



# REQUEST FOR PROPOSAL

**SUBJECT:** LEGAL SERVICES

**DATE:** APRIL 11, 2025

**INVITATION NO.:** 25-08

**PROPOSAL DUE:** MAY 14, 2025      **TIME:** 11:00 a.m. C.S.T.

The Memphis Area Transit Authority invites proposals for supplies and/or services set forth above in accordance with the specifications enclosed.

Proposals **MUST** be received at MATA by the date and time set forth above.

Sincerely,

*Ashley Best*

Ashley Best  
Sr. Contract Administrator

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## COMMON PROBLEMS WITH PROPOSAL SUBMITTALS

- Missing or unsigned copies of certain forms and certifications. The following must be included in the Proposal:
  - Addenda Acknowledgment Form
  - Contact and Reference Form
  - Affidavit of Non-Collusion
  - Buy America Certificate
  - Federal Tax Liability and Recent Felony Conviction
  - Certification of Primary Participation Regarding Debarment, Suspension, and other Responsibility Matters
  - Certification of Lower-Tier Participants Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion
  - Certification of Restrictions on Lobbying
  - Certification of Utilization of Disadvantaged Business Enterprises
  - Letter of Intent to Perform as a DBE Contractor or Subcontractor
  - Schedule of DBE Participation
  - National Defense Authorization Act Telecommunication
  - Explanation of "No Response"
  - Proposal Form
- Incomplete or outdated information on client references and/or insufficient number of references provided.
- Failure to include adequate documentation about the role of subcontractors in the project.
- Submittal of too few copies. The RFP specifies the number of originals and number of copies of the Proposal to be provided.
- Failure to properly label Proposal package with Proposal/Proposal label.
- Proposal received late. All Proposals must be in MATA's possession by the deadline shown in the Proposal. All Proposals received after the deadline will be returned unopened. If delivered by hand, the Proposal package must be deposited as specified in Section A, 1.4.

**MEMPHIS AREA TRANSIT AUTHORITY**

**LEGAL NOTICE TO PROPOSERS**

Proposals will be received by the Memphis Area Transit Authority (MATA) at its Purchasing offices, 40 S. Main Street, Suite 1200, Memphis, TN 38103, **until 11:00 a.m. local time, on Wednesday, May 14, 2025**, for furnishing the following:

**LEGAL SERVICES**

Proposers must submit their proposal with the enclosed label attached to the envelope.

A pre-proposal meeting will take place on Thursday, April 17, 2025, at 10:00 a.m. – 11:30 a.m. at via Microsoft Teams meeting. You can log int to the meeting with the following information: Meeting ID: 288 907 219 71, Passcode: Vj9fT2Qe or call in (audio only) - +1 901-614-1074,,410850186# - Phone Conference ID: 410 850 186#. While the pre-proposal meeting is not mandatory, it is strongly suggested that you attend.

MATA hereby notifies all Proposers that in regard to any contract entered into pursuant to this advertisement, minority business enterprises will be afforded full opportunity to submit bids in response to this advertisement and will not be discriminated against on the grounds of race, color, sex, religion, political affiliation or national origin in consideration of an award.

Any name appearing on the Comptroller General's list of ineligible contractors is not an eligible Proposer. The contractor will be required to comply with all applicable Equal Employment Laws and Regulations.

**Further information and Proposal requirements may be obtained by contacting Ashley Best, Sr. Contract Administrator at (901) 722-7172 or via email: [abest@matatransit.com](mailto:abest@matatransit.com) or [purchasing@matatransit.com](mailto:purchasing@matatransit.com).**

MATA reserves the right to reject any and all proposals, and to waive any informality in proposing.

April 11, 2025 & May 7 & May 9, 2025

John Lewis  
Interim Chief Executive Officer

**SECTION A**  
**INSTRUCTIONS TO PROPOSERS**

## SECTION A INSTRUCTIONS TO PROPOSERS

### 1.0 GENERAL

- 1.1 The Memphis Area Transit Authority (hereinafter referred to as MATA) seeks Proposals for professional services from qualified firms capable of providing the scope of services described in Section B. These instructions provide detailed legal and technical requirements for the acquisition of these services. This Request for Proposal (RFP) will become part of the contract.

MATA will enter into a contract with the successful proposer for products and/or services relative to the Project. This Project is more particularly described in Section B - Scope of Services. General Contract Provisions are included in Attachment 1. Where there is conflict between the General Contract Provisions and Section A, the provisions of instructions to proposers

MATA is a public agency responsible for providing public transportation services within the city of Memphis and surrounding communities.

- 1.2 Purchaser” or “Grantee” or “Authority” means MATA. The words “request for proposal”, “RFP”, and “solicitation” are synonymous. The words “proposal”, “Proposal” and “offer” are also synonymous, and it is understood that once MATA accepts same, the document will constitute a portion of the contract contemplated by these instructions. The words “proposer”, “Proposal” and “offerer” are also synonymous.
- 1.3 This Request for Proposals (RFP) does not commit MATA to award a contract or pay any costs incurred in preparation of proposals in response to the RFP. Proposers shall be responsible for all costs incurred as part of their participation in the pre-award process.
- 1.4 Proposals will be received by MATA at its Purchasing offices located at 40 S. Main Street, Suite 1200, Memphis, TN 38103, until 11:00 a.m. local time on WEDNESDAY, MAY 14, 2025. PROPOSALS RECEIVED AFTER THIS DATE AND TIME WILL BE RETURNED TO THE PROPOSER UNOPENED.

All Proposals shall be deemed received at the above address. Proposers are solely responsible for ensuring that his/her Proposal is timely delivered. Proposers who rely on overnight delivery services, the United States mail, private mail services, local couriers or delivery services remain solely responsible for timely delivery of the Proposal and assume all risk of late delivery, miss-delivery and non-delivery.

All Proposals will be date/time stamped, logged and deposited by MATA Staff.

Proposers are reminded that all Proposals must be securely sealed, have the enclosed label attached and be clearly marked "Proposal".

MATA's normal business hours are 8:00 a.m. to 4:30 p.m. Monday through Friday. After normal business hours, Proposals will be accepted at the MATA dispatcher's office, 1370 Levee Road, Memphis, TN 38108; however, Proposers are reminded of their sole responsibility for ensuring that their RFP is deposited in the Purchasing Department.

Proposers may verify receipt of Proposals by contacting MATA at (901) 722-7182 or email: [abest@matatransit.com](mailto:abest@matatransit.com).

Proposers must submit an up-to-date W-9 form with the proposal.

A pre-proposal meeting will take place on Thursday, April 17, 2025, at 10:00 a.m. – 11:30 a.m. at

via Microsoft Teams meeting. You can log in to the meeting with the following information: Meeting ID: 288 907 219 71, Passcode: Vj9fT2Qe or call in (audio only) - +1 901-614-1074,,410850186# - Phone Conference ID: 410 850 186#. While the pre-proposal meeting is not mandatory, it is strongly suggested that you attend.

- 1.5 All Proposals and related documents shall be based on the conditions of a financial assistance contract between MATA, the State of Tennessee and the United States Department of Transportation, under the Federal Transit Act, as amended. Terms and conditions established under the Act and the regulations implementing the Act will apply

## **2.0. PROPOSAL REQUIREMENTS**

- 2.1 Proposals must concisely set forth full, accurate, and complete information required by this proposal including any attachments.
- 2.2 The Proposer shall provide all the work described in Section B - Scope of Work.
- 2.3 Proposals shall be valid for a minimum period of one hundred twenty (120) days subsequent to the closing date. Proposals offering less than one hundred twenty (120) days for acceptance by MATA from the closing date will be considered non-responsive.

## **3.0 PROPOSAL FORMAT**

- 3.1 Proposers are required to submit proposals in the following format:

MATA wants clear and concise proposals. Proposal shall be organized as described below. Each section must be clearly labeled with pages numbered and separated by tabs. Offerors should, however, take care to completely answer questions and meet the RFP's requirements thoroughly. Failure to provide all of the required submittals may render the proposal non-responsive.

All Offerors, including current contract holders, if applicable, must provide detailed and complete responses as proposal evaluations, and subsequent scores, are based solely on the content of this proposal. No assumptions will be made, or values assigned for the competency of the Offeror whether or not the Offeror is a current or previous contract holder. MATA will not be liable for any costs incurred by an Offeror in responding to the RFP, regardless of whether MATA awards the Contract through this process, decides not to go forward with the Project, cancels the RFP for any reason, or contracts for the Project through some other process or by issuing another RFP.

- 3.2 Tab 1 - Cover Sheet

A signed cover letter should be on company letterhead clearly stating the name of the proposal subject, the name of the Offeror's firm, business address, telephone, e-mail address, name of contact person, and date of submittal. The following information must be provided:

- a. Briefly, introduce the firm, indicating whether the firm is local, regional, or national, its legal entity type and including, but not limited to, the approximate number of professional staff employed.

Please summarize the firm's qualifications including a brief description of the history, background of the firm and length of time in business under the same name.

- b. Offerors must be licensed to do business in Tennessee. Provide a copy of the firm's business license. The Offeror(s) shall possess and maintain all necessary licenses and permits required to conduct its business and will acquire any additional licenses and permits necessary for the performance of the services prior to the initiation of the Work. Contractor must maintain current licenses, permits, etc., to perform the Work described herein and shall comply with all applicable

local, county, state and federal laws and ordinances pertaining to, or regulating the Services to be performed under the contract awarded related to this RFP.

- c. The name, title, address, telephone number, and e-mail address of the Offeror's contact person during the solicitation
- d. Name(s) of authorized person(s) who will be authorized to represent Offeror and with the authority to contractually bind the firm.
- e. Indicate whether there are any conflicts of interest that would limit the Offeror's ability to provide the requested services.

### 3.3 Tab 2 - Technical Proposal

Each proposal must include a detailed description of the technical components to specific sections and methodologies, capacity, and strategy to perform the scope of work. Disclose any subcontractors who will be used on the project, including identifying the portions and percentages of the work to be performed per subcontractor.

- a. **Past Performance, Experience and References:** Offeror must provide a description of sound methodologies and list examples of steps, time, and cost savings achieved under similar contracts (ideally with similar customers). Provide relevant and/or current information of past performance (within the past three (3) years) by identifying the agency, contact person, and contact person's telephone number for whom the service was provided by completing the Contact and Reference Form in Section C, Required Forms.

Proposals must provide details on the qualifications of the Offeror including an organizational chart that identifies the proposed management team as well as provide the size, number of employees, primary nature of the business, and other affiliate businesses or services. Proposals must also provide details on the referenced projects relating to the quality of work, the relevance of the projects, and insight into the work process of the Offeror's team. The relevance of the project includes the make-up of the team as well as the type of project, experience with public transit agencies, or similar public entities. Please include references from other public transit agencies in, and contact person's telephone number for whom the service was provided by completing the Contact and Reference Form in Section C, if available. Offerors shall include all experience with projects that are similar in scope and nature to this project as well as include the level of achieved client satisfaction for past performances.

- b. **Technical Ability to Perform Required Services:** Offeror must provide a detailed description of its ability to provide the required services including a demonstrated understanding of the RFP requirements, its capacity and its planned strategy to perform the proposed Scope of Work. Evaluations will be based on the Offeror's ability to meet the necessary requirements. • Describe the experience of the firm in the past thirty-six (36) months in performing similar services. Particular emphasis should be placed on representing government/public entity clients, in particular transit agencies.
  - Identify examples of firms and organizations where you have successfully represented government/public entity clients, in particular transit agencies. Specifically identify quasi-public, governmental, and non-profit entities your organization has worked with in the past.
  - Provide the names and telephone numbers of at least five (5) clients for whom your firm has worked. MATA reserves the right to contact any additional individuals or firms to obtain information about the respondent.
  - Indicate any additional information for the consideration of your firm's qualifications.



Proposals must also provide, at a minimum, the answers to the following questions (Please limit response to ten (10) pages):

- c. Project Approach: Proposals must include an understanding of the project and the proposed work; outline the qualifications of the firm including expertise with public agencies giving special attention to expertise in public transportation; the Offeror's project plan and relevant capabilities with respect to the Scope of Services.
- Identify the proposed authorized representative for the firm during the solicitation period. Provide name, title, address, contact number, email address.
  - Indicate the names and titles, and include resumes, of the person(s) who will be working on MATA legal matters. A response to this requirement should include all contact information such as telephone number, e-mail address and web address.
  - Identify the key personnel who would be assigned to this engagement. Attach résumés reflecting relevant qualifications and work experience (résumés not included in the ten (10) page maximum).
- d. Minimum Qualifications: Proposals must demonstrate Proposers meet the following minimum qualifications:
- Biography and experience of each partner or associate proposed as contact/lead person(s) and other attorneys to whom work will be assigned; affirmation of licenses to practice before the state and federal courts of Tennessee; affirmation of good standing with the Tennessee Bar Association; statement of how the attorney(s) who will be responsible for MATA's work will be designated.
  - The nature and scope of the attorney/firm's experience in representing government/public entity clients, in particular transit agencies.
  - Knowledge and experience in the area(s) of legal specialty(s) to which the proposal is directed.
  - Proposals shall be limited to a maximum of twenty (20) pages including five (5) resumes and rates of key players of proposed representation team that the firm is offering. (Elaborate "glossy" marketing responses with high production value and little substance are discouraged.)
  - A minimum of three (3) relevant references from public entity clients, preferably transit agencies, for whom similar legal services have been provided. Provide a list of references specifying:
    - Company name
    - Contact person and contact person's title
    - Contact person's address, phone number, and e-mail address
    - Length of your relationship
    - Description of type of work performed for client
  - Offeror(s) shall be actively engaged in this line of work for a period of no less than five (5) years and have a good record of performance, sufficient financial support, equipment, personnel, and the appropriate facilities to satisfactorily execute the Services under the terms and conditions stated herein, if awarded a Contract.
  - Include a statement that the required insurance coverage will be acquired and maintained

without reservation or exclusion for the duration of the contract (should Offeror secure the contract award).

### 3.4 Tab 3 - Cost Proposal

Offeror must provide a complete description of the fee structure of the firm and a non-binding general indication (or range) of the costs for providing the required services, including a fee schedule by classification for all services, how such fees are calculated, and payment terms. The proposed hourly billing rates should include information for all categories of attorneys and staff (senior partners, partners, associates, paralegals, etc.) who are expected to provide work for MATA and any direct costs chargeable to MATA. For example, Offerors may consider providing respective hourly rates for partners, associates, paralegals and other legal staff.

Offeror shall provide a statement concerning fees, expenses, and cancellation policy. Please specify pricing proposal response in the format and on the form(s) provided, indicating flat rate fees if appropriate, and attaching additional pages, if needed. The hourly rates shall be inclusive of all fees for the specified services, travel, and materials. The pricing must include a detailed cost breakdown of all non-labor costs, profit, overhead, taxes, and any out-of-pocket expenses that would be billed separately.

Fees must be quoted as an all-inclusive flat rate, lump sum fee per position/service item as listed in Attachment 2 Cost Proposal Form for the timeframe listed in this RFP. Pricing shall be shown by item and individually extended, unless otherwise indicated. In case of a conflict between the position/service item price and the extended price, MATA shall use the position/service item pricing. All prices shall be in U.S. Dollars.

Please provide detailed explanations of any assumptions made in calculating costs in order to provide sufficient information for MATA to be able to prepare a detailed cost analysis and comparison. The Cost Proposal must be included in a separate sealed envelope and be valid for a minimum period of one hundred twenty (120) calendar days from proposal receipt date. Please also provide a statement concerning fees, expenses, and cancellation policy. In addition to conducting technical evaluations of proposals, cost proposals will also be evaluated.

No Guaranteed Quantities. MATA does not guarantee to Offeror, either expressed or implied, any minimum or maximum purchase quantities of services under this contract to be awarded related to this RFP. MATA does reserve the right to purchase any greater or lesser quantities than indicated in the solicitation estimate. Offeror shall be bound to the prices on the submitted Cost Proposal Form for the duration of the contract term.

Service Delivery. Award of a Contract related to this RFP is contingent upon Offeror's ability to timely deliver the Services as outlined in the Scope of Services. Any additional fees for Services shall be delineated in writing and agreed upon, in writing, by both parties.

Selected contents of the proposal submitted by the successful Offeror and this RFP will become part of any contract awarded as a result of the Scope of Services contained herein. The selected Offeror will be required to enter into a contract with MATA.

Offeror agrees to provide financial records to verify labor rates, overhead rates, and other information should MATA determine that such information is required to validate pricing information or award of a contract to determine the proposed price is fair and reasonable.

Thereafter, for each subsequent option year, the hourly rates shall only increase in an amount equal to the Consumer Price Index (CPI) for the Memphis area, but in no case shall any yearly increase exceed the rate of four percent (4%) above the original quoted rate of the prices quoted herein. Hourly rate increases based upon the CPI for the Memphis area shall not be automatic and

must be requested by each contractor for each awarded contract. Requests for hourly rate increases shall not be retroactive and shall become effective and approved in writing. MATA expressly reserves the right to negotiate any and all proposed hourly rates for each staff member or subcontractor the Offeror is requesting to utilize during the term of any awarded contract.

3.5 Tab 4 - Proposal Forms and Required Attachments (one (1) Original and one (1) electronic copy (flash drive))

1. Addenda Acknowledgment Form
2. Contact and Reference Form
3. Affidavit of Non-Collusion
4. Buy America Certificate
5. Federal Tax Liability and Recent Felony Conviction
6. Certification of Primary Participation Regarding Debarment, Suspension, and other Responsibility Matters
7. Certification of Lower-Tier Participants Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion
8. Certification of Restrictions on Lobbying
9. Certification of Utilization of Disadvantaged Business Enterprises
10. Letter of Intent to Perform as a DBE Contractor or Subcontractor
11. Schedule of DBE Participation
12. National Defense Authorization
13. Explanation of "No Response"
14. Proposal Form

Blank Forms are provided in Section C of this procurement.

