

**metro**<sup>®</sup>  
Washington  
Metropolitan  
Area  
Transit  
Authority

# Request For Proposal

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## **REPAIR OF RAILCARS 5056, 5057 & 6050**

**RFP NO. CQ13055/RAM**

**March 7, 2013**

Inside Cover Not Used

WASHINGTON METROPOLITAN AREA TRANSIT AUTHORITY

Date: March 7, 2013

SUBJECT: Repair of Railcars 5056, 5057 & 6050

RFP No. CQ13055/RAM

Dear Sir/Madam:

The Washington Metropolitan Area Transit Authority (WMATA) requires the services of a qualified contractor or contractors to provide all necessary supplies and services to repair damaged transit railcars 5056/5057 and 6050, and re-commission them ready for revenue service. The Authority reserves the right to make multiple awards if it is in the Authority's best interest to do so.

If you have any questions, Technical, Contractual, or Administrative, please e-mail them to the Contract Administrator, Mr. Ronald Michaelis [rmichaelis@wmata.com](mailto:rmichaelis@wmata.com) as stated in the Solicitation Instructions. WMATA will provide written answers to all written questions received on the Solicitation Internet site.

Your proposal must be received with all required submittals as stated in the RFP at WMATA, Office of Procurement and Materials, 600 Fifth Street, NW, Room 3C-02, Washington, DC 20001-2651.

Sincerely,



Kunj Behari  
Contracting Officer  
Office of Procurement and Materials

Enclosure:

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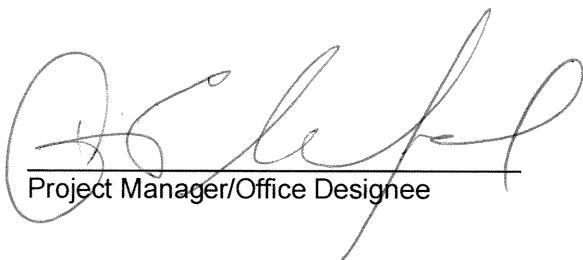
WASHINGTON METROPOLITAN AREA TRANSIT AUTHORITY

INTRODUCTORY INFORMATION  
SOLICITATION CERTIFICATIONS PAGE

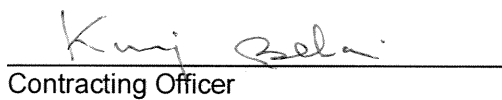
CQ13055/RAM

Repair of Railcars 5056, 5057 & 6050

APPROVED FOR RELEASE

  
Project Manager/Office Designee

3/7/2013  
Date

  
Contracting Officer

3/7/2013  
Date

END OF SECTION

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**TABLE OF CONTENTS**

<b>DIRECTIONS FOR SUBMITTING OFFER</b> .....	1
<b>NOTICE TO OFFERORS</b> .....	2
<b>NOTICE TO ALL VENDORS</b> .....	3
<b>SOLICITATION, OFFER AND AWARD</b> .....	5
<b>PRICE SCHEDULE SHEET</b> .....	9
<b>SOLICITATION INSTRUCTIONS</b> .....	13
1. <b>DEFINITIONS</b> .....	13
2. <b>PREPARATION OF OFFERS</b> .....	13
3. <b>EXPLANATION TO OFFERORS</b> .....	13
4. <b>PRIOR REPRESENTATIONS</b> .....	13
5. <b>PRE-PROPOSAL CONFERENCE</b> .....	14
6. <b>ACKNOWLEDGMENT OF AMENDMENTS</b> .....	14
7. <b>REVISIONS PRIOR TO DATE SET FOR RECEIPT OF PROPOSALS</b> .....	14
8. <b>SUBMISSION OF OFFERS</b> .....	15
9. <b>LATE SUBMISSIONS, MODIFICATIONS, AND WITHDRAWALS OF OFFERS</b> .....	15
10. <b>PROPOSAL GUARANTEE – NOT USED</b> .....	16
11. <b>CONTRACT AND BONDS</b> .....	16
12. <b>MINIMUM PROPOSAL ACCEPTANCE PERIOD</b> .....	17
13. <b>CONTRACT AWARD</b> .....	17
14. <b>NOTICE OF PROTEST POLICY</b> .....	18
15. <b>PRE AWARD INFORMATION</b> .....	18
16. <b>PROPOSAL FORMAT INSTRUCTIONS/REQUIREMENTS</b> .....	19
17. <b>RESTRICTION ON DISCLOSURE AND USE OF DATA</b> .....	21
18. <b>AWARD</b> .....	22
19. <b>BASIS FOR AWARD</b> .....	22
20. <b>PROPOSAL EVALUATION CRITERIA</b> .....	23
21. <b>RATINGS FOR PROPOSAL EVALUATION CRITERIA</b> .....	24
22. <b>PRICE PROPOSAL EVALUATION</b> .....	25
23. <b>DEFINITIONS FOR TECHNICAL EVALUATION</b> .....	25
24. <b>TYPE OF CONTRACT</b> .....	26
25. <b>ENGLISH LANGUAGE AND UNITED STATES CURRENCY</b> .....	26
26. <b>BRAND NAME OR EQUAL</b> .....	26
27. <b>FEDERAL/LOCAL/STATE SALES TAX</b> .....	27
<b>REPRESENTATIONS AND CERTIFICATIONS</b> .....	29
<b>REPRESENTATIONS</b> .....	29
1. <b>TYPE OF BUSINESS ORGANIZATION</b> .....	29
2. <b>AFFILIATION AND IDENTIFYING DATA</b> .....	29
<b>CERTIFICATIONS</b> .....	29
3. <b>COVENANT AGAINST GRATUITIES</b> .....	29

4. CONTINGENT FEE.....	30
5. CERTIFICATION OF INDEPENDENT PRICE DETERMINATION .....	30
6. NONDISCRIMINATION ASSURANCE.....	30
<b>PRE-AWARD EVALUATION DATA.....</b>	<b>32</b>
<b>PART II, SECTION 1 - GENERAL PROVISIONS .....</b>	<b>36</b>
1. DEFINITIONS.....	36
2. ACCOUNTING AND RECORD KEEPING .....	37
3. ASSIGNMENT .....	38
4. AUDIT AND RETENTION OF RECORDS .....	39
5. AUTHORITY DELAY OF WORK.....	40
6. CERTIFICATE OF CURRENT COST OR PRICING DATA .....	41
7. CHANGES .....	41
8. NONDISCRIMINATION ASSURANCE.....	42
9. CONTRACT WORK HOURS AND SAFETY STANDARDS ACT-OVERTIME COMPENSATION .....	43
10. CONVICT LABOR.....	44
11. CORRECTION OF DEFICIENCIES.....	45
12. COST OR PRICING DATA .....	47
13. COVENANT AGAINST CONTINGENT FEES.....	48
14. DEFAULT .....	48
15. DISPUTES .....	49
16. EMPLOYMENT RESTRICTION WARRANTY .....	50
17. EXTRAS (SUPPLIES) .....	51
18. FEDERAL, STATE, AND LOCAL TAXES.....	51
19. GRATUITIES .....	52
20. INSPECTION OF SERVICES.....	53
21. INSPECTION OF SUPPLIES .....	54
22. LIMITATION ON WITHHOLDING PAYMENTS .....	57
23. NEW MATERIAL (SUPPLY) .....	57
24. NOTICE AND ASSISTANCE REGARDING PATENT AND COPYRIGHT INFRINGEMENT (SUPPLY) .....	57
25. NOTICE TO THE AUTHORITY OF LABOR DISPUTES.....	58
26. OFFICIALS NOT TO BENEFIT.....	58
27. ORDER OF PRECEDENCE .....	58
28. ORGANIZATIONAL CONFLICT OF INTEREST .....	58
29. PATENT INDEMNITY .....	60
30. PAYMENTS.....	60
31. PRICE REDUCTION FOR DEFECTIVE COST OR PRICING DATA - MODIFICATIONS .....	60
32. PRICING OF ADJUSTMENTS.....	61
33. RESPONSIBILITY FOR INSPECTION.....	62
34. RETENTION OF DOCUMENTS.....	62
35. RIGHTS IN TECHNICAL DATA.....	62
36. ROYALTY INFORMATION.....	64
37. SEAT BELT USE POLICY.....	64



38. SENSITIVE SECURITY INFORMATION .....	64
39. STOP WORK ORDER .....	65
40. SUBCONTRACTOR COST AND PRICING DATA-PRICE ADJUSTMENTS .....	65
41. SUBCONTRACTOR PAYMENTS .....	66
42. TERMINATION FOR CONVENIENCE OF THE AUTHORITY .....	67
43. TITLE .....	71
44. VARIATION IN QUANTITY (SUPPLIES) .....	71
45. WALSH-HEALEY PUBLIC CONTRACTS ACT .....	71
<b>PART II, SECTION 2 - SPECIAL PROVISIONS .....</b>	<b>73</b>
1. PERIOD OF PERFORMANCE .....	74
2. DELIVERY SCHEDULE .....	74
3. OPTION QUANTITIES .....	74
4. AVAILABILITY OF FUNDS FOR THE NEXT FISCAL YEAR - NOT USED .....	74
5. PRICING .....	74
6. PAYMENT TERMS .....	74
7. BILLING AND PAYMENT .....	75
8. POINT OF CONTACT .....	75
9. F.O.B. DESTINATION .....	75
10. CONTRACTOR PERSONNEL .....	76
11. PRE-EMPLOYMENT CRIMINAL BACKGROUND CHECK REQUIREMENT .....	76
12. MOST FAVORED CUSTOMER .....	77
13. CONDITIONS AFFECTING THE WORK .....	77
14. WARRANTY .....	78
15. INDEMNITY .....	79
16. GENERAL INSURANCE REQUIREMENTS .....	79
17. BOND REQUIREMENTS .....	83
18. PROPOSAL SECURITY – NOT USED .....	83
19. LAWS AND REGULATIONS .....	83
20. FEDERAL/LOCAL/STATE SALES TAX .....	83
21. CONTRACTING OFFICER’S TECHNICAL REPRESENTATIVE (COTR) .....	84
22. HAZARDOUS MATERIAL IDENTIFICATION AND MATERIAL SAFETY DATA .....	86
23. SPECIAL DELIVERY INSTRUCTIONS .....	87
24. INSPECTION, TESTING AND ACCEPTANCE .....	87
25. FIRST ARTICLE – NOT USED .....	88
26. ORGANIZATIONAL CONFLICT OF INTEREST .....	88
27. RIGHTS IN TECHNICAL DATA - UNLIMITED .....	88
28. LIQUIDATED DAMAGES .....	91
29. FORCE MAJEURE CLAUSE .....	91
30. SITE VISIT/INSPECTION .....	92
31. GARNISHMENT OF PAYMENTS .....	92
32. GOVERNING LAW .....	92
33. SAFETY REQUIREMENTS .....	92
34. LIVING WAGE .....	93
35. METRIC SYSTEM .....	94
36. WHISTLEBLOWER PROTECTION .....	95

WASHINGTON METROPOLITAN AREA TRANSIT AUTHORITY  
SUPPLY AND SERVICE CONTRACT RFP-CQ13055/RAM

37. DRUG AND ALCOHOL TESTING .....	96
38. AUTHORITY FACILITIES.....	96
39. PROGRESS SCHEDULES .....	96
40. APPROVAL OF CONTRACTOR'S DRAWINGS AND OTHER TECHNICAL DATA .....	97
41. CONTRACT MODIFICATIONS, REQUIREMENTS FOR PROPOSALS, PRICE BREAKDOWN AND NEGOTIATION OF PROFIT .....	97
42. SUBCONTRACTS .....	100
<b>METROPOLITAN WASHINGTON COUNCIL OF GOVERNMENTS RIDER CLAUSE.....</b>	<b>101</b>
<b>PERFORMANCE BOND.....</b>	<b>103</b>
<b>PAYMENT BOND .....</b>	<b>105</b>
<b>PART III - TECHNICAL SPECIFICATIONS .....</b>	<b>109</b>

End Table of Contents

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**DIRECTIONS FOR SUBMITTING OFFER**

1. Read and comply with the Solicitation Instructions.
2. Envelopes containing Technical and Price proposals must be sealed and separately marked and addressed to:

WASHINGTON METROPOLITAN AREA TRANSIT AUTHORITY  
600 5<sup>th</sup> Street, NW  
Washington, DC 20001  
Room 3C-02  
Attn: Ronald Michaelis/CA

**ALL ENVELOPES OR PACKAGES MUST BE SEPARATELY MARKED WITH SOLICITATION NUMBER AS SPECIFIED HEREWITH.**

**PROPOSAL SHALL BE TIMELY MAILED OR HAND DELIVERED TO REACH WMATA BEFORE 2:00 P.M. (LOCAL TIME) ON DAY OF PROPOSAL CLOSING.**

**NOTICE TO OFFERORS**

IN ORDER TO ENSURE THAT YOUR PROPOSAL COMPLIES WITH THE AUTHORITY'S PROCUREMENT REGULATIONS AND THAT IT WILL BE ACCEPTABLE TO THE AUTHORITY, THE FOLLOWING FORMS MUST BE COMPLETED & SUBMITTED AS SPECIFIED BELOW WITH YOUR OFFER:

- PRICE SCHEDULE- VOLUME I
- TECHICAL PROPOSAL VOLUME II
- SOLICITATION, OFFER & AWARD FORM (Must be signed.) - VOLUME III
- ACKNOWLEDGMENT OF AMENDMENTS (IF ANY)- VOLUME III
- REPRESENTATIONS AND CERTIFICATIONS- VOLUME III
- PRE-AWARD DATA- VOLUME III
- CERTIFICATE OF INSURANCE - VOLUME III

**FAILURE TO SUBMIT ANY PORTION OF THESE REQUIREMENTS AS SPECIFIED MAY CAUSE YOUR PROPOSAL TO BE CONSIDERED NON-RESPONSIVE AND SUBSEQUENTLY REJECTED.**

Questions concerning this Request for Proposal may be directed to the Contract Administrator, Mr. Ronald Michaelis [rmichaelis@wmata.com](mailto:rmichaelis@wmata.com).

**NOTICE TO ALL VENDORS**

Please be advised that all vendors and contractors who have *NOT* done business with the Washington Metropolitan Area Transit Authority (WMATA) must register in the WMATA Vendor Registration System. Registration is located at <http://www.wmata.com>  
*New Vendor Registration.*

If you are a vendor or contractor and *HAVE* done business with WMATA in the past, please electronically request your company's User ID and Password at <http://www.wmata.com>  
*Forgot User Id/Password.*

**Attention to Disadvantaged Business Enterprise (DBE)/Small Business and Local Preference Program (SBLPP) companies:**

Minority and women owned businesses who are interested in becoming a WMATA DBE should complete an online DBE application. Self certification is required for Small Business and Local Preference as a part of the Vendor Registration.

Registered Vendor Benefits:

- Visibility to WMATA contract administrators and/or purchasing agents during the purchasing decision period;
- Visibility to other 17,500 registered vendors for possible business opportunities;
- Opportunity to update online, company information such as an e-mail address or contact person on-line;
- Sign up for electronic payment option; and
- Ability to electronically reset User Id and Password.

Any questions regarding registration may be addressed to Vendor Relations at (202) 962-1408 or [procurement@wmata.com](mailto:procurement@wmata.com).

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**WASHINGTON METROPOLITAN AREA TRANSIT AUTHORITY  
SOLICITATION, OFFER AND AWARD**

CONTRACT NO.  CQ13055	SOLICITATION NO. RFP CQ13055/RAM <input type="checkbox"/> ADVERTISED <input checked="" type="checkbox"/> NEGOTIATED	DATE ISSUED  03/07/2013	ADDRESS OFFER TO OFFICE OF PROCUREMENT Office of Procurement 600 Fifth Street NW Washington, DC 20001
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**SOLICITATION**

Sealed offer in original and copies as stated in the Solicitation Instructions for furnishing the supplies or services in the schedules will be received at the Authority until 2:00 P.M. local time April 11, 2013  
(Hour) (Date)

If this is an advertised solicitation, offers will be publicly opened at that time.  
**CAUTION – LATE OFFERS:** See paragraph 6 of Solicitation Instructions.

All offers are subject to the following:

1. The Solicitation Instructions which are attached.
2. The General Provisions, which are attached.
3. The Schedule included herein and/or attached hereto.
4. Such other provisions, representations, certifications, and specifications, as are attached or incorporated herein by reference.

**Bidder's Phone Number** \_\_\_\_\_

**Bidder's Fax Number** \_\_\_\_\_

**SCHEDULE**

ITEM NO.	SUPPLIES/SERVICES	QUANTITY	UNIT	UNIT PRICE	AMOUNT
	Repair of Railcars 5056 and 5057	a/s	a/s	a/s	a/s
	Repair of Railcar 6050	a/s	a/s	a/s	a/s
(See continuation of schedule on page 22)					

DUN & BRADSTREET ID NUMBER: \_\_\_\_\_

**OFFEROR**

Name and Address (Street, city, county, state, and zip code)	Name and Title of Person Authorized to Sign Offer (Print or Type)
	Signature _____ Offer Date _____
<input type="checkbox"/> Check if remittance is different from above — enter such address in Schedule	

**AWARD (To be completed by The Authority)**

ACCEPTANCE AND AWARD ARE HEREBY MADE FOR THE FOLLOWING ITEM(S):

ITEM NO.	QUANTITY	UNIT	UNIT PRICE

The total amount of this award is \$ \_\_\_\_\_

\_\_\_\_\_  
Name of Contracting Officer (Print of Type)

\_\_\_\_\_  
WASHINGTON METROPOLITAN TRANSIT AUTHORITY

\_\_\_\_\_  
AWARD DATE

WASHINGTON METROPOLITAN AREA TRANSIT AUTHORITY

**SOLICITATION, OFFER AND AWARD**

**CONTINUATION SHEET**

THE UNDERSIGNED ACKNOWLEDGES RECEIPT OF THE FOLLOWING AMENDMENTS

TO SOLICITATION     **RFP CQ13055/RAM**    

Amendment Number \_\_\_\_\_ Dated \_\_\_\_\_

Amendment Number \_\_\_\_\_ Dated \_\_\_\_\_

Amendment Number \_\_\_\_\_ Dated \_\_\_\_\_

Amendment Number \_\_\_\_\_ Dated \_\_\_\_\_

Amendment Number \_\_\_\_\_ Dated \_\_\_\_\_

Amendment Number \_\_\_\_\_ Dated \_\_\_\_\_

**Failure to acknowledge receipt of all amendments may render the offer unacceptable.**

\_\_\_\_\_  
Authorized Signature

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

\_\_\_\_\_  
Date



**AWARD SCHEDULE CONTINUED FROM AWARD FORM:**

(To be completed at award)

**TERM OF THE CONTRACT:** The term of this contract shall be from contract award through delivery and acceptance as described in the Special Provisions. Contractor will be required to comply with warranty and reliability programs, if any.

**TYPE OF CONTRACT:** This is a firm fixed price contract.

**AVAILABILITY OF FUNDS:** Funding is being made available from .

**CONTRACT:** In accordance with the solicitation documents, Contract CQ13055/RAM incorporates the following:

RFP CQ13055/RAM dated (inclusive of Solicitation Instructions, Representations and Certifications, General Provisions, Special Provisions, Technical Specifications, Appendices and Amendment Nos 1 through X);

Offeror's proposal dated ,  
Offeror's Final Proposal Revision dated .

**ALTERATIONS:**

None.

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**PRICE SCHEDULE SHEET**

**Repair of Railcars 5056 & 5057**

No	Description	Unit	Qty	Price	Amount
1	Bonds and Insurance	LS	1	\$ _____	\$ _____
2	Transport of Railcars to Repair Facility	EA	2	\$ _____	\$ _____
3	Railcar Survey, Engineering Analysis and Report	LS	1	\$ _____	\$ _____
4	Structural Repairs 5056	LS	1	\$ _____	\$ _____
5	Structural Repairs 5057	LS	1	\$ _____	\$ _____
6	Electrical Harness, Furnish and Install (5056/5057)	EA	2	\$ _____	\$ _____
7	Remaining Repairs & Re-Assembly (5056/5057)	LS	1	\$ _____	\$ _____
8	Jack Test	EA	2	\$ _____	\$ _____
9	Factory Testing	EA	2	\$ _____	\$ _____
10	Delivery to the Authority	EA	2	_____	_____
11	On-Site Testing, Commissioning, Acceptance	EA	2	\$ _____	\$ _____
12	Railcar Documentation	LS	1	\$ 25,000.00	\$ 25,000.00
<b>TOTAL Repair of Railcars 5056 &amp; 5057</b>					\$ _____

**Repair of Railcar 6050**

No	Description	Unit	Qty	Price	Amount
13	Bonds and Insurance	LS	1	\$ _____	\$ _____
14	Transport of Railcar to Repair Facility	EA	1	\$ _____	\$ _____
15	Railcar Survey, Engineering Analysis and Report	LS	1	\$ _____	\$ _____
16	Structural Repairs 6050	LS	1	\$ _____	\$ _____
17	Remaining Repairs & Re-Assembly 6050	LS	1	\$ _____	\$ _____
18	Jack Test	EA	1	\$ _____	\$ _____
19	Factory Testing	EA	1	\$ _____	\$ _____
20	Delivery to the Authority	EA	1	_____	_____
21	On-Site Testing, Commissioning, Acceptance	EA	1	\$ _____	\$ _____
22	Railcar Documentation	LS	1	\$ 20,000.00	\$ 20,000.00
<b>TOTAL Repair of Railcar 6050</b>					\$ _____

**RECAPITULATION:**

Description	Amount
Repair of Railcars 5056 & 5057	\$ _____
Repair of Railcar 6050	\$ _____
<b>Total Proposal Price</b>	\$ _____

\_\_\_\_\_  
Authorized Signature

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

\_\_\_\_\_  
Date

**Notes to Offerors:**

1. The unit prices shown on the Price Schedule Sheet shall constitute full compensation for all costs of performance under this contract.
2. The Authority reserves the right to make multiple awards if, after considering the additional administrative costs, it is in the Authority's best interest to do so.
3. Offerors may propose on repairing railcars 5056 and 5057; or railcar 6050; or all three railcars 5056 and 5057, and 6050.
4. For the railcars being offered to repair, every line item on the price schedule sheet must be completed.
5. Price evaluation will be based on the total proposed price for all items for the repair of railcar(s) being proposed.
6. Offerors are advised to become familiar with the Solicitation Instructions regarding proposal preparation, evaluation criteria and contract award.
7. The Authority will not make partial payments for Railcar Documentation.

\* \* \*

**SOLICITATION INSTRUCTIONS**

**1. DEFINITIONS**

As used herein:

- a. The term "solicitation" means "Request for Proposal (RFP)" where the procurement is negotiated.
- b. The term "offer" means "proposal" where the procurement is negotiated.

**2. PREPARATION OF OFFERS**

- a. Offerors are expected to examine the Request for Proposals and all referenced documents carefully. Failure to do so will be at the risk of the Offeror.
- b. The offeror shall furnish the information required by the solicitation. The offeror shall sign the solicitation and print or type his/her/its name on the Schedule and each Continuation Sheet thereof on which an entry has been made. Erasures or other changes must be initialed by the person signing the offer. Offers signed by an agent are to be accompanied by evidence of authority, unless such evidence has been previously furnished to the issuing office.
- c. Offers for supplies or services other than those specified will not be considered unless authorized by the solicitation.
- d. Offeror must state a definite time for delivery of supplies or for performance of services unless otherwise specified in the solicitation.
- e. Time, if stated as a number of days, will include Saturdays, Sundays and holidays.

**3. EXPLANATION TO OFFERORS**

Any explanation desired by an Offeror regarding the meaning or interpretation of the solicitation documents must be requested in writing and with sufficient time allowed for a reply to reach all Offerors before the submission of their offers. Oral explanations or instructions given before the award of the contract will not be binding. Any information given to an Offeror concerning a solicitation will be furnished promptly to all Offerors as an amendment of the solicitation, if that information is necessary in submitting offers or if lack of such information would be prejudicial to other Offerors.

**4. PRIOR REPRESENTATIONS**

The Authority assumes no responsibility for any understanding or representations concerning this solicitation made by any of its officers or agents prior to the issuance of the solicitation, the specifications, or related documents.

**5. PRE-PROPOSAL CONFERENCE**

For the purpose of clarifying the terms, conditions, and requirements of this Request for Proposal, a pre-proposal conference will be held to respond to questions by interested offerors. **This pre-proposal conference will be held at 10:00 a.m. on March 19, 2013 at the WMATA Greenbelt Yard, 5801 Sunnyside Ave. Building C, College Park, MD 20740.** The purpose of this conference will be to answer questions regarding, or requests for clarifications of the solicitation documents. It is requested that offerors submit their questions in writing whether in advance of the meeting or during the meeting. Questions from the floor, however, are permissible.

All questions concerning the terms, conditions, and requirements of this Request for Proposal must be received by the Contracting Officer in writing no later than March 28, 2013.

**Mandatory Inspection of Railcars:** The Authority will make the damaged railcars available for inspection immediately following the pre-proposal conference. Appointments may also be made to inspect the railcars up to five (5) business days before the proposal due date. The Authority will not make any comments during the inspections. Only written questions received as above will be answered.

The Authority will maintain a list of all offerors that have inspected the railcars. Proposals from Offerors that have not inspected the railcars will not be accepted.

**6. ACKNOWLEDGMENT OF AMENDMENTS**

Receipt of an amendment to a solicitation by an Offeror must be acknowledged (a) by signing and returning the amendment, (b) by identifying the amendment number and date on the Solicitation, Offer and Award Form, (c) and by expressly acknowledging the amendment on the designated form and including it as part of the proposal. Such amendment must be received prior to the hour and date specified in the solicitation. If this solicitation is amended, then all terms and conditions which are not modified remain unchanged.

**7. REVISIONS PRIOR TO DATE SET FOR RECEIPT OF PROPOSALS**

- a. The right is reserved by the Authority to revise or amend the Scope of Work, Description of Work, drawings, etc. prior to the date set for the opening of proposals. Such revisions and amendments, if any, will be announced by an amendment to the Request for Proposal. Copies of such amendments as may be issued will be furnished to all prospective bidders.
- b. If the revisions and amendments require material changes in quantities or price proposals, or both, the date set for the opening of proposals may be postponed by such number of days as in the opinion of the Authority that will enable offerors to revise their proposals. In such cases, the amendment will include an announcement of the new date for the opening of proposals.



**8. SUBMISSION OF OFFERS**

- a. Offers and modifications thereof shall be enclosed in sealed envelopes and addressed to the office specified in the solicitation. The Offeror shall show the hour and date specified in the solicitation for receipt, the solicitation number, and the name and address of the Offeror on the face of the envelope.
- b. Telegraphic offers will not be considered unless authorized by the solicitation; however, offers may be modified or withdrawn by written or telegraphic notice, provided such notice is received prior to the hour and date specified for receipt.
- c. Facsimile offers, modifications or withdrawals will not be considered unless authorized by the Authority.

**9. LATE SUBMISSIONS, MODIFICATIONS, AND WITHDRAWALS OF OFFERS**

- a. Any offer received at the office designated in the solicitation after the exact time specified for receipt will not be considered unless it is received before award is made and it
  - (1) Was sent by registered or certified U.S. mail not later than the fifth calendar day before the date specified for receipt of offers (e.g., an offer submitted in response to a solicitation requiring receipt of offers by the 20th of the month must have been sent by registered mail by the 15th;
  - (2) Was sent by mail or, if authorized by the solicitation, was sent by telegram or via facsimile and it is determined by the Authority that the late receipt was due solely to mishandling by the Authority after receipt;
  - (3) Was sent by U.S. Postal Service Express Mail Next Day Service Post Office to Addressee, not later than 5:00 p.m. at the place of mailing two working days prior to the date specified for receipt of offers. The term "working days" excludes weekends and U.S. Federal holidays; or
  - (4) Is the only offer received.
- b. Any modification of an offer, except a modification resulting from the Contracting Officer's request for "revised final proposals" offer, is subject to the same conditions as in subparagraphs (a)(1), (2), and (3) of this provision.
- c. A modification resulting from the Contracting Officer's request for "revised final proposals" received after the time and date specified in the request will not be considered unless received before award and the late receipt is due solely to mishandling by the Authority.
- d. The only acceptable evidence to establish the date of mailing of a late offer, modification, or withdrawal sent by registered or certified mail is the U.S. or Canadian Postal Service postmark on the envelope or wrapper and on the original receipt from

the U.S. or Canadian Postal Service. Both postmarks must show a legible date or the offer, modification or withdrawal shall be processed as if mailed late. "Postmark" means a printed, stamped, or otherwise placed impression (exclusive of a postage meter machine impression) that is readily identifiable without further action as having been affixed by employees of the U.S. or Canadian Postal Service on the date of mailing. Therefore, Offerors should request the postal clerk to place a legible hand cancellation bull's eye postmark on both the receipt and the envelope or wrapper.

