

Lehigh and Northampton Transportation Authority Purchasing Policies & Procedures



**Adopted: January 4, 2013
Revised: August 20, 2019**

Revision History:

- **January 4, 2013:** Board approved LANTA's new Purchasing Policies & Procedures
- **December 12, 2017:** Board approved changes to Procurement Policies, Small-Business Program, and DBE Program include:
 - Thresholds updated for Micro-Purchases (\$3,500) and Small Purchases (\$150,000) to reflect provisions from the FTA Uniform Guidance.
 - LANTA's Standard of Conduct amended to include immediate family members of Employees, Officers, Agents, and Board Members.
 - [Small Business Program](#) changes, including technical updates and additional consideration now being provided to certified Small Businesses during procurements.
 - [Disadvantaged Business Enterprise](#) (DBE) Program changes, including technical updates and Prompt Payment provisions, whereby Prime Contractors must pay subcontractors within 15 days from the receipt of each payment received from LANTA.
- **August 21, 2018:** Board approved changes to Purchasing Policies & Procedures include:
 - [Rolling Stock Requirements](#) updated to:
 - Clearly express Transit Vehicle Manufacturer (TVM) reporting requirements for DBE compliance, Federal Motor Vehicle Safety Standard's (FMVSS) and Purchase Requirements certification requirements, and Buy America requirements' applicability to Joint Procurements and Purchasing from the PA Purchasing Schedule.
 - Incorporate Minimum Service Life and Spare Ratio policies
 - Require In-Plant Inspectors, when purchasing >10 buses or modified vans.
 - FTA Terms and Conditions updated in [Appendix 4](#).
 - Commonwealth of Pennsylvania Provisions updated in [Appendix 3](#).
 - Subrecipient and Contractor Oversight Procedures updated and an expanded Contractor Monitoring Checklist included to ensure Third Party Contractor compliance with FTA terms and conditions in [Appendix 12](#).
- **April 9, 2019:** Board approved changes to Procurement Policies & Procedures include:
 - Procurement threshold requiring Executive Director approval lowered from \$25,000 to \$20,000.
 - Contract Management Policy and Procedures established and a Contract Management Matrix has been added to the sample forms in [Appendix 11](#).
 - Contract Execution Policy adopted in accordance with existing LANTA Board of Director's by-laws and resolutions.
 - RFQ procedures added to methods of procurement.
 - Procurement Documentation Checklist updated to provide consistency with the Procurement File – A Written Record of History
 - Sample contract added in [Appendix 2](#).
 - Commonwealth of Pennsylvania Contractor Non-Discrimination/Sexual Harassment Clause updated in [Appendix 3](#).
- **August 20, 2019:** Board approved changes to Procurement Policies & Procedures include:
 - Clarification of scenarios prompting LANTA's responsibility to notify the FTA of bid protests and the relevant procedures updated in [Appendix 7](#).
 - Procurement Request Form updated to ensure documentation of consideration of project specific DBE participation goal by DBELO in [Appendix 11](#).
 - Procurement Documentation Checklist updated in [Appendix 11](#).



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I. MANAGEMENT STRUCTURE

Statement of Purpose

The purchasing and materials management function are considered only as support functions to the Lehigh and Northampton Transportation Authority's ("LANta," the "Authority") primary mission of providing quality public transportation services. This does not, however, indicate that the purchasing function should not be taken seriously or that it is unimportant to the overall success of LANTA. Toward this end, purchasing at LANTA is meant to accomplish a number of goals. These are as follows:

1. To support transit operations with an uninterrupted supply of goods and services.
2. To make purchases in an environment of fair and open competition with a focus on product value.
3. To keep inventory investment and inventory losses to a practical minimum.
4. To maintain adequate sources of supply to assure constant availability of goods and adequate competition.
5. To assure that suppliers perform in accordance with the terms and conditions of their purchase agreements.
6. To maintain an atmosphere of honest and ethical conduct avoiding both actual and perceived conflicts of interest.

Board of Directors' Perspective

The importance of the purchasing function is highlighted with the amount of attention it receives from the highest level of the organization - the Board of Directors. Significant purchases of goods and services must be approved by the Board.

The LANTA Board supports the above stated purchasing goals. Further, it has adopted a formal "procurement policy" that shall govern Authority purchasing. This procurement policy is outlined within.



Organization of the Purchasing Function

Because LANTA has no centralized Purchasing Department, purchasing functions are shared among several individuals. The responsibilities of each individual are outlined as follows:

Board of Directors – Approves annual operating and capital budgets. Approves all purchases in excess of \$150,000 in accordance with Board-adopted policy.

Executive Director – Has executive oversight of the purchasing function, including the responsibility to assure that all policies and procedures are in accordance with pertinent laws and regulations. Review and approve all purchases between \$20,000 and \$150,000. Final authority for bid protests. Responsible for development of the Authority's annual capital plan that dictates long range purchasing planning for capital assets. Responsible for pre-purchase planning including the development of purchasing schedules.

Director of Finance & Administration – Responsible for assuring that purchasing procedures and reporting are organized within accepted accounting standards. Approves all purchases between \$3,500 and \$20,000. Responsible for payment processing and purchasing reporting to outside agencies on such issues as Disadvantaged Business Enterprise and record keeping with direct supervision of the Inventory Specialist.

Senior Director of Capital Asset Planning & Maintenance, Director of Facilities & Fleet Maintenance, Director of Operations, Director of Paratransit Services, and the Director of LANtaBus Rider Experience – Can approve non-routine purchases under \$3,500 and routine purchases under \$20,000.

Administrative Services Manager – Responsible for oversight of LANTA's procurement and managing purchasing at the authority. The position maintains LANTA's vendor database and serves as the designated staff person for posting all RFPs, IFB/ITB, RFQs, and any other procurement postings. The position also ensures all bids/proposals are responsive, before they can be evaluated by bid committees and reviews invoices to ensure procurement procedures have been followed, before payment can proceed.

Procurement & Inventory Specialist – Responsible for maintaining appropriate levels of inventory in the Maintenance area, primarily with maintenance inventory and repairs. Orders routine purchases. Conducts receiving inspections on goods received. Enters received supplies into inventory system. Maintains purchasing information system, including inventory and vehicle/facility records.

Although the positions above have primary responsibility for purchasing, certain other positions in the organization also play an important role. For instance, all Department Heads are responsible for initiating purchasing requests within their departments and assuring the quality of goods and services received. In addition, the Inventory Specialist has primary responsibility for the purchasing and inventory of office supplies.



Ethics in Purchasing

The purchasing function has more potential for creating conflicts of interest and impropriety (both real and perceived) than almost any other area of the Authority's operations. As a result, all employees involved in purchasing and vendor management must go out of their way to avoid such an interpretation by other employees, suppliers, or the public at large. Important to this line of thinking is one fact: even if what you are doing, is legal, if it could be perceived as improper by the general public, **IT IS WRONG!** Two benchmarks for testing whether an action meets this criterion may be helpful:

1. If I am deriving a benefit directly through my involvement in the purchasing function, could a member of the general public get the same benefit? An example that might fall under this benchmark would be the practice of taking volume discounts extended by vendors to the Authority for personal purchases. These discounts would not be available to you without your Authority affiliation.
2. Would I be pleased to see a description of my activities printed in the newspaper? This gets back to the "perception" of conflict. Even if the law (or for that matter, company policy) does not prohibit an action, it may still be wrong if the general public thinks less of the Authority as a result of your actions. Examples here would be accepting gifts from vendors.

The Authority has adopted two policies pertaining to ethics in purchasing: the [Code of Conduct](#) and the [Code of Ethics](#) that provide for disciplinary action for conflict of interest violations by the LANTA's officers, employees, or agents, or by contractors or subrecipients or their agents to the extent permitted by state or local law or regulations. All individuals associated with the organization, from the Chair of the Board of Directors to the frontline employees, receive training, and are required to sign documentation acknowledging their training and affirming their commitment to abide by the policies. The policies are introduced and reviewed in the new hire orientation. These policies provide the framework for sound judgment of those employees involved in the purchasing function to make sure that proper business dealings are pursued. Additionally, the policies provide all the guidance to identify and report potential issues. In addition to the policies, the following general guidelines that may be applied:

1. Treat all sources in an equal and equitable manner. There should be no favoritism applied toward any vendor, neither during procurement nor during the course of doing business with that vendor. Likewise, there should be no negative treatment of vendors, regardless of their past experience with the Authority, except as specifically documented in this manual and in formal purchasing solicitations.
2. Maximize full and open competition. Only when all suppliers perceive that they have an equal opportunity to obtain our business can we get the best product at the best price. Restricting competition can be found in the compilation of proprietary specifications, imposition of unreasonable contract terms or failure to respond to serious supplier inquiries and requests.
3. Establish an "arm's length relationship" with suppliers. This is a variation on the principle of equal treatment that bears repeating. Once a supplier believes that we prefer a particular vendor, it becomes impossible to promote competition. The "preferred" vendor feels no incentive to "sharpen their pencil," and any vendors who perceive preference will decline to participate in our solicitations.



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4. Respond promptly and consistently to vendor requests for information. Keep in mind that consistency means the same way with each vendor.
5. Do not seek to take advantage of an "honest mistake" made by a vendor or to bury significant contract provisions where they are unlikely to be found.
6. Always award business in accordance with the terms and procedures outlined in solicitation documents. If an award is to be based on low price, do not change the "rules of the game" after bids have been submitted and seek to evaluate on any other factor.
7. Do not take personal advantage of "trade discounts" offered by vendors. A trade discount is an amount by which the catalog price of an item is reduced when sold to LANta. Trade discounts are generally offered to limit purchasing competition.
8. The issue of gifts and gratuities is one that bears careful examination. The distribution of promotional materials (i.e.: baseball caps, coffee mugs, etc.) has been standard industry practice for a number of years. Caution must be exercised in this area. It will be the policy of LANTA that:
 - a. No promotional material or gift, with a retail value in excess of \$25.00 may be solicited nor accepted at any time by any officer, employee, agent, or board member of the Authority from a current or prospective vendor or parties to subcontracts.
 - b. During the course of an active procurement (from specification development through contract award), no token of any value may be accepted from a vendor in the business being purchased through the active offering.
9. In the event an employee with purchasing responsibility becomes aware of a conflict of interest with a vendor with whom they may do business, such conflict must be disclosed to either the Executive Director or Chairperson of the Board of Directors immediately. In such case, the responsibility for that vendor relationship will be removed from the affected employee. **Conflict of interest exists when any employee, member of his/her immediate family, partner, or any organization that employs or is about to employ any of the above has a financial or other interest in the firm selected for a contract award.**
10. Control trade secrets and other confidential information provided by vendors or contractors when it relates to their technical, financial, and/or operational abilities.



II. PRE-PURCHASE PLANNING

Determining Need

The most critical function of purchasing at LANTA is assuring a constant flow of essential goods and services necessary for supporting transit operations. This goal can only be met through proper planning. Underestimating need can result in inventory shortages when items are needed most. Overestimating need can result in wasted organization resources through exorbitant carrying costs.

Determining the need for purchases varies in terms of both who is responsible and the methods for evaluating need depending on the nature of the item. Although not exhaustive, Table 1 below displays a listing of several categories of Authority purchases that make up the majority of the value of goods and services purchased.

Product Category	Primary Responsibility	Tools
Maintenance Supplies	Director of Facilities & Fleet Maintenance	Inventory Usage, Stock Status and Reorder Reports
Office Supplies	Procurement & Inventory Specialist	Department requests
Public Information Inventory – Fixed Route	Director of LANtaBus Rider Experience	Usage
Public Information Inventory – Paratransit	Director of Paratransit Services	Usage
Operating Services	Senior Director of Capital Asset Planning & Maintenance Director of Finance & Administration Director of Facilities & Fleet Maintenance	Need, Departmental requests
Professional Services	Senior Director of Capital Asset Planning & Maintenance Director of Finance & Administration	Need / Usage
Capital Assets	Director of Finance & Administration	Fixed Assets Listing, Departmental requests, Annual capital plan Physical Inventory & TAM Plan
Construction Projects	Senior Director of Capital Asset Planning & Maintenance Director of Finance & Administration	Need, annual capital plan

Table 1 - Purchase Planning Tools



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PURCHASE/PROCUREMENT REQUEST

Submitted by: _____

Signature: _____

Date: _____

- Please describe the item or service to be procured as well as quantity:

- If you know the funding source to be used for this procurement, please list it. If not, please leave blank.

- Initial estimate of total cost of procurement (to be completed by Admin Services Manager):

- Justification for purchase:

Do you want to consider factors other than cost? Yes _____ No _____

Will you need to have discussion with bidders/proposers after receipt of proposals but prior to award?
Yes _____ No _____

Concurrence on Capital Grant Use		Concurrence on Op Budget Use		Approval to proceed to procurement process		
DFA		DFA		Estimate \$3,500-\$19,999	DFA	
SDCAPM				Estimate over \$20,000	ED	

Department Director Approval: _____ Date: _____

DFA/SDCAPM/ED: _____ Date: _____



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All of the persons identified above have primary responsibility in their area to avoid the purchase of unnecessary or duplicative items. In the event procurement includes "optional items," such additional items will be in a quantity of not more than 50% of the base quantity. In general, options should not be used and, in particular may not be used when:

1. Projected requirements involve economic order quantities that make option pricing abnormally high.
2. The item is readily available on the open market.
3. There is undue risk on the part of the vendor in holding an option open.
4. Current market prices are unstable.
5. For maintenance supplies (parts, lubricants, etc.), the Director of Facilities & Fleet Maintenance is primarily responsible for assuring that sufficient stock is maintained to continue operation of the fleet. The Procurement & Inventory Specialist will support the Director of Facilities & Fleet Maintenance in this area. Specific attention must be paid to those items that require long lead-time in ordering. The Director of Facilities & Fleet Maintenance should constantly be looking for:
 - a. Slow moving articles.
 - b. Alternate sources for particular items.
 - c. Instances where revenue equipment must be held from service for lack of parts.
 - d. Parts and supplies available locally on a "drop-in" or same day delivery basis.

Using these experiences, as well as recommended spare parts listings from manufacturers, as a guide the Director of Facilities & Fleet Maintenance shall make sure that the level of inventory is adequate to keep the fleet running on a continual basis while refraining from binding essential organizational resources in unnecessary inventory.

The Administrative Services Manager shall have primary oversight responsibility for purchasing and procurement, in addition to processing small and micro-purchases, while the Procurement & Inventory Specialist shall be responsible for maintaining an adequate inventory of office supplies, and the Director of LANtaBus Rider Experience shall have primary responsibility for public information for fixed-route services and the Director of Paratransit Services shall have primary responsibility for public information for paratransit services. To the maximum extent practical, these purchases shall be coordinated company-wide to promote efficiency. Routine turnover items (pens, paper, etc.) will be monitored by the Procurement & Inventory Specialist to assure prompt reorder. All other items will be purchased only upon submission of an approved request from a department director.

In terms of printed public information, the Director of LANtaBus Rider Experience will monitor turnover of such materials as timetables, route maps, and brochures to assure a constant supply. Route by route analysis shall also be monitored to assure the most efficient ordering quantities. The Director of LANtaBus Rider Experience will coordinate changes in public information among appropriate persons within the Authority and will be responsible for the accurate interpretation of this information by the printing vendor.



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Operating Services are the overall responsibility of the Executive Director with support from the Director of Finance & Administration and/or the Director – Facilities & Fleet Maintenance. Operating services fall into two categories:

1. Ongoing services (insurance, fuel, tires, computer service, legal, audit, etc.)
2. As-needed services (software development, security services, etc.)

Ongoing service needs will be based on operating schedules to assure timely solicitation of proposals. All other services shall be based on departmental requests and justification.

Capital Asset purchasing requires the most advance planning as a result of the funding streams that finance these projects. The timeline for capital project development is as follows:

March - Departments submit capital equipment requests for the following year.

April - Executive Director reviews project justifications for inclusion in capital program.

May - Program of Projects advertised for public comment and grant applications prepared.

June - Capital program submitted to Board of Directors for approval.

As Needed - Grant application submitted to FTA.

Within 60 Days of Application - Grant award made by FTA. Project purchasing activities begin based on pre-award authority ability.

Every 2 years - Capital program submitted to MPO Commission for inclusion in Transportation Improvement Program (TIP) based on Board approved program of projects/multi-year capital planning.

Planning for all other categories of purchasing will vary depending on the nature of the item(s). The above categories, however, make up the overwhelming value of goods and services purchased by LANTA.

A complete, adequate, and realistic specification or purchase description must be available for every procurement transaction.



III. PROCUREMENT DEVELOPMENT

Competition

1. All procurement transactions will be conducted via PennBid in a manner providing full and open competition. Some situations considered to be restrictive of competition include, but are not limited to:
 - a. Unreasonable requirements placed on firms in order for them to qualify to do business;
 - b. Unnecessary experience and excessive bonding requirements;
 - c. Noncompetitive pricing practices between firms or between affiliated companies;
 - d. Noncompetitive awards to any person or firm on retainer contracts;
 - e. Organizational conflicts of interest. An organizational conflict of interest means that because of other activities, relationships, or contracts, a contractor is unable, or potentially unable, to render impartial assistance or advice to the grantee; a contractor's objectivity in performing the contract work is or might be otherwise impaired; or a contractor has an unfair competitive advantage;
 - f. Specifying only a "brand name" product instead of allowing "an equal" product to be offered without listing its' salient characteristics.
2. Prohibition Against Geographic Preferences. Procurements shall be conducted in a manner that prohibits the use of statutorily or administratively imposed in-State or local geographical preferences in the evaluation of bids or proposals, except in those cases where applicable Federal statutes expressly mandate or encourage geographic preference. This does not preempt State licensing laws. However, geographic location may be a selection criterion in procurements for architectural and engineering (A&E) services provided its application leaves an appropriate number of qualified firms, given the nature and size of the project, to compete for the contract.
3. Written Procurement Selection Procedures. Written selection procedures will be developed for procurement transactions. All solicitations shall:
 - a) Incorporate a clear and accurate description of the technical requirements for the material, product, or service to be procured. In competitive procurements, descriptions of technical requirements shall not contain features that unduly restrict competition. The description may include a statement of the qualitative nature of the material, product, or service to be procured and when necessary, shall set forth those minimum essential characteristics and standards to which it must conform if it is to satisfy its intended use. Detailed product specifications should be avoided if feasible. When it is impractical or uneconomical to make a clear and accurate description of the technical requirements, a "brand name or equal" description may be used as a means to define the performance or other salient characteristics of a procurement. The specific features of the named brand, which must be met by proposers, shall be clearly stated.
 - b) Identify all requirements that proposers must fulfill and all other factors to be used in evaluating bids or proposals.
4. Prequalification Criteria. LANTA staff will ensure that all lists of prequalified persons, firms, or products that are used in acquiring goods and services are current and include enough qualified sources to ensure maximum full and open competition. No potential bidders will be precluded from qualifying during the solicitation period, which is from the issuance of the solicitation to its closing date.

Procurement Method

The method by which goods and services are procured is dictated by internal Authority purchasing policies as adopted by the Board of Directors, as well as governmental requirements. Once need is established, the next step is to determine the appropriate purchasing technique. The table below is presented as a guideline:

Procurement Method	Criteria	Criteria	Examples
Micro-Purchase	no quote required	Value of goods/services procured is less than \$3,500.	Office supplies
Small Purchase	Documented quotes – minimum of two (2) quotes unless Executive Director requires 3 quotes	Value of goods/services procured is between \$3,500 and \$150,000. Item carries a warranty.	Computers Power tools Electronics
RFQ	Distributed to at least three (3) potential vendors	Professional Services less than \$20,000 that do not relate to construction.	
IFB	Lowest Bidder Formal Advertising, Firm Fixed Price Contract	Goods/services that can be completely defined on paper with a dollar value in excess of \$24,999.99.	Vehicles Construction Fuel
RFP	Request for Proposal, Formal Advertising, Firm Fixed Price Contract	Professional services where supplier qualifications and experience are an important part of determination.	Professional Services: <ul style="list-style-type: none"> • Auditing • Legal • Marketing Contracted Services <ul style="list-style-type: none"> • Insurance Brokerage • Printing
Sole Source	Cost Analysis; Sole Source Justification	Item only available from one source.	Service Agreements for ATMS or Farebox Equipment
A&E: Qualifications-Based Procurement	“Brooks Act” Procedures for services related to “Construction.”	Professional services related to or leading to “Construction.”	<ul style="list-style-type: none"> • Architectural & Engineering Services; • Construction Management; • Surveying or Mapping; • Feasibility Studies; • Design

Table 2 - Procurement Method



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The following general procedures will apply to each of the above procurement methods. In addition, LANTA can purchase from the State Contracts. State Contracts is a program sponsored by the Commonwealth of Pennsylvania whereby certain commonly used goods are bid out in bulk quantities. Great care must be given to ensure that when using Federal funds that the State procurement process meets the FTA purchasing requirements set forth in FTA Circular 4220.1F based on the procurement type. When applicable, further competitive procurement is not required, as items on the state contract have been pre-bid by the Commonwealth. However, LANTA must ensure there is an assignability clause as part of the contract and determine that the contract pricing is fair & reasonable through a price analysis (See Attachment). The contract file must be documented with how this determination was made, to include any supporting documentation. Note: When using Government funding LANTA is eligible to use GSA Advantage but are still required to determine that the contract pricing is "Fair & Reasonable."

Micro-Purchase Procedure – Under \$3,500 – Does not apply to warrantied items

1. Purchase requests are initiated by staff and must be approved by their Department Director.
2. Purchase order is produced by Administrative Services Manager or Inventory Specialist.
3. Order is placed with selected vendor. Depending on circumstances, multiple quotes should be obtained verbally. No quote is required; however, sources should be evaluated to assure fairness and full knowledge of prevailing prices.
4. Exempt from Buy America.
5. There should be equitable distribution among qualified suppliers and no splitting of procurements to avoid competition.
6. The Davis-Bacon Act applies to construction contracts over \$2,000.
7. A determination that the price is fair and reasonable and how this determination was derived should be included and documented in the procurement file.

Small Purchase Procedure – Value between \$3,500 and \$150,000

1. Purchase request approved by Department Director.
2. Two quotes minimum, unless Executive Director requires three quotes, to be solicited in writing or by phone by Administrative Services Manager. Quotes and sources are documented for file.
3. Purchase order is produced by Administrative Services Manager or Inventory Specialist.
4. Order is placed with selected vendor.
5. Exempt from Buy America.



Request for Quotes - RFQ

A Request for Quotes (RFQ) is a solicitation document that seeks documented cost/price quotations that can be used for professional services, including both contracted transit services and consulting services, or goods and materials. The basic format for a RFQ provides a solicitation schedule, evaluation criteria, terms of the procurement contract, applicable federal and state required clauses, qualifications and/or specifications, and any signature pages required. The RFQ is distributed to at least three (3) potential vendors or contractors to garner competition. A Request for Quotes will be used for Small Purchases between \$3,501 and \$20,000. For Small Purchases beyond the threshold of \$20,000, more formalized procurement and solicitation methods shall be utilized, including public advertisement.

Invitation for Bid - IFB

Invitation for Formal Bid is used when a complete, adequate, and realistic specification or purchase description is available; two or more responsible bidders are willing and able to compete effectively for the business; the procurement lends itself to a firm fixed price contract and the selection of the successful bidder can be made principally on the basis of price; and, no discussion with bidders is needed. If this procurement method is used, the following requirements apply:

1. The Administrative Services Manager will develop an Independent Cost Estimate (ICE) before posting an Invitation for Formal Bid and before receiving bids or proposals.
2. The invitation for bids will be publicly advertised and bids shall be solicited from an adequate number of known suppliers, providing them sufficient time to prepare bids prior to the date set for opening the bids;
3. The invitation for bids, which will include any specifications and pertinent attachments, shall define the items or services sought in order for the bidder to properly respond;
4. All bids will be publicly opened at the time and place prescribed in the invitation for bids;
5. As an element of responsiveness, the Administrative Services Manager will conduct a SAM (System Award Management) check of all bidders, along with checking to ensure that no bidders are listed on the Pennsylvania Department of General Services Debarment List.
6. The Administrative Services Manager in coordination with the project manager will conduct a cost and/or price analysis of the bids received and will compare the bids received to the estimated cost calculated in the Independent Cost Estimate (ICE).
7. A firm fixed-price contract award will be made in writing to the lowest responsive and responsible bidder. When specified in bidding documents, factors such as discounts, transportation costs, and life cycle costs shall be considered in determining which bid is lowest;
8. Payment discounts will only be used to determine the low bid when prior experience indicates that such discounts are usually taken advantage of; and,
9. Any or all bids may be rejected if there is a sound documented business reason.



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7. The sealed bid method is the preferred method for procuring construction if the conditions in paragraph above apply.
8. Specifications for the product or service are developed by those individuals most familiar with the item. For example, the Executive Director and Director – Maintenance/Materials would be primarily responsible for development of vehicle specifications. A complete, adequate, and realistic specification or purchase description must be available.
9. Specifications must be written around minimum needs for the product or service, must be specific enough to allow comparable bids, and must not be unduly restrictive (i.e.: if the specification eliminates certain products, the minimum need of LANTA eliminating that product from competition must be documented. The vendor should be able to resubmit an acceptable product within the allotted bid timeframe.) Specifying particular components, a brand name, should be avoided unless impractical or uneconomical. If a brand name must be used, the words "or approved equal" must follow.
10. Solicitation Document Development - The solicitation document is the document distributed to interested parties giving them details on the procurement. The specification is part of this solicitation document. In general, this document includes the following sections:
 - a. Cover Sheet (same as advertisement).
 - b. Instructions to Bidders (sample contents contained in [Appendix 6](#)). Among its other contents, this section should detail payment terms for the item. Normal LANTA payment terms are Net 30 days from receipt and these terms should be noted in the solicitation documents. Under no circumstances will advance or down payments be made. Progress payments may be made if the purchase is of such nature that the vendor will incur costs during the project period prior to completion that will have a significant impact on its working capital. If progress payments are used, the timing of payments must be timed to the actual completion or delivery of certain work tasks that become the property of the LANTA.
 - c. Technical Specifications.
 - d. General Conditions:
 - i. Circular 4220.1F is [Appendix 1](#);
 - ii. A sample contract is contained in [Appendix 2](#);
 - iii. Commonwealth of Pennsylvania requirements are contained in [Appendix 3](#);
 - iv. FTA Third Party Contract Requirements are contained in [Appendix 4](#);
 - v. Sample Instructions to Bidders are contained in [Appendix 5](#).
 - e. Submission forms and basis for award.
11. Advertising for Bids - Bids must be advertised as set forth in Parts I and III of this policy. A certification of the advertisement received from the appropriate periodical. For generic items (ie: computers, construction, etc.) advertising locally is sufficient. Advertisements may be placed in The Morning Call and The Express Times newspapers. Advertisements must appear (and solicitation documents be available) no later than 30 days prior to the scheduled bid opening. The Administrative Services Manager maintains a list of contacts at each of the newspapers for placing these advertisements. In the case of more transit specific products (i.e.: buses, passenger waiting shelters, etc.), an advertisement should be placed in "Passenger Transport." Please keep in mind that publication in "Passenger Transport" has a two-week lead-time.



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12. In addition to mailing solicitation documents to individuals responding to advertisements, active vendor listings for products are to be maintained by the individual coordinating the purchase. Documents should be sent to these firms on the publication date of the advertisements without need for a call in response to an ad.
13. Pre-Bid Conference - In general, a pre-bid conference should only be scheduled when the procurement is of a high dollar volume (>\$100,000) and/or the solicitation documents are sufficiently complicated to warrant further explanation. In cases where a pre-bid conference is to be scheduled, the bid advertisement shall indicate time and place. Following completion of the conference, a document summarizing major points and responses to vendor questions shall be drawn up and distributed to all vendors on the distribution list, regardless of whether or not the vendor was at the conference. In no case will a vendor's bid be disallowed for failure to attend the pre-bid conference.
14. Post-Award Conference - The primary objective of the debriefing is to help the proposer improve its chances of success on future proposals, and not to defend the agency's selection decision. This is also a chance to give a summary of the rationale for the selection decision, as well as providing reasonable responses to relevant questions about whether the evaluation procedures contained in the solicitation were followed.
15. Approved Equals - For significant purchases of equipment (ie: vehicles, computer systems, etc.) a formal approved equals process shall be used. When this process is used, the formal advertisement date must be a minimum of 45 days prior to bid opening, with 60 days being preferred. In the solicitation document, the approved equals' process will be explained. Equals are to be submitted by vendors no later than 28 days prior to bid opening with responses issued by LANTA no later than 14 days prior to bid opening. Approved equals are to be reviewed by the same group of employees who developed the technical specifications. If proposed "equals" are not approved the file should be documented with the determination and notice to the vendor. The vendor should be provided an opportunity to resubmit within the bid timeframe.
16. Handling of Protests -Either prior to bid opening or immediately thereafter, prospective bidders may protest some element of the bidding process or the subsequent award. In such cases, LANTA's bid protest procedure contained in [Appendix 7](#) must be followed. At the time of the protest, all activity on the procurement must be suspended until resolution of the protest unless, in the opinion of the Executive Director, suspending the process would not be in the best interest of LANTA. The Executive Director must notify FTA and document in the contract file.
17. Bid Opening - Bid openings are to be considered formal. They are to start promptly at the time indicated on the advertisement. A sign-in sheet should be maintained, as well as a tabulation sheet summarizing the bid submitted by each participating vendor. All bids are to be opened and read aloud at the bid opening. All information is to be considered public and available for vendor inspection unless a submitting vendor indicates (in writing) that materials contained in the proposal are proprietary in nature and may not be released. In such case, documents should be turned over to the Authority Solicitor for opinion.
18. Responsive/Responsible Determination - Following determination of the apparent low bidder, the responsible employee must determine responsiveness and responsibility. For responsiveness, a



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careful examination of the technical aspects of the bid response must be carried out to assure compliance with the specifications. If there is a conflict between the vendor's proposal and the specification, a determination must be made as to whether the violation is material or non-material. A significant inconsistency (i.e. bid wrong size bus) should result in throwing out the bid as a material violation, as would failure to adhere to general conditions (Buy America, EEO, Affirmative Action and DBE.). Minor inconsistencies may be judged immaterial in the case of technical issues if avoidance of the inconsistency would not have changed the bid results. For example, specification requires stainless steel stepwell for van, vendor proposes aluminum. Upgrade to stainless steel would add \$400 to cost, vendor was low by \$1,000. Similarly, if a vendor neglects to sign an appropriate form in the tender, and this was a simple oversight, the vendor should be given the opportunity to correct the oversight.