**4.0 PROPOSAL PROCEDURES**

4.1 MATA reserves the right to postpone the Proposal opening for its own convenience and to waive any minor Proposal informalities, which do not go to the heart of the Proposal or prejudice other proposers, or to reject, for good and compelling reasons, any and all proposals submitted.

4.2 Changes to the specifications will be made by written addendum by MATA and will be forwarded to all persons and firms to whom documents have been submitted. **ANY VERBAL COMMUNICATION IS NOT CONSIDERED MATA'S OFFICIAL RESPONSE.**

4.3 Requests for Clarifications or Approved Equals must be submitted in writing to Ashley Best and must be received no later than 11:00 a.m. local time on Monday, February 21, 2025 in accordance with the Approved Equals procedures described in the General Contract Provisions. Any unapproved deviations, exceptions, substitutes, alternates or conditional qualifications contained in a Proposal may be cause for its rejection.

Requests may be emailed to [abest@matatransit.com](mailto:abest@matatransit.com). **VERBAL QUESTIONS WILL NOT BE ANSWERED, THUS PREVENTING AN UNFAIR ADVANTAGE TO ANY PROPOSER.**

4.4 One (1) original and one (1) electronic copy (i.e., flash drive) of the Proposals and all related documents shall be submitted on forms furnished, or copies thereof, and shall be manually signed. Proposals shall be securely sealed to prevent access prior to the Proposal closing date. Proposals shall be clearly marked with the enclosed label attached.

## 5.0 PROPOSAL EVALUATION AND CONTRACT AWARD

- 5.1 The Evaluation Committee will evaluate the initial proposals and establish a competitive range for this procurement. The Evaluation Committee may request interviews with the firms in the competitive range. MATA reserves the right to enter into negotiations with the top ranked Proposer without requesting interviews. MATA Staff will negotiate separately with each Proposer whose proposal falls within the competitive range.
- 5.2 Negotiations will be in conformance with applicable federal, state, and local laws, regulations, and procedures. The objective of the negotiations will be to reach agreement on all provisions of the proposed contract, including contract price.
- 5.3 MATA reserves the right to make contract award based upon the most highly qualified proposals without requesting best and final offers.
- 5.4 MATA reserves the right to reject any and all proposals or to waive minor informalities and irregularities in offers received.
- 5.5 A written notice of award or acceptance of offer, mailed or otherwise furnished the successful Proposer within the time specified in the proposal, shall be deemed to result in a binding contract.
- 5.6 Proposals will be evaluated as "Best Value" per the Federal Transit Administration's (FTA) Circular 4220.1F and Best Practices Manual, defined as follows:

"Best Value" is a selection process in which proposals contain both cost and qualitative components, and award is based upon a combination of cost and qualitative considerations. Qualitative considerations may include technical design, technical approach, quality of proposed personnel, and/or management plan. The award selection is based upon consideration of a combination of technical and cost factors to determine (or derive) the offer deemed most advantageous and of the greatest value to the procuring agency."

MATA will make the award to the responsible Proposers whose proposals are most advantageous. Accordingly, MATA may not necessarily make an award to the Proposers with the highest technical ranking nor award to the Proposers with the lowest Cost Proposal if doing so would not be in the overall best interest to MATA.

The overall criteria listed below are listed in relative order of importance. Technical factors as a whole are more important than cost.

Proposals will be evaluated on the basis of the following factors in the following order of priority:

- a. Technical Qualifications
  1. Qualifications and experience of personnel providing services under the Contract
  2. Expertise and experience in the specific areas of law to which the proposal is directed
  3. Experience representing public entities, particularly transit clients
  4. Capacity to be responsive in a timely manner to MATA's needs
- b. Overall Cost/Fees

The Evaluation Committee will make an initial review of the Proposals to eliminate those that do not comply with the minimum submittal requirements. The committee will establish a competitive range of responsive proposals that would provide MATA the best value to meet the needs and terms of the solicitation.

## **6.0 PROTEST**

- 6.1 MATA will consider all protests filed in a timely manner regarding the award of a contract. All protests are to be submitted in writing, in accordance with the protest procedures described in the General Contract Provisions.

## **7.0 DISADVANTAGED BUSINESS ENTERPRISE**

### **7.1 GENERAL DBE INFORMATION**

- A. The Memphis Area Transit Authority (MATA), a recipient of Federal financial assistance from the Federal Transit Administration, is committed to and has adopted a Disadvantaged Business Enterprise Policy in accordance with Federal Regulations (49 C.F.R. Part 26, as amended) issued by the U.S. Department of Transportation. It is the policy of MATA to ensure nondiscrimination in the award and administration of DOT-assisted contracts and to create a level playing field on which DBEs can compete fairly for contracts and subcontracts relating to its activities.

To this end, MATA has developed procedures to remove barriers to DBE participation in the Proposal and award process and to assist DBE firms to develop and compete successfully outside of the DBE program. In connection with the performance of this contract, the Prime Contractor will cooperate with MATA in meeting these commitments and objectives.

Accordingly, the Prime Contractor and any subcontractors shall not discriminate on the basis of race, color, national origin, or sex in the performance of this contract. The Prime Contractors and subcontractors shall carry out applicable requirements of 49 C.F.R. Part 26 in the award and administration of DOT-assisted contracts. Failure by the Prime Contractor and any subcontractors 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 MATA deems appropriate.

Only certified Disadvantaged Business Enterprises can be counted toward the goal. Participation by certified "Minority Business Enterprises" (MBE) or certified "Woman Owned Business Enterprises" (WBE) cannot be counted toward the goal. While participation by MBEs and WBEs is encouraged, MATA is governed by the U.S. Department of Transportation program which only recognizes the designation of DBE.

DBEs must be certified in Tennessee.

MATA is a member of the Tennessee Unified Certification Program (TN UCP) and accepts Tennessee DBE certifications from the following entities:

Memphis Area Transit Authority

Tennessee Department of Transportation Unified Certification Program

Uniform Certification Agency (managed by the Mid-South Minority Business Council)

A list of firms currently certified in Tennessee can be found at:

[www.tdot.state.tn.us/dbedirectinternet/](http://www.tdot.state.tn.us/dbedirectinternet/)

Certification in the State of Tennessee must be achieved by the time the proposals are due otherwise the participation of a proposed DBE firm cannot be counted toward the goal. If a proposed DBE firm is not certified at the time the proposals are due and, as a result, the

goal is not met, then the Proposal will be considered "non-responsive" and rejected unless the good faith efforts have been accepted as satisfactory.

It is highly recommended that a copy of a current certification of Disadvantaged Business Enterprise issued by the Tennessee Department of Transportation or the Uniform Certification Agency be included with the offer for each DBE firm being proposed.

## 7.2 DBE GOAL

### A. Annual Overall Goal for DBE Participation

An annual overall goal for DBE participation in Owner U.S. DOT-assisted contracts is established by MATA's DBE Officer and approved by MATA's Board of Commissioners on a fiscal year basis. These goals reflect the availability of ready, willing and able DBEs that would be expected to participate in Owner contracts absent effects of discrimination. The goals are calculated as a percentage of the total amount of U.S. DOT funds that the Owner expects to expend on contracting opportunities during the fiscal year.

### B. DBE Goal Applicable to This Contract

MATA has established a specific DBE goal of 0% for this contract. However, DBE participation is encouraged either the capacity of the prime contractor or subcontractor. Proposers are required to document their activities in the solicitation and selection of subcontractors to ensure that this process is carried out in a nondiscriminatory manner.

## 7.3 DBE ELIGIBILITY AND PARTICIPATION

### A. Evaluation of DBE Certification Status

MATA shall require that any DBEs listed by proposers for participation in the contract be certified, as eligible DBEs at the time of Proposal submittal. The DBE Officer shall review the Proposer's DBE Participation Form to confirm each DBE firm's certification status.

### B. Determination of Amount of DBE Participation

Only the work actually performed by a DBE with its own forces will be counted as DBE participation. A DBE may participate as a prime contractor, subcontractor, joint venture partner, or vendor or supplier of materials or services required by the contract.

A DBE's participation can only be counted if it performs a commercially useful function on the contract. A DBE performs a commercially useful function when it actually performs, manages and supervises a portion of the work involved. There is a rebuttable presumption that if the DBE is not responsible for at least 30% of the work with its own forces, or subcontracts a greater portion of the work than the normal industry standard, it is not performing a commercially useful function. A DBE trucking company performs a commercially useful function if it is responsible for the overall management and supervision of the transportation services involved and uses at least one truck that it owns, insures and operates with its own employees on the contract.

The Contractor shall count DBE participation according to the following guidelines and in accordance with 49 CFR § 26.55:

- i. DBE Prime Contractor - Count the entire dollar amount of the work performed or services provided by the DBE's own forces, including the cost of materials and supplies obtained for the work and the reasonable fees and commissions charged

- for the services. Do not count any work subcontracted to another firm as DBE participation by the DBE Prime Contractor.
- ii. DBE Subcontractor - Count the entire amount of the work performed or services provided by the DBE's own forces, including the cost of materials and supplies obtained for the work, except for materials and supplies purchased or leased from the Prime Contractor, and reasonable fees and commissions charged for the services. Do not count any work subcontracted by the DBE Subcontractor to another firm as DBE Participation by said DBE subcontractor. If the work has been subcontracted to another DBE, it will be counted as DBE participation for that other DBE.
  - iii. DBE Joint Venture Partner - Count the portion of the work that is performed solely by the DBE's forces or, if the work is not clearly delineated between the DBE and the joint venture partner, count the portion of the work equal to the DBE's percentage ownership interest in the joint venture.
  - iv. DBE Manufacturer - Count 100% of the costs of materials and supplies obtained from a DBE manufacturer that operates or maintains a factory that produces the materials and supplies on the premises. This applies whether the DBE is a prime contractor or subcontractor.
  - v. DBE Regular Dealer - Count 60% of the costs of materials and supplies obtained from a DBE regular dealer that owns, operates or maintains a store or warehouse in which the materials and supplies are regularly bought, kept in stock and sold or leased to the public in the usual course of business, except regular dealers of bulk items such as petroleum, cement and gravel who own and operate distribution equipment in lieu of maintaining a place of business. This applies whether a DBE is a prime contractor or subcontractor.
  - vi. Other DBEs - Count the entire amount of fees or commissions charged for assistance in procuring or delivering materials and supplies when purchased from a DBE that is not a manufacturer or regular dealer. Do not count the cost of materials and supplies.
  - vii. DBE Trucking Company - Count the entire amount of the transportation services provided by a DBE trucking company that performs the work using trucks it owns, insures and operates with its own employees on the contract.

Count the entire amount of the transportation service provided by a DBE trucking company that performs the work using trucks it leases from another DBE, including an owner-operator, provided that it is responsible for the overall management and supervision of the service and that it uses at least one truck that it owns, insures and operates with its own employees on the contract.

Count the entire amount of fees and commissions charged for providing the management and supervision of transportation services using trucks it leases from a non-DBE trucking company, including owner-operator, provided that it is responsible for the overall management and supervision of the service and that it uses at least one truck that it owns, insures and operates with its own employees on the contract.

**SECTION B**  
**SCOPE OF SERVICES**



## **SECTION B SCOPE OF SERVICES**

### **BACKGROUND**

The Memphis Area Transit Authority (MATA) is the public transportation provider for the Memphis area. It is a public transportation system and transit authority established pursuant to state and local law. MATA was created by the City of Memphis and is governed by a Board of Commissioners who are nominated by the City of Memphis Mayor and approved by the Memphis City Council. Total employment is about 500.

The City of Memphis purchased a private sector bus company in 1960 and thereafter created the Memphis Transit Authority. The Memphis Area Transit Authority was created under and by virtue of Tennessee Code Annotated §7-56-101 et seq. and Memphis City Code §§2-56 et seq.

A private sector management firm (Mid-South Transportation Management, Inc., MTM) manages and operates MATA's public transportation system. Transit workers are private sector employees of MTM.

MATA provides fixed-route bus and paratransit services throughout the service area, and rail trolley service in the downtown area. The service area covers the City of Memphis, and portions of the City of Bartlett, City of Germantown, City of Lakeland (paratransit service only), and unincorporated Shelby County in Tennessee. Annual ridership on the system is about 6 million passengers.

MATA intends to establish a panel of qualified attorneys and/or law firms, that offers a range of services in a variety of legal specialty areas from which MATA can draw as needed. The panel will remain in effect for a base period of two (2) years, with three (3) one (1) year options that may or may not be exercised. Referrals to attorneys/law firms on the selected panel will be made by the MATA CEO or their designee. MATA may either refer a matter in its entirety to an attorney/law firm on the panel or elect to associate an attorney/law firm from the panel as needed. MATA reserves the right to assign a legal matter or case to a specific attorney and/or remove any attorney or law firm from the panel, without recourse, whose services are deemed unsatisfactory. Panel members will report to the MATA CEO or their respective designee.

### **SCOPE OF SERVICES**

MATA is seeking proposals from qualified attorneys and law firms to provide legal services on an as-needed basis.

MATA is seeking proposals from attorneys/law firms in one or more of the following areas of legal expertise that are covered by this RFP:

#### Public Entity Law/Procurement and Contracting:

- Conflicts of interest laws and regulations
- Ethics
- Public Transit and Transportation, including DOT and FTA regulations
- Negotiated procurement under federal and state law
- Title VI and Environmental Justice
- ADA
- FTA procurement and contracting regulations, guidelines and best practices
- Negotiated procurement under federal and state law
- Litigation

#### Public Sector Labor/Employment Law:

- Collective bargaining, including familiarity with public sector state and federal labor law (e.g. NLRA)
- Labor arbitration proceedings
- 13(c) issues
- Federal, state and local discrimination and leave laws

- Federal, state and local wage and hour laws
- Civil Rights
- Occupational, safety and health regulatory law (OSHA)
- Benefits
- Employment contracts and agreements
- USERRA
- Employment litigation

#### Workers' Compensation Law:

- Representation of Compensation litigation
- Provision of legal advice and opinions in Workers' Compensation matters
- Subrogation
- Excess litigation/recovery

#### Pension Law:

- Pension/retirement plan drafting and interpretation (including PEPRA)
- Tax Qualification
- Funding pension obligations and mechanisms
- Litigation

#### Litigation:

- Automobile and premises liability, including Subrogation
- Tennessee Governmental Tort Liability Act
- Personal Injury Defense
- Class Actions

#### Real Estate

- Sales, purchases, leases
- Eminent Domain
- Real Estate Acquisition Management Plans
- Purchase Agreements
- Easement Agreements
- Third Party Agreements

#### Public Works Contracting:

- Federal and state public works contracting requirements and regulations
- Design/build projects
- Project Labor Agreements
- Litigation

#### Financing

- Federal and State government grants and loans
- Various loan matters
- Financing for purposes of revenue generation
- Tax matters

#### Construction

- Review of Cooperative Agreements for Engineering Support
- Review of Cooperative Agreements for Construction Support
- Review of Operations & Maintenance Agreements
- Utility Relocation Agreements
- Construction
- Review and analysis of construction claims, including Notices of Potential Claims
- Litigation

#### Environmental Law and Litigation:

- NEPA
- Federal and state air and water quality laws and regulations
- Toxic and hazardous waste disposal laws and regulations and permitting
- Comprehensive Environmental Response, Compensation and Liability Act
- Resource Conservation and Recovery Act
- Bus Regulations
- Litigation

#### Privacy, Data Security, Governance and Information Technology and Litigation

- Data breach response
- Policy development and compliance
- Privacy and Security regulations
- Technology transactions
- Privacy and Cybersecurity counseling
- Data Incident Preparedness
- Internal Investigations and litigation

At this time, MATA is soliciting proposals from law firms to provide services in each of the areas of expertise listed above.

MATA reserves the right to award contracts to multiple firms in order to cover each of these areas of expertise. . Proposers are encouraged to clearly identify the specific areas of expertise that are being sought and structure their proposals accordingly. In the event an attorney(s) departs the firm, MATA reserves the right in its sole discretion to continue to utilize the services of the departed attorney(s) as to matters unto which the departed attorney(s) were working at the time of departure. Award of a contract does not guarantee that any legal work will be referred to the panel member.

#### **CONTENT OF PROPOSALS**

Proposals should address the following items as outlined in the Instructions to Proposers:

- History and background of firm.
- Area(s) of expertise being sought.
- Biography and experience of each partner or associate proposed by this firm and summary of relevant experience. Identify the Proposer's primary point of contact with MATA.
- The nature and scope of the firm's previous experience in representing governmental clients.
- The extent of the firm's litigation experience.
- Knowledge of and experience in Local, State and Federal laws and regulations that impact MATA and public transit in general, e.g., FTA Circulars.
- Hourly rates proposed for partners, associates, paralegals, administrative assistants, and court reporters.
- The firm's present case load (e.g., the number of cases per attorney).
- Three relevant client references.
- Percent of availability of principals and key legal personnel.
- If your firm plans to use other legal firms to assist with any work associated with this RFP, please list.
- Suggested process for managing and monitoring the status of assigned work. MATA is interested in establishing a more formal process for tracing assigned work and working more closely with the selected firm(s) to shorten the time frame for completing assignments (e.g., written status reports, assigned hours at MATA's office).