- e. The only acceptable evidence to establish the time of receipt by the Authority is the time/date stamp of that installation on the proposal wrapper or other documentary evidence of receipt maintained by the Authority.
- f. The only acceptable evidence to establish the date of mailing of a late offer, modification, or withdrawal sent by Express Mail Next Day Service Post Office to Addressee is the date entered by the post office receiving clerk on the "Express Mail Next Day Service Post Office to Addressee" label and the postmark on both the envelope or wrapper and on the original receipt from the U.S. Postal Service. "Postmark" has the same meaning as defined in paragraph (d) of this provision, excluding postmarks of the Canadian Postal Service. Therefore, offeror or quoter should request the postal clerk to place a legible hand cancellation bulls-eye postmark on both the receipt and the envelope or wrapper.
- g. Notwithstanding paragraph "a" above, a late modification of any otherwise successful offer that makes its terms more favorable to the Authority will be considered at any time it is received and may be accepted.
- h. Proposals may be withdrawn by written notice or telegram (including mailgram) received at any time before award. If the solicitation authorizes facsimile proposals, proposals may be withdrawn via facsimile received at any time before award, subject to the conditions specified in the provision entitled "Facsimile Proposals". Proposals may be withdrawn in person by an Offeror or an authorized representative, if the representative's identity is made known and the representative signs a receipt for the proposal before award.

**10. PROPOSAL GUARANTEE – NOT USED**

**11. CONTRACT AND BONDS**

The proposer whose Technical and Price Proposal are accepted shall, within the time established in the contract documents, enter into a written contract with the Authority and furnish performance bonds if applicable, on standard Authority forms in the amounts indicated in the General Condition of the contract.

**12 MINIMUM PROPOSAL ACCEPTANCE PERIOD**

- a. "Acceptance period," as used in this provision, means the number of calendar days available to WMATA for awarding a contract from the date specified in this solicitation for receipt of proposals.
- b. This provision supersedes any language pertaining to the acceptance period that may appear elsewhere in this solicitation.
- c. WMATA requires a minimum acceptance period of **120 calendar days** from the latest revised proposal.

**13. CONTRACT AWARD**

If this solicitation is a Request for Proposals:

- a. The Authority intends to award one or more contracts resulting from this solicitation to the responsible Offeror(s) whose offer(s) conforming to the solicitation will be most advantageous to the Authority cost or price and other factors, specified elsewhere in this solicitation, considered.
- b. The Authority may (1) reject the offer if such action is in the public interest, or (2) waive informalities and minor irregularities in offers received.
- c. The Authority may award a contract on the basis of the initial offer received, without discussions (other than discussions conducted for the purpose of minor clarifications). Therefore, the initial offer should contain the Offeror's best terms from a cost or price and technical standpoint. However, the Authority reserves the right to conduct discussions if later determined by the Contracting Officer to be necessary. If the Contracting Officer determines that the number of proposals that would otherwise be in the competitive range exceeds the number at which an efficient competition can be conducted, the Contracting Officer may limit the number of proposals in the competitive range to the greatest number that will permit an efficient competition among the most highly rated proposals. If an offeror's proposal is eliminated or otherwise removed from the competitive range, no further revisions to that offeror's proposal shall be accepted or considered.
- d. A written award or acceptance of offer mailed or otherwise furnished to the successful Offeror within the time for acceptance specified in the offer shall result in a binding contract without further action by either party. Before the offer's specified expiration time, the Authority may accept an offer (or part of an offer, as provided in paragraph (d) above) whether or not there are negotiations after its receipt, unless a written notice of withdrawal is received before award. Negotiations conducted after receipt of an offer do not constitute a rejection or counteroffer by the Authority.
- e. Neither financial data submitted with an offer, nor representations concerning facilities or financing will form a part of the resulting contract. However, if the resulting contract contains a clause providing for price reduction for defective cost or pricing data, the

contract price will be subject to reduction if cost or pricing data furnished is incomplete, inaccurate, or not current.

- f. The Authority may determine that an offer is unacceptable if the prices proposed are materially unbalanced between line items or sub-line items. An offer is materially unbalanced when it is based on prices significantly less than cost for some work and prices which are significantly overstated in relation to cost for other work, and if there is a reasonable doubt that the offer will result in the lowest overall cost to the Authority even though it may be the low evaluated offer, or it is so unbalanced as to be tantamount to allowing an advance payment.
- g. The Authority reserves the right to make multiple awards if, after considering the additional administrative costs, it is in the Authority's best interest to do so.

**14. NOTICE OF PROTEST POLICY**

- a. WMATA policy and procedure for the administrative resolution of protests is set forth in Chapter 20 of the Authority's Procurement Procedures Manual (PPM). Chapter 20 contains strict rules for filing a timely protest, for responding to a notice that a protest has been filed, and other procedural matters. The Contracting Officer can furnish a copy of Chapter 20 upon request.
- b. FTA Circular 4220.1F, addresses Bid Protests. FTA will only review protests regarding the alleged failure of the grantee to have a written protest procedure or alleged failure to follow such procedures, and only when submitted by an interested party. The term "interested party" is defined in the Authority policy for handling protests.
- c. Alleged violation on other grounds must be submitted to the Contracting Officer who will decide the protest.
- d. The judicial authorities having jurisdiction over court actions concerning protest decisions are the United States District Courts for the Districts of Maryland, Virginia, and the District of Columbia, and the local courts in Maryland, Virginia, and the District of Columbia.

**15. PRE AWARD INFORMATION**

- a. The Contracting Officer may conduct a pre award survey to determine if the Offeror eligible for award is responsible both financially and technically and has the capability to perform the work of the Contract in accordance with the requirements of the Specifications and within the times specified.
- b. Accordingly, in order that an offer be fully considered, EACH OFFEROR SHALL FURNISH THE FOLLOWING INFORMATION WITH THE PROPOSAL:

- (1) A completed and signed Pre Award Evaluation Data form (furnished with the solicitation), including, but not limited to, the following: A statement of the Offeror's experience record, the type of concerns for which the work was performed, a statement by the financial institutions with which the Offeror conducts business and a list of contracts, if any, on which failure to complete within the specified time resulted in the assessment of liquidated damages.
- (2) Complete financial statements for the last two years, including Statement of Financial Position (Balance Sheet), Results of Operations (Income Statement), Statement of Changes in Financial Position (Net Change in Resources) and Statement of Current and Retained Earnings.

**16. PROPOSAL FORMAT INSTRUCTIONS/REQUIREMENTS**

The Offeror shall submit their proposal as follows:

a. Proposal Format

The original of Volumes I and II shall be unbound, all copies of Volumes I and II, as well as Volume III will be separately bound and all copies shall have the RFP number, the Offeror's identity, volume number, and volume title printed on the cover page. Volumes shall be submitted in the following order:

- (1) Volume I – Cost/Price – One (1) original AND 2 copies, AND one (1) electronic copy of the cost/price proposal to include the Price Schedule Sheet.
- (2) Volume II – Technical - One (1) original AND 5 copies of the technical proposal AND one electronic copy (**Shall not include cost/price information**).
- (3) Volume III – Contractual – Two (2) Originals and 1 electronic copy of the signed Solicitation, Offer and Award form; one (1) original, 2 copies AND one (1) electronic copy of the completed signed solicitation documents to include Representations, Certifications, Pre-Award Data, Certificate of Insurance, DBE requirements, per Appendix B and Amendments, if any.

b. Volume I – Cost/Price All information relating to cost or pricing data must be included in this volume. Under no circumstances shall cost or pricing data be included elsewhere in the Offeror's proposal. Volume I to include: Price Schedule Sheets, list of recommended spare parts with pricing, and order of magnitude estimate of any interfaces, modifications or alterations necessary to the offeror's equipment or existing yard infrastructure.

c. Volume II - Technical Proposal. The technical proposal shall enable WMATA evaluating personnel to make a thorough evaluation and arrive at a sound determination as to whether or not the proposal will meet the specifications in accordance with the Authority's requirements. Technical proposals shall be specific, detailed, and complete and demonstrate that the Offeror has a thorough knowledge and understanding of the requirements. Offerors shall avoid statements which

paraphrase the specifications or attest that "standard procedures will be employed," are inadequate to demonstrate how it is proposed to comply with the requirements of the specifications, and this clause.

- (1) The technical proposal shall contain an executive summary, complete description of the switch machines, layouts and equipment, and operations and maintenance information. Pre-printed catalog information should be provided if available.
- (2) The technical proposal shall comply with the following:
  - (a) The entire technical proposal (excluding the conformance matrix) shall be no more than 200 pages and contained within one 3 inch D ring binder. It shall be submitted on white, 8 ½ x 11 inch, 20 pound or better paper. Printing shall be in Arial or equivalent 11 point font. Double sided printing is acceptable.
  - (b) Top and bottom margins shall be no less than 1 inch. Binder side margin shall be no less than 1 ½ inches and opposite side margin shall be no less than 1 inch. Each page shall be numbered with the applicable section number followed by sequential page numbering.
  - (c) All drawings, schematics, tables, or other pre-packaged technical documentation shall be included as enclosures or appendices to the proposal section to which they pertain. The drawings shall be bound in the proposal, and those larger in size than 8 ½ x 11 inches shall be properly folded. Drawings may not be larger than 11 x 17 inches and clarity and legibility shall be maintained.
- (3) Technical Proposal Arrangement and Data:
  - (a) Cover letter/Executive Summary with general description of the offeror's methods;
  - (b) Table of Contents or Index;
  - (c) Offeror's management plan and management organization including org chart and resumes of key personnel, and also subcontractors and suppliers;
  - (d) Summary of past experience maintaining, rehabilitating or overhauling railcars including list of past and current contracts with contracting organizations and contact information;
  - (e) Reliability data of railcars that had been maintained, rehabilitated or overhauled;
  - (f) Detailed description of Offeror's facilities;
  - (g) Offeror's Quality Program including at a minimum the following:
    - i. ISO certificate,
    - ii. Factory Test Procedure, including description of test equipment,
    - iii. Inspection hold points,

- iv. Calibration methods and certificates;
    - (h) Detailed description of offeror's methods to overhaul the railcars, including, but not limited to:
      - i. Pick up and transportation from WMATA to vendor site;
      - ii. Incoming inspection and disposition;
      - iii. Supplier relationships and logistics including incoming inspection, quality control and segregation of non conforming material;
      - iv. Handling and storage of parts;
      - v. Detailed description of overhaul process including:
        - a. Disassembly;
        - b. Welding repairs;
        - c. Other Repairs
        - d. Re-Assembly;
      - vi. Recertification of railcars;
      - vii. The name and location of no less than two North American railroads or transit agencies where reconditioned railcars have been placed back in service;
      - viii. The name and contact information of a Senior Engineering Manager of the Operating Authority of each of the locations with knowledge of the railcars service history and reliability who has agreed to provide reference information.
    - (i) Simple bar chart schedule to include (but not limited to): engineering, approvals, acquisition of materials, factory production, testing, delivery and recertification.
    - (j) Offeror's Employee Training Program.
  - d. Volume III - Contractual. Contractual documents shall contain a completed signed Solicitation, Offer and Award Form and include Representations, Certifications, Pre-Award Data, Certificate of Insurance, and any amendments.

**17. RESTRICTION ON DISCLOSURE AND USE OF DATA**

The Authority shall provide all reasonable precautions to insure that proprietary, technical and pricing information remains within the review process. Offerors shall attach to any proprietary data submitted with the solicitation the following legend:

- a. "This data furnished pursuant to this RFP shall not be disclosed outside the Authority, be duplicated, or used in whole or in part, for any purpose other than to evaluate the offer; provided that, if a contract is awarded on the basis of that offer, the Authority shall have the right to duplicate, use, and disclose this data, in any manner and for any purpose whatsoever.

- b. This information does not limit the Authority's right to use information contained in this data if it is or has been obtained by the Authority from another independent legitimate source.
- c. Except for the foregoing limitation, the Authority may duplicate, use, and disclose in any manner and for any purpose whatsoever and have others so do, all data furnished in response to this solicitation."

**18. AWARD**

Authority intends to award one or more, firm fixed price contracts for the line items in the schedule of prices resulting from this solicitation.

**19. BASIS FOR AWARD**

**BEST VALUE**

- a. Award Will Be Made To That Proposer:
  - (1) Whose proposal contains the combination of the evaluation criteria and price offering the best overall value to the Authority, and
  - (2) That the Authority deems responsible in accordance with WMATA Procurement Procedures Manual.
- b. Technical and Cost/Price of Equal Importance:
  - (1) The Authority is concerned with striking the most advantageous balance between technical and business management features, and cost/price to the Authority.
  - (2) The Authority may select other than the lowest price proposal if it is determined by value analysis, or technical/cost tradeoffs, that the proposal is worth the additional price in relation to other proposals received. For evaluation purposes, as proposals become more technically equivalent, then price becomes more important.
- c. Offerors are advised that award may be made without discussion or any contact with the offerors concerning the offers received. Therefore, offers should be submitted initially on the most favorable terms that the offeror can submit to the Authority.
- d. Price evaluation will be based on the sum of the total estimated prices of the base contract and any options.
- e. Affordability. The price proposals will be assessed for affordability. The Authority will not make an award for any proposal which proposes prices that would render the procurement infeasible.



**20. PROPOSAL EVALUATION CRITERIA**

Technical proposals will be evaluated based on the following criteria:

1. **Personnel** – This shall consider level of experience of the proposed technical staff to thoroughly address the various disciplines required to perform the work contained in the Scope of Services. Offeror is to provide the proposed program organizational chart along with a description of the responsibilities of all parties shown thereon. Resumes for key personnel of contract specification are to be included. Resumes should contain information on education, work history, experience within the rail industry with emphasis on rapid transit, accomplishments, and other pertinent qualifications. Each resume shall identify work experience within the transit industry in the United States of America.

Project Managers - professional and educational experience in transportation vehicle engineering, development, operations and procurement. Shall be a seasoned manager with proven experience to effectively assemble, coordinate and direct the necessary and appropriate resources to accomplish the contract work in a continuous and timely manner. The Project Manager shall be familiar with all basic subsystems associated with the WMATA series railcars.

Electrical Engineer(s) – professional and educational experience in electrical/electronic engineering, focusing on system integration, instrumentation, and testing in the mass transit industry. Must have working knowledge of all basic subsystems associated with the WMATA railcars, Experience with the 5000 and/or 6000 series railcars is desired.

Mechanical/Structural Engineer(s) - professional and educational experience in mechanical and structural engineering, focusing on development, testing of mechanical systems and analysis of structural systems in the mass transit industry. Knowledge and experience with aluminum railcars is a must. Must have a working knowledge of mechanical system interconnections on railcars.

Welding Engineer(s) – professional and educational experience in aluminum alloys welding. Must have intimate knowledge of AWS D1.2 Structural Welding Code – Aluminum, and experience in TIG (GTAW) and MIG (GMAW) shielded arc- welding of heat treatable aluminum alloys; groups M22 and M23. Must be proficient in WPS, WPQR and welders qualifications procedures.

QA/QC Inspector(s)/Officer(s) – professional and educational experience in quality assurance & quality control in the mass transit industry. As a minimum, one certified welding inspector is required for the task.

2. **Experience and Past Performance** - This shall consider the quality and timeliness of previous work accomplished by the Offeror comparable to the work to be performed under this procurement. Offeror must have a minimum of seven (7) current and consecutive years of experience specializing in maintenance analysis; and incident,

accident, failure analysis, including the preparation of recommendations for salvage and/or corrective actions. At least four (4) years experience specializing in services supporting the repair of rail cars and rail car systems. Experience shall cover all phases of equipment procurement from development of specifications, through design development, qualification and acceptance testing, and warranty support.

3. **Technical Approach and Quality Assurance** - This shall consider the Offerors capability and capacity to perform the work within the required schedules, management approach to manage the repair of railcars to meet the contract schedule, and innovative alternative /methods /relationships/procedures to minimize cost and time expended on task orders. Consistent with this, Offeror must show plans on how to provide the personnel to perform the work required to complete the repairs. Offeror must provide their current Quality Assurance Program for the engineering and technical services. The Quality Assurance Program should be detailed and comprehensive, and shall show how it can be effectively used and followed when applying it to the repair work.
4. **Subcontractors** – This shall consider Offerors capability to select and work with experienced and qualified subcontractors. Subcontractor(s), if proposed, shall have a minimum of five (5) years experience relevant to the particular areas of expertise for the repair tasks the Offeror proposes to use.
5. **Material Selection** – This shall consider Offerors ability to identify, select and use proper materials. All materials selected by Offeror shall be per OEM specification. If this is not possible, the Offeror shall select proper materials and processes to Authority's satisfaction.
6. **Welding** – This shall consider Offerors ability to identify, and properly apply qualified welding procedures for identified welds. All welds shall be performed per identified OEM welding procedures. If this is not possible, new welding procedure specifications (WPS) shall be developed and qualified per AWS D1.2, latest revision. All welders and welding equipment must be qualified to perform welds per AWS D1.2, and must have at least 5 years experience in welding of aluminum alloy structures, alloy groups M22 and M23.
7. **Testing** – This shall consider Offerors ability to identify, specify and execute various types of tests to verify dimensions, demonstrate structural integrity and proper operation of the equipment, Offeror shall develop a comprehensive Test Plan, to include all static and dynamic testing.
8. **Acceptance** – This shall consider Offerors ability to identify, specify and execute a comprehensive acceptance plan. The Plan shall include activities at the Offerors site and at the Authority's site.

## 21. RATINGS FOR PROPOSAL EVALUATION CRITERIA

Each criterion will be rated using the Adjectival scoring method as follows:

Definition of Adjective Rankings:

Exceptional	Exceeds specified performance or capability in a beneficial way to WMATA, and has no significant weaknesses or risks.
Acceptable	Meets evaluation standards and has no high risks, weakness are correctable.
Marginal	Fails to meet evaluation standard and/or the risk is high; however any significant deficiencies are correctable. Lacks essential information to support a proposal.
Unacceptable	Fails to meet an acceptable evaluation standard and the deficiency is uncorrectable. Proposal would have to undergo a major revision to become acceptable. Demonstrated lack of understanding of WMATA's requirements or omissions of major areas.

A rating of "Acceptable" is required to be eligible for award consideration. Offeror is cautioned to be aware of this standard when preparing your Proposal.

**22. PRICE PROPOSAL EVALUATION**

- a. The Authority will evaluate price proposals for reasonableness, completeness, and realism as appropriate. Each Offeror's cost will be evaluated in terms of the following which are equal in importance:
- (1) Submittal of proposed prices for both the Base and the Options, if any, failure to do so may necessitate rejection of the proposal;
  - (2) Any offer which is materially unbalanced may be rejected. An unbalanced offer is one which is based on prices that are significantly overstated for some items and understated for other items;
  - (3) The Authority will compare the price proposals to the Authority estimate and otherwise determine reasonableness by performing a price analysis if adequate competition exists. A cost analysis will be performed if adequate price competition does not exist, to ascertain whether or not the proposed price is fair and reasonable; and
  - (4) In accordance with FAR 15.804-3, the Offeror shall provide certified cost or pricing data as requested by the Contracting Officer.

**23. DEFINITIONS FOR TECHNICAL EVALUATION**

Clarifications: Communications with an Offeror for the sole purpose of eliminating minor irregularities, informalities, or apparent clerical mistakes in the

proposal. Unlike discussions, clarifications do not give the Offeror an opportunity to revise or modify its proposal, except to the extent that correction of apparent clerical mistake results in revisions.

Discussions: Oral or written communications including negotiations between the Authority and an Offeror (other than clarifications) that; involves information essential for determining the acceptability of the proposal or to cure identified defects in the proposal.

Deficiencies: Defects in the proposal which preclude acceptance. Involves any part of the Offeror's proposal which would not satisfy the Authority's minimum requirements established in the solicitation. Included failures to meet specifications, submit information, or questionable technical or management approaches. Items disclosed during discussions, evaluated in two categories: material-basis for rejection because further discussions would be meaningless; curable –may be corrected by clarifications or discussions and brought into the competitive range.

Weakness: Includes ambiguities, lack of complete descriptions, errors in interpretation, omissions of essential information, inadequate information, all of which are considered curable in discussions. An excessive number of clarifications may in itself constitute a weakness.

Strengths: Elements of the proposal that meet or exceed the minimum requirements of the solicitation and provide an identified benefit to the Authority.

**24. TYPE OF CONTRACT**

The Authority intends to award one or more firm fixed price Contract(s). The contractor will be required to submit Monthly Invoices to WMATA's Contracting Officer Technical Representative for payment approval.

**25. ENGLISH LANGUAGE AND UNITED STATES CURRENCY**

As regards this solicitation and the resultant contract:

- a. All communications (oral, written, electronic and otherwise including but, not limited to software coding) shall be in the English language.
- b. All pricing shall be in United States dollars.

**26. BRAND NAME OR EQUAL**

OPTIONAL

- a. If items called for by this Request for Proposal have been identified in the Schedule by a "brand name or equal" description, such identification is intended to be descriptive, but not restrictive, and is to indicate the quality and characteristics of products that will be satisfactory. Proposals offering "equal" products including products of the brand name manufacturer other than the one described by brand name will be considered for award if such products are clearly identified in the proposals and are determined by the Authority to meet fully the salient characteristics requirements in the Request for Proposals.
- b. Unless the Offeror clearly indicates in his proposal that he is offering an "equal" product, his proposal shall be considered as offering a brand name product referenced in the Request for Proposals.
- c.(1) If the offeror proposes to furnish an "equal" product, the brand name, if any, of the product to be furnished in the space provided in the Request for Proposals, or such product shall be otherwise clearly identified in the proposal. The evaluation of proposals and the determination as to equality of the product offered shall be the responsibility of the Authority and will be based on information reasonable available to the Department of Procurement.

CAUTION TO OFFERORS. WMATA is not responsible for locating or securing any information which is not identified in the proposal and reasonably available to the Authority. Accordingly, to insure that sufficient information is available, the Offeror must furnish as a part of his proposal all descriptive material (such as cuts, illustrations, drawings, or other information) necessary for the Authority to determine whether the product offered meets the requirements of the Request for Proposals.

**27. FEDERAL/LOCAL/STATE SALES TAX**

- a. The Authority is exempt under this solicitation from all Federal, State and District of Columbia, municipal and local taxation.
- b. This provision supersedes any language pertaining to payment of taxes that may appear elsewhere in this solicitation.
- c. The Authority's tax exempt numbers are as follows: District of Columbia -- 5611-0082187-001; Maryland -- 30072210; Virginia -- 5280-0067.

\* \* \*

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**REPRESENTATIONS AND CERTIFICATIONS  
(NON-FEDERALLY FUNDED SUPPLY/SERVICE/CONSTRUCTION CONTRACTS)**

**REPRESENTATIONS**

**Instructions:** Check or complete all applicable boxes or blocks on this form and submit it with your offer.

**1. TYPE OF BUSINESS ORGANIZATION**

By submission of this offer, the offeror represents that it operates as  an individual,  a partnership,  a limited liability company,  a joint venture,  a nonprofit organization, or  a corporation, incorporated under the laws of the State of \_\_\_\_\_.

**2. AFFILIATION AND IDENTIFYING DATA**

Each offeror shall complete (a), (b) if applicable, and (c) below, representing that:

(a) It  is,  is not, owned or controlled by a parent company. For this purpose, a parent company is defined as one which either owns or controls the activities and basic business policies of the offeror. To own another company means the parent company must own at least a majority, i.e., more than 50 percent, of the voting rights in that company. To control another company, such ownership is not required; if another company is able to formulate, determine or veto basic business policy decisions of the offeror, such other company is considered the parent of the offeror. This control may be exercised through the use of dominant minority voting rights, use of proxy voting, contractual arrangements or otherwise.

(b) If the offeror is owned or controlled by a parent company, it shall insert in the space below the name and main office address of the parent company:

\_\_\_\_\_  
Name of Parent Company

\_\_\_\_\_  
Main Office Address (including ZIP Code)

(c) If the offeror has no parent company, it shall provide in the applicable space below its own Employer's Identification Number (E.I.N.), (i.e., number used on Federal Tax Returns or, if it has a parent company, the E.I. No. of its parent company).

Offeror E.I. Number: \_\_\_\_\_ or, Parent Company's E.I. Number: \_\_\_\_\_

(d) If a Data Universal Numbering Systems (DUNS), number has not been established for the address entered on the Solicitation, Offer, and Award Form, the Authority will arrange for the assignment of this number after award of a contract and will notify the Contractor accordingly.

**CERTIFICATIONS**

**3. COVENANT AGAINST GRATUITIES**

By submission of this offer, the offeror certifies, and in the case of a joint offer, each party thereto certifies as to its own organization, that in connection with this procurement:

Neither it nor any of its employees, representatives or agents have offered or given gratuities (in the form of entertainment, gifts or otherwise) to any director, officer or employee of the Authority with the

view toward securing favorable treatment in the awarding, amending, or the making of any determination with respect to the performing of the contract.

**4. CONTINGENT FEE**

By submission of this offer, the offeror certifies, and in the case of a joint offer, each party thereto certifies as to its own organization, that in connection with this procurement:

- (a) It [ ] has, [ ] has not, employed or retained any company or persons (other than a full-time, bona fide employee working solely for the offeror) to solicit or secure this contract, and
- (b) It [ ] has, [ ] has not, paid or agreed to pay any company or person (other than a full-time, bona fide employee working solely for the offeror) any fee, commission, percentage, or brokerage fee contingent upon or resulting from the award of this contract.

**5. CERTIFICATION OF INDEPENDENT PRICE DETERMINATION**

(a) By submission of this offer, the offeror certifies, and in the case of a joint offer, each party thereto certifies as to its own organization, that in connection with this procurement:

- (1) The prices in this offer have been arrived at independently, without, for the purpose of restricting competition, any consultation, communication, or agreement with any other offeror or with any other competitor, as to any matter relating to such prices;
- (2) Unless otherwise required by law, the prices which have been quoted in this offer have not been knowingly disclosed by the offeror and will not be knowingly disclosed by the offeror prior to the opening of bids (in the case of a sealed bid solicitation) or prior to award (in the case of a negotiated procurement), directly or indirectly, to any other offeror or to any competitor; and
- (3) No attempt has been made or will be made by the offeror to induce any other person or firm to submit or not to submit an offer for the purpose of restricting competition.

(b) Each person signing this offer certifies that:

- (1) He or she is the person in the offeror's organization responsible within that organization for the decision as to the prices being offered herein and that he/she has not participated, and will not participate, in any action contrary to (a)(1) through (a)(3) above; or
- (2) He or she is not the person in the offeror's organization responsible within that organization for the decision as to the prices being offered herein, but that he/she has been authorized in writing to act as agent for the persons responsible for such decision in certifying that such persons have not participated; and will not participate, in any action contrary to (a)(1) through (a)(3) above, and as their agent does hereby so certify.

**6. NONDISCRIMINATION ASSURANCE**

By submission of this offer, the offeror certifies, and in the case of a joint offer, each party thereto certifies as to its own organization, in connection with this procurement that it will not discriminate on the basis of race, color, creed, national origin, sex, age in the performance of this contract. The offeror is required to insert the substance of this clause in all subcontracts and purchase orders. Failure by the contractor to carry out these requirements is a material breach of this contract, which may result in the termination of this contract or such other remedy as the Authority deems appropriate. The offeror further agrees by submitting this offer that it will include this certification, without modification, in all subcontracts and purchase orders.



SIGNATURE BLOCK FOR ALL REPRESENTATIONS AND CERTIFICATIONS		
Name of Offeror: _____		
Name and Title of Authorized Representative: _____		
Print and Sign Name		
_____		_____
Title		Date

**PRE-AWARD EVALUATION DATA**

PROJECT DESCRIPTION: \_\_\_\_\_

1. Name of Firm \_\_\_\_\_

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

3.  Individual  Partnership  Corporation  Joint Venture

4. Date Organized \_\_\_\_\_.

State in which incorporated \_\_\_\_\_.

5. Names of Officers or Partners:

- a. \_\_\_\_\_
- b. \_\_\_\_\_
- c. \_\_\_\_\_
- d. \_\_\_\_\_
- e. \_\_\_\_\_
- f. \_\_\_\_\_

6. How long has your firm been in business under its present name?

\_\_\_\_\_ Years.

7. Attach as SCHEDULE ONE a list of similar current contracts which demonstrates your technical proficiency, each with contract amount, name of contracting party, character or type of work and percentage of completion.

8. Attach as SCHEDULE TWO a list of similar contracts, each with contract amount, name of contracting party, and character or type of work for similar contracts completed in the last two years.

