



REQUEST FOR PROPOSAL (RFP)
RFP#10-006/NSA
Health Insurance/Medical

PROPOSALS ARE DUE AT THE ADDRESS SHOWN BELOW

NO LATER THAN

March 12, 2010 at 2:00 PM (Local Time)

at

Lakeland Area Mass Transit District

Shipping and Receiving Dept

1212 George Jenkins Blvd

Lakeland FL 33815

Contracting Officer: Norma S. Armstrong

Telephone: (863) 688-7433

E-mail Address: narmstrong@ridecitrus.com

PROPOSALS WILL BE OPENED PROMPTLY AT THE TIME AND PLACE SPECIFIED. THE RESPONSIBILITY FOR SUBMITTING A PROPOSAL TO THE DISTRICT ON OR BEFORE THE STATED TIME AND DATE IS SOLELY AND STRICTLY THE RESPONSIBILITY OF THE PROPOSER. THE DISTRICT IS NOT RESPONSIBLE FOR DELAYS CAUSED BY ANY MAIL, PACKAGE OR COURIER SERVICE, INCLUDING THE U.S. MAIL, OR CAUSED BY ANY OTHER OCCURRENCE.

Visit The Lakeland Area Mass Transit District

WEBSITE: <http://www.ridecitrus.com>

REV.02-05-10



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LEGAL NOTICE

**LAKELAND AREA MASS TRANSIT DISTRICT
HEALTH INSURANCE/Medical
Request for Proposal # 10-006**

LAKELAND AREA MASS TRANSIT DISTRICT requests interested parties submit formal sealed proposals in response to the above referenced Request for Proposal.

Scope of Work: The District is seeking proposals from qualified firms interested in the providing Health Insurance coverage for Medical benefits which will enhance the District's mission of providing a comprehensive transportation system at various locations within the District's service area in the State of Florida, Polk County. The term of this contract is anticipated to be 1 years with 4 (1) year options to renew for the goods and services as described in the District's RFP #10-006.

The District will receive proposals at its Shipping and Receiving location, located at 1212 George Jenkins Blvd., Lakeland FL 33815 until 2:00 P.M., prevailing local time on March 12, 2010. Proposals received after such time will be returned unopened.

Ordering Instructions: This RFP may also be obtained from the District's website at www.ridecitrus.com (go to "Business Opportunities", then "Current Solicitations"), through www.demandstar.com.

The District supports and encourages DBE certified firms to participate in the proposal process; the District's DBE Program goal is 10.46% of total contract expenditures. The District only recognizes DBE status based on whether the firm has attained certification from the Florida Department of Transportation Unified Certification Program (UCP).

BY ORDER OF THE LAKELAND AREA MASS TRANSIT DISTRICT

Norma Armstrong
Manager, Procurement & Contracts



DEFINITIONS

Contract: Contract to be executed by the District and the Proposer selected by the District for the services defined in this RFP, in the form substantially similar to that herein.

Contractor: The successful Proposer who is awarded a contract for providing all services described in the RFP.

Contracts Administrator: The District's Contracting Officer, as designated in the District Policy Manual, who is responsible for the administration of the Contract and any changes that subsequently occur.

D.B.E.: Disadvantaged Business Enterprise, a business owned wholly or in majority by a person or persons considered to be minorities.

Project Manager: The person responsible for administering the Project / Technical advisor and responsible to the Contracting Officer of the Procuring Agency.

District or LAMTD: The Lakeland Area Mass Transit District, a body politic and corporate, created by Polk County, Florida ordinance.

Request for Proposal(s) or RFP: This Request for Proposal RFP #10-006, Lubricant Management and Supply.

Proposer: Person, Offeror, firm company, partnership, or corporation responding to this RFP.

Proposal: Statement of qualifications and proposals submitted by a Proposer in accordance with this RFP.

Subcontractor or Subconsultant: to mean any person, entity, firm or corporation, other than the employees of the Contractor, who furnishes labor and/or materials, in connection with the Work, whether directly or indirectly, on behalf and/or under the direction of the Contractor and whether or not in privity of Contract with the Contractor.

Scope Of Services/Work: to mean Section 2.0 of this solicitation, which details the work to be performed by the contractor.



SECTION 1.0 - OVERVIEW AND PROPOSAL PROCEDURES

1.1 INTRODUCTION

The District is requesting proposals from firms interested and capable of providing Employee Group Medical coverage to the District. The District employs approximately 120 individuals. Covered groups include employees, dependants and retirees of the District.

The District anticipates awarding a contract for a one (1) year period, with four (4) one-year options to renew, at the District's sole discretion.

Proposals must be complete, carefully worded and must convey all of the information requested in order to be considered responsive. Should the proposal fail to conform to the essential requirements of the RFP, the District shall determine whether the variance is significant enough to cause the RFP to be considered non-responsive and therefore not considered for award. The District shall not accept nor request additional information of a Proposer in order to determine responsiveness. This RFP, including supporting documents, provides Proposers with all information necessary to prepare and submit a written proposal.

Each proposal will be reviewed to determine if the proposal is responsive to the submission requirements outlined in this Solicitation. A responsive proposal is one which follows the requirements of this Solicitation, includes all documentation, is submitted in the format outlined in this Solicitation, is of timely submission, and has the appropriate signatures as required on each document. Failure to comply with these requirements may result in the proposal being deemed non-responsive.

1.2 RFP TIMETABLE

The anticipated schedule is as follows:

| | |
|---|-------------------------------|
| ISSUANCE OF RFP | DATE: 2/19/10 |
| WRITTEN QUESTIONS DUE | DATE: 3/2/10 @ 11:00AM |
| DUE DATE FOR PROPOSALS | DATE: 3/12/10 |
| SOURCE EVALUATION COMMITTEE MEETING | DATE: 3/17/10 |
| SOURCE EVALUATION COMMITTEE MEETING (Oral Presentations – if required) | DATE: |
| BOARD APPROVAL | DATE: 4/13/2010 |
| CONTRACT AWARD | DATE: TBD |



| | |
|--------------------------|------------------|
| NOTICE TO PROCEED | DATE: TBD |
|--------------------------|------------------|

NOTE: DATES REFERENCED ABOVE ARE FOR PLANNING PURPOSES ONLY AND ARE SUBJECT TO CHANGE.

