revision in its Proposal may not object or request revisions to any contract terms during the negotiation process.
- B. VRE will review any request for revisions to terms after selection of an Offeror for negotiation. Such requests will not factor into the evaluation of Proposals.

**34. INSURANCE**

Each Offeror must be able to demonstrate proof of the specific coverage requirements and limits applicable to this solicitation.

**35. IMMIGRATION REFORM AND CONTROL ACT OF 1986**

By submitting a Proposal and completing the Representations and Certifications, the Contractor certifies that it does not and will not, during the performance of the Contract, employ illegal alien workers or otherwise violate the provisions of the Federal Immigration Reform and Control Act of 1986. Unauthorized alien means, with respect to the employment of an alien (which is defined as any person not a citizen or national of the United States), at a particular time, that the alien is not at that time either (a) an alien lawfully admitted for permanent residence, or (b) authorized to be so employed by the Act or by the United States Attorney General.



## IV. PROPOSAL REQUIREMENTS

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### 01. GENERAL REQUIREMENTS

- A. The requirements included in this Section are purposely established to facilitate an objective, timely and efficient evaluation by VRE. The Offeror is advised to ensure that their Proposal is in compliance with all such requirements.
- B. Proposals shall include all of the requirements requested in this RFP. Failure to include all the information requested may adversely affect the evaluation. Noncompliance with the RFP requirements will affect the evaluation of the Offeror's technical and/or past performance and may be grounds to eliminate the Proposal from consideration.
- C. Offerors are advised their Proposal represents their company's or team's best efforts and most complete responses to this solicitation. Assurance of experience, capability, and qualifications that clearly demonstrate and support the Offeror's claim are essential. The absence of such evidence will adversely influence evaluation of the Proposal.
- D. Offerors are to submit Proposals that present the Offeror's qualifications and understanding of the overall work to be performed.
- E. Proposals must provide a clear and concise response to the requirements of the solicitation.
- F. The Offeror's submission of a Proposal represents their firm will comply with all the requirements specified in this RFP.
- G. Offerors must submit the required information identified in this Section as a complete Proposal package. Information in addition to that requested below will not be considered in evaluating the Proposal and shall not be provided. **Incomplete Proposals may cause the Proposal to be deemed non-responsive.**
- H. Offerors are to submit Proposals that present the Offeror's qualifications and understanding of the overall work to be performed. Offerors are directed to **PART VI. - EVALUATION PROCESS AND CRITERIA** and shall respond to each factor in detail so VRE may properly evaluate the Offeror's capabilities to perform the work described in this RFP.

### 02. OFFEROR'S RESPONSIBILITY FOR ERRORS OR OMISSIONS IN DOCUMENTS

- A. Each Offeror is responsible for having determined the accuracy and/or completeness of the solicitation documents, including electronic documents, upon which it relied in making its Proposal and has an affirmative obligation to notify the VRE Purchasing Manager immediately upon discovery of an apparent inaccuracy or error in or omission from the solicitation documents.



- B. If the successful Offeror is aware of such an error or omission and has not notified the VRE Purchasing Manager, the Offeror must perform any work described in such incomplete or missing documents at no additional cost to VRE.

**03. TECHNICAL PROPOSAL**

- A. The Technical Proposal must be submitted in a binder separated with the respective **numbered and titled tabs** and shall include all of the written documentation outlined below:

**TAB 1- Table of Contents:** Furnish a table of contents to delineate all the sections of the Proposal package.

**TAB 2- Title Page:** Furnish the name and address of the firm, local address, if any; name, title, address, email address, telephone and fax numbers of the contact person and the company officer responsible for ascertaining the correctness of the Proposal.

**TAB 3- Transmittal Letter (Maximum 1 page):** Submit a transmittal letter dated and signed by a company officer authorized to bind the Offeror in a Contract. Failure to sign the letter may disqualify the Proposal. The following information shall be provided in the transmittal letter:

- a. Type and size of business;
- b. Years of operation; and
- c. Description of the company (or other structure in the case of a partnership or joint venture), and relevance of services to this RFP.

**TAB 4- Evaluation Criteria No. 1:**  
Response to Criteria No 1. (See Part VI. - Evaluation Process and Criteria)

**TAB 5- Evaluation Criteria No. 2:**  
Response to Criteria No 2. (See Part VI. - Evaluation Process and Criteria)

**TAB 6- Evaluation Criteria No. 3:**  
Response to Criteria No 3. (See Part VI. - Evaluation Process and Criteria)

**TAB 7- Evaluation Criteria No. 4:**  
Provide a Cost Proposal in a Separate Volume. (See Part V. – Submission of Proposal)

**TAB 8- Subcontractors: Identify any Subcontractors and the type of work anticipated to be performed on the Contract by completing the SUBCONTRACTOR FORM included below.**



- a. During Contract performance, **ALL** Subcontractors shall be approved in advance by VRE.
- b. The Offeror shall ensure lower-tier Subcontractors in support of this solicitation are in compliance with the certifications included herein, including the insurance coverage described in this solicitation and all requirements to Federal and State procurement regulations referenced herein.
- c. Exhibits B, C (if applicable) and E from Attachment D shall be included as part of Tab 8.

**TAB 9- References:** Identify three (3) clients for whom comparable work has been done by the Offeror in the past five (5) years or is currently being performed. The following information must be provided for each reference.

- a. Name and address;
- b. Name, title, telephone number and email address for a point of contact;
- c. Contract number and title;
- d. Original contract value and contract value at completion;
- e. Contract commencement date and contract completion date; and
- f. Description of the work/services performed.

**TAB 10- Exceptions to the Solicitation:** State whether the Special Provisions and General Provisions are accepted as presented in this solicitation or if exceptions are taken; identify exceptions taken to the solicitation; provide rationale in support of the exception and fully explain its impact, if any, on the performance, schedule, cost, and specific requirements of the solicitation; and relate each exception specifically to each section/paragraph and/or specific part of the solicitation to which the exception is taken. ***If no exceptions are taken to the solicitation, the Offeror shall state this to be the case.***

**TAB 11- Acknowledge Receipt of Addenda Issued:** Include a signed acknowledgement of receipt of all addenda issued to this solicitation.

**TAB 12- Representation and Certifications:** Complete and sign forms in the **REPRESENTATIONS, CERTIFICATIONS AND OTHER STATEMENTS OF BIDDERS/OFFERS ATTACHMENT** included herein.





B. Offerors shall submit one (1) CD/DVD or USB memory device, containing one continuous electronic copy of the financial statements in PDF, separate from the Proposal CD/DVD or USB memory devices. The electronic copy shall be labeled appropriately with the RFP number and title, company's name and date. **A hard copy is not required.** Due to the sensitive nature of the financial statements, the CD/DVD or USB memory device may be enclosed in a separate envelope addressed to VRE's Chief Financial Officer and included in the Proposal package. The financial information will remain confidential and be discarded upon completion of the financial analysis.

1. Offerors shall furnish complete financial statements for the current fiscal year (interim statements are acceptable) and the past two (2) years. The financial statements shall include the following:

- a. Statement of Financial Position (Balance Sheet)
- b. Results of Operation (Income Statement)
- c. Statement of Cash Flow (if available)
- d. Statement of Current and Retained Earnings

2. These statements (a through d) shall be certified indicating disclosure of all facts that could impair or affect the statements presented.

3. The term "certified" is defined to mean that an officer of the corporation includes a statement that the financial statements fairly present the financial position of the Offeror. The term "officer" is defined to mean the President, Chief Financial Officer, or Treasurer. Audited financial statements with the auditor's opinion meet this requirement. Audited statements must be submitted, if available.

4. The certified statement provided with the financial statements must read as follows:

*"The financial information provided is correct to the best of my understanding."*

5. If audited financial statements are not available, the above statement shall also note the following:

*"No audited statements are available for the periods reported in the accompanying information."*

6. VRE reserves the right to request additional financial information as may be required to determine the Offeror's financial responsibility. If required, a formal request shall be made by VRE to the Offeror.



**SUBCONTRACTOR FORM (TAB 8)**

*(Offerors shall make additional copies of this form.)*

No Subcontractors will be utilized.

1. Firm Name: \_\_\_\_\_

2. Address: \_\_\_\_\_

3. Contact: \_\_\_\_\_ Title: \_\_\_\_\_

4. Phone No.: \_\_\_\_\_ Email Address: \_\_\_\_\_

**5. Check (☑) all of the following which apply:**

Small, Woman-owned and Minority-owned Business (SWaM)

\*Certified by: \_\_\_\_\_

**\*(The SWaM certification must be attached)**

Disadvantaged Business Enterprise (DBE)

\*Certified by: \_\_\_\_\_

**\*(The DBE certification must be attached)**

**6. Annual Gross Receipts:**

Indicate by checking (☑) the appropriate block that applies to your firm:

Less than \$7,500,000

More than \$7,500,000

7. Type of work to be performed by the Subcontractor: \_\_\_\_\_

\_\_\_\_\_

8. Location of work: \_\_\_\_\_

9. Estimated percentage of the work: \_\_\_\_\_

***NOTE: The following certifications included herein must be attached for each Subcontractor:***

- 1) *Certification of Primary Participants Regarding Debarment, Suspension, and Other Ineligibility and Voluntary Exclusion*
- 2) *Non-Collusion Affidavit*

\_\_\_\_\_  
(Prime Contractor)



**04. COST PROPOSAL**

- A. Offerors must submit a Cost Proposal, which represents the Contractor's fixed hourly billing rates, utilizing the form provided in **ATTACHMENT E** included herein.
- B. All cost data shall be quoted in U.S.Dollars.
- C. Unless indicated otherwise, each Offeror's billing rates shall be inclusive of all costs for labor, overhead and general and administrative expenses. Profit shall not be included in the billing rates. Overhead shall include all taxes, fees, insurance, etc. Direct costs such as materials and supplies, in addition to any other items necessary to complete the work in conformance with the Contract and to the satisfaction of VRE, shall be identified separately as direct costs for each Task Order. Extra charges will not be allowed without the written approval of the VRE Project Manager.
- D. No erasures or other handwritten changes may appear on the Cost Proposal.
- E. The Cost Proposal must be signed by the Offeror.



## V. SUBMISSION OF PROPOSAL

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### 01. **PROPOSAL ORGANIZATION**

- A. **Packaging**: Offerors shall submit two (2) Proposals – the Technical Proposal, Volume 1 and the Cost Proposal – Volume 2, physically broken into two (2) separate parts. Each part shall be distinct and complete in and of itself so that evaluation of one (or any portion thereof) may be accomplished independently of evaluation of the other.
- B. **Binding**: Each volume of the Proposal shall be separately bound in a loose-leaf, three-ring binder. Elaborate format and binding are neither necessary nor desirable. All binders must be capable of lying flat when opened.
- C. **Cover**: The cover must be titled “Technical Proposal, Volume 1” and “Cost Proposal, Volume 2” and clearly identify the Offeror’s name, RFP number, and RFP title.
- D. **Tabs**: Tabs must be included in the Technical Proposal binder and shall identify the respective numbers and titles as outlined in **PART IV. – PROPOSAL REQUIREMENTS**.

### 02. **PROPOSAL FORMAT**

- A. **Text**: The Proposal must be typed. Type size must not be smaller than Microsoft Word Times New Roman 11-point font, normal proportional spacing. Text lines must be single-spaced.
- B. **Page**: A page shall be:
1. 8-1/2” x 11” sheet of paper (minimum of 1/2” margins);
  2. 11” x 17” sheet of paper for a foldout only such as illustrations, charts, appendices, graphs, drawings, photographs, diagrams and tables and shall count towards one (1) page;
  3. Printed on one-side only; and
  4. White or ivory stock background color.

### 03. **HARD COPY**

Offerors shall submit one (1) hard copy of the Technical Proposal, Volume I and one (1) hard copy of Cost Proposal, Volume II.




**04. ELECTRONIC COPY**

Offerors shall submit two (2) USB memory devices, each containing one (1) continuous electronic copy of the “Technical Proposal” and “Cost Proposal” in PDF. Additionally, Offerors shall submit one (1) USB memory device containing an electronic copy of the financial statements in PDF, separate from the Technical Proposal and Cost Proposal USB memory device. Each electronic copy shall be labeled appropriately with the RFP number and title, Offeror’s name and date.

**05. IDENTIFICATION OF PROPOSAL PACKAGE**

- A. The Cost Proposal shall be separate from the Technical Proposal, but both volumes shall be concurrently in a single sealed package conspicuously identified.
- B. It is *imperative* that the label shown below is filled in and pasted on the lower left corner of the sealed package conspicuously identified.

<b>SEALED PROPOSAL IN RESPONSE TO:</b>	
	<b>RFP No.: 020-018</b>
	<b>Title: Safety and Security Consulting Services</b>
<b>Proposals Due Date:</b>	
<b>Name of Offeror:</b>	
<b>Name of Offeror’s Point of Contact:</b>	
<b>Email Address for Point of Contact:</b>	

- C. Failure to properly identify the Proposal package may result in the premature opening of or failure to open such Proposal, which may result in the disqualification of the Proposal.

