



RFP # 2011-05

REQUEST FOR PROPOSALS

EMPLOYEE GROUP HEALTH INSURANCE

NOVEMBER 28, 2011

**GARY PUBLIC TRANSPORTATION CORPORATION
100 W. 4TH AVENUE
GARY, IN 46402**

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PROCUREMENT SCHEDULE

GPTC RFP # 2011-05

EMPLOYEE GROUP HEALTH INSURANCE

ADVERTISEMENT **November 28, 2011**

ADVERTISEMENT **December 5, 2011**

PRE-PROPOSERS CONFERENCE **December 21, 2011**
(10:00 A.M., CDT, GPTC Board Room)

RFP DUE DATE **January 12, 2012**
12:00 NOON CDT

CONTRACT AWARD **To Be Determined**

GARY PUBLIC TRANSPORTATION CORPORATION

REQUEST FOR PROPOSALS - GPTC RFP #2011-05

The Gary Public Transportation Corporation (GPTC) is seeking proposals directly from companies that provide group health insurance though we will review responses submitted through brokers on behalf of insurance providers for the following:

EMPLOYEE GROUP HEALTH INSURANCE

Copies of the Request for Proposals (RFP) solicitation package can be obtained at the GPTC Corporate Office located at 100 West 4th Avenue, Gary, Indiana, 46402, between the hours of 9:00 A.M. and 4:00 P.M., Monday thru Friday, or via the Internet at www.gptcbus.com. For details, contact Annisha Whittaker, Procurement Agent at (219) 884-6100 ext. 107.

It is the responsibility of prospective bidders to check the GPTC website each Monday for amendments during the life of this Request for Proposal.

Contracts resulting from this RFP will only be between GPTC and the chosen insurance provider, even if response was submitted through a broker, and are subject to all applicable equal opportunity laws, Disadvantaged Business Enterprise (DBE) regulations and affirmative action requirements of the Federal Transit Administration (FTA), and GPTC. Information regarding these and other FTA and GPTC requirements is on file at the GPTC Corporate Office.

Proposals will be accepted via U. S. mail or hand-delivery only up to 12:00 P.M. local time on January 12, 2012 at 100 West 4th Avenue, Gary, Indiana 46402. A Pre-Proposers Conference will be held on December 21, 2011 at 10:00 A.M. at the same location. Interested proposers are encouraged to attend.

GPTC reserves the right to accept any RFP or any part or parts thereof or to reject any and all RFPs and request new submissions. All proposers are required to certify that they are not on the Comptroller General's List of Ineligible Contractors.

The Gary Public Transportation Corporation hereby notifies all proposers that in regard to any contract entered into pursuant to this Request for Proposal, advertisement or solicitation; Disadvantaged Business Enterprises will be afforded full opportunity to submit proposals in response and will not be subjected to discrimination on the basis of race, religion, color, sex, handicap, national origin or ancestry in consideration for an award.

Ms. Cherokee Stanton, Chairperson
Board of Directors, GPTC

Daryl E. Lampkins
General Manager

SECTION 1.0:

INTRODUCTION & SCOPE OF SERVICES

Section 1.1 - Solicitation General Information

Date of Issuance:	November 28, 2011
Pre-Proposer's Meeting:	December 21, 2011 10:00 AM CDT
RFP Due Date:	January 12, 2012, 12:00 Noon CDT
Contract Award Date	To Be Determined
Contracting Agency:	Gary Public Transportation Corporation 100 West 4th Avenue Gary, IN 46402

Any contract entered into is subject to the provisions of applicable local, state, federal laws and regulations, and required Federal contract clauses are FTA Circular 4220.1F.

Section 1.2- Overview of GPTC

The Gary Public Transportation Corporation, hereinafter GPTC, is a Municipal Corporation, within the City of Gary, Lake County, State of Indiana. The agency is governed by a seven member Board of Directors. Board members are appointed by the Mayor and Gary Common Council. GPTC has 75 full-time employees and 4 part-time employees. Its annual adopted operating and capital budget from tax dollars approximates \$7.5 M. GPTC provides the public transportation services for the Gary area. GPTC is the designated recipient of funds from the Federal Transit Administration (FTA), an agency of the United States Department of Transportation. GPTC functions on an operational basis under the Rules and Regulations of the United States Department of Transportation through its Federal Transit Administration, applicable Indiana Codes, and the Ordinances and regulations established by the Gary Common Council.

GPTC is a party to a 13 (C) Labor Agreement with the Amalgamated Transit Union Local 517 covering all hourly employees. A collective bargaining agreement between GPTC and the ATU Local 517 is in place until April 30, 2009.

The annual operating budget of \$7.5 million is supported by Federal Transit Administration Section 5307 capital finds, State of Indiana Public Mass Transit Funds, farebox revenue, dedicated local property tax, and other local sources.

GPTC Corporate Office is located on the third floor of the Adam Benjamin Intermodal Transit Center in downtown Gary, Indiana. GPTC manages the Center, which is owned by the Civil City of Gary, Indiana. GPTC directly operates both fixed route and complementary paratransit services from its Operations and Maintenance Facility located at 2101 West 35th Avenue in Gary, Indiana. For Calendar Year 2009, the annual fixed route revenue miles were 992,122 with 765,409 riders. Complimentary paratransit revenue miles were 64,265 with 12,111 riders.

SECTION 2 - SCOPE OF SERVICES

- 2.0** GPTC has contracted the provision of insurance coverage as negotiated under the Collective Bargaining Agreement (CBA) with the Amalgamated Transit Union, Local 517. GPTC wishes to continue insurance coverage under the requirements of the CBA.
- 2.1** GPTC is seeking a term of up to two (2) years of service, but will consider a one (1) year contract. Two-year contracts will be rated with a higher score in criteria evaluation.
- 2.2** The goal established for all insurance coverage is that of continued employee satisfaction and well-being for the corporation's employees within the budgetary constraints of the corporation.
- 2.3** The company selected will be expected to undertake the following elements of service:
 - 2.3.1** Provide medical benefits as outlined in the Group Insurance Plan for GPTC employees and eligible dependents through an identifiable provider network.
 - 2.3.2** Provide prompt claims administration and related administrative services required to support GPTC's health insurance program.
 - 2.3.3** Review, advise, and help the Corporation secure through approved processes established by FTA, State, and City ordinances, rules, regulations, and Codes, management activities and decisions to protect the Corporation's best interests and the integrity of the plan.
 - 2.3.4** Assist the Corporation by ensuring that the plan is administered in strict accordance with the insurance contract.
 - 2.3.5** Investigate, administer, and settle any occurrence where benefits are denied under the contract and an appeal is filed by or on behalf of a covered employee or eligible dependent due to a disputed claim for medical benefits with specific procedures clearly defined in the Contract and Certificate of Coverage.
 - 2.3.6** Responsibilities of the selected vendor will include those considered normally accepted standards of service for the industry. The insurance Contract and Certificate of Coverage will provide the guidance for service. Vendor selection criterion will give strict attention to the insurance Contract, and the strength of the contract language with regard to exclusions and limitations of coverage.
- 2.4** There is no solicitation bond required for this RFP. GPTC will require the naming of, and the current résumé of the primary contact and assigned person to be devoted to GPTC requirements.

SECTION 3.0 - VENDOR INSTRUCTIONS

3.0 INSTRUCTIONS

Vendors are furnished the following instructions to clarify conditions for work, development and presentation of offers, clarification of contents, review of concerns, and other pertinent information from which knowledge of preparing and offering a responsible and responsive offer may be developed.

Any alteration of the Proposal forms will be grounds for cause to reject the offer if it is the decision of GPTC to do so. A failure to comply with the units of measure or other terms and conditions of the work shall be grounds to declare the offer as non-responsive.

All forms required in the certification pages must be completed or the Proposal will be considered as non-responsive.

Vendors are to address the following elements in their proposal:

3.1 PLAN SPECIFICATIONS

3.1.1 SERVICES OPTIONS:

3.1.1.1 Option 1 – Preferred Providers Organization (PPO), which the covered individual can choose the health care provider of his or her choose.

And

3.1.1.2 Option 2 – Health Maintenance Organization (HMO), a program that operates by hiring its own doctors to staff its own local clinics.

Annual Deduction (per calendar year, per individual):

Single:	\$400.00
Family:	\$800.00

Prescription Drug (employee contribution):

Generic Drugs:	\$10.00
Brand Drugs:	\$20.00
Non-Formulary:	\$30.00

Enrollment Eligibility Category:

- Employee
- Employee and child(ren)
- Employee and spouse
- Employee and family

3.1.1.3 Company Census:

Current Employee Total	75 Full-Time
Administrative Staff (class 1):	19
Union Staff (class 2):	56

Benefit Provision:

Dependant age: Eligible until the age of (26)

Waiting period for new employees:

Class 1: Three (3) month elimination period

Class 2: Three (3) month elimination period

Dependent Hospitalization:

GPTC's will contribute toward group hospitalization coverage for dependents of employees, 87% of the premium cost. The participating employee shall pay the remaining cost.

3.1.2 VENDOR PRICE QUOTE OPTIONS

Vendors are required to quote prices for all plan options.

3.2 GROUP INSURANCE PLAN DESIGN:

Information in the following outline is to guide the provider in plan design and structure.

3.2.1 PLAN DESIGN AND BENEFITS — PPO

GARY PUBLIC TRANSPORTATION CORPORATION OPTION 1 — PLAN DESIGN AND BENEFITS - PPO

PLAN FEATURES	PREFERRED CARE	NON-PREFERRED CARE
Deductible (per calendar year)	\$400 Individual \$800 Family	\$500 Individual \$1,000 Family
All covered expenses accumulate toward both the preferred and non-preferred Deductible. Unless otherwise indicated, the Deductible must be met prior to benefits being payable. Once Family Deductible is met, all family members will be considered as having met their Deductible for the remainder of the calendar year.		
Member Coinsurance	20%	40%
Applies to all expenses unless otherwise stated.		
Payment Limit (per calendar year)	\$1,000 Individual \$2,000 Family	\$2,000 Individual \$4,000 Family
All covered expenses accumulate toward both the preferred and non-preferred Payment Limit. Certain member cost sharing elements may not apply toward the Payment Limit. Only those out-of-pocket expenses resulting from the application of coinsurance percentage (except any deductibles, copays, and penalty amounts) may be used to satisfy the Payment Limit. Once Family Payment Limit is met, all family members will be considered as having met their Payment Limit for the remainder of the calendar year.		
Lifetime Maximum		
Unlimited except where otherwise indicated.		
Primary Care Physician Selection	Not applicable	Not applicable
Certification Requirements -		
Certification for certain types of Non-Preferred care must be obtained to avoid a reduction in benefits paid for that care. Certification for Hospital Admissions, Treatment Facility Admissions, Convalescent Facility Admissions, Home Health Care, Hospice Care and Private Duty Nursing is required - excluded amount applied separately to each type of expense is \$400 per occurrence.		
Referral Requirement	None	None
PREVENTIVE CARE		
Routine Adult Physical Exams/ Immunizations	\$15 office visit copay; deductible Waived	40%
Age/ frequency schedule may apply.		
Routine Well Child Exams/ Immunizations	\$15 office visit copay; deductible waived	40%
Age/ frequency schedule may apply.		
Routine Gynecological Care Exams	\$15 office visit copay; deductible waived	40%
One exam per calendar year. Includes Pap smear and related lab fees.		
Routine Mammograms	Covered 100%; deductible waived	40%
One baseline mammogram for covered females age 35-39; one mammogram per calendar year age 40 and over.		
Routine Digital Rectal Exam / Prostate specific Antigen Test	Member cost sharing is based on the type of service performed and	Member cost sharing is based on the type of service performed and

**GARY PUBLIC TRANSPORTATION CORPORATION
OPTION 1 — PLAN DESIGN AND BENEFITS - PPO**

For covered males age 40 and over	the place of service where it is rendered; deductible waived	the place of service where it is rendered
Colorectal Cancer Screening For all members age 50 and over.	Member cost sharing is based on the type of service performed and the place of service where it is rendered; deductible waived	Member cost sharing is based on the type of service performed and the place of service where it is rendered
PHYSICIAN SERVICES	PREFERRED CARE	NON-PREFERRED CARE
Office Visits (non surgical) to Non Specialist Includes services of an internist, general physician, family practitioner or pediatrician for routine care as well as diagnosis and treatment of an illness or injury.	\$15 office visit copay; deductible waived	40%
Specialist Office Visits (non-surgical)	\$15 office visit copay; deductible waived	40%
Office Visits for Surgery	20%	40%
Maternity OB Visits	Covered same as Specialist Office Visit for initial visit only; thereafter covered 100%; deductible waived	40%
Allergy Testing	Member cost sharing is based on the type of service performed and the place of service where it is rendered; deductible waived	40%
Allergy Injections	20%	40%
DIAGNOSTIC PROCEDURES	PREFERRED CARE	NON-PREFERRED CARE
Diagnostic Laboratory and X-ray If performed as a part of a physician office visit and billed by the physician, expenses are covered subject to the applicable physician's office visit member cost sharing	20%	40%
EMERGENCY MEDICAL CARE	PREFERRED CARE	NON-PREFERRED CARE
Urgent Care Provider (benefit availability may vary by location)	20% after \$35 copay	40%
Non-Urgent Use of Urgent Care Provider	Not Covered	Not Covered
Emergency Room	\$50 copay	Same as preferred care.
Non-Emergency care in an Emergency Room	50%	50%
Ambulance	20%	40%
HOSPITAL CARE	PREFERRED CARE	NON-PREFERRED CARE
Inpatient Coverage The member cost sharing applies to all covered benefits incurred during a member's inpatient stay	20%	40%
Inpatient Maternity Coverage The member cost sharing applies to all covered benefits incurred during a member's inpatient stay	20%	40%
Outpatient Hospital Expenses (including surgery) The member cost sharing applies to all Covered Benefits incurred during a member's outpatient visit	20%	40%
MENTAL HEALTH SERVICES	PREFERRED CARE	NON-PREFERRED CARE
Inpatient The member cost sharing applies to all covered benefits incurred during a member's inpatient stay	20%	40%
Outpatient	20%	50%

**GARY PUBLIC TRANSPORTATION CORPORATION
OPTION 1 — PLAN DESIGN AND BENEFITS - PPO**

The member cost sharing applies to all covered benefits incurred during a member's outpatient visit

ALCOHOL/DRUG ABUSE SERVICES	PREFERRED CARE	NON-PREFERRED CARE
Inpatient	20%	40%

Limited to 30 days per calendar year.