1.3 COMMUNICATIONS WITH THE DISTRICT

After advertisement of any solicitation communication with the District is limited to the methods prescribed below:

Questions: Technical or scope of service related questions concerning this RFP, and contract award, shall be submitted, in writing. Written communication may be submitted in the form of e-mail, to:

Norma S. Armstrong Manager, Procurement and Contracts
Email: narmstrong@ridecitrus.com

Offerors are cautioned that until this solicitation is either recommended for award or cancelled, they may have contact only with the contact person identified above. Discussions or communications regarding this solicitation with any other personnel associated in any capacity with the District, its consultants, contractors or members of its Board of Directors, are strictly prohibited, unless otherwise approved in writing by the Contracting Officer.

Any violation of this restriction may result in the disqualification of the Offeror from further participation in this procurement, and from award of any contract or subcontract under this solicitation.

Statements made or information given during the procurement consideration and award process binds the District ONLY when such statements or information are written and executed by the District's Purchasing and Contracts Manager or his/her designee.

No proposer or other third party shall gain rights by virtue of these policies and procedures or the application thereof, nor shall any Proposer or third party have any standing to sue or cause of action arising wherefrom.

All Proposers will be notified in writing when the District makes an award recommendation.

The Contracting Officer for this RFP is:

Name and Title: Norma Armstrong, Manager, Procurement and Contracts

Name of Agency: Lakeland Area Mass Transit District

Address: 1212 George Jenkins Blvd
Lakeland, FL 33815

Telephone: (863) 863-7433

Fax: (863) 327-1315

E-mail Address: narmstrong@ridecitrus.com



1.4 CONTRACT MEASURES

There are no contract measures.

1.5 ADDITIONAL INFORMATION/ADDENDA

Requests for additional information or clarifications must be made in writing and received by the District's Contracting Officer for this RFP, in accordance with **Section 1.3** above, no later than the deadline for receipt of questions specified in the RFP Timetable. The request must contain the RFP number and title, Proposer's name, name of Proposer's contact person, address, phone number, and facsimile number.

Electronic facsimile requesting additional information will be received by the RFP Contracting Officer at the fax number specified in **Section 1.3** above. Facsimiles must have a cover sheet which includes, at a minimum, the Proposer's name, name of Proposer's contact person, address, number of pages transmitted, phone number, facsimile number, and RFP number and title.

The District will issue responses to inquiries and any other corrections or amendments it deems necessary in written addenda issued prior to the RFP Due Date. Proposers should not rely on any representations, statements or explanations other than those made in this RFP or in any written addendum to this RFP. Where there appears to be conflict between the RFP and any addenda issued, the last addendum issued shall prevail.

It is the Proposer's responsibility to assure receipt of all addenda. The Proposer should verify with the designated Procurement Contracting Officer prior to submitting a qualifications submission that all addenda have been received. Proposers are required to acknowledge the number of addenda received as part of their qualifications submission (**see attached Form P**).

Proposers who obtain copies of this RFP from sources other than the District's website or DemandStar risk the potential of not receiving addenda, since their names will not be included on the Vendor List for this particular RFP. Such Proposers are solely responsible for those risks.

1.6 SUBMISSION GUARANTEE DEPOSIT

Not Applicable.

1.7 MODIFIED PROPOSALS

A Proposer may submit a modified proposal submission to replace all or any portion of a previously submitted qualification submission up until the RFP Submission Due Date. The Selection Evaluation Committee will only consider the latest version of the qualifications submission.

1.8 WITHDRAWAL OF PROPOSAL SUBMITTALS

Proposals submissions shall be irrevocable until contract award unless the proposal is withdrawn. A proposal may be withdrawn in writing only, addressed to the District contact person for this RFP (in accordance with **Section 1.3**), prior to the Due Date or upon the expiration of ninety (90) calendar days after the opening of proposal submissions. Unauthorized conditions, limitations, or provisions attached to a Proposal may cause its rejection. **NO oral, telegraphic, telephonic, or facsimile (FAX) proposals or modifications will be considered.**



1.9 LATE PROPOSAL SUBMISSIONS, LATE MODIFICATIONS AND LATE WITHDRAWALS

Proposals received after the RFP Submission Due Date are late and will not be considered. Modifications received after the RFP Submission Due Date are also late and will not be considered. Letters of withdrawal received either after the Proposal submission Due Date or after contract award, whichever is applicable, are late and will not be considered.

The responsibility for submitting the proposal submissions to the District on or before the stated time and date is solely and strictly the responsibility of the Proposer. The District is not responsible for delays caused by any mail, package or couriers service, including the U.S. mail, or caused by any other occurrence.

1.10 RFP POSTPONEMENT/CANCELLATION

. The District may, at its sole and absolute discretion, reject any and all or parts of any or all responses; accept parts of any and all responses; further negotiate project scope and fees; postpone or cancel at any time this Solicitation process; or waive any irregularities in this Solicitation or in the responses received as a result of this process. The District reserves the right to request and evaluate additional information from any respondent after the submission deadline as the District deems necessary.

1.11 COSTS INCURRED BY PROPOSERS

All expenses involved with the preparation and submission of proposals to the District, or any work performed in connection therewith, shall be borne by the Proposer(s). No payment will be made for any responses received, nor for any other effort required of or made by the Proposer(s) prior to commencement of work as defined by a contract approved by the Board of the Lakeland Area Mass Transit District.

1.12 BUSINESS ENTITY REGISTRATION

The District requests that business entities to complete a registration application found on the District's website. Proposers need not register with the District to present a proposal; however, the selected Proposer(s) must register prior to award of a contract as failure to register may result in the rejection of the Proposal.

It is the responsibility of the business entity to update and renew its application concerning any changes such as new address, telephone number, commodities, etc. during the performance of any agreement obtained as a result of this RFP.

Any District employee or any member of the employee's immediate family who has a controlling financial interest, direct or indirect, with the District, or any person or agency acting for the District from competing or applying for any such contract as it pertains to this solicitation, must notify the District's Contracting Officer prior to their or their immediate family member's entering into any contract or transacting any business through a firm, corporation, partnership or business entity in which the employee or any member of the employee's immediate family has a controlling financial interest, direct or indirect, with the District or any person or agency acting for the District and that any



such contract, agreement or business engagement entered in violation of this subsection, as amended, shall render this Agreement voidable.

1.13 ORAL PRESENTATIONS

The District may require Proposers to give oral presentations in support of their proposals or to exhibit or otherwise demonstrate the information contained therein. If required, the presentations are anticipated to be conducted on the date indicated in this RFP Timetable or as determined by the District.