**06. SUBMISSION OF PROPOSALS TO VRE**

- A. Offerors shall deliver or mail Proposals to:

Kristin Nutter  
 Manager of Purchasing and Contract Administration  
 Virginia Railway Express  
 1500 King Street, Suite 202  
 Alexandria, VA 22314



- B. A Proposal may be mailed via USPS, delivered by private courier, or delivered via FedEx, UPS or other package delivery service to VRE Headquarters in Alexandria, VA prior to the Proposal closing date and time, between 9:00 A.M. and 5:00 P.M. EST, Monday through Friday, on days that VRE service is operated. To ensure “contactless delivery,” proposal packages shall be left outside the front door of the VRE Headquarters Office, specifically the glass door for Suite 202. If possible, Offerors are encouraged to take a photo of the package at the time of delivery.
- C. It is the responsibility of the Offeror to assure that its Proposal is delivered to the place designated for receipt of Proposals on or before the day and time set for receipt of Proposals.
- D. Proposals will be time stamped by VRE’s official time clock at the receptionist’s desk in the foyer. Offerors will be provided with an email confirmation of receipt of their Proposal to the email address listed above in Section 05 – Identification of Proposal Package.
- E. Electronic, facsimile or verbal Proposals shall **not** be accepted.
- F. Proposals shall be kept unopened until after the closing date and time.

**07. PROPOSALS DUE (CLOSING DATE)**

Proposals must be received by VRE at ***2:00 P.M. EST on the date specified in PART II. – PROCUREMENT SCHEDULE*** of this RFP. Proposals received after the Proposal closing date and time ***will not be considered.***



## VI. EVALUATION PROCESS AND CRITERIA

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**01. EVALUATION PROCESS**

A Technical Evaluation Team (TET) will review and evaluate all written proposals based on the criteria identified in this section. Subsequent evaluations, such as to select firms for negotiation, may include, but are not limited to, review of more detailed proposals and/or oral presentations from the highest ranked, short-listed firms. Any such subsequent evaluations will be based on the same criteria.

**02. GENERAL**

Proposals will be evaluated based on the evaluation criteria as stated below. A 1000-point scale will be used to create the final evaluation recommendation. When assessing points, a 1-10 scale will be utilized and multiplied by the weight assigned.

**03. SCORING METHODOLOGY**

The TET will review and evaluate the Proposals using the following scale:

Points	Guidance
9 - 10	<b><u>Outstanding:</u></b> Meets all of the requirements / exceeds expectations / excellent probability of success in achieving all objectives / very innovative.
6 - 8	<b><u>Above Average:</u></b> Exceeds minimum requirement / sound response / very good probability of success.
4 - 5	<b><u>Average:</u></b> Meets minimum requirement / has a reasonable probability of success.
2 - 3	<b><u>Fair:</u></b> Partially responsive / falls short of meeting basic expectations / has a low probability of success.
1	<b><u>Poor:</u></b> Inadequate / fails to meet the requirement.
0	<b><u>Failure:</u></b> No response / the information is missing altogether.

**04. EVALUATION CRITERIA AND WEIGHTS**

The following criteria and weighting scheme will be utilized to evaluate Proposals. The criteria are listed in descending order of importance with each of the following criterion having less weight (points) than the one preceding it:



**Criteria No. 1- Capability and Expertise of the Offeror**

Describe the capability, expertise, past experience and performance of the Offeror and, if applicable, proposed Subcontractor(s) to include the following:

- a. Relevant experience with and knowledge of the Federal Railroad Administration (FRA), Transportation Security Administration (TSA) and Federal Transit Administration (FTA) safety and security programs and associated rules and requirements as well as experience working with American Public Transportation Association (APTA), FRA, FTA, and TSA officials.
- b. Understanding of all applicable requirements and recommendations set forth by the Occupational Health and Safety Administration (OSHA), Federal Emergency Management Agency (FEMA), Health and Human Services (HHS) and Environmental Protection Agency (EPA).
- c. Knowledge of industry best practices including those set forth by relevant organizations and associations.
- d. Ability to facilitate a system safety audit.
- e. Knowledge of Federal rules and regulations as they relate to commuter rail.
- f. Ability to organize rail incident drills and simulations.

**Criteria No. 2- Project Approach and Understanding**

Furnish a clear and concise summary of the proposed project approach to properly perform the work outlined in the Scope of Work. The summary must fully describe the means, methods and technical expertise to perform the requirements outlined in the Scope of Work and shall include the following:

- a. Understanding of the project scope, technical requirements, and VRE's needs.
- b. A statement on the overall approach, organization and resource commitments to the project.
- c. Methods and procedures proposed for quality assurance/control of the services provided and project deliverables.

**Criteria No. 3- Experience of Proposed Key Personnel**

Provide resumes for all proposed key personnel and include recent experience within the past seven (7) years that is most directly relevant to the task responsibility to which the individual will be assigned. **Resumes must include dates** (e.g., dates of education, experience, employment, etc.). One (1) of the proposed key personnel must be the designated **Project Manager**, with evidence of a minimum of ten (10) years of experience in a project management role on similar contracts. The Offeror shall also provide the following:

- a. An organizational chart including identification and definition of the responsibilities of all personnel thereon, and firm name.





- b. List of project role(s) to be filled by Subcontractors(s), if applicable.

**Criteria No. 4- Cost**

Complete the Cost Proposal provided in **ATTACHMENT E**.

Evaluation Criteria		Maximum Points	Weight	Maximum Score
1.	Capability and expertise of the Offeror.	10	35	350
2.	Project approach and understanding.	10	30	300
3.	Experience of proposed key personnel.	10	20	200
4.	Cost.	10	15	150
<b>TOTAL POINTS</b>				<b>1000</b>

**05. SELECTION PROCESS**

- A. The Technical Evaluation Team will review the Proposals using written score sheets. Proposals will be evaluated based on the evaluation criteria as stated above.
- B. Offerors will be in ranked order according to the scores of the TET and a short list of the most qualified Offeror(s) will be created. Selection shall be made of one (1) short-listed Offeror deemed to be the best for the project on the basis of the evaluation factors.

**06. INTERVIEWS (OPTIONAL)**

- A. VRE reserves the right to conduct interviews with short-listed firms, based on the results of the TET, prior to making a selection. ***The date and time for interviews specified in PART II. – PROCUREMENT SCHEDULE*** of this RFP shall be reserved for possible interviews. Interviews will either be held via video conference or in-person at VRE Headquarters located at 1500 King Street, Suite 202, Alexandria, VA 22314.
- B. The interview will provide an opportunity for the Offeror to clarify its Proposal in response to questions from the TET. This is a fact-finding and explanation session only and does not include negotiations.
- C. As interviews are *optional* for VRE, Offerors must treat their Proposals as a final product.



- D. Upon selection of the most technically qualified Offeror, VRE shall commence negotiations.

**07. NEGOTIATIONS**

- A. For the purposes of negotiations, selection shall be made of two (2) or more Offerors deemed to be fully qualified and best suited among those submitting Proposals, on the basis of the factors specified in the evaluation criteria.
- B. Negotiations shall be conducted with each of the selected Offerors to achieve a binding agreement on billing rates and Contract terms. The billing rates shall be considered but need not be the sole or primary determining factor for award of a Contract.
- C. Following negotiations, VRE will request each of the selected Offerors to submit a Best and Final Offer (BAFO).



## VII. CONTRACT AWARD/EXECUTION

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**01. GENERAL**

VRE may cancel this RFP or reject Proposals at any time prior to an award and is not required to furnish a statement of the reason why a particular Proposal was not deemed to be the most advantageous (Code of Virginia, § 2.2-4359D).

**02. TYPE OF CONTRACT**

VRE contemplates award of an Indefinite Delivery/Indefinite Quantity (IDIQ) Contract from this solicitation.

**03. AWARD DOCUMENTS**

The award document will be a Contract incorporating by reference the Request for Proposals, Special Provisions, General Provisions, Scope of Work/Services and the Contractor's Proposal as negotiated.

**04. NOTICE OF INTENT TO AWARD**

VRE will post the "Notice of Intent to Award" on its website at [www.vre.org](http://www.vre.org), for a minimum of ten (10) calendar days. The "Notice of Intent to Award" shall not be construed as a "Notice-To-Proceed (NTP)."

**05. NOTICE OF AWARD**

A "Notice of Award" will be posted on VRE's website at [www.vre.org](http://www.vre.org). The successful Offeror will be notified in writing by VRE.

**06. PROTEST OF AWARD**

- A. An Offeror wishing to protest an award or a decision to award a Contract must submit the protest, in writing, to the VRE Purchasing Manager no later than ten (10) calendar days after either the decision to award or the award, whichever occurs first. The protest must include the basis for the protest and the relief sought. Within ten (10) calendar days after receipt of the protest, the Chief Executive Officer of VRE will issue a written decision stating the reasons for the action taken. This decision is final. Further action, by an Offeror, may be taken by instituting the provisions as provided by the Code of Virginia.
- B. VRE policy and procedure for the administrative resolution of protests is set forth in §3.8 of the Public Procurement Policy and Procedures Manual (Procurement Manual). The Procurement Manual contains rules for the filing and administration of protests. The Contract Administrator shall furnish a copy of §3.8 upon request. Chapter VII, Sec. 1.b. of Federal Transit Administration (FTA) Circular 4220.1F addresses protests where Federal funds are involved.
- C. VRE may proceed with award of the Contract and Notice-To-Proceed while a protest is pending if it is determined to be in VRE's best interest to do so.



**07. DELAYS IN AWARD**

Delays in award of a Contract, beyond the anticipated starting date, may result in a change in the Contract period indicated in the solicitation. If this situation occurs, VRE reserves the right to award a Contract covering the period equal to or less than the initial term indicated in the solicitation.

**08. AWARD FOR ALL OR PART**

Unless otherwise specified, VRE may, if it is in the best interest of VRE to do so, award all or part of the Proposal to any Contractor whose offer is the most responsible and responsive and whose Proposal best meets the requirements and criteria set forth in the solicitation.

**09. CONTRACT DOCUMENTS**

A. The successful Offeror shall execute and deliver the following Contract documents to VRE:

1. Signed Contract
2. Insurance Certificates
3. Form W-9 Request for Taxpayer Identification Number and Certification

B. The aforementioned documents must be submitted to VRE not later than ten (10) calendar days after receipt of the Contract and “Notice of Intent to Award.”

C. The Contract shall be in writing. The Contractor shall execute the Contract in the number of copies required by VRE. One (1) fully executed original shall be delivered to the Contractor.

**10. FAILURE TO EXECUTE CONTRACT**

Should the successful Offeror fail to execute the Contract within ten (10) calendar days after receipt and submit the required Insurance Certificates, VRE may at its option, determine that the Offeror has abandoned the Contract, and thereupon, the Proposal and acceptance shall be null and void. VRE may also seek all available remedies at law and equity.

**11. NOTICE-TO-PROCEED (NTP)**

A “Notice-To-Proceed” (NTP) will be issued separately upon execution of the Contract. Contract performance shall begin on the date set forth in the written NTP. The NTP shall start the time for which the Contractor is responsible for performance of the work.



## VIII. SPECIAL PROVISIONS

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### **01. TASK ORDER REQUIREMENTS**

- A. The Contractor shall perform work on this Contract through Task Orders initiated by VRE. All Task Orders and the provision of services pursuant to such Task Orders are subject to the terms and conditions of this Contract and in the event of a conflict between the Task Order and the Contract, the Contract shall control.
- B. All Task Orders issued under this Contract shall either be Firm Fixed Price or Cost-Plus Fixed Fee, as specifically defined in the Request for Task Order Proposal.
- C. Any Task Order issued during the effective period of the Contract and not completed within that period shall be completed by the Contractor within the time specified in the Task Order.

### **02. CONTRACT AMOUNT AND TASK ORDER FUNDING**

- A. This is an Indefinite Delivery/Indefinite Quantity (IDIQ) Contract and the total cost for any individual Task Order (including modifications) shall not exceed \$250,000. The ceiling amount for all Task Orders issued during the Contract term (Base Period and any subsequent Option Year Period exercised by VRE) shall not exceed \$2,000,000 in aggregate. Therefore, the maximum value of the Contract is \$2,000,000 for a term of up to five (5) years.
- B. As a minimum guarantee, at least one (1) Task Order will be issued to the Contractor during the term of the Contract. There is no limit on the number of Task Orders that may be issued against this Contract. If and when needed, the maximum number of Task Orders issued will be contingent upon the requirements of VRE and shall be subject to the appropriation and availability of funds and will be within the maximum value of the Contract as identified above.
- C. Individual Task Orders will be funded separately. VRE will not issue any Task Orders that are not fully funded, and the Contractor shall not perform any work which is not funded. In no event shall the Contractor be authorized to incur costs under an individual Task Order in excess of the total amount of funds obligated against that Task Order unless authorized by an approved change order or Task Order Supplement in advance. Refer to Clause 16 – Changes located in the General Provisions.
- D. VRE reserves the right to issue separate solicitation(s) for project(s) if it is determined to be in the best interest of VRE.
- E. VRE shall authorize Task Orders, in writing, under the Contract at its sole discretion and shall not be obligated to issue more than one (1) Task Order to the Contractor during the Contract term, nor to expend all funds authorized for the Contract.



**03. COMMENCEMENT OF WORK**

- A. The Contractor shall not proceed with any work without a fully executed Task Order issued by the VRE Chief Executive Officer or his/her designee. VRE shall not accept responsibility for work or services for which there is not specific written authorization.
- B. Task Orders that exceed the VRE Chief Executive Officer's spending authority, currently \$100,000, shall be authorized by the VRE Operations Board/Commissions.
- C. The Contractor shall assign a single point of contact responsible for ensuring the work is completed in close coordination with VRE.
- D. The Contractor shall perform work assigned under this Contract as further described in Task Orders issued by VRE. The work shall be in accordance with the terms and conditions of the Task Order or as specified elsewhere in the Contract. Upon execution of Task Orders, the Contractor shall provide skilled and professional personnel together with the supervision, management, administrative services, facilities, equipment, and other materials and services necessary to successfully accomplish the work set forth in each Task Order.