19. Responsibility may be more difficult to determine. In general, the vendor must not be prohibited from bidding on government contracts. The SAM and the Commonwealth system for debarred parties should be checked to make sure the vendor is not on the excluded parties listing. A dated print-screen of the search results should be filed with the procurement documents. In addition, specifications should carefully consider experience, financial and insurance requirements. For these cases, vendors may be found non-responsible if they lack the minimum necessary experience. Finally, any vendor who is in a state of default to the Authority must be found non-responsible.
20. Contract Award - Upon determination that a low bidder is both responsive and responsible, that vendor should be notified with a written "Notice of Intent to Proceed." This notice has no weight and is simply intended to let the vendor know what is happening and when they can expect further action. At this time, all non-successful vendors should also be notified of that fact in writing. Upon adoption of the contract by the Board of Directors at their next meeting, a "Notice to Proceed" should be issued to the successful vendor. This provides the vendor with the authority to incur expenses on the project and begin to submit invoices in accordance with payment provisions. No invoices can be submitted for payment prior to the execution of the contract. It should also reference the solicitation documents and vendor proposal as guiding documents in lieu of a formal contract. If the notice to proceed is conditional, that fact should be so stated with the conditions included and timeframes for adherence. The notice to proceed should also lay out budget ceiling and schedule.

Request for Proposal-RFP

Request for Proposal is used for professional service and/or when it is impossible to specify an item in such a manner as to assure consistent bidding. PennBid will be used for all RFPs in which the process is similar in nature to formally advertised bidding with the following significant changes:

1. Projects will be reviewed by LANTA's DBE Liaison Officer, prior to solicitation to determine if a DBE participation goal shall be established for the construction, supplies, or services.
2. The Administrative Services Manager will develop an Independent Cost Estimate (ICE) before posting a Request for Proposals and before receiving proposals.
3. Solicitation documents and advertisement for bids must include the criteria on which proposals will be judged, as well as the relative importance of each of these criteria. The weightings of these



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criteria must be logical. These documents should also include the process that will be used to evaluate proposals (i.e. a committee of three people).

4. Proposals will be solicited from an adequate number of qualified sources via PennBid.
5. Price proposals as well as technical aspects of the proposal should be submitted via PennBid in order to avoid subconsciously placing more weight on price than is warranted.
6. Proposal opening is not a public process. Upon receipt of the proposals in PennBid, copies are distributed to committee members for individual evaluation. The facilitator prepares and distributes rating sheets for each member based on the published evaluation criteria. Upon completion of proposal rating, the committee meets and discusses outcomes to arrive at a group rating. Once the technical score is determined, prices are opened and inserted in the equation. Recommendation for award is made to the highest scoring responsive and responsible proposer. Aspects of formal bid opening such as timeliness of proposals is adhered to via PennBid. The process for receipt and opening of competitive proposals is not public. Prior to the evaluations, LANTA should address the confidentiality of the proposal with all the evaluators.
7. As an element of responsiveness, the **Administrative Services Manager** will conduct a SAM (System Award Management) check of all proposers, along with checking to ensure that no proposers are listed on the Pennsylvania Department of General Services Debarment List.
8. The Administrative Services Manager in coordination with the project manager will conduct a cost and/or price analysis of the proposals received and will compare the proposals received to the estimated cost calculated in the Independent Cost Estimate (ICE).
9. Awards will be made to the responsible firm whose proposal is most advantageous to the LANTA's program with price and other factors considered; and,
10. In determining which proposals is most advantageous, LANTA may award (if consistent with State law) to the proposer whose proposals offer the greatest business value to the Authority based upon an analysis of a tradeoff of qualitative technical factors and price/cost to derive which proposal represents the "best value" to LANTA. If the best value selection method is elected as the basis for award, however, the solicitation must contain language, which establishes that an award will be made on a "best value" basis.
11. Evaluation results of the committee do become public once they are final.
12. Protest Procedure: LANTA shall assure solicitation documents reflect the FTA's current bid protest procedures and policy. Since many contractors do not have a readily available copy of FTA Circular 4220.1, LANTA shall state FTA's current bid protest policy in each solicitation. Bidders wishing to protest bid openings or awards may do so by giving written notice to the **Administrative Services Manager** at LANTA. This notice must be given within (5) calendar days after bid opening or award. The protestor must state in writing the reason for protest and provide supporting documentation. If LANTA determines a bid opening should be postponed due to a Protest, all bidders will be notified in writing. LANTA's bid protest procedure contained in Appendix 7 must be followed. The **Executive Director** must notify FTA of bid protests and



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document in the contract file. All protests must be in writing, and filed directly with the Office of the Executive Director at:

Lehigh and Northampton Transportation Authority
1060 Lehigh Street
Allentown, PA 18103

and must contain the following information:

- a. The name, address and telephone number of the Protester; and
- b. Identity of the IFB or RFP (by number and description); and
- c. A detailed factual statement of the grounds for protest; and
- d. The desired relief, action, or ruling.

LANTA's Executive Director will respond in detail to each substantive issue raised protests within a reasonable time after a protest is filed. LANTA's response shall address only the issues raised originally by the Protester. When, on its face a protest does not state a valid basis for protest or is untimely, the Executive Director may summarily dismiss the protest without requiring a detailed response.

Two-Step Procurement Procedures

If permitted by State and local law, LANTA may use two-step procurement procedures in both sealed bid and competitively negotiated procurements, provided the opportunity for full and open competition is retained.

1. Review of Technical Qualifications and Approach. The first step is a review of the prospective contractors' technical approach to LANTA's request and technical qualifications to carry out that approach. LANTA then may narrow the competitive range to prospective contractors that demonstrate a technically satisfactory approach and have satisfactory qualifications.
2. Review of Bids and Proposals Submitted by Qualified Prospective Contractors. The second step consists of a Committee of at least three individuals in soliciting and reviewing complete bids (sometimes referred to as "two-step sealed bidding") or proposals (as in "competitive negotiations"), including price, submitted by each prospective contractor determined to be qualified. Absent exceptional circumstances, LANTA should attempt to solicit bids or proposals from at least three qualified prospective contractors. Unlike qualifications-based procurement procedures required for A&E services, LANTA must consider all bid or proposal prices submitted as well as other technical factors, rather than limiting reviews to the most qualified bidder or proposer.



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Architectural Engineering (A&E) Services and Other Services

LANTA shall use the qualifications-based competitive proposal procedures (i.e., Brooks Act procedures) when contracting for A&E services as defined in 40 U.S.C. §541 and 49 U.S.C. §5325(d). Services subject to this requirement are program management, construction management, feasibility studies, preliminary engineering, design, architectural, engineering, surveying, mapping, and related services.

Qualifications-based competitive proposal procedures require that:

1. A proposer's qualifications be evaluated;
2. Price be excluded as an evaluation factor;
3. Negotiations be conducted with only the most qualified proposer; and,
4. Failing agreement on price, negotiations with the next most qualified proposer be conducted until a contract award can be made to the most qualified proposer whose price is fair and reasonable to the grantee.

These qualifications-based competitive proposal procedures can only be used for the procurement of the services listed above. This method of procurement cannot be used to obtain other types of services even though a firm that provides A&E services is also a potential source to perform other types of services.

These requirements apply except to the extent the LANTA's State adopts or has adopted by statute a formal procedure for the procurement of these services.

Bonding Requirements

For those construction or facility improvement contracts or subcontracts exceeding \$100,000, LANTA must meet the following minimum criteria for bonding:

1. A **bid guarantee** from each bidder equivalent to five percent (5%) of the bid price. The "bid guarantee" shall consist of a firm commitment such as a bid bond, certified check, or other negotiable instrument accompanying a bid as assurance that the bidder will, upon acceptance of his bid, execute such contractual documents as may be required within the time specified;
2. A **performance bond** on the part of the contractor for 100 percent (100%) of the contract price. A "performance bond" is one executed in connection with a contract to secure fulfillment of all the contractor's obligations under such contract; and
3. A **payment bond** on the part of the contractor. A payment bond is one executed in connection with a contract to assure payment, as required by law, of all persons supplying labor and material in the execution of the work provided for in the contract. Payment bond amounts determined to adequately protect the federal interest are as follows:
 - a) Fifty percent of the contract price if the contract price is not more than \$1 million;
 - b) Forty percent of the contract price if the contract price is more than \$1 million but not more than \$5 million; or
 - c) Two and a half million dollars if the contract price is more than \$5 million.



Sole Source Purchases

Sole Source procurements are accomplished through solicitation of a proposal from only one source, or after solicitation of a number of sources, competition is determined inadequate. A contract change that is not within the scope of the original contract is considered a sole source procurement that must comply with this following:

1. A determination that conditions exist to support sole source procurement must be made by the Executive Director. This determination must be in writing with a justification for the reasons.
2. A price or cost analysis of the price quoted by the sole vendor must be completed and documented. The price analysis is intended to demonstrate that the quoted price is "fair and reasonable" for the product or services being procured. This analysis should include:
 - a. Comparability to prices submitted on other procurements in the presence of full and open competition.
 - b. Cost of source materials going into the goods or service (ie: number of hours proposed for a professional, labor rate for an engineer, cost of components).
 - c. Information from published price lists of the vendor.

The price/cost analysis described above must also be completed in situations where multiple bids are solicited, but only a single bid is received. In this instance, a "Competition Analysis" must also be completed to determine whether or not the procurement took place in an environment of fair and open competition. Such an analysis might include:

- a. Listing of vendors to whom solicitation documents were sent.
- b. Copies of formal advertisements
- c. Specification source information.
- d. Survey information from vendors not responding to the solicitation to determine why they declined to bid.
- e. Any indications that the sole bidder had or did not have prior knowledge of the lack of competition.

Price or Cost Analysis

A cost or price analysis must be completed in connection with every procurement action, including contract modifications. The method and degree of analysis depends on each particular procurement situation, but as a starting point, an independent estimate must be completed before receiving bids or proposals.

1. Cost Analysis. A cost analysis must be performed when the proposer is required to submit the elements (i.e., labor hours, overhead, materials, etc.) of the estimated cost, (e.g., under professional consulting and architectural and engineering services contracts, etc.).

A cost analysis will be necessary when adequate price competition is lacking and for sole source procurements, including contract modifications or change orders, unless price reasonableness can be established on the basis of a catalog or market price of a commercial product sold in substantial quantities to the general public or on the basis of prices set by law or regulation.



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2. **Price Analysis.** A price analysis may be used in all other instances to determine the reasonableness of the proposed contract price.
3. **Profit.** Profit will be negotiated as a separate element of the price for each contract in which there is no price competition and in all cases where cost analysis is performed. To establish a fair and reasonable profit, consideration will be given to the complexity of the work to be performed, the risk borne by the contractor, the contractor's investment, the amount of subcontracting, the quality of its record of past performance, and industry profit rates in the surrounding geographical area for similar work.
4. **Federal Cost Principles.** Costs or prices based on estimated costs for contracts under grants will be allowable only to the extent that costs incurred or cost estimates included in negotiated prices are consistent with Federal cost principles.
5. **Cost Plus Percentage of Cost Prohibited.** The cost plus a percentage of cost and percentage of construction cost methods of contracting shall not be used.

The Procurement File – A Written Record of History

Each procurement must have a procurement file associated with it. A checklist is included as Attachment. Note that not all procurements will require every item on this checklist. For routine small purchases, this might just include the purchase order and receiving documents. For larger procurements, it becomes more involved. Depending on the size of the procurement, the file should include:

1. Purchase / Procurement Request Form
2. Rationale for method of procurement.
3. Independent Cost Estimate
4. Contract Management Matrix – Form for determination of whether and what type of contract is needed for the procurement.
5. Solicitation document.
6. Certification of Advertisement
 - i. Proof of Publication
 - ii. E-mails to potential vendors / electronic distribution of solicitation document.
7. Addenda, if any.
8. Correspondence of any kind relative to the project.
9. Intergovernmental approvals, if applicable.
10. Requests for, and responses to, approved equals.
11. Copies of all submitted bids.
12. Responsiveness Determinations
13. Responsibility Determination
 - i. Responsibility Determination Form
 - ii. Dated Print Screen of SAM/Commonwealth System barred vendors Search Results
14. Fair & Reasonable Price Determination
15. Bid attendance and tabulation sheets.
16. Evaluation memoranda including, but not limited to: responsiveness and responsibility determinations, Board resolutions, sole source justifications, etc.
17. Cost or Price Analysis.
18. Bonds.
19. Proof of Adequate Insurance.
20. Bid samples.
21. Reps and Certs contract.
22. All modifications.
23. Copies of invoices and packing slips.
24. Inspection and approval documentation.
25. Pre- and post-award certifications for all vehicle purchases.
26. Notice to Proceed.

For more details on the standard inclusions for each method of procurement, see [Table 3](#) on the next page.



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Standard Inclusions	Micro-purchase	Small Purchase	IFB	RFP	Sole Source	A&E
Fair and Reasonable Price Determination	X	X				
Method of Procurement Decision Matrix		X	X	X	X	X
Independent Cost Estimate		X	X	X	X	X
Clear, Accurate, Complete Specifications		X	X	X	X	X
Price Quotations		X				
Cost or Price Analysis			X	X	X (Cost)	X
Written Selection Procedures (Included in Solicitation)			X	X		X
Emails to Potential Vendors			X	X		X
Proof of Publication		>\$20,000	X	X		X
Bid Opening Sheet/Record of Proposals Submitted			X	X		X
Responsiveness Determination			X	X		X
Bid/Proposal Rejection Explanation (if any)			X	X		X
Responsibility Determination (Form & Proof of EPLS/SAM search)		>\$20,000	X	X	X	X
Bid Tabulation / Selection of Lowest Price			X			
Evaluation Rating Sheets and Summary				X		X
Sole Source Justification					X	
Sound and Complete Agreement (Signed & Dated Contract)			X	X	X	X
Clauses (In Solicitation and Contract)			X	X	X	X
Written Record of Procurement History		X (2 sections)	X	X	X	X
Awarded Supplier's Proposal		X	X	X	X	X

Table 3 – Documentation Requirements by Procurement Type

For special circumstances to consider when conducting in procurement, see Table 4 on the next page.



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<u><i>Special Circumstances</i></u>	<u>Micro-purchase</u>	<u>Small Purchase</u>	<u>IFB</u>	<u>RFP</u>	<u>Sole Source</u>	<u>A&E</u>
<u>Contract Mods (in scope)</u>			<u>X</u>	<u>X</u>	<u>X</u>	<u>X</u>
<u>Progress Payments</u>			<u>X</u>	<u>X</u>	<u>X</u>	<u>X</u>
<u>Approval for Advance Payments From FTA</u>	<u>X</u>	<u>X</u>	<u>X</u>	<u>X</u>	<u>X</u>	<u>X</u>
<u>Documentation of Board Approval</u>			<u>X</u>	<u>X</u>	<u>X</u>	<u>X</u>
<u>Notice of Protests and Resolution</u>		<u>X</u>	<u>X</u>	<u>X</u>	<u>X</u>	<u>X</u>
<u>Notice of Contract Claims and Resolutions</u>		<u>X</u>	<u>X</u>	<u>X</u>	<u>X</u>	<u>X</u>
<u>Piggybacking</u>			<u>X</u>	<u>X</u>	<u>X</u>	<u>X</u>
<u>Davis-Bacon (Construction)</u>	<u>X</u> <u>>\$2000</u>	<u>X</u>	<u>X</u>	<u>X</u>		<u>X</u>
<u>Copies of Bonds (Construction)</u>			<u>X</u>	<u>X</u>	<u>X</u>	<u>X</u>
<u>Buy America (Bus and Rolling Stock)</u>			<u>X</u>	<u>X</u>	<u>X</u>	<u>X</u>
<u>Evidence of Negotiations with Highest Ranked Suppliers and Ranking Based on Technical Capability Only (A&E)</u>				<u>X</u>		<u>X</u>

Table 4 - Special Circumstances in Procurement



IV. ROLLING STOCK REQUIREMENTS

LANTA will utilize a competitive procurement process (sealed bid or competitive negotiation) for procurement of rolling stock, whether via joint procurement, a state contract, or our own procurement process. When FTA funds are used, the procurement will be subject to the Buy America requirement of 49 C.F.R. Part 661, and these additional requirements.

Accessibility

Rolling stock must comply with the accessibility requirement of DOT regulations, “Transportation Services for Individuals with Disabilities (ADA),” 49 CFR Part 37, and Joint ATBCB/DOT regulations, “Americans with Disabilities (ADA) Accessibility Specifications for Transportation Vehicles,” 36CFR Part 1192 and 49 CFR Part 38.

Transit Vehicle Manufacturer Compliance with DBE Requirements

Before a transit vehicle manufacturer (TVM) may submit a bid or proposal to provide vehicles to be financed with FTA assistance, 49 CFR §26.49 requires the TVM to submit a certification that it has complied with FTA’s DBE requirements. LANTA shall verify TVM Certification via FTA’s website, prior to awarding a contract or issuing a notice to proceed. Effective November, 2014, FTA recipients are required to submit, within **30 (thirty) days** of making an award, the name of the successful bidder and the total dollar value of the contract. Remember, only eligible TVMs may bid on FTA-assisted transit vehicle procurements. FTA has developed an online [Transit Vehicle Award Reporting Form](#) for recipients to report the required information on transit vehicle procurement awards. Previously, FTA had been collecting this information via agency letterhead, however, paper forms will no longer be accepted. For more information on the TVM program requirements, please refer to the [TVM webpage](#). The link to the electronic reporting form may also be found on the [list of eligible TVMs](#).

Minimum Service Life

FTA requires LANTA to maintain satisfactory continuing control of FTA assisted property. For buses and certain other vehicles, FTA has established minimum service life policies that may affect the quantity of vehicles that the recipient may acquire. See, the most recent versions of [FTA Circular 5010.1](#), “Grants Management Guidelines,” [FTA Circular 9030.1](#), “Urbanized Area Formula Program: Grant Application Instructions,” and [FTA Circular 9300.1](#), “Capital Program: Grant Application Instructions,” that addresses minimum service life for vehicles.

Spare Ratios

While all FTA assistance for third party procurements must be limited to property and services LANTA will use in the near future, FTA is concerned that LANTA does not acquire an excessive number of spare vehicles not regularly used in public transportation service. The current FTA spare ratio guideline for fixed-route bus systems is 20 percent.



Air Pollution and Fuel Economy

Each third party contract to acquire rolling stock must include provisions to ensure compliance with applicable Federal air pollution control and fuel economy regulations, such as EPA regulations, “Control of Air Pollution from Mobile Sources,” 40 CFR Part 85; EPA regulation, “Control of Air Pollution from New and In-Use Motor Vehicles and New and In-Use Motor Vehicle Engines,” 40 CFR Part 86; and EPA regulations, “Fuel Economy of Motor Vehicles, 40 CFR Part 600.

Buy America

When LANTA purchases revenue service rolling stock with Federal funds, LANTA must conduct pre-award and post-delivery audits verifying compliance with Buy America provisions, purchaser’s requirements, and Federal Motor Vehicle Safety Standards (FMVSS). LANTA is required to keep records, including pre-award and post-delivery certifications, which show that the regulations have been followed. Buy America audits require LANTA to complete three certifications at the pre-award and post-delivery stages of procurement.

A procurement of small buses (<30 FT) and vans which totals not more than \$150,000 is not subject to the general Buy America requirements of 49 CFR Part 661. This waiver does not exempt rolling stock from the pre-award and post-delivery purchaser’s requirements and FMVSS audits required by 49 CFR Part 663.

LANTA may purchase vehicles in several groups over several years using either vehicle procurement contracts with options or multi-year vehicle procurement contracts. **FTA requires that each group of vehicles purchased, i.e., each “order” of vehicles, have a pre-award audit before the order is placed.**

Compliance with purchaser’s specifications: (Pre-Award)

LANTA must complete a pre-award purchaser’s requirements certification verifying that the manufacturer’s bid specifications comply with LANTA’s solicitation requirements and that the proposed manufacturer is responsible and capable of building the bus to the solicitation specifications. The pre-award certification may be based on LANTA’s determination that the vendor is responsive and responsible. The requirement to conduct an audit for compliance with purchaser’s requirements and sign a certification applies to all purchases of revenue rolling stock, even those below the Federal simplified acquisition threshold. The pre-award audit is required before the LANTA enters into a formal contract with a supplier.

The audits require LANTA to complete three certifications at the pre-award stage of the procurement:

- Pre-Award Buy America Certification or Pre-Award Buy America Certificate of Non-Compliance (49 CFR §663.25)
- Pre-Award Purchaser’s Requirements Certification
- Pre-Award FMVSS Compliance Certification (49 CFR §663.41) or Pre-Award Certification of FMVSS Inapplicability (49 CFR §663.43)



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In order to certify Buy American compliance LANTA must obtain and keep on file the bidder's or offeror's (manufacturer or supplier) Certification of Compliance (or Non-Compliance) with Buy America Rolling Stock Requirements.

Compliance with Purchaser's Specifications: (Post-Delivery)

LANTA must complete a post-delivery purchaser's requirements certification verifying that the buses delivered meet the contract specifications. This must be completed before a bus title is transferred to LANTA or before a bus is placed into revenue service, whichever is first. The post-delivery certification is based on LANTA's visual inspections and road tests and, if required, the resident inspector's monitoring of the final assembly process and final report of manufacturing activities. The requirement to conduct an audit for compliance with purchaser's requirements and sign a certification applies to all purchases of revenue rolling stock, even those below the Federal simplified acquisition threshold.

LANTA is required to have a resident inspector during final assembly process if they meet the following criteria:

- LANTA is in an urbanized area with a population of more than 200,000 and is purchasing more than 10 buses or modified vans;
- LANTA is in an area with a population of 200,000 or less and is purchasing more than 20 buses.
- LANTA is purchasing any number of rail vehicles.

Resident Inspectors must monitor the final assembly process and complete a final report describing the construction activities and explaining how the construction and operation of the buses fulfills the contract specifications. FTA does not require in-plant inspectors for any number of unmodified vans or sedans manufactured by the automobile companies. FTA requires only a visual inspection and road test after delivery for procurements of unmodified vans or sedans.

In the case of consolidated procurements on behalf of multiple subrecipients, the in-plant inspection requirement is triggered only if any single subrecipient will receive more than 10 or more than 20 vehicles, depending on area size. One in-plant inspector can meet the requirement for multiple grantees. The inspector may not be an agent or employee of the manufacturer. The inspector must prepare a report providing accurate records of all vehicle construction activities and summarizing how the construction and operational characteristics of the vehicles met (or did not meet) the contract specifications.

Compliance with Buy America: Required post-delivery certification includes disclosure by the manufacturer of the final assembly location; a listing of the component and subcomponent parts, the cost (actual or percent of total) of such components and subcomponents and the country of origin; a description of final assembly activities; and the cost of final assembly. Final assembly costs are not to be included when calculating the percent of domestic content of the vehicle.

LANTA or an independent third party must conduct the Buy America audits. The audit may be based on information provided by the manufacturer; however, certification by the manufacturer is not adequate.

The FTA requires LANTA to complete three certifications at the post-delivery stage of the procurement:

- Post-Delivery Buy America Certification ;
- Post-Delivery Purchaser's Requirements Certification;
- Post-Delivery FMVSS Compliance Certification or Post-Delivery Certification of FMVSS Inapplicability, when appropriate.



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FMVSS. LANTA must complete, at the post-delivery stage, a certification that the grantee has received from the vehicle manufacturer at both the pre-award and post-delivery stages a certification that the vehicles comply with the FMVSS issued by the National Highway Traffic Safety Administration (49 CFR Part 571). The requirement to conduct an audit for compliance with FMVSS and sign a certification **applies to all purchases of revenue rolling stock**, even those below the Federal simplified acquisition threshold.

Altoona Bus Testing. LANTA must have in its possession a copy of the Altoona Bus Testing Report before final acceptance of the first vehicle. Testing applies to buses and modified vans used in transit service, including, but not limited to, new bus and van models using alternative fuels such as methanol, ethanol, compressed natural gas (CNG), hydrogen, and electricity (if stored and/or generated on-board the vehicle).

FTA does not require a vehicle manufacturer to test its model before bidding. However, recipients of FTA funds acquiring any bus model must certify that an example of that model will have been tested and the recipient will have received a copy of the resulting test report prepared on the bus model before the final acceptance of the first vehicle. Effective October 31, 2016, the effective date of the revision to 49 CFR Part 665, recipients must certify that the bus models submitted to Altoona following the effective date received a passing score before FTA funds can be spent on that vehicle.

Bus testing is not required for unmodified mass-produced vans (provided they are only offered to FTA grantees in the 4-year/100,000mile service life category). Unmodified mass-produced vans are vehicles manufactured as complete, fully assembled vehicles as provided by the original equipment manufacturer (OEM). This category includes vans with raised roofs or wheelchair lifts or ramps that are installed by the OEM or by someone other than the OEM, provided that the installation of these components is completed in strict conformance with the OEM modification guidelines.

In-State Dealers

LANTA may not limit third party bus procurements to in-State dealers, 49 U.S.C. Section 5325(i). Although FTA respects State licensing requirements, it is prohibited by law from providing FTA assistance to support bus procurements that have the result of limiting competition to entities that have been able to obtain a State license, as this violates the FTA prohibition on geographic preferences, as noted in [FTA Circular 4220.1](#).

Basis for Contract Award

As permitted by 49 U.S.C. Section 5325(f), the LANTA may award a third party contract for rolling stock based on initial capital cost, or based on performance, standardization, life cycle cost, and other factors, or by selection through a competitive procurement process. LANTA shall maintain records detailing the history of the procurement in a manner consistent FTA requirements. Purchase order and contract administration files will be kept in storage for the length of time as described in LANTA's record retention and disposal policy. At a minimum, these records shall include:

- The rationale for the method of the procurement,
- Selection of the contract type,
- Reasons for each contractor's selection or rejection, and
- The basis for the contract price.



Joint Procurements

The FTA encourages recipients to procure goods and services jointly with other grantees to obtain better pricing through larger purchases. A joint procurement is a method of procurement in which two or more purchasers agree from the outset to use a single solicitation document and enter into a single contract with a vendor for delivery of property or services in a fixed quantity, even if expressed as a total minimum or a total maximum.

GSA and PA Purchasing Schedules. To foster greater economy and efficiency, intergovernmental agreements, contracts, and schedules of the U.S. General Services Administration (GSA) and the Commonwealth of Pennsylvania (PA) may be used as permitted and appropriate. **When GSA or PA state contracts are used to acquire goods or services, all FTA requirements apply.** This will require LANTA to incorporate FTA terms and conditions (contract clauses and required vendor “certifications,” such as Buy America, etc.), in the first purchase order issued by LANTA under the GSA or state contract. This will be necessary since GSA and PA may not have incorporated required FTA terms, including Buy America, when the contracts were awarded. LANTA will therefore require a Buy America certification in all procurement cases in excess of the Simplified Acquisition Threshold (\$150,000 as of 8/13/2018), and if the product being acquired is not Buy America compliant, LANTA will obtain a waiver from FTA before proceeding with the procurement. In conclusion, LANTA will determine that an existing contract meets all FTA requirements before using that contract, and will document the file accordingly.

Five-Year Limitation

LANTA may enter into a multi-year contract to buy rolling stock with an option not exceeding five (5) years to buy additional rolling stock or replacement parts, 49 U.S.C. §5325(e)(1). LANTA may not exercise that option later than five (5) years after the date of its original contract. MAP-21 extended the period to seven years for rail procurements effective July 16, 2012.

FTA interprets this five-year period as covering LANTA’s “material requirements” for rolling stock and replacement needs from the first day when the contract becomes effective to its “material requirements” at the end of the fifth year. In the case of rolling stock, which frequently cannot be delivered expeditiously, FTA recognizes that LANTA’s “material requirements” for rolling stock will necessarily precede its actual need to put that rolling stock to use in public transportation service. This means that the contract may not have options for more rolling stock and replacement parts than LANTA’s material requirements for a five-year period. The five-year rule does not mean LANTA must obtain delivery, acceptance, or even fabrication in five years. Instead, it means only that FTA limits a contract to purchasing no more than the LANTA’s material requirement for rolling stock or replacement parts for five year based on the effective date of the contract.



V. CONTRACT ADMINISTRATION

Pre-Delivery Administration

After a contract has been awarded, but before the product is delivered, work must take place to make sure the product will arrive as expected. Contracts are needed when the estimated cost of the goods or services being procured exceeds \$20,000 and as required by the agency, when deemed necessary by LANTA's Executive Director in accordance with LANTA's *Contract Management Policy*. For stock purchases (generally all items that fall under the small purchase procedures), this is the primary responsibility of the position(s) outlined in [Table 1](#) and is a simple matter of:

1. Maintaining a file of open orders to keep running track of items to be received.
2. Contacting vendors when items are not delivered in the time expected.
3. For larger items, a full project file should be initiated, in addition to the procurement file. This file should contain, at a minimum, the following:
 - a. Copy of the completed Contract Management Matrix;
 - b. Copy of the contract for goods or services;
 - c. Copy of the Third Party's Certificate of Insurance;
 - d. Copies of all project correspondence with the vendor;
 - e. Notes of all telephone and personal conversations with the vendor;
 - f. Copies of any change orders altering the dollar amount and/or scope of the purchase.
 - g. Acceptance documentation;
 - h. Letters of conditional and final acceptance; and
 - i. Copies of LANTA's Notice(s) to Proceed.

In the case of vehicle purchases, it will be the policy of LANTA to conduct in-plant inspections during vehicle production to assure quality of assembly and adherence to specifications. Inspections will be made either by a third party firm specifically selected for that task or by a Maintenance Department employee with specific mechanical knowledge and a detailed knowledge of the specifications. In either case, all costs are to be borne by LANTA and its representatives (either employees or consultants) are prohibited from accepting gratuities from the vehicle manufacturer during the site visit including, but not limited to: meals; lodging; transportation (other than that which might be reasonable to access the manufacturing facility from an adjacent airport and/or hotel); or entertainment.

Delivery and Acceptance

Upon delivery of the item, it will be the responsibility of the person described in Figure 1 to coordinate acceptance. In the case of small purchases of stock items, this will simply be a matter of verifying items and quantities, processing shipping slips for payment with the purchase order, and entering the item into inventory.



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For larger items, the acceptance process is more involved and must include a full test of the specified requirements of the item, followed by documented acceptance. Various types of acceptance include:

1. *Vehicles* - Complete LANTA vehicle acceptance sheets or review of independent vehicle inspectors report, including:
 - i. Buy America Post-Delivery Audit
 - ii. Federal Motor Vehicle Safety Standards (FMVSS) Certification of Compliance
 - iii. Post-Delivery Purchaser's Requirements Certification
2. *Computers and Software* - Full system test and inventory.
3. *Construction* - Inspection by design professional and submission of Davis-Bacon certified payroll data.
4. *Miscellaneous* - Test full-specified item capability; verify complete order and adherence to all contract provisions. Acceptance testing is to begin immediately upon receipt of the item and proceed with all due haste. Unless vendor intervention is necessary, acceptance testing should never exceed one week.