1.14 EXCEPTION TO THE RFP

Proposers may take exceptions to any of the terms of this RFP unless the RFP specifically states where exceptions may not be taken. All exceptions taken must be specific, and the Proposer must indicate clearly what alternative is being offered to allow the District a meaningful opportunity to evaluate and rank proposals, and the cost implications of the exception (if any).

Where exceptions are taken, the District shall determine the acceptability of the proposed exceptions. The District, after completing evaluations, may accept or reject the exceptions. Where exceptions are rejected, the District may insist that the Proposer furnish the services or goods described herein or negotiate an acceptable alternative.

All exceptions shall be referenced by utilizing the corresponding Section, paragraph and page number in this RFP. However, the District is under no obligation to accept any exceptions. If no exception is stated, the District will assume that the Proposer will accept all terms and conditions.

1.15 PROPRIETARY/ CONFIDENTIAL INFORMATION

Proposers are hereby notified that all information submitted as part of, or in support of, proposals will be available for public inspection after opening of proposals, in compliance with Chapter 119, Florida Statutes, popularly known as the "Public Record Law."

Please note that the District is bound by a broad public records disclosure law (Chapter 286 *et seq.*, Florida Statutes, the "Sunshine Act"). If your firm wishes to deem any trade secret information in its submission as proprietary/confidential, please mark "Proprietary/ Confidential Information" or the substantial equivalent thereof on EACH page you wish redacted (withheld) from public records disclosure (Ch. 812.081; 815.04, *et seq.*, Florida Statutes). You must provide the appropriate Florida Statute citation in order for each section to be deemed by the agency as trade secret/confidential, and a written explanation (Form N). However, doing so does not guarantee that the District will be able to comply with such a request should your firm provide documents which do not meet the statutory definition of a confidential trade-secret, notwithstanding the aforementioned marking, and/or if a public records requestor successfully challenges the redaction in a court of law. Accordingly, by submitting a proposal, your firm acknowledges the foregoing and consents to holding the District and its employees harmless for necessary disclosures of information pursuant to a properly filed public records request. LAMTD is not liable for necessary and proper disclosures of information pursuant to a properly filed public records request, and by submitting a proposal, your firm consents to this waiver. The redaction or return of information pursuant to this paragraph may render a proposal non-responsive.



1.16 NEGOTIATIONS

The District may award a contract on the basis of initial offers received, without discussions. Therefore, each initial offer should contain the Proposer's best terms from a monetary and technical standpoint.

The District reserves the right to enter into contract negotiations with the recommended Proposer. If the District and the recommended Proposer cannot negotiate a successful contract, the District may terminate said negotiations and begin negotiations with another recommended Proposer. This process will continue until a contract acceptable to the District has been executed or all proposals are rejected. No Proposer shall have any rights against the District arising from such negotiations or termination thereof.

1.17 RIGHTS OF PROTEST

The District's Policy Manual defines the procedure that will be followed for resolution of protests arising from the procurement process. The District reserves the right to waive any minor informalities or irregularities that do not prejudice other Proposers and/or to reject any and all proposals submitted in response to any RFP. Conditional proposals or those that take exception to the Scope of Services may be considered non-responsible and may be rejected by the District.

1.18 RULES, REGULATIONS AND LICENSING REQUIREMENTS

The Proposer shall comply with all laws, ordinances and regulations applicable to the services contemplated herein, especially those applicable to conflict of interest and collusion. Proposers are presumed to be familiar with all Federal, State and local laws, ordinances, codes, rules and regulations that may in any way affect the goods or services offered, especially Executive Order No. 11246 entitled "Equal Employment Opportunity" and as amended by Executive Order No. 11375, as supplemented by the Department of Labor Regulations (41 CFR, Part 60), the Americans with Disabilities Act of 1990 and implementing regulations, the Rehabilitation Act of 1973, as amended, Chapter 553 of Florida Statutes and any and all other local, State and Federal directives, ordinances, rules, orders, and laws relating to people with disabilities.

1.19 REVIEW OF QUALIFICATION SUBMISSIONS FOR RESPONSIVENESS

Each proposal will be reviewed to determine if the proposal is responsive to the submission requirements outlined in the RFP. A responsive proposal is one which follows the requirements of the RFP, includes all documentation, is submitted in the format outlined in the RFP, is of timely submission, and has the appropriate signatures as required on each document. Failure to comply with these requirements may result in a proposal being deemed non-responsive.

1.20 CRIMINAL CONVICTION

Any individual who has been convicted of a felony during the past ten years and any corporation, partnership, joint venture or other legal entity having an officer, director, or executive who has been convicted of a felony during the past ten years shall disclose this information prior to entering into a contract with or receiving funding from the District.



1.21 QUARTERLY REPORTING WHEN SUB-CONTRACTORS ARE UTILIZED

Intentionally Blank.

1.22 INDEPENDENT PRIVATE SECTOR INSPECTOR GENERAL REVIEW

In connection with any award issued as a result of this RFP, the District has the right to retain the services of an Independent Private Sector Inspector General ("IPSIG"), whenever the District deems it appropriate to do so. Upon written notice from the District, the selected Proposer shall make available, to the IPSIG retained by the District, all requested records and documentation pertaining to this RFP or any subsequent award, for inspection and copying. The District will be responsible for the payment of these IPSIG services, and under no circumstance shall the Proposer's cost/price for this RFP or any subsequent work orders awarded be inclusive of any charges relating to these IPSIG services. The terms of this provision herein, apply to the Proposer, its officers, agents, employees and assignees. Nothing contained in this provision shall impair any independent right of the District to conduct, audit or investigate the operations, activities and performance of the selected Proposer in connection with this RFP or any contract issued as a result of this RFP. The terms of this provision are neither intended nor shall they be construed to impose any liability on the District by the selected Proposer or third party.

1.23 PUBLIC ENTITY CRIMES

Pursuant to Paragraph 2(a) of Section 287.133, Florida Statutes, a person or affiliate who has been placed on the convicted vendor list following a conviction for a public entity crime may not submit a proposal for a contract to provide any goods or services to a public entity; may not submit a proposal on a contract with a public entity for the construction or repair of a public building or public work; may not submit proposals on leases of real property to a public entity; may not be awarded or perform work as a contractor, supplier, subcontractor, or consultant under a contract with any public entity; and, may not transact business with any public entity in excess of the threshold amount provided in Section 287.017 for CATEGORY TWO (\$10,000) for a period of thirty-six (36) months from the date of being placed on the convicted vendor list.