The member cost sharing applies to all covered benefits incurred during a member's inpatient stay

Outpatient	20%	50%
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Limited to 30 visits per calendar year.

The member cost sharing applies to all Covered Benefits incurred during a member's outpatient visit

Inpatient (with underlying mental illness)	20%	40%
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Outpatient (with underlying mental illness)	20%	50%
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Maximums are a combined limit for preferred and non-preferred services.

OTHER SERVICES	PREFERRED CARE	NON-PREFERRED CARE
Convalescent Facility	20%	40%

Limited to 120 days per calendar year.

The member cost sharing applies to all covered benefits incurring during a member's inpatient stay

Home Health Care	20%	40%
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Limited to 120 visits per calendar year.

Each visit by a nurse or therapist is one visit. Each visit up to 4 hours by a home health care aide is one visit.

Hospice Care - Inpatient	20%	40%
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Limited to 30 days per lifetime.

The member cost sharing applies to all covered benefits incurred during a member's inpatient stay

Hospice Care - Outpatient	20%	40%
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Up to a maximum benefit of \$5,000

The member cost sharing applies to all covered benefits incurred during a member's outpatient visit

Private Duty Nursing - Outpatient (Limited to 70 eight hour shifts per calendar year)	20%	40%
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Outpatient Short-Term Rehabilitation	20%	40%
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Includes speech, physical, and occupational therapy.

Spinal Manipulation Therapy	20%	40%
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Durable Medical Equipment	20%	40%
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Diabetic Supplies	Covered same as any other medical expense.	Covered same as any other medical expense.
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Contraceptive drugs and devices not obtainable at a pharmacy (includes coverage for contraceptive visits)	20% (payable as any other covered expense)	40% (payable as any other covered expense)
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Transplants	20% Preferred coverage is provided at an IOE contracted facility only	40% Non-Preferred coverage is provided at a Non-IOE facility
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Bariatric	Not applicable	Not applicable
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"Other" Health Care – 20% member coinsurance after the preferred (per calendar year) deductible for services that are neither "preferred" nor "non-preferred"

FAMILY PLANNING	PREFERRED CARE	NON-PREFERRED CARE
Infertility Treatment	Member cost sharing is based on	Member cost sharing is based on

**GARY PUBLIC TRANSPORTATION CORPORATION
OPTION 1 — PLAN DESIGN AND BENEFITS - PPO**

Diagnosis and treatment of the underlying medical condition.	the type of service performed and the place of service where it is rendered	the type of service performed and the place of service where it is rendered
Voluntary Sterilization Including tubal ligation and vasectomy	Member cost sharing is based on the type of service performed and the place of service where it is rendered	Member cost sharing is based on the type of service performed and the place of service where it is rendered
PHARMACY	PREFERRED CARE	NON-PREFERRED CARE
Retail	\$10 copay for generic drugs, \$20 copay for formulary brand-name drugs, and \$30 copay for nonformulary brand-name drugs up to a 30 day supply at participating	40% of submitted cost after \$10 copay for generic drugs, \$20 copay for formulary brand-name drugs, and \$30 copay for non-formulary brand-name drugs up to a 30-day supply.
Mail Order	\$20 copay for generic drugs, \$40 copay for formulary brand-name drugs, and \$70 copay for nonformulary brand-name drugs up to a 31-90 day supply at participating pharmacies.	Not applicable
No Mandatory Generic (NO MG) - Member is responsible to pay the applicable copay only.		
Plan Includes: Contraceptive drugs and devices obtainable from a pharmacy, Diabetic supplies.		

3.2.2 PLAN DESIGN AND BENEFITS — HMO

GARY PUBLIC TRANSPORTATION CORPORATION OPTION 2 — PLAN DESIGN AND BENEFITS - HMO

PLAN FEATURES	PARTICIPATING PROVIDERS / REFERRED	
Deductible (per calendar year)	None	Individual
	None	Family
Member Coinsurance	Covered 100%	
Out-of-Pocket Maximum	\$1,500	Individual
(per calendar year)	\$3,000	Family
Member cost sharing for certain services may not apply toward the Out-of-Pocket Maximum		
Only those participating providers/referred out of pocket expenses resulting from the application of coinsurance percentage, deductibles and copays (except any penalty amounts and pharmacy cost sharing) may be used to satisfy the Out-of-Pocket Maximum.		
Once Family Out-of-Pocket Maximum is met, all family members will be considered as having met their Out-of-Pocket Maximum for the remainder of the calendar year.		
Lifetime Maximum	Unlimited except where otherwise indicated	
Primary Care Physician Selection	Required	
Referral Requirements	Required for all non-emergency, non-urgent and non-Primary Care physicians services, except direct access services.	
PREVENTIVE CARE	PARTICIPATING PROVIDERS / REFERRED	
Routine Adult Physical Exams/ Immunizations (Age and frequency schedules apply)	\$20 copay	
Well Child Exams / Immunizations (Age and frequency schedules apply)	\$20 copay	
Routine Gynecological Care Exams Includes Pap smear and related lab fees.	\$20 copay	
	One routine exam per 365 days.	
Routine Mammograms	\$20 copay	
One baseline mammogram for females age 35 - 39; and one annual mammogram for females age 40 and over.		
Routine Digital Rectal Exams / Prostate Specific Antigen Test For males age 40 and over.	Member cost sharing is based on the type of service performed and the place of service where it is rendered	
Colorectal Cancer Screening For all members 50 and over. Frequency schedule applies.	Member cost sharing is based on the type of service performed and the place of service where it is rendered.	
Routine Hearing Screening	Subject to Routine Physical Exam cost sharing.	
PHYSICIAN SERVICES	PARTICIPATING PROVIDERS / REFERRED	
Office Visits to member's selected Primary Care Physician	Office Hours : \$20 copay After Office Hours/Home : \$25 copay	
Specialist Office Visits Includes services of an internist, general physician, family practitioner or pediatrician if the physician is not the member's selected PCP.	\$20 copay	
Maternity OB Visits	\$20 copay	

**GARY PUBLIC TRANSPORTATION CORPORATION
OPTION 2 — PLAN DESIGN AND BENEFITS - HMO**

Allergy Treatment	Same as applicable participating provider office visit member cost sharing
Allergy Testing	Same as applicable participating provider office visit member cost sharing
DIAGNOSTIC PROCEDURES	PARTICIPATING PROVIDERS / REFERRED
Diagnostic Laboratory	\$20 copay If performed as a part of a physician's office visit and billed by the physician, expenses are covered subject to the applicable physician's office visit cost sharing.
Diagnostic X-ray	\$20 copay Outpatient hospital or other Outpatient facility
EMERGENCY MEDICAL CARE	PARTICIPATING PROVIDERS / REFERRED
Urgent Care	\$50 copay
Non-Urgent use of Urgent Care Provider	Not Covered
Emergency Room	\$50 copay
Non-Emergency Care in an Emergency Room	Not Covered
Ambulance	100% covered
HOSPITAL CARE	PARTICIPATING PROVIDERS / REFERRED
Inpatient Coverage	\$100 per admission copay The member cost sharing applies to all covered benefits incurred during a member's inpatient stay.
Inpatient Maternity Coverage	\$100 per admission copay The member cost sharing applies to all covered benefits incurred during a member's inpatient stay.
Outpatient Surgery	\$50 per visit copay The member cost sharing applies to all covered benefits incurred during a member's outpatient visit.
MENTAL HEALTH SERVICES	PARTICIPATING PROVIDERS / REFERRED
Inpatient Mental Illness	\$100 per admission copay Limited to 30 days per calendar year. The member cost sharing applies to all covered benefits incurred during a member's inpatient stay.
Outpatient Mental Illness	\$25 per visit copay Limited to 20 visits per calendar year. The member cost sharing applies to all covered benefits incurred during a member's outpatient visit.
ALCOHOL/DRUG ABUSE SERVICES	PARTICIPATING PROVIDERS / REFERRED
Inpatient Detoxification	\$100 per admission copay The member cost sharing applies to all covered benefits incurred during a member's inpatient stay.
Outpatient Detoxification	\$20 per visit copay The member cost sharing applies to all covered benefits incurred during a member's outpatient visit.
Outpatient Rehabilitation	\$20 per visit copay Limited to 20 visits per calendar year The member cost sharing applies to all covered benefits incurred during a member's outpatient visit.
OTHER SERVICES	PARTICIPATING PROVIDERS / REFERRED
Skilled Nursing Facility	\$100 per admission copay

**GARY PUBLIC TRANSPORTATION CORPORATION
OPTION 2 — PLAN DESIGN AND BENEFITS - HMO**

The member cost sharing applies to all covered benefits incurred during a member's inpatient stay.	
Home Health Care	Covered 100%
Limited to 3 intermittent visits per day by a Participating home health care agency; 1 visit equals a period of 4 hrs or less.	
Hospice Care - Inpatient	\$100 per admission copay
The member cost sharing applies to all covered benefits incurred during a member's inpatient stay.	
Hospice Care - Outpatient	Covered 100%
The member cost sharing applies to all covered benefits incurred during a member's outpatient visit.	
Private Duty Nursing	Not Covered unless pre-authorized
Outpatient Rehabilitation Therapy (Includes speech, physical and occupational therapy)	\$20 per visit copay
Limited to 60 visits per calendar year, plus an additional 20 visits for pervasive developmental disorders.	
Subluxation	\$20 per visit copay Unlimited visits
Durable Medical Equipment	Covered 100%
Diabetic Supplies	Pharmacy cost sharing applies if Pharmacy coverage is included; otherwise PCP office visit cost sharing applies
Transplants	\$100 per admission copay Coverage is provided at an IOE contracted facility only
Bariatric	Member cost sharing is based on the type of service performed and the place of service where it is rendered.
The member cost sharing applies to all covered benefits incurred during a member's inpatient stay.	
FAMILY PLANNING	PARTICIPATING PROVIDERS / REFERRED
Infertility Treatment	Member cost sharing is based on the type of service performed and the place of service where it is rendered.
Diagnosis and treatment of the underlying medical condition	
Comprehensive Infertility Services	Applicable copay applies (does not apply towards the Out of Pocket Maximum) Limited to 4 attempts per lifetime, if live birth only 2 additional attempts covered.
Coverage includes Artificial Insemination and Ovulation Induction.	
Advanced Reproductive Technology (ART)	Limited to 4 attempts per lifetime, if live birth only 2 additional attempts covered.
ART coverage includes In-Vitro Fertilization (IVF), Zygote Intra-Fallopian Transfer (ZIFT), Gamete Intra-Fallopian Transfer (GIFT), cryopreserved embryo transfers, Intra-Cytoplasmic Sperm Injection (ICSI) or ovum microsurgery.	
Voluntary Sterilization	Subject to applicable service type member cost sharing
Including tubal ligation and vasectomy.	