**04. TASK ORDER ASSIGNMENTS AND PROCEDURES**

- A. VRE will initiate work by requesting a Task Order Proposal from the Contractor. The Contractor must provide a Task Order Proposal in writing or indicate why they cannot produce a proposal within the time allowed.
- B. VRE will provide a written Request for Task Order Proposal to the Contractor and shall request a Task Order Proposal from the Contractor based on the fixed unit rates, contract labor rates/hourly billing rates, agreed to at the time of contract award, except for profit which will be negotiated separately for each Task Order.
- C. Each Request for Task Order Proposal shall include at a minimum:
  - 1. Scope of Work describing the technical requirements of the task and the required completion date(s).
  - 2. Period of Performance.
  - 3. Reporting Requirements and Deliverables.
  - 4. Type of Task Order (Firm Fixed Price Task Order or Cost-Plus Fixed Fee Task Order).
  - 5. Proposal Due Date.



- D. In response to the Request for Task Order Proposal, the Contractor shall submit a Task Order Proposal to VRE, within the time stated in the Request for Task Order Proposal, that includes at a minimum the following:
1. Approach (technical proposal) to meet the Scope of Work referencing VRE's Request for Task Order Proposal and highlighting any variations.
  2. Listing of Subcontractors to be utilized to include proposed DBE or SWaM participation, if applicable.
  3. Project completion schedule, including milestones, if required.
  4. Price Proposal, which shall be in sufficient detail to permit an analysis of all material, labor, equipment, Subcontractor and overhead costs and which shall cover all the work included in the Request for Task Order Proposal. Any proposed costs for Subcontractors shall be supported by a similar price breakdown.
- E. Preparation or revisions of Task Order Proposals by the Contractor shall not be compensated under this Contract. VRE's request for a proposal to perform the work does not represent a commitment to authorize the work, nor obligate VRE in any way.
- F. Procedures for incorporating each Task Order into the Contract shall be in accordance with the following:
1. VRE issues a Request for Task Order Proposal in the form of a letter or email to the Contractor, to include a Scope of Work, requesting a Task Order Proposal from the Contractor, to include a price proposal, by a specified date. The Task Order Scope of Work constitutes what VRE believes to be the major project elements. It is the responsibility of the Contractor to identify all necessary associated work whether or not specifically listed in the Scope of Work.
  2. The Contractor responds with a Task Order Proposal, which includes both a technical proposal regarding the Scope of Work and a price proposal stating proposed disciplines, manhours per discipline, and authorized reimbursable expenses, as well as responses to other requirements of the task assignment.
  3. Following VRE's review of the technical proposal submitted by the Contractor, negotiations or discussions regarding the scope and approach may occur. VRE may request a revised proposal or revise the project scope as a result of these negotiations or discussions.
  4. VRE will evaluate the price proposal against VRE's Independent Cost Estimate and negotiations may be initiated by VRE as necessary in order to reach an agreement on a reasonable Task Order amount.



5. Following any negotiations and upon written approval of the technical proposal, level of effort, pricing, profit, project schedule, and any other pertinent information, a Task Order is prepared, processed, and formally executed incorporating the task assignment into the Contract. Task Orders shall be sequentially numbered.
6. VRE issues a written Notice-To-Proceed, as required.
- G. VRE may request the Contractor to present an informal briefing and review of the work conducted under any Task Order.
- H. In the event that a Task Order is cancelled prior to completion of the work, the Contractor will be paid for VRE-approved incurred costs up to the date of issuance of the cancellation notice by VRE or as otherwise agreed to by the parties.
- I. Consistent non-responses to Request for Task Order Proposals may negatively impact or prohibit the Contractor from proposing on future Task Orders. Additionally, failure of the Contractor to meet the deadlines specified in individual Task Orders may be kept on file with the Contractor's record of performance deficiencies.

**05. LABOR RATE ADJUSTMENTS**

- A. To request an adjustment for any change in rates of pay for labor (including fringe benefits), the Contractor or VRE must submit a written request to the other party not less than sixty (60) consecutive calendar days prior to the expiration of the Base Period and each subsequent Option Year Period of the Contract.
- B. Increases in the Contract labor rates shall not exceed: i) the percentage of change in the U.S. Department of Labor Consumer Price Index, All Items, Unadjusted, Urban Areas ("CPI-U") for the most recent twelve (12) month period, for which statistics are available, ending immediately prior to the date of the request; or ii) three percent (3%); whichever percentage is lower.
- C. VRE shall modify this Contract (1) to include the price adjustment and its effective date and (2) to revise the labor rates (including fringe benefits) as shown in the Cost Proposal to reflect the increases or decreases resulting from the adjustment. The Contractor shall continue performance pending agreement on, or determination of, any adjustment and its effective date.
- D. Any Contract labor rates that result from this provision will be binding and shall become effective the first day of the corresponding Option Year Period. No adjustment shall apply to services that are required to be performed before the effective date of the adjustment. Additionally, labor rates for Firm Fixed Price Task Orders shall remain constant and not subject to adjustment through the term of the Task Order and through completion of the scope of work outlined in the Firm Fixed Price Task Order.





## IX. GENERAL PROVISIONS

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### 01. PRECEDENCE OF TERMS

- A. In the event of an inconsistency between the Request for Proposals or Invitation for Bids, the Contract Terms and Conditions, other included documents, or the Federal Transit Administration (FTA) Master Agreement and state procurement law, the inconsistency shall be resolved by the following order of precedence:
1. Federal Transit Administration Master Agreement (26) (October 1, 2019) and FTA Circular 4220.IF, dated November 1, 2008, as amended
  2. Virginia's Public Procurement Act, as amended
  3. Invitation for Bids (IFB)/Request for Proposals (RFP)
  4. Special Provisions
  5. General Provisions
  6. Contractor's Bid/Proposal
- B. Where the terms of these Contract Documents vary the most stringent shall apply.

### 02. VRE CONTRACT MANAGEMENT

- A. Contract Administrator: During the term of the Contract, matters relating to insurance, terms and conditions, and other contract administration matters shall be directed to the Contract Administrator. Changes to the Contract value, scope, or schedule will require consultation with the Contract Administrator.
- B. Contracting Officer: The Contracting Officer is the only individual who can legally commit or obligate VRE for the expenditure of federal/public funds. The technical administration of the Contract shall not be construed to authorize the revision of the terms and conditions of the Contract. Any such revision shall be authorized in writing only by the Contracting Officer. The Contracting Officer may designate personnel to act as their authorized representatives for one or more contract administration functions not involving a change in the scope, price, terms, or conditions of the Contract. Such designation will be in writing, set forth by a separate letter signed by the Contracting Officer, and will contain specific instructions as to the extent to which the representative may take action for the Contracting Officer. Such designation will not contain authority to sign contractual documents, nor will it authorize the designee to order contract changes, modify contract terms, or create any liability on the part of VRE.
- C. Project Manager: During the term of the Contract, the Contracting Officer may designate a Project Manager (PM) to represent VRE and assist in monitoring the work under the Contract. The PM is responsible for the overall project management and serves as the technical liaison to the Contractor. The PM is responsible for the day-to-day clarification and guidance of the Contractor's personnel as may be required under the Contract. The VRE PM will conduct ongoing reviews of the Contractor's progress in performing the work and will furnish comments in a timely manner. Only the PM consulting with the Contract Administrator and/or the Contracting Officer, as necessary is authorized to



provide direction to the Contractor. All communications to other agencies shall be through the VRE PM, unless directed otherwise.

**03. PRIME CONTRACTOR RESPONSIBILITIES**

- A. The Contractor shall be responsible for completely supervising and directing the work under this Contract and all Subcontractor(s) that it may utilize, using adequate skill and attention. Subcontractor(s) who perform work under this Contract shall be responsible to the Prime Contractor.
- B. During the period of performance, the Contractor shall not substitute key personnel without the written approval of VRE. The Contractor shall provide VRE with information as to the circumstances necessitating the proposed change and other information as requested. Periodically, the VRE Project Manager may request an updated list of personnel.
- C. The Contractor agrees that it is fully responsible for the acts and omissions of its Subcontractor(s) and of persons employed by the Subcontractor as it is for the acts and omissions of its own employees.
- D. The VRE PM shall coordinate the work on this Contract with VRE's ongoing operations and other activities performed by VRE or other contractors.

**04. STANDARD OF CARE**

- A. VRE is entering into this Contract in reliance on the Contractor's experience and abilities with respect to performing the services hereunder. In performing the work, the Contractor shall ensure that it and its agents and employees exercise the degree of skill and care that is normally accepted by members of the same profession currently practicing under similar conditions in the same locality ("Customary Standard of Care"). The Contractor shall re-perform, without additional compensation, any services not meeting this Customary Standard of Care.
- B. The Contractor shall be responsible for the professional quality, completeness, technical accuracy and coordination of all designs, drawings, specifications, cost estimates and other work products and services or materials provided, regardless of whether such work products and documents are prepared by the Contractor or the Contractor's subcontractors. The plans, drawings, specifications and other work products that the Contractor prepares must be free from material errors, complete and appropriate for the purposes intended.
- C. The Contractor is responsible for all costs when such costs and expenses are the result of any violation of this Standard of Care provision. VRE's review, approval or acceptance of or payment for any services required under this Contract does not release the Contractor from any liability for breach of this Standard of Care provision.



**05. CONFORMITY WITH SCOPE OF WORK**

All deviations from the Scope of Work shall be authorized in writing by VRE. No extra compensation for material or labor shall be allowed for work evidently necessary within the general intent of the Scope of Work.

**06. TERM OF CONTRACT**

- A. The term of the Contract shall be for a Base Period of one (1) year with the option to extend for four (4) additional one-year periods, not to exceed five (5) years. The Base Period will commence on the date set forth in the written Notice-To-Proceed (NTP).
- B. The exercise of a Contract option will be at the sole discretion of VRE. Unless otherwise directed in writing, the Contract will be extended by VRE under the terms and conditions of the original Contract.
- C. A written preliminary notice of VRE's intention to exercise an option will be given approximately thirty (30) calendar days prior to the expiration date of the Base Period and each Option Year Period. The preliminary notice does not commit VRE to an extension. The exercise of an option is subject to the availability of funds at the time of the exercise of option.

**07. PAYMENTS**

**A. Terms**

- 1. The Contractor shall submit monthly invoices for work/goods ordered, delivered, and accepted by VRE by the 15th of each month. ***The invoice period shall be the calendar month.*** This payment schedule shall be maintained throughout the duration of the project, unless directed otherwise.
- 2. If no charges have been incurred for a particular month, no invoice is required. However, the VRE Project Manager shall be notified that no invoice will be submitted.
- 3. Any Contractor's payment terms requiring payment in less than thirty (30) days will be regarded as requiring payment thirty (30) days after invoice or delivery, whichever occurs last. This shall not affect offers of discounts for payment in less than thirty (30) days.
- 4. If funds are not appropriated for purposes of the Contract for the current or any succeeding fiscal year subsequent to the one in which the Contract is entered into, then VRE may terminate the Contract upon prior written notice to the Contractor. Should termination be accomplished in accordance with this Section, VRE shall be liable only for payments due through the date of termination.



**B. Billing Instructions**

1. Invoices shall be submitted electronically in one (1) continuous electronic copy in PDF to [ebills@vre.org](mailto:ebills@vre.org). The VRE Project Manager shall be copied on the email at [cnourse@vre.org](mailto:cnourse@vre.org).
2. The VRE Project Manager shall be indicated on the invoice cover sheet.
3. At a minimum, invoices shall contain the following information:
  - a. Name, address and telephone number of Contractor
  - b. VRE Contract number
  - c. Contractor's invoice number
  - d. Task Order number
  - e. Sequential invoice number for the Task Order
  - f. Date of invoice
  - g. Period of invoice
  - h. Summary description of work performed
  - i. Percentage of the budget complete
  - j. Total invoice amount
  - k. Total cumulative amount invoiced
  - l. Contractor's signature
4. If invoices fail to meet all of the above requirements, they will not be processed for payment and will result in the invoice being returned to the Contractor for correction and resubmission. VRE may request additional substantiating documentation as necessary.

**C. Progress Payments**

1. Payments may be made monthly for the amount and value of work and services performed by the Contractor under this Contract. Progress payments will only be made for work that has been delivered and which VRE has approved and accepted.
2. Payment applications shall be prepared by the Contractor and accompanied by any supporting data, to include a detailed progress report, required by the Project Manager. With advance VRE approval, progress payments may be authorized based on a set of milestones for work not specifically resulting in deliverable products.
3. VRE may require substantiating information such as Contractor's Affidavit of Payments, Subcontractor's Affidavit of Payments, invoices, etc.