9. In the last two years have you ever been denied an award where you were low bidder/ Offeror?

If the answer is YES, attach as SCHEDULE THREE the full particulars regarding each occurrence.

10. Have you ever failed to complete, in the last two years, any contract on which you were the low bidder/Offeror?

If the answer is YES, attach as SCHEDULE FOUR, the full particulars regarding each occurrence.

11. Financial resources available as working capital for the Contract:
  - a. Cash on hand: \$ \_\_\_\_\_
  - b. Sources of credit: \_\_\_\_\_
12. Attach as SCHEDULE FIVE financial statements and letters from banks regarding credit as required by the Pre-Award Information article.
13. What percentage of work (contract amount) do you intend performing with your own personnel?  
\_\_\_\_\_ %.
14. Attach as SCHEDULE SIX a list of all principal subcontractors and the percentage and character of work (contract amount) which each will perform. Principal items of work shall include, but not be limited to, those items listed in the Pre-Award Information article of the Request for Proposal/Invitation for Bid.
15. If the Contractor or subcontractor is a joint venture, submit PRE-AWARD EVALUATION DATA forms for each member of the joint venture.

The above information is confidential and will not be divulged to any unauthorized personnel.

The undersigned certifies to the accuracy of all information.

COMPANY: \_\_\_\_\_

SIGNATURE: \_\_\_\_\_

NAME: \_\_\_\_\_

TITLE: \_\_\_\_\_

DATE: \_\_\_\_\_

**PART II – GENERAL / SPECIAL PROVISIONS**

**PART II – SECTION 1 - GENERAL PROVISIONS**

## PART II, SECTION 1 - GENERAL PROVISIONS

### 1. DEFINITIONS

As used throughout this Contract, the following terms shall have the meanings set forth below:

- (a) "Authority" means the Washington Metropolitan Area Transit Authority created effective February 20, 1967, by Interstate Compact by and between Maryland, Virginia and the District of Columbia, pursuant to Public Law 89-774, approved November 6, 1966.
- (b) "Contracting Officer" means the person executing this Contract on behalf of the Authority and his or her successor. The term includes, except as otherwise provided in this Contract, the authorized representative of a Contracting Officer acting within the limits of his authority.
- (c) "Subcontract" means, except as otherwise provided in this Contract, a contract or contractual action entered into by a prime contractor or subcontractor for the purpose of obtaining supplies, materials, equipment, or services under a prime contract. Subcontracts include purchase orders under this Contract, as well as changes and modifications to purchase orders.
- (d) Wherever in the scope of the work the words directed, ordered, designated, prescribed or words of like import are used, it shall be understood that the direction, requirement, order, designation or prescription of the Contracting Officer is intended and similarly the words approved, acceptable, satisfactory or words of like import shall mean approved by, or acceptable to, or satisfactory to the Contracting Officer, unless otherwise expressly stated.
- (e) "Contractor" means the party (i.e., individual person or legal entity) that enters into a contract with the Authority to provide supplies or perform services to fulfill Authority requirements. With respect to subcontracting, "prime contractor" means "contractor."
- (f) "Services" means the performance of work by an individual person or legal entity under Contract with the Authority. Examples of services: maintenance, overhaul, repair, servicing, rehabilitation, salvage, modernization, or modification of supplies, systems, or equipment; routine recurring maintenance of real property; housekeeping; advisory and assistance; operation of authority-owned equipment, facilities, and systems; communication services; Architect-Engineering services; and transportation and related services.
- (g) "FTA" means the U.S. Department of Transportation, Federal Transit Administration.

**2. ACCOUNTING AND RECORD KEEPING**

- (a) Applicability. This clause shall become effective for and shall apply to any adjustment in the price of this Contract initiated by the Contractor or the Authority. However, where the original amount of this Contract is less than \$1,000,000, paragraph (c) of this clause does not apply unless the adjustment is expected to exceed \$50,000.
- (b) Forward Priced Adjustments. Unless expressly waived in writing in advance by the Contracting Officer, the Contractor shall furnish to the Contracting Officer a cost proposal in advance of performance of any work for which a price adjustment is requested under this Contract. The Contractor shall originate such records as are necessary to substantiate all elements of the pricing proposal, current to the date of agreement on the pricing adjustment. Such records supporting the costs of each pricing adjustment request shall be specifically segregated and identified in the Contractor's accounting system as being applicable to the pricing adjustment request.
- (c) Post Pricing Adjustments. In addition to the records required to be originated under paragraph (b) above, in the event pricing of an adjustment under this Contract is not agreed upon between the Contractor and the Contracting Officer prior to the commencement of work for which the pricing adjustment is requested, the Contractor and any subcontractor engaged in work for which the pricing adjustment is requested, shall maintain accounts and original cost records specifically segregated and identified by job order or other appropriate accounting procedures approved by the Contracting Officer of all incurred segregable costs related to the work for which the pricing adjustment is requested. The Contractor shall maintain accounts and records which segregate and account for the costs of all work associated with that part of the project for which the pricing adjustment is requested and shall allocate the costs so accumulated between: (1) work required under the base Contract; (2) work requested to be reimbursed under the pricing adjustment; and (3) other claim, including but not limited to, changes, differing site conditions, and the like. The accounts and records so established shall accumulate such costs under logical costs groups, such as material, labor, equipment, subcontracts, field overhead and the like. The Contractor shall record these costs on a form approved by the Contracting Officer.
- (d) Availability. The accounts, records and costs information required to be originated under b. and c. above together with all other accounts, records and costs information related to this Contract, shall be maintained and made available by the Contractor and subcontractor(s):
  - (1) At the office of the Contractor or subcontractor(s) at all reasonable times for inspection, audit, reproduction or such other purposes as may be required by the Contracting Officer or by anyone authorized access to the records by the Contracting Officer or pursuant to any other provisions of this Contract; and
  - (2) Until the expiration of three years from the date of final payment under this Contract or such lesser time as is specified in Subpart 4.7 of the Federal Acquisition Regulations and for such longer period, if any, as is required by

applicable statute, or by other clauses of this contract, or by paragraphs (i) and (ii) below:

- (i) If the Contract is completely or partially terminated, for a period of three (3) years from either the date of any resulting final settlement or the date of final payment whichever is the greater period; and
  - (ii) If a pricing adjustment is involved in any appeal under the Disputes clause Article of this Contract or in any litigation related to this Contract, for a period of one (1) year following the final disposition of the appeal or litigation.
- (e) Access to Records. When asserting a claim involving a potential price adjustment under any provisions of this Contract, the Contractor shall grant the Authority access to review and ascertain the validity of the accounting records being maintained for segregation of costs, including base cost records, and to audit such costs as are deemed appropriate by the Contracting Officer. No payment shall be made to the Contractor on its claim until such records are made available and access is permitted.
- (f) Limitation on Pricing Adjustment. In the event the Contractor or any subcontractor fails to originate or to maintain, or to make available any accounts or records required under this or any other clause of the Contract, the Contracting Officer may, at the Contracting Officer's discretion, determine the reasonableness of the direct cost of the work for which records are not available, and add a single mark-up for indirect expenses not to exceed ten percent (10%) of the direct costs based on:
- (1) An audit of any existing books and records of the Contractor or subcontractor; or
  - (2) An Authority estimate adopted by the Contracting Officer; or
  - (3) A combination of (1) and (2);

The Contractor and subcontractors shall not be allowed any profit on the work which such records are not available.

- (g) Flow-down clause. The Contractor shall insert a clause containing all the provisions of this clause in all subcontracts issued under this Contract, modified as necessary, for proper identification of the contracting parties and the Contracting Officer under this Contract.

### **3. ASSIGNMENT**

- (a) Except as otherwise provided in this provision, the Contractor shall not transfer any of its rights and obligations under this Contract to third parties without the prior consent of the Authority. The Authority may recognize a third party as successor in interest to the Contract in the event of a transfer of all or substantially all of the assets of the Contractor, a Division of the Contractor involved in the performance of the Contract, or



a Parent company providing a performance guarantee under this Contract, (i.e., sales of assets; transfer of assets pursuant to merger or consolidation; or incorporation of a proprietorship or partnership). Such recognition of the transfer shall be within the discretion of the Contracting Officer after review of the facts and circumstances surrounding each request. At the discretion of the Contracting Officer, the Contracting Officer may conduct an evaluation of the successor party's capability to perform the Contract in the same manner and to the same extent the Contracting Officer was empowered to conduct a responsibility determination as part of the original solicitation for this Contract. Should the Contracting Officer, for any reason, not recognize such a successor in interest, it may terminate this Contract for the convenience of the Authority.

- (b) For claims for monies due, or to become due the Contractor from the Authority under this Contract may be assigned to a bank, trust company, or other financing institution, including any Federal lending agency, and may thereafter be further assigned and reassigned to any institution, upon written notice of such assignment to the Authority. Any such assignment or reassignment shall cover all amounts payable under this Contract and not already paid and shall not be made to more than one party, except that any such assignment or reassignment may be made to one party as agent or trustee for two or more parties participating in such financing. It is the Authority's intent to recognize assignments only to bona fide lending institutions; therefore, assignment to any private corporation, business or individual which does not qualify as such is specifically prohibited.
- (c) Any attempt to transfer by assignment not authorized by this provision shall constitute a breach of the Contract and the Authority may for such cause, terminate the Contract with the DEFAULT provision of these General Provisions, and the Contractor shall be liable to the Authority under the DEFAULT provision.

#### **4. AUDIT AND RETENTION OF RECORDS**

- (a) As used in this clause, "records" includes books, documents, accounting procedures and practices, and other data, regardless of type and regardless of whether such items are in written form, in the form of computer data, or in any other form.
- (b) Authorized persons. The Contracting Officer and his representatives, including representatives of the Authority's governing jurisdictions and any other federal, state, or local entity providing funding for this Contract and the Comptroller General of the United States, shall have access and inspection rights described in this clause.
- (c) Examination of costs. If this is a cost-reimbursement, incentive, time-and-materials, labor-hour, or price redeterminable contract, or any combination of these, the Contractor shall maintain and the Contracting Officer, or an authorized representative of the Contracting Officer, shall have the right to examine and audit all records and other evidence sufficient to reflect properly all costs claimed to have been incurred or anticipated to be incurred directly or indirectly in performance of this contract. This right of examination shall include inspection at all reasonable times of the Contractor's plants, or parts of them, engaged in performing this contract.

- (d) Cost or pricing data. If the Contractor has been required to submit cost or pricing data in connection with any pricing action relating to this contract, the Contracting Officer, or an authorized representative of the Contracting Officer, in order to evaluate the accuracy, completeness, and currency of the cost or pricing data, shall have the right to examine and audit all of the Contractor's records, including computations and projections, related to: (1) the proposal for the contract, subcontract, or modification; (2) the discussions conducted on the proposal(s), including those related to negotiating; (3) pricing of the contract, subcontract or modification; or (4) performance of the contract, subcontract or modification.
  
- (e) Reports. If the Contractor is required to furnish cost, funding or performance reports, the Contracting Officer or an authorized representative of the Contracting Officer shall have the right to examine and audit the supporting records and materials, for the purpose of evaluating the effectiveness of the Contractor's policies and procedures to produce data compatible with the objectives of these reports; and the data reported.
  
- (f) Availability. The Contractor shall make available at its offices at all reasonable times the records, materials, and other evidence described above, for examination, audit or reproduction, until three (3) years after final payment under this contract or for any shorter period specified in Subpart 4.7, Contractor Records Retention, of the Federal Acquisition Regulation (FAR), or for any longer period required by statute or by other clauses of this contract. In addition—
  - (1) If this contract is completely or partially terminated, the Contractor shall make available the records relating to the work terminated until three (3) years after any resulting final termination settlement; and
  - (2) The Contractor shall make available records relating to appeals under the Disputes clause or to litigation or the settlement of claims arising under or relating to this contract until such appeals, litigation or claims are fully resolved.
  
- (g) Subcontracts. The Contractor shall insert a clause containing all the terms of this clause, including this paragraph (g), in all subcontracts under this Contract that exceed the simplified acquisition threshold (currently \$100,000) and –
  - (1) That is cost reimbursable, incentive, time-and-material, labor-hour, or price redeterminable type or any combination of these;
  - (2) For which cost or pricing data are required; or
  - (3) That requires the contractor to submit reports as discussed in paragraph (e) of this clause.

**5. AUTHORITY DELAY OF WORK**

- (a) If the performance of all or any part of the work is delayed or interrupted (1) by an act of the Contracting Officer in the administration of this Contract, which act is not

expressly or impliedly authorized by this Contract, or (2) by a failure of the Contracting Officer to act within the time specified, an adjustment (excluding profit) shall be made for any increase in the cost of performance of this Contract caused by such delay or interruption and the contract modified in writing accordingly. Adjustment shall be made also in the delivery or performance dates and any other contractual provision affected by such delay or interruption. However, no adjustment shall be made under this clause for any delay or interruption to the extent that performance would have been delayed or interrupted by any other cause, including the fault or negligence of the Contractor; or for which an adjustment is provided or excluded under any other provision of this Contract.

- (b) A claim under this clause shall not be allowed:
  - (1) for any costs incurred more than 20 days before the Contractor shall have notified the Contracting Officer in writing of the act or failure to act involved; and
  - (2) Unless the claim, in an amount stated, is asserted in writing as soon as practicable after the termination of the delay or interruption, but not later than the day of final payment under the Contract.

**6. CERTIFICATE OF CURRENT COST OR PRICING DATA**

The Contractor shall provide a Certificate of Current Cost or Pricing Data as required in Subpart 15.406 of the Federal Acquisition Regulations (48 CFR 15.406) in support of any negotiated contract modification, for which the aggregate of the increase and decreases in cost are expected to exceed \$100,000. The Contractor may be requested, at the discretion of the Contracting Officer, to provide cost or pricing data and an attendant certificate of current cost or pricing data, for modifications on which cost are \$100,000 or less.

**7. CHANGES**

- (a) The Contracting Officer may at any time, by a written order, and without notice to the sureties, if any, make changes, within the general scope of this Contract, in any one or more of the following:
  - (1) Description of services to be performed;
  - (2) Time of performance (i.e., hours of the day, days of the week, etc.); or
  - (3) Place of performance of the services.
- (b) If any such change causes an increase or decrease in the cost of, or the time required for, the performance of any part of the work under this Contract, whether changed or not changed by the order, the Contracting Officer shall make an equitable adjustment in the Contract price, the delivery schedule, or both, and shall modify the Contract.
- (c) The Contractor must assert its right to an adjustment under this clause article within 30 days from the date of receipt of the written order. Any such adjustment to the contract

price must be agreed upon, prior to final payment of the contract price.

- (d) If the Contractor's proposal includes the cost of property made obsolete or excess by the change, the Contracting Officer shall have the right to prescribe the manner of the disposition of the property.
- (e) Failure to agree to any adjustment shall be a dispute under the Disputes clause. However, nothing in this clause shall excuse the Contractor from proceeding with the contract as changed.
- (f) Notwithstanding any other provision of this Contract, the Contractor shall promptly notify the Contracting Officer of matters which will result in either an increase or decrease in the Contract price and shall take action with respect thereto as directed by the Contracting Officer.

## **8. NONDISCRIMINATION ASSURANCE**

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

the Contractor agrees to comply with any implementing requirements FTA may issue.

- (2) Age: In accordance with Section 4 of the Age Discrimination in Employment Act of 1967, as amended, 29 U.S.C. §623 and Federal transit law at 49 U.S.C. §5332, the Contractor agrees to refrain from discrimination against present and prospective employees for reason of age. In addition, the Contractor agrees to comply with any implementing requirements FTA may issue.
  - (3) Disabilities: In accordance with section 102 of the Americans with Disabilities Act, as amended, 42 U.S.C. §12112, the Contractor agrees that it will comply with the requirements of U. S. Equal Employment Opportunity Commission, "Regulations to Implement the Equal Employment Provisions of the Americans with Disabilities Act," 29 C.F.R. Part 1630, pertaining to employment of persons with disabilities. In addition, the Contractor agrees to comply with any implementing requirements FTA may issue.
- (c) The Contractor also agrees to include all of these requirements in each subcontract financed in whole or in part with Federal assistance provided by FTA, modified only if necessary to identify the affected parties.

**9. CONTRACT WORK HOURS AND SAFETY STANDARDS ACT-OVERTIME COMPENSATION**

This Contract, to the extent that it is of a character specified in the Contract Work Hours and Safety Standards Act (40 U.S.C. 327-333), is subject to the following provisions and to all other applicable provisions and exceptions of such Act and the regulations of the Secretary of Labor thereunder.

- (a) Overtime requirements. No Contractor or subcontractor contracting for any part of the contract work which may require or involve the employment of laborers, mechanics, apprentices, trainees, watchmen, and guards shall require or permit any laborer, mechanic, apprentice, trainee, watchman, or guard in any workweek in which he is employed on such work to work in excess of 40 hours in such work week on work subject to the provisions of the Contract Work Hours and Safety Standards Act unless such laborer, mechanic, apprentice, trainee, watchman, or guard receives compensation at a rate not less than one and one-half times his basic rate of pay for all such hours worked in excess of 40 hours in such work week.
- (b) Violation. Liability for Unpaid Wages - Liquidated damages. In the event of any violation of the provisions of paragraph (a) the Contractor and any subcontractor responsible therefore shall be liable to any affected employee for his unpaid wages. In addition, such Contractor and subcontractor shall be liable to the Authority for liquidated damages. Such liquidated damages shall be computed with respect to each individual laborer, mechanic, apprentice, trainee, watchman or guard employed in violation of the provision of paragraph (a) in the sum of \$10 for each calendar day on which such employee was required or permitted to be employed on such work in

excess of his standard work week of 40 hours without payment of the overtime wages required by paragraph (a).

- (c) Withholding for unpaid wages and liquidated damages. The Contracting Officer may withhold from the Authority Contractor, from any monies payable on account of work performed by the Contractor or subcontractor, such sums as may be administratively determined to be necessary to satisfy any liabilities of such Contractor or subcontractor for unpaid wages and liquidated damages as provided in the provisions of paragraph (b).
- (d) Subcontracts. The Contractor shall insert paragraphs (a) through (d) of this clause in all subcontracts and shall require their inclusion in all subcontracts of any tier.
- (e) Records. The Contractor shall maintain payroll records containing the information specified in 29 CFR 516.2(a). Such records shall be preserved for three (3) years from the completion of this Contract.

**10. CONVICT LABOR**

- (a) Except as provided in paragraph (b) of this clause, the Contractor shall not employ in the performance of this contract any person undergoing a sentence of imprisonment imposed by any court of a State, the District of Columbia, Puerto Rico, the Northern Mariana Islands, American Samoa, Guam or the U.S. Virgin Islands.
- (b) The Contractor is not prohibited from employing persons:
  - (1) On parole or probation to work at paid employment during the term of their sentence;
  - (2) Who have been pardoned or who have served their terms; or
  - (3) Confined for violation of the laws of the States, the District of Columbia, Puerto Rico, the Northern Mariana Islands, American Samoa, Guam, or the U.S. Virgin Islands who are authorized to work at paid employment in the community under the laws of such jurisdiction, if—
    - (i) The worker is paid or is in an approved work or training program on a voluntary basis;
    - (ii) Representatives of local union central bodies or similar labor union organizations have been consulted;
    - (iii) Such paid employment will not result in the displacement of employed workers, or be applied in skills, crafts, or trades in which there is a surplus of available gainful labor in the locality, or impair existing contracts or services;
    - (iv) The rates of pay and other conditions of employment will not be less than those paid or provided for work of a similar nature in the locality in which the work is being performed; and

- (v) The Attorney General of the United States has certified that the work-release laws or regulations of the jurisdiction involved are in conformity with the requirements of Executive Order 11755, as amended by Executive Orders 12608 and 12943.

**11. CORRECTION OF DEFICIENCIES**

(a) Definitions, as used in this provision:

- (1) "Deficiency" means any condition or characteristics in any supplies (which term shall include related technical data) or services furnished hereunder, which is not in compliance with the requirements of this Contract.
- (2) "Correction" means any and all actions necessary to eliminate any and all deficiencies.
- (3) "Supplies" mean the end item(s) furnished by the Contractor and related services required under this Contract.

(b) General:

- (1) The rights and remedies of the Authority provided in this provision:
  - (i) Shall not be affected in any way by any other provision(s) under this Contract concerning the conclusiveness of inspection and acceptance; and
  - (ii) Are in addition to and do not limit any rights afforded to the Authority by any other provision article of this Contract.
- (2) This provision shall apply only to those deficiencies discovered by either the Authority or the Contractor within one year after acceptance.
- (3) The Contractor shall not be responsible under this provision for the correction of deficiencies in Authority furnished property, except for deficiencies in installation, unless the Contractor performs or is obligated to perform any modifications or other work on such property. In that event, the Contractor shall be responsible for correction of deficiencies to the extent of such modifications or other work.
- (4) The Contractor shall not be responsible under this provision article for the correction of deficiencies caused by the Authority.

(c) Deficiencies in accepted supplies or services:

- (1) Notice to Contractor - Recommendation for Correction. If the Contracting Officer determines that a deficiency exists in any of the supplies or services accepted by the Authority under this Contract, the Contracting Officer shall promptly notify the Contractor of the deficiency, in writing, within 30 days. Upon timely notification of the existence of such a deficiency, or if the Contractor

independently discovers a deficiency in accepted supplies or services, the Contractor shall promptly submit to the Contracting Officer its recommendation for corrective actions, together with supporting information in sufficient detail for the Contracting Officer to determine what corrective action, if any, shall be undertaken.

- (2) Direction to Contractor concerning correction of deficiencies. Within 30 days after receipt of the Contractor's recommendations for corrective action and adequate supporting information, the Contracting Officer, at his sole discretion, shall give the Contractor written notice not to correct any deficiency, or to correct or partially correct any deficiency within a reasonable time and at a specified location.
  - (3) Correction of deficiencies by Contractor. The Contractor shall promptly comply with any timely written direction by the Contracting Officer to correct or partially correct a deficiency, at no additional cost to the Authority. The Contractor shall also prepare and furnish to the Authority data and reports applicable to any correction required under this provision (including revision and updating of all other affected data called for under this Contract) at no additional cost to the Authority.
  - (4) Proposal for correction. In the event of timely notice of a decision not to correct or only to partially correct, the Contractor shall promptly submit a technical and cost proposal for compensation to the Authority for the diminished value received. If the Contract has not been completed, this may be accomplished as a scope and price modification to the Contract.
- (d) Deficiencies in supplies or services not yet accepted. If the Contractor becomes aware at any time before acceptance by the Authority (whether before or after tender to the Authority) that a deficiency exists in any supplies or services, it shall promptly correct the deficiency. If in the Contractor's judgment such correction is not feasible or in the Authority's best interest, it shall promptly notify the Contracting Officer, in writing, of the deficiency, the reasons for its recommendation not to correct the deficiency, and provide a detailed technical and cost proposal for recommended alternatives.
- (e) No extension in time for performance - No increase in Contract price. In no event shall the Authority be responsible for extension or delays in the schedule deliveries or periods of performance under this Contract as a result of the Contractor's obligations to correct deficiencies, nor shall there be any adjustment of the delivery schedule or period of performance as a result of such correction of deficiencies, except as may be agreed to by the Authority in a contract modification with adequate consideration. This provision shall not be construed as obligating the Authority to increase the Contract price of this Contract.
- (f) Transportation charges. If the agreed upon correction requires the Authority to ship supplies or other items to the Contractor, the Contractor shall be liable for determining the method of shipment and bearing the cost and risk of loss for such supplies or other items while in transit, and until they are redelivered to the Authority. For the purpose of



this provision, the terms “supplies” and “shipment” include both tangible and intangible (e.g., electronic) items and methods.

- (g) Failure to correct. If the Contractor fails or refuses to comply with any term of this provision, or fails to exercise its professional judgment in good faith regarding the identification or correction of any deficiency, the Contracting Officer may proceed in accordance with the Termination for Default provision of this contract. In such event, the Contractor shall be liable for all costs incurred by the Authority in connection with the Termination for Default provision, including but not by way of limitation, the employment of consultants or other contractors to identify the deficiency, to make recommendations regarding methods of correcting the deficiency, the actual correction of the deficiency, and risk of the continued use of the defective supplies, methods of achieving the end purpose of the supplies or other items until the deficiency is corrected, and the estimated cost thereof.
- (h) Correction of deficient replacements and re-performances. The corrected or replaced supplies and any services re-performed pursuant to this provision shall also be subject to all the provisions of the clause to the same extent as supplies or services initially accepted.
- (i) Disassembly/reassembly expense. The Contractor shall be liable for the reasonable cost of any disassembly, reassembly, repair or replacement of Authority property required to implement the correction(s) required in accordance with this provision.

**12. COST OR PRICING DATA**

- (a) As part of its pricing proposal for any modification to this Contract requiring a price adjustment involving an aggregate increase or decrease in excess of \$100,000 to the Contract price, the Contractor shall submit to the Contracting Officer, either actually or by specific identification in writing, cost or pricing data under the conditions described in this paragraph and certify that, to the best of its knowledge and belief, the cost or pricing data submitted is accurate, complete and current as of the date of the proposal. The Contractor, at the discretion of the Contracting Officer, may be required to submit cost or pricing data for price adjustments less than \$100,000.
- (b) The submittal of certified cost or pricing data shall not be required if the price adjustment is based on adequate price competition, established catalog or market prices of commercial items sold in substantial quantities to the general public, or prices set by law or regulation. The Contractor agrees that the terms adequate price competition and established catalog or market prices of commercial items sold in substantial quantities to the general public shall be determined by the Contracting Officer in accordance with the guidelines as set forth in Subpart 15.4 of the Federal Acquisition Regulations (48 CFR 15.4).
- (c) Cost or pricing data consists of all facts existing up to the time of agreement on price which prudent buyers and sellers would reasonably expect to have a significant effect on the price negotiations for the modification. The definition of cost or pricing data embraces more than historical accounting data; it also includes where applicable, such factors as subcontractor, supplier and vendor quotations, non-recurring costs, changes in construction methods or

contract performance, unit cost trends such as those associated with labor efficiency and any management decisions which could reasonably be expected to have a significant bearing on costs under the proposed modification and the Contract work. Cost or pricing data consists of all facts which can reasonably be expected to contribute to sound estimates of future costs as well as to the validity of costs already incurred. Cost or pricing data, being factual, is that type of information which can be verified. Because the certificate pertains to cost or pricing data, it does not make representations as to the accuracy of the Contractor's judgment on the estimated portion of future costs or projections. The certificate does, however, apply to the data upon which the Contractor's judgment is based.

**13. COVENANT AGAINST CONTINGENT FEES**

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

**14. DEFAULT**

- (a) (1) The Authority may, subject to paragraphs (c) and (d) of this clause, by written notice of default to the Contractor, terminate this Contract in whole or part if the Contractor fails to:
  - (i) Deliver the supplies or to perform the services within the time specified in the contract, herein or any extension thereof;
  - (ii) Make progress, so as to endanger performance of the contract; or
  - (iii) Perform any of the other provisions of this contract.
- (2) The Authority's right to terminate this contract under paragraphs (a)(1)(ii) and (a)(1)(iii) above, may be exercised if the contractor does not cure such failures within 10 days (or more if authorized by the Contracting Officer) after receipt of notice from the Contracting Officer specifying the failure.
- (b) If the Authority terminates this Contract in whole or in part, it may procure, under the terms and in the manner as the Contracting Officer considers appropriate, supplies or services similar to those terminated in this contract, and the Contractor will be liable to the Authority for any excess costs for those supplies or services. However, the Contractor shall continue the work not terminated.
- (c) Except for defaults of subcontractors at any tier, the Contractor shall not be liable for any excess costs if the failure to perform the Contract arises from causes beyond the control and without the fault or negligence of the Contractor. Examples of such causes

include (1) acts of God or of the public enemy; (2) acts of the Government in its sovereign capacity or the Authority in its contractual capacity; (3) fires; (4) floods; (5) epidemics; (6) quarantine restrictions; (7) strikes; (8) freight embargoes; and (9) unusually severe weather. In each instance the failure to perform must be beyond the control and without the fault or negligence of the Contractor.