**GARY PUBLIC TRANSPORTATION CORPORATION
OPTION 2 — PLAN DESIGN AND BENEFITS - HMO**

PHARMACY - PRESCRIPTION DRUG BENEFITS	PARTICIPATING PROVIDERS / REFERRED
Retail	\$10 copay for formulary generic drugs, \$20 copay for formulary brand-name drugs, and \$35 copay for nonformulary brand-name and generic drugs up to a 30 day supply at participating pharmacies.
Mail order	\$20 copay for formulary generic drugs, \$40 copay for formulary brand-name drugs, and \$70 copay for nonformulary brand-name and generic drugs up to a 31-90 day supply at participating pharmacies.
No Mandatory Generic (NO MG) - Member is responsible to pay the applicable copay only.	
Plan Includes: Contraceptive drugs and devices obtainable from a pharmacy.	
Precert included and step-therapy included.	

3.3

**GARY PUBLIC TRANSPORTATION CORPORATION
 PRICE SUBMISSION SHEET – YEAR ONE
 RFP #2011-05
 EMPLOYEE GROUP HEALTH INSURANCE**

Name of Company	
Name of Provider	

OPTION ONE - PPO

<u>Category</u>	<u>Composite Rate</u>	<input type="checkbox"/>	<u>Number Enrolled</u>	<input type="checkbox"/>	<u>Monthly Costs</u>
Employee Only		x		=	
Employee + Dependent		x		=	
Employee + Spouse		x		=	
Employee + Family		x		=	
Total Monthly Costs		x		=	
Annual Costs					

OPTION TWO - HMO

<u>Category</u>	<u>Composite Rate</u>	<input type="checkbox"/>	<u>Number Enrolled</u>	<input type="checkbox"/>	<u>Monthly Costs</u>
Employee Only		x		=	
Employee + Dependent		x		=	
Employee + Spouse		x		=	
Employee + Family		x		=	
Total Monthly Costs		x		=	
Annual Costs					

 Authorized Representative Printed Name

 Date

 Authorized Representative Signature

**GARY PUBLIC TRANSPORTATION CORPORATION
PRICE SUBMISSION SHEET – YEAR TWO
RFP #2011-05
EMPLOYEE GROUP HEALTH INSURANCE**

Name of Company	
Name of Provider	

OPTION ONE - PPO

<u>Category</u>	<u>Composite Rate</u>	<input type="checkbox"/>	<u>Number Enrolled</u>	<input type="checkbox"/>	<u>Monthly Costs</u>
Employee Only		<input checked="" type="checkbox"/>		=	
Employee + Dependent		<input checked="" type="checkbox"/>		=	
Employee + Spouse		<input checked="" type="checkbox"/>		=	
Employee + Family		<input checked="" type="checkbox"/>		=	
Total Monthly Costs		<input checked="" type="checkbox"/>		=	
Annual Costs					
Grand Total / Two Years Combined – PPO Plan					

OPTION TWO - HMO

<u>Category</u>	<u>Composite Rate</u>	<input type="checkbox"/>	<u>Number Enrolled</u>	<input type="checkbox"/>	<u>Monthly Costs</u>
Employee Only		<input checked="" type="checkbox"/>		=	
Employee + Dependent		<input checked="" type="checkbox"/>		=	
Employee + Spouse		<input checked="" type="checkbox"/>		=	
Employee + Family		<input checked="" type="checkbox"/>		=	
Total Monthly Costs		<input checked="" type="checkbox"/>		=	
Annual Costs					
Grand Total / Two Years Combined –HMO Plan					

Authorized Representative Printed Name

Date

Authorized Representative Signature

SECTION 4 - ADDITIONAL INFORMATION

“The following items are listed as required. Failure to include the following in the proposal submission will cause the proposal to be ruled non-responsive.

- Executive Summary
- Background & Experience
- Description of Proposed Services
 1. Network Strength
 2. Contractual Benefits and Administrative Flexibility
 3. Total Costs for Services Requested
 4. Multi-Year Contract
- A clear and well-defined price offer
- Price for any requested option period
- All forms and certifications contained in the GPTC solicitation package
- List of references [Firms of similar size and composition, at least five (5) firms]

Proposers shall remit five (5) copies of their proposal. One copy must contain all seals and original signatures; all others may contain photocopies of the seals and signatures. The original copy must be unbound. Proposal format is to be twelve (12) point Times New Roman font with one (1) inch borders on all sides. Proposers are to include a CD with a full copy of their Proposal package in a Microsoft compatible format (Microsoft Word, Excel, PDF, etc.)

Any alteration to the forms contained in the RFP may be cause for the proposal to be declared as non-responsive. For this RFP, all proposals must be submitted no later than 12:00 Noon on January 12, 2012 at the Corporate Office of GPTC located at 100 W. Avenue, Gary, IN 46402. Under no circumstance will any proposal be accepted later than the time or date detailed or at any other location than that specified. This restriction is absolute and includes failure of a private delivery service or the United States Postal Services to deliver documents in a timely or schedule manner. No response will be accepted that is not in the hard copy format. Electronic responses are not valid for this RFP solicitation. Proposals received after the due date and time will be returned un-opened. Proposals must be enclosed in a sealed package or envelop with the name of the proposer and labeled as followed:

Ms. Cherokee Stanton, Chairperson
Gary Public Transportation Corporation Board of Directors
100 West 4th Avenue - Third Floor
Gary, Indiana 46402

GPTC RFP 2011-05 - “Employee Group Health Insurance”

Oral interviews **may** be required. Expenses for such an interview will be the responsibility of the proposer.

GPTC is not responsible and will not accept any responsibility for the cost incurred by any vendor in the specific preparation or the associated activities aiding in the preparation of this proposal.

GPTC is not responsible to return to any vendor the proposal submitted to GPTC as an offer for this RFP.

4.1 Term of Contract - The term of this contract shall be for two (2) years, beginning in March 1, 2012 and ending on February 28, 2014. In the event of a one (1) year contract, the date parameters will be from March 1, 2012 to February 28, 2013.

4.2 Pre-Proposal Conference - There will be a Pre-Proposal Conference held on December 21, 2011 at 10:00 am CDT in the GPTC Corporate Office Board Room located at 100 West 4th Avenue — Third Floor, Gary, Indiana. The purpose of this conference is to address any questions that are forthcoming from the vendor community. All questions should be forwarded by fax, or mail arriving at least twenty-four (24) hours before the scheduled pre-proposal conference, so that written copies may be prepared for all vendors. All responses will be reduced to a written format and along with questions prior to, or at the meeting, sent to the vendors no later than five (5) days after the pre-proposal meeting.

4.3 Proposal Evaluation Criteria - GPTC shall appoint an evaluation team to evaluate the contents of each proposal in light of certain criteria. Each evaluator shall assign a numerical rating for each category based on the proposal submittals and references. All composites for each vendor by each evaluator shall be established. Categories will be totaled for each vendor and the vendor with the highest rating average will become the vendor of choice of the committee, except if there is an over-riding cause acceptable to the committee and Corporation Counsel as a whole to set aside the rank and proceed to the next highest rated vendor. The GPTC Board of Director will consider the evaluation committee recommendation and make the final award.

Based on the Scope of Services and Vendor Instructions, the evaluation scale for proposals will be as follows:

- Price and Other Factors: An award is made to the responsible offeror whose proposal is most advantageous to the recipient's program with price and other factors considered.
- Discussions Expected: Separate discussions with individual offeror(s) are expected to be necessary after they have submitted their offers.
- **Network Strength:30 Points**
Recognizing that employee satisfaction will be enhanced by the greatest availability of service providers for selection by the employees and covered dependents in their area of residence by the employees and covered dependents in their area of residence, size of the Provider Network will be a major criterion in the selection process.

- **Contractual Benefits and Administrative Flexibility:20 Points**
The evaluation team will heavily weigh the proposed benefits and limitations/exclusions in the proposal. In addition, the ability of the vendor to allow on-line enrollment, eligibility tracking, and access to claims status, etc. is a high priority.
- **Total Cost for Service Requested:40 Points**
Recognizing that GPTC's budget constraints are established by funding resources, vendor proposals will be evaluated with price as a major consideration point.
- **Multi-Year Contract:.....10 Points**
This element allows for a higher level of consideration for a vendor willing to enter into a multi-year contract with GPTC. The price submission sheet will provide for indication of the contract term of each vendor's proposal.

- 4.4 Federal Participation - GPTC is a recipient of Federal funding through the Federal Transit Administration (FTA) of the United States Department of Transportation. GPTC and its contractors must comply with all applicable federal statutes, regulations, executive orders, FTA circulars, and other federal administrative requirements in carrying out a project supported by FTA grants.
- 4.5 Reserved Right - GPTC reserves the right to withdraw this solicitation at any time in the process prior to contracting upon notification to all vendors in receipt of the solicitation documents by fax or letter to their last known business address. If such action is taken by GPTC, no vendor will have claim for recompense.
- 4.6 Independent Contractor - The successful vendor shall be considered, and shall accept status as being that of, an independent contractor to GPTC, and shall recognize that they are not an employee or officer of the Corporation.
- 4.7 Taxes - GPTC is tax-exempt from Federal and State excise, use, and sales taxes. As such, taxes shall not be included in proposal prices. GPTC shall furnish the necessary tax exemption certificates.
- 4.8 Withdrawing Proposals - After proposals are opened by GPTC, the proposer may not withdraw proposals for ninety (90) days. However, prior to the date/time set for the proposal opening, proposals may be modified or withdrawn by the proposer's authorized representative in person, or by written notice.
- 4.9 Proposal and Contract Procedures - GPTC reserves the right, when necessary, to postpone the times at which proposals are scheduled to be received and opened, and to amend the Solicitation statement of work. Prompt notification of such postponement or amendment shall be given by GPTC to all prospective proposers who have requested or received the solicitation documents.

SECTION 5.0

COMPLIANCE WITH REGULATIONS AND GENERAL REQUIREMENTS

Section 5.1 — Federal Regulations

Federal Procurement Regulations establish certain submission be required from any third party contract GPTC enters into with any vendor. In order that GPTC may be compliant with the Federal Requirements of FTA Circular C 4220.1F, each vendor is required to complete and submit as a part of the offer package completed certifications as defined in this section.

Section 5.2 — Required Submissions

The following pages of certifications must be completed and returned with your proposal. Some portion of these required certifications may/will not be applicable to the contents of the statement of work that is attached to and made a part of this RFP. However, the Proposal submitted must contain completed, signed, and sealed (if required) documents.

Section 5.3 — Bonds, Insurance and Special Requirements

There is no solicitation bonds required for this RFP. GPTC will require the naming of, and the current résumé of the primary contact and assigned person to be devoted to GPTC requirements.

Section 5.4 — Failure to Supply

Failure to supply the required certifications shall result in the determination the Proposal is “Non - Responsive.”

Section 5.5 — Notary Seals

Any certification requiring a Notary Public Seal, must be sealed in the package marked original, and may be copied in the subsequent number of Proposal package required in Section 3.0 — Vendor Instructions.

PROPOSAL CHECKLIST GPTC RFP #2011 - 05
(Must be returned with your Proposal)

Sealed offers will be received until the date and time listed. All offers must be received at the office of the Procurement Manager. All offers are subject to public opening and date and time indicated for submittal.

 0 % Proposal Bond or certified check required with proposal.

 0 % Performance Bond or Letter of Credit required at contract award.

******* NO BONDS REQUIRED FOR RFP #2011-05 *******

Proposal Data Check List

Did you read and understand the General Specifications?	Yes__ No__ Initials_____
Did you read and understand the Scope of Work?	Yes__ No__ Initials_____
Are there any exceptions to the instructions as described?	Yes__ No__ Initials_____

If yes, explain: _____

Certificate Item Required to Be Returned

Acknowledgement of Amendments	_____
Proposal Check List	_____
DBE Commitment Form	_____
Certificate of Procurement Integrity	_____
Certificate of Restriction on Lobbying	_____
Offer (correct number of copies, and signatures)	_____
Certificate Regarding Debarment	_____
Affidavit of Non-collusion	_____
Contract Pricing Offer Form (Proposal Form 95)	_____
DOT Assisted Contracts Proposers List Certification	_____
Proposal Contract Form	_____

It is the responsibility of the proposers to notify GPTC if the contents of the solicitation do not match the description found in the Table of Contents included in the solicitation. Failure of the vendor to complete all forms and sign at all signature blocks will disqualify the offer from consideration.

NO OFFER SHALL BE ACCEPTED OR CONSIDERED THAT IS RECEIVED LATER THAN THE TIME AND DATE STATED AS THE SUBMISSION REQUIREMENT. Time Given in the solicitation is the current time observed by the Consolidated City of Gary, Indiana.

PROPOSAL OFFER
(Return with Proposal)

COMPLETED BY THE VENDOR

GPTC requires a responsive offer. Offers not fully complying with the specifications may be ruled non-responsive. Offers that qualify the terms and conditions as stipulated by GPTC may cause a response to be ruled non-responsive. Any additions, deletions, changes, or exceptions to the solicitation and/or addenda may cause the response to be ruled non-responsive. Any change to the required format of submission may cause a response to be ruled non-responsive. The inclusion of any cost, form of cost, or additional cost items not asked for in the solicitation may cause the response to be ruled non-responsive.