**D. Final Payment**

1. Final payment is dependent on completion of the work and submission of the Contract deliverables. This approval will constitute a representation that, to the best of VRE's knowledge, information and belief, and on the basis of observations and inspections, the work has been completed in accordance with the terms and conditions of the Contract documents and that the entire balance is found to be due to the Contractor.
2. The final payment shall be made after the Contractor submits the following to VRE:
  - a. An affidavit that all payrolls, bills for materials and equipment, and other indebtedness connected with the work for which VRE or VRE's property might be in any way responsible, have been paid or otherwise satisfied.
  - b. If required by VRE, other data establishing payment or satisfaction of all such obligations, such as receipts, releases and waivers of liens arising out of the Contract, to the extent and in such form as may be designated by VRE.
3. All provisions in this Contract, including without limitation those establishing obligations and procedures, shall remain in full force and effect, notwithstanding the making or acceptance of final payment prior to the date of completion of the project.

**08. PAYMENTS TO SUBCONTRACTOR**

In the event that the Contractor utilizes a Subcontractor for any portion of the work under this Contract, the Contractor hereby agrees to:

1. Provide payment of Subcontractors within seven (7) days of receipt of payment by VRE for work completed and approved expenses. The Contractor shall take one (1) of the two (2) following actions within seven (7) days after receipt of amounts paid to the Contractor by VRE for work performed by a Subcontractor under the Contract.
  - a. Pay a Subcontractor for the proportionate share of the total payment received from VRE attributable to the work performed and completed by that Subcontractor under the Contract; or
  - b. Notify VRE and any Subcontractors, in writing, of its intention to withhold all or a part of the Subcontractor's payment with the reason for nonpayment.
2. The Contractor shall be obligated to pay interest to a Subcontractor on all monies owed by the Contractor that remain unpaid after seven (7) days following receipt by the Contractor of payment from VRE for work performed by a Subcontractor under the Contract, except for amounts



withheld under subsection 1.b. of this Section. Unless otherwise provided under the terms of this Contract, interest shall accrue at the rate of one percent (1%) per month. The date of mailing of any payment by U. S. Mail is deemed to be payment to the addressee. These provisions apply to each sub-tier contractor performing under the primary Contract.

3. The Contractor's obligation to pay an interest charge to a Subcontractor pursuant to the provisions of this Section may not be construed as an obligation by VRE. A contract modification may not be made for the purpose of providing reimbursement for any such interest charge. A cost reimbursement claim may not include any amount for reimbursement for such interest charge.

**09. TRAVEL EXPENSES**

- A. VRE will not reimburse the Contractor for travel-related expenses for employees located within the greater Baltimore-Washington Metropolitan Area, as defined by the United States Office of Management and Budget.
- B. VRE will compensate the Contractor for Reimbursable Expenses, for employees located outside of this area, and only if they are pre-approved by VRE and in accordance with the Contract. **When authorized by the Project Manager**, expenses may include:

**1. Lodging/Meals/Incidental Expenses:**

- a. Each Contractor required to travel overnight in the performance of this Contract shall be reimbursed for lodging, meals and incidental expenses at the rates specified by the U.S. General Services Administration (GSA) (<http://www.gsa.gov> – search “Per Diem”) for the locations being visited.
- b. **Lodging:** VRE will reimburse for actual lodging costs at a reasonably priced commercial facility in the immediate area of where the work is performed, up to the GSA’s daily rates for the destination, current for the date of travel. Receipts for lodging must be itemized. Only room and tax charges will be reimbursed; no reimbursement will be made for additional expenses, including but not limited to, room service, laundry, telephone and in-room movies. If the Contractor or its employee shares a room with another person who is not connected with the performance of the work, including a spouse, VRE will reimburse for only the cost of a single room.
- c. **Meals:** The amount for meals and incidental expenses includes state sales tax (where applicable) and a 15% gratuity. On the day of departure, 75% of the applicable rate will apply. On the last day of travel, 75% of the applicable rate will apply.

**2. Air Travel:**

VRE shall reimburse for air travel at the coach rate. The Contractor is



expected to obtain discount airfares to the extent possible. Travel shall be by the route that is most cost effective to VRE. Tickets must be purchased at least seven (7) calendar days in advance, unless otherwise approved by VRE. The Contractor shall bear any additional costs incurred as a result of deviations from this route for personal reasons. Travel time shall not be compensated. Legible receipts are required.

3. **Local Transportation:**

Reservations must be made in advance whenever possible to take advantage of all available discounts.

- a. **Taxi/limousine/bus** – Reasonable expenses reimbursable at **actual cost**. Receipts are required. Transportation expenses between places of lodging or business and places where meals are taken are not allowed unless suitable meals cannot be obtained at the site.
- b. **Rental automobiles** – Reasonable expenses reimbursable at **actual cost**. Rental automobiles shall be used only when it will affect a savings or other advantage or when the use of other transportation is not feasible. Rental automobiles should be limited to sub-compact models when available. A legible copy of the rental agreement is required to support costs. Rental of other than a sub-compact is allowable when sub-compacts are not available. Any reimbursement will cover only those rental charges, insurance and/or fuel fees allocable to work on the Contract and will not cover the purchase of liability insurance and/or collision/comprehensive insurance. Legible receipts are required.
- c. **Private automobile** - Use of private automobiles will be reimbursed at the current U.S. Internal Revenue Service (IRS) business mileage rate.
- d. Tolls and parking charged for the use of ferries, roads, bridges, and tunnels while traveling to and from commercial carriers and parking charges at destinations are reimbursable at **actual cost**. Legible receipts are required.

4. **Telephone:**

Actual cost of business telephone charges incurred by the Contractor while in travel status is reimbursable. Personal telephone charges are not allowable. Legible receipts are required.

5. **Other:**

- a. Other actual expenses incurred in the performance of this Contract, exclusive of normal operating expenses, and as approved by VRE, shall be reimbursed. Receipts or invoices are required on each individual item under this category.



- b. **Non-reimbursable costs** include expense for entertainment, first-class airfare, contributions, personal telephone and facsimile charges, dues and subscriptions, alcoholic beverages, expenses for transportation and lodging for personal pursuits, gifts, gratuities, and other charges expressly disallowed under the terms of this Contract.

**6. Exclusions:**

VRE will not reimburse or pay for expenses that are personal in nature. The following are some examples of expenses excluded from reimbursement:

- a. Alcoholic beverages
- b. Personal phone calls
- c. Entertainment (e.g. pay TV, movies, night clubs, health clubs, theaters, bowling)
- d. Personal expenses (e.g. laundry, valet, haircuts)
- e. Personal travel insurance (e.g. life, medical, or property insurance) for airfare or rental cars
- f. Fines for parking or traffic violations
- g. Auto repairs, maintenance, cleaning, inspection and insurance costs for personal vehicles

Reimbursable expenses must be included on each monthly invoice and require receipts and other documentation.

**Time limit: VRE will not honor requests for travel reimbursement that are submitted more than sixty (60) calendar days after completion of travel.**

**10. EXTRA CHARGES NOT ALLOWED**

Unless otherwise provided in the Contract, the Contract price shall be for the complete installation ready for VRE use and shall include all applicable freight and installation charges; extra charges will not be allowed.

**11. REGULATORY COMPLIANCE WITH LAWS AND PERMITS**

- A. The Contractor agrees it shall be responsible for the professional quality, technical accuracy, and coordination of all designs, drawings, specifications, and other services furnished by the Contractor under this Contract. All work shall be performed in accordance with all applicable Federal, State and Local Laws, Rules and Regulations. In addition to the requirements described in the preceding Sections and the Scope of Work, any additional regulatory compliance required by the United States Department of Transportation shall be complied with during the term of the Contract.
- B. The Contractor shall, without additional compensation, correct or revise any errors or deficiencies in its work or services provided for VRE.





- C. Neither VRE's review, approval or acceptance of, nor payment for, the services required under this Contract shall be construed as a waiver of any rights under this Contract or of any cause of action arising out of the performance of this Contract, and the Contractor shall be and remain liable to VRE in accordance with applicable law for all damages to VRE caused by the Contractor's negligent performance of any of the services furnished under this Contract.
- D. If the Contractor is comprised of more than one legal entity, each such entity shall be jointly and severally liable hereunder.
- E. The rights and remedies of VRE provided for under this Contract are in addition to any other rights and remedies provided by law.

**12. RELEASES, LICENSES, PERMITS AND AUTHORIZATIONS**

It is the Contractor's responsibility to obtain all releases, licenses, permits and other usage authorizations for all matters within its ordinary sphere of activity, including photographs, copyrighted materials, artwork or any other property or rights belonging to third parties obtained by the Contractor for use in performing services for VRE. The Contractor shall save the VRE harmless from all claims, demands, expenses (including reasonable attorney's fees), liabilities, suits, and proceedings (including any brought in or before any court, administrative body, arbitration panel or other tribunal) against or involving VRE on account of or arising out of such use. VRE shall obtain the same for any such items obtained by VRE which are used by the Contractor in performing services for VRE. The Contractor shall save VRE harmless from all claims, demands, expenses (including reasonable attorneys' fees), liabilities, suits, and proceeding (including any brought in or before any court, administrative body, arbitration panel or other tribunal) against or involving VRE on account of or arising out of any assertions, claims, slogans, headlines or the like made by the Contractor for any VRE products, as well as for all claims, demands, expenses, liabilities, suits and proceedings arising out of the nature or use of VRE's products by the Contractor.

**13. OWNERSHIP OF WORK PRODUCTS**

- A. This Contract does not confer on the Contractor any ownership rights or rights to use or disclose VRE's data or inputs. VRE shall have unlimited rights, for the benefit of VRE, in all work products including, but not limited to, drawings, designs, specifications, notes and other work developed in the performance of this Contract. VRE shall have the right to use the work products on any other VRE work without additional cost to VRE.
- B. All work products, in any form, that result from this Contract are the property of VRE and must be provided or returned to VRE upon completion, termination, or cancellation of this Contract. The Contractor shall not use or allow others to use the work products for any purpose other than performance of this Contract without the written consent of VRE.
- C. The work products are confidential, and the Contractor may neither release the work products nor share their contents. The Contractor shall refer all inquiries regarding the status of any work product to the VRE Project Manager or to his or



her designee. At VRE 's request, the Contractor shall deliver all work products, including hard copies of electronic files, to the VRE Project Manager.

- D. The Contractor must include the provisions of this Section as part of any contract or agreement related to this Contract into which it enters with Subcontractors or other third parties.
- E. If any invention, improvement, or discovery of the Contractor or any of its Subcontractors or lower-tier subcontractors is conceived or first actually reduced to practice in the course of or under the Contract, and that invention, improvement, or discovery is patentable under the laws of the United States of America or any foreign country, VRE and the Contractor agree to take actions necessary to provide immediate notice and a detailed report to the party at a higher tier until all applicable VRE funding partners are ultimately notified.
- F. The provisions of this Section will survive any termination or cancellation of this Contract.

**14. CONFIDENTIAL INFORMATION**

- A. The Contractor and its employees, agents and Subcontractors shall hold as confidential all VRE information obtained under this Contract. Confidential information includes, but is not limited to, non-public personal information; social security numbers; addresses; dates of birth; other contact information or medical information about a person; and information pertaining to products, operations, systems, customers, prospective customers, techniques, intentions, processes, plans and expertise.
- B. The Contractor must take reasonable measures to ensure that all of its employees, agents and Subcontractors are informed of and abide by this requirement.

**15. DISSEMINATION OF CONTRACT INFORMATION**

The Contractor shall not discuss, publish, permit to be published, or distribute for public consumption, and information, oral or written, or any material concerning this Contract, without the prior written consent of VRE.

**16. CHANGES**

- A. By written notice to the Contractor, VRE may from time to time make changes within the general scope of the Contract in the services to be provided by the Contractor, the method or place of delivery, or the place of performance. Changes may also be made by mutual agreement between the parties in writing. The Contractor shall promptly comply with the notice and shall perform all services in conformity to the notice.
- B. If any such changes cause an increase or decrease in the Contractor's cost of performance or the time required for performance, an equitable adjustment in the Contract price and/or the time allowed for performance of the Contract shall be negotiated and the Contract modified accordingly. Any claim by the Contractor for adjustment under this clause must be asserted by written notice to VRE within



thirty (30) days from the date of receipt by the Contractor of the change notice. If the parties fail to agree to an adjustment, the question of an increase or decrease in the Contract price or time allowed for performance shall be resolved in accordance with the procedures for resolving disputes provided by the disputes clause of the Contract. Neither the existence of a claim, a dispute, submission of the dispute or the dispute resolution process, litigation or any portion of this provision or changes shall excuse the Contractor from promptly proceeding with performance of the Contract as changed by the notice.

**17. DELAYS**

- A. Upon written receipt of a request and justification for an extension from the Contractor, the VRE Contracting Officer may extend the time for performance of the Contract or delivery of work specified herein at the VRE Contracting Officer's sole discretion for good cause shown. Under no circumstances will VRE be responsible for consequential costs associated with delays.
- B. The Contractor shall use reasonable diligence to remove or overcome any such causes as expeditiously as possible.

**18. SUBCONTRACTING**

- A. No portion of the work shall be subcontracted without the prior written consent of VRE. In the event the Contractor desires to subcontract part of the work specified herein, the Contractor shall submit with its Proposal, a list of the Subcontractor(s) and their names, required certifications, qualifications, experience, project assignment and contact information.
- B. The Contractor shall be responsible for completely supervising and directing the work under this Contract and all Subcontractors that it may utilize, using its best skill and attention. Subcontractors who perform work under this Contract shall be responsible to the Prime Contractor. The Contractor agrees that it is as fully responsible for the acts and omissions of its Subcontractors and of persons employed by each Subcontractor as it is for the acts and omissions of its own employees.
- C. Any Subcontractor and outside associates or consultants required by the Contractor in connection with the services covered by the Contract will be limited to individuals or firms that were specifically identified and agreed to during negotiations. The Contractor shall obtain the Contracting Officer's written consent before making any substitution or addition to these Subcontractors, associates, or consultants.
- D. During the period of performance, the Contractor shall not substitute Subcontractor(s) and/or the Subcontractors' key personnel without the prior written approval of VRE. Any new Subcontractor(s) must be identified as per the above paragraph. The Contractor shall provide VRE with information as to the circumstances necessitating the proposed change and other information as requested.