#### **CONTRACT TERM**

The contract(s) and selected panel of firms resulting from this procurement will be for a term of up to five

years. The panel will remain in effect for a base period of two (2) years, with three (3) one (1) year options that may or may not be exercised.

#### **ADMINISTRATIVE PROCEDURES**

Billing statements will be sent to the attention of Accounts Payable Department for approval by the Project Manager or his/her designee prior to payment. Billing statements must itemize billable time and provide copies of receipts for reimbursable expenses. Invoice items for work that was not authorized will not be paid. This will ensure that the legal work performed on behalf of MATA is necessary and properly coordinated. It will also ensure that the Contractor(s) will receive consistent instructions and direction.

The successful firm(s) during the term of the agreement shall discuss with MATA any potential representation of a client that would be deemed a conflict of interest with respect to MATA.

**SECTION C**  
**REQUIRED FORMS AND CERTIFICATIONS**

**MEMPHIS AREA TRANSIT AUTHORITY**  
**ADDENDA ACKNOWLEDGEMENT FORM**

Addenda received (if none received, write "none received")

Addendum No: \_\_\_\_\_ Date Received: \_\_\_\_\_

Addendum No: \_\_\_\_\_ Date Received: \_\_\_\_\_

Addendum No: \_\_\_\_\_ Date Received: \_\_\_\_\_

Addendum No: \_\_\_\_\_ Date Received: \_\_\_\_\_

Addendum No: \_\_\_\_\_ Date Received: \_\_\_\_\_

Addendum No: \_\_\_\_\_ Date Received: \_\_\_\_\_

Addendum No: \_\_\_\_\_ Date Received: \_\_\_\_\_

Addendum No: \_\_\_\_\_ Date Received: \_\_\_\_\_

Name of individual, partner or corporation: \_\_\_\_\_

Street Address: \_\_\_\_\_

City, State and Zip Code: \_\_\_\_\_

Telephone Number: \_\_\_\_\_ Fax Number: \_\_\_\_\_

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

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

Title: \_\_\_\_\_

**MEMPHIS AREA TRANSIT AUTHORITY**

**CONTACT AND REFERENCE FORM**

MATA requires a primary point of a contract and a backup. Please list them below.

Primary Contact:

Name: \_\_\_\_\_

Phone: \_\_\_\_\_

Back-up Contact:

Name: \_\_\_\_\_

Phone: \_\_\_\_\_

**REFERENCES:**

**(only include references for work completed in the last 3 years)**

**Reference #1**

Name: \_\_\_\_\_

Phone: \_\_\_\_\_

Email: \_\_\_\_\_

Work Completed: \_\_\_\_\_

Years of Service: \_\_\_\_\_

**Reference #2**

Name: \_\_\_\_\_

Phone: \_\_\_\_\_

Email: \_\_\_\_\_

Work Completed: \_\_\_\_\_

Years of Service: \_\_\_\_\_

**Reference #3**

Name: \_\_\_\_\_

Phone: \_\_\_\_\_

Email: \_\_\_\_\_

Work Completed: \_\_\_\_\_

Years of Service: \_\_\_\_\_

**Reference #4**

Name: \_\_\_\_\_

Phone: \_\_\_\_\_

Email: \_\_\_\_\_

Work Completed: \_\_\_\_\_

\_\_\_\_\_

Years of Service: \_\_\_\_\_

**Reference #5**

Name: \_\_\_\_\_

Phone: \_\_\_\_\_

Email: \_\_\_\_\_

Work Completed: \_\_\_\_\_

Years of Service: \_\_\_\_\_



**MEMPHIS AREA TRANSIT AUTHORITY**

**AFFIDAVIT OF NON-COLLUSION**

Affidavit of Non-Collusion:

I hereby swear (or affirm) under the penalty of perjury:

- (1) That I am the bidder (if the bidder is an individual), a partner of the bidder (if the bidder is a partnership), or an officer or employee of the proposing corporation with authority to sign on its behalf (if the bidder is a corporation);
- (2) That the attached proposal or proposals have been arrived at by the bidder independently, and have been submitted without collusion with, and without any agreement, understanding, or planned common course of action with any other vendor of materials, supplies, equipment, or services described in the request for proposal, designed to limit independent proposing or competition.
- (3) That the contents of the proposal or proposals have not been communicated by the bidder or its employees or agents to any person not an employee or agent of the bidder or its surety on any bond furnished with the proposal or proposals; and
- (4) That I have fully informed myself regarding the accuracy of the statements made in this affidavit.

Signed: \_\_\_\_\_

Firm Name: \_\_\_\_\_

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

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

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

Proposer's E.I. Number: \_\_\_\_\_  
(Number used on Employer's Quarterly Federal tax return)

**MEMPHIS AREA TRANSIT AUTHORITY**

**BUY AMERICA CERTIFICATE  
(For Contracts of \$150,000 or greater)**

The bidder hereby certifies that it will comply with the requirements of Section 165a of the Surface Transportation Assistance Act of 1982 and the regulations in 49 CFR 661.

Date \_\_\_\_\_

Signature \_\_\_\_\_

Title \_\_\_\_\_

**or**

The bidder hereby certifies that it cannot comply with the requirements of Section 165a of Surface Transportation Assistance Act of 1982, but it may qualify for an exception to the requirement pursuant to Section 165b of the Surface Transportation Assistance Act and regulations in 49 CFR 661.7.

Date \_\_\_\_\_

Signature \_\_\_\_\_

Title \_\_\_\_\_

**MEMPHIS AREA TRANSIT AUTHORITY**

**FEDERAL TAX LIABILITY AND RECENT FELONY CONVICTION**

The contractor hereby certifies the following:

Does not have any unpaid Federal tax liability that has been assessed, for which all judicial and administrative remedies have been exhausted or have lapsed, and that is not being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax liability; and was not convicted of the felony criminal violation under any Federal law within the preceding 24 months.

The contractor agrees to require all subcontractors to provide this certification and to flow this requirement down to participants at all lower tiers, without regard to the value of any subcontract.

Date \_\_\_\_\_

Signature \_\_\_\_\_

Title \_\_\_\_\_

**MEMPHIS AREA TRANSIT AUTHORITY**

**CERTIFICATION OF PRIMARY PARTICIPANT (prime Contractor)  
REGARDING DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS**

The Primary Participant (potential contractor for a major third-party contract), \_\_\_\_\_ certifies to the best of its knowledge and belief that it and its principals:

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

(If the primary participant (potential third-party contractor) is unable to certify to any of the statements in this certification, the participant shall attach an explanation to this certification.)

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

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

**MEMPHIS AREA TRANSIT AUTHORITY**

**CERTIFICATION OF LOWER-TIER PARTICIPANTS (subcontractors)  
DEBARMENT, SUSPENSION, INELIGIBILITY AND VOLUNTARY EXCLUSION**

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

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

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

---

Signature and Title of Authorized Official

**MEMPHIS AREA TRANSIT AUTHORITY**

**CERTIFICATION OF RESTRICTIONS ON LOBBYING  
(For Contracts of \$100,000 or greater)**

I, \_\_\_\_\_, hereby certify on behalf of \_\_\_\_\_  
Name of Official Name of Contractor

that:

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

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

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

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

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

**MEMPHIS AREA TRANSIT AUTHORITY**

**CERTIFICATION OF UTILIZATION OF DISADVANTAGED BUSINESS ENTERPRISES**

The undersigned, as authorized representative of the Bidder, agrees to accept the terms and conditions of Section D and commits to carrying out the DBE contracting arrangements specified in the Schedule of DBE Participation.

Signature \_\_\_\_\_

Title \_\_\_\_\_

Date \_\_\_\_\_

**MEMPHIS AREA TRANSIT AUTHORITY**

**LETTER OF INTENT TO PERFORM AS A DBE CONTRACTOR OR SUBCONTRACTOR**

To: \_\_\_\_\_  
Name of Prime/General Bidder

**25-08**  
MATA RFP Number

\_\_\_\_\_  
Address of Prime/General Bidder

\_\_\_\_\_  
City/State/Zip

The undersigned DBE intends to perform work in connection with the above project as (check one):

[ ] An Individual; [ ] A Corporation; [ ] Partnership; [ ] A Joint Venture

The undersigned DBE is prepared to perform the following described work in connection with the above project (specify in detail the particular work, items or parts thereof to be performed):

\_\_\_\_\_  
\_\_\_\_\_

at the following price \$\_\_\_\_\_. This price equals \_\_\_\_\_% of the total proposal price or contract to be awarded to the prime bidder.

Work or Items by Subcontractor	Projected Commencement Date	Projected Completion Date
_____	_____	_____
_____	_____	_____
_____	_____	_____

\_\_\_\_\_  
DBE Business Name

\_\_\_\_\_  
Signature of Authorized DBE Representative

\_\_\_\_\_  
Certification # / State of Certification

\_\_\_\_\_  
Expiration Date of Certification

\_\_\_\_\_  
Address

\_\_\_\_\_  
Date

\_\_\_\_\_  
City/State/Zip

\_\_\_\_\_  
Phone Number

\_\_\_\_\_  
Fax Number

No agreement has been entered into between the above-named Prime Bidder and the DBE subcontractor wherein the above-named DBE subcontractor has promised not to provide subcontracting quotations to other bidders.

\_\_\_\_\_  
Date

\_\_\_\_\_  
Name of Prime or General Bidder

\_\_\_\_\_  
Signature of Authorized Representative





**MEMPHIS AREA TRANSIT AUTHORITY**

**SCHEDULE OF DBE PARTICIPATION**

<b>NAME OF DBE FIRM</b>	<b>ROLE IN PROJECT (P, JV, S)</b>	<b>SERVICES TO BE PERFORMED</b>	<b>% OF TOTAL PROJECT COST</b>
<b>TOTAL</b>			

P = Prime Contractor  
JV = Joint Venture  
S = Subcontractor

**MEMPHIS AREA TRANSIT AUTHORITY**

**NATIONAL DEFENSE AUTHORIZATION ACT TELECOMMUNICATIONS**

VENDOR hereby acknowledges that the John S. McCain National Defense Authorization Act for Fiscal Year 2019, Pub. L. 115232, § 889 (Aug. 13, 2018) (the Act) prohibits the Agency from procuring certain “covered telecommunications equipment or services,” as defined in the Act, in federally assisted procurements and that the instant procurement is a federally assisted procurement subject to that prohibition. VENDOR represents and warrants that it has performed a due diligence review of its supply chain and that no such “covered telecommunications equipment or services” shall be provided to the Agency that would cause the Agency to be in violation of the prohibition contained in the Act.

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

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

**MEMPHIS AREA TRANSIT AUTHORITY**

**NO RESPONSE**

\* PLEASE EITHER PRINT OR TYPE INFORMATION ON THIS FORM \*

TO: Memphis Area Transit Authority (MATA)

Our company is submitting a "NO RESPONSE" on RFP# 25-08 purchase Legal Services for the reason indicated below.

- Product or service is not available.
  - Cannot provide required bonds.
  - Other obligations - cannot make deadline.
  - Other (please explain below)
- 
- 

FROM:

Name of Company: \_\_\_\_\_

Representative: \_\_\_\_\_

Address: \_\_\_\_\_

Phone Number: \_\_\_\_\_

Signature: \_\_\_\_\_

- Please keep our name on the Bidder's list for this item.
- Please remove our name from the Bidder's list for this item.

**FAILURE TO RETURN EITHER A PROPOSAL OR THIS FORM  
MAY RESULT IN REMOVAL FROM THE BIDDER'S LIST.**

**PROPOSAL FORM**

**Legal services  
Two Base years – Three (3) one-year option years**

	<b>PARTNER</b>	<b>ASSOCIATE</b>	<b>PARALEGAL</b>
<b>Base Year</b>			
Year 1 4/23/25 – 4/22/26			
Year 2 4/23/26 – 4/22/27			
<b>Option Years</b>			
Year 3 4/23/27 – 4/22/28			
Year 4 4/23/28 – 4/22/29			
Year 5 4/23/29 – 4/22/30			
Year 6 4/23/30 – 4/22/31			

The undersigned understands that any condition stated above, clarification made to the above or information submitted on or with this form – other than that requested may render the proposal unresponsive.

NAME OF INDIVIDUAL/PARTNER/CORPORATION: \_\_\_\_\_

ADDRESS: \_\_\_\_\_

PHONE: \_\_\_\_\_ FAX \_\_\_\_\_

EMAIL: \_\_\_\_\_

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

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

**IMPORTANT – PROPOSAL MUST BE SIGNED**

**SECTION D**  
**UTILIZATION OF DISADVANTAGED**  
**BUSINESS ENTERPRISES**

## Utilization of Disadvantaged Business Enterprises

### 1. Policy and Terms

- a. It is the policy of the Memphis Area Transit Authority (MATA) that Disadvantaged Business Enterprises (DBE) as defined in the United States Department of Transportation (USDOT) Regulation 49 C.F.R. Part 26 shall have the maximum opportunity to participate in the performance of contracts financed in whole or in part with federal funds.
- b. Refer to Section A, 8.0 for DBE requirements.
- c. The DBE participation goal shall be expressed as a percentage of the total Contract price. The Proposer may also meet the goal by showing good faith efforts to meet the goal as described in 49 C.F.R. Part 26 and as set forth in Section D. Any evidence of good faith efforts must be submitted with the sealed proposal or the proposal will be rejected in its entirety.
- d. The DBE participation goal shall apply to the total dollar value of this contract, inclusive of all amendments, modifications, and change orders. The Proposer agrees to make its best efforts to include DBE participation in any contract modification work.
- e. The goal may be met, as further explained in Section D hereof, by the Proposer's status as a DBE, by a joint venture with one or more DBEs, by subcontracting a portion of the work to one or more DBEs, by the purchase of materials used in the performance of the contract from one or more DBEs or by any combination of the above or through a showing of good faith efforts as defined in Section D hereof.
- f. A Proposer who fails to meet the DBE goal and fails to demonstrate sufficient good faith efforts shall not be eligible to be awarded the contract. All documentation of good faith efforts by a Proposer must be included in the envelope or package containing the bid.
- g. MATA prohibits agreements between a Proposer and a DBE in which the DBE promise not to provide subcontracting quotations to other Proposers.

### 2. Definitions

- a. Disadvantaged Business Enterprise (DBE) means a small business concern (a) which is at least 51% owned by one or more socially and economically disadvantaged individuals, or, in the case of any publicly-owned business, at least 51% of the stock of which is owned by one or more socially and economically disadvantaged individuals; and (b) whose management and daily business operations are controlled by one or more of the socially and economically disadvantaged individuals who own it.
- b. "Good Faith Efforts" means efforts to achieve a DBE contract goal as specified in 49 C.F.R., Part 26 and Section D hereof.
- c. "Joint Venture" means an association of two or more businesses to carry out a single business enterprise for profit, and for which purpose they combine their expertise, property, capital, efforts, skill and knowledge. Proposers may develop joint venture agreements as an instrument to provide participation by DBEs in contract work. A joint venture seeking to be credit for DBE participation may be formed among DBE firms or between a DBE firm and non-DBE firm.
- d. "Small Business Concern" means a small business as defined pursuant to Section 3 of the Small Business Act and relevant regulations promulgated pursuant thereto, including

Title 13 C.F.R., Part 121, except that a small business concern shall not include any concern or group of concerns controlled by the small socially and economically disadvantaged individual or individuals which has annual average gross receipts in excess of \$16.6 million over the previous three (3) fiscal years, as such figure may thereafter be adjusted by the Secretary of the DOT.

- e. "Socially and Economically Disadvantaged Individuals" means any individual who is a citizen of the United States (or lawfully admitted permanent residents) and who is in the following groups, the members of which are rebuttably presumed to be socially and economically disadvantaged:
1. "Black Americans" (which includes persons having origins in any of the black racial groups of Africa);
  2. "Hispanic Americans" (which includes persons of Mexican, Puerto Rican, Cuban, Dominican, Central or South American, or other Spanish or Portuguese culture or origin, regardless of race);
  3. "Native Americans" (which includes persons who are American Indians, Eskimos, Aleuts, or native Hawaiians);
  4. "Asian-Pacific Americans" (which includes persons whose origins are from Japan, China, Taiwan, Korea, Laos, Cambodia (Kampuchea), the Philippines, Brunei, Samoa, Guam, the U.S. Trust Territories of the Pacific (Republic of Palau), and the Commonwealth or the Northern Marianas Islands, Macao, Fiji, Tonga, Kiribati, Juvalu, Nauru, Federated States of Micronesia or Hong Kong; and
  5. "Subcontinent Asian-Indian Americans" which includes persons whose origins are from India, Pakistan, and Bangladesh, Bhutan, the Maldives Islands, Nepal or Sri Lanka.
  6. Women.
  7. Any additional groups whose members are designated as socially and economically disadvantaged by the Small Business Administration (SBA) at such time as the SBE designation becomes effective.
- f. "USDOT" or "DOT" refers to the U.S. Department of Transportation.

### **3. Counting DBE Participation Toward the Contract Goal**

The inclusion of any DBE by the Proposer in its proposal documents shall not conclusively establish the Proposer's eligibility for full DBE credit for the firms' participation in the contract. The Compliance Officer, DBE Program, will determine the amount of DBE participation credit based upon an analysis of the specific duties, which will be performed by the DBE.

The Proposer may count toward its DBE goal only expenditures to firms which are currently certified by the Uniform Certification Agency or the Tennessee Department of Transportation and which perform a commercially useful function. A firm is considered to perform a commercially useful function when it is responsible for the performance of a distinct element of the work and carries out its responsibilities by actually performing, managing, and supervising the work involved.