Please submit the items indicated on the Proposal Check List and any required manufacturer specification or safety data sheets with your proposal to assure you are providing a responsive submission.

When a Proposal has been accepted for an award through the GPTC Board of Directors approval and authorization, this Proposal form, and all specifications and addenda to offers incorporated herein, by specific statement or by reference, shall become the contract between the two parties, the vendor selected and the Gary Public Transportation Corporation.

Company Name

Address

City, State, Zip Code

Agent, (Signature and Title)

Typed Name _____

Telephone _____ Date Signed _____

Contract Number GPTC RFP # 2011-05

Completed by GPTC

The foregoing offer to furnish labor, material(s), supplies, equipment, or service(s), to perform in accordance with the requirements contained within this solicitation, all relevant amendments and negotiated items, has been accepted by an award of the GPTC Board of Directors, and is signed to create the contract between GPTC and the above Vendor. Vendor signature(s) and return of this document in original form is acceptance and completion of the contract process.

BY: _____

Date _____

Ms. Cherokee Stanton, Chairperson, GPTC
(On behalf of the Board of Directors)

**GARY PUBLIC TRANSPORTATION CORPORATION
ACKNOWLEDGEMENT OF AMENDMENT
(Must be returned with your Proposal)
GPTC RFP # 2011-05**

The undersigned acknowledges receipt of the following amendment(s) to be Proposal and supporting documentation.

AMENDMENT NUMBER ONE	DATED: _____
AMENDMENT NUMBER TWO	DATED: _____
AMENDMENT NUMBER THREE	DATED: _____
AMENDMENT NUMBER FOUR	DATED: _____
AMENDMENT NUMBER FIVE	DATED: _____
AMENDMENT NUMBER SIX	DATED: _____

Note: Failure to acknowledge receipt of all amendments that may have been issued may cause the Proposal offer to be considered non-responsive to the solicitation. No further consideration will be given to non-responsive offers. Acknowledged receipt of each amendment must be clearly established and included with the proposal response.

(Proposing Company Name)

(Street Address)

Appendix B to Part 29 - Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion Lower Tier Covered Transactions

Instructions for Certification

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.
2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
3. The prospective lower tier participant shall provide immediate written notice to the person to whom this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or had become erroneous by reason of changed circumstances.
4. The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause. Have the meaning set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.
5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.
6. The prospective lower tier participant further agrees by submitting this proposal that it will include this clause titled ‘Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion Lower Tier Covered Transaction,’ without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, ineligible, or voluntarily excluded from covered transactions, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the List of Parties Excluded from Federal Procurement and Non-procurement Programs.
8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

CERTIFICATION REGARDING DEBARMENT

(Must be returned with your Proposal)

To be submitted on all contracts reasonably anticipated exceeding \$25,000.00 in value. THE UNDERSIGNED PROPOSER/OFFER/SUBCONTRACTOR (“ATTESTER”) CERTIFIES, TO THE BEST OF ITS KNOWLEDGE AND BELIEF THAT:

The Attester and/or any of its principals or subcontractor:

Are not presently debarred, suspended, proposed for debarment, or declared ineligible for award of contracts by any Federal Agency.

Have not for a three (3) year period proceeding this offer, been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, or attempting to obtain, or performing a public (Federal, State, or Local) contract or subcontract: violation of Federal or State antitrust status relating to the submission of offers, or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property; and

Are not presently indicted for, or otherwise criminally or charged in any civil action by a government entity with commission of any of these offenses enumerated above.

The Attester has not, within a three (3) year period preceding this offer, had one (1) or more contracts terminated for default by any governmental agency.

“Principals”, for the purpose of this certification, means officers, directors, owners, partners, and persons having a primary management or supervisory responsibilities within a business entity.

This certification concerns a matter which may be within the jurisdiction of an agency of the United States and the making of false, fictitious, or fraudulent certification may render the maker subject to prosecution under Section 1001, USC.

The Attester shall immediately notify the Procurement Department at any time the Attester learns that its certification was erroneous when submitted or has become erroneous.

A certification in which any of the items detailed above exists will not necessarily result in withholding of an award under this solicitation. However, the certification will be considered in connection with a determination of the Attester’s responsibility. Failure of the Attester to furnish a certificate or provide such additional information as requested by GPTC may render the Attester non-responsive.

Nothing contained in the forgoing shall be construed to require establishment of a system of records in order to render, in good faith, the certification required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings. If it is later determined that the Attester knowingly rendered an erroneous certification, in addition to other remedies available to GPTC, the Authority may terminate the contract resulting from this solicitation for default.

If Attester is unable to certify to any of the statements in this certification, attach an explanation to this certification.

(Signature of Authorized Company Official)

Company Name TYPED

(Title of Official, Including Name, Typed)

APPENDIX A, 49 CFR PART 20--CERTIFICATION REGARDING LOBBYING

Certification for Contracts, Grants, Loans, and Cooperative Agreements

(To be submitted with each proposal or offer exceeding \$100,000)

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

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for making lobbying contacts to an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form--LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions [as amended by "Government wide Guidance for New Restrictions on Lobbying," 61 Fed. Reg. 1413 (1/19/96). Note: Language in paragraph (2) herein has been modified in accordance with Section 10 of the Lobbying Disclosure Act of 1995 (P.L. 104-65, to be codified at 2 U.S.C. 1601, et seq.)]

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all sub recipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by 31, U.S.C. § 1352 (as amended by the Lobbying Disclosure Act of 1995). My person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

[Note: Pursuant to 31 U.S.C. § 1352(c)(1)-(2)(A), any person who makes a prohibited expenditure or fails to file or amend a required certification or disclosure form shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such expenditure or failure.]

The Contractor, _____, certifies or affirms the truthfulness and accuracy of each statement of its certification and disclosure, if any. In addition, the Contractor understands and agrees that the provisions of 31 U.S.C. A 3801, et seq., apply to this certification and disclosure, if any.

Signature of Contractor's Authorized Official

Name and Title of Contractor's Authorized Official

Date

CERTIFICATE OF PROCUREMENT INTEGRITY

(Must be returned with your Proposal)

I, _____, am the officer or designated employee responsible for the preparation of this proposal offer and hereby certify that to the best of my knowledge and belief, with the exception of any information described below on this certificate, have no information concerning a violation or possible violation of Section 27 (a), (b), (c), or (e) of the FPPA * (41 USC 423) as implemented in the FAR, occurring during the conduct of this procurement.

As required by Subsection 27 (d) (1) (B) of the FPPA, I further certify that each officer, employee, agent, representative, and/or consultant of

(Insert firm name)

Who has participated personally and substantially in the preparation or submission of this offer, has certified that he/she is familiar with, and complied with, the requirements of Subsection 27(a) concerning any violation or possible violation of the FPPA, pertaining to this document.

Violations or possible violations: (enter "NONE" if none exist)

Signature of Responsible Officer or Employee

Date

Typed name of Responsible Officer of Employee

This certification concerns a matter within the jurisdiction of an agency of the United States and making a false, fictitious, or fraudulent certification may render the maker subject to prosecution under Title 18, US. Code, Section 1001.

- Section 27 became effective July 16, 1989

AFFIDAVIT OF NON-COLLUSION

THE UNDERSIGNED, HAVING SUBMITTED A PROPOSAL, QUOTE, OR PROPOSAL FOR

_____ In accordance with notice given by the Procurement Office of the Gary Public Transportation Corporation and/or its Board of Directors for the purposes or support of the transit services in and for the Consolidated City of Gary, Indiana, for and behalf of him, or themselves, first being duly sworn says:

That said proposer, quoter, or proposer has not directly or indirectly entered into any combination, collusion, undertaking, or agreement relative to price to be proposal by any person, or to prevent any person, or persons, or company from submitting pricing; or to entice any proposer, quoter, or proposer to refrain from pricing for such supplies, merchandise, service, or contract, and that said proposal so made is without reference or regard to any other proposal or proposals, and without agreement, understanding or combination, either directly or indirectly, with any person or persons, with reference to such proposing in any way or manner whatsoever.

Proposer (Firm)

Signature of Proposer or Firm

STATE of _____

SS: _____

County of _____

Subscribed and sworn before me this _____ day of _____, 20 _____

My commission expires _____

Notary Public Seal

Dated at _____
City State Date

Failure to properly Notarize and Return This Form Will invalidate Your Proposal

DBE COMMITMENT FORM
(To be returned with your proposal)

A. _____ The undersigned firm certifies that it is a DBE contractor (mark N/A for non-applicable answers)

A.1 For DBE, specify percentage of minority ownership _____%

A.2 For DBE, specify percentage of women ownership _____%

B. _____ The undersigned certifies that they are a joint venture in which the following DBE firm is a joint venture partner (mark N/A for non-applicable answers)

B.1 The DBE firm shall have _____% participation of employees, and shall have _____% participation in cost in this project.

B.2 Specify the percentage of minority/women ownership in the DBE firm _____%

C. The undersigned commits _____% of the total proposal price as a subcontract to minority business enterprise participation. The DBE firms, which are proposed as subcontractors, are the following:

Name, Address, and type of work performed by firm:

1. _____
2. _____
3. _____

D. The undersigned commits _____% of the total proposal price as a subcontract to women business enterprise participation. The DBE firms, which are proposed as subcontractors, are the following:

Name, Address, and type of work performed by firm:

1. _____
2. _____
3. _____

E. _____ Are there DBE firms employed by your company for services that are not directly responsible for the manufacture, supply, or service that your company provides, such as: printing, cleaning, delivery, etc. If applicable, please list the names, address, and type of work performed by the firms:

1. _____
2. _____
3. _____

F. _____ Complete (1) and (2) below if participation goals of 10% cannot be met.

F. 1 My company cannot meet the participation goals for the following reasons:

F.2 We have taken the following steps in an attempt to comply with these participation goals:

Firm Name: _____

Address: _____

By: (sign in ink):

**DOT ASSISTED CONTRACTS
PROPOSER'S LIST**
[49 CFR, Part 26]

49 CFR, Part 26 requires that all recipients of Federal Funds collect certain information from all proposers submitting responses to solicitations. To assist in the building of demographics for the area upon which reasonable and effective expectations of DBE/MDE opportunities may be based, all proposers are required to return this certificate with their offer. Any offer submitted that does not contain a completed copy of this form will be ruled as non-responsive and dropped from further consideration in the procurement process for the solicitation.

Firm Name: _____

Firm Address: _____

Firm Phone: (____) _____ Firm Fax: (____) _____

General Classification of firm by quantity of employees

____ Less than 10 ____ 1-50 ____ 51-100 ____ 101 - 500
____ 501-100 ____ 1001-5000 ____ More than 5000

General Classification of Firm in Age of Existence

____ 0 years ____ 6-19 years ____ 11-50 years ____ Over 50 years

General Classification by Type

____ This firm is a Small Business ____ This firm is a certified DBE
____ This firm is a certified WBE ____ This firm is not one of the above.

General Classification by Annual Gross Income

____ The approximate annual gross income for this firm is less than \$100,000
____ The approximate annual gross income for this firm is \$100,000- \$250,000
____ The approximate annual gross income for this firm is \$250,001 - \$500,000
____ The approximate annual gross income for this firm is \$500,001 - \$1M
____ The approximate annual gross income for this firm is \$1M - \$5M
____ The approximate annual gross income for this firm is greater than \$5M

I certify this information is accurate to the best of my knowledge

Signature

Printed Name

Date

PROPOSAL, OFFER OR PROPOSAL FOR SALE OR LEASE OF MATERIALS

(Defined at I.C. 36-1-2-9.5)
(Please type or print)

Date: _____

1. Governmental Unit:

2. County:

3. Proposer (Firm):

Address:

City/State:

4. Telephone Number:

5. Agent of Proposer (if applicable):

Pursuant to notices given, the undersigned offers proposal(s) to

(Governmental Unit) in accordance with the following attachment(s) which specify the class or item number or description, quantity, unit, unit price and total amount.

The contract will be awarded by classes or items, in accordance with specifications. Any changes or alterations in the items specified will render such proposal void as to that class or item. Proposer promises that he has not offered nor received a less price than the price stated in his proposal for the materials included in said proposal. Proposer further agrees that he will not withdraw his proposal from the office in which it is filed. A certified check or bond shall be filed with each proposal if required, and liability for breach shall be enforceable upon the contract, the bond or certified check or both as the case may be.