- E. The Contractor shall notify VRE within five (5) calendar days after the occurrence of any of these events and provide information as to the circumstances necessitating the proposed change, the new Subcontractor information and other information as requested. Proposed substitutions must have comparable qualifications and experience to those being replaced. VRE will notify the Contractor within ten (10) calendar days after the receipt of all required information if this change is approved. VRE and the Contractor shall subsequently amend the required Contract documents.
- F. VRE reserves the right to request from the Contractor during the solicitation process and any time during Contract performance, additional information about a Subcontractor proposed by the Contractor, that VRE deems necessary to evaluate the qualifications of the Subcontractor.
- G. The Contractor shall, however, remain fully liable and responsible for the work to be done by its Subcontractor(s) and their subcontractor(s) and shall assure compliance with all requirements of the Contract.
- H. The Contractor agrees to require its Subcontractors and sub-subcontractors to include adequate provisions to ensure compliance with applicable Federal requirements in each subcontract and sub-subcontract. Furthermore, the Contractor agrees to include appropriate clauses in each subcontract stating the Subcontractor's responsibilities under Federal law, regulation, and directive, including any necessary provisions requiring the Subcontractor to extend applicable requirements to its subcontractors to the lowest tier necessary.

**19. KEY PERSONNEL**

- A. Certain skilled, experienced and/or technical personnel are essential for successful accomplishment of the work to be performed under the Contract. These are defined as “Key Personnel” and are those persons whose resumes were submitted for approval as part of the Proposal for evaluation. No substitutions may be made except in accordance with this clause.
  - 1. Key personnel are defined as follows:
    - a. Personnel identified in the Bid/Proposal as key individuals to be assigned for participation of the Contract;
    - b. Personnel whose resumes were submitted and approved by VRE; or
    - c. Individuals who are designated as key personnel by VRE.
- B. The Contractor understands that no Key Personnel substitutions will be permitted unless these substitutions are unavoidable because of sudden illness, death or termination of employment. In any of these events, the Contractor shall promptly notify the VRE Purchasing Manager and provide the information described in Paragraph D. below
- C. The Contractor must submit to the VRE Purchasing Manager all proposed substitutions, in writing, at least fifteen (15) calendar days in advance and provide the information required by Paragraph D. below.



- D. Any request for substitution must include a detailed explanation of the circumstances necessitating the proposed substitution, a resume for the proposed substitute, and any other information requested by the VRE Purchasing Manager. Any proposed substitute must have qualifications equal to or superior to the qualifications of the incumbent. VRE will evaluate such requests and promptly notify the Contractor in writing of its approval or disapproval. If disapproved, VRE may, in its sole discretion, permit the Contractor to promptly submit an alternate substitution.
- E. The provisions of this Section shall be applicable to any subcontract which may be entered into.
- F. In the event that any of the identified Key Personnel cease to perform under the Contract and the substitute is disapproved, the Contract may be immediately terminated in accordance with the Termination for Default provision of the Contract.

**20. INDEPENDENT CONTRACTOR**

The Contractor is and shall be in all events, an independent contractor. Nothing herein shall be construed as constituting the Contractor as an agent, partner, employee, or legal representative of VRE for any purpose. Neither the Contractor nor its employees shall be entitled to or be eligible to participate in any benefits, privileges or plans given by or established for the benefit of VRE or its employees.

**21. NOTIFICATION OF OWNERSHIP CHANGES**

The Contractor shall notify VRE in writing when the Contractor becomes aware that a change in its ownership is certain to occur. The Contractor shall also include this provision in all subcontracts under this Contract, requiring each Subcontractor to notify VRE in writing when the Subcontractor becomes aware that a change in its ownership is certain to occur.

**22. AVAILABILITY OF FUNDS**

It is understood and agreed that VRE shall be bound to the Contract only to the extent of the funds appropriated for the purpose of the Contract. If funds are reduced or eliminated by the Commonwealth of Virginia or any Federal, State or Local funding partners, the Contract can be terminated under the provisions of the Contract.

**23. AUTHORIZED FUNDING**

- A. If at any time the Contractor has reason to believe that the costs to VRE which will accrue in the performance of the Contract in the next succeeding thirty (30) days, when added to all other payments previously accrued, will exceed seventy-five percent (75%) of the then current total authorized funding, the Contractor shall notify VRE to that effect, advising the estimate of additional funds required for completion of the Contract. The Contractor shall be under no obligation to perform any work hereunder, and VRE shall not be obligated to reimburse the



Contractor for any work performed, if in the performance thereof the total funding then allotted to the Contract will be exceeded.

- B. VRE shall not be obligated to pay the Contractor any amount in excess of the ceiling price reflected in the Contract, and the Contractor shall not be obligated to continue performance if to do so would exceed the price set forth in the Contract, unless and until the VRE Contracting Officer shall have notified the Contractor in writing that the price(s) have been increased and shall have specified in the notice a revised price that shall constitute the price for performance under this Contract, and the Contract has been duly modified. When and to the extent that the price set forth in the Task Order or Contract has been increased, any hours expended and material costs incurred by the Contractor in excess of the price before the increase shall be allowable to the same extent as if the hours expended and material costs had been incurred after the increase in the price.

**24. ASSIGNMENT OF CONTRACT**

The Contract shall not be assignable, sublet or transferable by the Contractor, in whole or part, without the prior written consent of the VRE.

**25. LEGAL SERVICES**

VRE legal services are provided by VRE's general counsel and counsel retained directly by VRE. Absent written direction from VRE, Contractors are not permitted to include on their team, or among their key personnel, as Subcontractor(s) or employees of the Contractor, law firms or attorneys primarily engaged in the practice of law in any state regardless of the qualifications of the firm or the attorneys. This policy does not apply to individuals employed or subcontracted by the Contractor who possess a juris doctorate but are not licensed to practice law in any state or who are no longer engaged in the practice of law.

**26. DISALLOWED COSTS INCLUDING INTEREST**

- A. The Contractor agrees to remit to VRE, which in turn will remit to its funding partners, any excess payments made to the Contractor disallowed by Federal, State and Local funding partners.
- B. VRE will exclude any project costs incurred by the Contractor before the date of the Notice-To-Proceed unless otherwise authorized by VRE in writing. VRE will also exclude any project cost not included in the approved project budget, any ordinary governmental or non-project operating cost deemed ineligible by a funding partner. VRE shall make the final determination as to what costs are eligible.
- C. Payment does not constitute a final decision about whether a cost is eligible for reimbursement and does not constitute a waiver of any violation by the Contractor of the terms and conditions of the Contract.
- D. The Contractor agrees to incur costs in accordance with all provisions of this Contract and any other requirements referenced herein. Payment shall be made for eligible project costs as listed in the Contract and for no other purpose.



- E. The Contractor shall remit to VRE any excess payments made to the Contractor disallowed by VRE, or any of VRE's funding agencies, as well as any interest required.

**27. APPLICABLE LAW AND COURTS**

Any Contract resulting from this solicitation shall be governed in all respects by the laws of the Commonwealth of Virginia and any litigation with respect thereto shall be brought in the federal and state courts of the Commonwealth. The successful Contractor shall comply with applicable Federal, State, and Local laws and regulations.

**28. LITIGATION AND NOTIFICATION**

The Contractor shall notify the VRE Purchasing Manager if any of the following occur:

1. The Contractor or any of the Subcontractors are served with a notice of violation of any law, regulation, permit or license which relates to this Contract.
2. Proceedings are commenced which could lead to revocation of related permits or licenses.
3. Permits, licenses or other Government authorizations relating to this Contract are revoked.
4. Litigation is commenced in which the Contractor is a named party, and which also involves as a named party, any Subcontractor of the Contractor who is otherwise a provider of indirect services or products under this Contract.
5. The Contractor or any of the Subcontractors become aware their equipment or facilities or actions are not in compliance or may fail to comply in the future with applicable laws or regulations.

**29. CONTRACTUAL DISPUTES**

Disputes by the Contractor with respect to the Contract shall be decided in the first instance by the Contract Administrator or designee who shall reduce his/her decision to writing, and mail or otherwise furnish a copy thereof to the Contractor. This decision shall be final and binding unless within thirty (30) days from the date of such decision the Contractor institutes legal action in accordance with the Code of Virginia. Pending a final determination of a properly appealed decision of the Contract Administrator, the Contractor shall proceed diligently with the performance of the Contract, including the disputed portions, in accordance with that decision.

**30. TERMINATION FOR THE CONVENIENCE OF VRE**

- A. The parties agree that VRE may terminate the Contract or any work or delivery required thereunder, from time-to-time either in whole or in part, without cause



whenever the VRE Contracting Officer shall determine that such termination is in the best interest of VRE.

- B. Termination, in whole or in part, shall be affected by delivery of a Notice of Termination signed by the VRE Contracting Officer, mailed or delivered to the Contractor, and specifying the extent of termination and the effective date of termination. Upon receipt of such notice, the Contractor shall:
1. Cease any further deliveries or work due under the Contract on the date and to the extent which may be specified in the notice;
  2. Place no further orders with any Subcontractor except as may be necessary to perform that portion of the Contract not subject to the notice;
  3. Terminate all Subcontractors except those made with respect to Contract performance not subject to the notice;
  4. Settle all outstanding liabilities and claims which may arise out of such termination, with the ratification of VRE;
  5. Use its best effort to mitigate any damages which may be sustained by the Contractor as a consequence of termination under this Section;
  6. As directed by the VRE Contracting Officer, transfer title and deliver to VRE:
    - a. The fabricated or un-fabricated parts, work in process, completed work, supplies, and other material produced or acquired for the work terminated; and
    - b. The completed or partially completed plans, drawings, information, and other property that, if the Contract had been completed, would be required to be furnished to VRE.
  7. Complete performance of the work not terminated; and
  8. Take any action that may be necessary, or that the VRE Contracting Officer may direct, for the protection and preservation of the property related to the Contract that is in the possession of the Contractor and in which VRE or the Government has or may acquire an interest.
- C. After complying with the foregoing provisions, the Contractor shall submit a termination claim, no later than sixty (60) days after the effective date of its termination, unless an extension is granted by the VRE Contract Administrator. If the Contractor fails to submit the claim within the time allowed, the VRE Contracting Officer may determine, on the basis of information available, the





amount, if any, due to the Contractor because of the termination and shall pay the amount determined.

- D. If the termination is partial, the Contractor may file a claim with the VRE Contracting Officer or his/her designee for an equitable adjustment of the price(s) of the continued portion of the Contract. The VRE Contracting Officer shall make any equitable adjustment agreed upon. Any claim by the Contractor for an equitable adjustment under this Section shall be requested within thirty (30) days from the effective date of termination unless extended in writing by the VRE Contracting Officer.
- E. The VRE Contract Administrator, with the approval of the VRE Contracting Officer, shall pay reasonable costs of termination, including a reasonable amount for profit on services delivered or completed. In no event shall this amount be greater than the original Contract price, reduced by any payments made prior to the Notice of Termination, and further reduced by the price of the serviced not delivered, or those services not provided. The Contract shall be amended accordingly, and the Contractor shall be paid the agreed upon amount.
- F. In the event that the parties cannot agree on the whole amount to be paid to the Contractor by reason of termination under this Section, the VRE Contract Administrator shall pay to the Contractor the amounts determined as follows, without duplicating any amount which may have already been paid under Paragraph E. of this Section.
- G. With respect to all Contract performance prior to the effective date of Notice of Termination, the total of:
  - 1. Cost of the work performed;
  - 2. The cost of settling and paying any reasonable claims as provided in Paragraph B. above; and
  - 3. A sum as profit on Paragraph G. above determined by VRE to be fair and reasonable.
- H. The total sum to be paid shall not exceed the Contract price, as reduced by the amount of payments otherwise made, and as further reduced by the Contract price of services not terminated.
- I. In the event that the Contractor is not satisfied with any payments which the Contract Administrator shall determine to be due under this Section, the Contractor may appeal any claim to VRE in accordance with the Contractual Disputes provision of the Contract.
- J. Unless otherwise provided in the Contract or by statute, the Contractor shall maintain all records and documents relating to the terminated portion of the Contract for three (3) years after final settlement. This includes all books and other evidence bearing on the Contractor's costs and expenses under the Contract.



The Contractor shall make these records and documents available to the Government, at the Contractor's office, at all reasonable times, without any direct charge. If approved by the VRE Contracting Officer, photographs, microphotographs, or other authentic reproductions may be maintained instead of original records and documents.

- K. When termination for the convenience of VRE is a provision of the Contract, the Contractor shall include similar provisions in any subcontract, and shall specifically include requirements that Subcontractors make all reasonable efforts to mitigate damages which may be suffered. Failure to include such provisions shall bar the Contractor from any recovery from VRE whatsoever of loss or damage sustained by a Subcontractor as a result of termination for convenience.