To evaluate whether the firm is performing a commercially useful function, the Compliance Officer, DBE Program will evaluate the amount of work subcontracted, industry practices, and other relevant factors. The Compliance Officer, DBE Program reserves the right to deny or limit DBE



credit to the Proposer where any DBE is found to be engaged in substantial pass-through activities with others.

DBE participation shall be counted toward the DBE goal in the contract as follows:

- a. Once a DBE is determined to be eligible in accordance with these rules, the total dollar value of the contract awarded to the DBE may be counted toward the DBE goal except as follows:
- b. A Proposer may count toward its DBE goal that portion of the total dollar value of a contract with an eligible joint venture equal to the distinct, clearly defined portion of the work of the contract that the DBE performs with its own forces.
- c. Consistent with normal industry practices, a DBE may enter into subcontracts. If a DBE prime contractor subcontracts more than thirty percent (30%) or a significantly greater portion of the work of the contract that would be expected on the basis of normal industry practices, the DBE shall be presumed not to be performing a commercially useful function. Evidence may be presented by the Proposer involved to rebut this presumption.
- d. When a DBE subcontracts a part of the work under the contract to another firm, the value of the subcontracted work may only be counted towards the DBE goal if the DBE's subcontractor is itself a DBE. Work that a DBE subcontracts to a non-DBE firm does not count toward the DBE goal.
- e. The Proposer may count one hundred percent (100%) of its expenditures for materials and supplies required under the contract and which are obtained from a DBE manufacturer toward the DBE goal. The Proposer may count sixty percent (60%) of its expenditures for materials and supplies under the contract obtained from a DBE regular dealer towards its DBE goal. The terms "manufacturer" and "regular dealer" are defined in 49 C.F.R. Part 26.55(e)(1)(ii) and (2)(iii).
- f. The Proposer may count towards its DBE goal expenditures to DBEs which are not manufacturers or regular dealers, such as fees or commissions charged for services and assistance in the procurement of essential personnel, facilities, equipment, materials or supplies and transportation charges as set forth in 49 C.F.R. Part 26. However, the Compliance Officer, DBE Program must determine the fee or charge to be reasonable and not excessive as compared with fees or charges customarily allowed for similar services.
- g. Proposer must use good business judgment when negotiating with subcontractors and take a DBE's price and capabilities into consideration. The fact that there may be some additional costs involved in finding and using DBE firms is not sufficient reason to fail to meet the DBE goal set forth in the contract, as long as such costs are reasonable.

#### **4. DBE Substitutions**

- a. Arbitrary changes by the Contractor of the commitments previously indicated in the Schedule of DBE participation are prohibited. No changes may be made to the DBE firms listed on this schedule after the opening of proposals but prior to contract award. Further, after entering into each approved DBE subcontract, the Contractor shall neither terminate the subcontract, nor reduce the scope of the work to be performed by the DBE, nor decrease the price to the DBE, without receiving prior written approval of the Compliance Officer, DBE Program. Such approval is required even if the DBE agrees with the change to the DBE's contract desired by the Contractor.
- b. It may become necessary, at times, to substitute a new subcontractor in order to complete

the contract work. The substitution procedure to be followed is:

1. The Contractor must immediately notify the Compliance Officer, DBE Program, in writing, of the proposed substitution of subcontractor. The Contractor's notification must include the specific reasons it intends to reduce the scope of or terminate a DBE subcontract; adequate documentation to support the Contractor's proposed action; and a proposed substitute firm to complete the DBE's portion of work.
2. The following is a non-exclusive list of the types of reasons, which justify substitution: the DBE was found not to be able to perform, or not to be able to perform on time; the DBE's work product was not acceptable; the DBE demands an unreasonable escalation of its price.
3. The following is a non-exclusive list of the types of reason which do not justify substitution: a replacement firm has been recruited by the Contractor to perform the same work under more advantageous terms; performance issues by the DBE were disputed and every reasonable effort to have the dispute resolved or mediated has not been taken; the DBE has requested a reasonable price escalation which may be justified due to unforeseen circumstances (e.g. a change in scope of DBE's work).
4. If the subcontractor to be substituted for the DBE is not a DBE, the Contractor must show adequate good faith efforts as set forth in Section D hereof.
5. The Contractor's request for approval of a substitution must include the name, address, and principal official of the proposed substitute subcontractor and the dollar value and scope of work of the proposed subcontract. If the new subcontractor is a DBE, all DBE affidavits and documents required by the contract shall be attached.
6. MATA will evaluate the submitted documentation and respond within ten (10) business days to the request for approval of a substitution. MATA's response may approve the request, seek more information; request an interview to clarify the problem or reject the proposed DBE substitution, with the reasons for the rejection stated in MATA's response. In the case of an expressed emergency need to receive the necessary decision for the sake of job progress, MATA will respond as soon as practicable.
7. Actual substitution by the Contractor may not be made prior to MATA approval. Once notified of MATA approval, the substitute subcontract must be executed within five (5) business days, and a copy submitted to the Compliance Officer, DBE Program.

## **5. Good Faith Efforts**

In order to be responsive, a Proposer must make good faith efforts to meet the DBE participation goal set forth in the contract. The Proposer must document the good faith efforts it made in that regard. Thus, the Proposal submitted to MATA must be accompanied by written documentation prepared by the Proposer evidencing all of its reasonable good faith efforts toward fulfilling the goal. These efforts must be active steps, ones that could reasonably be expected to lead to sufficient DBE participation to meet the contract DBE participation goal. Mere pro forma efforts are not acceptable and will be rejected by the Compliance Officer, DBE Program.

Good Faith Efforts require that the Proposer consider all qualified DBEs, who express an interest in performing work under the contract. This means that the Proposer cannot reject a DBE as

unqualified unless the Proposer has sound reasons based on a thorough investigation of the DBE's capabilities. Further, the DBE's standing within its industry, membership in specific groups, organizations or associations and political or social affiliation; (for example, union vs. non-union employee status) are not legitimate causes for the rejection or non-solicitation of proposals in the Contractor's efforts to meet the contract DBE participation goal.

The following are illustrative of factors, which will be considered in judging whether or not the Proposer has made adequate good faith efforts:

- a. Attendance at any pre-proposal meetings that were scheduled by MATA to inform DBEs of participation opportunities.
- b. Advertisement in general circulation, trade association, or minority and female-focused media concerning participation opportunities. Adequate time for advertisement and sufficient DBE response will be considered.
- c. Written notification to a reasonable number of specific DBEs that their participation in the contract is solicited in sufficient time to allow them to participate effectively.
- d. Follow-up of initial solicitations of interest by contacting DBEs to determine with certainty if they were interested.
- e. Documentation of efforts to negotiate with DBEs for specific sub-contracts including at a minimum:
  - i. The names, addresses, and telephone numbers of DBEs that were contacted and the date(s) of contract.
  - ii. A description of the information provided to the DBEs regarding the plans and specifications for portions of the work to be performed.
  - iii. A statement explaining why additional agreements with DBEs were not reached.
- f. For each DBE the Proposer contacted but rejected as unqualified, the reason for the Proposer's conclusion. This may include documentation of price comparisons. Receipt of a lower quotation from a non-DBE will not in itself excuse a Proposer's failure to meet the contract goal.
- g. Documentation of efforts made to assist the DBEs contacted that needed assistance in obtaining bonding or insurance required by the Proposer or MATA.
- h. Documentation of efforts to utilize the service of available minority community organizations or other organizations that provides assistance in the recruitment and placement of qualified DBEs.
- i. Documentation that the Proposer selected portions of the work likely to attract DBE participation (including dividing contracts into economically feasible units to facilitate participation).
- j. Evidence that adequate information was provided to interested DBEs about the plans, specifications and requirements of the contract, and that such information was communicated in a timely manner.

Any Proposer which MATA determines to have failed to fulfill the obligations of this section will be deemed non-responsible and will not be eligible for contract award.

MATA will not award a contract to any Proposer who does not meet the contract DBE participation goal or show good faith efforts to meet the goal. Thus, it is essential that all Proposers submit ALL relevant documentation concerning the DBE goal and/or good faith efforts in the envelope or package containing their sealed bid.

## **6. Procedure to Determine Proposer Compliance**

The Proposer must complete and sign the Letter of Intent to Perform as a DBE. The Letter of Intent must also be signed by any DBEs (prime or subcontractor). A separate Letter of Intent must be included for each DBE included in the bid. It MUST be submitted with the sealed bid. In addition, any documentation evidencing the Proposer's good faith efforts to meet the contract DBE goal must be submitted with the bid. Any proposals submitted without a completed and executed Letter of Intent and/or evidence of good faith efforts, if applicable, will be deemed non-responsive and will be rejected by MATA.

### **a. Letters of Certification**

1. A copy of each proposed DBE firm's current Certificate of Certification from the Uniform Certification Agency or the Tennessee Department of Transportation (TDOT) should be attached to the Letter of Intent to Perform as a DBE. **A firm which is in the process of certification or which is not currently certified at the date the proposals are due cannot be counted as a DBE as set forth in 49 CFR Part 26.55.**
2. All DBEs are certified to perform work in a specific specialty or specialties. The DBE firm's scope of work set forth on the Letter of Intent and Schedule of DBE Participation must conform to its stated area of specialization.

### **b. Joint Ventures**

1. Where the Proposer proposes to include in its proposal a DBE, which is a joint venturer, the Proposer must submit a fully executed copy of the joint venture agreement with its bid. The joint venture agreement must show that the DBE firm will be responsible for a clearly defined portion of the work to be performed, and that the DBE firm's capital contribution, control, management, risks and profits are commensurate with its ownership interest.

Further, the proposed joint venture agreement shall include specific details related to: 1) contributions of capital and equipment; 2) work items to be performed by the DBEs own forces; 3) work items to be performed under the supervision of the DBE; 4) the DBE management, supervisory and operating personnel to be dedicated to the performance of the project; and 5) the authority of each joint venturer to contractually obligate the joint venture and to expend funds.

Failure to submit a copy of the joint venture agreement will cause the firm to be considered by MATA to be non-responsive.

## **7. Reporting Requirements During the Term of the Contract**

- a. The Proposer shall, within five (5) business days of contract award, or prior to any work being performed, execute formal subcontracts or purchase orders with the DBE firms included in the bid. These written agreements shall be made available to the Compliance Officer upon request. All contracts between the Proposer and its subcontractors must contain a prompt payment clause as set forth in Section 8 herein.

- b. During the term of the contract, the Proposer shall submit regular “DBE Subcontractor Payment Status Reports” in a form acceptable to MATA. The frequency with which these reports are to be submitted will be determined by the Compliance Officer but in no event will reports be required less frequently than quarterly. In the absence of written notice from the Compliance Officer, the Proposer’s first “DBE Subcontractor Payment Status Report” will be due sixty (60) days after the date of contract award, with additional reports due monthly thereafter.
- c. The address for the Compliance Officer, DBE Program, is MATA, Attn: Chief Compliance Officer, ADA / DBE Administration, 1370 Levee Road, Memphis, TN 38108.

**8. Prompt Payment to Subcontractors**

- a. Prime Contractors are required to pay all subcontractors, both DBE and non-DBE, for all work which the subcontractor has satisfactorily completed, no later than ten (10) business days after the prime Contractor received payment from MATA.
- b. In addition, all retainage amounts must be returned by the prime Contractor to the subcontractor no later than fourteen (14) business days after the subcontractor has satisfactorily completed its portion of the contract work.
- c. A delay or postponement of payment to the subcontractor requires good cause and prior written approval of the Compliance Officer and the Project Manager.
- d. All prime Contractors are required to include, in each subcontract, a clause requiring the use of appropriate arbitration mechanisms to resolve all payment disputes.
- e. MATA will not reimburse Contractors for work performed unless and until the prime Contractor ensures that the subcontractors are promptly paid for the work they have performed to date as evidenced by the submittal of the “DBE Subcontractor Payment Status Report” with canceled checks/wire transfers as supporting documentation.
- f. MATA will consider failure to comply with these prompt payment requirements a contract violation, which may lead to any remedies permitted under law, including but not limited to, contract debarment.

**9. Enforcement**

- a. All Proposers are hereby advised that failure to carry out the requirements set forth above shall constitute a material breach of the contract, and after notification by MATA may result in rejection of the proposal or bids; termination of the contract; a deduction from the contract funds due or to become due the contractor; or other such remedy as the MATA deems appropriate. Failure to comply with the DBE requirements shall include but not be limited to failure to meet the established goal, failure to submit documentation of good faith efforts; failure to exert a good faith effort (as determined by MATA) to meet any established DBE participation goal; failure to adhere to DBE substitution requirements; and failure to realize the DBE participation.
- b. If awarded the contract, the Proposer acknowledges and agrees that if MATA determines that the Proposer, a DBE or any other firm retained by the Proposer has failed to comply with the DBE Program requirements or federal or state DBE Program regulations, MATA, through its Contracting Officer, shall have the sole authority and discretion to determine the extent of the monetary value to which the DBE contract goals have not been met, and to assess against and withhold monetary damages from the contractor in the full amount of that breach. MATA may impose any other remedies available at law or provided in the

contract in the event of a contract breach. The Proposer further understands and agrees that this clause authorizes MATA, through MATA's Contracting Officer, to determine and fix the extent of the damages caused by a breach of any contractual or regulatory DBE Program requirement and that the damage assessment will be enforced in addition to, and not in lieu of, any other damages or remedy provisions in the contract. By entering into a contract, the Proposer irrevocably agrees to such an assessment of damages for DBE Program purposes and authorizes MATA to make such an assessment of damages against the Proposer and to collect that assessment from any sums due the Proposer under the contract, or any other contract, or by other legal process. The Proposer makes this certification, agreement and authorization on behalf of itself, its subcontractors and suppliers, and the bid bond and contract bond sureties.

- c. The decision of the Contracting Officer shall be final and conclusive unless, within ten (10) days from the receipt, in writing, of such decision, the Proposer mails or otherwise furnishes to the Contracting Officer an appeal, in writing, addressed to the Chief Executive Officer of MATA. The Chief Executive Officer shall review the dispute, related documents and the Contracting Officer's decision. The Chief Executive Officer may consult with MATA's project manager, the Contracting Officer or any other person deemed necessary by the Chief Executive Officer. The decision of the Chief Executive Officer shall be final and conclusive unless, within 10 days from the date of the receipt of such decision, in writing, the Proposer mails or otherwise furnishes to the Contracting Officer an appeal, in writing, addressed to the Board of the Memphis Area Transit Authority. The decision of the Board or its duly authorized representative for the determination of such appeal 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 section, the Proposer shall be afforded an opportunity to be heard and to offer evidence in support of its appeal. Pending final decision of a dispute hereunder, the Proposer shall proceed diligently with the performance of the contract and in accordance with the Contracting Officer's decision.

# **ATTACHMENT 1**

## **GENERAL CONTRACT PROVISIONS**

**MEMPHIS AREA TRANSIT AUTHORITY (MATA)  
GENERAL CONTRACT PROVISIONS**

1. Non-Collusion - The Proposer guarantees that the Proposal submitted is not a product of collusion with any other Proposer and no effort has been made to fix the Proposal price of any Proposer or to fix any overhead, profit, or cost element of any Proposal price. An Affidavit of Non-Collusion, as per attached format, must be signed and submitted with Proposal. (Exhibit I).
2. Proposal Acceptance - Each Proposal will be submitted with the understanding that the acceptance, in writing by purchaser of the offer to furnish any or all of the items described herein, shall constitute a Contract between the Proposer and the purchaser, which shall bind the Proposer on his part to furnish and deliver at his Proposal price and in accordance with said accepted Proposal and specifications.
3. Pricing - The price to be quoted in any Proposal submitted shall include all labor, materials, tools, equipment, and other costs necessary to fully complete the project in accordance with the specifications. Anything omitted from such specifications which is clearly necessary for the completion of the item and its appurtenances shall be considered a portion of such Proposal item although not directly specified or called for in these specifications. All material shall be new and in no case will used, reconditioned, or obsolete material be accepted unless otherwise specified. Proposer should note discounts, if any. Freight charges must be included in Proposal price.
4. Terms of Payment - Payment for the specified items shall be net 30 days after approval of an acceptable invoice. Proposer should note any discounts for payment before 30 days.
5. Acceptance of Material - If the item is not acceptable; MATA will furnish a letter of non-acceptance detailing the deficiencies within 30 days after delivery. Acceptance of delivery of an item shall not release the CONTRACTOR from liability for faulty workmanship or materials appearing even after final payment has been made.
6. Approved Equal -
  - a. In all cases, materials must be furnished as specified. Where brand names or specific items are used in the specifications, consider the term "or approved equal" to follow.
  - b. Any unapproved deviations, exceptions, substitutions, alternates, or conditional qualifications contained in a Proposal may be cause for its rejection.
  - c. If a potential Proposer feels that his product is an equal to the product specified, he must submit a written request to MATA.
  - d. Requests for approved equals, clarification of specifications, and protest of specifications must be received by **MATA, IN WRITING, NO LATER THAN 11:00 A.M. TUESDAY, APRIL 22, 2025, TO ALLOW ANALYSIS OF THE REQUEST**. Any request for an approved equal or protest of the specifications must be fully supported with catalog information, specifications, and illustrations or other pertinent information as evidence that the substitute offer is equal to or better than the specifications' requirement. Where an approved equal is requested, the CONTRACTOR must demonstrate the quality of his product to the Authority and must furnish sufficient information to enable the Authority to determine whether the CONTRACTOR's product is or is not equal to that specified. Such requests may be emailed to Ashley Best at [abest@matatransit.com](mailto:abest@matatransit.com).
  - e. MATA's replies to requests under paragraph (d) above will be post-marked at least 14 days before the due date for submitting Proposals.
  - f. A notice of approved equals shall be furnished to all parties receiving specifications so that all Proposers may prepare their Proposal accordingly.
  - g. Appeal from the decisions of MATA to approve or disapprove approved equal status shall be submitted in writing to the Chief Executive Officer, MATA, 40 S. Main Street, Suite 1200,



Memphis, TN 38103, not later than five days from the date of MATA's decision. The appeal shall, at a minimum, identify the decision in question, specify all reasons why the appealing party disagrees with the decision, and shall include all facts and justification, including technical information, in support of its position. The Chief Executive Officer may request additional information from the appealing party, and information or a response from the Proposers, which shall likewise be submitted in writing to the Chief Executive Officer not later than 10 days from the date of MATA's request. So far as practicable, appeals will be decided upon the basis of the written appeal, information and written response submitted by the appealing party and other Proposers; all parties are urged to make written submissions as complete as possible. Failure of any party to timely respond to a request for information may be deemed by MATA that such party does not desire to participate in the proceeding, does not contest the matter, or does not desire to submit a response; and, in such event, the appeal will proceed and will not be delayed due to the lack of a response. Upon receipt and review of written submissions and any independent investigation deemed appropriate by MATA, the Chief Executive Officer shall either (a) render a decision which shall be final and advise all interested parties of same in writing, or (b) at the sole election of the Chief Executive Officer, conduct an informal hearing at which the interested participating parties will be afforded an opportunity to present their respective positions and facts, documents, justification, and technical information in support thereof. Parties may, but are not required to, be represented by counsel at the informal hearing, which will not be subject to formal rules of evidence or procedure. Following the informal hearing, the Chief Executive Officer shall render a decision, which shall be final and advise all interested parties thereof in writing.