Signature of Proposer or Agent

PROPOSAL OFFER OR PROPOSAL

Attach separate sheet listing each item proposal based on specifications published by governing body. Following is an example of the proposal format:

Class or Item Amount	Quantity	Unit	Description	Unit Price

PROPOSAL OF

(Contractor)

(Address)

FOR SALE OR LEASE OF MATERIALS

(Defined at I.C. 36-1-2-9.5)

FILED _____, 20 ____

THIS PROPOSAL ACCEPTED FOR THE
FOLLOWING CLASSES OR ITEMS

this _____ day of _____ 20 ____

P.O. No. _____

Date _____

IF NO PART OF PROPOSAL IS ACCEPTED, WRITE
THE WORD "REJECTED" ACROSS FACE

Proposal and Contract Procedure

GPTC reserves the right, when necessary, to postpone the times at which proposals are scheduled to be received and opened, and to amend the Solicitation statement of work. Prompt notification of such postponement or amendment shall be given by GPTC to all prospective proposers who have requested or received the solicitation documents.

If the work is amended, any responder from whom a proposal had been received prior to the giving notice of amendment will be entitled to withdraw the submission and resubmit their response in conformance with the changed work.

Where manufacturers, brands, names, model numbers, processes, or other specific items are mentioned in the Scope of Services (Section 1), the words, "Or approved equal" shall be deemed to follow. All items must be furnished as specified unless a responder requests and receives permission to substitute an approved equal. Each request must be made in writing and received at the GPTC Procurement Department offices during business hours, not less than five (5) working days before the date upon which the submissions are to be opened. Each request is to be accompanied by such samples, technical data, test results, or other information as necessary to demonstrate that the substitute requested is equal to or better than the item that is specified in the Statement of work. GPTC will give prompt written notice of its response to each submitted request. The decision of GPTC as to the acceptability or non-acceptability of the requested substitution will be at its sole discretion and shall be final and non-arbitral.

Upon receipt, all submissions shall be date and time stamped. Any submittal received after the time and date specified in this offer, or any amendment thereto, will be returned unopened. No late submission will be considered in the selection process regardless of reason for lateness, including delays by the United States Postal Service.

All submissions received on time will be publicly recorded and witnessed. No proposal may be withdrawn after the opening. Submitted terms and conditions must be guaranteed for a term of not less than thirty (30) days, or until Board action (if required) whichever is longer. GPTC reserves the right to reject any and all submissions at any time in the procurement process prior to final contract execution. After proposals are opened and read, GPTC will examine each proposal to determine if the responder was responsive to the RFP, and if the proposer is a responsible vendor and able to fulfill any potential award.

Definition of Responsive:

All RFP certifications and form blanks must be filled in, all offered goods and/or services must conform with the Statement of Work and Vendor Instructions requested, unless an alternate but equal request has been submitted for approval; and all information required in the request for submissions documents must have been completed and submitted in a sealed envelope to conform with the definition of the term, *responsiveness*.

Any alteration, erasure, or interlineations of the document may cause the submission to be determined as non-responsive. However, GPTC reserves the right to accept any offer or to reject any and all offers, or to waive any defect or irregularity found in any offer.

Definition of Responsible:

GPTC may consider among other factors the Contractor's record of integrity, experience, and past performance record with GPTC, the financial status, the capability to perform the project as defined, or whether the proposer is in default on any contract or other obligation to GPTC, the consolidated City of Gary, the State of Indiana, or the Federal government. In arriving at a determination, GPTC may institute a pre-award survey on any or all respondents. Proposers will be required to cooperate with the pre-award survey team if one is used. Failure to do so may result in the determination of the vendor as being a non-responsive vendor.

A proposer shall not add to, delete from, or change any specification, term or condition within the solicitation package unless authorized to do so by an amendment issued by GPTC to the RFP. In addition, proposers must confine their response to the spaces provided on any furnished submittal form or Cost Form, except where the Form itself may make an exception to the contrary.

Alternate proposals may be submitted but shall be submitted in a format that is easily understood, shows conformance with the contents of the Statement of Work, and contains full explanation as to the effectiveness of the alternate proposed in satisfying the intent of the solicitation.

All prices must be furnished to match the requested units or quantities as shown on the Submission Pricing Sheets. Where indicated the total extended price should be shown. In case of a discrepancy between the unit price and the extended price, the unit price shall prevail. No changes will be allowed to the point of placement of decimal points and zeroes. All submissions will be for the exact quantities and/or breakdowns reflected in the statements and conditions of the RFP.

Statement of Non-Collusion

In submitting a response, the contractor affirms that the Offer is genuine and not collusive or a sham; that said Responder is not financially interested in, or otherwise affiliated in a business way, with any other respondent on the same contract; that said Responder has not colluded, conspired, connived, nor agreed directly or indirectly, with any submitter or person to submit a sham proposal or that such other person shall refrain from Offering, and has not in any manner, directly or indirectly, sought by agreement or collusion, or communication, or conference with any person to fix the price of this or any other proposal, or to fix any overhead, profit, or other cost element of said Proposal Price, or this or any other submitter, or to secure any advance against GPTC or any persons interested in the proposed contract; and that all statements contained in said Offer are true; and further that such Respondent has not directly or indirectly submitted this Offer or the contents thereof, or divulged information or data relative thereto to any association, or any member or agent thereof. Failure to sign and have notarized the Non-

Collusion Affidavit on Form 95 will result in disqualification of this Offer. Contractor further certifies that Non-Collusion as here defined and sworn by his affidavit is in full compliance with the nature and intent of the **Sherman Anti-Trust Act** as amended, the **Clayton Act** as amended, the **Robinson-Patman Act** as amended, and the **Federal Trade Commission Act** as amended.

Supplies, Materials, Equipment, and/or Service Specifications

It is hereby agreed by GPTC that time is of the essence of this Agreement. The contractor shall supply the said supplies, materials, equipment, and/or service in conformance with these General Specifications, and any and all Special and/or Technical Specifications detailed in the Scope of Work (Section 2) of this solicitation.

In the event that the supplies, materials, equipment, and/or services are not delivered or performed by the contractor, a liquidated damage provision in the sum of the difference in cost plus an administrative fee, for GPTC to procure the items or services from the next most desired respondent will be assessed. However, any delay in compliance with the terms and conditions of any award or contract resultant from an award shall not result in liquidated damage if such delay is beyond the control of the contractor.

Comparison, Testing, and Evaluation

GPTC may, during the term of this contract and without liability from the contractor, purchase reasonable amounts of similar “requirements” from competitive suppliers for the purposes of comparison, testing, and evaluation.

GPTC may require submission of samples for testing and evaluation from the lowest submitter(s) prior to the award of a contract. If asked for, the samples must be delivered to the location specified within three (3) business days from the date the request is made by GPTC. Failure to comply with this requirement will eliminate the respondent from further award consideration.

Price

GPTC shall pay to the contractor the price(s) stated in the contractor’s proposal or alternate proposal as accepted by GPTC.

All items are to be delivered F.O.B. destination, unless otherwise stated. All transportation costs from the shipping point to the destination shall be paid by the contractor and included in the submitted price. Full responsibility for any damages incurred while in transit shall be borne by the contractor.

All invoices for supplies, services, materials or equipment shall be submitted to:

Gary Public Transportation Corporation
Attention: Accounts Payable Department
100 West 4th Avenue, Third Floor
Gary, IN 46402

References

GPTC requires the vendors submitting proposals to furnish a list of at least Five (5) references, which are now, or within the past five years been a customer of the vendor and to who has been provided services of a similar nature. This list shall include the following:

Customer Name
Name of Procurement Officer
Customer Address (where operation takes place)
Customer Telephone Number

If requested the list must be part of the proposal submission. Failure to comply with that request would result in the removal of the vendor from any further consideration for contractual agreement.

Warranties and Guarantees

The contractor will deliver to GPTC any and all Warranties and Guarantees for the contracted goods and/or services delivered in their hand from a manufacturer or other provider as a result of the contractual arrangement with GPTC.

The contractor shall warrant concerning the requirement:

Conformance to specifications
Products free from defects, functionally acceptable, of good materials and workmanship and suitable for the intended use.
No United State or Foreign PATENT infringement
Compliance with all Federal, State, and Municipal Statutes, regulations, circulars, codes, and ordinances

The contractor shall not assign nor transfer any interest in this agreement without the prior written consent of GPTC. In addition, none of the services covered by this agreement shall be sub-contracted or contracted out, unless quoted that way in the original proposal response without the written approval of GPTC.

State and Local Laws

Any contract entered into by Gary Public Transportation Corporation shall be defined by the law of the State of Indiana or Local ordinances and Codes of Lake County, State of Indiana. Any dispute shall be tried in a court of competent jurisdiction of Lake County of the State of Indiana.

All procurements shall be governed by the applicable regulations of the FTA, the United States Code, or the State and Local Law.

Invoice Submission, Contents, and Payments

Vendors shall submit invoices for all work completed. GPTC may not pay in advance for work not performed, and will not pay for work not clearly defined with a clear statement of the deliverable for which the payment is requested. GPTC requires all invoices submitted clearly define and show on the face of the invoice the project for which the invoice is being submitted. Commodity invoicing should show Purchase Order (and contract number if applicable), part numbers, quantities, and unit as well as extended prices, and any delivery, core or set-up charges included by date. Service invoicing should show Purchase Order number (and contract number if applicable), a detail of the content of work completed, the person or group completing the work, the charges for the work completed, and any associated additional charges applicable. GPTC will review and process for payment acceptable invoices, or returns faulty invoices to the vendor within fourteen days. All invoices retained for processing will be paid in thirty days from receipt of properly executed invoice and signed claim form.

Invoice Payment

Payment terms of the contract shall be NET 30 DAYS except where Cash Discount Terms are requested and included on the Proposal cost sheet by the respondent. Vendor cash discount terms on invoices that offer to GPTC better cash discounts than the Proposal may be accepted. The minimum acceptable payment term is NET 30 DAYS,

Request for terms of less than this will most probably not be honored unless supported by a need or circumstance that would justify a change in policy on the part of GPTC.

Single Offers

If only One (1) offer is received, GPTC is required under the terms of **FTA Circular 4220.1F** to conduct a cost and price analysis. That analysis will then be submitted to the FTA prior to any award. Vendor is required to hold pricing firm until FTA approval or rejection is received. Vendors are required to provide for the analysis any requested information. Failure to provide the requested information will result in the vendor being removed from consideration for contract completion.

GPTC reserves the right to accept or reject the submitted offer on the basis of the analysis or comparison alone if it is deemed in the best interest of GPTC to accept or reject.

Definitions of delays beyond the control of the contractor:

Delays can include, but are not limited to, Acts of God; Acts of the Federal Government; Acts of the State Government; Acts of a Municipal Governmental Agency; or acts of war by a foreign

power. Also beyond the control of the contractor are guarantee restrictions and strikes by labor forces. In every case, the failure to perform must be beyond the control and without the fault or negligence of the contractor.

If delays are caused by the default of a subcontractor, the assessment of damages against the contractor shall apply.

Funding

GPTC notifies all potential Respondents via this Solicitation notice that funds may not presently be available for performance of this contract beyond the end of this calendar year. However, long term encumbrance of funds sufficient to cover the cost of this project will secure sufficient funds to pay for all work done in each calendar year for which a purchase order is issued. New purchase orders shall be issued on January 1 of the year for any project that may span portions of, or all of, multiple years.

Indemnity

The contractor shall indemnify GPTC, GPTC's board of directors, and all of its agents and/or employees, and hold them harmless from all losses, damages, costs, expenses, claims, suits, judgments in law and equity, that may at any time arise, or be set up, by any breach of any express or implied warranties arising out of the furnishing of supplies, materials, equipment, and/or services under this agreement; or arising out of any other failure of the contractor to meet the obligations of the contract. GPTC will give the contractor prompt notice in writing of the institution of any suit or proceeding and permit the contractor through his counsel to defend same, and will deliver all needed information, assistance, and authority to enable the contractor to do so.

Bonds

Bid/Proposal Bond: Some Bids/Proposals may require a Bid/Proposal Bond from a Surety Company licensed to do business in the State of Indiana or a certified or cashier's check drawn on a solvent banking institution in the amount specified in the Proposal Checklist of the RFP. All bonds are to be made payable to the Gary Public Transportation Corporation and shall serve as a guarantee that should the offer be accepted by GPTC the Responder will within thirty (30) working days after notification of acceptance, enter into a contract for the work offered or accepts GPTC's Purchase Order for the solicited goods/services.

In the event the offer is not accepted by GPTC, the obligation of the Bond and/or certified check will be considered null and void. Any certified checks submitted during the Proposal process shall be returned to the Responder.

If the successful vendor does not enter into a Contract or Purchase Order agreement with GPTC after the acceptance of the offer, the obligation of the Bond or certified check shall be forfeit to GPTC for ascertained or liquidated damages for the failure to enter into the Contract or Purchase Order.