- (d) If the failure to perform is caused by the default of a subcontractor at any tier, and if the cause of the default is beyond the control of both the Contractor and subcontractor, and without the fault or negligence of either, the Contractor shall not be liable for any excess costs for failure to perform, unless the subcontracted supplies or services were obtainable from other sources in sufficient time for the Contractor to meet the required delivery schedule.
- (e) If this Contract is terminated for default, the Authority may require the Contractor to transfer title and deliver to the Authority, as directed by the Contracting Officer (1) any completed supplies, and (2) partially completed supplies and materials, parts, tools, dies, jigs, fixtures, plans, drawings, information (including data and intellectual property) and contract rights that the Contractor has specifically produced or acquired for the terminated portion of this contract. Upon direction of the Contracting Officer, the Contractor shall also protect and preserve property in its possession in which the Authority has an interest.
- (f) The Authority shall pay contract price for completed supplies delivered and accepted. The Contractor and Contracting Officer shall agree on the amount of payment for items identified in paragraph (e) above that were delivered and accepted by the Authority and for the protection and preservation of property. Failure to agree shall be a dispute under the DISPUTES clause of this Contract. The Authority may withhold from these amounts any sum the Contracting Officer determines to be necessary to protect the Authority against loss because of outstanding liens or claims of former lien holders.
- (g) If, after termination, it is determined that the Contractor was not in default or that the default was excusable, the rights and obligations of the parties shall be the same as if the notice of termination had been issued for the convenience of the Authority.
- (h) The rights and remedies of the Authority in this clause are in addition to any other rights and remedies provided by law or under this Contract.

**15. DISPUTES**

- (a) Except as otherwise provided in this Contract, any dispute concerning a question of fact arising under or related to this Contract which is not disposed of by agreement shall be decided by the Contracting Officer, who shall reduce his/her decision to writing and mail or otherwise furnish a copy thereof to the Contractor. The decision of the Contracting Officer shall be final and conclusive unless, within thirty (30) calendar days from the date of receipt of such copy, the Contractor mails or otherwise furnishes to the Contracting Officer a written notice of appeal addressed to the Authority Board of Directors. Such notice would indicate that an appeal is intended and should reference the decision and contract number. The decision of the Board of Directors or its duly

authorized representative for the determination of such appeals shall be final and conclusive unless in proceedings initiated by either party for review of such decision in a court of competent jurisdiction, the court determines the decision to have been fraudulent, or capricious, or arbitrary, or so grossly erroneous as necessarily to imply bad faith, or is not supported by substantial evidence. In connection with any appeal proceeding under this clause, the Contractor, or the Authority, as the case may be, shall be afforded an opportunity to be heard and offer evidence in support of its appeal. Pending final decision of a dispute hereunder, the Contractor shall proceed diligently with the performance of the Contract and in accordance with the Contracting Officer's decision. The Armed Services Board of Contract Appeals is the authorized representative of the Board of Directors for final decisions on an appeal.

- (b) This DISPUTES clause does not preclude consideration of question of law in connection with decisions provided for in Section a. above. Nothing in the Contract, however, shall be construed as making final the decisions of the Board of Directors or its representative on a question of law.

**16. EMPLOYMENT RESTRICTION WARRANTY**

- (a) The Contractor warrants that it will not offer employment to any officer or employee of the Washington Metropolitan Area Transit Authority (Authority) who has been involved, directly or indirectly, in any matter of financial interest to the Contractor until at least one (1) year after the officer or employee has ceased involvement in or responsibility for the matter.
- (b) The Contractor further warrants that it will not employ any Authority officer or employee who has had direct responsibility for any matter of financial interest to the Contractor within the year prior to the retirement or termination of the officer or employee until at least one (1) full year after such officer or employee has left the employment of the Authority.
- (c) The one (1) year requirement described in this provision may be waived at the discretion of the Contracting Officer if the Authority employee or former employee has been subject to a Reduction in Force; in such case, the Contracting Officer will provide the Contractor with a letter to that effect.
- (d) If a waiver is granted, or if a former employee of the Authority is eventually hired, the Contractor shall be responsible for ensuring that the former employee is not directly involved in negotiating or otherwise dealing with Authority on any particular matter over which such employee had responsibility during his or her period of employment at Authority.
- (e) Should the Contractor fail to comply with paragraphs (a), (b) or (d) above, the Contracting Officer shall have the right to withhold payment under this Contract in an amount not to exceed 2% of the total Contract amount as liquidated damages to the Authority, such withholding to be in addition to any other withholding under this Contract. Further, the Contracting Officer shall consider such violation in evaluating the Contractor's responsibility in connection with award of any future Authority Contract.

**17. EXTRAS (SUPPLIES)**

Except as otherwise provided in this Contract, no payment for extras shall be made unless such extras and the prices therefore have been authorized in writing in advance by the Contracting Officer.

**18. FEDERAL, STATE, AND LOCAL TAXES**

- (a) Except as may be otherwise provided in this Contract, the Contract price includes all applicable Federal, State and Local taxes and duties.
- (b) Nevertheless, with respect to any Federal excise tax or duty on the transactions or property covered by this Contract, if a statute, court decision, written ruling or regulation takes effect after the Contract date, and:
  - (1) Results in the Contractor being required to pay or bear the burden of any such Federal excise tax or duty or increase in the rate thereof which would not otherwise have been payable on such transactions or property, the Contract price shall be increased by the amount of such tax or duty or rate increase, provided the Contractor warrants in writing that no amount for such newly imposed Federal excise tax or duty or rate increase was included in the Contract price as a contingency reserve or otherwise; or
  - (2) Results in the Contractor not being required to pay or bear the burden of, or in his obtaining a refund or drawback of, any such Federal excise tax or duty which would otherwise have been payable on such transactions or property or which was the basis of an increase in the Contract price, the Contract price shall be decreased by the amount of the relief, refund, or drawback, or that amount shall be paid to the Authority, as directed by the Contracting Officer. The Contract price shall be similarly decreased if the Contractor, through his fault or negligence or his failure to follow instructions of the Contracting Officer, is required to pay or bear the burden of, or does not obtain a refund or drawback of, any such Federal excise tax or duty.
- (c) Paragraph (b) above shall not be applicable to social security taxes or to any other employment tax.
- (d) No adjustment of less than \$250 shall be made in the Contract price pursuant to paragraph (b) above.
- (e) As used in paragraph (b) above, the term "Contract date" means the date the contract was executed by the Authority. As to additional supplies or services procured by modification to this Contract, the term "Contract date" means the effective date of such modification.
- (f) Unless a reasonable basis to sustain an exemption does not exist, the Authority upon the request of the Contractor shall, without further liability, furnish evidence appropriate

to establish exemption from any relevant Federal, State or Local tax; provided that evidence appropriate to establish exemption from any Federal excise tax or duty which may give rise to either an increase or decrease in the Contract price, will be furnished only at the discretion of the Authority.

- (g) The Contractor shall promptly notify the Contracting Officer of matters which will result in either an increase or decrease in the Contract price and shall take action with respect thereto as directed by the Contracting Officer.

**19. GRATUITIES**

- (a) In connection with performance of work required under this Contract, or any changes or modifications relative thereto, the giving of or offering to give gratuities (in the form of entertainment, gifts or otherwise) by the Contractor, or any agent, representative or other person deemed to be acting on behalf of the Contractor, or any supplier or subcontractor furnishing material to or performing work under this Contractor, or any agent, representative or other person deemed to be acting on behalf of such supplier or subcontractor, to any Director, Officer or employee of the Authority; or to any Director, Officer, employee or agent of any of the Authority's agents, consultants, representatives or other persons deemed to be acting for or on behalf of the Authority with a view toward securing a contract or securing favorable treatment with respect to the awarding or amending, or the making of any determinations with respect to the performing of such contract is expressly forbidden. The terms of this GRATUITIES clause shall be strictly construed and enforced in the event of violations hereto.
- (b) Reported instances of the giving or offering to give gratuities within the context of this GRATUITIES clause will be investigated by the Board of Directors or its duly authorized representative. A preliminary investigation will be made to determine whether there is probable cause to suspect that a violation of this clause has been committed. If such probable cause is found to exist, the Board of Directors, or its duly authorized representative, shall formally notify the suspected donor corporation or individual in writing of the particulars of the event; and provide such donor the opportunity to be heard on the matter. The aims of the investigations and hearing shall be to ensure due process and to preserve the best interests and rights of all parties by the full and fair disclosure of all relevant and material information. Accordingly, the Board of Directors, or its duly authorized representative, shall require production of all pertinent documents and records, and sworn testimony from witnesses. During the pendency of any investigation or hearing treating with a violation of this GRATUITIES clause, the Board of Directors, or its duly authorized representative may exercise its power granted by the Washington Metropolitan Area Transit Authority Compact, Public Law 774, 80 Star. 1324, Article V, General Powers, Subparagraph (k), by issuing subpoenas to compel the attendance of necessary witnesses, and to compel production of papers, records, accounts, ledgers and documents. The subpoenas shall be enforceable by order of an appropriate United States District Court. If, after notice and hearing, or notice of the opportunity to be heard, the Board of Directors, or its duly authorized representative, finds that a violation of this GRATUITIES clause has been committed, the Authority shall have the right to:

- (1) Require that the individual(s) giving or offering the gratuity be removed from further participation on any Authority projects, (be terminated);
  - (2) Deny the Contractor any G & A (general and administrative) mark-ups for all changes and/or modifications found to be tainted by the giving of or offering to give gratuities;
  - (3) Preclude the Contractor from bidding on, receiving or participating as joint venturer, subcontractor or otherwise in any Authority project for a period of five (5) years;
  - (4) Have complete access to all the Contractor's financial books, records and accounts for the purpose of performing a comprehensive audit of the entire project.
  - (5) In the event of repeated violations of this GRATUITIES clause or of gross or extreme conduct indicative of a corrupt intent to gain special advantage, by written notice to the Contractor, terminate the right of the Contractor to proceed under the Contract.
- (c) The existence of the facts upon which the Board of Directors, or its duly authorized representative, makes findings in connection with investigations and hearings in consonance herewith, shall be an issue and may be reviewed in any competent court.
- (d) In the event this Contract is terminated as provided in paragraph (b)(5) of this clause, the Authority shall be entitled:
- (1) To pursue the same remedies against the Contractor as it could pursue in the event of a breach of the Contract by the Contractor; and
  - (2) As a penalty in addition to any other damages to which it may be entitled by law, to exemplary damages in any amount (as determined by the Board or its duly authorized representative) which shall be not less than three (3) nor more than ten (10) times the costs incurred by the Contractor in providing any such gratuities to any such officer or employee.
- (e) The rights and remedies of the Authority provided in this clause shall not be exclusive and are in addition to any other rights and remedies provided by law or under this Contract.

**20. INSPECTION OF SERVICES**

- (a) "Services" as used in this clause, includes services performed, workmanship, and material furnished or utilized in the performance of services.
- (b) The Contractor shall provide and maintain an inspection system acceptable to the Authority covering the services under this contract. Complete records of all inspection work performed by the Contractor shall be maintained and made available to the

Authority during contract performance and for as long afterwards as the Contract requires.

- (c) The Authority has the right to inspect and test all services called for by this contract, to the extent practicable at all times and places during the term of the contract. The Authority shall perform inspection and tests in a manner that will not unduly delay the work.
- (d) If the Authority performs inspections or tests on the premises of the Contractor or a subcontractor, the Contractor shall furnish, and shall require subcontractors to furnish, at non-increase in contract price, all reasonable facilities and assistance for the safe and convenient performance of these duties.
- (e) If any of the services performed do not conform to contract requirements, the Authority may require the Contractor to perform the services again in conformity with contract requirements, for no additional fee. When the defects in performance cannot be corrected by re-performance, the Authority may:
  - (1) Require the Contractor to take necessary action to ensure that future performance conforms to contract requirements; or
  - (2) Reduce the contract price to reflect the reduced value of the services performed.
- (g) If the Contractor fails to promptly perform the services again or to take the necessary action to ensure future performance in conformity with contract requirements, the Authority may:
  - (1) By contract or otherwise, perform the services and charge to the contractor any cost incurred by the Authority that is directly related to the performance of the service; or
  - (2) Terminate the contract for default.

**21. INSPECTION OF SUPPLIES**

- (a) "Supplies," as used in this clause, includes but is not limited to raw materials, components, intermediate assemblies, end products and lots of supplies.
- (b) The Contractor shall provide and maintain an inspection system acceptable to the Authority covering supplies under this contract and shall tender to the Authority for acceptance only supplies that have been inspected in accordance with the inspection system and have been found by the Contractor to be in conformity with contract requirements. As part of the system, the Contractor shall prepare records evidencing all inspections made under the system and the outcome. These records shall be kept complete and made available to the Authority during contract performance and for as long afterwards as the contract requires. The Authority may perform reviews and evaluations as reasonably necessary to ascertain compliance with this paragraph.



These reviews and evaluations shall be conducted in a manner that will not unduly delay the contract work. The right of review, whether exercised or not, does not relieve the Contractor of the obligations under the contract.

- (c) The Authority has the right to inspect and test all supplies called for by the contract, to the extent practicable, at all places and times, including the period of manufacture, and in any event before acceptance. The Authority shall perform inspections and tests in a manner that will not unduly delay the work. The Authority assumes no contractual obligation to perform any inspection and test for the benefit of the Contractor unless specifically set forth elsewhere in this contract.
- (d) If the Authority performs inspection or test(s) on the premises of the Contractor or a subcontractor, the Contractor shall furnish, and shall require subcontractors to furnish, at no increase in contract price, all reasonable facilities and assistance for the safe and convenient performance of these duties. The Authority, except as otherwise provided in the contract, shall bear the expense of Authority inspections or tests made at other than the Contractor's or subcontractor's premises; provided, that in case of rejection, the Authority shall not be liable for any reduction in the value of inspection or test samples.
- (e) When supplies are not ready at the time specified by the Contractor for inspection or test, the Contracting Officer may charge to the Contractor the additional cost of inspection or test. The Contracting Officer may also charge the Contractor for any additional cost of inspection or test when prior rejection makes re-inspection or retest necessary.
- (f) The Authority has the right either to reject or to require correction of nonconforming supplies. Supplies are nonconforming when they are defective in material or workmanship or are otherwise not in conformity with contract requirements. The Authority may reject nonconforming supplies with or without disposition instructions.
- (g) The Contractor shall remove supplies rejected or required to be corrected. However, the Contracting Officer may require or permit correction in place, promptly after notice, by and at the expense of the Contractor. The Contractor shall not tender for acceptance corrected or rejected supplies without disclosing the former rejection or requirement for correction, and, when required, shall disclose the corrective action taken.
- (h) If the Contractor fails to promptly remove, replace, or correct rejected supplies that are required to be removed or to be replaced or corrected, the Authority may either: (1) by contract or otherwise, remove, replace, or correct the supplies and charge the cost to the Contractor; or (2) terminate the contract for default. Unless the Contractor replaces the supplies within the delivery schedule, the Contracting Officer may require their delivery and make an equitable price reduction. Failure to agree to a price reduction shall be a dispute.
- (i) (1) If this contract provides for the performance of Authority quality assurance at source, and if requested by the Authority, the Contractor shall furnish advance

notification of the time: (i) when Contractor inspection or tests will be performed in accordance with the terms and conditions of the contract; and (ii) when the supplies will be ready for Authority inspection.

- (2) The Authority's request shall specify the period and method of the advance notification and the Authority representative to whom it shall be furnished. Requests shall not require more than two (2) workdays of advance notification if the Authority representative is in residence in the Contractor's plant, nor more than seven (7) workdays in other instances.
  
- (j) The Authority shall accept or reject supplies as promptly as practicable after delivery, unless otherwise provided in the contract. Authority failure to inspect and accept or reject the supplies shall not relieve the Contractor from responsibility, nor impose liability on the Authority, for nonconforming supplies.
  
- (k) Inspections and tests by the Authority does not relieve the Contractor of responsibility for defects or other failures to meet contract requirements discovered before acceptance. Acceptance shall be conclusive, except for latent defects, fraud, gross mistakes amounting to fraud, or as otherwise provided in the contract.
  
- (l) If acceptance is not conclusive for any of the reasons in paragraph (k) hereof, the Authority, in addition to any other rights and remedies provided by law, or under other provisions of this contract, shall have the right to require the Contractor:
  - (1) At no increase in contract price, to correct or replace the defective or nonconforming supplies at the original point of delivery or at the Contractor's plant at the Contracting Officer's election, and in accordance with a reasonable delivery schedule as may be agreed upon between the Contractor and the Contracting Officer; provided, that the Contracting Officer may require a reduction in contract price if the Contractor fails to meet such delivery schedule, or
  
  - (2) Within a reasonable time after receipt by the Contractor of notice of defects or nonconformance, to repay such portion of the contract as is equitable under the circumstances if the Contracting Officer elects not to require correction or replacement. When supplies are returned to the Contractor, the Contractor shall bear the transportation cost from the original point of delivery to the Contractor's plant and return to the original point when that point is not the Contractor's plant. If the Contractor fails to perform or act as required in paragraphs (1) or (2) above and does not cure such failure within a period of 10 days (or such longer period as the Contracting Officer may authorize in writing) after receipt of notice from the Contracting Officer specifying such failure, the Authority shall have the right by contract or otherwise to replace or correct such supplies and charge to the Contractor the cost occasioned the Authority thereby.

**22. LIMITATION ON WITHHOLDING PAYMENTS**

If more than one (1) clause or schedule provision of this Contract authorizes the temporary withholding of amounts otherwise payable to the Contractor for supplies delivered or services performed, the total of the amounts so withheld at any one (1) time shall not exceed the greatest amount which may be withheld under any one such clause or schedule provision at that time; provided, that this limitation shall not apply to:

- (a) Withholdings pursuant to any clause relating to wages or hours of employees;
- (b) Withholdings not specifically provided for by this Contract;
- (c) The recovery of overpayment; and
- (d) Any other withholding for which the Contracting Officer determines that this limitation is inappropriate.

**23. NEW MATERIAL (SUPPLY)**

Unless this Contract specifies otherwise, the Contractor represents that the supplies and components to be provided under this Contract are new (not used or reconditioned, and not of such age or so deteriorated as to impair their usefulness or safety). If at any time during the performance of this Contract, the Contractor believes that furnishing supplies or components which are not new is in the Authority's best interest, the Contractor shall notify the Contracting Officer immediately in writing. The Contractor's notice shall include the reasons for the request, along with a proposal for any consideration to the Authority if the Contracting Officer authorize to the use of such supplies or components.

**24. NOTICE AND ASSISTANCE REGARDING PATENT AND COPYRIGHT INFRINGEMENT (SUPPLY)**

- (a) The Contractor shall report to the Contracting Officer, promptly and in reasonable written detail, each notice or claim of patent or copyright infringement based on the performance of this Contract of which the Contractor has knowledge.
- (b) In the event of any claim or suit against the Authority on account of any alleged patent or copyright infringement arising out of the performance of this Contract or out of the use of any supplies furnished or work or services performed hereunder, the Contractor shall furnish to the Authority, when requested by the Contracting Officer, all evidence and information in possession of the Contractor pertaining to such suit or claim. Such evidence and information shall be furnished at the expense of the Authority except where the Contractor has agreed to indemnify the Authority.
- (c) This clause shall be included in all subcontracts.

**25. NOTICE TO THE AUTHORITY OF LABOR DISPUTES**

- (a) Whenever the Contractor has knowledge that any actual or potential labor dispute is delaying or threatens to delay the timely performance of this Contract, the Contractor shall immediately give notice thereof, including all relevant information with respect thereto, to the Contracting Officer.
- (b) The Contractor agrees to insert the substance of this clause, including this paragraph (b), in any subcontract hereunder as to which a labor dispute may delay the timely performance of this Contract; except that each such subcontract shall provide that in the event its timely performance is delayed or threatened by delay by any actual or potential labor dispute, the subcontractor shall immediately notify his next higher tier subcontractor, or the Contractor, as the case may be, of all relevant information with respect to such dispute.

**26. OFFICIALS NOT TO BENEFIT**

- (a) No member of or delegate to Congress, or resident commissioner, shall be admitted to any share or part of this Contract, or to any benefit that may arise there from; but this provision shall not be construed to extend to this Contract if made with a corporation for its general benefit.
- (b) No member, officer or employee of the Public Body or of a local public body during his tenure or one year thereafter shall have any interest, direct or indirect, in this Contract or the proceeds thereof.
- (c) Enforcement of this clause shall be consistent with 18 U.S.C. §431.

**27. ORDER OF PRECEDENCE**

Any inconsistency in this solicitation or Contract shall be resolved by giving precedence in the following order: (a) Contract Amendments/Modifications; (b) Solicitation Offer and Award Forms; (c) Representations and Certifications; (d) Price Proposal as Negotiated; (e) General Provisions; (f) WMATA Standard Specifications and Technical Specifications of the Contract, whether incorporated by reference or otherwise; (g) other documents, exhibits, and attachments; and (h) drawings, if any. In the event of a conflict within, between or among all the above listed order of precedent, the more stringent requirement shall apply.

**28. ORGANIZATIONAL CONFLICT OF INTEREST**

- (a) An organizational conflict of interest exists when the nature of the work to be performed under a proposed contract or subcontract may, without some restriction on future activities (1) result in an unfair competitive advantage to the contractor or subcontractor; or (2) impair the contractor's objectivity in performing the contracted work. Most typically this would arise when a contractor prepares a design or specification for work that is to be procured competitively. It may also arise when a contractor or one of its affiliates would have an economic interest in the outcome of a contract or project. Conflicts of interest may be either real or apparent.

- (b) In the event that an Offeror believes that it or any of its potential subcontractors may have an organizational conflict of interest, it shall notify the Contracting Officer, in writing, within five (5) work days after it becomes aware of the potential or actual organizational conflict of interest. The written notification shall identify the nature and circumstances of the perceived conflict and propose appropriate measures to eliminate or mitigate the situation. The Contracting Officer will review the circumstances and the proposed mitigation and notify the Offeror accordingly, determining that: (1) no mitigation is required; (2) the conflict cannot be mitigated; or (3) the conflict can be mitigated and accepts the proposed measures, or recommends additional measures.
- (c) The failure of an Offeror to identify such perceived conflicts may result in: (1) the Offeror being disqualified from the competition; or (2) any contract award being rescinded or terminated for default.
- (d) Should a successful Offeror identify or become aware of a conflict after award, including any extension of the contract, which it could not reasonably have anticipated prior to award, it shall notify the Contracting Officer in accordance with paragraph (b) above, or request an exception to the restriction with supporting rationale. The Contracting Officer shall consider the Contractor's proposed measures to mitigate or eliminate the conflict, or the request for an exception.
  - (1) If the proposed measures are not determined feasible nor acceptable to the Contracting Officer, the Contracting Officer may terminate the contract in accordance with the TERMINATION FOR CONVENIENCE OF THE AUTHORITY provisions of the contract; or
  - (2) If the request for an exception is not granted by the Contracting Officer, and the contract is not terminated for convenience, the Contractor shall be notified in writing and be given ten (10) days from the date of the written notification to take all necessary action to comply with the requirements of this clause.
  - (3) If the proposed measures are determined acceptable to the Contracting Officer, the Contracting Officer may grant a specific exception to this restriction, when in the Contracting Officer's judgment, the exception will not create a conflict between the Contractor's duties and obligations under this contract and the duties and obligations imposed on the Contractor under the contractual or other relationship for which an exception is requested.
- (e) If the Contractor fails to comply with the terms of this clause, the Contracting Officer, may withhold payments due under the contract until such time as the Contractor is in compliance or, should the non-compliance remain uncorrected at the expiration of ten (10) days from written notice from the Contracting Officer as provided in §(d)(2) of this clause, terminate the contract for default pursuant to the Default clause of this contract.
- (f) The Contractor, in performing this Contract, shall avoid any conduct which might result in or give the appearance of creating for Directors, Officers, or employees of the Authority in their relationship with the Contractor, any conflicts of interest or favoritism

and/or the appearance thereof and shall avoid any conduct which might result in a Director, Officer, or employee failing to adhere to the Standards of Conduct adopted by the Authority's Board of Directors.

- (g) Any determination by the Contracting Officer under this clause shall be final and shall be considered a question of fact within the meaning of the Disputes clause of this Contract.

**29. PATENT INDEMNITY**

The Contractor shall indemnify the Authority and its officers, agents and employees against liability, including costs, for infringement of any United States patent (except a patent issued upon an application that is now or may hereafter be withheld from issue pursuant to a Secrecy Order under 35 U.S.C. 181) arising out of the manufacture or delivery of supplies, the performance of services, or the construction, alteration, modification, or repair of real property ("hereinafter referred to as "construction work") under this Contract. This indemnity shall not apply unless the Contractor is informed as soon as practicable by the Authority of the suite or action alleging such infringement, and is given such opportunity as is afforded by applicable laws, rules, or regulations to participate in the defense thereof; and further, such indemnity shall not apply to:

- (1) An infringement resulting from compliance with specific written instructions of the Contracting Officer directing a change in the supplies to be delivered or in the materials or equipment to be used, or directing a manner or performance of the Contract not normally used by the Contractor;
- (2) An infringement resulting from addition to, or change in, such supplies or components furnished or construction work performed that was made subsequent to delivery or performance by the Contractor; or
- (3) A claimed infringement which is unreasonably settled without the consent of the Contractor, unless required by final decree of court of competent jurisdiction.

**30. PAYMENTS**

The Authority shall pay the Contractor, normally within 30 days of receipt of a properly prepared invoice or voucher, the prices stipulated in this contract for supplies delivered and accepted or services rendered and accepted, less any deductions provided in this contract.

**31. PRICE REDUCTION FOR DEFECTIVE COST OR PRICING DATA - MODIFICATIONS**

- (a) This clause shall become operative only with respect to any modification of this Contract which involves aggregate increases and/or decreases in costs plus applicable profits in excess of \$100,000 unless the modification is priced on the basis of adequate competition, established catalog or market prices of commercial items sold in substantial quantities to the general public, or prices set by law or regulation. The right to price reduction under this clause is limited to defects in data relating to such modification.

- (b) If any price, including profit, or fee, negotiated in connection with any modification for price adjustment under this Contract, was increased by any significant amount because of (b)(1) or (3) of this clause, the price or cost shall be reduced accordingly and the contract shall be modified to reflect the reduction. This right to a price reduction is limited to that resulting from defects in data relating to modifications for which this clause becomes operative under paragraph (a) of this clause.
  - (1) The Contractor or a subcontractor furnished cost or pricing data that were which was not complete, accurate, and current as certified in the Contractor's Certificate of Current Cost or Pricing Data;
  - (2) A subcontractor or prospective subcontractor furnished the Contractor cost or pricing data that were not complete, accurate, and current as of the date certified in the Contractor's Certificate of Current Cost or Pricing Data; or
  - (3) Any reduction in the Contract price due to defective subcontract data of a prospective subcontractor, when the subcontract was not subsequently awarded to such subcontractor, shall be limited to the amount (plus applicable overhead and profit markup) by which the actual subcontract, or the actual cost to the Contractor, if there was no subcontract, was less than the prospective subcontract cost estimate submitted by the Contractor, provided that the actual subcontract price was not affected by defective cost or pricing data.
- (c) If the Contractor includes a clause an article similar to this clause in any subcontract, such subcontract clause shall be solely between the Contractor and the subcontractor and not binding on the Authority.

**32. PRICING OF ADJUSTMENTS**

- (a) When costs are a factor in any determination of a Contract price adjustment pursuant to the CHANGES AND CHANGED CONDITIONS clause or any other provision of this Contract, such costs shall be in accordance with the Subpart 31.1 of the Federal Acquisition Regulations (48 CFR 31.1).
- (b) Notwithstanding any interpretation of the aforementioned contract cost principles and procedures to the contrary, the Authority will not be liable for interest, however represented, on or as a part of any claim, request, proposal or adjustment, including equitable adjustments, whether said claim, request, proposal or adjustment, including equitable adjustments, arises under the Contract or otherwise.
- (c) Where general and administrative expense is recoverable as part of any pricing adjustment under this contract, the adjustment shall be based on the relationship between the Contractors' total general and administrative expenses allowable under FAR cost principles for all construction-type operations, during the fiscal or calendar year covering the actual performance period of the work included in this pricing adjustment, and the Contractor's total cost input (excluding General and Administrative costs) for construction-type operations during the same period, expressed as a

percentage, applied to the direct and overhead contract costs included in the pricing adjustment.

**33. RESPONSIBILITY FOR INSPECTION**

Notwithstanding the requirements for any Authority inspection and test contained in Specifications applicable to this Contract, except where specialized inspections or tests are specified for performance solely by the Authority, the Contractor shall perform or have performed the inspections and tests required to substantiate that the supplies and services provided under the Contract conform to the Drawings, Specifications and Contract requirements.

**34. RETENTION OF DOCUMENTS**

Except where this Contract specifically requires otherwise, the Contractor shall retain for a period of three (3) years from final payment, all research and supporting documentation, work papers and other documents, whether written or electronic, used in the performance of services for this Contract.