Upon identification of specification variances, the variance is to be written up immediately and faxed to the vendor for correction, followed up with a mailing. In the fax/letter, a detailed description of the variance, the relevant specification section and the required timeframe for repair must be indicated. In no case may a full payment be made to a vendor whose item has not been brought into complete compliance. Partial payments may only be approved by the Executive Director if such payments are deemed to be in the best interest of LANTA.

Upon acceptance of the item, formal correspondence to that effect should be transmitted to the vendor. Any warranty provisions should begin on the date of acceptance, not delivery, and this should be so indicated in contract documents and in the acceptance letter. In no case may an item enter service before final, formal acceptance without the approval of the Executive Director and, in this case, a conditional acceptance must be issued. Warranty monitoring is the responsibility of the individual described in Figure 1.

If the purchase documents required liquidated damages, and if damages are in order, the amount of these damages should be calculated at this time and communicated to the vendor. Damages must be based on a real cost of delay to the Authority and not simply on convenience. Liquidated damages are not penalties to the contractor and penalties may not be applied unless incentives are also offered.

LANTA shall not enter into any contract for rolling stock or replacement parts with a period of performance exceeding five (5) years inclusive of options. All other types of contracts (supply, service, leases of real property, revenue and construction, etcetera) should be based on sound business judgment. LANTA is expected to be judicious in establishing and extending contract terms no longer than minimally necessary to accomplish the purpose of the contract. Additional factors to be considered include competition, pricing, fairness and public perception. Once a contract has been awarded, an extension of the contract term length that amounts to an out of scope change will require a sole source justification.



Purchasing Policy and Procedures

All contracts shall include provisions to define a sound and complete agreement. In addition, contract and subcontracts shall contain contractual provisions or conditions that allow for:

1. Administrative, contractual, or legal remedies in instances where contractors violate or breach contract terms, including sanctions and penalties as may be appropriate. (All contracts in excess of the small purchase threshold.)
2. Termination for cause and for convenience by the grantee or sub-grantee including the manner by which it will be effected and the basis for settlement. (All contracts in excess of \$10,000.)

LANTA may include options in contracts. An option is a unilateral right in a contract by which, for a specified time, LANTA may elect to purchase additional equipment, supplies, or services called for by the contract, or may elect to extend the term of the contract. If it is decided to use options, the requirements below apply:

1. Evaluation of Options. The option quantities or periods contained in the contractor's bid or offer must be evaluated in order to determine contract award. When options have not been evaluated as part of the award, the exercise of such options will be considered a sole source procurement.
2. Exercise of Options.
 - a) LANTA must ensure that the exercise of an option is in accordance with the terms and conditions of the option stated in the initial contract awarded.
 - b) An option may not be exercised unless it has been determined that the option price is better than prices available in the market or that the option is the more advantageous offer at the time the option is exercised.

LANTA may enter into time and materials contracts, only if:

1. After a determination that no other type of contract is suitable; and,
2. If the contract specifies a ceiling price that the contractor shall not exceed except at its own risk.

The cost plus a percentage of cost and percentage of construction cost methods of contracting shall not be used.

Monitoring of Agreements

LANTA's Administrative Services Manager logs all contracts, leases, and service agreements in LANTA's Contract & RFP Tracking database at the time of award, in addition to any vendors regularly used for small purchases and micro-purchases. Contracts will be reviewed for the term covered by the agreement and the expiration date and projected date for future procurement of the service will be noted in the database, as well as the existence of any options for extensions. The Contract & RFP Tracking database will be reviewed monthly for expiring contracts, options for extension, upcoming procurements, and expiring certificates of insurance. Actions by LANTA's Board of Directors to exercise options for extension will be recorded in the database with the expiration date of the extension.



Purchasing Policy and Procedures

Exclusions & Debarment

All vendors, contractors, lessors, and lessees will be reviewed annually by the Administrative Services Manager for exclusions and debarment. Copies of searches conducted via the System for Award Management (SAM) and the PA Department of General Services Debarment List will be retained in accordance with applicable regulations and the date of the most recent search will be recorded in LANTA's Contract & RFP Tracking database.

Insurance

When required by contract terms or deemed necessary by the Director of Finance & Administration or the Compliance Program Coordinator, the Administrative Services Manager will obtain proof of insurance from LANTA's contractors, vendors, lessors, and lessees. The expiration date for the certificate of insurance will be recorded in LANTA's Contract & RFP Tracking database. Updated certificates of insurance will be obtained annually for multi-year agreements.

Program Administration & FTA Regulations

Contracts that involve construction, ADA Paratransit and/or Fixed Route Services, and contracts with subcontractors are subject to LANTA's Subrecipient and Contractor Oversight Procedures for monitoring performance and compliance. ([APPENDIX 12](#)) The frequency and type of monitoring will be based upon the following: a) size of the grant or contract, b) associated risks, c) service complexity, d) type of grant or contract, and e) use of subcontractors. Additional requirements may apply when a contractor is a Disadvantaged Business Enterprise (DBE) or is utilizing a DBE subcontractor. For more information, see [Chapter VI](#) of this document and LANTA's DBE Program, available on our website.

Responsibility for Settlement of Contract Issues / Disputes

Disputes arising from contractors regarding, price, quality, or warranty from day-to-day purchases are handled on a one-to-one basis by the Administrative Service Specialist and the Controller. If a dispute cannot be resolved between a Contractor and LANTA via contact with the Administrative Services Manager and/or Controller, notice shall be sent in writing to LANTA's Executive Director

Procurement is conducted under contracting guidelines issued by the Federal Transit Administration (FTA) Circular 4220.1F dated November 1, 2008. All protest decisions must be in writing. A protester must exhaust all administrative remedies with LANTA before pursuing a protest with FTA. Under C4220.1F protests and appeals to FTA may be made only on the basis that LANTA does not have written protest procedures or failed to follow such procedures.

BREACHES AND DISPUTES RESOLUTION

Disputes – Unless otherwise noted within individual contracts, disputes arising in the performance of contracts with LANTA, which are not resolved by agreement of the parties, shall be decided in writing by the authorized representative of LANTA's Executive Director. This decision shall be final and conclusive unless within [ten (10)] days from the date of receipt of its copy, the Contractor mails or otherwise furnishes a written appeal to the Executive Director. In connection with any such appeal, the Contractor shall be afforded an opportunity to be heard and to offer evidence in support of its position. The decision of the Executive Director shall be binding upon the Contractor and the Contractor shall abide by the decision.



Purchasing Policy and Procedures

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

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

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

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

Disputes concerning labor standards – Disputes arising out of the labor standards provisions of LANTA contracts shall not be subject to the general disputes clause of the contract. Such disputes shall be resolved in accordance with the procedures of the Department of Labor set forth in 29 CFR parts 5, 6, and 7. Disputes within the meaning of this clause include disputes between the contractor (or any of its subcontractors) and the contracting agency, the U.S. Department of Labor, or the employees or their representatives.



VI. DISADVANTAGED BUSINESS ENTERPRISES

Policy

The Lehigh and Northampton Transportation Authority (LANTA) has established a Disadvantaged Business Enterprise (DBE) program in accordance with regulations of the U.S. Department of Transportation (DOT), 49 CFR Part 26. LANTA has received Federal financial assistance from the Department of Transportation, and as a condition of receiving this assistance, LANTA has signed an assurance that it will comply with 49 CFR Part 26.

It is the policy of LANTA to ensure that DBEs, as defined in part 26, have an equal opportunity to receive and participate in DOT assisted contracts. It is also our policy:

1. To ensure nondiscrimination in the award and administration of DOT assisted contracts;
2. To create a level playing field on which DBEs can compete fairly for DOT assisted contracts;
3. To ensure that the DBE Program is narrowly tailored in accord with applicable law;
4. To ensure that only firms that fully meet 49 CFR Part 26 eligibility standards are permitted to participate as DBEs;
5. To help remove barriers to the participation of DBEs in DOT assisted contracts;
6. To assist the development of firms that can compete successfully in the market place outside the DBE Program.

LANTA's Director of Finance & Administration, currently Randy Lease, has been delegated as the DBE Liaison Officer. In that capacity, the Director of Finance & Administration is responsible for implementing all aspects of the DBE program. Implementation of the DBE program is accorded the same priority as compliance with all other legal obligations incurred by LANTA in its financial assistance agreements with the Department of Transportation.

LANTA has disseminated this policy statement to its Board of Directors and the Counties of Lehigh and Northampton and all of the components of our organization. We have distributed this statement to DBE and non-DBE business communities that perform work for us on DOT assisted contracts via mail, electronic mail and this information is posted on the LANTA website: www.lantabus.com.



Purchasing Policy and Procedures

Promoting the Use of DBE's

Promotion of DBE business will be conducted in the following manner:

1. Maintenance of vendor files containing DBE's for all classes of purchases made by the Authority. These files will be generated from listings of the Greater Lehigh Valley Chambers of Commerce, listings published periodically by the Pennsylvania Department of Transportation (UCP Program); and sources known by other area transit authorities and local government. DBE Certification should be based on the Small Business Administration DBE Program.
2. All requests for proposals will include DBE content as an evaluation factor.
3. All contract solicitations that include subcontracting components will require all prime contractors to extend best good faith efforts to include DBE's in the project. Larger contracts will require DBE participation in subcontracting.

Tracking DBE Participation

The Disadvantaged Business Enterprise Liaison Officer will be responsible for the submission of DBE utilization reports to the appropriate agencies based on the dollar volume of disbursements to those vendors. To assist in this tracking, all certified DBE's will be recorded as such.

Certification will be based on the ability of the vendor to obtain certification from the Unified Certification Program of Pennsylvania.

See DBE Plan for additional information.



VII. SMALL BUSINESS PROGRAM

The Lehigh and Northampton Transportation Authority (LANTA) has established a Disadvantaged Business Enterprise (DBE) program in accordance with regulations of the U.S. Department of Transportation (DOT), 49 CFR Part 26. LANTA has received Federal financial assistance from the Department of Transportation, and as a condition of receiving this assistance, LANTA has signed an assurance that it will comply with 49 CFR Part 26. In accordance with 49 CFR 26.39 LANTA has incorporated the following non-discriminatory element to its DBE program, in order to facilitate competition on DOT assisted public works projects by small business concerns (both DBEs and non-DBE small businesses). Small business program elements include, but are not limited to:

- Removal of unnecessary and unjustified bundling of contract requirements;
- Examining insurance requirements on contracts with the intent of reducing unnecessary insurance requirements, when feasible;
- Simplifying or reducing bonding requirements where feasible;
- Requiring bidders on large contracts to identify and/or provide specific subcontracts appropriate for small business participation;
- Development of acquisition strategies and structuring procurements to facilitate bids by and awards to small business consortia or joint ventures;
- Letting prime contracts (as appropriate) of a size that small businesses can reasonably compete for and perform;
- Hosting periodic workshops for small businesses providing technical assistance on how to prepare a successful proposal and how to certify as a small-business; and
- Providing consideration to small businesses, when evaluating proposals.

Although not a requirement for bidding, additional consideration will be provided for prime bidders with small business participation and/or joint bids where one or more of the bid participants are small businesses, when evaluating proposals received in response to Requests for Proposals (RFPs). Proposers claiming small business participation should include SBA/VA/PennDOT documentation verifying their status. Acceptable certifications establishing small business status are:

- Veteran Owned Small Businesses (VOSB)
- Service Disabled Veteran Owned Small Businesses (SDVOSB)
- Women-Owned Small Business (WOSB)
- Small Business Administration (SBA) 8a Business Development (BD) Program
- Small Business Administration (SBA) Small Disadvantaged Business (SDB)
- Small Business Administration (SBA) HUBZone
- Disadvantaged Business Enterprises (DBE);
- PennDOT Diverse Business (DB); and/or
- PennDOT Small Business Enterprise (SBE).

*For Women-Owned Small Businesses, the firm's status should be noted in their System for Award Management (SAM) profile or a letter confirming certification should be provided from one of the four organizations approved by the SBA to provide third-party certification: the US Women's Chamber of Commerce, the National Women Business Owner's Corporation, the Women's Business Enterprise National Council (WBENC), or the El Paso Hispanic Chamber of Commerce.



VIII. INVENTORY CONTROL AND MATERIALS MANAGEMENT

Recording Inventory Entries

For each of the areas identified in Figure 2, the responsible employee must assure that items are properly stored and entered into inventory. The lone exception to this rule is for maintenance supplies where this responsibility falls upon the Inventory Specialist in order to separate the ordering and receiving functions. As maintenance supplies are received, Inventory Specialist enters these into the fleet maintenance software/purchasing system as an inventory item. All items leaving inventory must then be specifically charged to vehicle work orders. A physical inventory is taken annually and the results reconciled with those figures calculated on the inventory system. Additional information on the software system is in the software user documentation.

Office supplies and public information inventories are not maintained on the computer. These are kept in a central location, under the control of the Inventory Specialist, and employees obtain their supplies from here. Inventory levels are monitored by sight only with reorders occurring when supplies get low.

Capital assets are to be entered into the accounting system as fixed assets and proper depreciation schedules associated with them. A physical inventory of the equipment must be taken and the results reconciled with equipment records at least once every two years. Any differences must be investigated to determine the cause of the difference. Property should be tagged or otherwise identified as federally assisted property. A tag system is currently in place to cross-reference items to the fixed asset schedule.

Property Disposition

Real property shall be managed and disposed of in accordance with FTA regulations, specifically FTA Circular 5010.1A, using Public Surplus. The Board of Directors must specifically approve the disposition plan for any real property.

For equipment:

1. Equipment means any article of nonexpendable, tangible personal property (including information technology systems) having a useful life of more than one year and a per-unit acquisition cost that equals or exceeds the lesser of the capitalization level established by the recipient or sub-recipient for financial statement purposes, or \$5,000. Equipment includes rolling stock, computing devices, information technology systems, and all other such property used in the provision of public transit service. Rolling stock describes equipment that is used to transport passengers and includes buses, vans, cars, locomotives, trolley cars, ferryboats, light rails, streetcars, other rail vehicles, and vehicles used for guideways and incline planes.
2. Equipment which has reached the end of its useful life and with a unit fair market value exceeding \$5,000, or unused supplies with a total aggregate fair market value of more than \$5,000, may be retained or sold with the approval of the Board of Directors, and with reimbursement to FTA of an amount calculated by multiplying the total aggregate fair market value at the time of disposition, or the net sales proceeds, by the percentage of the FTA's participation in the original grant.



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3. Equipment with a unit fair market value of \$5,000 or less, or supplies with a total aggregate fair market value of \$5,000 or less, may be retained, sold, or otherwise disposed of at the discretion of the Executive Director and no obligation to reimburse FTA.
4. No property or equipment may be sold or disposed of without the approval of the Executive Director.
5. All equipment, regardless of value, must be disposed of via Public Surplus, while using competitive sales procedure to insure the highest possible return. The sales procedure for each piece of equipment must be recorded and permanently retained. When items are placed for competitive sale on Public Surplus website, such sale shall also be advertised on the LANTA website, as well as in relevant newspapers, in an as is/where is condition. In addition to normal advertising, a copy of the sales solicitation should be sent to:
 - a. Other Pennsylvania transit properties.
 - b. Parties who have previously requested information about LANTA surplus property.
 - c. Employee bulletin board when the item is one of general interest (ie: automobiles, computers). Employees with decision-making responsibility in the disposition (Executive Director, Director – Maintenance/Materials) shall not be eligible to bid on surplus property.

Sale shall be made via Public Surplus to the highest bidder. Under certain circumstances, surplus property may be transferred to other entities without a public sale. Such situations must be approved by the Executive Director in accordance with applicable Federal and State guidelines.



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APPENDIX 1 - CIRCULAR FTA C 4220.1F

THIRD PARTY CONTRACTING REQUIREMENTS

http://www.fta.dot.gov/documents/FTA_Circular_4220.1F.pdf



Purchasing Policy and Procedures

APPENDIX 2 – CONTRACT TEMPLATE (Updated 04/05/2019)

The following is a sample contract indicative of what a prospective contractor can expect from LANTA. The specific circumstances of a given procurement may require additional clauses and/or insurance coverage. The federal clauses referenced by the contract are to be found in [Appendix 4](#). The Commonwealth of Pennsylvania clauses referenced by the contract are to be found in [Appendix 3](#).

Contract Between LANTA and Selected Contractor Service Agreement for XXXX Services

THIS AGREEMENT made this _____ day of April, 2019 by and between the Lehigh and Northampton Transportation Authority, a body corporate and politic and existing under and by virtue of the laws of the Commonwealth of Pennsylvania, herein after referred to as "LANTA", and **Selected Contractor**, a corporation, hereinafter referred to as the "CONTRACTOR." This agreement shall remain in effect between **May 1, 2019** and **April 30, 2022**. Upon agreement of the Parties, this agreement may be extended for two separate periods of one-year beyond **April 30, 2022**.

WHEREAS, it is the desire of LANTA to make use of the services of qualified Service Technicians for the maintenance, routine service, and emergency service-calls to their HVAC units and rooftop fans, in accordance with the Scope of Work executed on **DATE** and incorporated hereinto below, through which certain responsibilities are to be assigned to the CONTRACTOR.

WHEREAS, the CONTRACTOR has furnished a Scope of Work with planned service and rate schedules dated **DATE** to provide these services in an effective systematic and professional manner. The submittal is incorporated and made part of this agreement as detailed in **Appendix B**.

NOW, THEREFORE, for and in consideration of the mutual covenants hereinafter set forth, the parties agree as follows:

I. RECITALS

The Recitals are incorporated herein by reference and made a part of this Agreement hereof.

II. CONTRACTOR

CONTRACTOR, as an independent CONTRACTOR, covenants and agrees to provide its best efforts in performing all of the technical and professional work described in the SCOPE OF WORK. Such work shall be performed in accordance with the Standard of Care and with the terms of this Contract.

III. TERM

The term of the Agreement shall be thirty-six (36) months commencing on **May 1, 2019** and ending on **April 30, 2022**. The Authority shall have the option, at its sole discretion, to extend this Agreement for two (2), one (1) year period(s) subject to negotiation of fees.



IV. SCOPE OF WORK

Unique for each procurement.

V. DIRECTION OF WORK

- A. The CONTRACTOR shall not assign any interest to this Contract nor delegate the performance of any of its duties hereunder without the prior written consent of the LANTA, and any attempted assignment or delegation without prior written consent from LANTA shall be void.
- B. The CONTRACTOR shall provide a Description of Work Completed or a Progress Report in writing with all submitted requests for payment.
- C. LANTA and the CONTRACTOR may from time to time make changes in the scope of services, time of performance, CONTRACTORS compensation, or any other provision of this Contract. All changes must be endorsed by written amendment approved by LANTA. If the CONTRACTOR, at any time, believes that any technical direction constitutes a change in scope of work that would affect the terms of this Contract, it shall promptly seek clarification, in writing, from LANTA. The CONTRACTOR shall not proceed with the changed scope of work unless LANTA and the CONTRACTOR agree, in writing, to the change and associated change in cost and/or schedule.

VI. NOTICE TO PROCEED

Contractor shall only be authorized to begin incurring costs on the Engagement upon receipt of a properly executed "Notice to Proceed" from LANTA.

VII. TIME OF PERFORMANCE

The CONTRACTOR agrees to commence the work promptly upon receipt of the written notification to proceed, unless a mutually agreed upon commencement of work date is established, from the designated Project Manager of LANTA, which notification shall be issued after this Contract is approved by LANTA and the CONTRACTOR.

VIII. CONTRACTOR COST

The CONTRACTOR shall receive payment of allowable costs, as outlined in **Appendix B**, for the performance of work under this Contract.

IX. PAYMENT

The CONTRACTOR shall submit to LANTA certified invoices for allowable costs incurred in the performance of this Contract. Invoices are to be submitted periodically but not more frequently than monthly. No later than thirty (30) days after its receipt of an approved invoice, LANTA shall make payment to the CONTRACTOR.

X. PROMPT PAYMENT OF SUBCONTRACTORS

LANTA shall make its best efforts to pay Contractor for an approved invoice within 30 days of receipt of an acceptable invoice from the Contractor. Under no circumstances shall LANTA be required to pay any interest or additional charges of any kind whatsoever.



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Contractor shall, in accordance with LANTA's policies established in furtherance of 49 C.F.R. §26.29, pay its subcontractors for satisfactory performance of their contracts no later than **15 days** from receipt of payment from LANTA for any invoice that includes work performed by such subcontractors. Contractor's failure to comply with these requirements shall constitute a material breach of this Agreement. Any delay or postponement of payment of Contractor to its subcontractors may take place only for just cause and with written prior approval of LANTA.

XI. COMMONWEALTH OF PENNSYLVANIA REQUIREMENTS

Commonwealth of Pennsylvania and Pennsylvania Department of Transportation (PennDOT) contract requirements are hereby incorporated into this agreement as detailed in [Appendix A](#) and Contractor agrees to abide by the requirements of the Commonwealth of Pennsylvania, as outlined in [Appendix A](#). Commonwealth of Pennsylvania requirements apply to work done under this contract, unless superseded by Federal Transit Administration requirements.

XII. COUNTY REQUIREMENT – RIGHT TO KNOW

This contract is subject to the requirements of the Counties of Lehigh and Northampton. The Counties of Lehigh and Northampton require LANTA to ensure CONTRACTOR understands that the agreement and records related to or arising out of the agreement are subject to request made pursuant to the Pennsylvania Right-to-Know Law, found at *65 P.S. Section S67-101-3104*.

XIII. COUNTY REQUIREMENT – DELINQUENT TAXES

This contract is subject to the requirements of the Counties of Lehigh and Northampton. The Counties of Lehigh and Northampton require CONTRACTOR to certify and assure the following:

The CONTRACTOR hereby certifies, as a condition precedent to the execution of this contract that it is not "delinquent" on any taxes owed to the County of Lehigh or the County of Northampton (hereinafter "COUNTY"). "Delinquent" is hereby defined as the point in time at which the collection of the tax becomes the responsibility of the COUNTY Tax Claim Bureau.

XIV. RELATIONSHIP OF THE PARTIES

The CONTRACTOR'S relationship with LANTA in the performance of this Contract is that of an independent CONTRACTOR. Nothing in the Contract will place the parties in the relationship of partners, joint ventures, principal-agent, or employer-employee, and neither party will have any rights to obligate or bind the other in any manner whatsoever.

XV. NON-DISCRIMINATION

In carrying out the terms of this contract, both parties agree not to discriminate against any employee or client or other person on account of race, color, religion, gender, national origin, age, marital status, political affiliation, sexual orientation, gender identity or expression, or physical or mental disabilities as set forth in the Americans With Disabilities Act of 1990. CONTRACTOR and LANTA shall comply with Contract Compliance Regulations of the Pennsylvania Human Relations Commission, any pertinent Executive Order of the Governor and with all laws prohibiting discrimination in hiring or employment opportunities.



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The provisions of this section must also be included in any sub-contract CONTRACTOR enters into to perform the scope of this contract. [Commonwealth of Pennsylvania](#) requirements also apply.

XVI. NOTICE

Notices, demands, or communications which are required to be in writing shall be deemed to have been duly given and received when deposited as registered mail in the United States mails by one party to the other at the following addresses:

To LANTA:	Owen O'Neil Executive Director Attn: Contractor Engagement Lehigh and Northampton Transportation Authority 1060 Lehigh Street Allentown, PA 18103
To Contractor:	Contact Name Contact Title Contractor Company Contractor Address 1 Contractor Address 2

XVII. INDEMNIFICATION

The Contractor agrees to defend, indemnify and hold harmless the (Incorporating Governmental Entity), the Authority, its Board of Directors, officers, agents, servants and employees from and against any and all claims, judgments and awards, including court costs and reasonable counsel fees, (hereinafter collectively referred to as "Damages") arising out of any claim, suit or action at law, in equity or otherwise, of any kind or nature whatsoever, which may be brought against the Authority and/or any or all of the aforementioned acts arising out of any actions referenced in this agreement on account of any actual or alleged loss to property or injury to any person or persons (including death or mental injury), loss due to non-injury claims, including but not limited to harassment or violation of civil rights or violence to person or property. This shall include all losses Contractor's and its subcontractor's officers, agents, servants, employees or third parties, arising directly or indirectly out of or related to the performance or nonperformance under this Agreement by the Contractor, and/or subcontractor(s), and/or their officers, agents, servants or employees, even if caused in part by any party indemnified hereunder, excepting only the sole negligence of the Authority. Contractor shall also be liable to Authority for damages for loss of revenue, cost of money or capital, or loss of goodwill. The Authority will provide prompt notice within forty-five (45) days of obtaining knowledge of a claim subject to this indemnification and make available all information and assistance that the Contractor may reasonably request. This indemnification requirement shall apply notwithstanding any determination by any insurance carrier as to coverage or failure or lapse of coverage set forth within this Agreement.

The aforementioned indemnification provision shall survive and continue in full force and effect beyond the expiration or termination of this Agreement as to any claim arising out of this Agreement. Furthermore, in the event that a claim arises under this Agreement, the Contractor has a duty to advise the authority of the status of the claim in which this Indemnification applies.

The use of third parties for the provision of transit services is not intended to waive any immunity protections of the authority as granted by the Pennsylvania Political Subdivision Tort Claims Act.



XVIII. INSURANCE

Contractor shall procure, maintain, and provide documentation of the following specified insurance coverage during the entire life of this Agreement, including extensions thereof. The specified insurance requirements are the minimum acceptable to the Authority and these requirements may not be adequate to fully honor the indemnification agreement or otherwise adequately protect the interests of CONTRACTOR.

- A. Workers' Compensation coverage as required by the Commonwealth of Pennsylvania and Employer's Liability coverage at a limit not less than One Million Dollars (\$1,000,000).
- B. Commercial General Liability Insurance, at a limit of not less than Two Million Dollars (\$2,000,000) per occurrence; Two Million Dollars (\$2,000,000) general aggregate. Policy shall include coverage for:
 - Premises & Operations
 - Independent Contractors
 - Contractual Liability including defense
 - Products & Completed Operations
 - Fire / Water Legal Liability - Real Property
- C. Automobile Liability Insurance at a limit of not less than Two Million Dollars (\$2,000,000) per occurrence for claims of Bodily/Personal Injury and Property Damage naming LANTA as additional insured. Policy shall cover the use of all owned, hired, and non-owned vehicles.
- D. As respects to Commercial General Liability Insurance, LANTA, LANTA's elected/appointed officials, employees, and agents shall be covered, by endorsement, as additional insureds as respects to liability arising out of any activities performed by or on behalf of Contractor in connection with this Agreement.
- E. To the extent of Contractor's negligence, the Contractor's insurance coverage shall be primary insurance as respects to LANTA, LANTA's elected/appointed officials, employees, and agents. Any insurance and/or self-insurance maintained by LANTA, LANTA's elected/appointed officials, employees, or agents shall not contribute with Contractor's insurance or benefit Contractor in any way.
- F. Cancellation Notice. Contractor's insurance company is required to provide thirty (30) days' written notice of cancellation or material change in coverage to LANTA.
- G. Unless otherwise approved by LANTA, insurance is to be placed with insurers with a Best's rating of no less than A-:VI or higher.
- H. Contractor shall furnish annually to LANTA a signed "Certificate of Insurance," with a copy of the additional insured endorsement as verification that coverage is in force.
- I. Failure to obtain insurance coverage as required or failure to furnish Certificate(s) of Insurance as required shall be a default by the Contractor under this Agreement.
- J. Contractor shall include all subcontractors as insureds under its policies or shall furnish separate certificates of insurance and policy endorsements for each subcontractor. Insurance coverage provided by subcontractors as evidence of compliance with the insurance requirements of this Agreement shall be subject to all of the requirements stated herein.



XIX. DISPUTES

- A. Disputes - Disputes arising in the performance of this Agreement that are not resolved by agreement of the parties shall be decided in writing by LANTA. This decision shall be final and conclusive unless within ten (10) days from the date of receipt of its copy, Contractor mails or otherwise furnishes a written appeal to LANTA. In connection with any such appeal, Contractor shall be afforded an opportunity to be heard and to offer evidence in support of Contractor's position. The decision of LANTA shall be binding upon Contractor and Contractor shall abide by the decision.
- B. Performance During Dispute - Unless otherwise directed by LANTA, Contractor shall continue performance under this Agreement while matters in dispute are being resolved.
- C. Claims for Damages - Should either party to this Agreement suffer injury or damage to person or property because of any negligent act or omission of the party or of any of its employees, agents or others for whose acts it is legally liable, a claim for damages therefore shall be made in writing to such other party within a reasonable time after the first observance of such injury or damage.
- D. Remedies - Unless this Agreement provides otherwise, all claims, counterclaims, disputes, and other matters in question between LANTA and Contractor arising out of or relating to this Agreement or its breach will be decided by arbitration if the parties mutually agree, or in a court of competent jurisdiction within the Commonwealth.
- E. Rights and Remedies - The duties and obligations imposed by the Agreement Documents and the rights and remedies available thereunder shall be in addition to and not a limitation of any duties, obligations, rights, and remedies otherwise imposed or available by law. No action or failure to act by LANTA or Contractor shall constitute a waiver of any right or duty afforded any of them under this Agreement, nor shall any such action or failure to act constitute an approval of or acquiescence in any breach thereunder, except as may be specifically agreed in writing.

XX. TERMINATION OF CONTRACT

- A. If, through any cause the CONTRACTOR shall fail to fulfill in timely and proper manner its obligations under this Contract, or if the CONTRACTOR shall violate any of the covenants, agreements or stipulations of this Contract, LANTA shall have the right to terminate this Contract by giving written notice to the CONTRACTOR of such determination to terminate, the reason (s) for such termination and the effective date thereof. Upon receipt of such written notice, no further costs incurred by the CONTRACTOR shall be accepted. In such event, the CONTRACTOR shall have a ten-day period in which to cure the breach. If the CONTRACTOR makes a positive effort to cure, LANTA may extend the ten-day period another ten days; if not, LANTA will terminate the Contract.
- B. No agreement by the parties is required before LANTA terminates the Contract. In such event, all finished or unfinished documents, data, studies, surveys, drawings, maps, models, photographs, and reports prepared by the CONTRACTOR shall become the property of LANTA and the CONTRACTOR shall be entitled to just and equitable compensation for any satisfactory work completed on such documents.