**31. TERMINATION FOR DEFAULT**

- A. Either party may terminate the Contract, without further obligation, for the default of the other party or its agents or employees with respect to any agreement or provision contained herein.
- B. If through any cause, the Contractor shall fail to fulfill in a timely and proper manner its obligations under the Contract, or if the Contractor shall violate any of the covenants, agreements or stipulations of the Contract, VRE shall thereupon have the right to terminate the Contract by giving written notice to the Contractor of such termination. The written notice shall specify the effective date of termination and shall be delivered to the Contractor prior to the effective date of termination.
- C. The Contractor shall have the right to cure its default, and thereby avoid termination, during the aforesaid notice period by remedying the circumstances which constitute the default or, where completion of such a remedy is not reasonably possible, then by taking all reasonable steps possible designed to remedy the default promptly.
- D. Successive defaults of the same nature, regardless of the Contractor's effort to cure, shall not prevent VRE from terminating the Contract.

**32. INDEMNIFICATION**

The Contractor shall not seek to hold liable VRE, or any of its officers, agents and employees for any claims, judgments, losses, and expenses of any nature whatsoever arising out of the Contract or arising out of the activities funded in whole or in part by the Contract. The Contractor shall defend, indemnify, save, and hold harmless VRE, and its officers, agents and employees against all claims and liability, including cost and expenses, arising out of, in whole or part, the acts or omissions of the Contractor or the acts or omissions of the Contractor's Subcontractors, agents or employees. The foregoing obligations shall survive termination of this Contract with respect to liabilities arising during its term.



33. **ANTITRUST**

By entering into a Contract, the Contractor conveys, sells, assigns, and transfers to VRE all rights, title and interest in and to all causes of the action it may now have or hereafter acquire under the antitrust laws of the United States and the Commonwealth of Virginia, relating to the particular goods or services purchased or acquired by VRE under said Contract.

34. **SEVERABILITY**

In the event that any provision shall be adjudged or decreed to be invalid, such ruling shall not invalidate the entire Contract but shall pertain only to the provision in question and the remaining provisions shall continue to be valid, binding and in full force and effect.

35. **FAIR EMPLOYMENT CONTRACTING ACT**

The Contractor, its agents, employees, assigns or successors, and any persons, firm, or agency of whatever nature with whom it may Contract or make a Contract, shall comply with the provisions of the Virginia Fair Employment Contract Act, Section 2.2-4200 et seq., VA Code Ann. the terms of which are incorporated herein by reference.

36. **EMPLOYMENT OF PERSONNEL**

The Contractor shall not employ any persons or persons in the employment of VRE for any work required by the terms of the Contract, without the prior written permission of VRE.

37. **CONVICT LABOR**

In connection with the performance of work under the Contract, the Contractor agrees not to employ any person undergoing sentence of imprisonment except as provided by Public Law 89-176, as amended.

38. **GEOGRAPHIC RESTRICTIONS**

Procurement transactions will be conducted in a manner that prohibits the use of in state or local geographical preferences in the solicitation and evaluation of Bids or Proposals, except in those cases where applicable statutes or regulations expressly mandate or permit geographic preference. This does not preempt State or local licensing laws. However, geographic location may be a selection criterion in procurements for architectural and engineering (A&E) services, provided its application leaves an appropriate number of qualified firms, given the nature and size of the project, to compete for the Contract.

39. **COVENANT AGAINST CONTINGENT FEES**

The Contractor warrants that it has not employed or retained any company or person, other than bona fide employees working solely for the Contractor, to solicit or secure the Contract, and that it has not paid or agreed to pay any company or person, other than a bona fide employee working solely for the Contractor, any fee, VRE percentage, brokerage fee, or other considerations, contingent upon or resulting from the award of making of the Contract. For breach or violation of this warranty, VRE shall have the right to annul the



Contract without liability, or, at its discretion, to deduct from the Contract price or consideration, or otherwise recover the full amount of such fee, VRE percentage, brokerage fee, gift, or contingent fee.

**40. CONFLICT OF INTEREST**

- A. The Contractor and its officers and employees shall comply with the provisions of the Virginia Conflict of Interest Act (Section 2.2-3100 et. seq., of the Code of Virginia), as amended, the State and Local Government Conflict of Interests Act, and Section 2.2-4300 et. seq. of the Code, the Virginia Public Procurement Act, the terms of which are incorporated herein by reference.
- B. VRE is intent on avoiding conflicts of interest associated with the award of the Contract. To these ends, prospective Contractors must identify existing and prospective contractual relations they have (or could have) with agencies which could present sources of conflict as part of the Bid or Proposal submission.
- C. VRE standards of conflict prohibit VRE employees, officers, board members, or agents from participating in the selection, award, or administration of a third-party contract or sub agreement supported by federal funds if a real or apparent conflict of interest would be involved. Such a conflict would arise when any of the following parties has a financial or other interest in the entity selected for award (a) an employee, officer, board member or agent (b) any member of his or her family (c) his or her partner or (d) an organization that employs or intends to employ any of the above.
- D. VRE standards of conflict also prohibit real or apparent organizational conflicts of interest. An organizational conflict of interest exists when the nature of the work to be performed under a third-party contract or sub agreement may, without some restriction on future activities, result in an unfair competitive advantage to the third-party Contractor or subrecipient or impair its objectivity in performing the Contract work.

**41. ETHICS IN PUBLIC CONTRACTING**

- A. This Contract incorporates by reference any State or Federal law related to ethics, conflicts of interest, or bribery, including, by way of illustration and not limitation, the State and Local Government Conflict of Interests Act (Code of Virginia § 2.2-3100 et seq.), the Virginia Governmental Frauds Act (Code of Virginia § 18.2-498.1 et seq.), and Articles 2 and 3 of Chapter 10 of Title 18.2 of the Code of Virginia, as amended (§ 18.2-438 et seq.).
- B. The Contractor certifies that its Bid or Proposal is made without collusion or fraud and that it has not offered or received any kickbacks or inducements from any other Contractor, supplier, manufacturer or Subcontractor in connection with their Bid or Proposal, and that they have not conferred on any public employee having official responsibility for this procurement transaction any payment, loan,



subscription, advance, deposit of money, services or anything of more than nominal value, present or promised, unless consideration of substantially equal or greater value was exchanged.

**42. OFFICIALS NOT TO BENEFIT**

No member of or delegate to the Virginia General Assembly, and no member of VRE, the Northern Virginia Transportation Commission, the Potomac and Rappahannock Transportation Commission or the Virginia Department of Rail and Public Transportation, shall be admitted to any share or part of the Contract, or to any benefit that may arise there from; but this provision shall not be construed to extend to the Contract if made with a corporation for its general benefits. No member, officer, or employee of VRE, during his/her tenure or one (1) year thereafter shall have any interest, direct or indirect, in the Contract or the proceeds thereof.

**43. ANTI-DISCRIMINATION**

A. By submitting a Bid or Proposal, the prospective Contractor certifies to VRE that it will conform to the provisions of Title VI of the Federal Civil Rights Act of 1964, as amended; DOT regulations, "Nondiscrimination in Federally-Assisted Programs of the Department of Transportation" -- Effectuation of Title VI of the Civil Rights Act; the Virginia Fair Employment Act of 1975, as amended, where applicable; all requirements of Title VII of the Civil Rights Act of 1964, as amended, 42 U.S.C. § 20003, and 49 U.S.C. §4332 and any implementing requirements FTA may issue; the provisions of 49 U.S.C, § 5332, "Nondiscrimination in Federal Transit Programs," which prohibits discrimination on the basis of race, color, creed, national origin, sex, or age, and prohibits discrimination in employment or business opportunity; and Section 2.2-4311 of the Virginia Public Procurement Act.

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

1. The Contractor will not discriminate against any employee or applicant for employment because of race, color, creed, sex, disability, age, religion, or national origin. The Contractor agrees to take affirmative action to ensure that applicants are employed and that employees are treated during employment without regard to their race, color, creed, sex, disability, age, religion, or national origin. Such action shall include, but not be limited to, the following: employment, upgrade, demotion or transfer, recruitment, or recruitment advertising, layoff or termination; rates of pay or other forms of compensation; and selection for training including apprenticeship. The Contractor agrees to post in conspicuous places, available to employees and applicants for employment, notices setting forth the provisions of this nondiscrimination clause. The Contractor also agrees to comply with any implementing requirements FTA may issue.
2. The Contractor, in all solicitations or advertisements for employees placed by or on behalf of the Contractor, shall state that such Contractor is an equal opportunity employer.



3. Notices, advertisements, and solicitations placed in accordance with Federal law, rule or regulation shall be deemed sufficient for the purpose of meeting the requirements of this Section.
4. The Contractor will comply with all applicable requirements of Title IX of Education Amendments of 1972, as amended, 20 U.S.C. §§1681-1683, 1685-1688, with U.S. DOT regulations, "Nondiscrimination on the Basis of Sex in Education Programs or Activities Receiving Federal Financial Assistance," 49 C.F.R. Part 25, and with any implementing directives that U.S. DOT or FTA may promulgate, which prohibit discrimination on the basis of sex.
5. The Contractor shall comply with applicable Federal guidance issued in compliance with Executive Order Number 13166, "Improving Access to Services for Persons with Limited English Proficiency," August 11, 2000, 42 U.S.C. §2000d-1 note, and with the requirements and provisions of U.S. DOT Notice, "DOT Guidance to Recipients on Special Language Services to Limited English Proficient (LEP) Beneficiaries," 66 Fed. Reg. 6733 et seq., January 22, 2001.
6. With respect to activities deemed by the U.S. Department of Labor (U.S. DOL) to qualify as "construction," the Contractor agrees to comply, and assures the compliance of each Subcontractor at any tier with all applicable EEO requirements of U.S. DOL regulations, "Office of Federal Contract Compliance Programs, Equal Employment Opportunity, Department of Labor," 41 C.F.R. Parts 60 et seq., (which implement Executive Order No. 11246, "Equal Employment Opportunity," as amended by Executive Order No. 11375, "Amending Executive Order 11246 Relating to Equal Employment Opportunity," 42 U.S.C. § 2000(e) note,) and any Federal statutes, executive orders, regulations, and Federal policies affecting construction undertaken as part of the Contract.
7. The Contractor agrees to comply with all applicable requirements of the Age Discrimination Act of 1975, as amended, 42 U.S.C. §§ 6101 et seq., and implementing regulations, which prohibit employment and other discrimination against individuals on the basis of age.
8. The Contractor agrees to comply with all applicable requirements of any other nondiscrimination statutes(s) that may apply.
9. The Contractor agrees to comply with the policies of Executive Order No. 12898, "Federal Actions to Address Environment Justice in Minority Populations and Low-Income Populations," 42.U.S.C. § 4321.

***The Contractor agrees to include these requirements in each subcontract financed in whole or in part with Federal assistance provided by FTA.***



**44. DRUG OR ALCOHOL ABUSE- CONFIDENTIALITY AND OTHER CIVIL RIGHTS PROTECTIONS**

The Contractor agrees to comply with confidentiality and other civil rights protections of the Drug Abuse Office and Treatment Act of 1972, as amended, 21 U.S.C. §§ 1174 et seq., with the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970, as amended, 42 U.S.C. §§ 4581 et seq., and with the Public Health Service Act of 1912, as amended, 42 U.S.C. §§ 290dd-3 and 290ee-3, and any subsequent amendments to these acts.

**45. DRUG-FREE WORKPLACE**

- A. During the performance of the Contract, the Contractor agrees to (i) provide a drug-free workplace for the Contractor’s employees; (ii) post in conspicuous places, available to employees and applicants for employment, a statement notifying employees that the unlawful manufacture, sale, distribution, dispensation, possession, or use of a controlled substance or marijuana is prohibited in the Contractor’s workplace and specifying the actions that will be taken against employees for violations of such prohibition; (iii) state in all solicitations or advertisements for employees placed by or on behalf of the Contractor that the Contractor maintains a drug-free workplace; and (iv) include the provisions of the foregoing clauses in every subcontract or purchase order over \$10,000, so that the provisions will be binding upon each Subcontractor or vendor.
- B. “Drug-free workplace” means a site for the performance of work done in connection with a specific contract awarded to a contractor in accordance with this chapter, the employees of whom are prohibited from engaging in the unlawful manufacture, sale, distribution, dispensation, possession or use of any controlled substance or marijuana during the performance of the Contract.

**46. AUDIT**

- A. The Contractor hereby agrees to maintain all books, records, accounts, and reports required under the Contract for a period of not less than five (5) years after the date of termination or expiration of the Contract, except in the event of litigation or settlement of claims arising from the performance of the Contract, in which case the Contractor agrees to maintain same until VRE, the FTA Administrator, the Comptroller General, or any their duly authorized representatives, have disposed of all such litigation, appeals, claims, or exceptions related thereto. Reference 49 CFR 18.39(i)(11). The Contractor shall provide any documentation requested by VRE within fifteen (15) calendar days of such request.
- B. VRE, its authorized agents, the Federal Government, and/or state auditors shall also have full access to and the right to examine any of said materials during said period. The Contractor shall conduct audits in accordance with U.S. General Accounting Office, Government Auditing Standards.

**47. PUBLICATIONS**

Articles, papers, bulletins, reports or other material reporting the results and findings of the work conducted under the Contract shall not be presented publicly



or published without the prior written approval of VRE, and all materials shall remain the sole property of VRE. Publications and reports officially released after the date of execution of the Contract describing the results of any investigation or study hereunder participated in by VRE shall give recognition to VRE in the text and title page to the nature of its cooperative character.