1.24 REQUIRED LISTING OF SUBCONTRACTORS AND SUPPLIERS ON COUNTY CONTRACTS

Proposals for contracts involving the expenditure of \$100,000 or more shall include a listing of subcontractors and suppliers who will be used on the contract. The required listing must be filed prior to the contract award. The required listing must be submitted even though the Proposer will not utilize subcontractors or suppliers on the contract. In the latter case, the listing must expressly state no subcontractors, or suppliers, as the case may be, will be used on the contract.

1.25 FAIR SUBCONTRACTING POLICIES

All selected Proposers on District contracts in which subcontractors may be used shall be subject to and comply with, requiring Proposers to provide a detailed statement of their policies and procedures for awarding subcontracts which:



- a) notifies the broadest number of local subcontractors of the opportunity to be awarded a subcontract;
- b) invites local subcontractors to submit bids/proposals in a practical, expedient way;
- c) provides local subcontractors access to information necessary to prepare and formulate a subcontracting bid/proposal;
- d) allows local subcontractors to meet with appropriate personnel of the Proposer to discuss the Proposer's requirements; and
- e) awards subcontracts based on full and complete consideration of all submitted proposals and in accordance with the Proposer's stated objectives.

All Proposers seeking to contract with the District shall, as a condition of award, provide a statement of their subcontracting policies and procedures. Proposers who fail to provide a statement of their policies and procedures may not be recommended for award.

The term "local" means having headquarters located in Polk County or having a place of business located in Polk County from which the contract or subcontract will be performed.

The term "subcontractor" means a business independent of a Proposer that may agree with the Proposer to perform a portion of a contract.

The term "subcontract" means an agreement between a Proposer and a subcontractor to perform a portion of a contract between the Proposer and the District.

1.26 BANKRUPTCY

Any Proposer who, at the time of proposal submission, is involved in an ongoing bankruptcy as a debtor, or in a reorganization, liquidation, or dissolution proceeding, or if a trustee or receiver has been appointed over all or a substantial portion of the property of the Proposer under federal bankruptcy law or any state insolvency law, may be non-responsive.

1.27 DBE PARTICIPATION

There is a **0%** DBE (Disadvantaged Business Enterprise) goal established for this procurement. Federal funds shall be utilized.

It is the policy of the District and the Department of Transportation (DOT) to ensure that Disadvantaged Business Enterprises (DBEs), as defined in Form J of this solicitation and pursuant to 49 Code of Federal Regulations (CFR) Part 26, are provided a level playing field, thus fostering an equal opportunity for them to participate in the performance of contracts financed in whole or in part with Federal funds. Consequently, the DBE requirements of 49 CFR Part 26 apply to this solicitation. In this regard, all Offerors shall take all necessary and reasonable steps in accordance with 49 CFR Part 26 to ensure that DBEs have a level playing field and an opportunity to compete for and perform contracts. The District and all offerors shall not discriminate on the basis of race, color, national origin or sex in the award and performance of DOT-assisted contracts or subcontracts.



Please use our web site for resources concerning your due-diligence FDOT Unified Certification Program directory search: www.ridecitrus.com, then click on Business Opportunities.

All DBE participation included in this RFP must be certified by a local municipality, the state or a federal agency as specified in Form J. **Certifications for any DBE's must be included for any DBE being submitted.**

Any DBE subcontractors will be field-monitored for actual performance of any deliverables, and will be questioned as to timely payment by the prime contractor.

1.28 TERM OF CONTRACT

The initial term of this Contract shall be for a one (1) year period, with four (4) one-year options to renew, at the District's sole discretion, commencing on the date specified in the Notice to Proceed (NTP). The District reserves the right to exercise its option to extend this Contract for up to one hundred-eighty (180) calendar days beyond the current Contract period and will notify the Contractor in writing of the extension.

1.29 CONFLICTS OF INTEREST

The Proposer shall state if it represents clients that may present conflicts or potential conflicts with representation of LAMTD. Proposers shall provide a list of any potential conflicts by description. Proposers need not identify a particular client. If conflicts are listed, the Proposer shall address how these conflicts will be resolved. (Form D)

1.30 PRE-PROPOSAL CONFERENCE

There is a pre-proposal conference and site visit associated with this requirement. Please consult the legal advertisement in this RFP for details. This information session presents an opportunity for proposers to clarify any concerns regarding the RFP requirements. The Proposer is cautioned that, although the site visits/Pre-proposal Conference is optional, no modification or any changes will be allowed in the pricing because of the failure of the proposer(s) to have visited the site or to have attended the conference.

If you are planning to attend this conference telephonically, please inform the Contracting Officer and note the information below:

| | |
|----------------------------------|--|
| Dedicated dial-in number: | (218) 339-2699 |
| Access code: | 677936 |

1.31 AMENDMENTS TO THE SOLICITATION

The District may revise this RFP at any time, when the District deems it to be in the best interest of the District. If it becomes necessary to revise any part of this RFP, an addendum to the solicitation will be issued.

1.32 EXTENSION OF TIME

If a Proposer needs an extension of time to prepare the Proposal, a request should be forwarded in writing not later than five (5) working days prior to the due date for submittal of Proposals.



Granting an extension will be based on the number of such requests and the reason(s) for each request. The decision to grant an extension will be solely at the discretion of the District. In the event of an extension, prospective Proposers will be notified immediately and appropriate addenda will be issued.

1.33 NO WAIVER OF SOVEREIGN IMMUNITY

The District is an agency and a body politic of the State of Florida and, as such, is entitled to the benefits of sovereign immunity provided in the Florida Constitution and the statutes and laws of the State of Florida.

With this background, nothing contained in this RFP nor contained in the contract to be entered into herefrom, whether by action or provisions hereof, shall constitute any waiver by the District of the benefits of said sovereign immunity under the laws of the State of Florida.

THE DISTRICT SHALL NOT INDEMNITY, HOLD HARMLESS OR DEFEND THE CONTRACTOR FOR ANY LOSSES, CLAIMS, DAMAGES, EXPENSES, JUDGMENTS, FINES, SETTLEMENTS OR OTHER AMOUNTS ARISING FROM THIS RFP OR THE CONTRACT.

THE DISTRICT SHALL NOT PROVIDE INSURANCE FOR THE CONTRACTOR. THE CONTRACTOR MUST INCLUDE THE COST OF ANY INSURANCE IT REQUIRES IN ITS PROPOSAL.