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- C. LANTA, for its own convenience, may terminate this Contract upon written notice to the CONTRACTOR with no obligation other than the payment of just and equitable compensation for all services performed to the satisfaction of LANTA by the CONTRACTOR prior to and including the date of such notice of termination for convenience, plus a proportionate amount of the Fixed Fee. In the event of termination for the convenience of LANTA all finished or unfinished data documents, studies, surveys, drawings, maps, models, photographs, and reports prepared by the CONTRACTOR under this Contract shall become the property of LANTA.

XXI. MULTIPLE COPIES

This Agreement may be executed in any number of copies and each such copy shall be deemed an original.

XXII. INTERPRETATIONS

In the event of any question regarding the meaning of any of the provisions of this Agreement, the interpretation placed thereon by LANTA shall be final and binding on the parties hereto; provided that any such interpretation shall not be unreasonable.

XXIII. HEADINGS

Any heading of the paragraphs in this Agreement is inserted for convenience and reference only and shall be disregarded in construing and/or interpreting the Agreement.

XXIV. GENDER

Words of gender used in this Agreement may be construed to include any gender and words in the singular may include the plural and words in the plural, the singular.

XXV. NO WAIVER OF TORT CLAIMS ACT

This agreement shall not be construed as a waiver of any processions of applicable Governmental or sovereign tort claims act.

XXVI. APPLICABLE LAW

This Agreement is made in the Commonwealth of Pennsylvania and Commonwealth law, exclusive of its conflict of law rules, shall govern its interpretation, performance, and enforcement. The parties agree that any legal action brought hereunder shall be brought in a court of competent jurisdiction in Lehigh County, Pennsylvania.

XXVII. ASSIGNABILITY

Except as indicated in this Agreement, Contractor shall not assign or transfer any part of the work to be done or services provided under this Agreement to a third party without the prior written consent of LANTA.



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XXVIII. NO WAIVER/CUMULATIVE REMEDIES

No failure by Client to exercise and no delay in exercising any right, power or privilege under this Agreement shall operate as a waiver thereof; nor shall any single or partial exercise of any right, power or privilege hereunder preclude any other or further exercise thereof or the exercise of any other right, power or privilege.

XXIX. COMPLIANCE WITH THE LAW

Contractor shall comply at all times with all applicable Federal, Commonwealth, and local laws and regulations.

XXX. SEVERABILITY

Should any provision of this Agreement in whole or in part be or become invalid, illegal, impracticable, or unenforceable, the validity of the other provisions shall not be affected thereby. In such a case, the invalid, impracticable, or unenforceable provision shall be deemed to be replaced by a provision, which, to the extent admissible according to the applicable laws, comes closest to the purpose of the invalid, impracticable, or unenforceable provision.

XXXI. ENTIRE AGREEMENT/MODIFICATION

This Agreement constitutes the entire Agreement between the parties hereto and may not be modified, altered, amended or surrendered without the written consent and approval of the parties.



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IN WITNESS WHEREOF, the parties hereto have executed this Agreement intending it to be under seal the day and year first above written.

LEHIGH AND NORTHAMPTON TRANSPORTATION AUTHORITY

WITNESS:

By: _____
Owen O'Neil
Executive Director
Date: _____

SEAL:

SELECTED CONTRACTOR

WITNESS:

By: _____
Name: _____ Date: _____
Title: _____

SEAL:



APPENDIX 3 – COMMONWEALTH OF PENNSYLVANIA PROVISIONS (Updated 04/05/2019)

LANTA is funded by the Commonwealth of Pennsylvania and the Pennsylvania Department of Transportation and therefore all vendors are subject to and all procurements include the contract provisions implicitly. The following provisions are required when the provision is applicable, unless preempted by federal procurement provisions. Federal procurement provisions are contained in [Appendix 4](#).

PA-1: Nondiscrimination/Sexual Harassment Clause.

A. APPLICABILITY

This article applies to all purchase orders and contracts.

B. DEFINITIONS

Contract. A type of written agreement, regardless of what it may be called, for the procurement or disposal of supplies, services, or construction or the lease of real estate.

Contractor. Any person that enters into a contract or lease with LANTA.

Employee. An individual drawing a salary, wages, stipend, honorarium or earning a commission from a company, organization or agency, and any non-compensated individual performing services for a company, organization or agency.

Gender identity. A person's internal, deeply held sense of their gender, regardless of their biological sex and/or the sex they were assigned at birth.

Gender expression. The external manifestations of gender, expressed through a person's name, pronouns, clothing, haircut, behavior, voice, and/or body characteristics.

Sexual orientation. An individual's enduring physical, romantic, and/or emotional attraction to members of the same or opposite sex, including lesbian, gay, bisexual, and heterosexual (straight) orientations, or lack thereof, including asexual orientation.

C. The contractor agrees:

In the hiring of any employee(s) for the manufacture of supplies, performance of work, or any other activity required under the contract or any subcontract, the Contractor, each subcontractor, or any person acting on behalf of the Contractor or subcontractor shall not discriminate by reason of race, gender, creed, color, sexual orientation, gender identity or expression, or in violation of the *Pennsylvania Human Relations Act* (PHRA) and applicable federal laws, against any citizen of this commonwealth who is qualified and available to perform the work to which the employment relates.

Neither the Contractor nor any subcontractor nor any person on their behalf shall in any manner discriminate by reason of race, gender, creed, color, sexual orientation, gender identity or expression, or in violation of the PHRA and applicable federal laws, against or intimidate any employee involved in the manufacture of supplies, the performance of work, or any other activity required under the contract.

Neither the Contractor nor any subcontractor nor any person on their behalf shall in any manner discriminate by reason of race, gender, creed, color, sexual orientation, gender identity or expression, or in violation of the PHRA and applicable federal laws, in the provision of services under the contract.



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Neither the Contractor nor any subcontractor nor any person on their behalf shall in any manner discriminate against employees by reason of participation in or decision to refrain from participating in labor activities protected under the *Public Employee Relations Act*, *Pennsylvania Labor Relations Act*, or *National Labor Relations Act*, as applicable and to the extent determined by entities charged with such Acts' enforcement, and shall comply with any provision of law establishing organizations as employees' exclusive representatives.

The Contractor and each subcontractor shall establish and maintain a written nondiscrimination and sexual harassment policy and shall inform their employees in writing of the policy. The policy must contain a provision that sexual harassment will not be tolerated and employees who practice it will be disciplined. Posting this Nondiscrimination/Sexual Harassment Clause conspicuously in easily-accessible and well-lighted places customarily frequented by employees and at or near where the contracted services are performed shall satisfy this requirement for employees with an established work site.

The Contractor and each subcontractor shall not discriminate by reason of race, gender, creed, color, sexual orientation, gender identity or expression, or in violation of PHRA and applicable federal laws, against any subcontractor or supplier who is qualified to perform the work to which the contract relates.

The Contractor and each subcontractor represents that it is presently in compliance with and will maintain compliance with all applicable federal, state, and local laws, regulations and policies relating to nondiscrimination and sexual harassment. The Contractor and each subcontractor further represents that it has filed a Standard Form 100 Employer Information Report ("EEO-1") with the U.S. Equal Employment Enclosure 1 to Management Directive 215.16 Amended Page 2 of 2 Opportunity Commission ("EEOC") and shall file an annual EEO-1 report with the EEOC as required for employers' subject to *Title VII of the Civil Rights Act of 1964*, as amended, that have 100 or more employees and employers that have federal government contracts or first-tier subcontracts and have 50 or more employees. The Contractor and each subcontractor shall, upon request and within the time periods requested by the commonwealth, furnish all necessary employment documents and records, including EEO-1 reports, and permit access to their books, records, and accounts by the contracting agency and the Bureau of Diversity, Inclusion and Small Business Opportunities for purpose of ascertaining compliance with provisions of this Nondiscrimination/Sexual Harassment Clause.

The Contractor shall include the provisions of this Nondiscrimination/Sexual Harassment Clause in every subcontract so that those provisions applicable to subcontractors will be binding upon each subcontractor.

The Contractor's and each subcontractor's obligations pursuant to these provisions are ongoing from and after the effective date of the contract through the termination date thereof. Accordingly, the Contractor and each subcontractor shall have an obligation to inform the commonwealth if, at any time during the term of the contract, it becomes aware of any actions or occurrences that would result in violation of these provisions.

The commonwealth may cancel or terminate the contract and all money due or to become due under the contract may be forfeited for a violation of the terms and conditions of this Nondiscrimination/Sexual Harassment Clause. In addition, the agency may proceed with debarment or suspension and may place the Contractor in the Contractor Responsibility File.



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PA-2: ADA Provision.

A. APPLICABILITY

This article applies to all purchase orders and contracts.

For the purpose of these provisions, the term contractor is defined as any person, including, but not limited to, a bidder, offeror, supplier, or grantee, who will furnish or perform or seeks to furnish or perform, goods, supplies, services, construction, or other activity, under a purchase order, contract, or grant with LANTA.

B. During the term of this agreement, the contractor agrees as follows:

1. Pursuant to federal regulations promulgated under the authority of the *Americans with Disabilities Act*, 28 C.F.R. §35.101 et seq., the contractor understands and agrees that no individual with a disability shall, on the basis of the disability, be excluded from participation in this agreement or from activities provided for under this agreement. As a condition of accepting and executing this agreement, the contractor agrees to comply with the "General Prohibitions Against Discrimination," 28 C.F.R. §35.130, and all other regulations promulgated under *Title II of the Americans with Disabilities Act* which are applicable to the benefits, services, programs, and activities provided by the Commonwealth through contracts with outside contractors
2. The contractor shall be responsible for and agrees to indemnify and hold harmless the Commonwealth from all losses, damages, expenses, claims, demands, suits, and actions brought by any party against the Commonwealth as a result of the contractor's failure to comply with the provisions of the above paragraph.

PA-3: Contractor Integrity Provisions.

A. APPLICABILITY

Each bidder/proposer is requested to certify to its compliance with the Commonwealth of Pennsylvania's Contractor Integrity clause. It is essential that those who seek to contract with LANTA observe high standards of honesty and integrity. They must conduct themselves in a manner that fosters public confidence in the integrity of LANTA's contracting and procurement process.

DEFINITIONS. For purposes of these Contractor Integrity Provisions, the following terms shall have the meanings found in this Section:

1. "Affiliate" means two or more entities where (a) a parent entity owns more than fifty percent (50%) of the voting stock of each of the entities; or (b) a common shareholder or group of shareholders owns more than fifty percent (50%) of the voting stock of each of the entities; or (c) the entities have a common proprietor or general partner.
2. "Consent" means written permission signed by a duly authorized officer or employee of LANTA, provided that where the material facts have been disclosed, in writing, by prequalification, bid, proposal, or contractual terms, LANTA shall be deemed to have consented by virtue of the execution of this contract.
3. "Contractor" means the individual or entity that has entered into this contract with LANTA.
4. "Contractor Related Parties" means any affiliates of the Contractor and the Contractor's executive officers, LANTA's officers and directors, or owners of 5 percent (5%) or more interest in the Contractor.



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5. "Financial Interest" means either:
 - a. Ownership of more than a five percent (5%) interest in any business; or
 - b. Holding a position as an officer, director, trustee, partner, employee, or holding any position of management.
6. "Gratuity" means tendering, giving, or providing anything of more than nominal monetary value including, but not limited to, cash, travel, entertainment, gifts, meals, lodging, loans, subscriptions, advances, deposits of money, services, employment, or contracts of any kind. The exceptions set forth in the *Governor's Code of Conduct, Executive Order 1980-18, the 4 Pa. Code §7.153(b)*, shall apply.
7. "Non-bid Basis" means a contract awarded or executed by LANTA with Contractor without seeking bids or proposals from any other potential bidder or offeror.

B. In furtherance of this policy, Contractor agrees to the following:

- a. Contractor shall maintain the highest standards of honesty and integrity during the performance of this contract and shall take no action in violation of state or federal laws or regulations or any other applicable laws or regulations, or other requirements applicable to Contractor or that govern contracting or procurement with LANTA.
- b. Contractor shall establish and implement a written business integrity policy, which includes, at a minimum, the requirements of these provisions as they relate to the Contractor activity with LANTA and LANTA employees and which is made known to all Contractor employees. Posting these Contractor Integrity Provisions conspicuously in easily-accessible and well- lighted places customarily frequented by employees and at or near where the contract services are performed shall satisfy this requirement.
- c. Contractor, its affiliates, agents, employees and anyone in privity with Contractor shall not accept, agree to give, offer, confer, or agree to confer or promise to confer, directly or indirectly, any gratuity or pecuniary benefit to any person, or to influence or attempt to influence any person in violation of any federal or state law, regulation, executive order of the Governor of Pennsylvania, statement of policy, management directive or any other published standard of the Commonwealth in connection with performance of work under this contract, except as provided in this contract.
- d. Contractor shall not have a financial interest in any other contractor, subcontractor, or supplier providing services, labor, or material under this contract, unless the financial interest is disclosed to LANTA in writing and LANTA consents to Contractor's financial interest prior to LANTA's execution of the contract. Contractor shall disclose the financial interest to LANTA at the time of bid or proposal submission, or if no bids or proposals are solicited, no later than Contractor's submission of the contract signed by Contractor.
- e. Contractor certifies to the best of its knowledge and belief that within the last five (5) years Contractor or Contractor Related Parties have not:
 1. been indicted or convicted of a crime involving moral turpitude or business honesty or integrity in any jurisdiction;
 2. been suspended, debarred or otherwise disqualified from entering into any contract with any governmental agency;
 3. had any business license or professional license suspended or revoked;



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4. had any sanction or finding of fact imposed as a result of a judicial or administrative proceeding related to fraud, extortion, bribery, bid rigging, embezzlement, misrepresentation or anti-trust; and
5. been, and is not currently, the subject of a criminal investigation by any federal, state or local prosecuting or investigative agency and/or civil anti-trust investigation by any federal, state or local prosecuting or investigative agency.

If Contractor cannot so certify to the above, then it must submit along with its bid, proposal or contract a written explanation of why such certification cannot be made and LANTA will determine whether a contract may be entered into with the Contractor. The Contractor's obligation pursuant to this certification is ongoing from and after the effective date of the contract through the termination date thereof. Accordingly, the Contractor shall have an obligation to immediately notify LANTA in writing if at any time during the term of the contract it becomes aware of any event which would cause the Contractor's certification or explanation to change. Contractor acknowledges that LANTA may, in its sole discretion, terminate the contract for cause if it learns that any of the certifications made herein are currently false due to intervening factual circumstances or were false or should have been known to be false when entering into the contract.

- f. Contractor shall comply with the requirements of the *Lobbying Disclosure Act (65 Pa.C.S. §13A01 et seq.)* regardless of the method of award. If this contract was awarded on a Non-bid Basis, Contractor must also comply with the requirements of the *Section 1641 of the Pennsylvania Election Code (25 P.S. §3260a)*.
- g. When Contractor has reason to believe that any breach of ethical standards as set forth in law, the Governor's Code of Conduct, or these Contractor Integrity Provisions has occurred or may occur, including but not limited to contact by a LANTA officer or employee which, if acted upon, would violate such ethical standards, Contractor shall immediately notify the LANTA contracting officer or LANTA's Office of the Inspector General in writing.
- h. Contractor, by submission of its bid or proposal and/or execution of this contract and by the submission of any bills, invoices or requests for payment pursuant to the contract, certifies and represents that it has not violated any of these Contractor Integrity Provisions in connection with the submission of the bid or proposal, during any contract negotiations or during the term of the contract, to include any extensions thereof. Contractor shall immediately notify LANTA in writing of any actions or occurrences that would result in a violation of these Contractor Integrity Provisions. Contractor agrees to reimburse LANTA for the reasonable costs of investigation incurred by LANTA's Office of the Inspector General for investigations of the Contractor's compliance with the terms of this or any other agreement between the Contractor and LANTA that results in the suspension or debarment of the Contractor. Contractor shall not be responsible for investigative costs for investigations that do not result in the Contractor's suspension or debarment.
- i. Contractor shall cooperate with the Commonwealth's Office of the Inspector General in its investigation of any alleged Commonwealth agency or employee breach of ethical standards and any alleged Contractor non-compliance with these Contractor Integrity Provisions. Contractor agrees to make identified Contractor employees available for interviews at reasonable times and places. Contractor, upon the inquiry or request of an Inspector General, shall provide, or if



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appropriate, make promptly available for inspection or copying, any information of any type or form deemed relevant by the Office of the State Inspector General to Contractor's integrity and compliance with these provisions. Such information may include, but shall not be limited to, Contractor's business or financial records, documents or files of any type or form that refer to or concern this contract. Contractor shall incorporate this paragraph in any agreement, contract, or subcontract it enters into in the course of the performance of this contract/agreement solely for the purpose of obtaining subcontractor compliance with this provision. The incorporation of this provision in a subcontract shall not create privity of contract between LANTA and any such subcontractor, and no third party beneficiaries shall be created thereby.

- j. For violation of any of these Contractor Integrity Provisions LANTA may terminate this and any other contract with Contractor, claim liquidated damages in an amount equal to the value of anything received in breach of these Provisions, claim damages for all additional costs and expenses incurred in obtaining another contractor to complete performance under this contract, and debar and suspend Contractor from doing business with LANTA and the Commonwealth. These rights and remedies are cumulative, and the use or non-use of any one shall not preclude the use of all or any other. These rights and remedies are in addition to those the Commonwealth may have under law, statute, regulation, or otherwise.

PA-4: Contractor Responsibility.

A. APPLICABILITY

This article applies to all purchase orders and contracts.

B. For the purpose of these provisions, the term "Contractor" is defined as any person, including, but not limited to, a bidder, offeror, loan recipient, grantee, or subgrantee, or lessor, who has furnished or seeks to furnish goods, supplies, services, or leased space, or who has performed or seeks to perform construction activity under contract, subcontract, grant, or subgrant with the Commonwealth, or with a person under institutions. The term "Contractor" may include a permittee, licensee, or any agency, political subdivision, instrumentality, public authority, or other entity of the Commonwealth.

1. The Contractor must certify, in writing, for itself and all its subcontractors, that as of the date of its execution of any Commonwealth contract, that neither the Contractor, nor any subcontractors, nor any suppliers are under suspension or debarment by the Commonwealth or any governmental entity, instrumentality, or authority and, if the Contractor cannot so certify, then it agrees to submit, along with the bid/proposal, a written explanation of why such certification cannot be made.
2. The Contractor must also certify, in writing, that as of the date of its execution of any Commonwealth contract, it has no tax liabilities or other Commonwealth obligations, or has filed a timely administrative or judicial appeal if such liabilities or obligations exist, or is subject to a duly approved deferred payment plan if such liabilities exist.
3. The Contractor's obligations pursuant to these provisions are ongoing from and after the effective date of the contract through the termination date thereof. Accordingly, the Contractor shall have an obligation to inform the contracting agency if, at any time during the term of the contract, it becomes delinquent in the payment of taxes, or other Commonwealth obligations, or if it or any of its subcontractors are suspended or debarred by the Commonwealth, the federal government, or



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any other state governmental entity. Such notification shall be made within 15 days of suspension or debarment.

4. The failure of the Contractor to notify the contracting agency of its suspension or debarment by the Commonwealth, any other state, or the federal government shall constitute an event of default of the Contract with the Commonwealth.
5. The Contractor agrees to reimburse the Commonwealth for reasonable costs of investigation incurred by the Office of the Inspector General for investigations of the Contractor's compliance with the terms of this or any other agreement between the Contractor and the Commonwealth, which results in the suspension or debarment of the Contractor. Such costs shall include, but shall not be limited to, salaries of investigators, including overtime; travel and lodging expenses; and expert witness and documentary fees. The Contractor shall not be responsible for investigative costs for investigations, which do not result in the Contractor's suspension or debarment.
6. The Contractor may obtain the current list of suspended and debarred Commonwealth Contractors by either searching the Internet at <http://www.dgs.state.pa.us/debarment.htm> or contacting the:

Department of General Services
Office of Chief Counsel
603 North Office Building Harrisburg, PA 17125

PA-5: Diverse Business Participation for Non-Federally-Funded Projects.

A. APPLICABILITY

This article applies to all purchase orders and contracts.

B. For non-federally funded projects, the Contractor shall comply with provisions of Section 303 of Title 74 of Purdon's Statutes. *74 Pa.C.S. §303* (Diverse Business participation).

PA-6: Right To Know.

A. APPLICABILITY

This article applies to all purchase orders and contracts.

B. Subgrantee or Contractor understands that this Agreement and records related to or arising out of the Agreement are subject to requests made pursuant to the *Pennsylvania Right-to-Know Law, 65 P.S. §§67.101-3104*, ("RTKL").

If LANTA needs the Subgrantee's or Contractor's assistance in any matter arising out of the RTKL related to this Agreement, it shall notify the Subgrantee or Contractor using the legal contact information provided in the Agreement. The Subgrantee or Contractor, at any time, may designate a different contact for such purpose upon reasonable prior written notice to LANTA.

Upon written notification from LANTA that it requires Subgrantee's or Contractor's assistance in responding to a request under the RTKL for information related to this Agreement that may be in Subgrantee's or Contractor's possession, constituting, or alleged to constitute, a public record in accordance with the RTKL ("Requested Information"), Subgrantee or Contractor shall:

1. Provide LANTA, within ten (10) calendar days after receipt of written notification, access to, and copies of, any document or information in Subgrantee's or Contractor's possession arising out of



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this Agreement that LANTA reasonably believes is Requested Information and may be a public record under the RTKL; and

2. Provide such other assistance as LANTA may reasonably request, in order to comply with the RTKL with respect to this Agreement.

If Subgrantee or Contractor considers the Requested Information to include a request for a Trade Secret or Confidential Proprietary Information, as those terms are defined by the RTKL, or other information that Subgrantee or Contractor considers exempt from production under the RTKL, Subgrantee or Contractor must notify LANTA and provide, within seven (7) calendar days of receiving the written notification, a written statement signed by a representative of Subgrantee or Contractor explaining why the requested material is exempt from public disclosure under the RTKL.

LANTA will rely upon the written statement from Subgrantee or Contractor in denying a RTKL request for the Requested Information unless LANTA determines that the Requested Information is clearly not protected from disclosure under the RTKL. Should LANTA determine that the Requested Information is clearly not exempt from disclosure, Subgrantee or Contractor shall provide the Requested Information within five (5) business days of receipt of written notification of LANTA's determination.

If Subgrantee or Contractor fails to provide the Requested Information within the time period required by these provisions, Subgrantee or Contractor shall indemnify and hold LANTA harmless for any damages, penalties, costs, detriment or harm that LANTA may incur as a result of Subgrantee's or Contractor's failure, including any statutory damages assessed against LANTA.

LANTA will reimburse Subgrantee or Contractor for any costs associated with complying with these provisions only to the extent allowed under the fee schedule established by the office of Open Records or as otherwise provided by the RTKL if the fee schedule is inapplicable.

Subgrantee or Contractor may file a legal challenge to any LANTA decision to release a record to the public with the Office of Open Records, or in the Pennsylvania Courts, however, Subgrantee or Contractor shall indemnify LANTA for any legal expenses incurred by LANTA as a result of such a challenge and shall hold LANTA harmless for any damages, penalties, costs, detriment or harm that LANTA may incur as a result of Subgrantee's or Contractor's failure, including any statutory damages assessed against LANTA, regardless of the outcome of such legal challenge. As between the parties, Subgrantee or Contractor agrees to waive all rights or remedies that may be available to it as a result of LANTA's disclosure of Requested Information pursuant to the RTKL.

The Subgrantee's or Contractor's duties relating to the RTKL are continuing duties that survive the expiration of this Agreement and shall continue as long as the Subgrantee or Contractor has Requested Information in its possession.

PA-7: Retainage.

A. APPLICABILITY

This article applies to all construction purchase orders and contracts.

B. LANTA may withhold an amount not to exceed ten (10%) percent of LANTA's portion of net Project cost of this Agreement to ensure substantial completion by the contractor of the Project. LANTA may at any time release any portion of any such retainage if, in the opinion of LANTA, the contractor has substantially completed sufficient portions of the Project to justify such payments.



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C. The release of retainage should not be a reduction of or release of bond performance obligations.

PA-8: Pennsylvania Prevailing Wage Act.

The *Pennsylvania Prevailing Wage Act* applies to a public works project that involves construction, reconstruction, demolition, alteration, and/or repair work other than maintenance where the estimated cost of the total project is in excess of \$25,000 and there is no federal funding involved in the project.

PA-9: Project Signs.

All reports and other documents completed, as part of this Contract, other than documents prepared exclusively for internal use, shall contain an appropriate notice of financial assistance provided by PennDOT.

PA-10: Public Works Employment Verification Act.

A. APPLICABILITY

This provision is applicable to a public works project where the estimated cost of the total project is in excess of twenty-five thousand dollars (\$25,000).

B. Bidder acknowledges that this bid is for a public works contract and bidder is therefore subject to the provisions, duties, obligations and penalties of the *Public Works Employment Verification Act, 43 P.S. §167.1-167.11*, which is incorporated herein by reference. The lowest responsible bidder must comply with the *Public Works Employment Verification Act* by submitting a Commonwealth Public Works Employment Verification Form to LANTA prior to award of the contract. The form and relevant information can be found on the Department of General Services' web site at www.dgs.state.pa.us.



APPENDIX 4 - TYPICALLY REQUIRED FEDERAL PROVISIONS (Updated 06/12/2018)

Before LANTA may use FTA assistance to support the acquisition of property or services, it must comply with all applicable Federal laws and regulations, whether or not addressed in the Common Grant Rules. Some of those laws and regulations will affect the third party contractor providing the property or services, or even determine which entities may qualify as a third party contractor. Other laws and regulations will affect the nature of the property or services to be acquired or the terms under which the property or services must be acquired. A recipient may not use FTA assistance to support acquisitions that do not comply with all applicable Federal requirements.

FTA's Master Agreement contains a current, but not all-inclusive, description of statutory and regulatory requirements that may affect a recipient's procurement (such as Disadvantaged Business Enterprise (DBE) and Clean Air requirements). The Master Agreement states that applicable Federal requirements will apply to project participants to the lowest tier necessary to ensure compliance with those requirements. A recipient will also need to include applicable Federal requirements in each subagreement, lease, third party contract, or other document as necessary. For specific guidance on cross-cutting requirements administered by other Federal agencies, FTA recommends that the recipient contact those agencies.

Some of the more typical requirements and restrictions that will affect the use of FTA assistance to finance a recipient's third party contracts include:

I. Notice of Federal Requirements. (**APPLICABLE TO ALL CONTRACTS >\$3,500**)

The Contractor shall at all times comply with all applicable FTA regulations, policies, procedures and directives, including without limitation those listed herein, as they may be amended or promulgated from time to time during the term of this contract, unless the Federal Government determines otherwise. The Contractor's failure to so comply shall constitute a material breach of this contract. 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 LANTA requests, which would cause LANTA to be in violation of the FTA terms and conditions.

II. No Federal Government Obligations to Third Parties (**APPLICABLE TO ALL CONTRACTS >\$3,500**)

As a Federal Transit Administration (FTA) grantee, the Lehigh and Northampton Transportation Authority (LANTA), a Municipal Authority of the Commonwealth of Pennsylvania and County of Lehigh is required to inform the Contractor of the following information:

- A. The Federal Government is not a party to this contract and shall not be subject to any obligations or liabilities to the Contractor, or any other party (whether or not a party to that contract) pertaining to any matter resulting from the underlying contract. Notwithstanding any concurrence provided by the federal government in or approval of any solicitation, sub-agreement, or third-party contract, the federal government continues to have no obligations or liabilities to any party, including the third-party Contractor.



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

III. False or Fraudulent Statements or Claims (***APPLICABLE TO ALL CONTRACTS >\$3,500***)

As an FTA grantee, LANTA is required to inform the Contractor of the following information:

- A. The Contractor and its subcontractors acknowledge that the requirements of the Program Fraud Civil Remedies Act of 1986, as amended, 31 U.S.C. Section 3801, *et seq.*, and U.S. Department of Transportation (DOT) regulations, "Program Fraud Civil Remedies," 49 C.F.R., Part 31, apply to its actions pertaining to this contract. Accordingly, by signing the 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 contract or the FTA assisted project for which this contract work is being performed.
- B. 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, as amended, on the Contractor or its subcontractors to the extent the federal government deems appropriate.

IV. Reporting, Record Retention, Access (***APPLICABLE TO ALL CONTRACTS >\$3,500***)

- A. Reports. At a minimum, the Contractor agrees to provide LANTA and FTA those reports required by U.S. DOT's grant management rules and any other reports LANTA or the Federal Government may require.
- B. Record Retention. The Contractor shall, during the course of the project and for three years thereafter, maintain intact and readily accessible all data, documents, reports, records, contracts, and supporting materials relating to the project as LANTA or the federal government may require for the project.
- C. Access to Records. Upon request, the Contractor shall permit the Secretary of Transportation and the Comptroller General of the United States, or their authorized representatives, to inspect all project work, materials, payrolls, and other data, and to audit the books, records, and accounts of the successful bidder and its contractors pertaining to the project. In accordance with 49 U.S.C. § 5325(a), the successful bidder shall require each third-party contractor whose contract award is not based on competitive bidding procedures as defined by the Secretary of Transportation to permit the Secretary of Transportation and the Comptroller General of the United States, or their duly authorized representatives, to inspect all work, materials, payrolls, and other data and records involving that third-party contract and to audit the books, records, and accounts involving that third-party contract as it affects the Project.



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V. Federal Changes (***APPLICABLE TO ALL CONTRACTS >\$3,500***)

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 MA (24) dated October 1, 2017) between Purchaser and FTA, as they may be amended or promulgated from time to time during the term of this contract. Contractor's failure to so comply shall constitute a material breach of this contract.

VI. Prohibited Interests (***APPLICABLE TO ALL CONTRACTS >\$3,500***)

- A. As an FTA grantee, LANTA is required to inform the Contractor of the following information:
- B. No, member, officer, or employee of a local public body, during his tenure or for one year thereafter, shall have any interest, direct or indirect, in this contract or the proceeds thereof. No member of or delegate to the Congress of the United States shall be admitted to a share or part of this contract or to any benefit arising therefrom.

VII. Incorporation of Federal Transit Administration (FTA) Terms (***APPLICABLE TO ALL CONTRACTS >\$3,500***)

The preceding provisions include, in part, certain Standard Terms and Conditions required by the Department of Transportation (DOT), whether or not expressly set forth in the preceding contract provisions. All contractual provisions required by DOT, as set forth in FTA Circular 4220.1F, are hereby incorporated by reference. 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 LANTA requests, which would cause LANTA to be in violation of the FTA terms and conditions.