**48. COPYRIGHTS**

- A. All copyrightable works created pursuant to the Contract shall be considered work made for hire and shall belong solely and exclusively to VRE. If, despite the foregoing, VRE is not deemed the author and initial owner of any copyrightable works created pursuant to the Contract, the Contractor agrees to irrevocable assign and does hereby irrevocably assign to VRE the sole, exclusive and complete copyright interest in such works, and the Contractor shall execute and deliver such further documents as VRE may reasonably request for the purpose of acknowledging, implementing or recording this assignment.
- B. The Contractor agrees and warrants that no individual, other than regular employees of the Contractor or VRE working within the scope of their employment, shall participate in the creation of any copyrightable works to be delivered under the Contract, unless such individual and his or her employer, if any, have signed an intellectual property agreement satisfactory to VRE before commencing such participation.
- C. The Contractor hereby agrees that, notwithstanding anything else in the Contract, in the event of any breach of the Contract by VRE, the Contractor's remedy shall not include any right to rescind or otherwise revoke or invalidate the provisions of this Section. Similarly, no expiration or termination of the Contract by VRE shall have the effect of rescinding, terminating or otherwise invalidating the provisions of this Section.

**49. RIGHTS IN DATA**

- A. Data and information submitted to VRE may be required to be made available for dissemination under the Freedom of Information Act, or other Federal, State and Local statute(s) in accordance with implementation instructions contained in 49 C.F.R. §19.36, revised March 2000, to the extent applicable, and any subsequent applicable Federal, State and Local requirements that may be promulgated.





- B. All "subject data" first produced in the performance of this Contract shall be the sole property of VRE. The Contractor agrees not to assert any rights at common law or equity and not to establish any claim to statutory copyright in such data. Except for its own internal use, the Contractor shall not publish or reproduce such data, in whole or in part, or in any manner or form, nor authorize others to do so without the prior written consent of VRE, until such time as the Federal Government or VRE may have either released or approved the release of such data to the public; this restriction on publication, however, does not apply to any Contract with an academic institution.

**50. ROYALTIES**

While VRE recognizes that certain materials or component parts may be produced under the terms of licensing or cross licensing agreements, it must be understood that the use of such materials and component parts requiring the application of recurring royalty charges, costs or payments is specifically prohibited. The Contractor agrees to and does hereby grant VRE a royalty-free license to all such data which they may cover by copyright and to all designs as to which they may assert any rights or establish any claim under the design patent or copyright laws.

**51. PROTECTION OF SENSITIVE SECURITY INFORMATION**

To the extent applicable, the Contractor shall comply with 49 C.F.R. Part 1520, "Protection of Sensitive Security Information," and with any implementing regulations, requirements, or guidelines that the Federal Government may issue.

**52. EXAMINATION OF RECORDS**

A. The Contractor agrees as follows:

1. Reports. The Contractor agrees to provide to VRE those reports required by the U.S. DOT's grant management rules and any other reports the Federal Government may require.
2. Records Retention. The Contractor agrees to provide VRE, the FTA Administrator, the Comptroller General of the United States or any authorized representatives access to any books, documents, paper and records of the Contractor which are directly pertinent to the Contract for the purpose of making audits, examinations, excerpts and transcriptions even after the project has been closed-out. The Contractor also agrees, pursuant to 49 C.F.R. 633.17 to provide the FTA Administrator or his/her authorized representatives including any PMO contractor access to the Contractor's records and sites pertaining to a major capital project, defined at 49 U.S.C. 5302(a)1, which is receiving federal financial assistance through the programs described at 49 U.S.C. 5307, 5309, or 5311. The Contractor agrees that it will maintain intact and readily accessible all data, books, accounts, documents, reports, records, contracts, and supporting materials relating to the Contract as the Federal Government and Commonwealth of Virginia may require during the course of the Contract and for five (5) years thereafter, except in the event of litigation of settlement of claims arising from the performance of the Contract, in



which case the Contractor agrees to maintain the same until VRE, the FTA Administrator, the Comptroller General, or any of their duly authorized representatives have disposed of all such litigation appeals claims or exceptions related thereto.

3. Access to Records. Upon request, the Contractor shall permit VRE, its authorized agents, state auditors, the Secretary of Transportation, and the Comptroller General of the United States, or their authorized representatives, to inspect all project work, materials, payrolls, and other data, and to audit the books, records, and accounts pertaining to the project.
  - a. The Contractor further agrees to include in all of its subcontracts hereunder a provision to the effect that the Subcontractor agrees that VRE, its authorized agents, state auditors, the Secretary of Transportation, and the Comptroller of the United States, or their authorized representatives, until the expiration of five (5) years after final payment under the subcontract, be permitted to inspect and audit all data and records of the Subcontractor relating to its performance under the subcontract.
  - b. The term “subcontract” as used in this clause excludes (1) purchase orders not exceeding \$100,000 and (2) subcontracts or purchase orders for public utility services at rates established for uniform applicability to the general public.
  - c. VRE shall continue to have for a period beyond five (5) years after Final payment under the Contract, the right to inspect and audit all data and records which relate to:
    1. Appeals under the “Disputes” clause of the Contract;
    2. Litigation of claims arising out of the performance of the Contract; or
    3. Costs and expenses of the Contract as to which exception has been taken by VRE or the Commonwealth of Virginia or any of its duly authorized representatives.
  - d. The extended right of inspection shall continue for such period beyond five (5) years after final payment under the Contract until such appeals, litigations, claims or exceptions have been disposed of, and for such period thereafter as required for review by the Virginia Department of Transportation (VDOT) and VRE.



- e. Notification of Federal Participation. In the announcement of any contract award for goods or services (including construction services) having an aggregate value of \$500,000 or more, the Contractor agrees to specify the amount of Federal assistance to be used in financing that acquisition of goods and services and to express the amount of that Federal assistance as a percentage of the total cost of that third-party contract.

**53. TAXES**

Sales of items purchased directly by VRE under the Contract shall be exempt from state sales and use tax and federal excise and transportation taxes to the extent permitted by law. State sales and use tax certificates of exemption, and VRE's federal excise tax exemption registration number will be furnished upon request. The foregoing shall not be construed to imply that the Contractor is exempt from all applicable taxes.

**54. INSURANCE**

Before beginning work under the Contract or any extension, the Contractor must provide to VRE a Certificate of Insurance indicating that the Contractor has in force, at a minimum, the coverage denoted by the insurance requirements included herein this solicitation. The Contractor must maintain this coverage until the completion of the Contract or as otherwise stated in the Contract Documents. All required insurance coverage must be acquired from insurers that are authorized to do business in the Commonwealth of Virginia, with a rating of "A-" or better and a financial size of "Class VII" or better in the latest edition of the A.M. Best Co. Guides.

**55. ENVIRONMENTAL REGULATIONS**

- A. The Contractor and any Subcontractors are required to comply with all applicable Federal environmental standards, orders or requirements issued under Section 508 of the Federal Water Pollution Control Act, as amended, 33 U.S.C. §1368, and other provisions of the Federal Water Pollution Control Act, as amended, 33 U.S.C. §§1251 *et seq.*; Environmental Protection Agency regulations (40 C.F.R. Part 15); National Environmental Policy Act of 1969, as amended, 42 U.S.C. §§4321 *et seq.*; Executive Order Number 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); Council on Environmental Quality regulations pertaining to compliance with the National Environmental Quality Act of 1969, as amended, 40 C.F.R Part 1500 *et seq.*; the 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, FHWA/FTA joint 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. As stated in the aforementioned regulations, if the Contract causes or results in adverse environmental effects, all reasonable measures to minimize those adverse effects must be taken. In addition, all environmental mitigation measures identified as commitments in applicable environmental documents, such as environmental assessments and documents required by 49 U.S.C. §303, must be completed. These commitments include any conditions the Federal Government imposes on a finding of no significant impact or record of decision. These mitigation measures are incorporated by reference and made part of the Grant Agreement and may not be modified or withdrawn without written approval of the Federal Government.
- C. The Contractor agrees to include in Subcontracts exceeding \$100,000, adequate provisions to ensure that Contract participants report the use of facilities placed or likely to be placed on EPA's "List of Violating Facilities," refrain from using violating facilities, report violations to FTA and the Regional EPA Office. VRE will report and requires the Contractor and any Subcontractor to report any violation of these requirements resulting from implementation of the Contract by the Contractor, Subcontractor (at any tier), or VRE to FTA and the appropriate U.S. EPA Regional Office. All plans, drawings, and other documents produced as a result of the Contract should comply with these regulations when applicable.
- D. The Contractor also shall include these requirements in each subcontract exceeding \$100,000 financed in whole or in part with Federal assistance provided by FTA.

**56. USE OF REAL PROPERTY, EQUIPMENT AND SUPPLIES**

- A. The Contractor understands and agrees that the Federal Government retains a Federal interest in any real property, equipment, and supplies financed with Federal assistance until, and to the extent, that the Federal Government relinquishes its Federal interest that property. Unless otherwise approved by FTA, the Contractor agrees to comply with the following requirements with respect to real property, equipment, and supplies financed by the Contract:
  - 1. Use of Property. The Contractor agrees to use Contract real property, equipment, and supplies for appropriate Contract purposes (which may include joint development purposes that generate program income, both during and after the award period used to support transit activities) for the duration of the useful life of that property, as required by VRE. Should the Contractor unreasonably delay or fail to use Contract property during the useful life of that property, the Contractor agrees that it may be required to return the entire amount of the Federal assistance expended on that property. The Contractor further agrees to notify VRE immediately when any Contract property is withdrawn from Contract use or when Contract property is used in a manner substantially different from the representations the Contractor has made in its Bid/Proposal for the Contract.
  - 2. General Federal Requirements. A Contractor that is an institution of higher education, or a private nonprofit organization, agrees to comply with 49 C.F.R. §§ 19.30 through 19.37, including any amendments



thereto, and other applicable guidelines or regulations the Federal Government may issue. Any exception to the requirements of 49 C.F.R. §§ 18.31 through 18.34, and to 49 C.F.R. §§ 19.30 through 19.37, requires the express approval of VRE. A Contractor that is a for-profit organization agrees to comply with property management standards satisfactory to VRE. In addition, the Contractor consents to FTA's established reimbursement requirements for premature dispositions of certain Contract equipment (*i.e.*, when Contract equipment is withdrawn from appropriate use before the expiration of the equipment's useful life established by FTA), as explained in this Section.

3. Maintenance. The Contractor shall maintain Contract real property and equipment in good operating order, in compliance with any guidelines, directives, or regulations FTA may issue.
4. Records. The Contractor shall keep satisfactory records regarding the use of Contract real property, equipment, and supplies, and submit them to VRE upon request for such information as may be required to assure compliance with this Section of the Contract.
5. Encumbrance of Contract Property. The Contractor shall maintain satisfactory continuing control of Contract real property or equipment. Thus, absent written authorization by VRE permitting otherwise:
  - a. Written Transactions: The Contractor shall refrain from executing any transfer of title, lease, lien, pledge, mortgage, encumbrance, third party contract, grant anticipation note, alienation, or any other obligation that in any way would affect the Federal interest in any Contract real property or equipment.
  - b. Oral Transactions: The Contractor shall refrain from obligating itself in any manner to any third party with respect to Contract real property or equipment.
  - c. Other Transactions: The Contractor shall refrain from taking any action that would either adversely affect the Federal interest or impair the Contractor's continuing control of the use of Contract real property or equipment.
6. Transfer of Contract Property. The Contractor understands and agrees as follows:
  - a. Contractor Request: The Contractor may transfer assets financed with Federal assistance authorized for 49 U.S.C. Chapter 53 to a public body to be used for any public purpose with no further obligation to the Federal Government, provided the transfer is approved by VRE and the Federal Transit Administration and conforms with the requirements of 49 U.S.C. §§ 5334(g)(1) and (2).