1.34 CONTINGENCY FEES

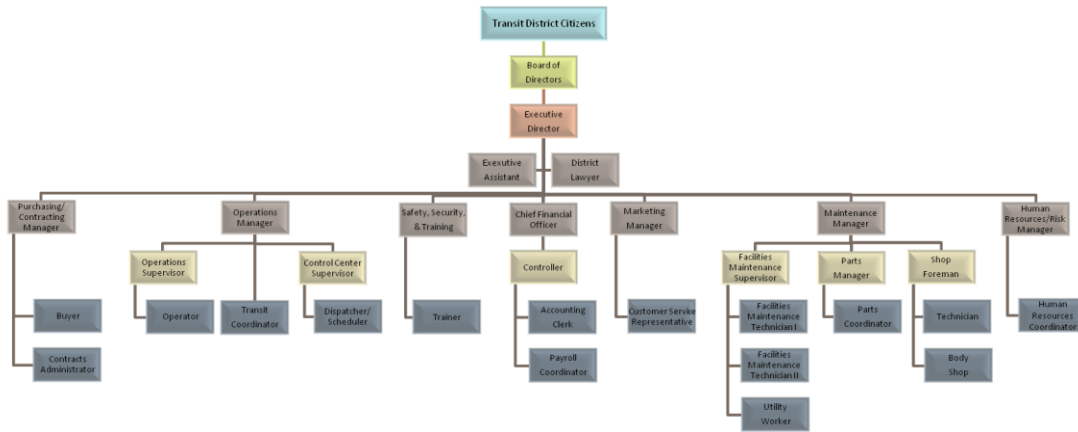
By submission of this offer, Contractor certifies that no contingency fees (sometimes known as a finder's fee) has been paid to any person or organization other than a bona-fide employee working solely for the Contractor to secure a contract made pursuant to this solicitation. Violation of this policy may result in termination of any resultant contract and/or possible debarment of the contractor.

1.35 AGENCY ORGANIZATIONAL CHART

LAMTD – the business name for the “Lakeland Area Mass Transit District” has provided public transportation to the Polk County area since 1982. The District operations include: 51 fixed route buses, 16 paratransit demand response service vehicles, and ten support vehicles. Polk County is larger than the state of Rhode Island and equal in size to Delaware, and is situated along Interstate 4 between Orlando and Tampa. The total area of the county is approximately 2,010 square miles which makes it the fourth largest county in Florida, exceeded only by Dade, Palm Beach, and Collier counties. Polk County's total population estimate for 2005 was 541,840 (an increase of 12 percent from the 2000 U.S. Census count of 483,924). This represents an average annual growth rate of 2.4 percent or an average annual increase of 11,583 persons. Polk ranks as the eighth most populous of Florida's of 67 counties. Polk's total population is expected to grow to an estimated 587,600 by 2010 and 675,000 by 2020. The agency's Board of Directors is composed of five members, who are sitting Polk County, Florida and City of Lakeland Commissioners.

For more information about Polk County, please visit: <http://www.polk-county.net>.
A system map can be accessed at: <http://ridecitrus.com/content/routes/LakelandMap.pdf>.

Agency Organizational Chart:



END OF SECTION 1



SCOPE OF SERVICES

2.0 GENERAL

The Scope of Services described in this section ("Scope of Services") is a general guide and is not intended to be a complete list of all work and materials necessary to complete the project or supply goods or services. The Scope of Services contains work tasks believed necessary for firms interested in and capable of the providing of medical benefits with the coverage for District employees and dependants.

The District currently self insures its medical program through Great West/CIGNA. There are approximately 116 employees enrolled in the plan. The current plan consists of a single option PPO plan. Please refer to the census (Attachment 6 to Attachment A) for a detailed breakout of enrollment by tier. The District will not guarantee a minimum number of participants in any resultant program. The term of this contract is anticipated to be 1 year with 4 (1) year options to renew for the goods and services as described in the District's RFP #10-006 at the sole discretion of the District.

Proposers are requested to provide responses that meet or exceed the current coverage being provided to the District, as well as providing an alternate plan design as requested in the Exhibit section of Attachment A. Proposers may provide responses in the following formats:

1. **fully insured medical insurance**
2. **self-funded medical insurance**
3. **Or both fully insured and self-funded medical insurance**

Providers are not required to submit plans for more than one funding arrangement.

2.1 REQUIREMENTS

- A. The selected Contractor shall maintain licensure with the State of Florida, Office of Insurance Regulation throughout the term of the contract including any Options to Renew exercised by the District.

2.2 SERVICES TO BE PROVIDE BY THE CONTRACTOR

The selected Contractor shall:

1. Provide Health Insurance with PPO/POS coverage
2. Provide all enrollment materials, ID cards, and benefit kits
3. Provide coverage to any eligible District employee. Currently, all full time employees are eligible for coverage on the first of the month following date of hire.
4. Provide Eligible Dependand coverage as follows: Spouse, Domestic Partner, and dependent children.
5. Pursue necessary actions to discourage provider disparagement of the District's Medical Program
6. Monitor over-age dependent children status and compliance with the Florida Statues addressing coverage
7. Provide all COBRA administration
8. Ensure the Contract State of issue is Florida
9. Provide all requirements Attachment A



2.3 DELIVERY

The selected Contractor shall provide an Effective Date for all requested services of June 1, 2010. Services rendered on or after the plan effective date shall be covered. The District's Project Manager will coordinate the Contractor's activities with those of the current Contractor to insure an orderly transition. At the conclusion of the contract which includes any possible options to renew, the Contractor will coordinate his/her activities with any new Contractor to insure an orderly transition.

End of Section 2.0



Section 3.0

PROPOSAL SUBMITTAL REQUIREMENTS

3.1. PROPOSAL FORMAT/CONTENT REQUIREMENTS

Proposers should carefully follow the format and instructions outlined below, observing format requirements where indicated. Each part of the Proposal should be clearly labeled and tabbed for easy reference. All materials (except for plans and schematics, if any) are to be submitted on 8 1/2" X 11" pages, neatly typed on one side only, with normal margins and spacing. **An unbound one-sided original and 6 bound copies (a total of 7) of the complete proposal, must be received by the deadline for receipt of proposal specified in the Timetable (see Section 1.2 and 3.5).** All documents and information must be fully completed and signed as required. Additional information, such as company brochures and literature, may be included in the submittal but should be provided as attachments to the Proposal, not part of the Proposal text.