VIII. Debarment and Suspension (***APPLICABLE TO ALL CONTRACTS AND SUBCONTRACTS EXCEEDING \$25,000***)

As an FTA grantee, LANTA is required to inform the Contractor of the following information:

1. This contract is a covered transaction for purposes of 49 C.F.R. Part 29. As such, the Contractor is required to verify that the Contractor, its principals, as defined at 49 C.F.R. 29.995, or affiliates, as defined at 49 C.F.R. 29.905, are not excluded or disqualified as defined at 49 C.F.R. 29.940 and 29.945.
2. **The Contractor is required to comply with 49 C.F.R. 29, Subpart C and must include the requirement to comply with 49 C.F.R. 29, Subpart C in any lower tier covered transaction it enters into.**
3. By signing and submitting its bid or proposal, the Contractor certifies as follows:



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4. The certification in this clause is a material representation of fact relied upon by LANTA. If it is later determined that the Contractor knowingly rendered an erroneous certification, in addition to remedies available to LANTA, the Federal Government may pursue available remedies, including but not limited to suspension and/or debarment. The Contractor agrees to comply with the requirements of 49 C.F.R. 29, Subpart C while this offer is valid and throughout the period of any contract that may arise from this offer. The Contractor further agrees to include a provision requiring such compliance in its lower tier covered transactions.

IX. Restrictions on Lobbying (***APPLICABLE TO ALL CONTRACTS EXCEEDING \$100,000***)

- A. LANTA and Contractor shall not use federal assistance funds to support lobbying.
- B. In accordance with 31 U.S.C. §1352 and U.S. DOT regulations, "New Restrictions on Lobbying," 49 C.F.R. Part 20, if the Project exceeds \$100,000, FTA will not make any federal assistance available to the Contractor until FTA has: (a) received the Contractor's certification that the Contractor has not and will not use federal appropriated funds to pay any person or organization to influence or attempt to influence an officer or employee of any federal department or agency, a member of Congress, an officer or employee of Congress, or an employee of a member of Congress in connection with obtaining any federal grant, cooperative agreement, or any other federal award from which funding for the project is originally derived, consistent with 31 U.S.C. §1352, and (b) if applicable, the Contractor's statement disclosing any lobbying with nonfederal funds that has taken place in connection with obtaining any federal financing ultimately supporting the project.
- C. The Contractor agrees to provide LANTA a copy of each lobbying disclosure statement with the accompanying lobbying certification provided by a prospective third-party contractor at any tier or subrecipient at any tier. The form is included in this package for your use.



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X. FTA Protest Requirements (*APPLICABLE TO ALL CONTRACTS >\$3,500*)

As an FTA grantee, LANTA is required to inform the Contractor of the following information:

A. Duty to Exhaust Local Procedures. Once the Contractor exhausts LANTA's protest procedures, as described in applicable LANTA Board Policies, the Contractor may request review from the FTA.

B. FTA Review of Protests

1. The FTA will only review protests regarding the alleged failure of LANTA to have written protest procedures or the LANTA's alleged failure to follow such procedures.
2. Alleged violations on other grounds are under the jurisdiction of appropriate state or local administrative or judicial authorities.
3. Alleged violations of a specific federal requirement that provides an applicable complaint procedure shall be submitted and processed in accordance with that federal regulation. See Buy America Requirements, 49 C.F.R. Part 661 (Section 661.15); Participation by Minority Business Enterprise in Department of Transportation Programs, 49 C.F.R. Section 23.73.
4. The FTA will only review protests submitted by an interested party, as defined below.

C. Remedy The FTA's remedy for a grantee's failure to have written protest procedures, or failure to follow such procedures, is limited to requiring the grantee to develop such procedures in reviewing the protest at issue, if the grantee desires the FTA's financial participation in the contract in question. In instances where a grantee has awarded to another bidder or offeror prior to the FTA's decision on the protest, the FTA may refuse to participate in funding the contract.

D. Definitions For the purposes of this section, the following definitions apply:

1. Days – refers to working days of the federal government.
2. File or Submit – refers to the date of receipt by the FTA.
3. Interested Party – means an actual or prospective bidder or offeror whose direct economic interest would be affected by the award of the contract or by failure to award the contract.
4. Bid – include the term “offer” or “proposal” as used in the context of negotiated procurements.

E. Time for Filing.

1. Protestors shall file a protest with the FTA no later than five days after a final decision is rendered under the grantee's protest procedure. In instances where the protestor alleges that the grantee failed to make a final determination on the protest, protestors shall file a protest



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with the FTA no later than five days after the protestor knew, or should have known, of the grantee's failure to render a final determination on the protest.

2. LANTA shall not award a contract for five days following the decision on a bid protest, except in accordance with the provisions and limitations of subparagraph h. After five days, the grantee shall confirm with the FTA that it has not received

F. Submission of Protest to FTA.

1. Protests should be filed with the appropriate FTA regional office with a concurrent copy to the grantee.
2. The protest filed with the FTA shall include the name and address of the protestor; identify the grantee, project number, and the number of the contract solicitation; and contain a statement of the grounds for 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. A copy of the local protest filed with the grantee and a copy of the grantee's decision should be included, if any.

G. LANTA Response.

1. The FTA shall notify LANTA in a timely manner of the receipt of a protest. The FTA shall instruct LANTA to notify the contractor of the protest if award has been made, or, if no award has been made, to notify all interested parties. The grantee shall notify all who receive such notice that they may communicate further directly with the FTA.
2. LANTA shall submit the following information no later than ten days after receipt of notification by the FTA of the protest: a copy of the grantee's protest procedure; a description of the process followed concerning the protestor's protest; and any supporting documentation.
3. LANTA shall provide the protestor with a copy of the above submission.

H. Protestor Comments. The protestor must submit any comments on the grantee's submission no later than ten (10) days after the protestor's receipt of the grantee's submission.

I. Withholding of Award

1. When a protest has been filed in a timely manner with the grantee before award, the grantee shall not make an award prior to five days after the resolution of the protest, or if a protest has been filed with the FTA, during the pendency of that protest, unless the grantee determines that the items to be procured are urgently required; delivery or performance will be unduly delayed by failure to make the award promptly; or failure to make prompt award will otherwise cause undue harm to the grantee or the federal government.



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2. In the event that the grantee determines that the award is to be made during the five-day period following the local protest decision, or the pendency of a protest, the grantee shall notify the FTA prior to making such award. The FTA will not review the sufficiency of the grantee's determination to award during the pendency of a protest prior to the FTA's bid protest decision. The FTA reserves the right not to participate in the funding of any contract awarded during the pendency of a protest.

J. FTA Action. Upon receipt of the submissions, the FTA will either request further information or a conference among the parties, or will render a decision on the protest.

XI. Fly America Requirements (***APPLICABLE TO ALL CONTRACT, FOR WHICH PROPERTY OR PERSONS ARE TRANSPORTED BY AIR BETWEEN THE U.S. AND FOREIGN DESTINATIONS OR BETWEEN FOREIGN DESTINATIONS.***)

The Contractor agrees to comply with 49 U.S.C. 40118 (the "Fly America" Act) in accordance with the General Services Administration's regulations at 41 C.F.R. Part 301-10, which provide that recipients and subrecipients of Federal funds and their contractors are required to use U.S. Flag air carriers for U.S Government-financed international air travel and transportation of their personal effects or property, to the extent such service is available, unless travel by foreign air carrier is a matter of necessity, as defined by the Fly America Act. The Contractor shall submit, if a foreign air carrier was used, an appropriate certification or memorandum adequately explaining why service by a U.S. flag air carrier was not available or why it was necessary to use a foreign air carrier and shall, in any event, provide a certificate of compliance with the Fly America requirements. The Contractor agrees to include the requirements of this section in all subcontracts that may involve international air transportation.

XII. Cargo Preference (***APPLICABLE TO ALL PROCUREMENTS INVOLVING EQUIPMENT, MATERIALS, OR COMMODITIES, WHICH MAY BE TRANSPORTED BY OCEAN VESSELS***)

46 U.S.C. 1241(b)(1) and 46 C.F.R. Part 381 which imposes U.S. cargo preference requirements on the shipment of foreign made goods shall apply to this procurement.

- A. The Contractor shall utilize privately owned United States-flagged commercial vessels to ship at least 50 percent of the gross tonnage (competed separately for dry bulk carriers, dry cargo liners, and tankers) involved, whenever shipping any equipment, materials, or commodities pursuant to this contract, to the extent such vessels are available at fair and reasonable rates for United States-flagged commercial vessels.
- B. The Contractor shall furnish within 20 days following the date of loading for shipments originating within the United States, or within 30 working days following the date of loading for shipments originating outside United States, a legible copy of a rated, "onboard" commercial ocean bill-of-lading in English for each shipment of cargo described in paragraph (A) above to the Recipient (through the prime Contractor in the case of subcontractor bills-of-lading) and to



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the Division of National Cargo, Office of Market Development, Maritime Administration, 400 Seventh Street, S.W., Washington, D.C. 20590, marked with appropriate identification of the project.

- C. The Contractor shall insert the substance of the provisions of this clause in all subcontracts issued pursuant to this contract.

XIII. National Intelligent Transportation System Architecture and Standards (ITS)
(APPLICABLE TO ALL CONTRACTS >\$3,500 AND INVOLVING ITS PROJECTS)

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.

XIV. Safe Operation of Motor Vehicles ***(APPLICABLE TO ALL CONTRACTS >\$3,500)***

- A. Texting While Driving and Distracted Driving. Consistent with Executive Order No. 13513, "Federal Leadership on Reducing Text Messaging While Driving," October 1, 2009, 23 U.S.C. Section 402 note, and DOT Order 3902.10 "Text Messaging While Driving," December 30, 2009, FTA encourages each third party contractor to promote policies and initiatives for its employees and other personnel that adopt and promote safety policies that decrease crashes by distracted drivers, including policies to ban text messaging while driving, and to include this provision in each third party subcontract involving the project.
- B. Use of Seat Belts (23 U.S.C. §402, Executive Order 13043). Pursuant to Executive order No. 13043 and in accordance with 23 U.S.C. §402, the Contractor is encouraged to adopt and promote on-the-job seat belt use policy and program for its employees and other personnel that operate company-owned, rented, or personally-operated vehicles and include this provision in all subcontracts entered into under this Contract.

XV. Buy America. ***(APPLICABLE TO SERVICES, CONSTRUCTION, AND ACQUISITION OF GOODS OR ROLLING STOCK PROCUREMENTS EXCEEDING \$150,000)***

As an FTA grantee, LANTA is required to inform the Contractor of the following information:

- A. The bidder's attention is directed to the "Buy America" requirements set forth in Section 165 of the federal Surface Transportation Act of 1982, and the FTA regulations implementing Section 165 (49 C.F.R., Part 661). Information on "Buy America" requirements (49 C.F.R., Part 661) is available for review at the LANTA office.



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- B. Any steel or manufactured product used in projects supported by FTA funds must be produced in the United States unless the Secretary of Transportation determines that one of the following exceptions applies:
1. Applying this provision would be inconsistent with the public interest.
 2. The materials and products required for a project are not produced in the United States either in sufficient quantity or not of the quality required for this project.
 3. Including domestically produced material will increase the cost of the contract by more than 25 percent.
 4. Note: In calculating the cost of components under the terms of these provisions, labor costs involved in the final assembly are not to be included.
 5. Where an FTA grantee is purchasing buses or other rolling stock (including train control, communication, and traction power equipment), the cost of components produced in the United States is more than 60 percent of the cost of all the components of the rolling stock or equipment, and final assembly of the stock or equipment has taken place in the United States.
 6. In reference to exception C above, FTA requires that the bid for nondomestic items must be adjusted by the appropriate differential (10 or 25 percent) and then the adjusted overall bid prices compared to determine if the inclusion of domestic materials will increase the "overall project contract." When both "rolling stock" and "non-rolling stock" are being procured in a single contract, the appropriate differentials will be applied to the different items only and not to the overall bid price.
 7. Thus, the foreign purchased components of the individual bid items will be adjusted upward for purposes of determining Buy America compliance only, by 10 percent for rolling stock and 25 percent for non-rolling stock, thereby increasing the Contractor's cost proposal item by the adjusted amount, thereby adjusting the overall total bid price.
 8. The revised bid amount will be the basis for determining the lowest bidder.
 9. Within five days of written notification, the bidder shall provide the necessary information to substantiate the cost of nondomestic items and the factual basis for the claim of exception to the requirements of Section 165(a) of the Surface Transportation Assistance Act of 1982 and the regulations in 49 C.F.R., part 661.
 10. The Buy America Certificate included in the Contract Documents, Alternative 'A' or 'B,' must be completed and submitted with the bid. A bid which does not include either Alternative 'A' or 'B' or which includes both Alternative 'A' and Alternative 'B' may be considered nonresponsive.



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11. The Contractor may seek a waiver from the Buy America provision if grounds for the waiver exist. Inclusion of the Alternative 'B' certificate in a bid constitutes an application by the bidder for an exception to the Buy America requirement applicable to this type of contract. If a bid includes the Alternative 'B' certificate and the FTA, does not grant an exception, the bid will be considered nonresponsive.

XIII. Energy Efficiency (***APPLICABLE TO ALL CONTRACTS EXCEEDING \$3,500***)

As an FTA grantee, LANTA is required to inform the Contractor of the following information:

The successful bidder agrees to comply with the mandatory energy efficiency standards and policies within the applicable state energy conservation plans issued in compliance with the Energy Policy and Conservation Act, 42 U.S.C. §§ 6321 *et seq.* and perform an energy assessment for any building constructed, reconstructed, or modified with federal assistance required under FTA regulations, "Requirements for Energy Assessments," 49 C.F.R. part 622, subpart C.

XIV. Recycled Products Requirements (***APPLICABLE TO ALL CONTRACTS INVOLVING ITEMS DESIGNATED BY THE EPA, WHERE THE PROCURING AGENCY PURCHASES \$10,000 OR MORE OF ONE OF THESE ITEMS IN A FISCAL YEAR, OR WHEN THE COST OF SUCH ITEMS PURCHASED DURING THE PREVIOUS FISCAL YEAR WAS \$10,000***)

- A. Recovered Materials. 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 C.F.R. Part 247, and Executive Order 12873, as they apply to the procurement of the items designated in Subpart B of 40 C.F.R. Part 247.

XV. Clean Air (***APPLICABLE TO ALL CONTRACTS AND SUBCONTRACTS EXCEEDING \$150,000***)

- A. The successful bidder shall comply with all applicable standards, orders, or regulations issued pursuant to the Clean Air Act, as amended, 42 U.S.C. §§ 7401 *et seq.* Specifically:
 1. The successful bidder shall comply with applicable requirements of U.S. EPA regulations, "Conformity to State or Federal Implementation Plans of Transportation Plans, Programs, and Projects Developed, Funded or Approved Under Title 23 U.S.C. or the Federal Transit Act," 40 C.F.R. part 51, Subpart T; and "Determining Conformity of Federal Actions to State or Federal Implementation Plans," 40 C.F.R. Part 93. To support the requisite air quality conformity finding for the Project, the successful bidder shall implement each air quality mitigation and control measure incorporated in the Project. The successful bidder agrees that any Project identified in a State Implementation Plan (SIP) as a Transportation



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Control Measure, will be wholly consistent with the description of 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 successful bidder should be aware that the following U.S. EPA regulations, among others may apply to its projects: "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.

- B. The successful bidder agrees to report and require each third-party contractor and subcontractor at any tier to report any violation of these requirements resulting from any project implementation activity of a third-party contractor, subrecipient, or itself to FTA and the appropriate U.S. EPA Regional Office.

XVI. Clean Water (***APPLICABLE TO ALL CONTRACTS AND SUBCONTRACTS EXCEEDING \$150,000***)

- A. The successful bidder shall 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.*
- B. The successful bidder agrees to report and require each third-party contractor and subcontractor at any tier to report any violation of these requirements resulting from any project implementation activity of a third-party contractor (at any tier), subcontractor (at any tier), or itself to FTA and the appropriate U.S. EPA Regional Office.

XVII. Equal Employment Opportunity (EEO) (***APPLICABLE TO ALL CONTRACTS >\$3,500***)

- A. Federal Requirements and Guidance. The successful bidder / contractor agrees to, and assures that each subcontractor will, prohibit discrimination based on race, color, religion, sex, sexual orientation, gender identity, or national origin, and:
 1. Comply with Title VII of the Civil Rights Act of 1964, as amended, 42 U.S.C. § 2000e *et seq.*,
 2. Facilitate compliance with Executive Order No. 11246, "Equal Employment Opportunity" September 24, 1965 (42 U.S.C. § 2000e note,), as amended by any later Executive Order that amends or supersedes it in part and is applicable to federal assistance programs,
 3. Comply with federal transit law, specifically 49 U.S.C. § 5332, as provided in section 12 of this Master Agreement,
 4. FTA Circular 4704.1 "Equal Employment Opportunity (EEO) Requirements and Guidelines for Federal Transit Administration Recipients," and
 5. Follow other federal guidance pertaining to EEO laws, regulations, and requirements, and prohibitions against discrimination on the basis of disability,



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B. Specifics. The successful bidder / contractor will:

1. Prohibited Discrimination. Ensure that applicants for employment are employed and employees are treated during employment without discrimination based on their race, color, religion, national origin, disability, age, sexual orientation, gender identity, or status as a parent, as provided in Executive Order No. 11246 and by any later Executive Order that amends or supersedes it, and as specified by U.S. Department of Labor regulations,
2. Affirmative Action. Take affirmative action that includes, but is not limited to:
 - a. Recruitment advertising, recruitment, and employment,
 - b. Rates of pay and other forms of compensation,
 - c. Selection for training, including apprenticeship, and upgrading, and
 - d. Transfers, demotions, layoffs, and terminations, but
3. Indian Tribe. Recognize that Title VII of the Civil Rights Act of 1964, as amended, exempts Indian Tribes under the definition of "Employer," and

XVIII. Title VI Civil Rights Act of 1964 (***APPLICABLE TO ALL CONTRACTS > \$3,500***)

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

- A. Compliance with Regulations. The Contractor and any Subcontractors shall comply with the requirements of Title VI of the Civil Rights Act of 1964, 42 U.S.C. § 2000d; 49 U.S.C. § 5332 and DOT Regulations, "Non-Discrimination in Federally-Assisted Programs of the Department of Transportation -- Effectuation of Title VI of the Civil Rights Act," 49 C.F.R. Part 21, and any implementing requirements FTA may issue, as they may be amended from time to time (hereinafter referred to as the Regulations), which are herein incorporated by reference and made a part of this contract.
- B. Nondiscrimination. The Contractor, with regard to the work performed by it during the contract, shall not discriminate on the grounds of race, religion, color, sex, or age, or national origin in the selection and retention of subcontractors, including procurements of materials and leases of equipment. The Contractor shall not participate either directly or indirectly in the discrimination prohibited by Section 21.5 of the Regulations, including employment practices when the contract covers a program set forth in Appendix B of the Regulations.
- C. Solicitations for Subcontractors, including Procurements of Materials and Equipment. In all solicitations either by competitive bidding or negotiations made by the Contractor for work to be performed under a subcontract, including procurements of materials or leases of equipment, each potential subcontractor or supplier shall be notified by the Contractor of the Contractor's obligations under this contract and the regulations relative to nondiscrimination on the grounds of race, religion, color, sex, age, or national origin.
- D. Information and Reports. The Contractor shall provide all information and reports required by the regulations or directive issued pursuant thereto and shall permit access to its books, records,



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accounts, other sources of information, and its facilities as may be determined by the Recipient or the Federal Transit Administration (FTA) to be pertinent to ascertain compliance with such regulations, orders, and instructions. Where any information is required or a Contractor is in the exclusive possession of another who fails or refuses to furnish this information, the Contractor shall so certify to LANTA or FTA, as appropriate, and shall set forth what efforts it has made to obtain the information.

- E. Sanctions for Noncompliance. In the event of Contractor's noncompliance with nondiscrimination provisions of this contract, LANTA shall impose such contract sanctions as it or FTA may determine to be appropriate, including, but not limited to:
1. Withholding of payments to the Contractor under the contract until the Contractor complies, and/or
 2. Cancellation, termination, or suspension of the contract, in whole or in part.
- F. Incorporation of Provisions. The Contractor shall include the provisions of sections A through E of this section in every subcontract, including procurements of materials and leases of equipment, unless exempt by the regulations, or directives issued pursuant thereto. The Contractor shall take such action with respect to any subcontract or procurement as LANTA or FTA may direct as a means of enforcing such provisions including sanctions for noncompliance provided; however, in the event a Contractor becomes involved, or is threatened with litigation with a subcontractor or supplier as a result of such direction, the Contractor may request LANTA to enter into such litigation to protect the interests of LANTA, and in addition, the Contractor may request the United States to enter into such litigation to protect the United States' interests.

XIX. ADA Access (***APPLICABLE TO ALL CONTRACTS OVER \$3,500 FOR ARCHITECTURAL & ENGINEERING, OPERATIONS/MANAGEMENT, ROLLING STOCK PURCHASES AND CONSTRUCTION CONTRACTS***)

Contractor shall comply with 49 U.S.C. §5301(d); all applicable requirements of section 504 of the Rehabilitation Act of 1973, as amended, 29 U.S.C. §794; The American Disabilities Action of 1990 (ADA), as amended, 42 U.S.C. §12101 *et seq.*; The Architectural Barriers Act of 1968, as amended, 42 U.S.C. §4151 *et seq.*; and all applicable requirements of the following regulations and any subsequent amendments thereto:

- A. Federal laws, including:
1. Section 504 of the Rehabilitation Act of 1973, as amended, 29 U.S.C. § 794, which prohibits discrimination based on disability in the administration of federally assisted Programs, Projects, or activities,
 2. The Americans with Disabilities Act of 1990 (ADA), as amended, 42 U.S.C. § 12101 *et seq.*, which requires that accessible facilities and services be made available to individuals with disabilities:
 3. The Architectural Barriers Act of 1968, as amended, 42 U.S.C. § 4151 *et seq.*, which requires that buildings and public accommodations be accessible to individuals with disabilities,



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4. Federal transit law, specifically 49 U.S.C. § 5332, which now includes disability as a prohibited basis for discrimination, and
5. Other applicable federal laws, regulations, and requirements pertaining to access for seniors or individuals with disabilities.

B. Federal regulations and guidance, including:

1. U.S. DOT regulations, "Transportation Services for Individuals with Disabilities (ADA)," 49 CFR Part 37;
2. U.S. DOT regulations, "Nondiscrimination on the Basis of Handicap in Programs and Activities Receiving or Benefiting from Federal Financial Assistance," 49 CFR Part 27;
3. Joint U.S. Architectural and Transportation Barriers Compliance Board (U.S. TBCB)/U.S. DOT regulations, "Americans With Disabilities (ADA) Accessibility Specifications for Transportation Vehicles," 36 CFR Part 1192 and 49 CFR Part 38;
4. U.S. DOJ regulations, "Nondiscrimination on the Basis of Disability in State and Local Government Services," 28 CFR Part 35;
5. U.S. DOJ regulations, "Nondiscrimination on the Basis of Disability by Public Accommodations and in Commercial Facilities," 28 CFR Part 36;
6. U.S. Equal Employment Opportunity Commission, "Regulations to Implement the Equal Employment Provisions of the Americans with Disabilities Act," 29 CFR Part 1630;
7. U.S. Federal Communications Commission regulations, "Telecommunications Relay Services and Related Customer Premises Equipment for the Hearing and Speech Disabled," 47 CFR Part 64, Subpart F and
8. U.S. ATBCB regulations, "Electronic and Information Technology Accessibility Standards," 36 CFR Part 1194;
9. FTA regulations, "Transportation for Elderly and Handicapped Persons," 49 CFR Part 609;
10. FTA Circular 4710.1, "Americans with Disabilities Act: Guidance";
11. Other applicable federal civil rights and nondiscrimination regulations and guidance, and
12. Any implementing requirements FTA may issue.

XX. Disadvantaged Business Enterprise. (***APPLICABLE TO CONTRACTS OVER \$3,500 AWARDED ON THE BASIS OF A BID/PROPOSAL OFFERING TO USE DBE'S***)

To the extent authorized by applicable federal laws, regulations, or requirements, the successful bidder / Contractor will facilitate, participation by small business concerns owned and controlled by socially and economically disadvantaged individuals, also referred to as "Disadvantaged Business Enterprises" (DBEs), in the Underlying Agreement as follows:

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



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- B. DBE Obligation. LANTA and its contractors agree to ensure that disadvantaged business enterprises as defined in 49 CFR Part 26 have the equal opportunity to participate in the performance of contracts and subcontracts financed in whole or in part with federal funds provided under this agreement. In this regard, LANTA and its contractors shall take all necessary and reasonable steps in accordance with 49 CFR Part 26 to ensure that disadvantaged business enterprises have maximum opportunity to compete for and perform contracts. LANTA and its contractors shall not discriminate on the basis of race, color, national origin, or sex in the award and performance of contracts assisted by the Department of Transportation.

XXI. ADA Provision. (***APPLICABLE TO ALL CONTRACTS >\$3,500***)

During the term of this agreement, the successful bidder / contractor agrees as follows:

- A. Pursuant to federal regulations promulgated under the authority of the Americans with Disabilities Act, 28 C. F. R. § 35.101 *et seq.*, the contractor understands and agrees that no individual with a disability shall, on the basis of the disability, be excluded from participation in this agreement or from activities provided for under this agreement. As a condition of accepting and executing this agreement, the contractor agrees to comply with the "General Prohibitions Against Discrimination," 28 C. F. R. § 35.130, and all other regulations promulgated under Title II of the Americans with Disabilities Act which are applicable to the benefits, services, programs, and activities provided by LANTA through contracts with contractors.
- B. The contractor shall be responsible for and agrees to indemnify and hold harmless LANTA from all losses, damages, expenses, claims, demands, suits, and actions brought by any party against the Commonwealth as a result of the contractor's failure to comply with the provisions of the above paragraph.

XXII. Employee Protections

- A. Construction Activities. For construction activities exceeding \$2,000 performed in connection with the project, the successful bidder shall comply with all federal laws, regulations, and requirements providing protections for construction employees involved in each Project or related activities with federal assistance provided through the Underlying Agreement, including:
1. Davis-Bacon Act, as amended
(***APPLICABLE TO CONSTRUCTION CONTRACTS EXCEEDING \$2,000***)
 - a. The successful bidder shall comply and assure compliance with the requirements of 49 U.S.C. § 5333(a), the Davis-Bacon Act, 40 U.S.C. §§ 276a through 276a(7), and implementing U.S. Department of Labor (DOL) regulations, "Labor Standards Provisions Applicable to Contracts Governing Federally Financed and Assisted Construction (also



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Labor Standards Provisions Applicable to Standards Act)," 29 C.F.R. Part 5. In addition to other requirements that may apply:

- b. The successful bidder shall pay wages to laborers and mechanics performing third party contract work at a rate not less than the minimum wages specified in a wage determination issued by the U.S. Secretary of Labor and not less frequently than once a week. LANTA agrees to furnish the bidder a copy of the current prevailing wage determination issued by the U.S. DOL for third-party contract work under the project upon request, and agrees to refrain from awarding any affected third-party contract until the third-party contractor agrees to the required wage determination.
- c. LANTA shall report to FTA every suspected or reported violation of the Davis-Bacon Act or its federal implementing regulations.

2. Contract Work Hours and Safety Standards Act, as amended
(APPLICABLE TO CONSTRUCTION CONTRACTS EXCEEDING \$100,000)

The successful bidder shall comply and assures compliance with sections 102 and 107 of the Contract Work Hours and Safety Standards Act, as amended, 40 U.S.C. §§ 327 through 333; and 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; and U.S. DOL regulations, "Safety and Health Regulations for Construction," 29 C.F.R. Part 1926. In addition to other requirements that may apply:

- a. In accordance with section 102 of the Contract Work Hours and Safety Standards Act, as amended, 40 U.S.C. §§ 327 through 332, the successful bidder shall assure that, for the project the wages of every mechanic and laborer will be computed on the basis of a standard work week of 40 hours, and that each worker shall be compensated for work exceeding the standard work week at a rate of not less than 1.5 times the basic rate of pay for all hours worked in excess of 40 hours in the work week. The successful bidder shall ensure that determinations pertaining to these requirements will be made in accordance with applicable 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.
- b. In accordance with section 107 of the Contract Work Hours and Safety Standards Act, as amended, 40 U.S.C. § 333, the successful bidder shall assure that no laborer or mechanic working on a construction contract shall be required to work in surroundings or under working conditions that are unsanitary, hazardous, or dangerous to his or her health and safety, as determined in accordance with U.S. DOL regulations, "Safety and Health Regulations for Construction," 29 C.F.R. Part 1926,



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- c. The requirements of this Subsection do not apply to third-party contracts for the purchase of supplies, materials, or articles ordinarily available on the open market.

3. Copeland "Anti-Kickback" Act, as amended
(APPLICABLE TO CONSTRUCTION CONTRACTS)

- a. The successful bidder shall comply as applicable with the Copeland "Anti-Kickback" Act, 18 U.S.C. § 874 and 40 U.S.C. § 276c, and U.S. 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:
 - i. The successful bidder 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.
 - ii. The successful bidder shall comply with 40 U.S.C. §3145 and each week furnish a statement on the wages paid each employee during the prior week.
(APPLICABLE TO CONSTRUCTION CONTRACTS EXCEEDING \$2,000)
 - iii. LANTA shall report every suspected or reported violation of the Copeland "Anti-Kickback" Act or its federal implementing regulations to FTA.

B. Activities Not Involving Construction.
(APPLICABLE TO NON-CONSTRUCTION CONTRACTS EXCEEDING \$100,000)

For non-construction activities exceeding \$100,000 performed in connection with the project, the successful bidder shall comply with the following employee protection requirements:

- 1. In accordance with Section 102 of the Contract Work Hours and Safety Standards Act, as amended, 40 U.S.C. §3702 and other relevant part of that Act, 40 U.S.C. §3701 *et seq.*, the successful bidder shall assure that, for the project, the wages of every mechanic and laborer will be computed on the basis of a standard work week of 40 hours and that each worker will be compensated for work exceeding the standard work week at a rate of not less than 1.5 times the basic rate of pay for all hours worked in excess of 40 hours in the work week. The successful bidder agrees that determinations pertaining to these requirements will be made in accordance with the applicable 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.
- 2. The requirements of this Subsection do not apply to third-party contracts for the purchase of supplies, materials, or articles ordinary available on the open market.