- h. Changes in the specifications will be made by written addendum by MATA and will be forwarded to all persons and firms to whom Proposal documents have been furnished.

7. Proposal Withdrawal -

- a. Each and every Proposer who submits his Proposal specifically waives any right to withdraw it except as hereinafter provided. Proposers will be given permission to withdraw any Proposal after it has been deposited with MATA, provided any Proposer makes its request by telephone, or in writing, 24 hours before the time Proposals are due. Requests pertaining to withdrawals by telephone must be confirmed in writing by the Proposer and must reach the Office of the Chief Executive Officer of MATA not later than one hour prior to the time fixed for submission of Proposals.
- b. No Proposer may withdraw his Proposal within 90 days after the date Proposals are due.

8. Proposal Rejection - MATA reserves the right to waive any minor Proposal informalities or irregularities received which do not go to the heart of the Proposal or prejudice other Proposers, or to reject, for good and compelling reasons, any and all Proposals submitted. Conditional Proposals, or those, which take exception to the specifications, may be considered non-responsive and may be rejected.

9. Tax Exemption – MATA is exempt from payment of all Federal, State, and local taxes in connection with the project. Said taxes must not be included in Proposal prices. MATA will provide necessary tax exemption certificate to manufacturer, if requested.

10. Proposal Evaluation -

- a. Consideration will be given to Proposer's previous experience, price, financial responsibility of Proposer, responsiveness to these specifications, including level of participation of DBEs.
- b. Proposers may be required to submit duplicate sworn statements of their financial responsibility, technical qualifications, and performance record before a Contract can be awarded to them.
- c. MATA reserves the right to award Proposals singularly or collectively on any of the Proposal items.
- d. The Contract shall be awarded according to Section 5.0 of Section A.

11. Proposal Price Form - If MATA includes a Proposal Price Form in the RFP, Proposals must be submitted on the form provided. Each item should be listed separately on the form. Proposals submitted in any other form may be considered non-responsive and may be rejected. Proposals may be submitted on any or all items in this Proposal request.

12. Protest Procedures - Protests may be made by prospective Proposers whose direct economic interest would be affected by the award of a Contract, or by failure to award a Contract. MATA will consider all protests requested in a timely manner regarding the award of a Contract, whether submitted before or after an award. All protests are to be submitted in writing to the Contracting Officer, Memphis Area Transit Authority, 40 S. Main Street, Suite 1200, Memphis, TN 38103. Protest submissions should be concise, logically arranged, and clearly state the grounds for the protest. Protests must include at least the following information:

1. Name, address, and telephone number of protestor.
2. Identification of the solicitation or Contract Number.
3. A detailed statement of the legal and factual grounds of protest, including copies of relevant documents.
4. A statement as to what relief is requested.

Protests must be submitted to MATA in accordance with these procedures and time requirements. Protests must be complete and contain all issues that the protestor believes relevant.

- a. Proposal protests alleging restrictive specifications or improprieties which are apparent prior to proposal closing time or receipt of proposals must be submitted in writing to the Contracting Officer and must be received seven days prior to Proposal closing time or receipt of Proposals. If the written protest is not received by the time specified, Proposals may be received, and award may be made in the normal manner unless the Contracting Officer determines that remedial action is required. Oral protests not followed up by a written protest will be disregarded. The Contracting Officer may request additional information from the appealing party and information or a response from other Proposers, which shall likewise be submitted in writing to the Contracting Officer not later than ten days from the date of MATA's request. So far as practicable, appeals will be decided upon the basis of the written appeal, information, and written response submitted by the appealing party and other Proposers; all parties are urged to make written submissions as complete as possible. Failure of any party to timely respond to a request for information may be deemed by MATA that such party does not desire to participate in the proceeding, does not contest the matter, or does not desire to submit a response; and, in such event, the protest will proceed and will not be delayed due to the lack of a response. Upon receipt and review of written submissions and any independent investigation deemed appropriate by MATA, the Contracting Officer shall either (a) render a decision, or (b) at the sole election of the Contracting Officer, conduct an informal hearing at which the interested participating parties will be afforded an opportunity to present their respective positions and facts, documents, justification, and technical information in support thereof. Parties may, but are not required to, be represented by counsel at the informal hearing, which will not subject to formal rules or evidence or procedures. Following the informal hearing, the Contracting Officer shall render a decision, which shall be final and advise all interested parties thereof in writing but no later than 10 days from the date of the informal hearing.
- b. Proposal protest against the making of an award by the MATA Board must be submitted in writing to the Contracting Officer and received by the Contracting Officer within seven days of the award by the MATA Board. The process for resolving protests listed above in Section (a) will be followed for any protest received under this section.

Notice of the protest and the basis therefore will be given to all prospective Proposers. In addition, when a protest against the making of an award by the MATA Board is received and it is determined to withhold the award pending disposition of the protest, the Proposers

whose Proposals might become eligible for award shall be requested before expiration of the time for acceptance, to extend or withdraw the Proposal.

Where a written protest against the making of an award is received in the time specified, award will not be made prior to seven days after resolution of the protest unless MATA determines that:

1. The item(s) to be procured or service to be performed is urgently required.
2. Delivery or performance will be unduly delayed by failure to make award promptly; or,
3. Failure to make award will otherwise cause undue harm to MATA or the Federal Government.

- c. Protests made after contract award shall be received no later than seven calendar days afterwards. Protests received after award will be reviewed by the Contracting Officer and MATA's General Counsel.

In instances where the award has been made, the CONTRACTOR shall be furnished with the notice of the protest and the basis therefore. If the CONTRACTOR has not executed the Contract as of the date the protest is received by MATA, the execution of the Contract will not be made prior to seven days after resolution of the protest unless MATA determines that:

1. The item(s) to be procured or service to be performed is urgently required;
2. Delivery or performance will be unduly delayed by failure to make award promptly; or,
3. Failure to make award will otherwise cause undue harm to MATA or the Federal Government.

The process for resolving protests listed above in Section (a) will be followed for any protest received under this section.

- d. Appeals and requests for reconsideration of the determination of the Contracting Officer of protests under (a), (b) and (c) must be submitted to the Chief Executive Officer and received within seven days after the date of the written determination by the Contracting Officer. The Chief Executive Officer may request additional information from the appealing party and information or a response from other Proposers, which shall likewise be submitted in writing to the Chief Executive Officer not later than 10 days from the date of MATA's request. So far as practicable, appeals will be decided upon the basis of the written appeal, information, and written response submitted by the appealing party and other Proposers; all parties are urged to make written submissions as complete as possible. Failure of any party to timely respond to a request for information may be deemed by MATA that such party does not desire to participate in the proceeding, does not contest the matter, or does not desire to submit a response; and, in such event, the appeal will proceed and will not be delayed due to the lack of a response. Upon receipt and review of written submissions and any independent investigation deemed appropriate by MATA, the Chief Executive Officer shall either (a) render a decision, or (b) at the sole election of the Chief Executive Officer, conduct an informal hearing at which the interested participating parties will be afforded an opportunity to present their respective positions and facts, documents, justification, and technical information in support thereof. Parties may, but are not required to, be represented by counsel at the informal hearing, which will not be subject to formal rules of evidence or procedures. Following the informal hearing, the Chief Executive Officer shall render a decision, which shall be final and advise all interested parties thereof in writing but no later than 10 days from the date of the informal hearing.

- e. Under certain limited circumstances, an interested party may protest to the Federal Transit Administration (FTA) the award of a Contract pursuant to an FTA grant. FTA's review of any protest will be limited to:

1. Alleged failure of MATA to have written protest procedures or alleged failure to follow such procedures.
  2. Alleged violations of a specific Federal requirement that provides an applicable complaint procedure, which shall be submitted and processed in accordance with that Federal regulation.
- f. Protestors shall file a protest with FTA not later than five working days after a final decision of MATA's Chief Executive Officer is rendered under the MATA protest procedure. In instances where the protestor alleges that MATA failed to make a final determination on the protest, the protestor shall file a complaint with FTA not later than five Federal working days after the protestor knew or should have known of MATA's failure to render a final determination on the protest.
- g. Submission of Protest to FTA
1. Protests shall be filed with the appropriate FTA Regional Office with a concurrent copy to MATA.
  2. The protest filed with FTA shall:
    - (i) Include the name and address of the protestor.
    - (ii) Identify MATA project number and the number of the Contract Solicitation.
    - (iii) Contain a statement of the grounds for the protest and any supporting documentation. This should detail the alleged failure to follow protest procedures or the alleged failure to have procedures and be fully supported to the extent possible.
    - (iv) Include a copy of the local protest filed with MATA and a copy of the MATA decision, if any.
13. Correspondence -The Proposer is required to show on all correspondence with MATA and FTA, the following: RFP No. 25-08 communication with MATA should be forwarded directly to Ashley Best, Sr. Contract Administrator at MATA, 40 S. Main Street, Suite 1200, Memphis, TN 38103 or emailed to [abest@matatransit.com](mailto:abest@matatransit.com).
14. Contract Subletting - No Contract may be assigned, sublet, or transferred without the written consent of MATA.
15. Miscellaneous -
- a. CONTRACTOR warrants that it has not been paid any bonus or commission for the purpose of obtaining this Contract.
  - b. Except as otherwise set forth herein, this Contract shall be governed and construed in accordance with the laws of the State of Tennessee. All actions, whether sounding in contract or in tort, relating to the validity, construction, interpretation, and enforcement of this Contract shall be instituted and litigated in the courts of the State of Tennessee located in Shelby County, Tennessee, and in no other. In accordance herewith, the parties to this Contract submit to the jurisdiction of the courts of the State of Tennessee, located in Shelby County, Tennessee.
  - c. The failure of MATA at any time to insist upon a strict performance of any terms, conditions, and covenants herein shall not be deemed a waiver of any subsequent breach or default of the terms, conditions, and covenants herein contained.
  - d. CONTRACTOR shall not assign any interest or obligation in this Contract, and CONTRACTOR shall not transfer any interest in the same (whether by assignment or novation), without the prior written consent of MATA.
  - e. Any proposed change or modification of this Contract shall be submitted in writing to MATA for its prior approval. All changes shall be by written agreement of MATA and CONTRACTOR.
  - f. The CONTRACTOR acknowledges that MATA is managed and operated by RATP Dev.

(RATP). The CONTRACTOR shall cooperate with and abide by the instructions of MATA and RATP personnel.

16. Extent of Agreement -

- a. The Proposal submitted by the CONTRACTOR is incorporated herein by reference as fully set forth verbatim herein. In the event of conflict between this Contract and Proposal, the provisions of this Contract shall control.
- b. This Contract, except as set forth in the preceding paragraph, represents the entire and integrated Agreement between MATA and the CONTRACTOR, and supersedes all prior negotiations, statements, instructions, and representations or agreements, whether written or oral. This Contract may not be modified, amended, or assigned except by written agreement duly signed by both parties.
- c. At the election of MATA, the invalidity or illegality of any provisions of this Contract, other than arising from the fiscal inability of MATA to pay the compensation due to the CONTRACTOR as same becomes due, as determined by a court of last resort of competent jurisdiction, shall not affect the validity of the remainder of this Contract, and this Contract shall remain in full force and effect as if such illegal or invalid provisions were not contained herein.

17. Compliance with Applicable Law -

- a. In the performance of its obligations pursuant to this Contract, the CONTRACTOR shall comply with all applicable provisions of Federal, State, and local law in any manner effecting the conduct of the work and all prohibitive orders and instructions issued by the State and Federal Government regarding fortifications, military, and naval establishments and other areas.
- b. To accommodate changing Federal requirements, the CONTRACTOR agrees that Federal requirements may change, and the changed requirements will apply to the project as required, unless the Federal Government determines otherwise. All standards or limits within FTA's Master Agreement are minimum requirements, unless modified by FTA.
- c. The CONTRACTOR agrees to comply with FTA Circular 4220, "Third Party Contracting Requirements", any revisions or replacement thereof, and applicable Federal regulations or requirements, including FTA third party contracting regulations when promulgated.

18. Audit and Inspection -

- a. The CONTRACTOR shall permit MATA, the Secretary, and Comptroller General of the United States or any of their duly authorized representatives access to all CONTRACTOR records as they request for audits and inspections related to any Contract not awarded on the basis of competitive procurement procedures for a capital or improvement project, as needed for compliance with 49 U.S.C § 5325(a). The CONTRACTOR shall permit said persons to inspect all work materials, payrolls, and other data with regard to the project, and to audit the books, records, and accounts pertaining to such Contracts with regard to the project. The CONTRACTOR shall provide sufficient access to contract records as needed for compliance with federal regulations or to assure proper project management as determined by FTA.
- b. The CONTRACTOR shall maintain documentation for all charges against MATA under this Contract. The books, records, and documents of the CONTRACTOR, insofar as they relate to work performed or money received under the Contract, shall be maintained in conformity with generally accepted accounting principles for a period three full years from the date of final payment, and shall be subject to audit, at any reasonable time upon reasonable notice, by MATA, the State of Tennessee or the Comptroller of the Treasury or their duly appointed representatives, or a licensed independent public accountant. Further, the records shall be maintained for a period not less than that recommended in the Uniform Manual for Development Districts of Tennessee, published by the Comptroller of the

Treasury, State of Tennessee, but not less than three years from the date of final payment.

- c. In the event any Federal or State agency audits MATA, the CONTRACTOR shall provide whatever records, information, and assistance as MATA may reasonably require.
  - d. The CONTRACTOR shall provide information and assistance requested by MATA for progress reports required of MATA by Federal or State Government, or agencies.
19. Equal Employment Opportunity - In the performance of its duties hereunder, the CONTRACTOR shall not discriminate against any employee or applicant for employment because of disability, race, color, age, creed, sex, religion or national origin. The CONTRACTOR shall take affirmative action to ensure that applicants are employed and that employees are treated during employment without regard to their disability, race, color, religion, sex, age, or national origin. Such action shall include, but not be limited to, the following: employment, upgrading, demotion or transfer, recruitment or recruitment advertising, layoff or termination; rates of pay or other forms of compensation; and selection for training, including apprenticeship. The CONTRACTOR shall insert the foregoing provisions (modified only to show the particular contractual relationship) in all subcontracts, except subcontracts for standard commercial supplies or raw materials.
20. Interests of Federal and State Governmental Officials -
- a. No member of or delegate to the Congress of the United States shall be admitted to any share or part of this Contract, or to any benefit arising therefrom.
  - b. No part of the proceeds hereof shall be paid directly or indirectly to any officer or employee of the State of Tennessee as wages, compensation or gifts in exchange for acting as officer, agent, employee, subcontractor, or consultant to MATA in connection with any work contemplated or performed relative to this Contract.
21. Environmental Requirements -
- a. Environmental Protection. The CONTRACTOR agrees to comply with all applicable requirements of the National Environmental Policy Act of 1969, as amended, 42 U.S.C. §§ 4321 *et seq.* Consistent with Executive Order No. 11514, as amended, "Protection and Enhancement of Environmental Quality," 42 U.S.C. § 4321 note; FTA statutory requirements on environmental matters at 49 U.S.C. § 5324(b); Council on Environmental Quality regulations on compliance with the National Environmental Policy Act of 1969, as amended, 40 C.F.R. Part 1500 *et seq.*; and joint FHWA/FTA regulations, "Environmental Impact and Related Procedures," 23 C.F.R. Part 771 and 49 C.F.R. Part 622.
  - b. Air Quality. The CONTRACTOR agrees to comply with all applicable regulations, standards, or orders implementing the Clean Air Act, as amended, 42 U.S.C. §§ 7401 *et seq.* as follows:
    1. The CONTRACTOR agrees to comply with applicable requirements of U.S. Environmental Protection Agency (EPA) regulations, "Conformity to State or Federal Implementation Plans of Transportation Plans, Programs, and Projects Developed, Funded or Approved Under Title 23 U.S.C. or the Federal Transit Act", 40 C.F.R. Part 51, Subpart T; and "Determining Conformity of Federal Actions to State or Federal Implementation Plans," 40 C.F.R. Part 93. To support the requisite air quality conformity finding for the Project, the CONTRACTOR agrees to implement each air quality mitigation and control measure incorporated in the Project. The CONTRACTOR agrees that any Project identified in an applicable State Implementation Plan (SIP) as a Transportation Control Measure will be wholly consistent with the design concept and scope of the Project described in the SIP.
    2. U.S. EPA also imposes requirements implementing the Clean Air Act, as amended, that may apply to transit operators, particularly operators of large transit bus fleets. Thus, the CONTRACTOR should be aware that the following U.E. EPA regulations may apply to its Project: "Control of Air Pollution from Motor-Vehicles and Motor-

Vehicle Engines”, 40 C.F.R. Part 85; “Control of Air Pollution from New and In-Use Motor Vehicles and New and In-Use Motor Vehicle Engines: Certification and Test Procedures,” 40 C.F.R. Part 86; and “Fuel Economy of Motor Vehicles,” 40 C.F.R. Part 600.