Proposals should be prepared as simply and economically as possible while providing straightforward, concise information of the Proposer's capabilities to satisfy the requirements of this Request for Proposals. Fancy binding, colored displays, and promotional material, etc. are neither necessary nor desired. The emphasis should be on completeness and clarity of content. The District reserves the right to reject any Proposal as non-responsive if the Proposal fails to include any of the required information in the specified order.

3.2 THE MINIMUM REQUIREMENT:

The selected Contractor shall be licensed by the State of Florida, Office of Insurance Regulation, to provide the requested plan services. This requirement shall be verified by the District's appointed Agent of Record, the Gehring Group. If the Agent is unable to verify the licensing **Failure to meet the minimum qualification requirements for this solicitation shall result in the bidder's bid being declared non-responsive.** Proposers who do not meet the minimum qualification requirement or who fail to provide supporting documentation will not be considered for award.

3.3 TECHNICAL PROPOSAL

The Technical Proposal shall be written in sufficient detail to permit the District to conduct a meaningful evaluation of the proposed services. The Technical Proposal must include the following information:

1. The attached **Form A-1** is to be used as the cover page for the Technical Proposal. This form must be fully completed and signed by an authorized officer of the Proposer submitting the proposal.

The cover letter must indicate that the Proposer agrees to be bound by the Proposal without modifications, unless mutually agreed to upon further negotiations between the District and the Proposer. The cover letter shall contain a statement that the Proposal is valid for ninety (90) calendar days.



2. The table of contents should outline in sequential order the major areas of the proposal. All pages of the proposal, including the enclosures, must be clearly and consecutively numbered and correspond to the table of contents.

The proposal must address the items listed herein.

Technical Information

1. Proposers shall address their ability to perform the desired services. Proposers shall describe the methodology in performing the services described in the Scope of Services (see Section 2). Proposers shall identify the risk associated in providing the services requested in Section 2. Proposers shall discuss how their plan and methodology addresses and reduces the noted risks. This discussion shall describe specific policies, plans, procedures or techniques to be used in providing the services to be performed.
2. Proposers shall discuss the size and adequateness of the doctor, clinic, and hospital network in Polk County that are recommended.
3. Proposers shall identify their experience with Florida government entities. Additionally Proposer's shall describe their past performance and experience and state the number of years that the Proposer has been in existence, the current number of employees, and the primary markets served. Proposers must specifically identify the number of years that they have provided Medical insurance benefits. Proposers shall state how this experience will benefit the District.

Provide a detailed description of comparable contracts (similar in scope of services to those requested herein) which the Proposer has either ongoing or completed within the past five years. The description should identify for each project: (i) the client, (ii) description of work, (iii) total dollar value of the contract, (iv) contract duration, (v) customer contact person and phone number for reference, (vi) statement or notation of whether Proposer is/was the prime contractor or subcontractor or subconsultant, and (vii) the results of the project. Where possible, list and describe those projects performed for government clients or similar size private entities and any work previously for the LAMTD or Polk County. The District reserves the right to contact clients as references.

The District may consider any evidence available regarding the financial, technical, or other qualifications and abilities of the Proposer, including past performance and the Proposer's record of satisfactorily completing similar projects for any governmental or private entity in determining competency for award consideration.

4. Proposers shall identify their most recent "A.M. Best" rating.

3.4 PRICING

Each Proposer must complete and submit the Fee Schedule included herein as EXHIBIT II and III to Attachment A. The District reserves the right to negotiate a Best and Final offers from the selected firm(s). By submitting a response to this solicitation, you agree that by



federal regulation we cannot advance any funds, deposits, or pay any fees for which performance has not been rendered, unless adequate security in the form of bonds, the Contractor's property, or title thereto, is obtained by the District. In lieu of these exceptions, invoices shall therefore be submitted to The District on a "fee for service" basis.

3.5 **INSTRUCTIONS FOR PREPARING AND SUBMITTING PROPOSALS**

Submittal address - Mail or deliver proposals to:

DELIVER TO: Attn: Norma Armstrong
Manager, Procurement and Contracts
LAMTD
1212 George Jenkins Blvd
Shipping & Handling
Lakeland, FL 33815

RFP NO.: 10-006
RFP TITLE: Health Insurance /Medical

DUE DATE/TIME: March 12, 2010 /2:00pm Local

Additionally, Proposers shall mail or deliver 2 copies of your proposal to:

Shawn A. Fleming
Gehring Group
11505 Fairchild Gardens Ave., Ste. 202
Palm Beach Gardens, FL 33410
Phone: (561) 626-6797 or (800) 244-3696

3.6 **AFFIDAVITS/ACKNOWLEDGEMENTS**

The forms marked with (X) below must be submitted with your proposal. Failure to include the required forms may cause your proposal to be deemed non-responsive and/or lacking objective criteria by which a responsibility determination can be performed. Please insert into your proposal with a separate tab, as the last section in your binder. USE BLUE INK FOR THE ORIGINAL PROPOSAL.

| | |
|---|---|
| | Form A- No proposal form (Submit ONLY if NOT submitting a proposal) |
| X | Form A-1 Cover Page for Proposal |
| X | Form B- Business Information |
| X | Form C- Disputes Disclosure |
| X | Form D- Conflict of Interest |
| X | Form E- Eligible Contractor Certificate |



| | |
|----------|---|
| X | Form F- Affidavit of Non-Collusion |
| X | Form G- Drug Free Workplace Certificate |
| X | Form H- Lobbying Activities Certificate |
| X | Form I- Buy America Act Certification |
| | Form J- Disadvantaged Business Entity Certification |
| X | Form K- Statement of Insurance |
| X | Form L- Equal Employment Opportunity Certification |
| X | Form M- Proposer's Questionnaire |
| X | Form N – Proprietary/Trade Secret Confidential Requests |
| X | Form O – Cost and Price Summary |
| X | Form P- Acknowledgement of Addenda |

End of Section 3



4.0 SELECTION PROCESS

4.1 GENERAL INFORMATION

All requirements in this RFP must be satisfied in order to ensure that a Proposal will qualify for consideration. The District's Source Evaluation Committee (SEC) members will follow the District's Policy and Procedures Manual, as may be amended from time to time. The SEC may be comprised of qualified the District staff, the District's board member(s), and other entities' personnel as determined by the District. The District shall make public notice of any and all meetings of the SEC. The selection process will utilize the "Evaluation Criteria" set forth below and in accordance with applicable District's policies and procedures.