Performance Bond: In compliance with **49 CFR Part 29**, all construction activities and contracts exceeding \$100,000 shall be subject to a performance bond for One Hundred percent (100%) of the face amount of the contract. The successful vendor shall be required to submit within ten (10) working days of the notification of the award of the contract, and at its own expense, a Performance Bond issued by a surety company licensed to do business in the State of Indiana or a certified check drawn on a solvent banking institution, conditioned on the satisfactory completion of the Contract. The bond will not be released until releases by all suppliers and contractors are secured and presented to GPTC.

Failure to supply a Performance Bond, or failure to maintain a Performance Bond in effect for the term of the Contract, will be defined as a material breach of the contract and will result in termination of the Contract within thirty (30) working days with penalties and damages as defined in the Statement of Work (Section 2) being enforced. Bonding requirements may be applied to any contract at the discretion of GPTC, but must be applied to those detailed in the referenced Circular.

All construction projects shall comply with the provisions established and set forth in **Seismic Safety Requirements, 42 U.S.C. 7701 et seq., 49 CFR Part 41**. These codes and regulations are hereby incorporated into this contract by reference. 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 CFR 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.

Disadvantaged Business Enterprise

Assurances, 49 CFR, Part 26.13

Required Contract Provisions:

The following assurances are included in all agreements between GPTC and the vendors to whom contracts are issued.

1. Any and all financial assistance agreements signed by GPTC will include an assurance that GPTC will not discriminate on the basis of race, color, national origin, or gender in the award and performance of any DOT assisted contract or in the administration of its DBE program or the requirements of **49 CFR, Part 26** to ensure nondiscrimination in the award and administration of DOT assisted contracts. GPTC's DBE program, as required by **49 CFR, Part 26**, and as approved by USDOT, will be incorporated by reference in all applicable agreements.
2. Implementation of this program is a legal obligation, and failure to carry out its terms shall be treated as a violation of this agreement.

3. Each contract that GPTC signs with a contractor (and each subcontract the prime contractor signs with a subcontractor) will include the following assurance:

“The contractor, subrecipient, or subcontractor shall not discriminate on the basis of race, color, national origin, or gender in the performance of this contract. The contractor shall carry out applicable requirements of **49 CFR, Part 26** in the award and administration of DOT assisted contracts. Failure by the contractor to carry out these requirements is a material breach of this contract, which may result in the termination of this contract or such other remedy, as GPTC deems appropriate.”

Prompt Payment Mechanism, 49 CFR, Part 26.29

GPTC has established a mechanism for prompt payment of DBE subcontractors by prime contractors. Prime contractors are required to pay subcontractors within five days from the receipt of payment from GPTC. They are further required to return funds retained within thirty (30) days after the subcontractor’s work is satisfactorily completed. Clauses requiring prompt payment have been included in all GPTC agreements with contractors. Prime contractors are required to include this language (clauses) in their contracts with subcontractors. Any delay or postponement of payment may only take place for good cause, with prior approval of GPTC. Where there are disputes, prime contractors and subcontractors will be required to use appropriate Alternative Dispute Resolution (ADR) mechanism to resolve payment disputes. GPTC will participate in the resolution if necessary.

Failure to carry out prompt payment requirements will be considered a breach of contract with the following results:

1. GPTC will not reimburse prime contractors for work performed by subcontractors unless and until the prime contractor ensures that the subcontractors are promptly paid for the work they have performed.
2. GPTC will not award future contracts to prime contractors who refuse to pay promptly.

Financial Institutions, 49 CFR, Part 26.27

GPTC has thoroughly investigated its service area for banks and financial institutions owned and controlled by DBEs. The results of the investigation revealed that there are no such institutions within the City of Gary. However, GPTC encourages the prime contractors, subcontractors, and various vendors to search for and utilize services provided by financial institutions that are owned and/or controlled by DBEs, and requires all such parties to make good faith effort to do so.

GPTC, in accordance with **Title VI of the Civil Rights Act of 1964, 778 §252, 42 U.S.C. 2000d to 2000 – 4, and Title 40, CFR, DOT, Subtitle A, Office of the Secretary, Part 21, Non-Discrimination in Federally Assisted Programs of the DOT** issued pursuant to such act,

hereby notified all vendors that it will affirmatively insure that for any contract entered into pursuant to this advertisement; Minority Business Enterprises will be afforded full opportunity to submit proposals in response to this invitation and will not be discriminate against on the grounds of race, color, sex, age or national origin in the consideration of award.

DBE is a small business concern and is a business of which at least 51% is owned and controlled by a Minority group member(s). The minority ownership must exercise actual day-to-day management, as well as actively participate in management and policy decisions affecting the business.

Small business concerns are a small business as defined by **Section 3 of the Small Business Act and Appendix B – Section 106(c)** determinations of Business Size. Socially and economically disadvantaged individuals are those who are citizens of the United States (or lawfully admitted permanent residents) and States (or lawfully admitted permanent resident) and who are Black Americans, Hispanic Americans, Native Americans, Asian-Pacific Americans, Asian-Indian Americans, or women, and any other minorities and individuals found to be disadvantaged by the Small Business Administration pursuant to Section 8(a) of the Small Business Act.

NOTE: Minority includes the following groups: African-American, Spanish American, Native-American, Asian, Pacific Islander, Alaskan Natives, and women.

- i. “Black Americans” which includes persons having origins in any of the Black racial groups of Africa.
- ii. “Hispanic Americans” which includes persons of Mexican, Puerto Rican, Cuban, Central or South American, or other Spanish or Portuguese culture of origin, regardless of race.
- iii. “Native American” which include persons who are American Indians, Eskimos, Aleuts, or Native Hawaiians.
- iv. “Asian Pacific Americans” which includes persons whose origins are from Japan, China, Taiwan, Korea, Vietnam, Laos, Cambodia, the Philippines, Samoa, Guam, the U.S. Trust Territories of Pacific, and the Northern Marianas.
- v. “Asian Indian Americans” which includes persons whose origins are from India, Pakistan, and Bangladesh.

The contributions of capital, equipment, or expertise that has been made by the minority owners must be real, substantiated, and documented. It is the policy of GPTC that DBE vendors should participate to the greatest extent possible consistent with the laws of the State of Indiana in contracts awarded by GPTC.

It is the policy of DOT that DBEs as defined in **49 CFR Part 23** and amended in **Section 106(c) of the Surface Transportation Assistance Act of 1987**, shall have the maximum 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 23** and amended by **Section 106(c) of the Surface Transportation Assistance Act of 1987** apply to this agreement and is considered pertinent to any contract resulting from this solicitation. It is further the policy of GPTC to promote the development and increase the participation of business owned and controlled by the disadvantaged. DBE involvement in all phases of GPTC's procurement activities is encouraged.

Calendar year goals have been set in an attempt to match procurements with available disadvantaged businesses. GPTC's goal for budgeted service contract, bus repair parts, and other materials and supplies for DBEs participation have been established at 4%.

Contractors agrees to ensure that DBEs as defined in **49 CFR Part 23 and Section 106(c) of the STURAA of 1987**, have the maximum opportunity to participate in part or in whole with Federal Funds provided under this agreement. In this regard, the contractor shall take all necessary and reasonable steps in accordance with the regulations to ensure that DBEs have the maximum opportunity to compete for and perform subcontracts. The contractor shall not discriminate on the basis of race, color, age, religion, sex, national origin, or physical handicap I the award and performance of subcontracts.

DBE Obligation

GPTC will provide guidance and assistance as may be necessary to assist the contractor to ensure that DBEs, as defined in **49 CFR Part 23**, have the maximum opportunity participate in the performance of contractors and subcontractors financed in whole or in part by FTA funds. Contractors shall not discriminate on the basis of race, color, sex, age, or national origin in the award and performance of DOT assisted contracts.

If a specific DBE goal is assigned to this contract, the goal will be clearly stated in the Scope of Work of this solicitation. If the contractor is found to have failed to exert sufficient, reasonable, and good faith efforts to involve DBEs in the work provided, GPTC may declare the contractor non-compliant and in breach of contract. If a goal is not stated in the Scope of Work, it will be understood that no specific DBE goal has been assigned this contract.

The contractor and its subcontractors agree to ensure that disadvantaged businesses have the maximum opportunity to participate in the performance of contracts financed in part or in whole with Federal Funds. All necessary steps will be taken to assure total and full compliance with the intent and the contents of **49 CFR Part 23** as amended.

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

Offer of Assistance

GPTC will provide affirmative assistance as may be reasonable and necessary to assist the prime contractor in implementing their programs for DBE participation. The assistance may include the following upon request:

- Identification of qualified DBEs
- Available listing of Minority Assistance Agencies
- Holding conferences for Scope of Work to emphasize requirements.

OTHER FEDERAL REQUIREMENTS:

The following paragraphs may or may not be part of the enforcement for this procurement. Vendor is responsible to review and apply applicable portions.

Background

Gary Public Transportation Corporation (GPTC) is funded, in part, by the Federal Transit Administration (FTA) of the United States of America. Various Federal Statutes and Regulations govern the purchasing procedures of GPTC. Basic requirements and the associated required documents and responsibilities will be found in **OMB Circular A-102, and in FTA Circular C-4220.1F**. The Statutes, Regulations, and Circulars governing the procurements by GPTC require among other things that purchases be made according to approved plans and specifications, which will become part of the contractual documents between GPTC and the success lid vendor(s).

GPTC solicits responses for construction, equipment, and/or services according to the following General Specifications and/or Technical Specifications that generally apply to the product or service requested. The Technical Specifications, and any applicable Special services, will be found in the Scope of Services (Section 1) of this RFP.

Buy America

This procurement is subject to FTA's "Buy America" requirements as defined in **49 CFR 661**. The "Buy America" certificate, included in this proposal document, must be completed and submitted with the submittal. All items not conforming to the "Buy America" criteria must be submitted as a request for approved alternate, as defined in this document. Any Offer which does not include a properly executed "Buy America" certificate will be considered non-responsive and excluded from the award process.

Use of United States Flag Vessels

The contractor agrees to utilize privately owned United States flag commercial vessels to ship at least 50% of the gross tonnage (computed separately for dry bulk carriers, dry cargo liners, and tankers) involved, whenever shipping any supplies, materials, equipment, or commodities pursuant to this contract, to the extent such vessels are available at fair and reasonable rates. The contractor agrees to furnish a legible copy of the shipping rate to GPTC within twenty (20) working days following the date of loading shipments originating outside the United States.

A copy of the shipping rate may be required to be sent to the Division of National Cargo, Office of Market Development, Maritime Administration, Washington, DC 20239, marked with the appropriate identification of the project.

Environmental Violations

All contracts and subcontracts awarded by GPTC or for GPTC that are in excess of \$100,000 require a contractor compliance with all applicable standards, orders, requirements, and codes issued under **Section 306 of the Clean Air Act (42 U.S.C. 1857(h), Section 508 of the Clean Water Act (33 U.S.C. 1368) Executive Order 11738, and EPA Regulations (40 CFR Part 15)** which prohibits the use (under non-exempt) Federal contracts, grants, or loans) of facilities included on the EPA list of Violating Facilities. The contractor shall report any such violations to the FTA and to the EPA Assistant Administrator for Enforcement (**EN0329**). In addition, the contractor shall warrant compliance with any and all federal, State, and Local environmental laws, statutes, ordinances, and regulations in connection with the provision of all supplies and services covered by this RFP. Such provisions include but are not limited to, **Energy Conservation Requirements, 42 U.S.C. 6321 et seq., 40 CFR Part 18; Clean Air Requirements 42 U.S.C. 7401 et seq., 40 CFR 15.61, and 49 CFR Part 18; Clean Water Requirements 33 U.S.C. 1251; and Recycled Products 42 U.S.C. 6962, 40 CFR Part 247, and Executive Order 12873.**

Further, the contractor shall recognize mandatory requirements and policies relating to energy efficiencies which are contained I the State Emergency Conservation Plan issued in compliance with the Energy Policy and Conservation Act.