**35. RIGHTS IN TECHNICAL DATA**

- (a) The Authority shall have the right to use, duplicate, or disclose technical data, which includes computer software, in whole or in part, in any manner and for any purpose whatsoever, and to have or permit others to do so:
  - (1) Any manuals, instructional materials prepared for installation, operation, maintenance or training purposes;
  - (2) Technical data pertaining to end items, components or processes which were prepared for the purpose of identifying sources, size, configuration, mating and attachment characteristics, functional characteristics and performance requirements ("form, fit and function" data; e.g., specification control drawings, catalog sheets, outline drawing; except that for computer software it means data identifying source, functional characteristics, and performance requirements but specifically excludes the source code, algorithm, process, formulae, and flow charts of the software);
  - (3) Other technical data which has been, or is normally furnished without restriction by the Contractor or subcontractor; or
  - (4) Other specifically described technical data which the parties have agreed will be furnished without restriction.
- (b) The Authority shall have the right to use, duplicate, or disclose technical data other than that defined in paragraph (a) in whole or in part, with the express limitation that such technical data shall not, without the written permission of the party furnishing such technical data, be



- (1) Released or disclosed in whole or in part outside the Authority;
  - (2) Used in whole or in part by the Authority for manufacture; or
  - (3) Used by a party other than the Authority except for emergency repair or overhaul work only, by or for the Authority where the item or process concerned is not otherwise reasonably available to enable timely performance of the work; provided, that the release or disclosure thereof outside the Authority shall be made subject to a prohibition against further use, release or disclosure.
- (c) Technical data provided in accordance with the provisions of paragraph (b) shall be identified by a legend which suitably recites the aforesaid limitation. Nothing herein shall impair the right of the Authority to use similar or identical data acquired from other sources.
- (d) The term technical data as used in this clause means technical writing, computer software, sound recordings, pictorial reproductions, drawings, or other graphic representations and works of a technical nature, whether or not copyrighted, which are specified to be delivered pursuant to this Contract. The term does not include financial reports, cost analyses, and other information incidental to Contract administration. Computer software as used in this clause means computer programs, computer data bases, and documentation thereof.
- (e) Material covered by copyright:
- (1) The Contractor agrees to and does hereby grant to the Authority, and to its officers, agents and employees acting within the scope of their official duties, a royalty-free, nonexclusive and irrevocable license throughout the world for Authority purposes to publish, translate, reproduce, deliver, perform, dispose of, and to authorize others so to do, all technical data now or hereafter covered by copyright.
  - (2) No such copyrighted matter shall be included in technical data furnished hereunder without the written permission of the copyright owner for the Authority to use such copyrighted matter in the manner above described.
  - (3) The Contractor shall report to the Authority (or higher-tier contractor) promptly and in reasonable written detail each notice or claim of copyright infringement received by the Contractor with respect to any technical data delivered hereunder.
- (f) Relation to patents: Nothing contained in this clause shall imply a license to the Authority under any patent, or be construed as affecting the scope of any license or other right otherwise granted to the Authority under any patent.
- (g) Any dispute under this clause article shall be subject to the Disputes clause of this contract.

- (h) Notwithstanding any other payment provision in this contract, the Contracting Officer may retain from payment up to 10 percent of the contract price until final delivery and acceptance of the technical data defined in this clause and as required to be furnished by the bid schedule or the contract specification.

**36. ROYALTY INFORMATION**

- (a) When the response to this solicitation contains costs or charges for royalties totaling more than \$250, the following information shall be furnished with the offer, proposal, or quotation on each separate item of royalty or license fee:
  - (1) Name and address of licensor;
  - (2) Date of license agreement;
  - (3) Patent numbers, patent application serial numbers or other basis on which the royalty is payable;
  - (4) Brief description, including any part or model numbers of each contract item or component on which the royalty is payable;
  - (5) Percentage or dollar rate of royalty per unit;
  - (6) Unit price or Contract item;
  - (7) Number of units; and
  - (8) Total dollar amount of royalties.
- (b) In addition, if specifically requested by the Contracting Officer prior to execution of the Contract, a copy of the current license agreement and identification of applicable claims of specific patents shall be furnished.

**37. SEAT BELT USE POLICY**

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

**38. SENSITIVE SECURITY INFORMATION**

The contractor must protect, and take measures to assure that its subcontractors at each tier protect, "sensitive information" made available during the course of administering an Authority contract or subcontract in accordance with 49 U.S.C. Section 40119(b) and implementing DOT regulations, "Protection of Sensitive Security Information," 49 CFR Part 15, and with 49 U.S.C. Section 114(s) and implementing Department of Homeland Security regulations, "Protection of Sensitive Security Information," 49 CFR Part 1520.

**39. STOP WORK ORDER**

- (a) The Contracting Officer may, at any time, by written order to the Contractor, require the Contractor to stop all, or any part of the work called for by this Contract for a period of 90 days after the order is delivered to the Contractor, and for any further period to which the parties may agree. The order shall be specifically identified as a STOP WORK ORDER issued under this clause. Upon receipt of the order, the Contractor shall immediately comply with its terms and take all reasonable steps to minimize the incurrence of costs allocable to the work covered by the order during the period of work stoppage. Within a period of 90 days after a stop work order is delivered to the Contractor, or within any extension of that period to which the parties shall have agreed, the Contracting Officer shall either:
  - (1) Cancel the stop work order; or
  - (2) Terminate the work covered by such order as provided in the DEFAULT or TERMINATION FOR CONVENIENCE OF THE AUTHORITY clauses of this Contract.
  
- (b) If a stop work order issued under this clause is cancelled or the period of the order or any extension thereof expires, the Contractor shall resume work. An equitable adjustment shall be made in the delivery schedule or Contract price, or both, and the Contract modified in writing accordingly, if:
  - (1) The stop work order results in an increase in the time required for, or in the Contractor's cost properly allocable to, the performance of any part of this Contract; and
  - (2) The Contractor asserts a claim for such adjustment within 30 days after the end of the period of work stoppage; provided that, if the Contracting Officer decides the facts justify such action, he may receive and act upon any such claim submitted at any time before final payment under this Contract.
  
- (c) If a stop work order is not cancelled and the work covered by the order is terminated for the convenience of the Authority, the Contracting Officer shall allow reasonable costs resulting from the stop work order shall be allowed in arriving at the termination settlement.
  
- (d) If a stop work order is not cancelled and the work covering by the order is terminated for default, the Contracting Officer shall allow, by equitable adjustment or otherwise, reasonable costs resulting from the stop-work order.

**40. SUBCONTRACTOR COST AND PRICING DATA-PRICE ADJUSTMENTS**

- (a) Paragraphs (b) and (c) of this clause shall become operative only with respect to any change or other modification made pursuant to one or more provisions of this Contract which involves a price adjustment in excess of \$100,000. The requirements of this clause shall be limited to such price adjustments.

- (b) The Contractor shall require subcontractors hereunder to submit cost or pricing data under the following circumstances:
  - (1) Prior to award of any cost-reimbursement type, incentive, or price re-determinable subcontract;
  - (2) Prior to the award of any subcontract the price of which is expected to exceed \$100,000; and
  - (3) Prior to the pricing of any subcontract change or other modification for which the price adjustment is expected to exceed \$100,000; except in the case of (b)(2) or (3) where the price is based on adequate price competition, established catalog or market prices of commercial items sold in substantial quantities to the general public, or prices set by law or regulation.
- (c) The Contractor shall require subcontractors to certify that to the best of their knowledge and belief, the cost and pricing data submitted under paragraph (b) of this clause, is accurate, complete, and current as of the date of execution, which date shall be as close as possible to the date of agreement on the negotiated price of the Contract modification.
- (d) The Contractor shall insert the substance of this clause including this paragraph (d) in each subcontract which exceeds \$100,000.

**41. SUBCONTRACTOR PAYMENTS**

- (a) The Contractor shall, under this contract, establish procedures to ensure timely payment of amounts due pursuant to the terms of its subcontracts. The Contractor shall pay each subcontractor for satisfactory performance of its contract, or any billable portion thereof, no later than ten (10) days from the date of the Contractor's receipt of payment from the Authority for work by that subcontractor. The Contractor shall also release, within ten (10) days of satisfactory completion of all work required by the subcontractor, any retention withheld from the subcontractor.
- (b) The Contractor shall certify on each payment request to the Authority that payment has been or will be made to all subcontractors in accordance with paragraph (a) above for previous payments by the Authority to the Contractor. The Contractor shall notify the Contracting Officer or other delegated Authority representative with each payment request, of any situation in which scheduled subcontractor payments have not been made.
- (c) If a subcontractor alleges that the Contractor has failed to comply with this provision, the Contractor agrees to support any Authority investigation, and, if deemed appropriate by the Authority, to consent to remedial measures to ensure subcontractor payment that is due.

- (d) The Contractor agrees that the Authority may provide appropriate information to interested subcontractors who want to determine the status of Authority payments to the Contractor.
- (c) Nothing in this provision is intended to create a contractual obligation between the Authority and any subcontractor or to alter or affect traditional concepts of privity of contract between all parties.

**42. TERMINATION FOR CONVENIENCE OF THE AUTHORITY**

- (a) The Authority may terminate performance of work under this Contract in whole, or from time to time, in part, if the Contracting Officer determines that a termination is in the Authority's interest. The Contracting Officer shall terminate by delivering to the Contractor a Notice of Termination specifying the extent of termination and the effective date.
- (b) After receipt of a Notice of Termination, and except as otherwise directed by the Contracting Officer, the Contractor shall immediately proceed with the following obligations, regardless of any delays in determining or adjusting any amounts due under the clause:
  - (1) Stop work as specified in the Notice of Termination;
  - (2) Place no further subcontracts or orders (referred to as subcontracts in this clause) for materials, services, or facilities, except as necessary to complete the continued portion of the contract;
  - (3) Terminate all subcontracts to the extent that they relate to the work terminated;
  - (4) Assign to the Authority, as directed by the Contracting Officer, all right(s), title, and interest of the Contractor under the subcontracts terminated, in which case the Authority shall have the right to settle or pay any termination settlement proposal arising out of those terminations;
  - (5) With approval or ratification to the extent required by the Contracting Officer, settle all outstanding liabilities and termination settlement proposals arising from the termination of subcontracts; the approval or ratification will be final for all the purposes of this clause;
  - (6) As directed by the Contracting Officer, transfer title and deliver to the Authority:
    - (i) The fabricated or un-fabricated parts, work in process, completed work, supplies, and other material produced or acquired for the work terminated; and
    - (ii) 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 the Authority.

- (7) Complete performance of the work not terminated;
  - (8) Take any action that may be necessary, or as the Contracting Officer may direct, for the protection and preservation of the property related to this Contract that is in the possession of the Contractor and in which the Authority has or may acquire an interest;
  - (9) Use its best efforts to sell, as directed or authorized by the Contracting Officer, any property of the types referred to in paragraph (b)(6) of this clause; provided, however, that the Contractor (a) is not required to extend credit to any purchaser and (b) may acquire the property under the conditions prescribed by, and at prices approved by, the Contracting Officer. The proceeds of any transfer or disposition will be applied to reduce payments to be made by the Authority under this contract, credited to the price or cost of the work, or paid in any other manner directed by the Contracting Officer.
- (c) The Contractor shall submit complete termination inventory schedules not later than 120 days from the effective date of termination, unless extended in writing by the Contracting Officer upon written request of the Contractor within the 120-day period.
- (d) After expiration of the plant clearance period (as defined in Subpart 49.001 of the Federal Acquisition Regulation), the Contractor may submit to the Contracting Officer a list, certified as to quantity and quality, of termination inventory not previously disposed of, excluding items authorized for disposition by the Contracting Officer. The Contractor may request the Authority to remove those items or enter into an agreement for their storage. Within 15 days thereafter, the Authority will accept title to those items and remove them or enter into a storage agreement. The Contracting Officer may verify the list upon removal of the items, or if stored, within 45 days from submission of the list, and shall correct the list, as necessary, before final settlement.
- (e) After termination, the Contractor shall submit a final termination settlement proposal to the Contracting Officer in the form and with the certification prescribed by the Contracting Officer. The Contractor shall submit the proposal promptly, but no later than 1 year from the effective date of termination, unless extended in writing by the Contracting Officer upon written request of the Contractor within this 1-year period. However, if the Contracting Officer determines that the facts justify it, a termination settlement proposal may be received and acted upon after 1 year or any extension. If the Contractor fails to submit the proposal within the time allowed, the Contracting Officer may determine, on the basis of information available, the amount, if any, due the contractor because of the termination and shall pay the amount determined.
- (f) Subject to paragraph (e) this clause, the Contractor and the Contracting Officer may agree upon the whole or any part of the amount to be paid or remaining to be paid because of the termination. The amount may include a reasonable allowance for profit on work done. However, the agreed amount, whether under this paragraph (f) or paragraph (g) of this clause, exclusive of costs shown in paragraph (g)(3) of this clause, may not exceed the total contract price as reduced by (1) the amount of

payment previously made and (2) the contract of price of work not terminated. The contract shall be modified, and the Contractor paid the agreed amount. Paragraph (g) of this clause does not limit, restrict, or affect the amount that may be agreed upon to be paid under this paragraph.

- (g) If the Contractor and the Contracting Officer fail to agree on the whole amount to be paid because of the termination of work, the Contracting Officer shall pay the Contractor the amounts determined by the Contracting Officer as follows, but without duplication of any amounts agreed on under paragraph (f) of this clause:
  - (1) The contract price for completed supplies or services accepted by the Authority (or sold or acquired under paragraph (b)(9) of this clause) not previously paid for, adjusted for any saving of freight and other charges.
  - (2) The total of:
    - (i) The costs incurred in the performance of the work terminated, including initial costs and preparatory expense allocable thereto, but excluding any costs attributable to items compensated or to be paid for under paragraph (g)(1) of this clause;
    - (ii) The cost of settling and paying termination settlement proposals under terminated subcontracts that are properly chargeable to the terminated portion of the contract if not excluded in subsection (g)(2)(i) of this clause; and
    - (iii) A sum, as profit on subdivision (g)(2)(i) of this clause, determined by the Contracting Officer pursuant to Section 49.202 of the Federal Acquisition Regulation, in effect on the date of this contract, to be fair and reasonable; however if it appears that the Contractor would have sustained a loss on the entire Contract had it been completed, the Contracting Officer shall allow no profit under this subsection (g)(2)(iii) and reduce the settlement to reflect the indicated rate of loss.
  - (3) The reasonable costs of settlement of the work terminated, including:
    - (i) Accounting, legal, clerical, and other expenses reasonably necessary for the preparation of termination settlement proposals and supporting data;
    - (ii) The termination and settlement of subcontracts (excluding the amounts of such settlements); and
    - (iii) Storage, transportation, and other costs incurred, reasonably necessary for the preservation, protection, or disposition of the termination inventory.

- (h) Except for normal spoilage, and except to the extent that the Authority expressly assumed the risk of loss, the Contracting Officer shall exclude from the amounts payable to the Contractor under paragraph (g) of this clause, the fair value, as determined by the Contracting Officer, of property that is destroyed, lost, stolen, or damaged so as to become undeliverable to the Authority or to a buyer.
- (i) The cost principles and procedures of Part 31 of the Federal Acquisition Regulation, in effect on the date of this contract, shall govern all costs claimed, agreed to, or determined under this clause.
- (j) The Contractor shall have the right of appeal, under the DISPUTES clause, from any determination made by the Contracting Officer under paragraph (e), (g) or (1) of this clause, except that if the Contractor failed to submit the termination settlement proposal or request for equitable adjustment within the time provided in paragraph (e) or (1) respectively, and failed to request a time extension, there is no right of appeal.
- (k) In arriving at the amount due the Contractor under this clause, there shall be deducted:
  - (1) All un-liquidated advances or other payments to the Contractor under the terminated portion of the Contract;
  - (2) Any claim which the Authority has against the Contractor under this contract; and
  - (3) The agreed price for, or the proceeds of sale of, materials, supplies, or other things procured by the Contractor or sold under the provisions of this clause and not recovered by or credited to the Authority.
- (l) If the termination is partial, the Contractor may file a proposal with the Contracting Officer for an equitable adjustment of the price(s) of the continued portion of the Contract. The Contracting Officer shall make any equitable adjustment agreed upon. Any proposal by the Contractor for an equitable adjustment under this clause shall be requested within 90 days from the effective date of termination unless extended in writing by the Contracting Officer.
- (m)
  - (1) The Authority may, under such terms and conditions it prescribes, make partial payments and payments against costs incurred by the Contractor for the terminated portion of the Contract, if the Contracting Officer believes the total of these payments will not exceed the amount to which the contractor will be entitled.
  - (2) If the total payments exceed the amount finally determined to be due, the Contractor shall repay the excess to the Authority upon demand, together with interest computed at the rate established by the Secretary of Treasury under 50 U.S.C. App. 1215(b)(2). Interest shall be computed for the period from the date the excess payment is received by the Contractor to the date the excess is repaid. Interest shall not be charged on any excess payment due to a reduction in the Contractor's termination settlement proposal because of retention or



other disposition of termination inventory until 10 days after the date of the retention or disposition, or a later date determined by the Contracting Officer because of circumstances.

- (n) Unless otherwise provided in this Contract or by statute, the Contractor shall maintain all records and documents relating to the terminated portion of this contract for three (3) years after final settlement. This includes all books and other evidence bearing on the costs and expenses of the Contractor under this Contract. The Contractor shall make these records and documents available to the Authority, its governing jurisdictions and any other federal, state, or local entities providing funding for this Contract, and to the Comptroller General of the United States, or the agents or representatives of any of them, at the Contractor's office, at all reasonable times, without any direct charge. If approved by the Contracting Officer, photographs, microphotographs, or other authentic reproduction may be maintained instead of original records and documents. This requirement shall be passed through to all subcontractors whose compensation is included in the termination settlement.

**43. TITLE**

Unless this Contract specifically provides for earlier passage of title to deliverables (including documents, reports, and data) or other items resulting from this Contract, title shall pass to the Authority upon formal acceptance, regardless of when or where the Authority takes physical possession. The risk of loss remains with the Contractor until the transfer of title.

**44. VARIATION IN QUANTITY (SUPPLIES)**

No variation in the quantity of any item called for by this Contract will be accepted unless such variation has been caused by conditions of loading, shipping, or packing, or allowances in manufacturing processes, and then only to the extent, if any, specified elsewhere in this Contract.

**45. WALSH-HEALEY PUBLIC CONTRACTS ACT**

If this Contract is for the manufacture or furnishing of materials, supplies, or equipment in an amount which exceeds or may exceed \$10,000 and is subject to the Walsh-Healey Public Contracts Act, as amended (41 U.S.C. 35-45), the following terms and conditions apply:

- (a) All stipulations required by the Act and regulations issued by the Secretary of Labor (41 CFR Chapter 50) are incorporated by reference. These stipulations are subject to all applicable rulings and interpretations of the Secretary of Labor that are now, or may be hereafter, be in effect.

- (b) All employees whose work relates to this contract shall be paid not less than the minimum wage prescribed by regulations issued by the Secretary of Labor (41 CFR 50-202.2). Learners, student learners, apprentices, and handicapped worker may be employed at less than the prescribed minimum wage (see 41 CFR 50-202.3) to the same extent that such employment is permitted under Section 14 of the Fair Labor Standards Act (41 U.S.C. 40).

\* \* \*

**PART II, SECTION 2 - SPECIAL PROVISIONS**

## **PART II, SECTION 2 - SPECIAL PROVISIONS**

### **1. PERIOD OF PERFORMANCE**

The period of performance is 400 calendar days commencing on the date of award.

### **2. DELIVERY SCHEDULE**

- a. The Authority requires delivery of the railcars within 360 calendar days from date of award of contract.
- b. The Authority requires acceptance and re-comminssing of the railcars within 380 calendar days from date of award of contract.

### **3. OPTION QUANTITIES**

- a. The Authority has the unilateral right to extend the contract by exercising the option or options (as applicable) subject to all terms and conditions herein.
- b. The Authority may exercise the option(s) (if any) by written notice to the Contractor prior to commencement of the option period; provided, that the Authority shall give the contractor a preliminary notice of its intent to extend at least 30 days before the contract expires. The preliminary notice does not commit the Authority to an extension.

### **4. AVAILABILITY OF FUNDS FOR THE NEXT FISCAL YEAR - NOT USED**

### **5. PRICING**

Prices on the Bid Schedule Sheets submitted must include all associated costs, including but not limited to, travel, markups, overhead, and profit.

### **6. PAYMENT TERMS**

- a. Discounts for prompt payment will not be considered in the evaluation of offers. However, any offered discount will form a part of the award, and will be taken if payment is made within the discount period indicated in the offer by the Offeror.
- b. Except for the line items for documentation, partial payments are authorized upon receipt of supplies or services, acceptance by the COTR, and a properly executed invoice.

**7. BILLING AND PAYMENT**

- a. Payment will be made after receipt of a properly completed invoice. Mail original and one copy of all invoices to Office of Accounting, WMATA, 6th Floor, 600 Fifth Street, NW, Washington DC 20001. Also mail one copy of each invoice to the Contracting Officer's Technical Representative (COTR).
- b. Invoices shall contain the following information: date, contract and order number (if any), item numbers, description of supplies or services, sizes, quantities, unit prices, and extended totals. Final invoices must clearly be marked "FINAL" and cite the amount of the contract, amount previously paid, and the balance due.

**8. POINT OF CONTACT**

All inquiries are to be directed to:

Washington Metropolitan Area Transit Authority  
Attn: Ronald A. Michaelis  
600 Fifth Street, N.W.  
Suite 301-E  
Washington, D.C. 20001  
Phone: 202-962-2717  
FAX: 202-962-2038  
E-Mail: [rmichaelis@wmata.com](mailto:rmichaelis@wmata.com).

**9. F.O.B. DESTINATION**

- a. The term "f.o.b. destination," as used in this clause, means:
  1. Free of expense to WMATA on board the carrier's conveyance, at a specified delivery point where the consignee's facility (plant, warehouse, store, lot, or other location to which shipment can be made) is located; and
  2. Supplies shall be delivered to the destination consignee's warehouse unloading platform, or receiving dock, at the expense of the Contractor. WMATA shall not be liable for any delivery, storage, demurrage, accessorial, or other charges involved before the actual delivery (or "constructive placement" as defined in carrier tariffs) of the supplies to the destination, unless such charges are caused by an act or order of WMATA acting in its contractual capacity. If the Contractor uses rail carrier or freight forwarder for less than carload shipments, the Contractor shall assure that the carrier will furnish tailgate delivery if transfer to truck is required to complete delivery to consignee.
- b. The Contractor shall:

1. Pack and mark the shipment to comply with contract specification;
2. In the absence of specifications, prepare the shipment in conformance with carrier requirements;
3. Prepare and distribute commercial bills of lading;
4. Deliver the shipment in good order and condition to the point of delivery specified in the contract;
5. Be responsible for any loss of and/or damage to the goods occurring before receipt of the shipment by the consignee at the delivery point specified in the contract;
6. Furnish a delivery schedule and designate the mode of delivering carrier; and
7. Pay and bear all charges to the specified point of delivery.

**10. CONTRACTOR PERSONNEL**

- a. The Contractor shall replace employees who the Authority judges to be incompetent, careless, unsuitable or otherwise objectionable, or whose continued use is deemed contrary to the best interests of the program. The reason for replacement will be discussed between the Contractor and the Authority before a replacement request is issued. Upon receipt of a written request from the Authority, the Contractor shall proceed with the replacement unless the Contractor is able to demonstrate that the Authority's request is unreasonable. The replacement request will include the desired replacement date and the reason for the request. The Contractor shall effect the replacement in a manner that does not impact quality, cost or schedule.
- b. Contractor personnel required to work on WMATA property must obtain a WMATA vendors badge and successfully complete the mandatory safety training which must be renewed yearly. To obtain a vendors badge a signed waiver to perform a background check will be required.

**11. PRE-EMPLOYMENT CRIMINAL BACKGROUND CHECK REQUIREMENT**

Criminal background checks of all contractor employees working at a WMATA facility on this contract will be required pursuant to Metro Policy/Instruction 7.40/0, Background Screenings and Metro Policy/Instruction 6.10/5, Metro Employee Identification Cards, Section 5.04. Eligibility for access to WMATA property will be based on WMATA's pre-employment Criminal Background Check criteria. WMATA will provide the contractor employees with background check consent forms that the contractor's employees must complete and sign. The forms will require the contractor employees to appear in person, provide their full legal names, including middle initials if applicable, as well as their Social Security numbers, in addition to other information that will be necessary to conduct the

background checks. The operating hours are Monday through Friday from 7:30AM to 3:30PM except holidays. Upon receipt of the completed, signed forms, WMATA will conduct background checks including criminal court searches and Social Security Number verifications of the contractor employees. If there is derogatory information that would disqualify a contractor employee from receiving a badge to access WMATA property, the Contractor and its employee will be notified that the background check failed. The completed forms are secured in a locked file cabinet and are destroyed one year after the expiration date on the contractor employee's badge. These background checks are expected to take one (1) business day for processing. The contractor employee must allow sufficient time for completion. The background check is free of charge.

Background checks are conducted to promote a safe work environment and to protect our company's most important assets: the people we serve and the people with whom we serve. This enables WMATA management to make prudent decisions and to maintain a high quality workforce. Contractor employees who successfully complete the background checks are eligible to enter WMATA property once they are issued a contractor badge. Contractor employees who do not authorize background checks or whose background checks are unsatisfactory will not be granted contractor badges or access to WMATA property. The records generated by these background checks that contain private information will not be disclosed unless disclosure is required under the PARP/Privacy Policies.

**12. MOST FAVORED CUSTOMER**

The Contractor shall voluntarily provide the Authority with the benefits of any more favorable terms it has, or negotiates, with any organization or facility whose circumstances and operations are substantially the same as those of the Authority.

**13. CONDITIONS AFFECTING THE WORK**

The Contractor shall be responsible for having taken steps reasonably necessary to ascertain the nature and extent of the work, and the general and local conditions which can affect the work or the cost thereof. Any failure by the Contractor to do so will not relieve the Contractor from responsibility for successfully performing work without additional expense to the Authority. The Authority assumes no responsibility for any understanding or representations concerning conditions made by any of its officers or agents prior to the execution of this Contract, unless such understanding or representations are expressly stated in the Contract.

**14. WARRANTY**

- a. The Contractor warrants the railcars, components, parts and equipment furnished under this Contract against defects or failures, as defined herein, for the specific periods stated in this Article. Any defect or failure occurring prior to commencement of the warranty period shall be covered under the INSPECTION Article of the General Provisions, any provision of that Article to the contrary notwithstanding.
- b. For purposes of this Article, "defect or failure" shall mean any condition, whatsoever the cause, whereby a railcar, component, part or equipment shall require maintenance, repair or replacement or otherwise fail to conform to the Specification other than:
  1. Scheduled maintenance recommended by the Contractor and accepted by the Authority, including repair or replacement of consumable items where the item has met the minimum life expectancy generally recognized in the industry for such item; and
  2. Maintenance, repair or replacement resulting solely from causes beyond the control and without the fault or negligence of the Contractor, his employees, agents, subcontractors or suppliers, including failure of the Authority to perform scheduled maintenance recommended by the Contractor.
- c. The Authority reserves the right to perform normal, routine maintenance and periodic inspections without voiding the warranty.
- d. The warranty period(s) shall commence, for each individual car, when said car is preliminarily/conditionally accepted and shall run for:

Five (5) years for repaired carbody and carbody structures;

One (1) year for all remaining elements, components, parts and equipment furnished by the contractor;

One (1) year for the workmanship of the railcars.

  1. The warranty period(s) shall not run while the car is out of service for warranty work, field modifications, or modifications necessary to correct defective design, material or workmanship and shall be extended a day for each day that a railcar is not available for service.
  2. The Authority shall be responsible for the warranty of all parts and materials supplied by the Authority unless the part or material was damaged by the Contractor during its functions.



**15. INDEMNITY**

1. Contractor shall indemnify, defend and hold harmless the Authority, its directors, officers, employees and agents, from all liabilities, obligations, damages, penalties, claims, costs, charges and expenses (including reasonable attorney's fees), of whatsoever kind and nature for injury, including personal injury or death of any person or persons, and for loss or damage to any property, including the property of the Contractor and the Authority, occurring in connection with, or in any way arising out of the use, occupancy and performance of the work and/or any acts in connection with activities to be performed under this contract, unless the loss or damage is due to the sole negligence of the Authority. Nothing in the preceding sentence shall be deemed to relieve Contractor from ultimate liability for any obligation of Contractor under this Contract.
2. Contractor shall indemnify, defend and hold harmless the Authority, its directors, officers, employees and agents, against any and all claims, liabilities, losses, demands, damages, penalties, costs, charges, remedial costs, environmental claims, fees or other expenses including attorneys fees, related to, arising from or attributable to any effluent or other hazardous waste, residue, contaminated soil or other similar material discharged from, removed from, or introduced on, about or under the job site; provided, however, that the foregoing indemnity does not apply to loss or damage due to preexisting conditions, whether known or unknown.
3. If any action or proceeding relating to the indemnification required is brought against the Authority, then upon written notice from the Authority to the Contractor, the Contractor shall, at the Contractor's expense, resist or defend such action or proceeding by counsel approved by the Authority in writing, such approval not to be unreasonably withheld, but no approval of counsel shall be required where the cause of action is resisted or defended by counsel of any insurance carrier obligated to resist or defend the same. The Authority reserves the right to use its own counsel under this indemnity at Contractor's sole cost and expense.
4. Contractor understands and agrees that it is Contractor's responsibility to provide indemnification to the Authority pursuant to this Section. The provision of insurance, while anticipated to provide a funding source for this indemnification, is in addition to any indemnification requirements and the failure of Contractor's insurance to fully fund any indemnification shall not relieve the Contractor of any obligation assumed under this indemnification.