3. The CONTRACTOR agrees to comply with the notification of violating facilities provisions of Executive Order No. 11738, “Administration of the Clean Air Act and the Federal Water Pollution Control Act with Respect to Federal Contracts, Grants, or Loans,” 42 U.S.C. § 7606 note.
- c. Clean Water. The CONTRACTOR agrees to comply with all applicable standards, orders, or regulations issued pursuant to the Federal Water Pollution Control Act, as amended, 33 U.S.C. §§ 1251 *et seq.* Among other things:
    1. The CONTRACTOR agrees to protect underground sources of drinking water consistent with the provisions of the Safe Drinking Water Act of 1974, as amended, 42 U.S.C. §§ 300h *et seq.*
    2. The CONTRACTOR agrees to comply with the notification of violating facilities provisions of Executive Order No. 11738, “Administration of the Clean Air Act and the Federal Water Pollution Control Act with Respect to Federal Contracts, Grants, or Loans”, 42 U.S.C. § 7606 note.
  - d. Use of Public Lands. The CONTRACTOR agrees that no publicly owned land from a park, recreation area, or wildlife or waterfowl refuge of national, State, or local significance as determined by the Federal, State, or local officials having jurisdiction thereof, or any land from a historic site of national, State, or local significance may be used for the Project unless the FTA makes the specific findings required by 49 U.S.C. § 303.
  - e. Wild and Scenic Rivers. The CONTRACTOR agrees to comply with the Wild and Scenic Rivers Act of 1968, as amended, 16 U.S.C. §§ 1271 *et seq.* relating to protecting components of the national wild and scenic rivers system.
  - f. Coastal Zone Management. The CONTRACTOR agrees to assure Project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972, as amended, 16 U.S.C. §§ 1451 *et seq.*
  - g. Wetlands. The CONTRACTOR agrees to comply with the protections for wetlands in accordance with Executive Order No. 11990, as amended, “Protection of Wetlands,” 42 U.S.C. § 4321 note.
  - h. Floodplains. The CONTRACTOR agrees to comply with the flood hazards protections in floodplains in accordance with Executive Order No. 11988, as amended, “Floodplain Management” 42 U.S.C. § 4321 note.
  - i. Endangered Species. The CONTRACTOR agrees to comply with the protections for endangered species of the Endangered Species Act of 1973, as amended, 16 U.S.C. §§ 1531 *ET seq.*
  - j. Historic Preservation. The CONTRACTOR agrees to facilitate compliance with Federal historic and archaeological preservation requirements of Section 106 of the National Historic Preservation Act, as amended, 16 U.S.C. § 470f; Executive Order No. 11593, “Protection and Enhancement of the Cultural Environment,” 16 U.S.C. § 470 note; and the Archaeological and Historic Preservation Act of 1974, as amended, 16 U.S.C. §§ 469a-l *et seq.* as follows:
    1. In accordance with Advisory Council on Historic Preservation regulations, “Protection of Historic and Cultural Properties,” 36 C.F.R. Part 800, MATA agrees to consult with the State Historic Preservation Officer concerning investigations to identify properties and resources included in or eligible for inclusion in the National Register of Historic Places that may be affected by the Project, and agrees to notify FTA of any such properties that will be affected.

2. The CONTRACTOR agrees to comply with all Federal requirements to avoid or mitigate adverse effects on those historic properties.
  - k. Environmental Justice. The CONTRACTOR agrees to comply with the policies of Executive Order No. 12898, "Federal Actions to Address Environmental Justice in Minority Populations and Low-Income Populations," 42 U.S.C. § 4321 note.
  - l. Mitigation of Adverse Environmental Effects. Should the Project cause or result in adverse environmental effects, the CONTRACTOR agrees to take all reasonable steps to minimize those effects as required by 49 U.S.C. § 5324(b), and any other applicable Federal laws and regulations, including 23 C.F.R. Part 771 and 49 C.F.R. Part 622. The CONTRACTOR agrees to implement all environmental mitigation measures that may be identified as commitments in applicable environmental documents (such as environmental assessments, environmental impact statements, memoranda of agreement, and documents required by 49 U.S.C. § 303) and agrees to comply with any conditions the Federal Government might impose in a finding of no significant impact or a record of decision. The CONTRACTOR agrees that those mitigation measures are incorporated by reference and made part of the Contract. As soon as the Federal Government and the CONTRACTOR reach agreement on any deferred mitigation measures, the CONTRACTOR agrees that those measures will then be incorporated by reference and made part of the Contract. The CONTRACTOR agrees that any mitigation measures agreed upon by MATA and the Federal Government may not be modified or withdrawn without the express written approval of the Federal Government.
22. Energy Conservation - The CONTRACTOR shall comply with mandatory energy efficiency standards and policies relating to energy efficiency which are contained in the State Energy Conservation Plan issued in compliance with the Energy Policy and Conservation Act (42 U.S.C. 6321 *et. Seq.*)
23. **Patent Rights – (Applicable to Contracts For Planning, Research, Development and/or Demonstration Projects Only)**
- a. General. If any invention, improvement, or discovery by the CONTRACTOR at any tier of the project is conceived or first actually reduced to practice in the course of or under the Project, and that invention, improvement, or discovery is patentable under the laws of the United States of America or any foreign country, the CONTRACTOR agrees to notify MATA immediately and provide a detailed report in a format satisfactory to MATA.
  - b. Federal Rights. The CONTRACTOR agrees that its rights and responsibilities pertaining to that invention, improvement, or discovery will be determined in accordance with applicable Federal laws, regulations, including any waive thereof. Absent a determination in writing to the contrary by the Federal Government, the CONTRACTOR agrees to transmit to MATA those rights due the Federal Government in any invention, improvement, or discovery resulting from the contract as specified in U.S. Department of Commerce regulations, "Rights to Inventions Made by Nonprofit Organizations and Small Business Firms Under Government Grants, Contracts and Cooperative Agreements," 37 C.F.R. Part 401 (implementing 35 U.S.C. §§ 200 *et seq.*), irrespective of the status of MATA or the CONTRACTOR at any tier of the Project (i.e., a large business, small business, State government or State instrumentality, local government, nonprofit organization, institution of higher education, individual, etc.)
  - c. License Fees and Royalties. FTA considers income earned from license fees and royalties for patents, patent applications, and inventions produced under the Project to be program income. Except to the extent FTA determines otherwise in writing, as provided in 49 C.F.R. Parts 18 and 19, the CONTRACTOR has no obligation to the Federal Government with respect to that program income, apart from compliance with 35 U.S.C §§ 200 *et seq.*, which applies to patent rights developed under a research project.



24. Rights in Data and Copyrights Requirements

- a. Definition. The term “subject data” used in this Section 23 means recorded information, whether or not copyrighted, that is delivered or specified to be delivered under the contract. Examples include, but are not limited to: computer software, standards, specifications, engineering drawings and associated lists, process sheets, manuals, technical reports, catalog item identifications, and related information. “Subject data” does not include financial reports, cost analyses, or similar information used for contract administration.
- b. Federal Restrictions. The following restrictions apply to all subject data first produced in the performance of the contract:
  1. Except for its own internal use, the CONTRACTOR may not publish or reproduce subject data in whole or in part, or in any manner or form, nor may the CONTRACTOR authorize others to do so without the written consent of the Federal Government, until such time as the Federal Government may have either released or approved the release of such data to the public.
  2. The restriction on publication of Subsection 23.b. (1) of this contract, however, does not apply to a contract with an institution of higher learning.
- c. Federal Rights in Data and Copyrights. MATA and the CONTRACTOR agree to provide to the Federal Government a royalty-free, non-exclusive and irrevocable license to reproduce, publish, or otherwise use, and to authorize others to use, for Federal Government purposes the “subject data” described in Subsections 23.c. (1) and 23.c. (2) of this CONTRACT. As used herein, “for Federal Government purposes,” means use only for the direct purposes of the Federal Government. Without the copyright owner’s consent, the Federal Government may not provide or otherwise extend to other parties of the Federal Government’s license to:
  1. Any subject data developed under the contract, whether or not a copyright has been obtained; and
  2. Any rights of copyright to which MATA and/or the CONTRACTOR purchase ownership with Federal assistance.
- d. Special Federal Rights in Data for Research, Development, Demonstration, and Special Studies (Planning) Projects. In general, FTA’s purpose in providing financial assistance for a special studies (planning), research, development, or demonstration Project is to increase transportation knowledge, rather than limit the benefits of the Project to participants in the Project. Therefore, unless FTA determines otherwise, MATA agrees that, in addition to the rights in data and copyrights of SubSection 23.c of this contract, FTA may make available to MATA or the CONTRACTOR, either FTA’s license in the copyright to the subject data or a copy of the subject data. If the Project is not completed for any reason whatsoever, all data developed under the Project shall become subject data as defined in SubSection 23.a of this contract and shall be delivered as the Federal Government may direct. This SubSection 23.d. of this CONTRACT, however, does not apply to adaptations of automatic data processing equipment or programs for MATA’s use when the costs thereof are financed with Federal funds for capital projects.
- e. Hold Harmless. Except as prohibited or otherwise limited by State law, upon request by the Federal Government, MATA and the CONTRACTOR agree to indemnify, save, and hold harmless the Federal Government and its officers, agents and employees acting within the scope of their official duties against any liability, including costs and expenses, resulting from any willful or intentional violation by MATA or the CONTRACTOR of proprietary rights, copyrights, or right of privacy, arising out of the publication, translation, reproduction, delivery, use, or disposition of any data furnished under this contract. MATA nor the CONTRACTOR shall be required to indemnify the Federal Government for any

such liability caused by the wrongful acts of Federal employees or agents.

- f. Restrictions on Access to Patent Rights. Nothing in this Section 23 of this contract pertaining to rights in data shall imply a license to the Federal Government under any patent or be construed to affect the scope of any license or other right otherwise granted to the Federal Government under any patent.
  - g. Statutory Requirements to Release Data. To the extent required by U.S. DOT regulations, "Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organization," at 49 C.F.R. § 19.36(d), or by subsequent Federal laws or regulations, MATA and the CONTRACTOR understand and agree that the data and information submitted to the Federal Government may be required to be released in accordance with the provisions of the Freedom of Information Act (or another Federal statute providing access to such records).
25. Vendor Responsibility - It is the intent of these specifications to provide for goods of first quality and the workmanship must be the best obtainable in the various trades. The design of the goods, which the manufacturer proposes to furnish, must be of substantial and durable construction in all respects. No advantage shall be taken by the Proposer or manufacturer in the omission of any part or detail, which goes to make the product complete and ready for installation and use.
- The vendor shall assume responsibility for all materials used in the Proposal item whether the vendor manufactures the same or purchased ready-made from a source outside the vendor's company.
26. References - Proposer shall provide with his Proposal at least five references for projects similar to that described in this Invitation for Proposal. The following must be provided: company name, address and telephone number, fax number, a contact person, and the dates of the contract. The references given should be on contracts within a 12-month period prior to the Proposal due date.
27. Delivery - Proposals shall provide for delivery of all parts or equipment to MATA, 1370 Levee Road, Memphis, TN 38108, unless stated otherwise in Sections A or B.
28. Delivery Schedule - Hours of delivery shall be any weekday between 8:30 a.m. and 4:00 p.m., unless stated otherwise in Section A or B.
29. Preference for United States Products and Services.

To the extent applicable, the CONTRACTOR agrees to comply with the following U.S. preference requirements:

- a. Buy America. The CONTRACTOR agrees to comply with 49 U.S.C. § 5323(j), FTA regulations, "Buy America Requirements," 49 C.F.R. Part 661, and implementing guidance FTA may issue. A Buy America certificate (Exhibit II), as per attached format, must be completed and submitted with the Proposal or the Proposal will be considered non-responsive.

A waiver from the Buy America provision may be sought by MATA if grounds for the waiver exist. Section 165a of the Surface Transportation Assistance Act of 1982 permits FTA's participation in this Contract only if iron, steel and manufactured products used in the Contract are produced in the United States. This applies to procurements of \$150,000 and over.

- b. Cargo Preference—Use of United States-Flag Vessels. The CONTRACTOR agrees to comply with U.S. Maritime Administration regulations, "Cargo Preference—U.S.-Flag Vessels," 46 C.F.R. Part 381, to the extent those regulations apply to the Project. Specifically, the CONTRACTOR agrees:
  - 1. To utilize privately owned United States-Flag Commercial vessels to ship at least 50% of the gross tonnage (computed separately for dry bulk carriers, dry cargo liners, and tankers) involved, whenever shipping any equipment, materials, or commodities pursuant to this section, to the extent such vessels are available at fair and reasonable rates to United States-Flag Commercial vessels.

2. To furnish within 30 days following the date of loading for shipments originating within the United States, or within 30 working days following the date of loading for shipment originating outside the United States, a legible copy of a rated, On-Board Commercial Ocean Bill-Of-Lading in English for each shipment of cargo described in paragraph one above to MATA (through the prime CONTRACTOR in the case of subcontractor Bills-of-Lading) and to the Division of National Cargo, Office of Market Development, Maritime Administration, 400 Seventh Street, S.W., Washington, DC 20590, marked with appropriate identification of the project.
      - c. Fly America. The CONTRACTOR understands and agrees that the Federal Government will not participate in the costs of international air transportation of any persons involved in or property acquired for the Project unless that air transportation is provided by U.S.-flag air carriers to the extent service by U.S.-flag air carriers is available, consistent with the requirements of the International Air Transportation Fair Competitive Practices Act of 1974, as amended, 49 U.S.C. § 40118, and U.S. General Services Administration (U.S. GSA) regulations "Use of United States Flag Air Carriers," 41 C.F.R. §§ 301.131 through 301.143.
30. Debarment, Suspension, and Other Responsibility Matters - Unless otherwise permitted by law, any person that is debarred, suspended, or voluntarily excluded may not take part in a federally covered transaction, either as participant or a principal, during the period of debarment, suspension, or voluntary exclusion. Accordingly, neither FTA nor MATA may enter into any transaction with such debarred, suspended or voluntarily excluded persons during such period.

A certification process has been established by 49 CFR, Part 29 as a means to ensure that debarred, suspended, or voluntarily excluded persons do not participate in a federally assisted project. Each CONTRACTOR and subcontractor must provide to MATA a signed certification in compliance with 49 CFR, Part 29 as part of this Contract. (Exhibit III)
31. Prohibited Interests - No member, officer, or employee of MATA or the City of Memphis during his or her tenure or one year thereafter shall have interests, direct, or indirect in this Contract or the proceeds thereof, or if a conflict, real or apparent, as defined in MATA's Code of Ethics, would be involved.
32. Copeland "Anti-Kickback" Act, as amended. The CONTRACTOR shall comply with the Copeland "Anti-Kickback" Act, 18 U.S.C. 874 and 40 U.S.C. 276c, and U.S. Department of Labor (DOL) regulations, "Contractors and Subcontractors on Public Building or Public Work Financed in Whole or in part by Loans or Grants from the United States", 29 C.F.R. Part 3. In addition to other requirements that may apply:
  - a. The CONTRACTOR will not induce, by any means, any person employed in the construction, completion, or repair of public work, to give up any part of the compensation to which that employee is otherwise entitled.
  - b. MATA agrees to report every suspected or reported violation of the Copeland "Anti-Kickback" Act or its Federal implementing regulations to FTA.
33. Termination of Contract -
  - a. MATA may terminate this Contract without cause by giving fifteen (15) days written notice to the CONTRACTOR thereof and specifying the effective date of termination.

If the Contract is terminated by MATA as provided herein, the CONTRACTOR will be paid for its satisfactory services completed through the date of termination specified by MATA.
  - b. If, through any cause, the CONTRACTOR shall fail to fulfill in timely and proper manner its obligations under this Contract, or shall violate any of the covenants, agreements, or stipulations of this Contract, MATA shall thereupon have the right to terminate this Contract by giving written notice to the CONTRACTOR for such termination and specifying the effective date of such termination. In the event of termination, the CONTRACTOR shall be entitled to just and equitable compensation for any satisfactory work through the date of

termination specified by MATA.