- b. Federal Government Direction: The Contractor agrees that the Federal Government may direct the disposition of, and even require the Contractor to transfer title to, any real property, equipment, or supplies financed with Federal assistance under the Contract.
  - c. Leasing Contract Property to Another Party: If the Contractor leases any Contract asset to another party with VRE's written permission, the Contractor agrees to retain ownership of the leased asset and assure that the lessee will use the Contract asset appropriately, either through a "Lease and Supervisory Agreement" between the Contractor and lessee, or another similar document, unless VRE determines otherwise in writing. Upon request by VRE, the Contractor agrees to provide a copy of any relevant documents.
7. Disposition of Contract Property. With prior VRE approval, the Contractor may sell, transfer, or lease Contract property and use the proceeds to reduce the gross project cost of other eligible capital transit projects to the extent permitted by 49 U.S.C. § 5334(g)(4). Nevertheless, the Contractor agrees that VRE may establish the useful life of Contract property, and that the Contractor will use Contract property continuously and appropriately throughout that useful life.
- a. Contract Property Whose Useful Life Has Expired: When the useful life of Contract property has expired, the Contractor agrees to comply with VRE's disposition requirements.
  - b. Contract Property Prematurely Withdrawn from Use: For property withdrawn from appropriate use before its useful life has expired, the Contractor agrees as follows:
    - 1. Notification Requirement: The Contractor agrees to notify VRE immediately when any Contract real property, equipment, or supplies are prematurely withdrawn from appropriate use, whether by planned withdrawal, misuse, or casualty loss.
    - 2. Calculating the Fair Market Value of Prematurely Withdrawn Contract Property: The Contractor agrees that the Federal Government retains a Federal interest in the fair market value of Contract property prematurely withdrawn from mass transportation use. The amount of the Federal interest in the property shall be determined on the basis of the ratio of the Federal assistance awarded by the Federal Government for the property to the actual cost of the property. The Contractor agrees that the fair market value of property prematurely withdrawn from use will be



calculated as follows:

- a. Equipment: Unless otherwise determined in writing by VRE, the Contractor agrees that fair market value shall be calculated by straight-line depreciation of the equipment or supplies, based on the useful life of the equipment or supplies established or approved by the FTA. In addition, the fair market value of equipment and supplies shall be the value immediately before the occurrence prompting the withdrawal of that property from use. In the case of equipment or supplies lost or damaged by fire, casualty, or natural disaster, the fair market value shall be calculated on the basis of the condition of that property immediately before the fire, casualty, or natural disaster, irrespective of the extent of insurance coverage. The Contractor may use its own disposition procedures, provided that those procedures comply with State laws.
  - b. Real Property: The Contractor agrees that the fair market value of real property shall be determined either by competent appraisal based on an appropriate date approved by the Federal Government, as provided by 49 C.F.R. Part 24, or by straight line depreciation, whichever is greater.
  - c. Exceptional Circumstances: The Contractor agrees that VRE may require the use of another method of determining the fair market value of property. In unusual circumstances, the Contractor may request that another reasonable valuation method be used including, but not limited to, accelerated depreciation, comparable sales, or established market values. In determining whether to approve such a request, VRE may consider any action taken, omission made, or unfortunate occurrence suffered by the Contractor with respect to the preservation or conservation of Contract property withdrawn from appropriate use.
3. Obligations to VRE: Unless otherwise approved in writing by VRE, the Contractor shall remit to VRE the Federal interest in the fair market value of Contract real property, equipment, or supplies prematurely withdrawn from appropriate use. In the case of fire, casualty, or natural disaster, the Contractor may fulfill its responsibilities with respect to the Federal interest remaining in the damaged equipment or supplies by either:



- a. Investing an amount equal to the remaining Federal interest in like-kind equipment or supplies that are eligible for assistance within the scope of the Contract that provided financial assistance for the damaged equipment or supplies; or
  - b. Returning to VRE an amount equal to the remaining Federal interest in the damaged property.
- 8. Insurance Proceeds. If the Contract receives insurance proceeds as a result of damage or destruction to the Contract property, the Contractor shall:
  - a. Apply those insurance proceeds to the cost of replacing the damaged or destroyed Contract property taken out of service, or
  - b. Return to VRE an amount equal to the remaining Federal interest in the damaged or destroyed property.
- 9. Transportation-Hazardous Materials. The requirements of U.S. Research and Special Programs Administration regulations, "Shippers - General Requirements for Shipments and Packaging's," 49 C.F.R. Part 173, apply to the transportation of hazardous materials.
- 10. Misused or Damaged Project Property. If any damage to Contract real property, equipment, or supplies results from abuse or misuse of that property occurring with the Contractor's knowledge and consent, the Contractor shall restore that real property or equipment to its original condition or refund the value of the Federal interest in the damaged property, as the Federal Government may require.

**57. INCORPORATION OF FEDERAL TRANSIT ADMINISTRATION (FTA) TERMS**

- A. This Contract is subject to certain provisions required by the U.S. Department of Transportation, as set forth in FTA Circular 4220.1.F, which are attached herein. All FTA-mandated terms control in the event of a conflict with any other provisions of this Contract. The Contractor must not perform any act, fail to perform any act or refuse to comply with any VRE requests if doing so would cause VRE to violate the FTA terms and conditions.
- B. The Contractor must include this clause without modification in each subcontract(s) that is financed in whole or in part by the FTA. It is further agreed that the clauses shall not be modified, except to identify the Subcontractor(s) who will be subject to the provisions.





## X. INSURANCE REQUIREMENTS

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### 01. GENERAL REQUIREMENTS

- A. The Contractor shall secure, pay the premiums for and keep in force until the expiration of the Contract, and any renewal thereof, adequate insurance as identified in the “VRE Insurance Coverage Requirements” document. Items marked “X” are required to be provided. By signing and submitting a Bid or Proposal under this solicitation, the Contractor certifies if awarded the Contract, the Contractor will have the insurance coverage identified and described below in the VRE Insurance Coverage Requirements at the time of Contract award.
- B. All required insurance coverage must be acquired from insurers that are authorized to do business in the Commonwealth of Virginia, with a rating of “A-” or better and a financial size of “Class VII” or better in the latest edition of the A.M. Best Co. Guides.
- C. The Contractor agrees to include the provisions of the foregoing clause in every subcontract or purchase order so that the provisions will be binding upon each Subcontractor or vendor. All insurance provided by the Contractor and the Contractor’s Subcontractors shall be primary to any insurance coverage VRE may possess.
- D. The Contractor further certifies that it and any Subcontractors shall maintain these insurance coverages and the minimum limits of liability as stated, during the entire term of the Contract and that all insurance coverages will be provided by insurance companies authorized to sell insurance in the Commonwealth of Virginia.
- E. The Contractor shall furnish VRE proof of compliance with these insurance requirements in the form of an original Certificate of Insurance signed by an authorized representative or agent of the insurance company(ies). The Certificate of Insurance must be furnished within ten (10) calendar days of receipt of the “Notice of Intent to Award” and before any work under the resultant Contract will be allowed to commence.
- F. Failure to provide the Certificate(s) when required may be cause for VRE to award a Contract to the next responsible and responsive Bidder or Offeror. However, in no event shall work be performed until the required Certificates of Insurance have been furnished and approved by VRE.
- G. All insurance must be raised to an amount approved by VRE as modifications are made to the Contract.



- H. Renewal certificates shall be furnished to VRE not less than fourteen (14) calendar days prior to the expiration or termination date of the applicable policy(ies). Otherwise, VRE may halt all work under the Contract upon expiration or other termination of any required coverage and work will not be allowed to resume until a satisfactory renewal certificate is received.
- I. If the Contractor is furnished a written notice of cancellation from the insurance carrier, the Contractor shall provide VRE a copy of the cancellation notice within thirty (30) calendar days of receipt of the notification.
- J. In no event shall the failure by VRE to receive certificates of insurance required hereunder, or to receive them by the date(s) required hereunder, be construed as a waiver of the Contractor's obligation to obtain the required insurance coverages. Failure by VRE to demand any certificate of insurance or other evidence of full compliance with the insurance requirements set forth herein, or failure by VRE to identify a deficiency in the evidence provided, shall not be construed as a waiver of the obligation to procure or maintain the insurance required hereunder. The acceptance of delivery by VRE of any certificate of insurance does not constitute approval or agreement that the insurance requirements have been met or that the insurance policies identified in the certificates of insurance are in compliance with such requirements.



## 02. VRE INSURANCE COVERAGE REQUIREMENTS

“X” denotes that coverage is required. Applicability	Description	Coverage
X	1. Workers’ Compensation	Limits as required by the Workers’ Compensation Act of Virginia.
X	Admitted in Virginia	YES
X	All States Endorsement	Statutory
	USL&H Endorsement	Statutory
	Voluntary Compensation	Statutory
X	2. General Liability shall be Commercial General Liability endorsed as broad form to include the following minimum limits: <ul style="list-style-type: none"> <li>• General Aggregate \$2,000,000</li> <li>• Products &amp; Completed Operations Aggregate \$2,000,000</li> <li>• Personal &amp; Advertising Injury \$1,000,000</li> <li>• Each Occurrence \$1,000,000</li> </ul>	
	Contractual Liability	
	Personal Injury	
	Independent Contractors	
	XCU Property Damage Exclusion Deleted	
X	3. Automobile Liability (Coverage sufficient to cover all vehicles owned, used, or hired, by the Bidder/Offeror, its agents, representatives, employees or Subcontractors.) Minimum limits: <ul style="list-style-type: none"> <li>• Combined Single Limit \$1,000,000</li> <li>• Medical Expense Limit \$ 5,000</li> </ul>	
	4. Professional Errors and Omissions (Professional Liability)	\$1,000,000
	5. Builder’s Risk	Contract Value
	6. Installation Floater	Contract Value
	7. Garage Liability	
	8. Garage Keeper’s Legal Liability	
	9. Fire Legal Liability	
	10. Railroad Protective Liability Insurance. <b>VRE and other agencies shall be named as insured. The language shall read as follows:</b> “Northern Virginia Transportation Commission and the Potomac and Rappahannock Transportation Commission, together known as Virginia Railway Express, the Commonwealth of Virginia, and the Department of Rail and Public Transportation.”	\$5,000,000 per occurrence; \$10,000,000 aggregate
	11. Railroad Protective Liability Insurance. An additional certificate shall name the Host Railroad as insured. Furnish a copy of the Certificate to VRE, prior to entry on VRE property or any other railroad property upon which VRE operates.	\$5,000,000 per occurrence; \$10,000,000 aggregate
	12. Pollution Liability.	Contract Value
	13. VRE shall be named as <b>additional</b> insured on General Liability Policy. This coverage is primary to all other coverage VRE may possess. <b>The language shall read as follows:</b> “Northern Virginia Transportation Commission and the Potomac and Rappahannock Transportation Commission, together known as Virginia Railway Express.”	
X	14. Best’s Guide Rating – A:-VII or better or Equivalent	
X	15. The Certification must state: <b>RFP No. 020-018 – Safety and Security Consulting Services</b>	
X	16. Umbrella Liability	\$5,000,000



## XI. SMALL BUSINESS AND VETERAN BUSINESS CONCERNS

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### 01. SMALL BUSINESS CONCERN POLICY

- A. It is the policy of VRE that small business concerns, veteran-owned small business concerns, service-disabled veteran-owned small business concerns, HUBZone small business concerns, small disadvantaged business concerns, and women-owned small business concerns shall have the maximum practicable opportunity to participate in performing contracts let by VRE, including contracts and subcontracts for subsystems, assemblies, components, and related services for major systems.
- B. It is further the policy of VRE that its prime contractors establish procedures to ensure the timely payment of amounts due pursuant to the terms of their subcontracts with small business concerns, veteran-owned small business concerns, service disabled veteran-owned small business concerns, HUBZone small business concerns, small disadvantaged business concerns, and women-owned small business concerns.
- C. The Contractor hereby agrees to carry out this policy in the awarding of subcontracts to the fullest extent consistent with efficient contract performance. The Contractor further agrees to cooperate in any studies or surveys as may be conducted by the Federal Transit Administration or VRE as may be necessary to determine the extent of the Contractor's compliance with this clause.
- D. Definitions as used in this Contract:
1. "HUBZone small business concern" means a small business concern:  
  
That appears on the List of Qualified HUBZone Small Business Concerns maintained by the Small Business Administration.
  2. "Service-disabled veteran-owned business concern" means a small business concern:
    - a. Not less than 51 percent of which is owned by one or more service-disabled veterans or, in the case of any publicly owned business, not less than 51 percent of the stock of which is owned by one or more service-disabled veterans.
    - b. The management and daily business operations of which are controlled by one or more service-disabled veterans or, in the case of a service-disabled veteran with permanent and severe disability, the spouse or permanent caregiver of such veteran.



- c. “Service-disabled veteran” means:
- A veteran, as defined in 38 U.S.C. 101(2), with a disability that is service-connected, as defined in 38 U.S.C. 101(16).
- d. “Small business concern” means:
- A small business as defined pursuant to Section 3 of the Small Business Act and relevant regulations promulgated pursuant thereto.
3. “Small disadvantaged business concern” means a small business concern that represents, as part of its offer that:
- a. It has received certification as a small disadvantaged business concern consistent with 13 CFR part 124, Subpart B;
  - b. No material change in disadvantaged ownership and control has occurred since its certification;
  - c. Where the concern is owned by one or more individuals, the net worth of each individual upon whom the certification is based does not exceed \$750,000 after taking into account the applicable exclusions set forth at 13 CFR 124.104(c)(2); and
  - d. It is identified, on the date of its representation, as a certified small disadvantaged business in the database maintained by the Small Business Administration (PRO-Net).
4. “Veteran-owned small business concern” means a small business concern:
- a. Not less than 51 percent of which is owned by one or more veterans (as defined at 38 U.S.C. 101(2)) or, in the case of any publicly owned business, not less than 51 percent of the stock of which is owned by one or more veterans; and
  - b. The management and daily business operations of which are controlled by one or more veterans.
5. “Women-owned small business concern” means a small business concern:
- a. That is at least 51 percent owned by one or more women, or, in the case of any publicly owned business, at least 51 percent of the stock of which is owned by one or more women; and
  - b. Whose management and daily business operations are controlled by one or more women.



- E. The Contractor acting in good faith may rely on written representations by its Subcontractors regarding their status as a small business concern, a veteran-owned small business concern, a service-disabled veteran-owned small business concern, a HUBZone small business concern, a small disadvantaged business concern, or a women-owned small business concern.



## XII. ATTACHMENTS

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**Attachment A-** Scope of Work

**Attachment B-** Representations, Certifications and Other Statements of Bidders/Offerors

**Attachment C-** Federal Transit Administration (FTA) Third Party Contract Provisions

**Attachment D-** Disadvantaged Business Enterprise (DBE) Provisions and Forms

**Attachment E-** Cost Proposal