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- C. State and Local Government Employees. The successful bidder shall ensure that the minimum wage and overtime provisions of the Fair Labor Standards Act, as amended, 29 U.S.C. §§ 206 and 207, apply to employees performing work involving commerce, including such state and local government employees as public transit authority employees, participating in the project. Consequently, each participant that is a state or local government agrees to comply with the Fair Labor Standards Act's minimum wage and overtime requirements for employees performing work in connection with the project.

XXIII. Seismic Safety. ***(APPLICABLE TO ALL CONSTRUCTION CONTRACTS FOR NEW BUILDINGS OR ADDITIONS TO EXISTING BUILDINGS)***

The Contractor agrees that any new building or addition to an existing building will be designed and constructed in accordance with the standards for Seismic Safety required in Department of Transportation Seismic Safety Regulations 49 C.F.R. Part 41 and will certify to compliance to the extent required by the regulation. The contractor also agrees to ensure that all work performed under this contract including work performed by a subcontractor is in compliance with the standards required by the Seismic Safety Regulations and the certification of compliance issued on the project.

XXIV. Equal Employment Opportunity Requirements for Construction Activities. ***(APPLICABLE TO ALL CONSTRUCTION CONTRACTS)***

Comply, when undertaking “construction” as recognized by the U.S. Department of Labor (U.S. DOL), with:

- A. U.S. DOL regulations, “Office of Federal Contract Compliance Programs, Equal Employment Opportunity, Department of Labor,” 41 C.F.R. chapter 60, and
- B. Executive Order No. 11246, “Equal Employment Opportunity in Federal Employment,” September 24, 1965, 42 U.S.C. § 2000e note (30 Fed. Reg. 12319, 12935), as amended by any later Executive Order that amends or supersedes it, referenced in 42 U.S.C. § 2000e note.

XXV. Veterans Employment. ***(APPLICABLE TO ALL CONSTRUCTION CONTRACTS)***

Contractors working on a federally funded project give a hiring preference, to the extent practicable, to veterans (as defined in 5 USC §2108) who have the requisite skills and abilities to perform the construction work required under the contract. This provision 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 any racial or ethnic minority, female, an individual with a disability, or former employee.



XXIV. Transit Employee Protective Arrangements (***APPLICABLE TO EACH CONTRACT FOR TRANSIT OPERATIONS PERFORMED BY EMPLOYEES OF A CONTRACTOR RECOGNIZED BY FTA TO BE A TRANSIT OPERATOR***)

The successful bidder shall comply with the following requirements applicable to transit operations performed in connection with the project:

- A. Standard Transit Employee Protective Arrangements To the extent that transit operations are involved, the successful bidder shall carry out the project in compliance with terms and conditions determined by the Secretary of Labor to be fair and equitable to protect the interests of employees affected by the project and to meet the requirements of 49 U.S.C. § 5333(b), and U.S. guidelines at 29 C.F.R. Part 215, and any amendments thereto. These terms and conditions are identified in U.S. DOL's certification of transit employee protective arrangements to FTA, the date of which is included in the Grant Agreement or Cooperative Agreement. The successful bidder shall carry out the project in compliance with the conditions stated in that U.S. DOL certification.

That U.S. DOL certification and any documents cited therein are incorporated by reference and made part of the Grant Agreement or Cooperative Agreement. The requirements of this Subsection, however, do not apply to formula assistance projects for the elderly and persons with disabilities authorized by 49 U.S.C. § 5310(a)(2) or to formula assistance projects for non-urbanized areas authorized by 49 U.S.C. § 5311.

- B. Transit Employee Protective Arrangements for Projects Authorized by 49 U.S.C. § 5310(a)(2) for the Elderly and Persons with Disabilities. If the Secretary of Transportation has determined or determines in the future that employee protective arrangements required by 49 U.S.C. § 5333(b) are necessary or appropriate for public body subrecipients under the project, the successful bidder shall carry out the project in compliance with the terms and conditions determined by the Secretary of Labor to meet the requirements of 49 U.S.C. § 5333(b), and U.S. DOL guidelines at 29 C.F.R. Part 215, and any amendments thereto. These terms and conditions are identified in U.S. DOL's certification of transit employee protective arrangements to FTA, the date of which is included in the Grant Agreement or Cooperative Agreement. The successful bidder shall carry out the Project in compliance with the conditions stated in that U.S. DOL certification. That U.S. DOL certification and any documents cited there in are incorporated by reference and made part of the Grant Agreement or Cooperative Agreement.
- C. Transit Employee Protective Arrangement for Projects Authorized by 49 U.S.C. § 5311 in Non-urbanized Areas The successful bidder shall comply with the terms and conditions of the Special Warranty for the Non-urbanized Area Program agreed to by the Secretaries of Transportation and Labor, dated May 31, 1979, and the procedures implemented by U.S. DOL or any revision thereto.



XXVI. Charter Bus and School Bus Service Requirements (***APPLICABLE ONLY TO OPERATIONAL BUS SERVICE CONTRACTS***)

- A. Charter Service Operations The Contractor agrees to comply with 49 U.S.C. 5323(d) (g), and (r), and FTA regulations, "Charter Service," 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 under one of the exceptions at 49 C.F.R. 604.9. Any charter service provided under one of the exceptions must be "incidental," i.e., it must not interfere with or detract from the provision of mass transportation.
- B. School Bus Operations Pursuant to 49 U.S.C. 5323(f) and 49 C.F.R. Part 605, recipients and subrecipients of FTA assistance may not engage in school bus operations exclusively for the transportation of students and school personnel in competition with private school bus operators unless qualified under specified exemptions. When operating exclusive school bus service under an allowable exemption, recipients and subrecipients may not use federally funded equipment, vehicles, or facilities.

XXVII. Drug and Alcohol Testing Requirements (***APPLICABLE TO OPERATIONAL BUS & PARATRANSIT SERVICE CONTRACTS***)

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, any Pennsylvania regulation agency, or LANTA, 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 when requested by LANTA and to submit the Management Information System (MIS) reports before March 1st annually to LANTA. To certify compliance the Contractor shall use the "Substance Abuse Certifications" in the "Annual List of Certifications and Assurances for Federal Transit Administration Grants and Cooperative Agreements," which is published annually in the Federal Register.



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XXVIII. Privacy Act Requirements **(APPLICABLE TO ALL CONTRACTS)**

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

- A. The Contractor agrees to comply with, and assures the compliance of its employees with, the information restrictions and other applicable requirements of the Privacy Act of 1974, 5 U.S.C. §552a. Among other things, the Contractor agrees to obtain the express consent of the Federal Government before the Contractor or its employees operate a system of records on behalf of the Federal Government. The Contractor understands that the requirements of the Privacy Act, including the civil and criminal penalties for violation of that Act, apply to those individuals involved, and that failure to comply with the terms of the Privacy Act may result in termination of the underlying contract.
- B. The Contractor also agrees to include these requirements in each subcontract to administer any system of records on behalf of the Federal Government financed in whole or in part with Federal assistance provided by the FTA.

XXIX. Patent and Rights in Data **(APPLICABLE TO ALL CONTRACTS)**

- A. Rights in Data These following requirements apply to each contract involving experimental, developmental or research work:
 - 1. The term "subject data" used in this clause means recorded information, whether or not copyrighted, that is delivered or specified to be delivered under the contract. The term includes graphic or pictorial delineation in media such as drawings or photographs; text in specifications or related performance or design-type documents; machine forms such as punched cards, magnetic tape, or computer memory printouts; and information retained in computer memory. Examples include, but are not limited to: computer software, engineering drawings and associated lists, specifications, standards, process sheets, manuals, technical reports, catalog item identifications, and related information. The term "subject data" does not include financial reports, cost analyses, and similar information incidental to contract administration.
 - 2. The following restrictions apply to all subject data first produced in the performance of the contract to which this Attachment has been added:
 - a. 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; this restriction on publication, however, does not apply to any contract with an academic institution.



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- b. In accordance with 49 C.F.R. § 18.34 and 49 C.F.R. § 19.36, the Federal Government reserves a royalty-free, non-exclusive and irrevocable license to reproduce, publish, or otherwise use, and to authorize others to use, for "Federal Government purposes," any subject data or copyright described in subsections (2)(b)1 and (2)(b)2 of this clause below. As used in the previous sentence, "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 extend its Federal license to any other party.
 - i. Any subject data developed under that contract, whether or not a copyright has been obtained; and
 - ii. Any rights of copyright purchased by the Contractor using Federal assistance in whole or in part provided by FTA.
- c. When FTA awards Federal assistance for experimental, developmental, or research work, it is FTA's general intention to increase transportation knowledge available to the public, rather than to restrict the benefits resulting from the work to participants in that work. Therefore, unless FTA determines otherwise, the Contractor performing experimental, developmental, or research work required by the underlying contract to which this Attachment is added agrees to permit FTA to make available to the public, either FTA's license in the copyright to any subject data developed in the course of that contract, or a copy of the subject data first produced under the contract for which a copyright has not been obtained. If the experimental, developmental, or research work, which is the subject of the underlying contract, is not completed for any reason whatsoever, all data developed under that contract shall become subject data as defined in subsection (a) of this clause and shall be delivered as the Federal Government may direct. This subsection (c), however, does not apply to adaptations of automatic data processing equipment or programs for the Contractor's use whose costs are financed in whole or in part with Federal assistance provided by FTA for transportation capital projects.
- d. Unless prohibited by state law, upon request by the Federal Government, the Contractor agree to indemnify, save, and hold harmless the Federal Government, its officers, agents, and employees acting within the scope of their official duties against any liability, including costs and expenses, resulting from any willful or intentional violation by 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 that contract. Contractor shall not be required to indemnify the Federal Government for any such liability arising out of the wrongful act of any employee, official, or agents of the Federal Government.
- e. Nothing contained in this clause on rights in data shall imply a license to the Federal Government under any patent or be construed as affecting the scope of any license or other right otherwise granted to the Federal Government under any patent.



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- f. Data developed by Contractor and financed entirely without using Federal assistance provided by the Federal Government that has been incorporated into work required by the underlying contract to which this Attachment has been added is exempt from the requirements of subsections (b), (c), and (d) of this clause, provided that the Contractor identifies that data in writing at the time of delivery of the contract work.
 - g. Unless FTA determines otherwise, the Contractor agrees to include these requirements in each subcontract for experimental, developmental, or research work financed in whole or in part with Federal assistance provided by FTA.
 - 3. Unless the Federal Government later makes a contrary determination in writing, irrespective of the Contractor's status (i.e., a large business, small business, state government or state instrumentality, local government, nonprofit organization, institution of higher education, individual, etc.), Contractor agrees to take the necessary actions to provide, through FTA, those rights in that invention due the Federal Government as described 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.
 - 4. The Contractor also agrees to include these requirements in each subcontract for experimental, developmental, or research work financed in whole or in part with Federal assistance provided by FTA.
- B. Patent Rights The following requirements apply to each contract involving experimental, developmental, or research work:
- 1. General If any invention, improvement, or discovery is conceived or first actually reduced to practice in the course of or under this Agreement, and that invention, improvement, or discovery is patentable under the laws of the United States of America or any foreign country, Contractor agrees to take actions necessary to provide immediate notice and a detailed report to the party at a higher tier until FTA is ultimately notified.
 - 2. Unless the Federal Government later makes a contrary determination in writing, irrespective of the Contractor's status (a large business, small business, state government or state instrumentality, local government, nonprofit organization, institution of higher education, individual), the Contractor agree to take the necessary actions to provide, through FTA, those rights in that invention due the Federal Government as described 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.



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3. The Contractor also agrees to include the requirements of this clause in each subcontract for experimental, developmental, or research work financed in whole or in part with Federal assistance provided by FTA.

APPENDIX 5 - GENERAL CONDITIONS

Lehigh and Northampton Transportation Authority (LANTA) Request for Proposals (RFP) On-Call Planning, Engineering, Design and Construction Management Services

The Lehigh and Northampton Transportation Authority, herein referred to as LANTA, is seeking Statements of Qualifications (SOQs) from qualified parties to provide planning, engineering, design, and construction administration services on an on call basis over a three (3) year period, with the possibility of extending the contract term for two one-year extensions at LANTA's option.

A complete Request for Proposals package will be available on PENNBID at www.pennbid.net. Statements of Qualifications are due no later than **2:00 p.m. August 27, 2018**.

Statements of Qualifications will be evaluated using the following criteria:

- (1) Qualifications of the firm based on description of experience and quality assurance practices;
- (2) Relevant experience of the proposed Project Manager and key personnel;
- (3) Potential for cost efficiencies based on provided rate schedules;
- (4) Quality and reliability of the proposer based on reports from references;
- (5) Responsiveness of the statement of qualifications to all elements of the Request for Proposals;

Although not a requirement for bidding, in an effort to promote small businesses additional consideration will be provided for prime bidders with small business participation and/or joint bids where one or more of the bid participants are small businesses. Proposers claiming small business participation should include SBA/VA/PennDOT documentation verifying their status. Acceptable certifications establishing small business status are:

- Veteran Owned Small Businesses (VOSB)
- Service Disabled Veteran Owned Small Businesses (SDVOSB)
- Women-Owned Small Business (WOSB)
- Small Business Administration (SBA) 8a Business Development (BD) Program
- Small Business Administration (SBA) Small Disadvantaged Business (SDB)
- Small Business Administration (SBA) HUBZone
- Disadvantaged Business Enterprises (DBE); and/or
- PennDOT Diverse Business (DB)
- PennDOT Small Business Enterprise (SBE)

*For Women-Owned Small Businesses, the firm's status should be noted in their System for Award Management (SAM) profile or a letter confirming certification should be provided from one of the four organizations approved by the SBA to provide third-party certification: the US Women's Chamber of Commerce, the National Women Business Owner's Corporation, the Women's Business Enterprise National Council (WBENC), or the El Paso Hispanic Chamber of Commerce.

Electronic proposals and questions regarding this project should be submitted via PENNBID at www.pennbid.net.

CONTRACT PART I GENERAL CONDITIONS

I. Financial Assistance Grant

The labor and materials described in these specifications are to be purchased with the assistance of a grant from the Federal Government under the Urban Mass Transportation Act of 1964 as amended. The successful bidder and all subcontractors will be required to comply with all terms and conditions prescribed for third party contracts in a grant contract between the United States of America and the purchaser. This grant/contract is available for examination by prospective bidders at the LANTA offices, 1060 Lehigh Street, Allentown, PA 18103.

II. Approval of U.S. Department of Transportation

Where required, the award of a contract will be subject to the concurrence of the United States Department of Transportation (U.S. DOT).

III. Federal Regulations

The contract between the purchaser and the successful bidder shall contain the following provision:

- A. Equal Employment Opportunity. In connection with the carrying out of this project, the contractor shall not discriminate against any employee or applicant for employment because of race, color, religion, national origin, sex (including gender identity, sexual orientation, and pregnancy), age, genetic information, disability, veteran status, medical condition, marital status, citizen status, and any other protected class. The contractor will take affirmative action to insure that applicants are employed, and the employees are treated during employment without regard to their race, color, religion, national origin, sex (including gender identity, sexual orientation, and pregnancy), age, genetic information, disability, veteran status, medical condition, marital status, citizen status, and any other protected class. Such action shall include but not be limited to the following: employment, upgrading, demotion or transfer, recruitment advertising, layoff or termination, rates of pay or other compensation, and selection for training, including apprenticeship.
- B. Prohibited Interest. No member, officer, or employee of the Authority, during his tenure or for one year thereafter, shall have any interest, direct or indirect, in this contract or the proceeds thereof.
- C. Interest of Members or Delegates to Congress. No member of or delegate to the Congress of the United States shall be admitted to any share or part of this contract or receive any benefit arising there from.
- D. Proposed Change. Any proposed change in this contract shall be submitted to the appropriate public body for its prior approval.

E. General

1. It is required that the attached non-collusion affidavit shall be executed and delivered with the bid.
2. Bidders must certify that they are not on the Comptroller General's list of ineligible bidders.
3. The bidder shall comply with all applicable Federal, State and local laws and their respective rules and regulations. This compliance shall be at the contractor's expense.
4. Sealed bid proposals shall be submitted in clearly marked and must be received at the office of the Authority prior to the scheduled time of the proposals opening. Proposals received after the scheduled proposals opening time will not be considered.

F. Title VI of the Civil Rights Act of 1964. During the performance of this contract, LANTA, for itself, its assignees and successors in interest (hereinafter referred to as the "contractor") agrees as follows:

1. Compliance with Regulations. The Contractor shall comply with the regulations relative to nondiscrimination in federally-assisted programs of the Department of Transportation (hereinafter "DOT") Title 49, Code of Federal Regulations, Part 21, as they may be amended from time to time (hereinafter referred to as the Regulations), which are herein incorporated by reference and made a part of this contract.
2. Nondiscrimination. The Contractor, with regard to the work performed by it during the contract, shall not discriminate on the grounds of race, color, sex, or national origin in the selection and retention of subcontractors, including procurements of materials and leases of equipment. The Contractor shall not participate either directly or indirectly in the discrimination prohibited by Section 21.5 of the Regulations including employment practices when the contract covers a program set forth in Appendix B of the Regulations.
3. Solicitations for Subcontracts, including Procurements of Materials and Equipment. In all solicitations either by competitive bidding or negotiation made by the contractor for work to be performed under a subcontract, including procurements of materials or leases of equipment, each potential subcontractor or supplier shall be notified by the contractor of the contractor's obligations under this contract and the Regulations relative to nondiscrimination on the grounds of race, color, sex or national origin.
4. Information and Reports. The Contractor shall provide all information and reports required by the Regulations or directives issued pursuant thereto and shall permit access to its books, records, accounts, other sources of information, and its facilities as may be determined by LANTA or the Federal Transit Administration (FTA) to be pertinent to ascertain compliance with such regulations, orders, and instructions. Where any information is required or a contract is in the exclusive possession of another who

fails or refuses to furnish this information, the contractor shall so certify to LANTA or the Federal Transit Administration, as appropriate, and shall set forth what efforts it has made to obtain the information.

5. Sanctions for Noncompliance. In the event of contractor noncompliance with the nondiscrimination provisions of this contract, LANTA shall impose such contract sanctions as it or the Federal Transit Administration may determine to be appropriate including, but not limited to:
 - i. Withholding of payments to the contractor under the contract until the contractor complies; and/or
 - ii. Cancellation, termination, or suspension of the contract, in whole or in part.
6. Incorporation of Provisions. The Contractor shall include the provisions of paragraphs (1) through (5) in every subcontract, including procurements of materials and leases of equipment, unless exempt by the Regulations or directives issued pursuant thereto. The Contractor shall take such action with respect to any subcontract or procurement as the Recipient of the Federal Transit Administration may direct as a means of enforcing such provisions, including sanctions for noncompliance: provided, however, that in the event a contractor becomes involved in, or is threatened with litigation with a subcontractor or supplier as a result of such direction, the contractor may request LANTA to enter into such litigation to protect the interest of the United States.

- G. BUY AMERICA. The contractor agrees to comply with 49 U.S.C. 5323(j) and 49 C.F.R. Part 661, which provide that Federal funds may not be obligated unless steel, iron, and manufactured products used in FTA-funded projects are produced in the United States, unless a waiver has been granted by FTA or the product is subject to a general waiver. Separate requirements for rolling stock are set out at 49 U.S.C. 5323(j) (2) (C) and 49 C.F.R. 661.11. Rolling stock must be assembled in the United States and have a 65 percent domestic content for deliveries in 2018 and 2019 and for fiscal year 2020 and beyond it is more than 70 percent.

IV. Intent of Specifications

Only products produced by manufacturers who have demonstrated experience in this field will be considered. The products offered shall be of high grade. The proposal shall include a complete description of each product to be furnished.

V. Compliance with Specifications

In all cases, materials must be furnished as specified, but where brand names are used, consider the terms "approved equal" to follow; however, written approval for any proposed "equal" must be received in writing before the scheduled bid opening.

All bids received shall remain in effect for 30 days after bid opening.

VI. Minority Participations

It is federal and state policy to award a fair share of contracts to disadvantaged business firms. Accordingly, affirmative steps must be taken to assure that disadvantaged businesses are utilized to meet DBE goals and objectives as outlined in the Grant Agreement. It is hereby declared to be the public policy of LANTA to solicit and encourage participation of certified Disadvantaged Business Enterprise (DBE) firms as well as Veteran's Administration (VA) certified Veteran Owned Small Businesses (VOSB) and Service Disabled Veteran Owned Businesses (SDVOB). DBE's and VA certified VOSB's and SDVOB's will be afforded full consideration of their responses. No percentage goal is set for this contract. However, it should be noted that a "good faith effort" should be made to involve such enterprises in any contract/subcontract work that is part of the scope set forth.

1. "Disadvantaged Business Enterprises" as defined in Section 8 (d) of the Small Business Act, is a small business concern owned and controlled by socially and economically disadvantaged individuals. The term "owned" means that at least fifty percent (50%) of the business is owned by disadvantaged group members, or in case of publicly owned business, at least fifty one percent (51%) of the stock of which is owned by disadvantaged group members.
2. The LANTA's stated goal for DBE participation is ten percent (5.5%). DBE firms are encouraged to participate in this offering. Firms who are certified as DBE should submit documentation of such with their bids. Firms that believe they may qualify for DBE status should contact LANTA for further information.
3. A copy of LANTA's Disadvantaged Business Enterprises plan is available for inspection at LANTA office during normal business hours. Joint ventures, especially those which foster DBE participation, are encouraged for this offering, as well as VA certified VOSB or SDVOB participation and Certified Small Businesses.

VII. Conditional Proposals

Conditional proposals, or those that take exceptions to the specifications, will be considered non-responsive and will be rejected.

VIII. Due Date

Written proposals must be received in the administrative offices of the Lehigh and Northampton Transportation Authority, 1060 Lehigh Street, Allentown, PA 18103, on or before August 26, 2010 at 10:00 A.M. local time to be considered. Proposals received after this date and time will be considered unresponsive and returned unopened. Proposals must be sealed and clearly marked Telecommunications System Proposal."

IX. Rejection of Proposals

The LANTA reserves the right to reject any and all proposals received as a result of the RFP, and to cancel this solicitation for reasons determined to be in LANTA's best interest.

X. Bid Forms

Bids must be submitted on forms provided. Bids submitted in any other form will be considered non-responsive and will be rejected. The enclosed affidavit of non-collusion and Buy-America Form must be completed and submitted with the proposal.

XI. Changes

1. LANTA reserves the right to postpone this bid opening for its own convenience and to reject any or all bids. This contract may be awarded without further discussion or notification of any party.
2. Changes to the specifications will be made by written addendum only and distributed to all interested parties via United States Postal Service First Class service.
3. Prime contractors and subcontractors may make appointments to discuss these specifications. This, however, does not relieve them from reducing the request to writing and providing full written documentation for the request.

XII. Definition of Terms

The term "manufacturer/proposer" used in this specification means the concern or its duly authorized representative accepting the order to furnish and deliver materials and/or services covered by this specification. The term "purchaser" refers to LANTA.

XIII. Errors and Omissions

Proposers will not be allowed to take advantage of any errors or omissions in this specification. Full instructions will be given to all requestors as an addendum, should errors or omissions be called to the attention of LANTA. All addenda must be acknowledged by signature within the proposal. The LANTA will not be liable for errors and omissions in any of the documents.

XIV. Proposal Evaluation

Technical proposals will be evaluated using the following criteria:

1. Responsiveness of the proposed system to the Request for Proposals, particularly as it relates to the proven performance of the system in similar operating environments - 40%.
2. Experience of the firm and personnel assigned to the project - 30%.
3. Ongoing cost of operating and maintaining the system - 15%.
4. Financial viability of the vendor and ability to support the system after the sale - 10%
5. Ability to complete the project in a timely manner - 5%.

Proposals will be evaluated by a committee made up of the following individuals within the LANTA organization: Executive Director, Director of Finance & Administration, Director - Maintenance/Materials, Supervisor – Maintenance/Materials. During the evaluation process, proposers may be asked to set up appointments with this group to explain their proposal in more detail.

XV. Award of Contract

1. Based on the evaluation described in Section XIII above, LANTA shall determine which bidders fall within a competitive range (i.e.: those whose proposed systems adequately address the technical requirements outlined in the scope of services).
2. Price proposals will be solicited from all bidders who are found to be technically acceptable. A contract award will be made to the lowest responsive and responsible bidder asked to submit a bid.
3. In arriving at the purchase price, LANTA must determine that the offer price is "fair and reasonable." In so doing, LANTA may conduct a price analysis that accounts for such factors as the price quoted for similar systems in a competitive bidding environment and/or other factors that determine the cost of such systems.
4. Contractors will be expected to supply pricing data as needed by LANTA to conduct pricing determinations.

- END OF CONTRACT PART I -

APPENDIX 6 - INSTRUCTIONS TO BIDDERS

CONTRACT PART I -INSTRUCTIONS TO BIDDERS AND GENERAL CONDITIONS

1.0 Quote Submission and Due Date

1.1 All quotes will be due at the offices of the Lehigh and Northampton Transportation Authority, 1060 Lehigh Street, Allentown, PA 18103, Attn: Executive Director. Bids must be received no later than Day of Week, Month, Day, Year at Time. An original proposal and number (X) copy must be supplied and must contain the signature of an official of the proposer who is authorized to enter into contracts on behalf of the proposer.

1.2 At the time, date and place described above, all quotes will be publicly opened and read aloud. A contract award will be made to the lowest responsive and responsible bidder.

1.3 Bids will not be accepted from a firm under the following conditions:

- a. That firm is on the Comptroller General's List of Ineligible Contractors
- b. The materials and services proposed to be supplied do not meet the minimum performance criteria as described in the technical specifications.

1.4 The Lehigh and Northampton Transportation Authority (LANta) reserves the right to reject any and/or all bids if the price proposed by the bidder is greater than the amount of funding available for the project.

1.5 All quotes shall include completed and executed copies of the contract forms contained in Section III of this solicitation along with a copy of these specification documents and any addenda. These forms include an executed non-collusion affidavit and price proposal.

1.5.1 The quotes shall be submitted in envelopes clearly marked "Quotation – Project Name" and must be received at the office of LANTA prior to the scheduled time of the opening. Quotations received after the scheduled time of the opening will not be considered. The LANTA will not be responsible for the failure of any delivery company to properly deliver a quote.

1.5.2 Quotes must be submitted on forms provided. Bids submitted in any other form may be considered non-responsive and may be rejected.

1.6 The LANTA reserves the right to postpone quotation opening for its own convenience.

1.7 Changes to the specifications will be made by addendum.

1.8 All contractors will be held to have examined these documents and the site in making their proposals.

2.0 Project Completion

2.1 All work undertaken as a result of this procurement will be completed within thirty (30) calendar days of issuance of a Notice to Proceed. The Contractor is responsible for assuring that all concrete poured cures properly given existing weather conditions at the time the work is completed. If the Contractor anticipates problems with cold weather or any other environmental condition during this timeframe, the price shall include those measures which will insure proper curing.

2.2 The Contractor is responsible for instructing LANTA in proper short term and long term maintenance of the installed concrete including, but not limited to, curing time before use and any application of annual sealing compounds. If a sealing compound is required, the Contractor will be responsible for its initial application and shall include such in its quotation.

2.3 Award of Contract

The award of contract will be made to the responsive and responsible low bidder whose bid conforms to the specification documents. In determining the successful bidder consideration will be given to price, responsiveness to the specifications and experience of the bidder in providing the goods and services required. The LANTA reserves the right to accept or reject any or all bids. The bid may be awarded without any further discussion.

2.4 Term of Payment

The Contractor shall submit an invoice for all contracted goods and services at the completion of installation. Payment by the Lehigh and Northampton Transportation Authority will be made within thirty (30) days of receipt of an approved invoice.

2.5 Taxes

The Lehigh and Northampton Transportation Authority is exempt from payment of all federal, state and local taxes in connection with this purchase and said taxes shall not be included in the bid price. The LANTA will provide necessary tax-exempt certificates to the supplier upon request.

APPENDIX 7 - BID PROTEST PROCEDURES

PROTESTED SOLICITATIONS AND AWARDS

LANTA BID/PROPOSAL PROTEST PROCEDURE

1. PURPOSE

- a. The policies and procedures governing the receipt and resolution of protests in connection with an Invitation for Bid (IFB) or Request for Proposal (RFP) are outlined below. This procedure is applicable to all IFBs or RFPs.

2. DEFINITIONS

- a. "Interested Party" means any bidders/proposers.
- b. "Days" means business days.
- c. "Filed" means the date of receipt by The Office of the Executive Director or his/her designee.
- d. "Federal/State Law or Regulation" means any valid requirement imposed by Federal, State, or other Statute or regulation.
- e. "Presumptive Contractor" means the bidder/proposer that is in line for award of the contract in the event that the protest is denied.
- f. "Protestant" is an Interested Party who is aggrieved in connection with the solicitation or award of a contract and who files a protest.

3. TYPES OF PROTESTS/ TIME LIMITS

- a. Pre-Bid/Proposal Protest is based upon alleged restrictive specifications or alleged improprieties in LANTA's procurement process. A Protestant must file a pre-bid/proposal protest no later than five (5) days prior to bid opening date by 4:30 p.m. Allentown, Pennsylvania prevailing time. The failure to file a timely pre-bid protest of specification contents is a waiver of any dispute of the bid contents.
- b. Pre-Award Protest is based upon alleged improprieties of a Bid/Proposal. A Protestant must file a pre-award protest no later than five (5) days, after the Protestant knows or should have known of the facts giving rise thereto, by 4:30 p.m. Allentown, Pennsylvania prevailing time.
- c. Post-Award Protest is based upon the award of a contract. A Protestant must file a post-award protest no later than five (5) days after the notification to the unsuccessful firms of LANTA's intent to award, or no later than five (5) days after an unsuccessful firm becomes aware of LANTA's intent to award a contract, whichever comes first, by 4:30 p.m. Allentown, Pennsylvania prevailing time.

4. CONTENTS OF PROTEST

- a. Protests must be in writing, and filed directly with the Office of the Executive Director at:
Executive Director
Lehigh and Northampton Transportation Authority
1060 Lehigh Street
Allentown, PA 18103
- b. and must contain the following information:
 - i. The name, address and telephone number of the Protestant; and
 - ii. Identity of the IFB or RFP (by number and description); and
 - iii. A detailed factual statement of the grounds for protest; and
 - iv. The desired relief, action or ruling.