- c. In the event of default by the CONTRACTOR, MATA shall be entitled to all of its reasonable expenses, and its costs to include, but not limited to its reasonable attorney's fees incurred by reason of such default.
  - d. In addition to the foregoing, MATA reserves the right to cancel any services or portion of services to be provided hereunder upon written notice to the CONTRACTOR specifying the canceled services and the effective date of such cancellation. In the event of such cancellation, the CONTRACTOR shall be compensated for satisfactory work completed and, further, the compensation due to the CONTRACTOR hereunder shall be reduced accordingly effective said cancellation date.
34. Employment of Contractor - MATA hereby agrees to engage the CONTRACTOR and the CONTRACTOR hereby agrees to perform the services hereafter set forth in connection with the project.
35. Interest of the Contractor - The CONTRACTOR covenants that it presently has no interest and shall not acquire any interest, direct or indirect, which would conflict in any manner or degree with the performance of services required to be performed under this Contract. The CONTRACTOR further covenants that in the performance of this Contract no person having any such interest shall be employed.
36. Independent Contractor - The CONTRACTOR is at all times an independent contractor and in no wise shall be deemed to be in joint venture, partnership, or other relationship with MATA.
37. Indemnification - The CONTRACTOR shall indemnify, save, defend, and hold MATA, the City of Memphis, TN, First Transit, Inc. and MTM, their officers, agents and employees free from all losses, damages, claims, and expenses in any wise arising or resulting from the actions and omissions of the CONTRACTOR, its employees, agents, or contractors in the performance of its services hereunder.
38. Cost Analysis - MATA reserves the right to conduct a cost or price analysis for any purchase. MATA may be required to perform a cost analysis when competition is lacking for any purchase. Sole source procurements or procurements where Proposals are received will be subject to a cost analysis which will include the appropriate verification of cost data, the evaluation of specific elements of costs and the projection of the data to determine the effect on Proposal prices. MATA may require a pre-award audit, and potential contractors shall be prepared to submit data relevant to the proposed work which will allow MATA to sufficiently determine that the proposed price is fair, reasonable, and in accordance with Federal, State, and local regulations. Procurements requiring Proposals will be treated as a negotiated procurement and MATA reserves the right to negotiate with a single Proposer and/or all Proposers in the competitive range to achieve a fair and reasonable price. If any of the parties cannot agree upon a negotiated price, MATA reserves the right to reject any or all Proposals.

Contract change orders or modifications will be subject to a cost analysis.

39. False or Fraudulent Statements or Claims - The CONTRACTOR acknowledges and agrees that:
- a. The Program Fraud Civil Remedies Act of 1986, as amended, 31 U.S.C. §§ 3801 *et seq.* and U.S. Department of Transportation (DOT) regulations "Program Fraud Civil Remedies," 49 C.F.R. Part 31, apply to its activities in connection with the Project. Accordingly, by executing the Contract, the CONTRACTOR certifies or affirms the truthfulness and accuracy of any statement it has made, it makes, or it may make in connection with the Project covered by the Contract. In addition to other penalties that may apply, the CONTRACTOR also acknowledges that if it makes a false, fictitious, or fraudulent claim, statement, submission, or certification to the Federal Government, the Federal Government reserves the right to impose the penalties of the Program Fraud Civil Remedies Act of 1986, as amended, on the CONTRACTOR to the extent the Federal Government deems appropriate.

- b. If it makes a false, fictitious, or fraudulent claim, statement, submission, or certification to the Federal Government in connection with an urbanized area formula project financed with Federal assistance authorized by 49 U.S.C. § 5307, the Government reserves the right to impose on the CONTRACTOR the penalties of 18 U.S.C. § 1001 and 49 U.S.C. § 5307(n)(1), to the extent the Federal Government deems appropriate.
- 40. No Contingency Fees - The CONTRACTOR shall warrant 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 the breach or violation of which warranty MATA shall have the right to annul said Contract without liability or, in its discretion, to deduct from the Contract price or consideration the full amount of such commission, percentage, brokerage or contingent fee.
- 41. Excluded Facilities - The CONTRACTOR shall comply with the provisions of 40 CFR Part 15 which prohibit the use of facilities included on the EPA list of violating facilities.
- 42. Federal Changes - The CONTRACTOR shall at all times comply with all applicable FTA regulations, policies, procedures and directives, including without limitation those listed directly or by reference in the Agreement (Form FTA Master Agreement (18) dated October 1, 2011) between Purchaser and FTA, as they may be amended or promulgated from time to time during the term of this contract. The Contractor's failure to so comply shall constitute a material breach of this contract.
- 43. Lobbying Requirements - Federal regulations require MATA to include certifications from contractors. Accordingly, the CONTRACTOR must sign the attached certification. (Exhibit IV)

By executing this Contract, the CONTRACTOR certifies to the best of its knowledge and belief that:

- a. No Federal appropriated funds have been paid or will be paid on behalf of the undersigned to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
  - b. If any funds other than Federal appropriate funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the CONTRACTOR shall complete and submit Office of Management and Budget Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.
  - c. The CONTRACTOR shall insert the language of this certification in all subcontracts and require that all subcontractors at any tier shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, Title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure. This applies to procurements of \$100,000 or more.
44. Recycled Products
- The CONTRACTOR agrees to comply with all the requirements of Section 6002 of the Resource Conservation and Recovery Act (RCRA), as amended (42 U.S.C. 6962), including but not limited to the regulatory provisions of 40 CFR Part 247, and Executive Order 12873, as they apply to the procurement of the items designated in SubPart B of 40 CFR Part 247.

45. No Government Obligation

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

46. Incorporation of Federal Transit Administration (FTA) Terms

The preceding provisions include, in part, certain Standard Terms and Conditions required by DOT, whether or not expressly set forth in the preceding contract provisions. All contractual provisions required by DOT, as set forth in FTA Master Agreement (18), dated October 1, 2011, are hereby incorporated by reference. Anything to the contrary herein notwithstanding, all FTA mandated terms shall be deemed to control in the event of a conflict with other provisions contained in this Agreement. The CONTRACTOR shall not perform any act, fail to perform any act, or refuse to comply with any MATA requests, which would cause MATA to be in violation of the FTA terms and conditions.

47. Access Requirements for Persons with Disabilities. The CONTRACTOR agrees to comply with the requirements of 49 U.S.C. § 5301(d) which expresses the Federal policy that the elderly and persons with disabilities have the same right as other persons to use mass transportation service and facilities, and that special efforts shall be made in planning and designing those services and facilities to implement those policies. The CONTRACTOR also agrees to comply with all applicable requirements of Section 504 of the Rehabilitation Act of 1973, as amended, 29 U.S.C. § 794, which prohibits discrimination on the basis of handicaps, and with the Americans with Disabilities Act of 1990 (ADA), as amended, 42 U.S.C. §§ 12101 *et seq.*, which requires the provision of accessible facilities and services, and with the following Federal regulations, including any amendments thereto:

- a. U.S. DOT regulations, "Transportation Services for Individuals with Disabilities (ADA),"49 C.F.R. Part 37;
- b. U.S. DOT regulations "Nondiscrimination on the Basis of Handicap in Programs and Activities Receiving or Benefiting from Federal Financial Assistance,"49 C.F.R. Part 27;
- c. Joint U.S. Architectural and Transportation Barriers Compliance Board/U.S. DOT regulations, "Americans with Disabilities (ADA) Accessibility Specifications for Transportation Vehicles,"36 C.F.R. Part 1192 and 49 C.F.R. Part 38;
- d. U.S. Department of Justice (DOJ) regulations, "Nondiscrimination on the Basis of Disability in State and Local Government Services,"28 C.F.R. Part 35;
- e. U.S. DOJ regulations, "Nondiscrimination on the Basis of Disability by Public Accommodations and in Commercial Facilities,"28C.F.R. Part 36;
- f. U.S. General Services Administration (GSA) regulations, "Accommodations for the Physically Handicapped,"41 C.F.R. Subpart 101-19;
- g. 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;
- h. U.S. Federal Communications Commission regulations, "Telecommunications Relay Services and Related Customer Premises Equipment for the Hearing and Speech Disabled,"47 C.F.R. Part 64, Subpart F; and
- i. FTA regulations, "Transportation for Elderly and Handicapped Persons,"49 C.F.R. Part 609; and

- j. Any implementing requirements FTA may issue.
48. Disputes, Breaches, Defaults or Other Litigation.
- a. Except as otherwise provided in this Contract, any dispute concerning a question of fact arising under this Contract which is not disposed of by agreement shall be decided by the Contracting Officer, who shall reduce his decision to writing and mail or otherwise furnish a copy thereof to the CONTRACTOR. The Contracting Officer may consult with the Construction Manager if one has been appointed for this project. The decision of the Contracting Officer shall be final and conclusive unless, within 10 days from the receipt of such copy, the CONTRACTOR mails or otherwise furnishes to the Contracting Officer a written appeal addressed to the Chief Executive Officer of MATA. The Chief Executive Officer shall review the dispute, related documents and the Contracting Officer's Final Decision. The Chief Executive Officer may consult with the Construction Manager and the Contracting Officer. The decision of the Chief Executive Officer shall be final and conclusive unless, within 10 days from the date of the receipt of such copy, the CONTRACTOR mails or otherwise furnishes to the Contracting Officer a written appeal addressed to the Board of the Memphis Area Transit Authority. The decision of the Board 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 Article, the CONTRACTOR shall be afforded an opportunity to be heard and to offer evidence in support of his 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.
  - b. This Section 48 does not preclude consideration of questions of law in connection with decisions provided for in Paragraph a. above. Nothing in this Contract, however, shall be construed as making final the decisions of the Board or its representative on a question of law.
48. Title VI of the Civil Rights Act of 1964. The CONTRACTOR will comply and will assure the compliance by subcontractors under this Project with all the requirements imposed by Title VI of the Civil Rights Act of 1964 (49 U.S.C. Section 2000d), the Regulations of DOT issued thereunder, 40 C.F.R. Part 21 and the assurances by MATA pursuant thereto.
49. Disadvantaged Business Enterprises - To the extent authorized by Federal law, the CONTRACTOR agrees to facilitate participation by Disadvantaged Business Enterprises (DBEs) in the Project and assures that each subcontractor, lessee, third party contractor, or other participant at any tier of the Project will facilitate participation by DBEs in the Project to the extent applicable as follows:
- a. The CONTRACTOR agrees and assures that it shall comply with Section 1101(b) of SAFETEA-LU, 23 U.S.C. § 101 note, and U.S. DOT regulations, "Participation by Disadvantaged Business Enterprises in Department of Transportation Financial Assistance Programs," 49 C.F.R. Part 26.
  - b. The CONTRACTOR agrees and assures that it shall not discriminate on the basis of race, color, sex, or national origin in the award and performance of any subcontract, lease, third-party contract, or other arrangement supported with Federal assistance derived from U.S. DOT in the administration of its Contract and shall comply with the requirements of 49 C.F.R. Part 26. The CONTRACTOR agrees to take all necessary and reasonable steps as set forth in 49 C.F.R. Part 26 to ensure nondiscrimination in the award and administration of all subcontracts, leases, third-party contracts, and other arrangements supported with Federal assistance derived from U.S. DOT.
51. Prompt Payment - The CONTRACTOR agrees to pay each subcontractor under this prime contract for satisfactory performance of its contract no later than 10 days from receipt of each payment the

prime contractor receives from MATA. The CONTRACTOR agrees further to return retainage payments to each subcontractor within 10 days after the subcontractor's work is satisfactorily completed. Any delay or postponement of payment from the above referenced time frame may occur only for good cause following written approval of MATA. This clause applies to both DBE and non-DBE subcontractors. If the CONTRACTOR determines the work to be unsatisfactory, it must notify MATA's Contracting Officer, Project Manager and DBE Liaison Officer immediately, in writing, and state the reasons. Failure to comply with this requirement will be construed to be a breach of contract and subject to contract termination.

52. Nondiscrimination in Federal Public Transportation Programs - The CONTRACTOR agrees to comply, and assures the compliance of each subcontractor, lessee, third party contractor, or other participant at any tier of the Project, with the provisions of 49 U.S.C. § 5332, which prohibit discrimination on the basis of race, color, creed, national origin, sex, or age, and prohibits discrimination in employment or business opportunity.
53. Contract Work Hours and Safety Standards Act - The CONTRACTOR agrees to comply, and assures the compliance of each subcontractor, lessee, third party contractor, and other participant at any tier of the Project, with the employee protection requirements for non-construction employees of the Contract Work Hours and Safety Standards Act, as amended, 40 U.S.C. §§ 3701 *et seq.*, in particular with the wage and hour requirements of Section 102 of that Act at 40 U.S.C. § 3702, and with implementing U.S. DOL regulations, "Labor Standards Provisions Applicable to Contracts Governing Federally Financed and Assisted Construction (also Labor Standards Provisions Applicable to Non-construction Contracts Subject to the Contract Work Hours and Safety Standards Act)," 29 C.F.R. Part 5.
54. National Intelligent Transportation Systems Architecture and Standards - To the extent applicable, the CONTRACTOR agrees to conform to the National Intelligent Transportation Systems (ITS) Architecture and Standards as required by SAFETEA-LU § 5307(c), 23 U.S.C. § 512 note, and follow the provisions of FTA Notice, "FTA National ITS Architecture Policy on Transit Projects," 66 *Fed. Reg.* 1455 *et seq.*, January 8, 2001, and any other implementing directives FTA may issue at a later date, except to the extent FTA determines otherwise in writing.
55. Seismic Safety (Applicable to Design and/or Construction Contracts Only) - The CONTRACTOR agrees to comply with the Earthquake Hazards Reduction Act of 1977, as amended, 42 U.S.C. §§ 7701 *et seq.*, with Executive Order No. 12699, "Seismic Safety of Federal and Federally-Assisted or Regulated New Building Construction," 42 U.S.C. § 7704 note, and with U.S. DOT regulations, "Seismic Safety," 49 C.F.R. Part 41, (specifically, 49 C.F.R. § 41.117), and any implementing guidance FTA may issue.
56. Environmental Justice. The CONTRACTOR agrees to facilitate compliance with the policies of Executive Order No. 12898, "Federal Actions to Address Environmental Justice in Minority Populations and Low-Income Populations," 42 U.S.C. § 4321 note; and DOT Order 5620.3, "Department of Transportation Actions to Address Environmental Justice in Minority Populations and Low-Income Populations," 62 *Fed. Reg.* 18377 *et seq.*, April 15, 1997, except to the extent that the Federal Government determines otherwise in writing.
57. Veterans Employment. Recipients and sub-recipients of Federal Financial assistance under this chapter shall ensure that contractors working on a capital project funded using such assistance give a hiring preference, to the extent practicable, to veterans (as defined in Section 2108 of Title 5) who have the requisite skills and abilities to perform the construction work required under the contract. This subsection shall not be understood, construed or enforced in any manner that would require an employer to give preference to any veteran over any equally qualified applicant who is a member of any racial or ethnic minority, female, an individual with a disability, or former employee.
58. Program Fraud and False or Fraudulent Statements And Related Acts

The Contractor acknowledges that the provisions of the Program Fraud Civil Remedies Act of 1986, as amended, 31 U.S.C. § 3801 *et seq.* and U.S. DOT regulations, "Program Fraud Civil Remedies," 49 C.F.R. part 31, apply to its actions pertaining to this Project. Upon execution of the underlying contract, the Contractor certifies or affirms the truthfulness and accuracy of any statement it has



made, it makes, it may make, or causes to be made, pertaining to the underlying contract or the FTA assisted project for which this contract work is being performed. In addition to other penalties that may be applicable, the Contractor further acknowledges that if it makes, or causes to be made, a false, fictitious, or fraudulent claim, statement, submission, or certification, the Federal Government reserves the right to impose the penalties of the Program Fraud Civil Remedies Act of 1986 on the Contractor to the extent the Federal Government deems appropriate.

The Contractor also acknowledges that if it makes, or causes to be made, a false, fictitious, or fraudulent claim, statement, submission, or certification to the Federal Government under a contract connected with a project that is financed in whole or in part with Federal assistance originally awarded by FTA under the authority of 49 U.S.C. chapter 53, the Government reserves the right to impose the penalties of 18 U.S.C. § 1001 and 49 U.S.C. § 5323(l) on the Contractor, to the extent the Federal Government deems appropriate.

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

59. Access to Records and Reports

- a. Record Retention. The Contractor will retain, and will require its subcontractors of all tiers to retain, complete and readily accessible records related in whole or in part to the contract, including, but not limited to, data, documents, reports, statistics, leases, subcontracts, arrangements, other third-party Contracts of any type, and supporting materials related to those records.
- b. Retention Period. The Contractor agrees to comply with the record retention requirements in accordance with 2 C.F.R. § 200.334. The Contractor shall maintain all books, records, accounts and reports required under this Contract for a period of at not less than three (3) years after the date of termination or expiration of this Contract, except in the event of litigation or settlement of claims arising from the performance of this Contract, in which case records shall be maintained until the disposition of all such litigation, appeals, claims or exceptions related thereto.
- c. Access to Records. The Contractor agrees to provide sufficient access to FTA and its contractors to inspect and audit records and information related to performance of this contract in accordance with 2 CFR § 200.337.
- d. Access to the Sites of Performance. The Contractor agrees to permit FTA and its contractors access to the sites of performance under this contract in accordance with 2 CFR § 200.337.

60. Changes to Federal Requirements

Federal requirements that apply to the Recipient or the Award, the accompanying Underlying Agreement, and any Amendments thereto may change due to changes in federal law, regulation, other requirements, or guidance, or changes in the Recipient's Underlying Agreement including any information incorporated by reference and made part of that Underlying Agreement; and

Applicable changes to those federal requirements will apply to each Third-Party Agreement and parties thereto at any tier.

61. Safe Operation of Motor Vehicles

Seat Belt Use

The Contractor is encouraged to adopt and promote on-the-job seat belt use policies and programs for its employees and other personnel that operate company-owned vehicles, company rented vehicles, or personally operated vehicles. The terms "company-owned" and "company-leased" refer to vehicles owned or leased either by the Contractor or Agency.