4.2 EVALUATION CRITERIA

The SEC will evaluate the proposals on the criteria listed below. The criteria are itemized with their respective weights for a maximum total of one hundred (100) points per SEC member. A Proposer may receive the maximum points or a portion of this score depending on the merit of its proposal, as judged by the SEC in accordance with the following:

| <u>Criteria</u> | <u>Points</u> |
|---|---------------|
| 1. Ability, capacity, and skill of the firm to perform the services required in RFP, the methodology in performing the services, risk associated in providing the services, methodology to reduce the noted risks specific policies, plans, procedures or techniques to be used in providing the services to be performed | 30 |
| 2. Size and adequateness of the doctor and hospital network in Polk County and surrounding areas. | 20 |
| 3. Experience with Florida Government entities, past performance and experience | 5 |
| 4. A.M. Best Rating | 5 |
| 5. Price to provide the services | 40 |



4.3 ORAL PRESENTATIONS

Upon completion of the criteria evaluation, rating and ranking, the SEC may choose to conduct an oral presentation(s) with the Proposer(s) which the SEC deems to warrant further consideration based on the best rated proposal providing the highest quality of service to the District; scores in clusters; significant breaks in scoring; and/or maintaining competition. Upon completion of the oral presentation(s), the SEC will re-evaluate, re-rate and re-rank the proposals remaining in consideration based upon the written documents combined with the oral presentation.

4.4 PRICE PROPOSAL EVALUATION

The price proposal will be evaluated subjectively in combination with the technical proposal, including an evaluation of how well it matches Proposer's understanding of the District's needs described in this Solicitation, the Proposer's assumptions, and the value of the proposed services. The pricing evaluation is used as part of the evaluation process to determine the highest ranked Proposer. The District reserves the right to negotiate the final terms, conditions and pricing of the contract as may be in the best interest of the District.

4.5 OVERALL RANKING

The District may award a contract on the basis of initial offers received, without discussions. Therefore, each initial offer should contain the Proposer's best terms from a monetary and technical standpoint.

Following the evaluation and ranking of the proposals, the SEC may recommend negotiating with the responsive and responsible, highest ranked Proposer whose proposals are deemed to be the best overall value to the District, or may hold simultaneous negotiations and/or consider Best and Final Offers (BAFO).

The Proposers recommended for negotiations may be required to provide to the District:

- a) The Proposer's most recent certified business financial statements as of a date not earlier than the end of the Proposer's preceding official tax accounting period, together with a statement in writing, signed by a duly authorized representative, stating that the present financial condition is materially the same as that shown on the balance sheet and income statement submitted, or with an explanation for a material change in the financial condition. A copy of the most recent business income tax return will be accepted if certified financial statements are unavailable.
- b) Information concerning any prior or pending litigation, either civil or criminal, involving a governmental agency or which may affect the performance of the services to be rendered herein, in which the Proposer, any of its employees or subcontractors or subconsultants is or has been involved within the last three (3) years.



4.6 RIGHT OF REJECTION

- a. The District reserves the right to, at any time, and in the District's sole discretion, reject any or all Proposals; waive any informality in such Proposals; to request new Proposals; to revise the RFP; extend the submission date of Proposals; withdraw the RFP; reject all Proposals; not award the Contract; reject a member of the Proposer's team; or not award a portion of the Contract. Revisions to this RFP, if any, shall be made by written addendum.
- b. The receipt of Proposals shall NOT in any way obligate the District to enter into a consultant agreement or contract of any kind with any Proposer.
- c. The notification of intent to award the Contract to a Proposer does not create a relationship of any kind between the District and the Proposer, and Proposer shall not rely on such notification. Unless explicitly written to the contrary, all Contracts to be awarded by the District require the approval of the District's Governing Board and the District's general counsel, and no instrument or agreement shall be binding on the District unless approved as required herein.
- d. Conditional proposals or those which take exception to the specifications may be considered non-responsive and may be rejected.

4.7 CONTRACT AWARD

Any negotiated contract, as a result of the Solicitation, will be submitted to the District's Board or designee for award. **All Proposers will be notified in writing when the District makes an award recommendation.** The Contract award, if any, shall be made to the Proposer(s) whose proposals shall be deemed by the District to be in the best interest of the District. The District reserves the right to issue an award to more than one firm, if a Proposer is more highly qualified to perform a specific part of the scope of the work, than another awardee. The District's decision to make the award and which proposal is in the best interest of the District shall be final.

4.8 RIGHTS OF PROTEST

A recommendation for contract award or rejection of all proposals may be protested by a Proposer in accordance with the procedures contained in District's Policy Manual.

END OF SECTION 4.0



5.0 PUBLIC ENTITY CRIME INFORMATION STATEMENT

All Requests for Proposals as defined by Section 287.012(16), Florida Statutes, and any contract document described by Section 287.058, Florida Statutes, shall contain a statement informing persons of the provisions of paragraph (2)(a) of Section 287.133, Florida Statutes, which reads as follows:

A person or affiliate who has been placed on the convicted Contractor list following a conviction for a public entity crime may not submit a proposal on a contract to provide any goods or services to a public entity, may not submit a proposal on a contract with a public entity for the construction or repair of public building or public work, may not submit proposals on leases of real property to a public entity, may not be awarded or perform work as a contractor, supplier, subcontractor, or consultant under a contract with any public entity, and may not transact business with any public entity in excess of the threshold amount provided in Section 287.017, for CATEGORY TWO for a period of 36 months from the date of being placed on the convicted Contractor list.

All Contractors who submit a Proposal to the District are guaranteeing that they have read the previous statement, and by signing the proposal documents, are qualified to submit a Proposal under Section 287.133, (2)(a) Florida Statutes.

6.0 CONTRACTUAL PROVISIONS

THE SUCCESSFUL PROPOSER SHALL COMPLY WITH THE CONTRACT PROVISIONS SET FORTH IN THE MOST RECENT LAKE LAND AREA MASS TRANSIT DISTRICT "GENERAL PROVISIONS DOCUMENT", AS MAY BE AMENDED FROM TIME TO TIME. THIS DOCUMENT IS ON THE LAMTD WEBSITE (www.ridecitrus.com) OR IS AVAILABLE FROM LAMTD BY REQUEST.