Restriction on Lobbying

Lobbying requirements included in this contract require the maximum flow down to all tiers of the contract/subcontract process. They are pursuant to **Byrd Anti-Lobbying Amendment, 31 U.S.C. § 1352(b)(5) and 49 CFR Part 19, Appendix A, Section 7.**

Mandatory Clause/Language:

- Clause and specific language therein are mandated by **49 CFR Part 19, Appendix A. Modifications have been made to the Clause pursuant to Section 10 of the Lobbying Disclosure Act of 1995, P.L. 104-65[to be codified at 2 U.S.C. § 1601, et seq.]**
- Lobbying Certification and Disclosure of Lobbying Activities for third party contractors are mandated by **31 U.S.C. 1352(b)(5)**, as amended by **Section 10 of Lobbying Disclosure Act of 1995**, and DOT implementing regulations, “New Restrictions on Lobbying” at **49 CFR § 20.110(d)**.
- Language in lobbying Certification is mandated by **49 CFR Part 19, Appendix A, Section 7**, which provides that contractors file the certification required by **49 CFR Part 20**, as amended by “Government Wide Guidance For New Restrictions on Lobbying” **61 Fed. Reg. 1413 (1/198/96)** as mandated by **49 CFR Part 20, Appendix A.**

Byrd Anti-Lobbying Amendment, 31 U.S.C. 1352, as amended by the Lobbying Disclosure Act of 1995; P.L. 104 – 65 [to be codified at 2 U.S.C. § 1610 et seq.] Contractors who apply or proposal for an award of \$100,000 or more shall file the certification required by **49 CFR Part 20**, “New Restrictions on Lobbying”. Each tier certifies to the tier above that it will not and has not used Federal appropriated funds to pay any person or organization for influencing or

attempting to influence an officer or employee of any agency, a member of Congress, officer or employee of Congress, or an employee of a member of Congress in connection with obtaining any Federal contract, grant, or other award covered by **31 U.S.C. 1352**. Each tier shall also disclose the name of any registrant under the **Lobbying Disclosure Act of 1995** who has made lobbying contacts on its behalf with Non-Federal funds with respect to that Federal contract, grant, or award covered by **U.S.C. 1352**. Such disclosures are forwarded from tier up to tier to the recipient.

Access To Records

- 1) Where the purchaser is not a State but a local government, and is the FTA Recipient or a sub-grantee of the FTA recipient in accordance with **49 CFR 18.36 (i)**, the contractor agrees to provide purchaser, the FTA Administrator, the Comptroller general of the United States or any of their authorized representatives access to any books, documents, papers, and records of the contractor which are directly pertinent to this contract for the purposes of making audits, examinations, excerpts, and transcriptions. Contractor also agrees, pursuant to **49 CFR 633.17** to provide the FTA Administrator or his authorized representatives including any PMO contractor access to contractor's records and construction sites pertaining to a major capital project, defined at **49 U.S.C. 5302(a)1**, which is receiving federal financial assistance through the programs described at **49 U.S.C. 5307, 5309, or 5311**.
- 2) Where the purchaser is a State and the FTA recipient or sub-grantee of the FTA recipient in accordance with **49 CFR 633.17**, contractor agrees to provide the purchaser, the FTA Administrator or his authorized representatives, including any PMO contractor, access to the contractor's records and construction sites pertaining to a major capital project, defined at **49 U.S.C. 5302(a)1**, which is receiving federal financial assistance through the programs described at **49 U.S.C. 5307, 5309, or 5311**. By definition, a major capital project excludes contracts of less than the simplified acquisition threshold currently set at \$100,000.
- 3) Where the purchaser enters into a negotiated contract for other than a small purchase or under the simplified acquisition threshold and is an institution of higher education, an hospital, or other non-profit organization, and is the FTA recipient or a sub-grantee of the FTA recipient in accordance with **49 CFR 19.48**, contractor agrees to provide the purchaser, FTA Administrator, or the Comptroller General of the United States or any of their duly authorized representatives with access to any books, documents, papers, and records of the contractor which are directly pertinent to this contract for the purposes of making audits, examinations, excerpts, and transcriptions.
- 4) Where any purchaser which is the FTA recipient or a sub-grantee of the FTA recipient in accordance with **49 U.S.C. 5325(a)** enters into a contract for a capital project or improvement (defined at **49 U.S.C. 5302(a)1** through other than competitive proposing, the contractor shall make available records related to the contract to the purchaser, the Secretary of Transportation, and the Comptroller General of the United States or any

authorized representative of any of them for the purposes of conducting an audit or inspection.

- 5) The contractor agrees to permit any of the foregoing parties to reproduce by any means whatsoever or to copy excerpts and transcriptions as reasonable needed.
 - 6) The contractor agrees to maintain all books, records, accounts, and reports required under this contract for a period of not less than three years after the date of termination or expiration of this contract, except in the event of litigation or settlement of claims arising from the performance of this contract, in which case contractor agrees to maintain same until the purchaser, the FTA Administrator, the Comptroller General, or any of their duly authorized representatives, have disposed of all such litigation, appeals, claims, or exceptions related thereto. Reference **49 CFR 18.39(i)(11)**.
- F) In the event of the contractor's violation of the non-discrimination clauses of this contract, GPTC retains the right to impose such contract sanctions as it or the FTA may determine to be appropriate, including but not necessarily limited to:

Withholding of payments to the contractor under the contract until the contractor complies, and/or cancellation, termination, or suspension of the contract in part or in whole.

State, Federal, and OSHA Requirements

The contractor agrees to submit and comply with the contents and intent of the latest Federal and State amendments of all work site regulations, laws, rules, and regulations and to impart all training and documentation to support that certified compliance with same.

Interest of Public Officials

No member of, or delegate to the Congress of the United States, shall be admitted to any share or part of the contract or to a benefit arising therefrom. No member, officer, or employee of GPTC or of a local body, during his/her tenure, or for one year thereafter shall have any interest, direct or indirect, in this contract or the proceeds thereof.

Labor Provisions

In the event this contract requires the hiring of Mechanics, or Laborers, all provisions of **29 CFR Section 5.5** will apply. The contractor will be responsible for compliance by any subcontractor with any and all clauses set forth in this regulation.

Federal Participation

The resulting contract for the procurement of the requirements specified herein, is subject to the applicable terms and conditions of the Master Agreement for Financial Assistance between GPTC and the FTA. Review and approval by FTA is a condition required prior to the award of the contract to a sole response or any award to other than the apparent low offer. Any responder

to which such an award is proposed by GPTC shall be notified in writing.

No Govern Obligation to Third Parties: Federal Participation does not infer or obligate the Federal Government in any form or fashion to any third party contractor. The purchaser and the contractor acknowledge and agree that notwithstanding any concurrence by the Federal Government in, or approval of the solicitation or award of, the underlying contract, absent the express written consent by the Federal Government, the Federal Government is not a party to this contract, or any other party (whether or not a party to that contract) pertaining to any matter resulting from the underlying contract.

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

Federal Changes: The purchaser and the contractor agree that they will be compliant with the requirements as found in **49 CFR Part 18** regarding the applicability of all Federal Regulations to third party contracts in that: 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 (2) dated October, 1995**) 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 comply shall constitute a material breach of this contract.

Incorporation of Federal Transit Administration (FTA) Terms: The Contractor and purchaser agree that in compliance with **FTA Circular 4220.1F** certain standard terms and conditions required by DOT, whether or not expressly set forth in the preceding contract provisions shall be included by reference. All contract provisions required by DOT, as set forth in **FTA Circular 4220.1F** are hereby incorporated by reference. Anything to 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 GPTC requests, which would cause GPTC to be in violation of the FTA terms and conditions.

Program Fraud and False or Fraudulent Statements and Related Acts

In all contracts made with or subcontracts made for GTC, it is understood that the following requirements are a necessary and vital part of the agreement(s).

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

penalties of the **Program Fraud Civil Remedies Act of 1986** on the contractor to the extent the Federal Government deems appropriate.

The contractor also acknowledges that if it makes or causes to be made, a false, fictitious, or fraudulent claim, statement, submission, or certification to the Federal Government under a contract connected with a project that is financed in whole or in part with federal assistance originally awarded by FTA under the authority of **U.S.C. § 5307**, the Government reserves the right to impose penalties of **18 U.S.C. § 1001 and 49 U.S.C. § 5307(n)(1)** on the contractor to the extent the Federal Government deems appropriate.

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

Termination

For all contracts entered into by GPTC and any contractor or subcontractor for which the amount of costs shall be Ten Thousand Dollars (\$10,000) or more, any termination shall be in accordance with the provisions found in **49 U.S.C. Part 18, and FTA Circular 4220.1F**. These provisions shall apply to contracts at all tiers of the project.

Termination for Convenience (General Provision): GPTC may terminate this contract in whole or in part, at any time by written notice to the contractor when it is in the Government's best interest. The contractor shall be paid its costs, including contract closeout costs, and profit on work performed up to the time of termination. The contractor shall promptly submit its termination claim to GPTC to be paid the contractor. If the contractor has any property in its possession belonging to GPTC, the contractor will account for the same, and dispose of it in the manner GPTC directs.

Termination for Default [Breach or Cause] (General Provision): If the contractor does not deliver supplies in accordance with the contract delivery schedule, or, if the contract is for services, the contractor fails to perform in the manner called for in the contract, or if the contractor fails to comply with any other provisions of the contract, GPTC may terminate this contract for default. Termination shall be effected by the serving a notice of termination on the contractor setting forth the manner in which the contractor is in default. The contractor will only be paid the contract price for supplies delivered and accepted, or services performed in accordance with the manner of performance set forth in the contract.

If it is later determined by GPTC that the contractor had an excusable reason for not performing, such as a strike, fire, or flood, events which are not the fault of or are beyond the control of the contractor, GPTC, after setting up a new delivery performance schedule, may allow the contractor to continue work, or treat the termination as a termination for convenience.

Opportunity to Cure (General provision): GPTC at its sole discretion may, in the case of a termination for breach or default, allow the contractor fourteen calendar days in which to cure

the defect. In such case, the notice of termination will state the time period in which the cure is permitted and other appropriate conditions.

If the contractor fails to remedy to GPTC's satisfaction the breach or default or any of the terms, covenants, or conditions of this contract within fourteen (14) working days after receipt by the contractor or written notice from GPTC setting forth the nature of the breach or default, GPTC shall have the right to terminate the contract without any further obligation to the contractor. Any such termination for default shall not in any way operate to preclude GPTC from also pursuing all available remedies against the contractor and its sureties for said breach or default.

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

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

Termination for Default (Supplies and Services): If the contractor fails to deliver supplies or fails to perform, the services in the time specified in this contract or any extension or if the contractor fails to comply with any other provisions of this contract, GPTC may terminate this contract for default. GPTC shall terminate by delivering to the contractor a Notice of Termination specifying the nature of the default. The contractor will only be paid the contract price for supplies delivered and accepted, for services performed in accordance with the manner of performance set forth in this contract. If after termination for failure to fulfill contract obligations, it is determined that the contractor was not in default the rights and obligations of the parties shall be the same as if the termination had been issued for the convenience of the GPTC.

Termination For Default (Transportation Services): If the contractor fails to pick up the commodities or to perform the services, including delivery services, within the time specified in this contract or any extension or if the contractor fails to comply with any other provisions of this contract, GPTC shall terminate by delivering to the contractor a Notice of Termination specifying the nature of default. The contractor will only be paid the contract price for services performed in accordance with the manner of performance set forth in this contract.

If this contract is terminated while the contractor has possession of GPTC's goods, the contractor shall, upon direction of GPTC, protect and preserve the goods until surrendered to GPTC or its agent. The contractor and GPTC shall agree on payment for the preservation and protection of goods. Failure to agree on amount will be resolved under the Dispute clause.

If after termination for failure to fulfill contract obligations, it is determined that the contractor was not in default, the rights and obligations of the parties shall be the same as if the termination had been issued for the convenience of GPTC.

Termination for Default (Construction): If the contractor refuses or fails to prosecute the work or any separate part, with the diligence that will insure its completion within the time specified in this contract or any extension or fails to complete the work within this time, or if the contractor fails to comply with other provisions of this contract, GPTC may terminate this contract for default. GPTC shall terminate by delivering to the contractor a Notice of Termination specifying the nature of the default. In this event GPTC may take over the work and complete it by contract or otherwise, and may take possession of and use any materials, appliances, and plant on the work site necessary for completing the work. The contractor and its sureties shall be liable for any damage to GPTC resulting from the contractor's refusal or failure to complete the work within the specified time, whether or not the contractor's right to proceed with the work is terminated. This liability includes any increased costs incurred by GPTC in completing the work.

The contractor's right to proceed shall not be terminated nor the contractor charged with damages under this clause if:

- 1) The delay in completing the work arises from unforeseeable causes beyond the control and without the fault or negligence of the contractor. Examples of such causes include: acts of God, acts of GPTC, acts of another contractor in the performance of a contract with GPTC, epidemics, quarantine restrictions, strikes, freight embargoes; and
- 2) The contractor, within ten (10) days from the beginning of any delay, notified GPTC in writing of the causes of delay. If, in the judgment of GPTC, the delay is excusable, the time for completing the work shall be extended. The judgment of GPTC shall be final and conclusive on the parties, but subject to appeal under the dispute clauses.

If after termination of the contractor's right to proceed, it is determined that the contractor was not in default, or that the delay was excusable, the rights and obligations of the parties will be the same as if the termination had been issued for the convenience of GPTC.