Distracted Driving

The Contractor agrees to adopt and enforce workplace safety policies to decrease crashes caused by distracted drivers, including policies to ban text messaging while using an electronic device supplied by an employer, and driving a vehicle the driver owns or rents, a vehicle Contractor owns, leases, or rents, or a privately-owned vehicle when on official business in connection with the work performed under this Contract.

62. Trafficking in Persons

The contractor agrees that it and its employees that participate in the Recipient's Award, may not:

- (a) Engage in severe forms of trafficking in persons during the period of time that the Recipient's Award is in effect;
- (b) Procure a commercial sex act during the period of time that the Recipient's Award is in effect; or
- (c) Use forced labor in the performance of the Recipient's Award or sub-agreements thereunder.

63. Federal Tax Liability and Recent Felony Convictions

(1) The contractor certifies that it:

- (a) Does not have any unpaid Federal tax liability that has been assessed, for which all judicial and administrative remedies have been exhausted or have lapsed, and that is not being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax liability; and
- (b) Was not convicted of the felony criminal violation under any Federal law within the preceding 24 months.

If the contractor cannot so certify, the Recipient will refer the matter to FTA and not enter into any Third Party Agreement with the Third Party Participant without FTA's written approval.

(2) Flow-Down. The Recipient agrees to require the contractor to flow this requirement down to participants at all lower tiers, without regard to the value of any sub-agreement.

64. Prohibition on Certain Telecommunications and Video Surveillance Services or Equipment.

a) Recipients and sub-recipients are prohibited from obligating or expending loan or grant funds to:

- 1) Procure or obtain;
- 2) Extend or renew a contract to procure or obtain; or
- 3) Enter into a contract (or extend or renew a contract) to procure or obtain equipment, services, or systems that uses covered telecommunications equipment or services as a substantial or essential component of any system, or as critical technology as part of any system. As described in Public Law 115-232, section 889, covered telecommunications equipment is telecommunications equipment produced by Huawei Technologies Company or ZTE Corporation (or any subsidiary or affiliate of such entities).

(i) For the purpose of public safety, security of government facilities, physical security surveillance of critical infrastructure, and other national security purposes, video surveillance and telecommunications equipment produced by Hytera Communications Corporation, Hangzhou Hikvision Digital Technology Company, or Dahua Technology Company (or any subsidiary or affiliate of such entities).

(ii) Telecommunications or video surveillance services provided by such entities or using such equipment.

- (iii) Telecommunications or video surveillance equipment or services produced or provided by an entity that the Secretary of Defense, in consultation with the Director of the National Intelligence or the Director of the Federal Bureau of Investigation, reasonably believes to be an entity owned or controlled by, or otherwise connected to, the government of a covered foreign country.
- b) In implementing the prohibition under Public Law 115-232, section 889, subsection (f), paragraph (1), heads of executive agencies administering loan, grant, or subsidy programs shall prioritize available funding and technical support to assist affected businesses, institutions and organizations as is reasonably necessary for those affected entities to transition from covered communications equipment and services, to procure replacement equipment and services, and to ensure that communications service to users and customers is sustained.
- c) See Public Law 115-232, section 889 for additional information.
- d) See also § 200.471.

65. Public Transportation Employee Protective Arrangements

The Contractor agrees to comply with the following employee protective arrangements of 49 U.S.C. § 5333(b):

1. U.S. DOL Certification. Under this Contract or any Amendments thereto that involve public transportation operations that are supported with federal assistance, a certification issued by U.S. DOL is a condition of the Contract.
2. Special Warranty. When the Contract involves public transportation operations and is supported with federal assistance appropriated or made available for 49 U.S.C. § 5311, U.S. DOL will provide a Special Warranty for its Award, including its Award of federal assistance under the Tribal Transit Program. The U.S. DOL Special Warranty is a condition of the Contract.
3. Special Arrangements. The conditions of 49 U.S.C. § 5333(b) do not apply to Contractors providing public transportation operations pursuant to 49 U.S.C. § 5310. FTA reserves the right to make case-by-case determinations of the applicability of 49 U.S.C. § 5333(b) for all transfers of funding authorized under title 23, United States Code (flex funds), and make other exceptions as it deems appropriate, and, in those instances, any special arrangements required by FTA will be incorporated herein as required.

66. Charter Service

The contractor agrees to comply with 49 U.S.C. 5323(d), 5323(r), and 49 C.F.R. part 604, which provides that Recipients and subrecipients of FTA assistance are prohibited from providing charter service using federally funded equipment or facilities if there is at least one private charter operator willing and able to provide the service, except as permitted under:

1. Federal transit laws, specifically 49 U.S.C. § 5323(d);
2. FTA regulations, "Charter Service," 49 C.F.R. part 604;
3. Any other federal Charter Service regulations; or
4. Federal guidance, except as FTA determines otherwise in writing.

The contractor agrees that if it engages in a pattern of violations of FTA's Charter Service regulations, FTA may require corrective measures or impose remedies on it. These corrective measures and remedies may include:

1. Barring it or any subcontractor operating public transportation under its Award that has provided prohibited charter service from receiving federal assistance from FTA;
2. Withholding an amount of federal assistance as provided by Appendix D to part 604 of

FTA's Charter Service regulations; or

3. Any other appropriate remedy that may apply.

67. School Bus Operations

The contractor agrees to comply with 49 U.S.C. 5323(f), and 49 C.F.R. part 604, and not engage in school bus operations using federally funded equipment or facilities in competition with private operators of school buses, except as permitted under:

1. Federal transit laws, specifically 49 U.S.C. § 5323(f);
2. FTA regulations, "School Bus Operations," 49 C.F.R. part 605;
3. Any other Federal School Bus regulations; or
4. Federal guidance, except as FTA determines otherwise in writing.

If Contractor violates this School Bus Agreement, FTA may:

1. Bar the Contractor from receiving Federal assistance for public transportation; or
2. Require the contractor to take such remedial measures as FTA considers appropriate.

When operating exclusive school bus service under an allowable exemption, the contractor may not use federally funded equipment, vehicles, or facilities.

The Contractor should include the substance of this clause in each subcontract or purchase under this contract that may operate public transportation services.

68. Substance Abuse Requirements

The Contractor agrees to establish and implement a drug and alcohol testing program that complies with 49 C.F.R. part 655, produce any documentation necessary to establish its compliance with part 655, and permit any authorized representative of the United States Department of Transportation or its operating administrations, the State Oversight Agency, or Agency, to inspect the facilities and records associated with the implementation of the drug and alcohol testing program as required under 49 C.F.R. part 655 and review the testing process. The Contractor agrees further to certify annually its compliance with part 655 and to submit the Management Information System (MIS) reports to the Agency.

69. Protection of Sensitive and Personally Identifiable Information

Contractor and sub-contractors must implement reasonable measures to safeguard protected personally identifiable information that complies with FTA Master Agreement, FY2020 Section 36(c), US DOT Common Rules Applicability as well as any information that the FTA or pass-through entity designates as sensitive.

# APPENDIX

## BUSINESS QUESTIONNAIRE

This questionnaire, and the authorization to release financial information are used in part to assist in determining a potential contractor's responsibility. Offerors shall submit this information within two (2) workdays from the date of notification by the Authority, or if so indicated in the Solicitation and in accordance with applicable provision(s), if any. All information must be current and traceable. Each venturer of a joint venture must submit a separate signed form.

MATA reserves the right to make additional inquiries based on information submitted, or the lack thereof. Questions concerning this questionnaire, or the authorization form should be directed to the contact person identified on the Solicitation.

1. Name of Offeror ("Business"):

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2. List name(s) and business address of officers and directors for corporations, partners for partnerships, and venturers for joint ventures (attach additional pages as necessary).

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3. Number of years in business under present business name:

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4. If applicable, list all other names under which the Business identified above operated in the last 5 years.

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5. Annual Gross Revenue (Past year): (M represents millions, K represents thousands)

- \$100K or less       \$100K-\$500K       \$500K-\$1M       \$1M-\$5M       \$5M-\$10M  
 \$10M-\$16M       \$16M or Over

6. Number of current employees:

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7. Has the Business, or any officer or partner thereof, failed to complete a contract?  Yes  No

8. Is any litigation pending against the Business?  Yes  No

9. Has any officer or executive of the business been convicted or is under indictment for a felony?  Yes  No

10. Has the Business ever been declared "not responsible" for the purpose of any governmental agency contract award?  Yes  No

11. Has the Business been debarred, suspended, proposed for debarment, declared ineligible,

voluntarily excluded or otherwise disqualified from bidding, proposing, or contracting?

Yes  No

12. Are there any proceedings pending relating to the Business' responsibility, debarment, suspension, voluntary exclusion, or qualification to receive a public contract?  Yes  No

13. Has the government or other public entity requested or required enforcement of any of its rights under a surety agreement on the basis of a default or in lieu of declaring the Business in default?  Yes  No

14. Is the Business in arrears on any contract or debt?  Yes  No

15. Has the Business been a defaulter, as a principal, surety, or otherwise?  Yes  No

16. Have liquidated damages or penalty provisions been assessed against the Business for failure to complete work on time or for any other reason?  Yes  No

17. If a "yes" response is given under questions 7 through 16, please provide a detailed explanation including dates, reference to contract information, contacts, etc. (attach additional pages as necessary).

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18. Name and address of Surety Company to be used by the Business to provide applicable performance and payment bonds. \_\_\_\_\_

19. Does the Business maintain a drug-free workplace?  Yes  No

20. Does the Business have a safety program?  Yes  No

21. Does the Business have a quality control program?  Yes  No

**SAFETY INFORMATION** (Use additional pages as necessary.) **(Construction Only)**

1. Provide the Business's interstate Worker's Compensation Experience Modification Rate (EMR) for the last three (3) rating periods. This information is obtainable from the Business's insurance company(ies). If the interstate rating is unknown, obtain the intrastate EMR for the same periods.

Current policy year: \_\_\_\_\_ 1 Year previously: \_\_\_\_\_ 2 Years previously: \_\_\_\_\_

2. To verify the above, provide one of the following forms of documentation and submit it with this questionnaire. Check which form of documentation the Business is submitting.

- Certified letter from the Business's insurance company(s) verifying the EMR
- Photocopy of the Business's EMR calculation sheets for the last three (3) rating years
- Photocopy of the Business's insurance policy identifying the modification rate and coverage period for the last three (3) years

3. Is the Business self-insured for Worker's Compensation?  Yes  No

4. Provide the following information about the Business's OSHA recordable, reportable, and non-reportable incidents and inspection reports for the last three (3) years, and submit it with this

questionnaire:

- a. Copies of the Business's OSHA Form 200/300 or state equivalent reporting form.
- b. Number of violations issued by the Department of Labor (OSHA), an explanation of violation type (e.g., willful, serious, de minimis, repeat, etc.), penalty assessed, status, and measures taken to prevent incident(s) from recurring.

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- c. Approximate number of "non-reportable" first aid/one time treatment injuries or incidents.

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- 5. For the last three (3) years, provide the approximate number of incidents, e.g., injuries, fatalities, and vehicle accidents involving subcontractor employees while operating on projects the Business managed.

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- 6. For the last three (3) years, provide the total number of citations/violations issued by any other federal, state and/or municipal authority including, but not limited to, the Tennessee Department of Environment and Conservation (TDEC), Tennessee Bureau of Worker's Compensation (BWS), City of Memphis, etc. Provide violation date(s), a brief explanation and current status of each violation (attach additional pages as necessary).

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- 7. Provide brief synopsis of the Business's safety education and training programs, safety incentive programs, modified duties and return to work programs, corporate safety team compositions and hierarchy (use additional pages as necessary).

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- 8. If the Business has performed work involved with or immediately adjacent to active railroad systems within the last three (3) years, provide (or submit, as applicable) the following information, if not otherwise requested elsewhere in this questionnaire.

- a. Name of governing railroad, location, and type of work performed.

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- b. Detailed explanation of any accidents/incidents that affected rail movement/operations, involved injuries to railroad employees, or damage to facilities and/or equipment.

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- c. Current copy of the Business's safety programs/plans directly related to work on or around railroads, e.g., "On-Track" safety programs/plans, Roadway Worker Protection (RWP) program, etc.

- d. Total number of Federal Railroad Administration (FRA) citations issued. Provide violation date(s), a brief explanation, current status of each violation, and measures taken to prevent incident(s) from recurring.

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I, individually and on behalf of the business named in this Business Questionnaire, do by my signature below, certify that the information provided in this questionnaire is true and correct. I understand that any false statements or misrepresentations regarding the Business named above may result in: 1) termination of any or all contracts which MATA has or may have with the Business; 2) disqualification of the Business from consideration for contracts; 3) removal of the Business from MATA's bidders' list; or/and 4) legal action(s) applicable under federal, state or local law. I also understand that if awarded a contract under this solicitation, I am responsible for updating this document noting any changes within ten days following the change.

Printed Name: \_\_\_\_\_ Title: \_\_\_\_\_

Signature: \_\_\_\_\_ Date: \_\_\_\_\_  
(Owner, CEO, President, Majority Stockholder, or Designated Representative)

### AUTHORIZATION FOR RELEASE OF FINANCIAL INFORMATION

This authorization will be used to obtain information to assist MATA in determining a potential contractor's financial responsibility. Your signature authorizes the release of financial information to the MATA's Procurement Department for this purpose. All information must be current and traceable. Each venturer of joint venture must submit a separate signed form.

This authorization form shall be submitted in accordance with the applicable provision(s) as requested. MATA reserves the right to make additional inquiries based on information submitted, or the lack thereof.

_____ Name of Bank/Financial Institution	_____ Account Number
_____ Address	_____ Account Type: e.g., Savings, Checking, Other (Identify)
_____ City, State, Zip Code	
_____ Name of Bank Officer Familiar with the Account	
_____ Telephone	_____ Fax
_____ E-mail Address	
_____ Name of Business	_____ Address
_____ City	_____ State
	_____ Zip Code

I, individually and on behalf of the business named above, do by my signature below, certify that the information provided is true and correct, and authorize the release of financial information for verification of financial responsibility. I understand that any false statements or misrepresentations regarding the Business named above may result in: 1) termination of any or all contracts which MATA has or may have with the Business; 2) disqualification of the Business from consideration for contracts; 3) removal of the Business from MATA's bidders list; or/and 4) legal action(s) applicable under federal, state, or local law.

Printed Name: \_\_\_\_\_ Title: \_\_\_\_\_

Signature: \_\_\_\_\_ Date: \_\_\_\_\_  
(Owner, CEO, President, Majority Stockholder, or Designated Representative)

**MEMPHIS AREA TRANSIT AUTHORITY  
SUPPLY AND SERVICE CONTRACT - SAMPLE**

**CONTRACTOR:** \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**CONTRACT NO:** \_\_\_\_\_

**CONTRACT DATE:** \_\_\_\_\_

**CONTRACT FOR:** \_\_\_\_\_

**CONTRACT PRICE:** \$ \_\_\_\_\_

THIS CONTRACT made and entered into at Memphis, Tennessee on the above date by and between MEMPHIS AREA TRANSIT AUTHORITY (hereinafter called "the AUTHORITY"), party of the First Part, a public transportation system and transit authority organized and existing under and by virtue of the laws of the State of Tennessee and of the City of Memphis, Tennessee, a municipal corporation and the above-named CONTRACTOR, party of the Second Part.

The Authority, pursuant to law, has solicited and received quotes, bids or proposals for furnishing the supplies and services herein described, and has heretofore accepted the quote, bid or proposal submitted by the Contractor. In consideration of the covenants contained herein, the sufficiency of which is hereby acknowledged, the Contractor agrees to perform this contract in strict accordance with standards and specifications of the Authority upon which quotes, bids or proposals were invited and the conditions set forth herein.

The following documents are part of this contract:

IFB No. \_\_\_\_\_, including any and all Addenda and Change Orders, General Provisions, Specifications, and Conditions and the Bid is incorporated herein and made part of this contract.

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

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

**MEMPHIS AREA TRANSIT AUTHORITY**

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

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

SAMPLE

**MEMPHIS AREA TRANSIT AUTHORITY**  
**CONTRACT CHANGE ORDER - SAMPLE**

**CONTRACT NO** \_\_\_\_\_ **CHANGE ORDER NO:** \_\_\_\_\_ **FTA GRANT NO:** \_\_\_\_\_

**DATE:** \_\_\_\_\_ **CONTRACT DATE:** \_\_\_\_\_

**CONTRACT FOR:** \_\_\_\_\_

\*\*\*\*\*

**TO:** \_\_\_\_\_

You are directed to make the changes specified in the subject contract; as authorized by the **MEMPHIS AREA TRANSIT AUTHORITY.**

**BY:** \_\_\_\_\_ **TITLE:** Director Of Grants **EFFECTIVE DATE:** \_\_\_\_\_

\*\*\*\*\*

**NATURE OF CHANGE:** \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**TOTAL AMOUNT OF THIS CHANGE ORDER:** \_\_\_\_\_ **\$** \_\_\_\_\_

\*\*\*\*\*

THE CHANGES RESULT IN THE FOLLOWING ADJUSTMENT OF CONTRACT PRICE AND CONTRACT TIME:

Original Contract Price	\$ _____
Previously Executed Changes (0)	\$ _____
Contract Price Prior to This Change	\$ _____
Net Increase/(Decrease) From This Change	\$ _____
Current Contract Price Including This Change	\$ _____
Contract Time Prior to This Change	_____
Net Increase/(Decrease) From This Change	_____
Current Contract Time Including This Change	_____

\*\*\*\*\*

The Above Changes are Accepted: \_\_\_\_\_  
Company

**BY:** \_\_\_\_\_ **TITLE:** \_\_\_\_\_ **DATE:** \_\_\_\_\_