**16. GENERAL INSURANCE REQUIREMENTS**

Contractor shall procure, at its sole cost and expense, and shall maintain in force at all times during the term of this Contract, including the Warranty Period if applicable, the insurance outlined in the section below. All insurance companies must have an A.M.

Best rating of “A-/VII” or better and be approved by the Authority. All required insurance policies must

1. State or be endorsed to provide that the coverage afforded under Contractor’s policies shall apply on a primary basis and not on an excess or contributing basis with any policies that may be available to the Authority, and
2. Have self-insurance retentions or policy deductibles no greater than \$100,000, unless approved in writing by the Authority, whose approval shall not be unreasonably withheld.

Contractor shall give at least thirty (30) days prior written notice to the Authority’s Office of Insurance if any required insurance policy is canceled, materially changed, or nonrenewed; or if policy limits have been exhausted.

The insurance limits required herein may be met through Contractor’s primary and umbrella/excess policies. Policies must be written on an occurrence basis; a claims made basis is not acceptable, except for Professional Liability.

Contractor shall furnish evidence of all required insurance prior to the start of any work on Authority property. Certificates of insurance (COI) and all applicable endorsements may be submitted to the Authority in lieu of copies of insurance policies; if Railroad Protective Liability insurance and/or Builder’s Risk insurance is required, the entire insurance policy must be sent to the Authority. However, the Authority reserves the right to request copies of policies of any required insurance as denoted below. If requested by the Authority, the Contractor shall deliver to the Authority within thirty (30) days of the request, a copy of such policies, certified by the insurance carrier as being true and complete.

COIs shall 1) disclose any deductible, sublimit, self-insured retention, aggregate limit or any exclusions to the policy that materially change the coverage; 2) show the Authority as an additional insured for Commercial General Liability and Automobile Liability; 3) reference the contract number, and 4) expressly reference the inclusion of all required endorsements, including but not limited to the Additional Insured endorsement. All endorsements must include policy numbers.

Upon expiration of the policies, Contractor shall provide renewal COIs and all applicable endorsements to the Authority, with terms and limits no less favorable than the expiring insurance policies.

Evidence of insurance coverage – insurance certificates and endorsements (and the complete Railroad Protective Liability policy, if applicable) – stating the work to be performed shall be submitted to the Authority at least ten (10) business days prior to

commencement of operations and from time to time at the Authority's request. Contractor shall not be allowed to proceed until the evidence of insurance has been received and approved in writing by the Authority. All evidence of insurance shall be sent to:

Washington Metropolitan Area Transit Authority  
Office of Procurement, File Room 3C-02  
600 5<sup>th</sup> Street, NW  
Washington, DC 20001

With a copy to:

Washington Metropolitan Area Transit Authority  
Office of Insurance, Room 8F  
600 5<sup>th</sup> Street, NW  
Washington, DC 20001

### **Required Insurance**

- 1. Commercial General Liability Insurance** with minimum limits of \$5,000,000 per occurrence/aggregate, written on an occurrence form. If the required minimum limits can only be met when applying an umbrella/excess liability policy, the umbrella/excess liability policy must follow form of the underlying policy and be extended to "drop down" to become primary in the event the primary limits are reduced or aggregate limits are exhausted. XCU coverage (explosion, collapse, and underground hazards) shall be included if any of the work involves excavation or blasting. **Terrorism coverage shall also be included and evidenced on certificate of insurance.** The Contractual Liability Exclusion (applicable to work to be performed within 50 feet of railroad property) must be removed. The coverage under such an insurance policy or policies shall be maintained throughout the contract period and for three (3) years following acceptance of the work if the CGL insurance is written on a claims made form.

WMATA shall be named an Additional Insured with respect to this agreement on all certificates of insurance (COI), and the Additional Insured endorsement shall include products-completed operations and be submitted to the Authority.

- 2. Workers' Compensation Insurance** meeting the statutory requirements of the jurisdiction where the work will be performed, including Employer's Liability coverage with minimum limits of \$1,000,000 each accident or disease.

3. **Business Automobile Liability Insurance**, with minimum combined single limits of \$2,000,000 per occurrence, covering contractor against claims for bodily injury and property damage arising out of the ownership, maintenance or use of any owned, hired, or non-owned motor vehicle. WMATA shall be added as an additional insured on the policy.
  
4. **Railroad Protective Liability Insurance (RRP)** issued to WMATA as the Named Insured with minimum limits of \$5,000,000 per occurrence/\$10,000,000 aggregate and covering the liability of the Authority arising from all Contracting Parties' work to be performed within fifty (50) feet (on, above, adjacent to or underneath) of the Authority 's railroad tracks or within Authority rail stations for any personal injuries or deaths or any damage to the property, equipment and facilities caused by the activities of any Contractor or Subcontractor resulting from performance of this contract work. THE ORIGINAL POLICY SHOULD BE FORWARDED TO WMATA.

WMATA Blanket RRP Program Option

The Authority may offer to waive the requirement for the Contractor to procure RRP if 1) the work can be covered under the Authority's blanket RRP program, and 2) the Contractor prepays the premium which shall be determined by the rate schedule promulgated by the insurer in effect as of the effective date of this Contract. Contractor shall be advised of and pay the applicable premium, or procure a standalone RRP policy on the Authority's behalf.

5. **Property Insurance** (including flood, quake, if warranted) in WMATA's name providing all-risk coverage (including terrorism) for physical damage or destruction to property with limits of not less than the full replacement cost of railcars to be transported. (per s.o.w. - railcars 5056, 5057 and/or 6050)

**Inland Marine** endorsement covering transit risk.

**17. BOND REQUIREMENTS**

- a. Within 10 calendar days after the prescribed forms are presented for signature to the proposer to whom award is made, a written Contract and Attachments on the forms provided in this solicitation shall be executed and delivered to the Contracting Officer or other delegated Authority Representative, together with a performance bond and payment bond if applicable if the Contract price is \$100,000 or more, each with good and sufficient surety or sureties acceptable to the Authority. Corporations executing the bonds as sureties must be among those appearing on the Treasury Department's list of approved sureties and must be acting within the limitations set forth therein. The penal sums of such bonds shall be as follows:

- (1) Performance Bond:

The penal sum of the performance bond shall equal 50 percent of the Contract price.

- b. Failure to furnish: In the event the required bonds are not furnished as specified, the Contracting Officer or other delegated Authority Representative may not issue the Notice To Proceed, the railcars cannot be picked up, and no payment will be made to the Contractor until the required bonds are furnished.

**18. PROPOSAL SECURITY – NOT USED**

**19. LAWS AND REGULATIONS**

Each Offeror shall be responsible to fully inform themselves of the requirements for and to comply with any applicable State of Maryland, Commonwealth of Virginia, District of Columbia, Federal and jurisdictional laws and regulations governing the service to be provided under the contract. Further, each contractor shall be responsible to obtain, at its own cost and expense, any and all licenses/permits required to transact business in any political jurisdictions to be serviced.

**20. FEDERAL/LOCAL/STATE SALES TAX**

- a. Pursuant to Article XVI., Paragraph 78., of the Washington Area Metropolitan Transit Authority Compact, as adopted by the State of Maryland, the District of Columbia, and the Commonwealth of Virginia, with the authorization and consent of the Congress of the United States, the Authority has been accorded exemption from taxes as follows:

“the Authority and the Board shall not be required to pay taxes or assessments upon any of the property acquired by it or under its jurisdiction, control, possession or supervision, or upon its activities in the operation and maintenance of any transit facility or upon any revenues therefrom, and the property and income derived therefrom shall be

exempted from all Federal, State, District of Columbia, municipal, and local taxation. This exemption shall include without limitation, all motor vehicle license fees, sales taxes and motor fuel taxes.”

- b. It has been the practice of the District of Columbia to apply the Authority’s tax exempt status to certain purchases of materials required under Authority construction contracts and acquired by Contractor for physical incorporation into the project work. This has not been the practice in either Maryland or Virginia. The Authority does not represent or warrant that the District of Columbia practice applies to this project or, if it does, that it will continue in effect during the term of this project. It is the responsibility of the Contractor to determine its liability for any and all taxes applicable to this project. Assessment or payment of taxes by the Contractor, including taxes resulting from changes in existing laws or the application thereof or of new or additional taxes, shall not constitute the basis for an increase in the Contract price, except as otherwise allowed under Section 00779, FEDERAL, STATE AND LOCAL TAX.
- c. By submission of its proposal, the proposer certifies that none of the taxes as to which the Authority is exempt are included in its proposal price(s) or the final Contract Price. In the event that the Authority learns that any taxes to which the Authority is exempt are included in the final Contract Price, the Authority shall be entitled to a reduction in the Contract Price reflecting such amount and a refund of monies paid related to such taxes, plus applicable interest.

**21. CONTRACTING OFFICER’S TECHNICAL REPRESENTATIVE (COTR)**

- a. The work will be conducted under the general direction of the Contracting Officer. Authority will be delegated to the Contracting Officer's Technical Representative (COTR) to take the following actions;
  - (1) Act as the principal point of contact with the contractor. Submit a copy of each item of incoming correspondence and a copy of any enclosures shall also be submitted to the Contract Administrator;
  - (2) Approve in writing the contractor’s progress schedule and submittals when required;
  - (3) Inspect the work for compliance with the contract;
  - (4) Review and approve invoices and payment estimates. Forward invoices and receipts to accounting. Bring to the attention of the Contracting Officer any significant discrepancies in, or disputes concerning, contractor invoices of payments. In those cases requiring release of final retained percentages of payment, the COTR will make his recommendations in writing to the Contracting Officer;
  - (5) Coordinate correspondence with the Contract Administrator if its importance significantly impacts the contractual terms and obligations;

- (6) Evaluate the contractor's technical letters and proposals for the Contracting Officer;
  - (7) Advise the Contracting Officer of potential problems that may affect contract performance;
  - (8) Advise the Contracting Officer whenever the COTR has reason to believe that the contractual not-to-exceed amount will be exceeded;
  - (9) Prepare the Authority estimate for Proposed Contract Modifications. Participate in negotiations of modifications;
  - (10) Approve, in writing, the contractor's progress schedule when required.
  - (11) Receive from the contractor, monthly, if applicable, DBE status reports and forward them to the Office of Civil Rights (CIVR);
  - (12) Receive from the contractor the Certified Payroll Reports and prepare a log sheet indicating the following: (1) name of the contractor and subcontractor; (2) the contract number; (3) the certified payroll number (number for the payroll for the project starting with the number 1); (4) the time frame of the payroll period (i.e. 1/21/11-2/3/11); (5) the Statement of Compliance date (first page of the report); and (6) the date the report was received by WMATA;
  - (13) Maintain a comprehensive file record of documents and correspondence concerning contract activities and actions;
  - (14) Provide the Contract Administrator with a written notification after all supplies/services have been received with a statement that the COTR is not aware of any open issues that would preclude closeout of the contract and that the contract is ready for closeout. Return the file, containing all records, correspondence, etc., to the Contract Administrator;
  - (15) Execute Standard Form 1420, which contains a detailed performance evaluation of the contractor. Note that if, there is one or more categories in which the contractor is deemed unsatisfactory, these evaluations must be provided to the contractor for comment; and
  - (16) Provide the Contract Administrator with a written request (and requisition) to exercise option(s) (if any) a minimum of 90 days prior to the time established in the contract for exercise of the option.
- b. There are certain actions which are reserved for only the Contracting Officer. They are:

- (1) Approval of contract modification proposals and/or other unilateral actions.
  - (2) Issuance of written orders to stop and/or resume work under Article 10, "Stop Work Orders", of the General Provisions.
  - (3) Negotiation with the Contractor for adjustment of contract price and/or time.
  - (4) The COTR is not authorized to render final decision under the DISPUTES article of the General Provisions.
  - (5) The COTR is not authorized to issue Termination Notices pursuant to the terms of this contract.
- c. The presence or absence of the COTR or his inspectors shall not relieve the Contractor from any requirements of the contract.

**22. HAZARDOUS MATERIAL IDENTIFICATION AND MATERIAL SAFETY DATA**

- a. The Contractor agrees to submit a Material Safety Data Sheet (Department of Labor Form OSHA-20), as prescribed in Federal Standard No. 313B, for all hazardous material 5 days before delivery of the material, whether or not listed in Appendix A of the Standard. This obligation applies to all materials delivered under this contract which involve exposure to hazardous materials or items containing these materials.
- b. "Hazardous material," as used in this clause, is as defined in Federal Standard No. 313B, in effect on the date of this contract.
- c. Neither the requirements of this clause nor any act or failure to act by the Authority shall relieve the Contractor of any responsibility or liability for the safety of Authority, Contractor, or subcontractor personnel or property.
- d. Nothing contained in this clause shall relieve the Contractor from complying with applicable Federal, state, and local laws, codes, ordinances, and regulations (including the obtaining of licenses and permits) in connection with hazardous material.
- e. The Authority's rights in data furnished under this contract with respect to hazardous material are as follows:
  - (1) To use, duplicate and disclose any data to which this clause is applicable. The purposes of this right are to (i) apprise personnel of the hazards to which they may be exposed in using, handling, packaging, transporting, or disposing of hazardous material (ii) obtain medical treatment for those affected by the material; and (iii) have others use, duplicate, and disclose the data for the Authority for these purposes.



- (2) To use, duplicate, and disclose data furnished under this clause, in accordance with subparagraph (e)(1) above, in precedence over any other clause of this contract providing for rights in data.
- (3) That the Authority is not precluded from using similar or identical data acquired from other sources.
- (4) That the data shall not be duplicated, disclosed, or released outside the Authority, in whole or in part for any acquisition or manufacturing purpose, if the following legend is marked on each piece of data to which this clause applies -

“This is furnished under Authority Contract No.        and shall not be used, duplicated, or disclosed for any acquisition or manufacturing purpose without the permission of ..... This legend shall be marked on any reproduction of this data.”

(End of legend)

- (5) That the Contractor shall not place the legend or any other restrictive legend on any data which (i) the Contractor or any subcontractor previously delivered to the Authority without limitations or (ii) should be delivered without limitations under the conditions specified in the clause Rights in Technical Data.
- f. The Contractor shall insert this clause, including this paragraph with appropriate changes in the designation of the parties, in subcontracts at any tier (including purchase designations or purchase orders) under this contract involving hazardous material.

**23. SPECIAL DELIVERY INSTRUCTIONS**

- a. The delivery of the repaired railcars shall be coordinated with the COTR at least 10 calendar days in advance of the expected delivery.
- b. The repaired railcars shall be delivered to:

WMATA Greenbelt Yard  
5801 Sunnyside Ave.  
College Park, MD 20740

**24. INSPECTION, TESTING AND ACCEPTANCE**

- a. The Contractor is responsible for performing or having performed all inspections and tests necessary to substantiate that the supplies or services furnished under this contract conform to contract requirements, including any applicable technical requirements for specified manufacturers' parts.

- b. The Authority reserves the right to inspect and test all supplies called for by the contract, to the extent practicable, at all places and times, including the period of manufacture, and in any event before acceptance.
- c. The Authority shall complete its inspection and testing of all supplies and/or installations and issue to the Contractor a written acceptance or rejection within Ten (10) calendar days from the date the final inspection was performed.
- d. **CORRECTION OF DEFICIENCIES:** Unless otherwise specified, in the event that the Authority notifies the Contractor that the supplies and/or installations, in whole or in part, are rejected, the Contractor shall correct all deficiencies within Twenty One (21) calendar days from the date of notification. Within Ten (10) calendar days following the completion of all corrections to the installation, the Authority shall issue a written acceptance or rejection to the Contractor.
- e. Acceptance shall be conclusive, except for latent defects, fraud, gross mistakes amounting to fraud, or as otherwise provided in the contract. A delivery receipt shall not constitute acceptance.

**25. FIRST ARTICLE – NOT USED**

**26. ORGANIZATIONAL CONFLICT OF INTEREST**

Unless specifically exempted from the conditions of this provision by the Contracting Officer, any Authority contractor, subcontractor, subsidiary, or other entity which is legally related and which develops or drafts specifications, requirements, statements of work, invitation for bids, will be excluded from competing for the directly ensuing procurement.

**27. RIGHTS IN TECHNICAL DATA - UNLIMITED**

[This article, when used, supersedes General Provision Article No. 24, "Rights in Technical Data"].

- a. The Authority or any third party designated by the Authority to assist it in the administration of this contract or the inspection or verification of the product produced under this contract, shall have the right to use, duplicate or disclose technical data, which includes computer software, in whole or in part, in any manner and for any purpose whatsoever, and to have or permit others to do so:
  - 1. Any manuals, instructional materials prepared for installation, operation, maintenance or training purposes;
  - 2. Technical data pertaining to end items, components or processes which were prepared for the purpose of identifying sources, size, configuration, mating and attachment characteristics, functional characteristics and

- performance requirements ("form, fit and function" data; e.g., specification control drawings, catalog sheets, outline drawing; except for the computer software it means data identifying source, functional characteristics, and performance requirements but specifically excludes the source code, algorithm, process, formulae, and flow charts of the software);
3. Other technical data which has been, or is normally furnished without restriction by the Contractor or subcontractor;
  4. Other specifically described technical data which the parties have agreed will be furnished without restriction;
  5. All computer software regardless of whether it is technical data as defined in this Article 25, including the source code, algorithm, process, formulae, and flow charts, which is developed or materially modified by the Contractor for the Authority or for which the Authority is required by federal law or regulation to provide a royalty-free, irrevocable and nonexclusive license to the federal government.
- b. The Authority shall have the right to use, duplicate, or disclose technical data other than that defined in paragraph a. in whole or in part, with the express limitation that such technical data shall not, without the written permission of the party furnishing such technical data, be
1. Released or disclosed in whole or in part outside the Authority,
  2. Used in whole or in part by the Authority for manufacture, or
  3. Used by a party other than the Authority except for: (i) emergency repair or overhaul, (ii) where the item or process concerned is not otherwise reasonably available to the Authority to enable timely performance of the work, or (iii) administration of this contract or the inspection or verification of the product produced under this contract where the third party has a written contract with the Authority to perform these efforts. In all cases described in this subsection, the release or disclosure outside of the Authority shall be subject to a written prohibition against further use, release or disclosure by the party receiving the technical data.
- c. Technical data provided in accordance with the provisions of paragraph b. shall be identified by a legend which suitably recites the aforesaid limitation. Nothing herein shall impair the right of the Authority to use similar or identical data acquired from other sources.
- d. Where any item is purchased as a separate line item in the contract, that purchase includes all integral parts of that item, including any computer software, source codes, algorithms, processes, formulae, and flow charts. As such, the Authority has full rights to use, duplicate or disclose any or all parts of the item, including computer software, in whole or in part, in any manner and for any

purpose whatsoever, and to have or permit others to do so. Should disclosure of the computer software be required only under this paragraph, then the Contracting Officer may waive the provisions of this paragraph if he certifies in writing that the item is commercially available from multiple sources and the product from any of those sources will be fully compatible with existing Authority property.

- e. The term technical data as used in this article means technical writing, computer software, sound recordings, pictorial reproductions, drawings, or other graphic representations and works of a technical nature, whether or not copyrighted, which are specified to be delivered pursuant to this Contract. The term does not include financial reports, cost analyses, and other information incidental to Contract administration. Computer software as used in this article means computer programs, computer data bases, and documentation thereof.
- f. Material covered by copyright:
  - (1) The Contractor agrees to and does hereby grant to the Authority, and to its officers, agents and employees acting within the scope of their official duties, a royalty-free, nonexclusive and irrevocable license throughout the world for Authority purposes to publish, translate, reproduce, deliver, perform, dispose of, and to authorize others so to do, all (i) technical data and (ii) computer software covered by Article 25.a.(5) now or hereafter covered by copyright.
  - (2) No such copyrighted matter shall be included in (i) technical data or (ii) computer software covered by Article 25.a.(5) furnished hereunder without the written permission of the copyright owner for the Authority to use such copyrighted matter in the manner above described.
  - (3) The Contractor shall report to the Authority (or higher-tier contractor) promptly and in reasonable written detail each notice or claim of copyright infringement received by the Contractor with respect to any (i) technical data or (ii) computer software covered by Article 25.a.(5) provided to the Authority.
- g. Relation to patents: Nothing contained in this article shall imply a license to the Authority under any patent, or be construed as affecting the scope of any license or other right otherwise granted to the Authority under any patent.
- h. Any dispute under this article shall be subject to the Disputes article of this contract.
- i. Notwithstanding any other payment provision in this contract, the Contracting Officer may retain from payment up to 10 percent of the contract price until final delivery and acceptance of the technical data defined in this article and as required to be furnished by the bid schedule or the contract specification.

**28. LIQUIDATED DAMAGES**

- a. In accordance with the delivery requirements, the Contractor shall be required to deliver to the Authority the overhauled B1 vital relays in accordance with the approved contract delivery schedules (see Special Provision Article for Progress schedules). Failure solely on the part of the Contractor to deliver the overhauled vital relays shall cause the assessment of liquidated damages pursuant to the clause of this Contract entitled "Default" in the amounts listed below per calendar day beyond the specified delivery date.
- b. Liquidated damages will not be assessed for late delivery if the Contractor can substantiate that the delay was beyond its control and without the fault or negligence of the Contractor as set forth in the Default Clause of the General Provisions. In this regard, two lost work days per quarter for delay shall be forecast in the overhaul schedule and no time will be granted.
- c. Assessment:
  - 1. Acceptance and re-commissioning: **\$400.00** per calendar day.
- d. Limitation:

Liquidated damages will be limited, for all causes, to a maximum of \$500,000.00.
- e. Termination:

If delivery or performance is so delayed or not meeting Contract requirements the Authority may terminate this contract in whole or in part under the Default clause in this contract and in that event the Contractor shall be liable for fixed, agreed, and liquidated damages accruing until the time the Authority may reasonably obtain delivery or performance of similar supplies or services. The liquidated damages shall be in addition to excess costs under the Termination provision.

**29. FORCE MAJEURE CLAUSE**

The Contractor's right to proceed shall not be so terminated nor the Contractor charged with resulting damage under the following circumstances:

- a. If the delay in performing this work arises from unforeseeable causes beyond the control and without the fault or negligence of the Contractor, including, but not restricted to, acts of God, acts of the public enemy, acts of the Authority in its contractual capacity, fires, floods, epidemics, quarantine restrictions, strikes, freight embargoes, unusually severe weather, or delays of subcontractors or suppliers at any tier arising from causes other than normal weather beyond the control and without the fault or negligence of both the Contractor and such subcontractors or suppliers.

- b. The rights and remedies of the Authority provided in this Section are in addition to any other rights and remedies provided by law or under this Contract.

**30. SITE VISIT/INSPECTION**

Offeror must provide and maintain sufficient facilities that will allow them to adequately perform contract functions as specified herewith. WMATA may make site visits prior to contract award to examine the contractor's facilities to verify that proper equipment, supplies, etc. are readily available. Facilities(s) must demonstrate that Offeror has the capability to perform the work described in the Scope of Services.

**31. GARNISHMENT OF PAYMENTS**

Payment under this contract shall be subject to any garnishment and attachment orders issued pursuant to the laws of Maryland, Virginia, and the District of Columbia, and to levies under the laws of the United States.

**32. GOVERNING LAW**

This contract shall be deemed to be an agreement under and shall be governed by the law of the District of Columbia, exclusive of its conflict of law principles, and the common law of the U.S. Federal contracts including precedents of the Federal Boards of Contract Appeals.

**33. SAFETY REQUIREMENTS**

- a. The contractor shall be responsible for ensuring compliance with the most stringent provisions of the applicable statutes and regulations of the District of Columbia, State of Maryland, Commonwealth of Virginia or political subdivision in which the work is being performed, as well as the METRO Construction Safety Methods Manual (1984 et. seq.) issued by the Authority, and the Department of Labor OSHA standards pertaining to the safe performance of the work. In the absence of a specific Construction Industry Standard, the Contractor would be required to comply with either an established OSHA General Industry Standard, National Institute for Occupational Safety and Health (NIOSH) guidelines, American Conference of Governmental Industrial Hygienists (ACGIH) guidelines, American National Standards Institute (ANSI) guidelines, the WMATA System Safety Program Plan, the WMATA Construction Safety Methods Manual, or the Metrorail Safety Rules and Procedures Handbook. For contracts in which work is performed on, or interfaces with the Metrorail System, the Contractor shall also comply with the publication titled Metrorail Safety Rules and Procedures Handbook. Further, the Contractor shall ensure that all methods of performing the work do not involve danger to the personnel employed thereon, the public and private property, whether or not these methods are cited or indicated in the Contract documents. Should charges of violation of any of the above be issued to the Contractor in the course of the work, a copy of each charge shall be immediately forwarded to the Authority Representative.

- b. The contractor shall employ and assign full time to the work a Safety Superintendent. The Safety Superintendent shall have specialized training and experience in construction safety supervision and have a working knowledge of all OSHA regulations. He shall have the ability to develop and conduct safety training courses. He shall be familiar with industrial hygiene equipment and testing as required for the protection of all employees. The Safety Superintendent shall be employed exclusively for the purpose of supervising the safety of persons on or about the work and the property affected thereby. The Safety Superintendent shall also be responsible for providing first aid at the site and must have a current Red Cross First Aid Certificate. If, at any time, the work site is without the services of an approved Safety Superintendent for a period of 15 calendar days or more, the work may be closed down at the discretion of the Contracting Officer. The Safety Superintendent must be acceptable to the Contracting Officer and his performance will be reviewed by the Contracting Officer on a continuing basis. If the Safety Superintendent's effectiveness is below standard, the Contractor shall provide immediate replacement at the Contracting Officer's direction. Once employed, the Safety Superintendent shall not be changed without permission of the Contracting Officer.
- c. The contractor shall provide, at the site of the work, a first aid kit which shall be fully equipped to meet the needs of the anticipated work force.
- d. The contractor shall follow all appropriate RAIL Operational Rules, OAPs, SOPs and General and Special Orders while on the operational railroad and all Start-Up Rules and Manager's Notices when in a declared start-up area.

**34. LIVING WAGE**

This contract is subject to the Authority's Living Wage Policy and implementing regulations. The Living Wage provision is required in all contracts for services (including construction) awarded in an amount that exceeds \$100,000 in a 12-month period. This excludes simplified acquisitions.

- a. The living wage is adjusted annually by WMATA on or about January 1 based on the average wage rates of local jurisdictions with a living wage policy and may be reduced by the contractor's per-employee cost for health insurance. The living wage as of January 2013 is \$13.14.
- b. The Contractor shall:
  - (1) Pay, at a minimum, the Authority Living Wage Rate, effective during the time the work is performed, to all employees who perform work under this contract, except as otherwise provided in paragraph (d) below;
  - (2) Include the Living Wage clause in all subcontractors that exceed \$15,000 in a 12-month period awarded under this contract;

- (3) Maintain payroll records, in accordance with the retention and examination of records requirements in the General Provisions, and shall include a similar provision in affected subcontracts that requires the subcontractor to maintain its payroll records for the same length of time; and
  - (4) Submit records with each monthly invoice supporting payment of the Living Wage Rate.
- c. The Contractor shall not split or subdivide a contract, pay an employee through a third party, or treat an employee as a subcontractor or independent contractor to avoid compliance with the Living Wage provisions.
- d. Exemptions to the Living Wage provisions include:
  - (1) Contracts and agreements with higher negotiated wage rates,
  - (2) Contracts that are subject to higher wage rates required by federal law or collective bargaining agreements (e.g., Davis Bacon);
  - (3) Contracts or agreements for regulated utilities;
  - (4) Emergency services to prevent or respond to a disaster or imminent threat to public health and safety; and
  - (5) Contractors who employ fewer than ten (10) employees.
- e. The Authority may adjust the Living Wage rate effective in January of each year. The adjustment will reflect the average Living Wage Rate among Metro's Compact Jurisdictions with Living Wage provisions. If after contract award the Living Wage Rate increases, the Contractor is entitled to an equitable adjustment to the rate in the amount of the increase for employees who are affected by the escalated wage.
- f. Failure to comply with the Authority's Living Wage provisions shall result in the Authority's right to exercise available contract remedies, including contract termination or debarment from future contracts.