Termination for Convenience or Default (Architect and Engineering): GPTC may terminate this contract in whole or in part, for its convenience or because of the failure of the contractor to fulfill the contract obligations. GPTC will terminate by delivering to the contractor a Notice of Termination specifying the nature, extent, and effective date of the termination. Upon receipt of the notice, the contractor shall (1) immediately discontinue all services affected (unless the notice directs otherwise), and (2) deliver to the contracting officer all data, drawings, specifications, reports, estimates, summaries, and other information and materials accumulated in performing this contract, whether completed or in process.

If the termination is for convenience of GPTC, the contracting officer shall make an equitable adjustment in the contract price but shall allow no anticipated profit on unperformed services.

If the termination is for failure of the contractor to fulfill the contract obligations, GPTC may complete the work by contract or otherwise and the contractor shall be liable for any additional cost incurred by GPTC.

If after termination for failure to fulfill the contract obligations, it is determined that the contractor was not in default, the rights and obligations of the parties shall be the same as if the termination had been issued for the convenience of GPTC.

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

If the termination is for the convenience of GPTC, the contractor shall be paid its contract closeout costs, and a fee, if the contract provided for payment of a fee, in proportion to the work performed up to the time of termination.

If, after serving a Notice of Termination for Default, GPTC determines that the contractor has an excusable reason for not performing, such as strike, fire, flood, events which are not the fault of and are beyond the control of the contractor, GPTC, after setting up a work schedule, may allow the contractor to continue work, or treat the termination as a termination for convenience.

Compliance, Civil Rights Act of 1964

During the performance of this contract, the contractor agrees to the following:

- A) The contractor shall comply with the regulations relative to **Non-discrimination in Federally Assisted programs of the DOT, Title 49, CFR, Part 21**, as they may have been amended from time to time, which are herein referenced and made a part of this contract.
- B) The contractor, with regard to the work performed by it during the contract, shall not discriminate on the grounds of race, color, sex, age, or national origin in the selection and retention of subcontractors, including procurement of materials and lease of equipment.
- C) 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.
- D) In all solicitations, either by competitive proposals or negotiations, made by the contractor for work to be performed under a subcontract, including procurements or materials or leases of equipment, each potential subcontractor or supplier shall be notified by the contractor of the contractor's obligations under the contract and the regulations relative non-discrimination on the grounds of race, color, sex, age, or national origin.

- E) The contractor shall provide all information and reports required by the regulations or directives issued pursuant thereto, and shall permit access to the books, records, accounts, other sources of information and its facilities as may be determined by GPTC or the FTA, to be pertinent to ascertain compliance with such regulations, orders, and instructions. All in accordance with the provisions as set forth in with **49 U.S.C. 5325, 18 CFR 18.36, and 49 CFR 633.17**, or any other law, regulation, code, requirement, or directive applicable to the access of records. Where any formation is required or when a contractor is the exclusive contractor for any good or service under the terms of this contract, that contractor may be required to certify such assurances to GPTC and/or FTA as appropriate and shall set forth in that certification what efforts have been made to obtain and to provide the information.

Dispute Resolution

Failure to conform to the contractual delivery schedule for goods or services will be cause for GPTC to terminate the contract for default if GPTC chooses to do so. If such failure is deemed to be caused by contractor negligence, the liquidated damages clause of the contract may be applied.

All disputes that might arise under this contract may not be viewed as cause for termination, which, if they cannot be resolved between the contractor and GPTC, will be handled through compulsory arbitration by a mutually acceptable arbiter. All contracts in excess of One Hundred Thousand Dollars (\$100,000) shall contain provisions for dispute resolution and contractual requirements and conditions governing the legal remedies in contracts where a breach or violation of contract terms occur. All provisions pertaining to contract dispute resolution found in **FTA Circular 4220.1F** are subject to applicability and execution in this contract. **49 CFR Part 18** also applies. Both **FTA Circular 4220.1F and 49 CFR Part 18** are hereby included in the contract by reference.

Disputes: Disputes arising in the performance of this contract, which are not resolved by agreement of the parties, shall be decided in writing by the authorized representative of GPTC, the Chief Administration Officer. This decision shall be final and conclusive unless ten (10) days from the date of receipt of its copy, the contractor mails or otherwise furnishes a written appeal to the Chief Executive Officer. 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 Chief Executive Officer shall be binding upon the contractor and the contractor shall abide by the decision.

Performance During Disputes: Unless otherwise directed by GPTC, 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 an 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 therefore, 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 GPTC and the contractor arising out of a 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 Indiana.

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 GPTC, the agent of GPTC or contract shall constitute a waiver of any right or duty afforded of 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.

ADDITIONAL REQUIREMENTS IN SPECIALIZED PROCUREMENTS

In the case of any procurement being a part of or associated with a subcontract to the procurement of vehicles for transit service, these Federal requirements will be a part of this contract.

In accordance with **Section 30**, contractor will conform with the Metrics requirements as set forth by the Departments of Labor and Transportation of the United States of America.

The contractor shall be required to certify it is compliant with the terms, intent, and conditions of **Section 3.b of 49 CFR Part 29** as it relates to Debarment and/or Suspension requirements of the Federal Transportation Administration in association with this or any other federal, state, or municipal contract, agreement, or purchase order.

The contractor agrees that it will fully comply and support the contents of “Fly America” **CFR 49 Part 29, Section 14.c** when any property or person employed in the actions or toward the completion of any contract funded in whole or in part by FTA financial involvement travels or is shipped from one point to another by air carrier.

In the event of an award that is in excess of \$500,000, there shall be a formal notification of Federal participation issued to all solicitations in accordance with Section 15.n of FTA Circular 4220.1F.

All vendors are hereby notified that in accordance with the laws of the State of Indiana, no response may be submitted by any vendor that is based upon formulation of cost and materials supported in part or in whole through the use of child labor.

Proposal Protest Procedure

The “Proposal Protest Procedure” detailed below is an integral part of the GPTC procurement policies. It is provided to ensure fairness to all prospective vendors desiring to compete for business from GPTC and to prepare a response to any solicitation in which GPTC specifies requirements for

equipment, material, services, or goods.

GENERAL:

Protest(s) will only be accepted by GPTC's Purchasing Department from officers of a business whose direct economic interest would be affected by the award of a contract or the refusal to award a contract. The Director of Procurement will consider all such protests, whether submitted before or after the award of such a contract. If oral objections are raised and the matter cannot be resolved to the satisfaction of the objector, a written protest shall be required before any further consideration is given. Protest(s) submissions should be concise, logically arranged and state clearly the grounds for protest.

All protest must include the following minimal information:

1. Business Name, Protestor name, Business address, and Business phone number.
2. Identification of the solicitation in protest by number.
3. A detailed statement of the legal and/or functional ground under protest, including copies of the relevant documents.
4. A brief statement of the relief requested.

All protest documents that are received by GPTC shall be stamped with the date and time received and logged into a "Protest File".

DEFINITIONS:

For purposes of the Proposal Protest Procedure, 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 GPTC or the FTA, as the case may be.
3. Interested Party means an actual or prospective proposer or offerer, whose direct economic interest would be affected by a reward of, or a refusal to award, a contract.
4. Proposal includes the term "offer" as used in the context of negotiated procurements as well as the terms "Proposal", "Submission", or other terms generally recognized to apply to a formal submission to a request by a business for selection of goods or services.

Protest Before An Award

Protest before an award must be submitted within the time frames specified for each of the two types of before award protest. The Director of Procurement shall notify and log as detailed above.

For those protest which are a protest against the allotted time for offer preparation, solicitation content, specification detail, or procedural protest, the time frame during which such protest shall be received shall be limited to three (3) days before the time/date given for the receipt of Offers [including the day of the proposal opening or receipt as day three (3)]. If such protests are not lodged within the specified time, the participants in the subject solicitation shall be deemed to have waived all rights to protest any procedural or specification item.

If after the submission of offers but *before* the formal award of a contract, any offerer or vendor feels the need to file a protest; such protest must be received within ten (10) days of the scheduled opening of the referenced response.

If “before award” protests are received within the specified time, the Director of Procurement shall request of each vendor submitting a response a certification of the extension of prices and waiver of time to preclude any requirements to re-solicit.

Where a written protest is received against the making of an award, the award shall not be made until five (5) days after the resolution of the protest, unless the Director of Procurement determines that:

The item(s) being procured is critical to business; or

Deliverance or performance will be unduly delayed if there is a failure to award; or

Failure to make prompt award will otherwise cause undue harm to GPTC or the State or Federal government.

In the event a determination is made that the award is to be made during the five-day period, or during the pendency of a protest, the Director of Procurement shall furnish written notification to FTA of the intent to award prior to the award. FTA reserves the right to not participate in any such award.

If such an award is made, the files will contain full and adequate documentation as to the causes and points dictating such decision be made. All persons who are party to the solicitation shall be furnished duplicate copies of all pertinent information with confirmation of the award having been made.

Protest(s) After an Award

Protest against award must be filed with the Procurement Director of GPTC within five (5) days immediately following the award. The protest will be accepted and logged and all parties shall be advised such a protest has been logged. If it appears likely that an award will need to be rescinded or an award invalidated and a delay in receipt of goods or services shall result that is not prejudicial to GPTC’s interest, a negotiated agreement to suspend performance shall be sought on a no cost basis.

GPTC shall render through the Director of Procurement, a decision on the protest within fourteen (14) days after the receipt thereof. Notice of that decision will be furnished to all interested parties. If the decision rendered by GPTC is deemed to be adverse by the protestor, it may file a protest with the Federal Transportation Administration (FTA).

FTA will only review protests regarding the alleged failure of GPTC to have a written protest procedure or the alleged failure to follow such procedures.

Alleged violations on other grounds are under the jurisdiction of appropriate State or Federal courts, or local or federal regulatory agencies. Any protest involving other matters should be filed in agreement with the directions given in particular regulations. **See, e.g., Buy American Requirements, 49 CFR Part 661 (Section 661.15); participation by Minority Business Enterprise in Department of Transportation programs, 49 CFR, Section 23.73.**

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

Protestors are required to file a protest with FTA not more than five (5) days after the rendering of a decision on the original protest by GPTC. In instances where the protestor alleges GPTC failed to make a final determination on the protest, protestors shall file a protest with the FTA not later than five (5) days after the protestor knew or should have known of GPTC's failure to make a final decision. GPTC shall not award a contract in the five (5) day period referenced except it be in accordance with the stipulations as detailed in paragraphs above. After five (5) days, GPTC shall verify with FTA that no protest is on file for the particular contract in question.

Protests filed with the FTA should be filed with the appropriate FTA Regional Office with a concurrent copy to GPTC.

Protest filed with the FTA shall:

1. Include the name and address of the protestor.
2. Identify GPTC, the project number (if applicable), and the number of the contractor solicitation.
3. Contain a statement of the grounds upon which the protest is filed. This should detail the alleged violation, failure, or oversight, and contain full supporting documentation.
4. Include copies of the local protests previously filed with GPTC and the copy of the decision regarding such protest rendered by GPTC.

FTA shall notify GPTC in a timely manner of the receipt of a protest. FTA shall instruct GPTC to notify the contractor of the protest if an award has been made or, if no award has been made, to notify all interested parties. GPTC shall instruct all who receive such notice that they may communicate further with FTA directly.

GPTC shall submit the following information to FTA no later than ten (10) days after receipt of notification of FTA of the protest.

1. A copy of the GPTC Protest Procedure
2. A description of the process followed concerning the protestor's protest; and

3. Any supporting documentation.

GPTC shall then supply copies of the submissions to FTA to the protestor.

The protestor may submit to the FTA any comments on GPTC's submission not later than ten (10) days after receipt of the GPTC submission by the protestor.

When a protest has been timely filed with GPTC before the award of a contract, GPTC shall not make an award prior to five (5) days after the resolution of the protest, or if a protest has been filed with the FTA, during the pendency of that protest, unless GPTC determines that:

1. The items procured are urgently needed; or
2. Delivery or performance will be unduly delayed by failure to make an award promptly;
or
3. Failure to make an award will cause an undue hardship on GPTC, the State, or the Federal Government.

In the event GPTC determines that the award must be made in the five (5) day period, GPTC will notify FTA of that decision prior to making the award. FTA reserves the right to not participate in the funding of any contract awarded under protest pendency or during the five (5) day waiting period.

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

NOTE:

This RFP is composed of a Cover Page, Table of Contents, Procurement Schedule, Section 1 - Introduction, Section 2 - Scope of Services, Section 3 – Vendor Instructions, Section 4 – Additional Information, Section 5 – Compliance With Regulations and General Requirements, Required Forms, Other Federal Requirements, and General Information which totals 61 pages.

(TECHNICAL SPECIFICATIONS ARE INCLUDED IN THE STATEMENT OF SERVICES AND VENDOR INSTRUCTIONS SECTIONS)

End of Request for Proposals documents.