5. ACTION BY LANTA

- a. Procurement Process Status. Upon timely receipt of a pre-bid protest, LANTA will delay the opening of bids until after resolution of the protest for protests filed prior to the bid opening, or withhold award until after resolution of the protest for protests filed after bid opening. However, LANTA may open bids or award a contract whenever LANTA, at its sole discretion, determines:
- b. The items or work to be procured are urgently required; or
- c. Delivery or performance will be unduly delayed by failure to make the award promptly; or
- d. Failure to make prompt award will otherwise cause undue harm to LANTA or a funding source.
- e. If the protest is filed before the award of the contract, LANTA will advise the Presumptive Contractor of the pending protest.
- f. If deemed appropriate, LANTA may conduct an informal conference on the merits of the protest with all Interested Parties invited to attend.
- g. Response to the Protest. LANTA's Executive Director will respond in detail to each substantive issue raised in the protest within a reasonable time after the protest is filed. LANTA's response shall address only the issues raised originally by the Protester. When, on its face a protest does not state a valid basis for protest or is untimely, the Executive Director may summarily dismiss the protest without requiring a detailed response.
- h. Rebuttal to LANTA Response. The Protester may submit a written rebuttal to LANTA's response, addressed to the Executive Director, but must do so within five (5) days after receipt of the original LANTA response. LANTA will not address new issues raised in the rebuttal. After receipt of the Protester's rebuttal, the Executive Director will review the protest and notify the Protester of his/her final decision.
- i. Request for Additional Information. Failure of the Protester to comply with a request for information as specified by LANTA may result in determination of the protest without consideration of the additional information if subsequently produced. If any Interested Party requests information from another Interested Party, the request shall be made to LANTA's Executive Director, and, if LANTA so directs, shall be complied with by the other party within five (5) days.
- j. Request for Reconsideration. If data becomes available that was not previously known, or there has been an error of law, a Protester may submit a request for reconsideration of the protest. LANTA's Executive Director will again review the protest considering all currently available information. The Executive Director's determination will be made within a reasonable period of time, and his/her decision will be considered final.
- k. Decision. Upon review and consideration of all relevant information the determination as issued by LANTA will be final.

6. CONFIDENTIALITY OF PROTEST

- a. Material submitted by a Protester will not be withheld from any Interested Party, except to the extent that the withholding of information is permitted or required by law or regulation. If the Protester considers that the protest contains proprietary material which should be withheld, a statement advising of this fact must be affixed to the front page of the protest submission and the allegedly protected information must be so identified whenever it appears.

7. FEDERAL TRANSIT ADMINISTRATION (FTA) INVOLVEMENT.

- a. Where procurements are funded by the FTA, LANTA will notify the Regional Office of any known or pending protests. LANTA will notify FTA again within five (5) business days from receipt of LANTA's final decision, the Protester may file a protest with the FTA only where the protest alleges that LANTA failed to have or failed to adhere to its protest procedures, or there was a violation of Federal Law or Regulation. Any protest to the FTA must be filed in accordance with FTA Circular 4220.1.
- b. LANTA's Executive Director must notify FTA when LANTA receives a third party contract protest to which this FTA C 4220.1 applies, document the protest in the contract file, and keep FTA informed about the status of the protest. LANTA is expected to provide the following information:
 - i. Subjects. A list of protests involving third party contracts and potential third party contracts that:
 1. Have a value exceeding \$100,000, or
 2. Involve a controversial matter, irrespective of amount, or
 3. Involve a highly publicized matter, irrespective of amount.
 - ii. Details. The following information about each protest:
 1. A brief description of the protest,
 2. The basis of disagreement, and
 3. If open, how far the protest has proceeded, or
 4. If resolved, the agreement or decision reached, and
 5. Whether an appeal has been taken or is likely to be taken.
 - iii. When and Where. The recipient should provide this information:
 1. In its next quarterly Milestone Progress Report, and
 2. At its next Project Management Oversight review, if any.

APPENDIX 8 - BEST PRACTICES PROCUREMENT MANUAL

<https://www.transit.dot.gov/funding/procurement/third-party-procurement/best-practices-procurement-manual>

APPENDIX 9 – CODE OF ETHICS STATEMENT

LEHIGH AND NORTHAMPTON TRANSPORTATION AUTHORITY CODE OF ETHICS STATEMENT

The Lehigh and Northampton Transportation Authority (“LANTA,” or the “Authority”) establishes this code of ethics that all employees, members of the Board of Directors and agents are required to adhere to and advocate throughout the organization and community.

1. Act with honesty and integrity, avoiding actual or apparent conflicts of interest in personal and professional relationships.
2. Provide information that is accurate, complete, objective, relevant, timely, and understandable.
3. Comply with rules, regulations, and laws of federal, state, and local governments, as well as with other appropriate private and public regulatory agencies.
4. Act in good faith; responsibly; and with due care, competence and diligence, without misrepresenting material facts or allowing one’s independent judgment to be subordinated.
5. Respect the confidentiality of information acquired in the course of one’s work except when authorized or otherwise legally obligated to disclose. Confidential information acquired in the course of one’s work must not be used for personal advantage.
6. Share knowledge and maintain skills important and relevant to the Lehigh and Northampton Transportation Authority’s needs.
7. Proactively promote ethical behavior as a responsible person among peers – in the work environment and in the community.
8. Responsibly use, maintain, secure and control assets and resources employed or entrusted.

APPENDIX 10 – CODE OF CONDUCT POLICY

LEHIGH AND NORTHAMPTON TRANSPORTATION AUTHORITY CODE OF CONDUCT POLICY

The Lehigh and Northampton Transportation Authority (“LANTA” or “Authority”) will be intolerant of unethical and fraudulent acts committed by any employee, member of the Board of Directors or agent of the Authority. The following Code of Conduct policy outlines many areas where unacceptable practices could occur; however, this policy is not limited only to the outlined areas. Employees, Officers, Agents, Board Members, and immediate family members are also encouraged to report any suspected unethical or fraudulent acts according to the process contained within this policy.

Organizational Code of Conduct

The Authority, its employees, officers, agents, board members, and immediate family members must comply at all times with all applicable laws and regulations. LANTA will not condone the activities of employees, Board members or agents who achieve results through violation of the law or unethical business dealings. This includes any payments for illegal acts, indirect contributions, rebates, or bribery. LANTA does not permit any activity that fails to withstand the closest possible public scrutiny. Penalties, sanctions, or other disciplinary action for violation of such standards by LANTA’s employees, officers, agents, board members, and immediate family members or by contractors or their agents, will be invoked in accordance with State or Local law or regulations, up to and including termination.

All business conduct should be well above the minimum standards required by law. Accordingly, employees, Board members and agents must ensure that their actions cannot be interpreted as being, in any way, in contravention of the laws and regulations governing LANTA’s operations.

Employees uncertain about the application or interpretation of any laws or regulatory requirements should refer the matter to their supervisor, who, if necessary, should seek the advice of the Executive Director, the solicitor, or a regulatory representative.

General Conduct

LANTA expects its employees, officers, agents, Board members and immediate family members to conduct themselves in a businesslike manner. Unprofessional behavior or activities are strictly prohibited while on the job.

Conflict of Interest

LANTA expects that its employees, officers, agents, board members, and immediate family members will perform their duties conscientiously, honestly and in accordance with the best interests of LANTA. Employees, officers, agents, and board members must not use their positions or the knowledge gained as a result of their positions for private or personal advantage. Regardless of the circumstances, if employees, officers, agents, and board members sense that a course of action they have pursued, are presently pursuing, or are contemplating pursuing may involve them in a conflict of interest—real or apparent—with LANTA, they should immediately communicate all the facts to their supervisor and/or the Executive Director.

Outside Activities, Employment, and Directorships

All employees and Board members share a serious responsibility for LANTA's good public relations, especially at the community level. Their readiness to help with religious, charitable, educational, and civic activities brings credit to LANTA and is encouraged. Employees and board members, however, must avoid acquiring any business interest or participating in any other activity outside LANTA that would or would appear to:

- Create an excessive demand upon their time and attention, thus depriving LANTA of their best efforts on the job.
- Create a conflict of interest – an obligation, interest, or distraction – that may interfere with the independent exercise of judgment in LANTA's best interest.

Relationships with Clients and Suppliers

Employees, officers, agents, board members, and immediate family members should avoid investing in or acquiring a financial interest for their own accounts in any business organization that has a contractual relationship with LANTA or that provides goods or services or both to LANTA, if such investment or interest could influence or create the impression of influencing their decisions in the performance of their duties on behalf of LANTA.

Employees, officers, agents, board members, and immediate family members, who are employed by organizations that have contractual relationships with LANTA, or provide goods and/or services to LANTA, must remove themselves from any contractual or procurement deliberations related to their employers.

Gifts, Entertainment and Favors

Employees, Board members and agents must not accept entertainment, gifts or personal favors that could, in any way, influence or appear to influence business decisions in favor of any person or organization with whom or with which LANTA has or is likely to have business dealings. Similarly, employees, Board members and agents must not accept any other preferential treatment under these circumstances because their position with LANTA might be inclined to or be perceived to place them under obligation.

Kickbacks and Secret Commissions

Regarding LANTA's business activities, employees, officers, agents, board members, and immediate family members may not receive payment or compensation of any kind, except as authorized under LANTA's remuneration policies. In particular, LANTA strictly prohibits the acceptance of kickbacks and secret commissions from suppliers or others. Any breach of this rule will result in disciplinary action, up to and including immediate termination with prosecution to the fullest extent of the law.

LANTA Funds and Other Assets

Employees, officers, agents, board members, and immediate family members who have access to LANTA funds in any form must follow the prescribed procedures for recording, handling and protecting money. LANTA imposes strict standards to prevent fraud and dishonesty. If employees, officers, agents, or board members become aware of any evidence of fraud and dishonesty, they should immediately advise their supervisor or the Executive Director so a prompt investigation can commence.

When an employee's position requires spending LANTA funds or incurring any reimbursable personal expenses, that individual must use good judgment on LANTA's behalf to ensure that good value is received for every expenditure.

LANTA funds and all other assets are for LANTA purposes only and not for personal benefit. This includes the personal use of LANTA assets, such as vehicles, computers, software, or e-mail.

LANTA Records and Communications

Accurate and reliable records of many kinds are necessary to meet LANTA's legal and financial obligations and to manage the affairs of LANTA. LANTA's books and records must reflect in an accurate and timely manner all business transactions. The employees responsible for accounting and recordkeeping must fully disclose and record all assets, liabilities, or both, and must exercise diligence in enforcing these requirements.

Employees must not make or engage in any false record or communication of any kind, whether internal or external, including but not limited to:

- False expense, attendance, ridership, financial or similar reports and statements; and,
- False advertising, deceptive marketing practices, or other misleading representations.

Dealing With Outside People and Organizations

Employees, Board members and agents must take care to separate their personal roles from their LANTA positions when communicating on matters not involving LANTA business. Employees, officers, agents, and board members must not use LANTA identification, stationery, supplies, or equipment for personal or political matters.

When communicating publicly on matters that involve LANTA business, employees, officers, agents, and board members must not presume to speak for LANTA on any topic, unless they are certain that the views they express are those of LANTA and it is LANTA's desire that such views be publicly disseminated.

When dealing with anyone outside LANTA, including public officials, employees, officers, agents, and board members must take care not to compromise the integrity or damage the reputation of either LANTA or any outside individual, business, or government body.

Prompt Communications

In all matters relevant to customers, suppliers, government authorities, the public and other organizations, all employees, officers, agents, and board members must make every effort to achieve complete, accurate, and timely communications—responding promptly and courteously to all proper requests for information and to all complaints.

Privacy and Confidentiality

When handling financial and personal information about customers or others with whom LANTA has dealings, employees, officers, agents, and board members must observe the following principles:

- Collect, use and retain only the personal information necessary for LANTA's business. Whenever possible, obtain any relevant information directly from the person concerned. Use only reputable and reliable sources to supplement this information.
- Retain information only for as long as necessary or as required by law. Protect the physical security of this information.
- Limit internal access to personal information to those with a legitimate business reason for seeking that information. Use only personal information for the purposes for which it was originally obtained. Obtain the consent of the person concerned before externally disclosing any personal information, unless legal process or contractual obligation provides otherwise.

Fraudulent and Unethical Acts Reporting Process and Protections

Each member of management and the Board of Directors is responsible for creating a supportive atmosphere for all employees, free of discrimination or fear and encouraging ethical behavior. Further, employees and agents are responsible for respecting the rights of their coworkers and for acting honestly.

Any employee, supervisor, officer, or Board member who believes they have knowledge of or a concern about an activity or act that they consider illegal, dishonest, fraudulent, or in violation of this or other policies should immediately inform their supervisor, the Executive Director or the Board Chairperson.

Sound judgment must be exercised to avoid baseless allegations. An employee who intentionally files a false report of wrongdoing could be subject to discipline up to and including termination.

The confidentiality of anyone reporting an activity believed to be illegal or dishonest will, insofar as possible, be maintained. However, their identity may have to be disclosed in order to conduct a thorough investigation, to comply with the law or to provide accused individuals their legal rights of defense. LANTA will not retaliate against the person reporting the activity. This includes, but is not limited to, protection from retaliation in the form of an adverse employment action such as termination, compensation decreases, poor work assignments, or threats of physical harm. Anyone who believes they are being retaliated against must contact their supervisor, the Executive Director or the Board Chairperson immediately. The right of anyone reporting an activity for protection against retaliation does not include immunity for any personal wrongdoing that is alleged and investigated.

APPENDIX 11 – SAMPLE FORMS

PROCUREMENT DOCUMENTATION CHECKLIST

Procurement Identification: _____

Account Reference(s) _____ Date _____

Where appropriate, the procurement documentation file shall contain the following items:

#		File Item Identification	Included	Verified
1	Pre-Posting to PennBID	Purchase request, Acquisition Plans, Other Pre-solicitation Documents		
2		Procurement Request Form / Evidence of Available Funds		
3		Independent Cost Estimate		
4		Method of Procurement Decision Matrix		
5		Clear, Accurate, Complete Specifications		
6		Written Selection Procedures (Included in Solicitation)		
7		Proof of Publication / Certification of Advertisement (>\$20,000)		
8		Emails to Potential Vendors / Distribution of Solicitation (RFP/IFB)		
9	Pre-Selection Committee	List of Sources Solicited (RFQ / Small Purchase / Micro-Purchase)		
10		Price Quotations (RFQ / Small Purchase)		
11		Bid Opening Sheet/Record of Proposals Submitted		
12		Proposals / Bids Received (RFP/IFB)		
13		Responsibility Determination (>\$20,000)		
14		Responsiveness Determination (IFB/RFP)		
15		Bid/Proposal Rejection Explanation (if any)		
16		Fair and Reasonable Price Determination (Micro-Purchase)		
17	Pre-Notification of Intent to Award	Cost or Price Analysis (RFP/IFB/A&E)		
18		Bid Tabulation/Selection of Lowest Price (IFB)		
19		Evaluation Rating Sheets and Summary (RFP)		
20		Sole Source Justification (if necessary)		
21		Awarded Supplier's Proposal/Bid (Small Purchase/IFB/RFP)		
22		Required Insurance Documents		
23		Staff Recommendation of Selected Proposal/Bid/Quote		
24		Documentation of Board Approval (Procurements >\$150,000)		
25		Notice of Intent to Award		
26		Contract Determination Form / Contract Management Matrix		
27		Sound and Complete Agreement (Signed Contract) with Federal/State/Local clauses as appropriate		
28		Davis Bacon (Construction >\$2,000)		
29		Copies of Bonds (Construction)		
30		Pre-Award Audit, Purchaser's Requirements, FMVSS (Rolling Stock)		
31		Notice To Proceed		
32		Post-Delivery Audit, Purchaser's Requirements, FMVSS (Rolling Stock)		

MICRO-PURCHASE FAIR AND REASONABLE PRICE DETERMINATION FORM

Micro-Purchase

Fair and Reasonable Price Determination

I hereby determine the price to be fair and reasonable based on at least one of the following:

Check one or more:

- ☐ Found reasonable on recent purchase.
- ☐ Obtained from current price list.
- ☐ Obtained from current catalog.
- ☐ Commercial market sales price from advertisements.
- ☐ Similar in related industry.
- ☐ Personal knowledge of item procured.
- ☐ Regulated rate (utility).
- ☐ Other.

Comments:

- ☐ Copy of purchase order, quotes, catalog page, price list, etc. is attached.

METHOD OF PROCUREMENT DECISION MATRIX

Determine suitable procurement method by checking appropriate boxes. All elements must apply to use that method. The planned type of contract can be added to this checklist.

Micro Purchase

- ☐ Amount <\$3,500
- ☐ Multiple Sources

Small Purchase Amount <\$150,000 (<\$100,00 if executed prior to Super Circular)

- ☐ Complete and Adequate Specification or Description
- ☐ Two or More Quotes Available

Sole Source

- ☐ Approved by FTA
- ☐ OEM, Custom Item OR
- ☐ Only One Source OR
- ☐ Competition Inadequate after Solicitation OR
- ☐ Emergency / Public Exigency

Competitive Procurement

- ☐ Amount >\$3,500
- ☐ Multiple Sources
- ☐ Not an Emergency

Selection of Contract Type

- ☐ Fixed Price
- ☐ Firm Fixed Unit Prices
- ☐ Cost Plus Fixed Fee
- ☐ Time and Materials (T&M) – Must Provide Justification for T&M Contract if Selected.
- ☐ Blanket Purchase Order
- ☐ Indefinite Delivery Indefinite Quantity (IDIQ)
- ☐ No Contract Necessary

Sealed Bid (IFB) Amount >\$150,000

(>\$100,000 if executed prior to Super Circular)

- ☐ Complete and Adequate Specification or Description
- ☐ Two or More Responsible Bidders willing to Compete
- ☐ Selection can be Made on Basis of Price Alone
- ☐ Firm Fixed Price Contract is used
- ☐ No Discussion with Bidders Required After Receipt of Bids

Competitive Proposals (RFP) >\$150,000 (>\$100,000 if executed prior to Super Circular)

- ☐ Complete Specifications Not Feasible
- ☐ Proposer input Needed
- ☐ Two or More Responsible Proposers willing to Compete
- ☐ Discussion Needed with Proposers After Proposals Received
- ☐ Fixed Price can be Set After Discussions OR a Cost Reimbursement Contract is Determined

Employee Signature: _____ Date: _____

Employee Title: _____ Approval: _____

INDEPENDENT COST ESTIMATE

Independent Cost Estimate

Contract Type: _____ Date of Estimate: _____

Description of Goods / Service: _____

Method of Obtaining the Estimate:

- ☐ I have obtained the following estimate from....
- ☐ Published Price List / Past pricing (date) _____
- ☐ Engineering or technical estimate
- ☐ Independent Third Party estimate
- ☐ Other (specify) _____

Cost Estimate Details:

Through the method stated above it has been determined that the total cost of the goods/services is expected to be: \$_____. Details are shown below.

A: Cost of Standard Items

Product	Cost (\$/ea)		Notes / Data Source
	Delivered	No Freight	

B: Cost of Services, Repairs, or Non-Standard Items

Item / Task:							
Materials	Other Direct Costs	Labor (rate, hours)	Labor Class	Allocated overhead	SG&A	Profit	Total

The preceding cost estimate was prepared by:

Signature

Date

For complex items or tasks, attach detailed spreadsheet(s) explaining rationale.

RESPONSIVENESS CHECKLIST

This checklist is to be reviewed at bid opening to ensure that all bids received meet the requirements advertised in the solicitation in terms of information requested and submission of certifications or other additional data.

SOLICITATION (NAME or #) _____ Opening Date: _____

DESCRIPTION: _____

CONTRACT ADMINISTRATOR: _____

CONTRACTOR / NAME OF BIDDER: _____

SOLICITATION REQUIREMENTS:

REQUIREMENT	YES	NO	N/A	COMMENTS
1. Bid received on time, in sealed envelope				
2. Proposal Form completed, properly executed, includes total bid price				
3. Non-Collusion documentation included and complete				
4. PA Non-Discrimination form signed and attached				
5. Debarment/Suspension form signed and attached				
6. DBE Documentation included and complete				
7. Lobbying Certification signed and attached				
8. Signature of Company Officer to the bid /offer present				
9. Addenda Acknowledgement with signatures present				
10. Bond/Bid Security Received (\$ _____)				
11. Insurance documentation included				
12. No exceptions to terms, instructions, or other solicitation language				
13. Other required (attach detail) _____				

Non-responsive bids are to be noted on the bid opening sheet and reviewed with a supervisor.

Non-responsive bids will not be considered for award.

RESPONSIBILITY DETERMINATION FORM

Bid/RFP Project Name		
Contractor:		
Date:		
For each of the areas described below, check that the appropriate research has been accomplished and provide a short description of the research and the results.		
	Evaluated or Reviewed as part of Technical Evaluation	Comments/Documentation (ATTACH)
1. Appropriate and adequate financial, equipment, facility, and personnel	<input type="checkbox"/> Yes <input type="checkbox"/> No	
2. Ability to meet the delivery schedule	<input type="checkbox"/> Yes <input type="checkbox"/> No	
3. Satisfactory period of performance	<input type="checkbox"/> Yes <input type="checkbox"/> No	
4. Satisfactory record of integrity, not suspended or debarred	<input type="checkbox"/> Yes <input type="checkbox"/> No	
5. Ability to get bonding and insurance	<input type="checkbox"/> Yes <input type="checkbox"/> No	

Completed By:	
Signature:	

SINGLE SOURCE ANALYSIS FORM

Bid/RFP Project Name	
Contractor:	
Date:	

Single Source Analysis

Solicitation: _____

Product/ Services to be Procured: _____

Bid or Proposal Due Date: _____

Number of Solicitations Requested: _____

Number of Bids Received: _____

Reasons for lack of Competition
(based on Supplier Contacts)

- Lack competency
- Lack available resources
- Poor timing
- Short response due date
- Other: _____

Action to Plan

☐ Award Contract Basis:

☐ Extend Deadline (modify solicitation)

New Due Date: _____

☐ Re-procure:

New Solicitation Due to be
Completed: _____

Projected Due Date: _____

Signed: _____

Title: _____

Date: _____

COST ANALYSIS FORM

PAGE OF

COST ANALYSIS SUMMARY (See Instructions below)	
SOLICITATION NAME/# <hr/> PREPARER'S NAME, DEPARTMENT, TITLE, PHONE	SUPPLIES AND/OR SERVICES TO BE FURNISHED
LOCATION(S) WHERE WORK IS TO BE PERFORMED	APPROVAL SIGNATURE

DETAIL DESCRIPTION OF COST ELEMENTS				
1. DIRECT MATERIAL	Vendor A Proposal	Vendor B Proposal	Independent Estimate	Analysis
A. PURCHASED PARTS				
B. SUBCONTRACTED ITEMS				
C. OTHER - (1) RAW MATERIAL				
(2) STANDARD COMMERCIAL ITEMS				
<i>TOTAL DIRECT MATERIAL</i>				
2. MATERIAL OVERHEAD (RATE % x \$ BASE *)				

3. DIRECT LABOR	ESTIMATED HOURS	RATE/HOUR	Vendor A (\$)	Vendor B (\$)	Independent Estimate	Variance
<i>TOTAL DIRECT LABOR</i>						

4. LABOR OVERHEAD			Vendor A (\$)	Vendor B (\$)	Independent Estimate	Variance
OH Rate						
X BASE (labor total above)						
<i>TOTAL LABOR OVERHEAD</i>						

5. OTHER DIRECT COSTS	Vendor A (\$)	Vendor B (\$)	Independent Estimate	Variance
A. SPECIAL TOOLING/EQUIPMENT				
<i>TOTAL SPECIAL TOOLING/EQUIPMENT</i>				
B. TRAVEL				
(1) TRANSPORTATION				
(2) PER DIEM OR SUBSISTENCE				
<i>TOTAL TRAVEL</i>				

DETAIL DESCRIPTION OF COST ELEMENTS (continued)	Vendor A (\$)	Vendor B (\$)	Independent Estimate	Variance
C. INDIVIDUAL CONSULTANT SERVICES				
<i>TOTAL INDIVIDUAL CONSULTANT SERVICES</i>				
D. OTHER				
<i>TOTAL OTHER</i>				
<i>E. SUBTOTAL DIRECT COST AND OVERHEAD</i>				
6. GENERAL AND ADMINISTRATIVE (G&A) RATE %				
X \$ BASE (Use 5.E above)				
7. ROYALTIES (if any)				
8. SUBTOTAL ESTIMATED COST				
9. CONTRACT FACILITIES CAPITAL AND COST OF MONEY				
10. SUBTOTAL ESTIMATED COST				
11. FEE OR PROFIT				
12. TOTAL ESTIMATED COST AND FEE OR PROFIT				
13. Discounts				
14. Option Costs (specify)				
15. ADJUSTED COST				

ANALYSIS GUIDELINES

1. DIRECT MATERIAL

- Analyze Purchased Parts: Provide a consolidated price analysis of material quantities included in the various tasks, orders, or contract line items being proposed and the basis for pricing (vendor quotes, invoice prices, etc.).
- Subcontracted Items: Analyze the total cost of subcontract effort and supporting written quotations from the prospective subcontractors
- Other:
 - Raw Material: Review any materials in a form or state that requires further processing. Analyze priced quantities of items required for the proposal. Consider alternatives and total cost impact.
 - Standard Commercial Items: Analyze proposed items that the offeror will provide, in whole or in part, and review the basis for pricing. Consider whether these could be provided at lower cost from another source.

2. MATERIAL OVERHEAD

Verify that this cost is not computed as part of labor overhead (item 4) or General and Administrative (G&A) (Item 6).

3. DIRECT LABOR

Analyze the hourly rate and the total hours for each individual (if known) and discipline of direct labor proposed. Determine whether actual rates or escalated rates are used. If escalation is included, analyze the degree (percent) and rationale used. Compare percentage of total that labor represents for each bid.

4. LABOR OVERHEAD

Analyze comparative rates and ensure these costs are not computed as part of G&A. Determine if Government Audited rates are available,

5. OTHER DIRECT COSTS

- a. Special Tooling/Equipment. Analyze price and necessity of specific equipment and unit prices.
- b. Travel. Analyze each trip proposed and the persons (or disciplines) designated to make each trip. Compare and check costs.
- c. Individual Consultant Services. Analyze the proposed contemplated consulting. Compare to independent estimate of the amount of services estimated to be required and match the consultants' quoted daily or hourly rate to known benchmarks.
- d. Other Costs. Review all other direct charge costs not otherwise included in the categories described above (e.g., services of specialized trades, computer services, preservation, packaging and packing, leasing of equipment and provide bases for pricing. Scan for duplication or omissions.

6. GENERAL AND ADMINISTRATIVE EXPENSE

See notes on labor overhead above and check whether the base has been approved by a Government audit agency for use in proposals.

7. ROYALTIES

If more than \$250, analyze the following information for each separate royalty or license fee; name and address of licensor; date of license agreement; patent numbers, patent application serial numbers, or other basis on which the royalty is payable; brief description (including any part of model numbers or each contract item or component on which the royalty is payable); percentage or dollar rate of royalty per unit; unit price of contract item; number of units; and total dollar amount of royalties,

8. SUBTOTAL ESTIMATED COST

Compare the total of all direct and indirect costs excluding Cost of Money and Fee or Profit. Note reasons for differences.

9. CONTRACT FACILITIES CAPITAL AND COST OF MONEY

Analyze the offeror's supporting calculations and compare to known standards.

10. SUBTOTAL ESTIMATED COST

This is the total of all proposed costs excluding Fee or Profit. Determine the competitive range. Question outliers.

11. FEE OR PROFIT

Review the total of all proposed Fees or Profit. Remember that the FTA prohibits cost plus percentage of cost contracting.

12. TOTAL ESTIMATED COST AND FEE OR PROFIT

Analyze the range of total estimated costs including Fee or Profit, and explain variance to independent estimate. Identify areas for negotiation or areas to be challenged. Explain your conclusions regarding fair and reasonable pricing.

13. DISCOUNTS

Review basis for Discounts and range between offers.

ATTACH NARRATIVE COST ANALYSIS MEMO ADDRESSING ITEMS AS INSTRUCTED ABOVE. MAKE SURE ALL RELEVANT DOCUMENTATION IS ATTACHED TO COST ANALYSIS FORM FOR REVIEW AND ANALYSIS.



PURCHASE/PROCUREMENT REQUEST FORM

Submitted by: _____

Signature: _____

Date: _____

- Please describe the item or service to be procured as well as quantity:

- If you know the funding source to be used for this procurement, please list it. If not, please leave blank.
- Initial estimate of total cost of procurement (to be completed by Admin Services Manager):
- Justification for purchase:

Do you want to consider factors other than cost? Yes____ No____

Will you need to have discussion with bidders/proposers after receipt of proposals but prior to award?
Yes____ No____

DBELO Review of procurement for DBE Participation. Participation goal on this project?

Yes____ No____ Project Goal _____ DBELO: _____ Date: _____

Concurrence on Capital Grant Use		Concurrence on Op Budget Use		Approval to proceed to procurement process		
DFA		DFA		Estimate \$3,500-\$19,999	DFA	
SDCAPM				Estimate over \$20,000	ED	

Department Director Approval: _____ Date: _____

DFA/SDCAPM/ED: _____ Date: _____



LANTA CONTRACT MANAGEMENT MATRIX

Project Name: _____

Duration of contractor engagement for goods or services?

- ☐ Singular / One-Time Specific
- ☐ On-Going / Open-Ended / On-Call

Funding Source?

- ☐ Capital Budget
- ☐ Operating Budget
- ☐ N/A

Anticipated project / purchase budget inclusive of the full duration of any multi-year term, if any?

- ☐ More than \$150,000
- ☐ \$100,000 to \$149,999
- ☐ \$20,000 to \$99,999
- ☐ \$3,500 to \$19,999
- ☐ \$2,000 to \$3,499
- ☐ Less than \$2,000
- ☐ N/A

Will confidential data regarding employees or riders be accessed?

- ☐ Yes
- ☐ No

Will the Contractor/Vendor/Third Party be performing the requested services on LANTA property at ***any*** point during the engagement of services?

- ☐ Yes
- ☐ No

Is there a risk of damage to LANTA real or personal property, whether directly or indirectly, resulting from work of the contractor/vendor?

- ☐ Yes
- ☐ No

Department Director: _____

Administrative Services Manager: _____

Compliance Program Coordinator: _____

Type of service / project? (Please selected all that apply)

- ☐ Construction
- ☐ Architectural Design, Engineering, Construction Management
- ☐ Professional Services
 - Ex: Legal, Auditing, IT, Marketing, Brokerage, etc.
- ☐ Skilled Trades
 - Ex: Electrical, Plumbing, HVAC, Welding, etc.
- ☐ Other Services
 - Ex: Janitorial, Landscaping, Trash Hauling, etc.
- ☐ Purchased Transportation
- ☐ Transit Access
- ☐ Reduced Fare Agreement
- ☐ Revenue Guarantee
- ☐ Purchase of Goods – Guaranteed Minimum
- ☐ Purchase of Goods – No Guaranteed Minimum
- ☐ Task/Purchase Order under existing Agreement
- ☐ Lease / Sub-Lease
- ☐ Municipal Bus Shelter License
- ☐ Private Property Access / Bus Stop / Bus Shelter License

Please provide a description of the scope of work to be completed.