**35. METRIC SYSTEM**

To the extent U.S. DOT or FTA directs, the Contractor agrees to use the metric system of measurement in its Project activities, in accordance with the Metric Conversion Act, as amended by the Omnibus Trade and Competitiveness Act, 15 U.S.C. 205a et seq; Executive Order No. 12770, "Metric Usage in Federal Government Programs," 15 U.S.C. 205a note; and applicable U.S. DOT or FTA regulations in accordance with applicable Federal directives. As practicable and feasible, the Contractor agrees to supply products and services with dimensions expressed in the metric system of measurement.



Metric usage shall not be required to the extent that such use is impractical or is likely to cause significant inefficiencies or loss of markets to United States firms.

**36. WHISTLEBLOWER PROTECTION**

- a. The Contractor and its subcontractors shall encourage their employees and independent contractors to report information—without fear of actual or threatened discrimination, retaliation or reprisal—that they in good faith reasonably believe is evidence of gross mismanagement; gross misuse or waste of public resources or funds; fraud; violation of law; abuse of authority in connection with the conduct of Metro operations or contracts; or a substantial and specific danger to health, security or safety. The Contractor and its subcontractors shall notify their employees that they may make reports under this paragraph to:
- (1) WMATA's Office of Inspector General (OIG), in person, in writing, through the OIG Hotline (202-962-2400) or email [hotline.oig@wmata.com](mailto:hotline.oig@wmata.com) or by any other reasonable means;
  - (2) WMATA's Metro Transit Policy Department (MTPD), in person, by telephone (202-962-2121) or by any other reasonable means, or to the OIG, if the information constitutes a potential violation of criminal law;
  - (3) WMATA's Chief Safety Officer, in person, in writing, through the SAFE Hotline (202-249-7233) or email [safety@wmata.com](mailto:safety@wmata.com), or by any other reasonable means; or
  - (4) Any other official, office or agency within WMATA or outside WMATA that the employee or independent contractor reasonably believes has the authority to act on the matter.
- b. The Contractor, its employees, independent contractors and subcontractors shall cooperate with any inquiry or review by an authorized official of WMATA, or by the federal government or any other governmental entity with jurisdiction over WMATA, regarding a matter that would constitute a report under paragraph (a) or a violation of this or any whistleblower provision of this Contract, and with any enforcement or judicial proceeding arising from such inquiry or review.
- c. The Contractor and its subcontractors shall not interfere with or deny the right of any employee or independent contractor of either the Contractor or any of its subcontractors to make a report under paragraph (a). The Contractor and its subcontractors shall not recommend, take or threaten to take any action having a negative or adverse impact on any employee or independent contractor of either the Contractor or any of its subcontractors because he or she:
- (1) made or is perceived to have made a report under paragraph (a);
  - (2) sought a remedy under applicable law after making a report under

paragraph (a);

- (3) participated in or cooperated with an inquiry or review by an authorized official of Metro, or by the federal government or any other governmental entity with jurisdiction over Metro, regarding a matter that would constitute a report under paragraph (a) or a violation of this or any whistleblower provision of this Contract, or with an enforcement or judicial proceeding arising from such inquiry or review;
- (4) refused to obey an order that would violate law; or
- (5) refused to work or authorize work when a hazardous safety or security condition presents an imminent danger of death or serious injury, there was no reasonable alternative to refusal, there was not sufficient time to eliminate the danger in absence of refusal and the individual, where possible, notified the Contactor or subcontractor of the condition and of the intent not to perform or authorize work.

- d. The Contractor shall include, or shall cause to be included, the substance of this section, including this paragraph (d), in its subcontracts at all tiers.

**37. DRUG AND ALCOHOL TESTING**

Contractors who perform safety-sensitive functions shall be subject to compliance with a drug and alcohol testing program according to Federal guidelines published in FTA regulations (49 CFR Part 655).

**38. AUTHORITY FACILITIES**

If the Authority performs inspection or test on the premises of the Contractor or a subcontractor, the Contractor shall furnish, and shall require subcontractors to furnish, at no increase in contract price, all reasonable facilities and assistance for the safe and convenient performance of these duties. Such facilities shall include a standard connection high speed internet services.

**39. PROGRESS SCHEDULES**

- a. The Contractor shall submit a bar graph showing a critical path and in detail the sequence in which the Contractor proposes to perform the necessary work tasks to meet the delivery schedule required under this Contract.
- b. The Contractor shall monthly provide an updated schedule including a brief narrative describing any significant changes in the schedule to include, but not limited to: acquisition of long lead items, sub-contractor activities, production

schedule and transportation.

**40. APPROVAL OF CONTRACTOR'S DRAWINGS AND OTHER TECHNICAL DATA**

- a. Wherever in the contract Specification the Contractor is required to submit drawings or other technical data (hereinafter referred to collectively as "technical data") for Authority approval during the progress of the work, five copies of such technical data shall be provided. The technical data shall be complete and detailed and shall be submitted using standard transmittal forms or Contractor forwarding letter in accordance with instructions furnished by the Authority.
- b. The Contractor's technical data shall be checked for completeness and accuracy and approved by the Contractor before they are submitted for Authority approval. Technical data submitted without the Contractor's approval affixed thereon may be returned to the Contractor for resubmission.
- c. The Contractor's schedule shall provide a minimum of thirty calendar days for approval or return for correction of the submitted technical data. The thirty-day period shall start at the time of receipt of the data by the Authority.
- d. Approval of technical data or lack thereof shall not be considered as withholding the right or inhibiting in any way the responsibility of the Contractor to proceed with the work or otherwise delaying the manufacture of the materials and/or equipment pending such approval.
- e. If the drawings or technical data show variations from the contract requirements, the Contractor shall fully describe such variations in writing, separate from the drawings or technical data, at the time of submission.
- f. Approval by the Authority shall not relieve the Contractor from responsibility for any errors or omissions in such drawings or technical data, nor from responsibility for complying with the requirements of this contract.

**41. CONTRACT MODIFICATIONS, REQUIREMENTS FOR PROPOSALS, PRICE BREAKDOWN AND NEGOTIATION OF PROFIT**

- a. The Contractor, in connection with any proposal he makes for a Contract modification, shall furnish a price breakdown, itemized as required by the Contracting Officer or other delegated Authority's Representative. Unless otherwise directed, the breakdown shall be in sufficient detail to permit an analysis of all material, labor, equipment, subcontract and overhead costs, as well as profit, and shall cover all work involved in the modification, whether such work was deleted, added or changed. Any amount claimed for subcontracts shall be supported by a similar price breakdown. In addition, if the proposal includes a time extension, a justification thereof shall also be furnished. The proposal, together with the price breakdown and time extension justification shall be furnished by the date specified by the Contracting Officer or other delegated

Authority's Representative.

- b. Where profit is as an element of the overall contract price, with prime contractors or subcontractors, a reasonable profit will be negotiated using the following procedure as a guide. This procedure is also adaptable to the negotiation of profit for task orders and modifications.

(1) Breakdown:

Factor	Rate	Weight	Value
Degree of Risk	20		
Relative difficulty of Work	15		
Magnitude of Project/Task/Modification	15		
Period of Performance	15		
Contractor's Investment	5		
Assistance by Authority	5		
Amount of Subcontracting	25		
	100		%

- (2) Based on the judgment of the Contracting Officer or designee, the applicable level risk associated with the circumstances unique to each contract award, task order, or modification shall be evaluated as indicated in the following sections. The weights assigned shall range from 0.03 (3%) representing little or no risk to 0.12 (12%) representing a high degree of risk. The value for each factor is obtained by multiplying the figure in the Rate column with the Weight percentage determined by the Contracting Officer or designee. The resulting percentages in the Value column are totaled represent the fair and reasonable profit for the contract award, task order, or modification.

- [a] **Degree of risk:** If the contract, task order, or modification involves little or no risk to the contractor the weighting should be .03. As the degree of risk increases the weighting should be increased up to a maximum of .12. Lump sum contracts, task orders, or modifications generally carry a higher degree of risk and the weight factor should reflect the higher degree of risk. Time and Materials contracts, task orders, or modifications generally carry little or no risk to the contractor and the weight factor should be near the low end of the scale. Level of Effort contracts, task order, or

modifications are moderately risky, and would have a weight factor near 0.07.

- [b] **Relative difficulty of work:** This factor measures the complexity of the work and the resources required of the prospective contractor for contract performance. Greater profit opportunity should be provided under contracts requiring a high degree of professional and managerial skill and to prospective contractors whose skills, facilities and technical assets can be expected to lead to efficient and economical contract performance. Work that lacks difficulty or complexity should carry a weighting factor of 0.03. Highly specialized or complex work should carry a weighting factor approaching 0.12. This factor is related to the Degree of Risk.
- [c] **Magnitude of Work:** In general, the greater the dollar value of the work, the lower the weighting factor should be. Contracts, task orders and modifications valued at less than \$100,000 shall be weighted at 0.12. Work whose estimated value is greater than or equal to \$100,000, but less than \$1 million shall be weighted between 0.12 and 0.05 with higher dollar values garnering lower weighting factors. Work whose estimated value is greater than or equal to \$1 million, but less than \$5 million shall be weighted 0.04 and work whose estimated value is greater than or equal to \$5 million shall have a weighting factor of 0.03.
- [d] **Period of performance:** As the duration of the work increases, so does the risk to the contractor. Therefore, contracts, task orders, or modifications whose performance period exceeds one year are to be assigned a weighting factor of 0.12. Performance periods that are one month or less should be assigned a weighting factor of 0.03. Performance periods between one month and one year should be assigned a weighting factor proportionally. If profit is being evaluated for a contract modification that has no effect on the performance period (i.e., no contract time extension), the weighting factor should not be applied and the value calculated shall be zero for this factor.
- [e] **Contractor's investment:** This factor evaluates the contractor's cost of capital. It should be weighted at 0.03 for contracts, task orders, or modifications where the contractor has little or no capital at risk. Where the contractor has an average amount of capital at risk, the weighting factor should be 0.07. If the contractor has a large amount of capital at risk, the weighting factor should be 0.12.
- [f] **Assistance by Authority:** The greater the amount of assistance provided by the Authority, the lower the weighting factor should be. Authority assistance that benefits the contractor and results in a lower weighting factor includes:

- The amount of support and supervision provided by the Authority;
- The amount of use of Authority-owned property, equipment, and facilities; and
- The level of expediting assistance provided.

[g] **Subcontracting:** The weighting factor shall be inversely proportional to the amount of subcontracting under the contract, task order, or modification. The degree of support given by the prospective contractor to Federal socioeconomic programs, such as those involving minority owned business concerns, labor surplus areas, and energy conservation is also a consideration. Greater profit opportunity should be provided to contractors who have displayed unusual initiative in these programs. If 80% or more of the work is subcontracted, the weighting factor shall be 0.03. As the amount of subcontracting decreases the weighting factor should proportionately increase to 0.12 when all of the work is performed by the contractor's own forces.

#### 42. SUBCONTRACTS

- a. Before entering into any subcontracts, the Contractor shall submit a written statement to the Contracting Officer or other delegated Authority's Representative giving the name and address of the proposed subcontractor, the portion of the work and material which he is to perform and furnish, and any other information tending to prove that the proposed subcontractor has the necessary facilities, skill, integrity, past experience and financial resources to perform the work in accordance with the terms and conditions of this Contract.
- b. All subcontracts must contain the flow down provisions as stipulated in this solicitation, including but not limited to articles pertaining to applicable Labor Laws, Non-discrimination, and Affirmative Action.
- c. No subcontractor shall be permitted to perform work on Authority property until he, or the Contractor, in compliance with the provisions of the INDEMNIFICATION AND INSURANCE article of these Special Conditions, has furnished satisfactory evidence of insurance as required.
- d. The Contractor shall promptly, upon execution, file with the CO a conformed copy of the subcontract, with the price and terms of payment deleted.
- e. The Authority or its representatives will not undertake to settle any difference between the Contractor and his subcontractors or between subcontractors.

\* \* \*

**METROPOLITAN WASHINGTON COUNCIL OF GOVERNMENTS RIDER CLAUSE**

USE OF CONTRACT(S) BY MEMBERS COMPRISING THE METROPOLITAN WASHINGTON COUNCIL OF GOVERNMENTS PURCHASING OFFICERS' COMMITTEE.

- A. If authorized by the bidder(s), resultant contract(s) will be extended to any or all of the listed members as designated by the bidder to purchase at contract prices in accordance with contract terms.
- B. Any member utilizing such contract(s) will place its own order(s) directly with the successful contractor. There shall be no obligation on the part of any participating member to utilize the contract(s).
- C. A negative reply will not adversely affect consideration of your bid/proposal.
- D. It is the awarded vendor's responsibility to notify the members shown below of the availability of the Contract(s).
- E. Each participating jurisdiction has the option of executing a separate contract with the awardee. Contracts entered into with a participating jurisdiction may contain general terms and conditions unique to that jurisdiction including, by way of illustration and not limitation, clauses covering minority participation, non-discrimination, indemnification, naming the jurisdiction as an additional insured under any required Comprehensive General Liability policies, and venue. If, when preparing such a contract, the general terms and conditions of a jurisdiction are unacceptable to the awardee, the awardee may withdraw its extension of the award to that jurisdiction.
- F. The issuing jurisdiction shall not be held liable for any costs or damages incurred by another jurisdiction as a result of any award extended to that jurisdiction by the awardee.

**BIDDER'S AUTHORIZATION TO EXTEND CONTRACT:**

YES NO JURISDICTION

- \_\_\_ \_\_\_ Alexandria, Virginia
- \_\_\_ \_\_\_ Alexandria Public Schools
- \_\_\_ \_\_\_ Alexandria Sanitation Authority
- \_\_\_ \_\_\_ Arlington County, Virginia
- \_\_\_ \_\_\_ Arlington County Public Schools
- \_\_\_ \_\_\_ Bladensburg, Maryland
- \_\_\_ \_\_\_ Bowie, Maryland
- \_\_\_ \_\_\_ Charles County Public Schools
- \_\_\_ \_\_\_ College Park, Maryland
- \_\_\_ \_\_\_ Culpeper County, Virginia
- \_\_\_ \_\_\_ District of Columbia
- \_\_\_ \_\_\_ District of Columbia Courts
- \_\_\_ \_\_\_ District of Columbia Public Schools
- \_\_\_ \_\_\_ District of Columbia Water & Sewer Auth.
- \_\_\_ \_\_\_ Fairfax, Virginia
- \_\_\_ \_\_\_ Fairfax County, Virginia
- \_\_\_ \_\_\_ Fairfax County Water Authority
- \_\_\_ \_\_\_ Falls Church, Virginia
- \_\_\_ \_\_\_ Fauquier County Schools & Government, Virginia
- \_\_\_ \_\_\_ Frederick, Maryland
- \_\_\_ \_\_\_ Frederick County, Maryland

YES NO JURISDICTION

- \_\_\_ \_\_\_ Gaithersburg, Maryland
- \_\_\_ \_\_\_ Greenbelt, Maryland
- \_\_\_ \_\_\_ Herndon, Virginia
- \_\_\_ \_\_\_ Leesburg, Virginia
- \_\_\_ \_\_\_ Loudoun County, Virginia
- \_\_\_ \_\_\_ Loudoun County Public Schools
- \_\_\_ \_\_\_ Loudoun County Sanitation Authority
- \_\_\_ \_\_\_ Manassas, Virginia
- \_\_\_ \_\_\_ City of Manassas Public Schools
- \_\_\_ \_\_\_ Manassas Park, Virginia
- \_\_\_ \_\_\_ Maryland-National Capital Park & Planning Comm.
- \_\_\_ \_\_\_ Metropolitan Washington Airports Authority
- \_\_\_ \_\_\_ Metropolitan Washington Council of Governments
- \_\_\_ \_\_\_ Montgomery College
- \_\_\_ \_\_\_ Montgomery County, Maryland
- \_\_\_ \_\_\_ Montgomery County Public Schools
- \_\_\_ \_\_\_ Northern Virginia Community College
- \_\_\_ \_\_\_ OmniRide
- \_\_\_ \_\_\_ Potomac & Rappahannock Trans. Comm.
- \_\_\_ \_\_\_ Prince George's County, Maryland

YES NO JURISDICTION

- Prince George's Public Schools
- Prince William County, Virginia
- Prince William County Public Schools
- Prince William County Service Authority
- Rockville, Maryland
- Spotsylvania County Schools
- Stafford County, Virginia
- Takoma Park, Maryland
- Upper Occoquan Sewage Authority
- Vienna, Virginia
- Virginia Railway Express
- Washington Metropolitan Area Transit Authority
- Washington Suburban Sanitary Commission
- Winchester, Virginia
- Winchester Public Schools

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Vendor Name



**PERFORMANCE BOND**

**Contract No.:**

**Contract Date:**

**Penal Sum of Bond:**

**Date Bond Executed:**

KNOW ALL MEN BY THESE PRESENTS, that we, the Principal and Surety(ies) hereto, are firmly bound to the Washington Metropolitan Area Transit Authority (hereinafter called the Authority) in the above penal sum for the payment of which we bind ourselves, our heirs, executors, administrators, and successors, jointly and severally: Provided, that, where the Sureties are corporations acting as co-sureties, we, the Sureties, bind ourselves in such sum "jointly and severally" as well as "severally" only for the purpose of allowing a joint action or actions against any or all of us, and for all other purposes each Surety binds itself, jointly and severally with the Principal, for the payment of such sum only as set forth opposite the name of such Surety, but if no limit of liability is indicated, the limit of liability shall be the full amount of the penal sum.

THE CONDITION OF THIS OBLIGATION IS SUCH, that whereas the Principal entered into the contract identified above:

NOW, THEREFORE, if the Principal shall perform and fulfill all the undertakings, covenants, terms, conditions and agreements of said contract during the original term of said contract and any extensions thereof that may be granted by the Authority, with or without notice to the Surety(ies), and during the life of any guaranty required under the contract, and shall also perform and fulfill all the undertakings, covenants, terms, conditions and agreements of any and all duly authorized modifications of said contract that may hereafter be made, notice of which modifications to the Surety(ies) being hereby waived, then the above obligation shall be void and of no effect.

IN WITNESS WHEREOF, the Principal and Surety(ies) have executed this performance bond and have affixed their seals on the date set forth above.

**Principal(s)**

1. Firm Name and Address:	Corporate Seal
Signature: _____	
Name and Title:	State of Inc.:

2. Firm Name and Address:	Corporate Seal
Signature: _____	
Name and Title:	State of Inc.:

3. Firm Name and Address:	Corporate Seal
Signature: _____	
Name and Title:	State of Inc.:

PERFORMANCE BOND – Page 2

<b>Corporate Surety(ies)</b>				
Surety  A	Surety Name and Address:  Signature: _____  Name and Title:		Liability Limit  \$	(Seal)
Surety  B	Surety Name and Address:  Signature: _____  Name and Title:		Liability Limit  \$	(Seal)
Surety  C	Surety Name and Address:  Signature: _____  Name and Title:		Liability Limit  \$	(Seal)
<b>Attach additional pages as needed.</b>				
	Bond  Premium  Schedule	Total Premium	\$	
<b>Instructions</b>				
1. This form is authorized for use in connection with contracts for construction work or the furnishing of supplies and services.				
2. The full legal name and business address of the Principal shall be inserted in the space designated "Principal" on the face of this form. The bond shall be signed by an authorized person. Where such person is signing in a representative capacity (e.g., an attorney-in-fact), but is not a member of the firm, partnership or joint venture, or an officer of the corporation involved, evidence of his authority must be furnished.				
3. Corporation executing the bond as sureties must be among those appearing on the Treasury Department's list of approved sureties and must be acting within the limitations set forth therein. Where more than a single corporate surety is involved, their names and addresses (city and State) shall be inserted in the spaces (Surety A, Surety B, etc.) headed "Corporate Surety(ies)".				
4. Corporations executing the bond shall affix their corporate seals.				
5. The name of each person signing this performance bond should be typed in the space provided.				
6. The date this Bond is executed must be later than the contract execution date.				

**PAYMENT BOND**

**Contract No.**

**Contract Date:**

**Penal Sum of Bond:**

**Date Bond Executed:**

KNOW ALL MEN BY THESE PRESENTS, that we, the Principal and Surety(ies) hereto, are firmly bound to the Washington Metropolitan Area Transit Authority (hereinafter called the Authority) in the above penal sum for the payment of which we bind ourselves, our heirs, executors, administrators, and successors, jointly and severally: Provided, that, where the Sureties are corporations acting as co-sureties, we, the Sureties, bind ourselves in such sum "jointly and severally" as well as "severally" only for the purpose of allowing a joint action or actions against any or all of us, and for all other purposes each Surety binds itself, jointly and severally with the Principal, for the payment of such sum only as set forth opposite the name of such Surety, but if no limit of liability is indicated, the limit of liability shall be the full amount of the penal sum.

THE CONDITION OF THIS OBLIGATION IS SUCH, that whereas the Principal entered into the contract identified above:

NOW, THEREFORE, if the Principal shall promptly make payment to all claimants as hereinafter defined supplying labor and material in the prosecution of the work provided for in said contract, and any and all duly authorized modifications of said contract that may hereafter be made, notice of which modifications to the Surety(ies) being hereby waived, then the above obligation shall be void and of no effect, otherwise it shall remain in full force and effect, subject, however, to the following conditions:

1. A claimant is defined as one having a direct contract with the Principal or with a subcontractor of the Principal for labor, material, or both, used or reasonably required for use in the performance of the contract, labor and material being construed to include that part of water, gas, power, light, heat, oil, gasoline, telephone service or rental of equipment directly applicable to the CONTRACT.
2. The above-named Principal and Surety hereby jointly and severally agree with the Owner that every claimant as herein defined, who has not been paid in full before the expiration of a period of ninety (90) days after the date on which the last of such claimant's work or labor was done or performed, or materials were furnished by such claimant, may sue on this bond for the use of such claimant, prosecute the suit to final judgment for such sum or sums as may be justly due the claimant, and have execution thereon. The Owner shall not be liable for the payment of any costs or expenses of any such suit.
3. No suit or action shall be commenced hereunder by any claimant:
  - a. Unless claimant, other than one having a direct contract with the Principal, shall have given written notice to the Principal within ninety (90) days after such claimant did or performed the last of the work or labor, or furnished the last of the materials for which said claim is made, stating with substantial accuracy the amount claimed and the name of the party to whom the materials were furnished, or for whom the work or labor was done or performed. Such notice shall be served by mailing the same by registered mail or certified mail, postage prepaid, in an envelope addressed to the Principal at any place where he maintains an office or conducts business, or his residence or such notice shall be served in any manner in which legal process may be served in the state or District of Columbia in which the aforesaid project is located, save that such service need not be made by a public officer.
  - b. After the expiration of one (1) year following the date of final settlement of said CONTRACT, it being understood, however, that if any limitation embodied in this bond is prohibited by any law controlling the construction hereof, such limitation shall be deemed to be amended so as to be equal to the minimum period of limitation permitted by such law.
  - c. Other than in a state court of competent jurisdiction in and for the county or other political subdivision of the state in which the project, or any part thereof, is situated or in the United States District Court for the district in which the project, or any part thereof, is situated, and not elsewhere.

**WASHINGTON METROPOLITAN AREA TRANSIT AUTHORITY  
SUPPLY AND SERVICE CONTRACT**

RFP-CQ13055/RAM

PAYMENT BOND page 2

IN WITNESS WHEREOF, the Principal and Surety(ies) have executed this payment bond and have affixed their seals on the date set forth above.

**Principal(s)**

1.	Firm Name and Address: Signature: Name and Title:	State of Inc.:	Corporate Seal
2.	Firm Name and Address: Signature: Name and Title:	State of Inc.:	Corporate Seal
3.	Firm Name and Address: Signature: Name and Title:	State of Inc.:	Corporate Seal

**Corporate Surety(ies)**

Surety	Surety Name and Address:	Liability Limit	(Seal)
A	Signature:	\$	
	Name and Title:	State of Inc.:	
Surety	Surety Name and Address:	Liability Limit	(Seal)
B	Signature:	\$	
	Name and Title:	State of Inc.:	
Surety	Surety Name and Address:	Liability Limit	(Seal)
C	Signature:	\$	
	Name and Title:	State of Inc.:	

**Attach additional pages as needed.  
Instructions**

- This form is authorized for use in connection with contracts for construction work or the furnishing of supplies and services.
- The full legal name and business address of the Principal shall be inserted in the space designated "Principal" on the face of this form. The bond shall be signed by an authorized person. Where such person is signing in a representative capacity (e.g., an attorney-in-fact), but is not a member of the firm, partnership or joint venture, or an officer of the corporation involved, evidence of his authority must be furnished.
- Corporation executing the bond as sureties must be among those appearing on the Treasury Department's list of approved sureties and must be acting within the limitations set forth therein. Where more than a single corporate surety is involved, their names and addresses (city and State) shall be inserted in the spaces (Surety A, Surety B, etc.) headed "Corporate Surety(ies)".
- Corporations executing the bond shall affix their corporate seals.
- The name of each person signing this payment bond should be typed in the space provided.
- The date this Bond is executed must be later than the contract execution date.

**PROPOSAL SECURITY (PROPOSAL BOND FORM)**  
 Submit with Price Proposal

Request for Proposal No.:                      Proposal Date:  
 Penal Sum of Bond:                              5% of Offered Price or Amount, \$:  
 Date Bond Executed:

KNOW ALL MEN BY THESE PRESENTS, that we, the Principal and Surety(ies) hereto, are firmly bound to the Washington Metropolitan Area Transit Authority in the above penal sum for the payment of which we bind ourselves, our heirs, executors, administrators, and successors, jointly and severally: Provided, that, where the Sureties are corporations acting as co-sureties, we, the Sureties, bind ourselves in such sum "jointly and severally" as well as "severally" only for the purpose of allowing a joint action or actions against any or all of us, and for all other purposes each Surety binds itself, jointly and severally with the Principal, for the payment of such sum only as set forth opposite the name of such Surety, but if no limit of liability is indicated, the limit of liability shall be the full amount of the penal sum.

THE CONDITION OF THIS OBLIGATION IS SUCH, that whereas the Principal has submitted the proposal identified above:

NOW, THEREFORE, if the Principal, upon acceptance by the Authority of his proposal identified above, within the period specified therein for acceptance (ninety [90] days if no period is specified), shall execute such further contractual documents, if any, and give such bond(s) as may be required by the terms of the proposal as accepted within the time specified (ten [10] days if no period is specified) after receipt of the forms by him, or in the event of failure so to execute such further contractual documents and give such bonds, if the Principal shall pay the Authority for any cost of procuring the work which exceeds the amount of his proposal, then the above obligation shall be void and of no effect.

Each Surety executing this instrument hereby agrees that its obligation shall not be impaired by any extension(s) of the time for acceptance of the proposal that the Principal may grant to the Authority notice of which extension(s) to the Surety(ies) being hereby waived provided that such waiver shall apply only with respect to extensions aggregating not more than ninety (90) calendar days in addition to the period originally allowed for acceptance of the proposal.

**Principal(s)**

	Corporate Seal
1. Firm Name and Address:	
Signature: _____	State of Inc.: _____
	Corporate Seal
2. Firm Name and Address:	
Signature: _____	State of Inc.: _____
	Corporate Seal
3. Firm Name and Address:	
Signature: _____	State of Inc.: _____

PROPOSAL SECURITY (PROPOSAL BOND FORM) - Continued - page 2

<b>Corporate Surety(ies)</b>				
Surety  A	Surety Name and Address:  Signature: _____  Name and Title:		Liability Limit  \$ _____  State of Inc.:	(Seal)
Surety  B	Surety Name and Address:  Signature: _____  Name and Title:		Liability Limit  \$ _____  State of Inc.:	(Seal)
Surety  C	Surety Name and Address:  Signature: _____  Name and Title:		Liability Limit  \$ _____  State of Inc.:	(Seal)
<b>Attach additional pages as needed.</b>				
<b>Instructions</b>				
<ol style="list-style-type: none"> <li>1. This form is authorized for use whenever a proposal guaranty is required in connection with construction work or the furnishing of supplies and services.</li> <li>2. The full legal name and business address of the Principal shall be inserted in the space designated "Principal" on the face of this form. The bond shall be signed by an authorized person. Where such person is signing in a representative capacity (e.g., an attorney-in-fact), but is not a member of the firm, partnership or joint venture, or an officer of the corporation involved, evidence of his authority must be furnished.</li> <li>3. The penal sum of the bond shall be expressed as either a percentage of the proposal price or in dollars and cents.</li> <li>4. Corporation executing the bond as sureties must be among those appearing on the Treasury Department's list of approved sureties and must be acting within the limitations set forth therein. Where more than a single corporate surety is involved, their names and addresses (city and State) shall be inserted in the spaces (Surety A, Surety B, etc.) headed "Corporate Surety(ies)".</li> <li>5. Corporations executing the bond shall affix their corporate seals.</li> <li>6. The name of each person signing this proposal bond should be typed in the space provided.</li> </ol>				

## **PART III - TECHNICAL SPECIFICATIONS**





## REPAIR OF RAILCARS 5056, 5057 and 6050

### SECTION 100

#### STATEMENT OF WORK

#### PART 1 - GENERAL

##### 1.1 INTENT OF THE CONTRACT

The intent of this contract is to satisfactorily make all necessary repairs to damaged railcar numbers 5056, 5057 and 6050; perform all necessary testing; and re-commission the railcars ready for revenue service. The Contractor shall provide all necessary factors of production to repair the railcars including, but not limited to: labor, material, equipment, tools, facilities and incidentals as well as management, supervision, engineering, safety, purchasing, quality control, testing, transportation and commissioning ready for revenue service.

##### 1.2 QUALITY ASSURANCE

- A. All work shall be performed under the Contractor's (or approved subcontractor's) ISO 9001:2008 (or latest) quality standards.
- B. Applicable Codes, Regulations, Reference Standards and Specifications:
- AAR
  - AREMA
  - NEC
  - IEEE
  - NEMA
  - ASTM
  - AWS
- C. Contractor's Quality Program must at a minimum meet the requirements of the Contract Specification FH 6318, Exhibit 5 or Contract Specification TC6000.
- D. The Authority reserves the option to audit the Contractor's Quality System or perform Process audits at any time.

- E. All new parts and components provided by the Contractor must be OEM or a WMATA approved product (type and revision level). Products not meeting either criterion will require acceptance testing and approval at no change in cost or time.

### 1.3 SUBMITTALS

The Contractor shall submit to the Authority for review and approval all relevant technical documentation related to the repairs of the railcars as defined in these technical specifications and per relevant exhibits. This includes, but is not limited to:

- A. A copy of their current ISO 9001:2008 (or latest) certification.
- B. Current Quality Assurance Manual and Plan.
- C. Plan to dismantle and analyze damaged areas for review and approval.
- D. Factory Procedure for repairing the railcars for review and approval.
- E. Factory Test Procedures for review and approval.
- F. Factory Inspection Reports for review and approval.
- G. All Factory Test Reports to the Authority for acceptance prior to shipment of the railcars to the Authority.
- H. Railcar final acceptance test procedures for review and approval.
- I. Any recommended updates for the operation and maintenance of the railcars.
- J. An electronic copy of each and all submittals shall also be timely submitted with the hard copies.

\* \* \*

## **Railcars 5056/57 Damaged in West Falls Church Yard Accident Repairs**

### **Section 5000**

#### **Technical Requirements**

##### **Background Information**

On November 29<sup>th</sup> 2009, at about 4:27 a.m. some Washington Metropolitan Area Transit Authority (WMATA) railcars were involved in a collision in West Falls Church Yard. The moving train with railcars 5056/5057 in the lead collided with railcars 3217/3216 of the stationary train. Railcar 5056 leading the moving train struck railcar 3217 of the standing train.

The estimated collision speed was 17-18 mph. The last car 5138 of the stationary train was against the bumping post at the end of the track. Some of the collision energy was absorbed by the crash energy management features designed into the 5000 series railcars. There was almost no visible damage to any of the 5000 series railcars beside the elements specifically designed to absorb energy by predicted collapse. The passenger compartments of the 5000 series railcar remained structurally intact. Subsequently, more detailed inspections revealed significant damage to the crash energy management structure (CEM) resulting in change of overall vehicle length.

Washington Metropolitan Area Transit Authority (WMATA) contracted LTK Engineering Services to conduct an inspection and non-destructive structural assessment of the 5000 series cars. The carbody structural inspections were conducted in such a manner as to require a minimum of internal and external equipment removal. The inspection was documented through written report and photographs. The summary tables of significant findings and overall dimensional checks are provided. Inspection Report is presented as Exhibit 1, Ref. [1].

### **Description of 5000 Series Cars**

The 5000 series cars were manufactured by CAF and acquired in early 2000. The 5000 series carbody is an integral design semi-monocoque structure, i.e., with very limited framing, with no floor beams, and made entirely of aluminum alloy. The body, including the underframe with floor, is made from a number of wide hollow aluminum extrusions extending the entire length of the car. These hollow extrusions are welded together longitudinally to make a complete body shell. Floor extrusions incorporate an underfloor equipment installation system. The end under-frame is also aluminum. All extrusions are shaped to provide the required external profile of the body and incorporate interlocking, which allows ready assembly and securing in the assembly jig. All extrusions contain the preparations for the longitudinal welds. Hollow aluminum extrusions are longitudinally welded to create subassemblies of the sides, roof, underframe with floor, and ends. The sill, sidewall extrusions, floor extrusions, roof-rail, and carlines are constructed of aluminum alloy 6008 T6. Roof and end sheets are made of aluminum alloy 5454 H26 while the body bolster, absorber box, end sill and header are constructed of alloy 6082 T6. The collision posts and corner posts are made of 6005A T6 alloy.

Both F and R-ends are equipped with a state of the art CEM structure integrated into the carbody. Floor extrusions in front of the body bolster serve as energy absorption elements. "Trigger" elements are incorporated into the floor, side sills and side walls. During a collision, anticlimbers move back compressing Oleo hydraulic absorbers, followed by about 1 foot of structure collapse in predicted manner dissipating about 1.5 MJ energy at approximately 32 mph closing speed.

### **Current Condition of Cars**

The collision damage is described in the Inspection Report, Exhibit 1, Ref. [1]. Subsequently both cars were stripped for parts and the underfloor, cab and passenger compartment equipment, doors, seats, etc.

As Built Drawing are shown in Exhibit 2, Ref. [2], Schematics in Exhibit 3, Ref [3], and other Contractual Drawings in Exhibit 4, Ref. [4].

Potential Bidders are required to inspect current condition of both cars in detail.

Brief description of carbody damage, missing equipment and damage introduced by removing equipment is itemized as follows:

1. Railcars 5056 and 5057 were damaged in the collision accident, and experienced significant CEM structure damage. The CEM structure was activated at both ends. There was significant buckling of the cab floor extrusions, coupler anchor structure and bolster plates. It appears that "trigger" elements incorporated into the side wall were not activated. Side walls, roof, underframe structure between bolsters and R-end ends were not damaged. As a result of accident railcar 5056 is 1.0 inch and railcar 5057 is 0.75 inches shorter than the nominal length. Both end underframes need to be removed and replaced with new structure. For details refer to Exhibit 1.
2. Railcar 5057 was further structurally damaged this year (September, 2012) in attempt to remove sidewall section between doors #10 and #11. Damaged sidewall had to be repaired by removing damaged extrusions from the door post #10 to the door post #11 and replace it (weld it in place) with new.

3. The F-end FRP masks are in place, it may require some cosmetic repairs.
4. Both cars have all underfloor equipment removed, with exception of rectifiers. The underfloor equipment is installed using an Alusuisse/Alcan Unistrut system. It appears that all sliding nuts and bolts are in place. All underfloor equipment installation and/or missing sliding nuts and bolts replacement shall follow the Alusuisse Installation Guide, Exhibit 6.
5. Under floor wire ways are in place, in need of detailed inspection and potential repair. The rate of replacement is estimated to be 50%. Floor penetrations appear to be intact.
6. All equipment in the passenger compartments is removed, with exception of evaporators with fans and drip pans. Propulsion and brake equipment in back-to-back seat wells is also missing. All removed equipment needs to be re-installed, re-wired and re-piped according to Technical Requirements in Exhibit 5.
7. All equipment in both cabs is removed; operator console and circuit breaker panel are dismantled and removed. All miscellaneous equipment (fire extinguisher, sun visors, curtains, etc.) is also missing,
8. During equipment removal (cab, passenger compartment and underframe), connectors, wiring and wiring harnesses were damaged.
9. Passenger doors were removed, together with door operators and some weather stripping.
10. Car 5056 F-end doors are damaged, glass is broken.

11. All seat frames and all cushions were removed from both cars.
12. Plywood floors have been damaged; these floors are partially bonded to the aluminum floor extrusions. Cab floor in car 5056 has been removed.
13. Partition wall and cab door at F-end car 5056 were removed for inspection purposes.
14. Some interior liners are damaged, especially on car 5057 during side wall removal attempt.
15. Couplers are still attached on both ends, F-ends have missing electric coupler heads. Sheer bolts sheared during the accident; however it appears have been replaced to facilitate yard moves. These couplers shall be removed and replaced with WMATA provided couplers and electric heads.
16. Trucks are not part this repair; vehicle is currently supported on dummy trucks.

### **Technical Requirements**

Technical Requirements for original 5000 Series Contract are provided in Exhibit 5, Ref. [5]. This document provides only a summary of needed repairs, and references to the Technical Requirements in Exhibit 5, as follows:

1. Contractor shall plan and execute all transportation preparations and transportation activities.
2. Before starting any repair activities, a detailed Repair Plan shall be submitted for review and approval by WMATA. Holding points shall be clearly defined.

3. Bid shall include internal QA/QC function per Section 1.7, Exhibit 5.
4. Management function, logistics, testing plan and communication with WMATA shall be described per Section 1.4.1, Exhibit 5.
5. All drawings for repairs shall be submitted to WMATA for approval, per Sections 1.3.3, and 2.8, Exhibit 5.
6. All painting procedures, (primer, paint and application of sound damping material (Aquaplas 10 used by OEM) shall be submitted for review and approval. See Section 15.24, Exhibit 5.
7. All WPS (welding procedure specifications), WPQR (welding procedure qualification record) and welders' qualification records shall be submitted for approval. In lieu of WPS and WPQR, the OEM specification approved by WMATA could be used. The AWS D1.2 shall be strictly followed. See Section 15.23, Exhibit 5.
8. All welds and repairs shall be NDT inspected. As a minimum dye penetrant, ultrasonic and radiographic inspection shall be used as approved by WMATA. Inspection criteria shall be per AWS D1.1 or as jointly agreed between parties. See Section 15.23, Exhibit 5
9. Both railcars shall be structurally repaired to as new condition. As a minimum APTA SS-C&S-020-03 Standard for Passenger Vehicle Structural Repair shall be followed to restore carbody structure to its original strength level and crashworthiness defined in Sections 3.2 and 3.3, Exhibit 5.
10. Damaged anticlimbers and Oleo type hydraulic absorbers shall be replaced with new per OEM specification. See Section 3.3, Exhibit 5.



11. Center pins shall be replaced with new. Center pin drawing and installation is shown in As Built Drawings, Exhibit 2.
12. Following repairs, railcars shall be dimensionally checked and diagonally jacked to confirm structural adequacy. Side bearing flatness shall be a part of dimensional check. Side bearing flatness measured in longitudinal direction shall be better than 0.010 inches. Following diagonal jacking, cars overall dimensions shall be verified again. See Sections 2.1 and 3.3, Exhibit 5.
13. Repaired sidewall section shall be brushed to match the rest of railcar exterior. Grain direction shall be horizontal, approximately Grit 80. Before brushing, samples shall be provided for WMATA approval. See Section 3.2.4 Exhibit 5.
14. All damaged interior liners shall be repaired, or replaced with new per WMATA's satisfaction, and Section 3.6, Exhibit 5. All panels, fiberglass-reinforced plastic and thermoplastic sheets shall meet requirements specified in Sections 3.6, 3.8, 3.9, 15.10, 15.13 and 15.14, Exhibit 5. All glazing material in need of replacement shall meet Section 3.10 and 15.8, Exhibit 5.
15. Both railcars shall be rewired with both low and high voltage wire and cables per OEM specification. See Sections 15.17, 15.18, 15.19, 15.20, 15.21 and 15.22, Exhibit 5. Repairs could be allowed on case by case basis. No wire spicing is allowed.
16. All missing or damaged contactors, relays, switches, circuit breakers, fuses, bus bars, capacitors, resistors, transformers, inductors, fuse panels and battery back-up circuits shall be repaired or renewed to meet Section 15.31, Exhibit 5.

17. All damaged piping shall be repaired or renewed per WMATA satisfaction and Section 15.15, Exhibit 5.
18. Floor panels shall be removed and replaced with new Milwaukie Composite panels per WMATA specification and Section 3.3.17. New floor covering/carpet shall be installed per Section 15.9, Exhibit 5.
19. Passenger seat frames and cushions shall be installed per OEM specification, see Sections 3.11 and 15.11, Exhibit 5.
20. Under-seat apparatus shall be re-installed per OEM Specifications and Section 3.5, Exhibit 5.
21. Operator seats shall be installed per Section 3.4, Exhibit 5.
22. Passenger doors, door operators and weather stripping shall be installed and doors adjusted per OEM specification, see Sections 3.8, 6.1 to 6.7, Exhibit 5. All glazing material in need of replacement shall meet Section 3.10 and 15.8, Exhibit 5.
23. All damaged or missing interior lighting, lighting fixtures and diffusers shall be repaired or replaced per WMATA discretion and Sections 8.1 and 8.3, Exhibit 5.
24. All damaged or missing exterior lighting shall be replaced per Section 8.2, Exhibit 5.
25. End door shall be repaired or renewed per WMATA discretion and Section 3.8, Exhibit 5.
26. All air filters shall be replaced with new, per Sections 7.3.4 and 15.26, Exhibit 5.

27. All underfloor equipment shall be installed per OEM specification, Sections 3.3.12 and 3.3.13, Exhibit 5.
28. All Propulsion equipment shall be installed per Sections 10.2, 10.6 and 10.7, Exhibit 3. Vehicle Grounds shall be per Section 9.9, Exhibit 5.
29. All Braking equipment shall be installed per Sections 10.8 to 10.11, Exhibit 5.
30. All HVAC equipment shall be installed per Sections 7.1 to 7.7, Exhibit 5.
31. All Power Supply and Miscellaneous Electrical Apparatus shall be installed per Sections 9.1 to 9.7, Exhibit 5.
32. ATC rack (5056 car only) and ATC equipment shall be installed per Sections 3.13, 11.1 to 11.3, Exhibit 5.
33. Destination Signs to be installed per Section 5.4, Exhibit 5.
34. VMS equipment shall be installed per Sections 9.10 and 12.6, Exhibit 5.
35. Communication equipment shall be installed per Sections 13.1 to 13.8, Exhibit 5.
36. Couplers and Drawbars provided by WMATA shall be installed per Sections 4.1 to 4.11. Electric coupler heads shall be installed per Section 4.6, Exhibit 5.
37. Miscellaneous Carbody Items shall be installed per Sections 5.1 to 5.16, Exhibit 5.

38. All material and workmanship shall be in accordance to Section 15, Exhibit 5. If same material are used as for original design the Flammability and Smoke Emission requirements may be waived. Special attention shall be paid to the joining and fastening, Section 15.2, Exhibit 5.
39. All tests and adjustments shall be per Sections 1.8, 3.15.1, 4.12, 6.8, 7.8, 10.7.3, 10.8.29, 11.4,6 and 13.9,3 Exhibit 5. Some particular tests could be waived per WMATA discretion. As a minimum repaired carbody before brushing shall be tested for diagonal jacking in AW0 condition. Following all repairs, cars shall be tested for water-tightness.
40. All wiring, conduits, cable, etc. shall be tested per Section 1.8.4.3 Exhibit 5, unless otherwise specified/approved by WMATA.
41. As a minimum testing shall be divided in static and dynamic testing. Static/functional testing should be clearly defined and performed at carbuilder site. Dynamic testing shall be at WMATA property. All test plans shall be submitted for approval.

### **WMATA Involvement**

To expedite repairs WMATA will actively contribute to the repair process. WMATA will provide all available:

1. OEM drawings and schematics.
2. OEM Specifications.
3. Interior liners, trim, lighting and diffusers.
4. Stanchions and handhold.

5. Glazing.
6. Passenger seat frames and cushions.
7. Carpet.
8. Operator seats.
9. Cab equipment.
10. ATC equipment.
11. VMS equipment.
12. Next Destination Sign equipment.
13. Communication equipment.
14. Passenger compartment equipment, including back-to-back seat well equipment.
15. Passenger doors, operators and door control units.
16. Underfloor equipment (Brake, Propulsion, APS, HVAC, LVPS, Resistors, KA, KP and Battery Boxes, and Coupler related equipment).
17. Couplers.
18. Trucks.
19. All other miscellaneous available equipment.
20. Facilities and track rights for dynamic testing at WMATA property.

21. Necessary managerial and engineering support to facilitate prompt review of submitted technical documents and return cars into the service.

**List of Exhibits**

1. Inspection Report, LTK Engineering/WMATA, 2011
2. As Built Drawings, latest revision, CAF
3. Schematics and piping diagrams, latest revision.
4. Contractual drawings.
5. 5000 Series Procurement Specification FH 6318, 1999
6. Alusuisse Installation Guide: Equipment Fixing System Using T-slot Channels 20/25, KVB-001, 2001

\* \* \*

## **Section 6000**

### **Repairs of Railcar 6050 Damaged in New Carrollton Yard Accident**

#### **Technical Requirements**

##### **Background Information**

On January 12th 2012, some Washington Metropolitan Area Transit Authority (WMATA) railcars were involved in a collision in New Carrollton Yard. The moving train with railcars 6050/6051 in the trail, side-swiped 3135, the leading car of the stationary trainset positioned on the adjacent pocket rack. As a result of impact, railcar 6050 derailed and the F-end truck of car 3135 was thrown on the ballast. The collision also resulted in the underframe equipment of car 6050 coming into contact with the third rail, which caused a brief electrical fire/arching.

WMATA personnel re-railed the car using their standard procedures for such an incident; employing a crane and steel cable slings. The re-railing process caused additional miscellaneous carbody damage. In order to facilitate re-railing, the condenser/ compressor box was removed from car which resulted in further damage to the piping, conduits and wiring.

Washington Metropolitan Area Transit Authority (WMATA) contracted LTK Engineering Services to conduct an inspection and non-destructive structural assessment of the 6000 series cars. The carbody structural inspections were conducted in such a manner as to require a minimum of internal and external equipment removal. The inspection was documented through written report and photographs. Inspection Report is presented as Exhibit 1, Ref. [1].

##### **Description of 6000 Series Cars**

The 6000 series cars were manufactured by ALSTOM and acquired in early 2005. The 6000 series carbody is an integral design semi-monocoque structure, i.e., with very limited framing, with no floor beams, and made predominantly of aluminum alloy. The body, including the underframe with floor, is made from a number of wide hollow aluminum extrusions extending the

entire length of the car. These hollow extrusions are welded together longitudinally to make a complete body shell. Floor extrusions incorporate an underfloor equipment installation system.

All aluminum extrusions are shaped to provide the required external profile of the body and incorporate interlocking, which allows ready assembly and securing in the assembly jig. Extrusions are longitudinally welded to create subassemblies of the sides, roof, underframe with floor, and ends. All extrusions contain preparations for these longitudinal welds. The side sill, sidewall extrusions, floor extrusions, roof-rail, and carlines are constructed of aluminum alloy 6008 T6. The roof and end sheets are made of aluminum alloy 5454 H26 while the absorber/anticlimber box, end sill and header are constructed of alloy 6082 T6. The collision posts and corner posts are made of 6005A T6 alloy.

The 6000 series end-underframe is mostly HSLA (High Strength, Low Alloy) steel, including the body bolster and center pin. The end sill structure is aluminum, which is attached to the steel members with Huck bolts and fasteners.

Both F- and R-ends of the car are equipped with state-of-the-art CEM structures. Tapered HSLA absorption boxes behind the end sill in the end-underframe serve as the main energy absorption elements. Secondary aluminum absorption elements are placed in the roof rail. During a collision, anticlimbers move back, compressing "honeycomb" type absorbers, followed by about 1 foot of main absorber deformation engineered to collapse in a predictable manner dissipating about 1.5 MJ energy at approximately 32 mph closing speed (740 kJ at 20 mph).

### **Current Condition of Cars**

The collision damage is described in the Inspection Report, Exhibit 1, Ref. [1].

As Built Drawing are shown in Exhibit 2, Ref. [2], Schematics in Exhibit 3, Ref [3], and other Contractual Drawings in Exhibit 4, Ref. [4].

Potential Bidders are required to inspect current condition of car in detail.

Brief description of carbody damage, missing equipment and damage introduced by removing equipment is itemized as follows:



1. Railcar 6050 was damaged in the collision accident/derailment, and experienced significant sidewall and R-end damage. The CEM structure was not activated at any end. There was buckling and gauging of the sidewalls extrusions, bending of R-end collision post and some damage to the floor extrusion(s).
2. The F-end FRP mask is in place, it may require some cosmetic repairs.
3. Car 6050 has F-end HVAC box removed and some equipment boxes are damaged during derailment and contact with third rail. The underfloor equipment is installed using an Alusuisse/Alcan Unistrut system. It appears that all sliding nuts and bolts are in place. All underfloor equipment installation and/or missing sliding nuts and bolts replacement shall follow the Alusuisse Installation Guide, Exhibit 6.
4. Underfloor wireways are in place, in need of detailed inspection and potential repair. The rate of replacement is estimated to be 5 to 10%. Floor penetrations appear to be intact.
5. All equipment in the passenger compartments is. Propulsion and brake equipment in back-to-back seat wells appears not to be affected. Any damaged/removed equipment needs to be re-installed, re-wired and re-piped according to Technical Requirements in Exhibit 5.
6. All equipment in both cabs is intact. All miscellaneous equipment (fire extinguisher, sun visors, curtains, etc.) were in place at the time of inspection.
7. Composite floors have not been damaged.
8. Couplers are still attached on both ends. Sheer bolts did not shear during the accident. These couplers shall be removed and replaced with WMATA provided couplers.
9. Trucks are not part this repair.

### Technical Requirements

Technical Requirements for original 6000 Series Contract are provided in Exhibit 5, Ref. [5]. This document provides only a summary of needed repairs, and references to the Technical Requirements in Exhibit 5, as follows:

1. Contractor shall plan and execute all transportation preparations and transportation activities.
2. Before starting any repair activities, a detailed Repair Plan shall be submitted for review and approval by WMATA. Holding points shall be clearly defined.
3. Bid shall include internal QA/QC function per Sections 5.1 and 5.6, Exhibit 5.
4. Management function, logistics, testing plan and communication with WMATA shall be described per Section 2.1, Exhibit 5.
5. All drawings for repairs shall be submitted to WMATA for approval, per Sections 1.2.4, and 1.2.7, Exhibit 5.
6. All painting procedures, (primer, paint and application of sound damping material) shall be submitted for review and approval. See Sections 8.2.4.2 and 22.23, Exhibit 5.
7. All WPS (welding procedure specifications), WPQR (welding procedure qualification record) and welders' qualification records shall be submitted for approval. In lieu of WPS and WPQR, the OEM specification approved by WMATA could be used. The AWS D 1.1 and D1.2 shall be strictly followed. See Section 22.2, Exhibit 5.
8. All welds and repairs shall be NDT inspected. As a minimum dye penetrant, ultrasonic and radiographic inspection shall be used as approved by WMATA. Inspection criteria shall be per AWS D1.1 or as jointly agreed between parties. See Section 22.2, Exhibit 5

9. Railcar 6050 shall be structurally repaired to as new condition. As a minimum APTA SS-C&S-020-03 Standard for Passenger Vehicle Structural Repair shall be followed to restore carbody structure to its original strength level and crashworthiness defined in Sections 8.2, 8.3, 8.8, 8.12, 8.14 Exhibit 5.
10. All need thermal insulation and SSTL pans needs to be renewed. Rate of replacement is estimated to 10%. See Sections 8.3.5 and 8.12.
11. Following repairs, railcars shall be dimensionally checked and diagonally jacked to confirm structural adequacy. Side bearing flatness shall be a part of dimensional check. Side bearing flatness measured in longitudinal direction shall be better than 0.010 inches. Following diagonal jacking, cars overall dimensions shall be verified again. See Sections 8.15, Exhibit 5.
12. Repaired sidewall/end wall section shall be brushed to match the rest of railcar exterior. Grain direction shall be horizontal, approximately Grit 80. Before brushing, samples shall be provided for WMATA approval. See Section 8.2.4 Exhibit 5.
13. All glazing material in need of replacement shall meet Section 8.9, 8.10 and 22.8, Exhibit 5.
14. Railcar 6050 shall be rewired in damaged wire way sections with both low and high voltage wire and cables per OEM specification. See Sections 22.16 to 22.21, Exhibit 5. Repairs could be allowed on case by case basis. No wire spicing is allowed.
15. All missing or damaged contactors, relays, switches, circuit breakers, fuses, bus bars, capacitors, resistors, transformers, inductors, fuse panels and battery back-up circuits shall be repaired or renewed to meet Sections 14.6 and 22.30, Exhibit 5.
16. All damaged piping and reservoirs shall be repaired or renewed per WMATA satisfaction and Section 22.14 and 22.15, Exhibit 5.

17. All passenger doors, door operators and weather stripping in need of repair shall be repaired and re-installed, and doors adjusted per OEM specification, see Sections 8.8.1, 8.8.2, and 11.1 to 11.9, Exhibit 5.
18. All damaged or missing interior lighting, lighting fixtures and diffusers shall be repaired or replaced per WMATA discretion and Sections 8.6.3, 13.1 and 13.3 Exhibit 5.
19. All damaged or missing exterior lighting shall be replaced per Section 13.2, Exhibit 5.
20. All air filters shall be replaced with new, per Section 22.25, Exhibit 5.
21. Floor covers shall be cleaned or replaced per WMATA direction, See Sections 8.7 and 22.9, Exhibit 5.
22. All underfloor equipment shall be installed per OEM specification, Sections 3.3.12 and 3.3.13, Exhibit 5.
23. All damaged propulsion equipment shall be installed per Sections 15.2, 15.6.17 and 15.7, Exhibit 5.
24. All damaged braking equipment shall be installed per Sections 8.4.2, 8.5, 16.2, 16.3, 16.4.4, 16.4.5 and 16.4.11, Exhibit 5.
25. All missing or damaged HVAC equipment shall be installed per Sections 12.2 to 12.7, Exhibit 5.
26. All damaged Power Supply and Miscellaneous Electrical Apparatus shall be installed per Sections 14.1, 14.6, 14.8 and 14.9, Exhibit 5.
27. Couplers and Drawbars provided by WMATA shall be installed per Sections 4.1 to 4.11. Electric coupler heads shall be installed per Section 9.2 to 9.9, Exhibit 5.
28. Miscellaneous Carbody Items shall be installed per Sections 10.1 to 10.15, Exhibit 5.

29. All material and workmanship shall be in accordance to Section 22, Exhibit 5. If same material are used as for original design the Flammability and Smoke Emission requirements may be waived. Special attention shall be paid to the joining and fastening, Section 22.2, Exhibit 5.
30. All tests and adjustments shall be per Sections 3.1 to 3.4, 8.15, 9.12, 11.10, 12.8, 13.3, 14.6.1.5, 15.8, 16.6.2, 16.6.7, 16.6.8, 18.10.6, 19.10.3. 20.12 Exhibit 5. Some particular tests could be waived per WMATA discretion. As a minimum repaired carbody before brushing shall be tested for diagonal jacking in AW0 condition. Following all repairs, cars shall be tested for water-tightness.
31. All wiring, conduits, cable, etc. shall be tested per Section 15.8.2 Exhibit 5, unless otherwise specified/approved by WMATA.
32. As a minimum testing shall be divided in static and dynamic testing. Static/functional testing should be clearly defined and performed at carbuilder site. Dynamic testing shall be at WMATA property. All test plans shall be submitted for approval.

### **WMATA Involvement**

To expedite repairs WMATA will actively contribute to the repair process. WMATA will provide all available:

1. OEM drawings and schematics.
2. OEM Specifications.
3. Glazing.
4. Carpet.
5. Underfloor equipment (Brake, Propulsion, APS, HVAC, LVPS, Resistors, KA, KP and Battery Boxes, and Coupler related equipment), as required.
6. Couplers.

7. Trucks.
8. All other miscellaneous available equipment.
9. Facilities and track rights for dynamic testing at WMATA property.
10. Necessary managerial and engineering support to facilitate prompt review of submitted technical documents and return cars into the service.

**List of Exhibits**

1. WMATA Railcar 6050 Inspection Report, LTK Engineering/WMATA, February 2013
2. As Built Drawings, latest revision, ALSTOM
3. Schematics and piping diagrams, latest revision, ALSTOM.
4. Contractual drawings.
5. 6000 Series Procurement Specification TC-6000, July 1<sup>st</sup>, 2003
6. Alusuisse Installation Guide: Equipment Fixing System Using T-slot Channels 20/25, KVB-001, 2001