Date: _____

Date: _____

Date: _____



APPENDIX 12 - SUBRECIPIENT AND CONTRACTOR OVERSIGHT PROCEDURES

Purpose

The purpose of these Contractor and Subrecipient Oversight Procedures is to:

- Ensure that all technical specifications and contract requirements are met by contractors
- Monitor compliance with FTA requirements for FTA-funded vehicles or facilities that are maintained by subrecipients, leased to service providers, or maintained under contract by other than the LANTA employees
- Identify performance issues and address them in a timely manner
- Track information regarding performance quality for the purposes of evaluating contractors for future procurements
- Ensure that all construction is performed in accordance with the design intent agreed upon in the original contract or through an approved change order or modification.

These procedures explain methods of monitoring, persons responsible, frequency, and expected deliverables associated with managing performance and compliance monitoring systems for rolling stock, construction, ADA paratransit, and fixed route services. Performance and compliance monitoring for third-party contractors is distinguished from compliance monitoring of subrecipients and public entities operating federally-funded services, rolling stock, and facilities.

Scope and Applicability

This Procedure applies to monitoring performance and compliance for the following types of projects/programs:

- Construction
- ADA Paratransit, and/or Fixed Route, Services
- Professional Services

The frequency and type of monitoring will be based upon the following: a) size of the grant or contract, b) associated risks, c) service complexity, d) type of grant or contract, and e) use of subcontractors.

References to Legislative and Regulatory Documents

- FTA Circular 4220.1F, "Third Party Contracting Guidance"
- FTA Circular 4702.1B, "Title VI Requirements and Guidelines for Federal Transit Administration Recipients"
- FTA Circular 4704.1A, "Equal Employment Opportunity (EEO) Requirements and Guidelines for Federal Transit Administration Recipients"
- FTA Circular 4710.1, "Americans with Disabilities Act (ADA): Guidance"
- 49 CFR Part 18, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments."
- 49 CFR Part 26, "Participation by Disadvantaged Business Enterprises in Department of Transportation Financial Assistance Programs."
- 2 CFR Part 200, "Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards."
- OMB Circular A-133 Compliance Supplement 2013
- Pennsylvania Municipal Authorities Act



Definitions

- **Contractor Performance Monitoring:** The process by which LANTA oversees and tracks contractor performance to ensure that the performance and quality assurance standards set forth in the contract/solicitation are met. Performance requirements are specified in solicitations such as Request for Proposals and are included in contracts. Performance measures typically relate to scheduling/timeliness, customer service, and nonconformance. Performance data is also considered in the evaluation of a particular contractor for participation in future projects.
- **Contractor Compliance Monitoring:** When federally-funded services, rolling stock, and facilities are operated by a contractor other than LANTA, they must be subject to regular reviews by the LANTA to ensure compliance with FTA requirements.
- **Subrecipient Compliance Monitoring:** When federally-funded services, rolling stock, and facilities are operated by a subrecipient or public entity other than LANTA, they must be subject to regular reviews by the LANTA to ensure compliance with FTA requirements.

General Oversight Procedures for Services Providers

▪ Title VI Monitoring Procedures

The subrecipient or third-party contractor must ensure that no person shall, on the grounds of race, color, or national origin, be excluded from participating in, or be denied the benefits of, or be subject to discrimination under any program, or activity receiving Federal financial assistance. The subrecipient must ensure compliance with LANTA's Title VI program to ensure that federally supported transit services and related benefits are distributed in an equitable manner. Subrecipients and third-party contractors are responsible for ensuring that they comply with LANTA's Title VI program requirements such as; notifying customers of their rights under Title VI; notifying customer of LANTA's Title VI complaint procedures; taking reasonable steps to ensure access to Limited English Proficiency (LEP) populations; and seeking out the viewpoints of minority, low-income and LEP populations when conducting public outreach and involvement activities if performed by the subcontractor. LANTA should be informed of any Title VI complaints received by its subrecipients or third-party contractors.

Key Requirement:

- Subrecipients and third-party contractors delivering transportation services with FTA funds must notify LANTA immediately (within 48 hours) of any complaints received.
 - LANTA will provide revisions to Title VI Plans to all subrecipients and contractors. Subrecipients and contractors must acknowledge receipt of revisions and assure compliance within 30 days of receipt.
- ### ▪ Drug and Alcohol

LANTA requires its contractors to maintain records on Drug and Alcohol program administration and the test results of individuals for whom it has testing responsibility. LANTA must take the following measures to monitor compliance with FTA requirements, 49 CFR Part 655 Prevention of Alcohol Misuse and Prohibited Drug Use in Transit Operations, as amended, and 49 CFR Part 40 Procedures for Transportation Workplace Drug and Alcohol Testing Programs, as amended.



- LANTA will maintain Drug and Alcohol program records in a secure location for a minimum of up to five (5) years.
- LANTA will provide technical assistance in understanding and meeting the program requirements, and overseeing the drug and alcohol programs of third-party contractors with safety-sensitive employees.
- LANTA will review third-party contractor programs using standardized compliance checklists to ensure that all required elements are present and that the right type of testing is conducted, the proper forms are used and completed correctly, and records are stored in a secure location and maintained for the required amount of time.
- LANTA will ensure the quality of testing services by establishing a written contract with each testing provider and verifying that the vendor is HHS certified.
- LANTA will hold annual site visits, investigate reports of flawed procedures, and document training aimed at correcting any deficiencies.

▪ **Equal Employment Opportunity (EEO):**

The Lehigh and Northampton Transportation Authority (LANTA) has a strong commitment to the community we serve and our employees. As an equal opportunity employer, we strive to have a workforce that reflects the community we serve. No person is unlawfully excluded from employment opportunities based on race, color, religion, national origin, sex (including gender identity, sexual orientation, and pregnancy), age, genetic information, disability, veteran status, ancestry, medical condition, marital status, citizenship status, and any other protected class. LANTA's Equal Employment Opportunity (EEO) policy applies to all employment actions, including but not limited to, recruitment, hiring, selection for training, promotion, transfer, demotion, layoff, termination, rates of pay, or other forms of compensation.

Subrecipients and third-party contractors must ensure that no person in the United States shall on the grounds of race, color, religion, national origin, sex (including gender identity, sexual orientation, and pregnancy), age, genetic information, disability, veteran status, or any other basis prohibited by local, state, or federal law, or to be excluded from participation in, or denied the benefits of, or be subject to discrimination under any project, program, or activity funded, in whole or in part, through federal financial assistance under the Federal transit laws. (Note: EEOC's regulation only identifies/recognizes religion and not creed as one of the protected groups.) Subrecipients and contractors that receive capital or operating assistance in excess of \$1 million or planning assistance in excess of \$250,000 and employ 50 or more transit related employees must submit to LANTA for review an EEO Program Plan. Program updates are due every four years. LANTA's EEO Officer meets semi-annually with the Human Resources Coordinator and the Executive Director to review each department's progress in relation to the agency's goals and on contractor and vendor compliance.

▪ **Compliance Record Keeping**

LANTA must fully document all compliance monitoring efforts conducted on subrecipients and third-party contractors. A "Compliance Monitoring File" should be created and maintained for each organization, which includes the following items:

- Pre-award assessment checklist
- Telephone contact report
- Corrective action plan
- Annual review checklist
- Copies of e-mail, memos, or other written correspondence, including notification informing subrecipient or third-party contractor of the results of monitoring



In addition, LANTA maintains evidence that vendors and contractors are being monitored to ensure they perform in accordance with the terms, conditions and specifications contained in their contracts or purchase orders. All records of inspections and approvals, deliverables provided or services performed are kept for evidence that LANTA is making sure vendors and contractors adhere to contract requirements. The correspondence between Transit Agency and its contractors is stored for evidence of ongoing contract administration. Once an issue is discovered, LANTA follows up with its contractor to ensure that corrective action is taken. Efforts, including the follow-up on findings, are documented.

▪ **Customer Complaint Procedures**

Customer complaint management is critical to successful program implementation. LANTA must elicit customer feedback to increase customer satisfaction and ensure that subrecipients and third-party contractors are meeting the needs of the public. The following methods will be used to track customer satisfaction:

- Conduct an annual review of customer satisfaction data collected by subrecipients and third-party contractors operating transit services.
- Post complaint forms on the LANTA website allowing customers to submit their complaints online, and offer a toll-free number for customers to call to submit complaints on issues such as driver courtesy, on-time performance, passenger safety and other service standards. Responses to customer complaints must be delivered within 3-10 days of the complaint.
- Maintain a formal complaint procedure that is shared with subrecipients and third-party contractors providing transit services.

▪ **Final Financial and Program Reports Closeout**

The final financial and program reports must be submitted within 90 days of project completion or expiration of funding. All expenditure obligations must be paid prior to filing the final reports. The close out reports should be clearly identified as final. They must show that all activities and expenditures associated with the grant are completed and the grant is ready to close. The final program report should include a detailed description of the project with a focus on program outcomes.

The program report should include quantitative data regarding the effectiveness of the program, if applicable. The program report will detail how the program met the identified needs and the specific intentions of the grant award. If the subrecipient is unable to use all funds in a grant, LANTA will reconcile and de-obligate remaining funds in the grant and will return the remaining funds to the FTA or other applicable grant making body.

The subrecipient and contractor will be required to maintain all books, documents, payroll documentation, accounting records, and other evidence pertaining to costs incurred under a federal grant awards during the period of the grant and for three years thereafter. These records must be available for inspection by any authorized representatives of LANTA or the Federal Government.



Construction Oversight Procedures

Construction oversight is designed to ensure that the project is progressing in accordance with specifications, special provisions and plans, and methods and practices specified in construction manuals.

▪ **Contract Administration and Performance Monitoring**

LANTA will implement the following Quality Assurance controls in the contract administration and monitoring of construction contractors:

- **Labor Compliance:** Spot-checked construction logs/diaries against certified payrolls for **Davis-Bacon** compliance. (Check 3 months after start of construction and quarterly for QA.)
- **Measurement and Payment:** Monitor that source documents supporting progress payments made to the contractor are available. (Spot-check after second progress payment to the contractor.)
- **EEO/Wage Rate Posters:** Observe the construction site, the contractor's office at the contractor office, or another central gathering point to verify that posters are visible for every worker to see. (Check one month after start of construction.)
- **Buy America:** Review the construction area and the contractor's on-site yard, quarterly, and check to make sure foreign iron and steel products are not being incorporated into the project without resident engineer's approval or a FTA waiver.

▪ **Disadvantaged Business Enterprise (DBE) Monitoring**

Third-party contractors must comply with 49 CFR Part 26 to ensure nondiscrimination in the award and administration of DOT-assisted contracts. Written DBE programs are required of FTA subrecipients of planning, capital, and/or operating assistance that will have contracting opportunities (excluding transit vehicle purchases) exceeding \$250,000 with those funds in a Federal fiscal year. Subrecipients are required to follow their approved DBE programs, and such programs need to be updated when significant changes occur. LANTA's DBE Program requires prime contractors to pay subcontractors for satisfactory performance of their contract work no later than 15 days from receipt of payment for such work from LANTA. LANTA will review invoices from and proof of payment to subcontractors to ensure prompt payment has occurred. Prime contractors must have a process to monitor subcontractors for compliance with applicable DBE requirements. Contractors and subcontractors must cooperate with LANTA in the generation of FTA Semi-Annual DBE reports. LANTA on-site monitors will confirm that the Primes and Subs noted in the contract are actually providing the type of work for which they are certified and that employees performing the contracted work are employed by the contractor and/or subcontractor of record.



ADA Paratransit, Fixed Route, and Charter Services Oversight Procedures

In prohibiting discrimination in the provision of transportation services against persons with disabilities, the Americans with Disabilities Act of 1990 requires that vehicles purchased or leased after August 25, 1990, and new and altered facilities designed and constructed (as marked by the notice to proceed) after January 25, 1992, must comply with the applicable standards of accessibility in 49 CFR parts 37 and 38 (42 USC 12101-12213). LANTA must ensure that subrecipients and third-party contractors with these standards of accessibility, including the provision of equivalent services.

ADA Compliance Monitoring Procedures

Subrecipients and third-party contractors are required to follow titles II and III of the Americans with Disabilities Act (ADA) of 1990. ADA provides that no organization shall discriminate against an individual with a disability in connection with the provision of transportation service. The law sets forth specific requirements for a subrecipient's vehicle and facility accessibility and the provision of service, including complementary paratransit service.

LANTA must utilize the following monitoring methods to ensure that third-party contractors or subrecipients operating ADA Paratransit services are in compliance:

1. Review the third-party contractor or subrecipient's ADA-related policies and monitor compliance with the policies.
2. Inform subrecipients and third-party contractors of the ADA requirements via training. This training is required to ensure that personnel operate vehicles and equipment safely, assist passengers properly, and treat persons with disabilities who use the service in a respectful and courteous way, with appropriate attention to the differences among persons with disabilities. All contracts for the operation of ADA Paratransit service must include mandatory driver training requirements. Training provisions must include requirements regarding curriculum, length of training period, resources, and assurances. Contracts must call for initial driver training and annual refresher trainings. Training programs must also include passenger assistance techniques and disability sensitivity modules.
3. Employ surveys, checklists and interview forms, as well as follow-up correspondence to effectively document compliance. All documentation reflecting monitoring results is maintained as evidence of oversight.
4. Maintain a record keeping system for monitoring on-time performance and tracking these indicators of capacity constraints. At any given time, LANTA should be able to demonstrate that the denials it does have, as well as the missed trips, late pickups, etc., are not an operational pattern or practice that significantly limits the availability of ADA paratransit service.
5. Track ADA-eligible trips separately from non-eligible trips. Periodic reservation line calls must be conducted at various times of the day to determine if a caller can reach a reservation agent. If third-party contractors or subrecipients have communication systems that provide data on average call wait time, number of missed calls, call abandonment rates, and other indicators of performance, such data must be collected and reviewed to determine compliance.
6. Monitor service capacity constraints and reviews no-show policies.
7. Ensure that all subrecipient and third-party contractor vehicle accessibility features, such as wheelchair lifts, ramps, securement devices, signs, and communication equipment for persons with disabilities, be maintained and operational.



■ **Fixed Route Service Monitoring**

For a contractor's or subrecipient's fixed route service supported with Section 5307 assistance, fares charged elderly persons, persons with disabilities or an individual presenting a Medicare card during off peak hours will not be more than half the peak hour fare. The contractors and subrecipients are responsible for ensuring that contractors and lessees that operate services to which the half fare requirement applies follow applicable guidelines.

■ **Subrecipient Maintenance Monitoring**

Subrecipients must keep Federally-funded equipment and facilities in good operating order and maintain ADA accessibility features.

- Subrecipients are required to have a current written maintenance program for FTA-funded rolling stock that documents the maintenance plan. The subrecipient must follow its maintenance program for facilities and equipment.
- The subrecipient's FTA-funded vehicles and facilities must be maintained regardless of who operates and maintains them. Third-party contractors and lessees "stand in the shoes" of the subrecipient and LANTA as far as FTA maintenance requirements are concerned
- If the subrecipient or contractor has equipment under warranty, FTA requires that the subrecipient or contractor have a system for identifying warranty claims, recording claims, and enforcing claims with the manufacturers.

■ **Frequency of Performance Reviews and Oversight**

- At a minimum, formal performance reviews should be completed quarterly, with documented corrective actions, for larger and more complex projects.
- For contractors with multi-year contracts, a formal review every 12 months is necessary to assist in determining whether the contract should be extended.



Lehigh and Northampton Transportation Authority Contractor Monitoring Checklist

*Review to be conducted annually by Director of Finance & Administration, Director of Operations,
Director of Paratransit Services and/or Director of Facilities & Fleet Maintenance*

Name of Vendor Organization:

Postal Address:

Email Address:

Persons Interviewed:

Fiscal Year of Review:

Date of Review:

The vendor is fully prepared with all reports, files, and other supporting documentation required to complete the "on-site" portion of the Compliance Monitoring.

Initial and Date:

Initial and Date:

Initial and Date:

Initial and Date:



GENERAL QUESTIONS		ALL VENDORS MUST ANSWER BELOW:	
Compliance Questions:	Compliance?		Notes
	Yes	No	
<p>1. The vendor has evidence of any specific licensure that qualifies them to perform contract services for the LANTA.</p> <p>Please identify specific licensure(s) indicating professional qualifications:</p>	<input type="checkbox"/>	<input type="checkbox"/>	List licensing type and licensing authority: Obtain copy.
<p>2. The vendor has evidence of standard procedures for compiling data regarding units of service and clients served which is then submitted to the LANTA as an invoice for reimbursement. (How is the invoice prepared?)</p>	<input type="checkbox"/>	<input type="checkbox"/>	Have vendor outline their invoice processing policy. Note below:
<p>3. The vendor can track and report on ADA eligible trips separately from non-ADA eligible trips?</p>	<input type="checkbox"/>	<input type="checkbox"/>	
<p>4. The vendor has evidence that an audit is performed annually in accordance with contract requirements.</p>	<input type="checkbox"/>	<input type="checkbox"/>	Get copy of most recent audit report.
<p>5. Are invoices prepared and submitted by the deadlines for submission?</p> <p>Do invoices contain all the required information?</p> <p>If no to either question above, explain why? (explain in detail)</p>	<input type="checkbox"/>	<input type="checkbox"/>	Verify invoices submitted by 10th day of the month, following services:
<p>6. The vendor complies with Insurance Requirements.</p>	<input type="checkbox"/>	<input type="checkbox"/>	Provide copy of Certificate of Insurance coverage and amounts.
<p>7. The vendor has performance outcome measures specific to the services and programs funded by their contract with Lehigh County.</p>	<input type="checkbox"/>	<input type="checkbox"/>	Provide a copy of performance outcome measures.
<p>8. The vendor has complied (agrees to comply) with LANTA policy which provides for appeals and fair hearings as required by PDA, DHS and other funding sources.</p>	<input type="checkbox"/>	<input type="checkbox"/>	
<p>9. The vendor maintains acceptable written documentation to record all complaints; which documents all steps taken to resolve complaints and the response to the recommended resolution by the parties to the complaint.</p> <p>The vendor has written evidence located in the employee file of corrective actions regarding family, consumer, and/or LANTA complaints regarding vendor employee.</p>	<input type="checkbox"/>	<input type="checkbox"/>	Review complaint resolution process and note. In addition, review selected files for evidence.



Compliance Questions	Compliance?		Notes
	Yes	No	
10. The vendor has evidence that they have, and enforce, a written policy that prohibits their employees from accepting gifts from their consumers of service.	<input type="checkbox"/>	<input type="checkbox"/>	Review policy, secure a copy.
11. Vendor has evidence contained in their personnel records that employees of the vendor agency are citizens of the United States of America, or are legal aliens.	<input type="checkbox"/>	<input type="checkbox"/>	Review personnel records for I-9 form.
12. The vendor has evidence contained in their personnel records that a criminal record check has been done with the proper authorities, and reviewed and determined acceptable as a condition of, and prior to hiring and placed in a capacity of service provision, for any consumer of LANTA services.	<input type="checkbox"/>	<input type="checkbox"/>	Review personnel records for criminal record checks.
13. Vendor has written procedures for medical emergencies, weather emergencies/disasters, incident reports, and staff coverage.	<input type="checkbox"/>	<input type="checkbox"/>	
14. The vendor further agrees that staff meet the qualifications for employment established by LANTA or funding source regulations. All positions have clear job descriptions and accountabilities. Job descriptions are updated to reflect current duties and assignments.	<input type="checkbox"/>	<input type="checkbox"/>	Explain.
15. The vendor orients and trains all employees and follows LANTA or its funding sources training guidelines including ADA related training.	<input type="checkbox"/>	<input type="checkbox"/>	
16. Does the vendor's management staff (supervisors, program directors, fiscal officer) meet? How frequently?	<input type="checkbox"/>	<input type="checkbox"/>	If response is no, please explain.
17. Vendor maintains a signed Release of information from the client when sharing information with another source.	<input type="checkbox"/>	<input type="checkbox"/>	Review Release of Information and obtain copy.
18. Vendor permit access of files to Federal authorities, the Commonwealth, the Department, the County Commissioners or County Executive or their authorized agents.	<input type="checkbox"/>	<input type="checkbox"/>	
19. Vendor contacts LANTA when a client no longer needs a service or level of service or the client's uncooperative behavior or misuse of the service warrants termination.	<input type="checkbox"/>	<input type="checkbox"/>	



20. Vendor maintains records for the required four years for audit/program purposes.	<input type="checkbox"/>	<input type="checkbox"/>	
21. The vendor has evidence of written contractual agreements if they fund independently operated, non-coordinated transportation programs or services.	<input type="checkbox"/>	<input type="checkbox"/>	
22. Vendor has evidence that transportation services financed by LANTA include an effective dispatching mechanism, effective vehicle operation method, and acceptable vehicle shared use.	<input type="checkbox"/>	<input type="checkbox"/>	
23. Vendor has evidence that the provision of exclusive ride services is limited and only available on a supplemental basis, and only when it was demonstrated as the only possible method of providing service to the consumer.	<input type="checkbox"/>	<input type="checkbox"/>	
24. The vendor has evidence that all drivers providing transportation services purchased or operated with LANTA funds meet the following minimum requirements: Drivers must be at least 18 years of age; a medical examination once every two years which includes a vision test; and, a valid Pennsylvania Operators license.	<input type="checkbox"/>	<input type="checkbox"/>	
25. The vendor has evidence that all information about a consumer gathered during the process of service provision is held in confidence and released to other professionals and agencies only with the consumer's written permission.	<input type="checkbox"/>	<input type="checkbox"/>	
26. The vendor monitors compliance with service standards (on-time performance, length of trip, missed trips, etc.) and provides reports to LANTA.	<input type="checkbox"/>	<input type="checkbox"/>	
27. Results of calls to reservation line. Is time to speak to agent in line with performance standards?	<input type="checkbox"/>	<input type="checkbox"/>	
28. The vendor monitors capacity constraints and makes appropriate service adjustments?	<input type="checkbox"/>	<input type="checkbox"/>	
29. The vendor tracks and reports no-shows in a manner, which allows for policy enforcement?	<input type="checkbox"/>	<input type="checkbox"/>	
30. Contractor has demonstrated that each subcontractor under this prime contract has been paid for satisfactory performance of its contract no later than fifteen (15) days from the receipt of each payment the prime contract receives from LANTA, if applicable.	<input type="checkbox"/>	<input type="checkbox"/>	



DRUG & ALCOHOL QUESTIONS

DOCUMENTATION / COMMENTS

Compliance Questions	Compliance?		Notes
	Yes	No	
31. The contractor has complied with 49 CFR Part 655 and has produced records showing compliance. (Prevention of Alcohol Misuse and Prohibited Drug Use in Transit Operations)	<input type="checkbox"/>	<input type="checkbox"/>	
32. The contractor has provided evidence of a compliant drug and alcohol policy.	<input type="checkbox"/>	<input type="checkbox"/>	
33. The contractor has shown evidence that their drug and alcohol policy has been shared with their Safety Sensitive Employees and the supervisors of Safety Sensitive Employees.	<input type="checkbox"/>	<input type="checkbox"/>	
34. The contractor has provided documentation of their training program for Safety Sensitive Employees and the supervisors of Safety Sensitive Employees.	<input type="checkbox"/>	<input type="checkbox"/>	
35. The contractor has provided a current listing of all Safety Sensitive Employees.	<input type="checkbox"/>	<input type="checkbox"/>	
36. The contractor has provided certificates for their Medical Review Officer.	<input type="checkbox"/>	<input type="checkbox"/>	
37. The contractor has provided their Breath Alcohol Technician (BAT) and Collector qualifications.	<input type="checkbox"/>	<input type="checkbox"/>	
38. The contractor has provided evidence of their Substance Abuse Professional (SAP) qualifications.	<input type="checkbox"/>	<input type="checkbox"/>	
39. Contractor has provided their MIS Reports for review and submission by LANTA's Drug and Alcohol Officer.	<input type="checkbox"/>	<input type="checkbox"/>	
40. Contractor has provided documentation of annual Reasonable Suspicion Training for their Supervisors.	<input type="checkbox"/>	<input type="checkbox"/>	



MAINTENANCE QUESTIONS	DOCUMENTATION / COMMENTS
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Compliance Questions	Compliance?		Notes
	Yes	No	
41. Contractor has a written vehicle and equipment maintenance plan and the plan includes a process for how warranty claims are pursued.	<input type="checkbox"/>	<input type="checkbox"/>	Obtain a copy of current maintenance plan for documentation.
42. The contractor has evidence that all vehicles ordered or purchased with LANTA funds for passenger transportation comply with all safety and accessibility standards set by governmental regulation.	<input type="checkbox"/>	<input type="checkbox"/>	
43. Contractor has evidence that it has access to at least one vehicle for transporting clients confined to wheelchairs or having mobility problems, if applicable.	<input type="checkbox"/>	<input type="checkbox"/>	
44. Contractor has evidence that all vehicles are equipped with a first aid kit, emergency flares for flares, 5 lb. dry chemical fire extinguisher, and emergency exits.	<input type="checkbox"/>	<input type="checkbox"/>	
45. Fire extinguisher and fire suppression system inspection tags are current, if applicable.	<input type="checkbox"/>	<input type="checkbox"/>	
46. Contractor has evidence that all vehicles are maintained in a safe operating condition through the use of a systematic preventative maintenance program.	<input type="checkbox"/>	<input type="checkbox"/>	
47. Contractor has a system to identify warranty claims, recording claims, and enforcing claims with vehicle/equipment manufacturers.	<input type="checkbox"/>	<input type="checkbox"/>	
48. Contractor has evidence that all vehicles in the fleet have current Pennsylvania Motor Vehicle Inspections.	<input type="checkbox"/>	<input type="checkbox"/>	
49. Contractor has evidence that appropriate insurance is provided for vehicles furnishing passenger transportation services. All vehicles have valid current insurance cards.	<input type="checkbox"/>	<input type="checkbox"/>	
50. Contractor has evidence that preventive maintenance is performed at required intervals in accordance with manufacturer warranty standards.	<input type="checkbox"/>	<input type="checkbox"/>	Review documentation, since last visit and obtain copies for retention until next Triennial Review.
51. Contractor provides regular and periodic maintenance checks for wheelchair lifts and ramps, if applicable.	<input type="checkbox"/>	<input type="checkbox"/>	Review documentation, since last visit and obtain copies for retention until next Triennial Review.
52. Contractor makes timely repairs as soon as issues are identified. The vendor notifies LANTA if a vehicle will be out of service and provides a plan for timely repair.	<input type="checkbox"/>	<input type="checkbox"/>	
53. Contractor makes repairs to ADA equipment within 48 hours of occurrence.	<input type="checkbox"/>	<input type="checkbox"/>	



CIVIL RIGHTS QUESTIONS

DOCUMENTATION / COMMENTS

Compliance Questions	Compliance?		Notes
	Yes	No	
54. The contractor has a current EEO plan. If not applicable, skip to question 64.	<input type="checkbox"/>	<input type="checkbox"/>	
55. The contractor's recruitment ads (e.g. newspapers, magazines, websites, and social media) and their application state that the entity is an "equal opportunity employer."	<input type="checkbox"/>	<input type="checkbox"/>	
56. The contractor has EEO Policy Statements posted in conspicuous locations so employees, applicants, and potential applicants are aware of the agency's commitment to EEO.	<input type="checkbox"/>	<input type="checkbox"/>	
57. The contractor has provided written communications from the CEO/GM to employees alerting staff of the existence of its EEO Policy and program.	<input type="checkbox"/>	<input type="checkbox"/>	
58. The contractor has included the EEO policy statement in the agency's personnel and operations manual, employee handbooks, reports, and manuals.	<input type="checkbox"/>	<input type="checkbox"/>	
59. The contractor has shown evidence of meeting with top management officials (e.g., operations, human resources, marketing, etc.) at a minimum semiannually to discuss their EEO Program and its implementation.	<input type="checkbox"/>	<input type="checkbox"/>	
60. The contractor has posted official EEO materials (e.g., Federal and state labor laws poster(s)) and the agency's policy statement on bulletin boards, near time clocks, in employees' breakrooms, and in the employment/personnel office.	<input type="checkbox"/>	<input type="checkbox"/>	
61. The contractor meets with all employees and affinity groups to seek input on the program implementation.	<input type="checkbox"/>	<input type="checkbox"/>	
62. The contractor conducts periodic EEO training for employees and for managers.	<input type="checkbox"/>	<input type="checkbox"/>	
63. The contractor conducts EEO training for all new supervisors or managers within 90 days of their appointment.	<input type="checkbox"/>	<input type="checkbox"/>	
64. Contractor acknowledges receipt of LANTA Title VI program and assures compliance?	<input type="checkbox"/>	<input type="checkbox"/>	



65. Contractor posts LANTA Title VI Notice in contractor's facility.	<input type="checkbox"/>	<input type="checkbox"/>	
66. Contractor has posted Title VI Notices in vehicles operated in public revenue service, if applicable.	<input type="checkbox"/>	<input type="checkbox"/>	
67. Contractor reported any Title VI complaints submitted to vendor to LANTA within 48 hours of receipt.	<input type="checkbox"/>	<input type="checkbox"/>	
68 Contractor has provided documentation confirming their certification as a DBE, if applicable.	<input type="checkbox"/>	<input type="checkbox"/>	
69. Contractor has demonstrated prompt payment of any subcontractors, including making available for review invoices from any subcontractors and proof of payment.	<input type="checkbox"/>	<input type="checkbox"/>	
70. Contractor made to the vendor and any subcontractors during the review period have been verified for use by the Semi-Annual DBE Report?	<input type="checkbox"/>	<input type="checkbox"/>	
71. On Site Monitors have confirmed that employees performing the contracted work are employed by the contractor and/or subcontractor of record.	<input type="checkbox"/>	<input type="checkbox"/>	
72. On-Site Monitors have confirmed that the Primes and Subs noted in the contract are actually providing the type of work for which they are certified.	<input type="checkbox"/>	<input type="checkbox"/>	



For LANTA Use Only:

Areas of Non-Compliance (corrective action needed/time frame for action):

List of Attachments:

On Site Monitors' Name(s)	Date of On-Site Visit
1.	
2.	
3.	
4.	

Contractor Debarment / Exclusion Search Completed:

Service	Signature	Date
SAM.gov		
PA DGS		