The form of contract that the District intends to use for award is attached for reference (see Attachment B). Any exceptions to this standard contract must be clearly indicated by return of the standard contract with the Proposal, with exceptions clearly noted. The District has the right to require the selected respondent to sign the attached contract or to negotiate revisions to the contract language prior to execution of the contract, at its sole discretion. The District may require the successful Proposer to insert certain provisions in all subcontracts issued pursuant to the Contract. The applicable provisions are contained by exhibit attached to this solicitation.



ATTACHMENTS



FORM A: NO PROPOSAL FORM

** Please complete this form is you are **NOT** submitting a proposal.

RFP # _____

Title: _____

Statement of No Proposal Form

If submitting this form, the Contractor shall return this form to the District Purchasing, Attn: Norma Armstrong, Manager, Procurement and Contracts, P.O. Box 1687, Lakeland FL 33802 or via e-mail: narmstrong@ridecitrus.com

We have declined to bid/propose on the above mentioned solicitation for the following reasons:

- ___ Specifications too "restrictive"
- ___ No longer offer this product/service.
- ___ Unable to meet specifications.
- ___ Specifications are unclear.
- ___ Insufficient time to respond to this solicitation.
- ___ Our schedule would not permit us to perform.
- ___ Unable to meet bonding/and or insurance requirements.
- ___ Other (please specify).

Explanations regarding above: _____

Firm Name

Telephone and email address

Date

Respondent (point of contact) Name

END OF FORM A



FORM A-1: COVER PAGE FOR PROPOSAL

| | | |
|--|--------------------------|---------------------------------|
| PROPOSER'S NAME (Name of firm, entity or organization): | | |
| FEDERAL EMPLOYER IDENTIFICATION NUMBER: | | |
| NAME AND TITLE OF PROPOSER'S CONTACT PERSON: Name: _____ Title: _____ | | |
| MAILING ADDRESS: Street Address: _____ City, State, Zip: _____ | | |
| TELEPHONE: () _____ | FAX: () _____ | E-MAIL ADDRESS: _____ |
| PROPOSER'S ORGANIZATIONAL STRUCTURE: __ Corporation __ Partnership __ Proprietorship __ Joint Venture __ Other (Explain): _____ | | |
| IF CORPORATION, Date Incorporated/Organized: _____ State Incorporated/Organized: _____ States registered in as foreign corporation: _____ | | |
| PROPOSER'S SERVICE OR BUSINESS ACTIVITIES OTHER THAN WHAT THIS SOLICITATION REQUESTS FOR: | | |
| LIST NAMES OF PROPOSER'S SUBCONTRACTORS OR SUBCONSULTANTS FOR THIS PROJECT: | | |



CRIMINAL CONVICTION DISCLOSURE:

Any individual who has been convicted of a felony during the past ten years and any corporation, partnership, joint venture or other legal entity having an officer, director, or executive who has been convicted of a felony during the past ten years shall disclose this information prior to entering into a contract with or receiving funding from the County.

Place a checkmark here only if Proposer has such conviction to disclose to comply with this requirement.

PROPOSER'S AUTHORIZED SIGNATURE:

The undersigned hereby certifies that this proposal is submitted in response to this solicitation.

THE EXECUTION OF THIS FORM CONSTITUTES THE UNEQUIVOCAL OFFER OF PROPOSER TO BE BOUND BY THE TERMS OF ITS PROPOSAL. FAILURE TO SIGN THIS SOLICITATION WHERE INDICATED BELOW BY AN AUTHORIZED REPRESENTATIVE SHALL RENDER THE PROPOSAL NON-RESPONSIVE. THE DISTRICT MAY, HOWEVER, IN ITS SOLE DISCRETION, ACCEPT ANY PROPOSAL THAT INCLUDES AN EXECUTED DOCUMENT WHICH UNEQUIVOCALLY BINDS THE PROPOSER TO THE TERMS OF ITS OFFER.

Signed By: _____ Date: _____

Print Name: _____ Title: _____



FORM B: BUSINESS INFORMATION

BUSINESS INFORMATION

B.01 TYPE OF BUSINESS:

The Proposer represents as part of its offer that it operates as
(Mark (1) with an "X"):

- An individual
- A partnership
- A sole proprietorship
- A corporation
- Another entity

If incorporated, incorporated under the laws of the State of: _____.

B.02 DISADVANTAGED BUSINESS ENTERPRISE (DBE)

The Proposer represents as part of its offer that it (Mark (1) one with an "X"):

- Is
- Is not

Disadvantaged Business Enterprise (DBE). A "DBE" is defined as "a small business concern" which is at least 51 percent owned by one or more socially and economically disadvantaged individuals. In the case of any publicly owned business, one or more socially and economically disadvantaged individuals own at least 51 percent of the stock. The noted DBE's management and daily business operations controlled by one or more of the socially and economically disadvantaged individuals who own it. For purposes of this definition, socially and economically disadvantaged individuals include Black Americans, Hispanic Americans, Asian-Pacific Americans, Asian-Indian Americans, Native Americans; and women, regardless of race, ethnicity or origin.

B.03 CONTINGENT FEE

Except for full-time bona fide employees working solely for the Proposer, the Offeror represents as part of its offer that it (Mark (1) one with an "X"):

- Has
- Has not

employed or retained any company or persons to solicit or obtain this contract, and (Mark one with an "X"):

- Has
- Has not

paid or agreed to pay any person or company employed or retained to solicit or obtain this contract any commission, percentage, brokerage, or other fee contingent upon or resulting from the award of this contract.



The Proposer agrees to provide information relating to subparagraph A. above, as requested by the Contract Administrator.

B.04 INTEREST OF PUBLIC OFFICIALS

The Proposer represents and warrants that no employee, official, or member of the Board (Executive Committee) of THE DISTRICT is or will be interested or benefited directly or indirectly in this Contract.

B.05 COVENANT AGAINST GRATUITIES

The Proposer represents as part of its offer that neither it nor any of its employees, representatives or agents have offered or given gratuities (in the form of entertainment, gifts or otherwise) to any director, officer or employee of THE DISTRICT, with the attempt toward securing favorable treatment in the awarding, amending, or the making of any determination with respect to the performing of the Contract. See the General Provisions Clause entitled "Interest of Public Officials."

B.06 PREVIOUS CONTRACTS AND COMPLIANCE REPORTS

The Proposer represents as part of its offer that it (Mark (1) one with an "X"):

- Has**
- Has not**

Participated in a previous contract or subcontract, subject either to the Equal Opportunity clause of this solicitation. The clause originally contained in **"USA-DOT-FTA-Master Agreement"** authorized by 49 U.S.C. § 5301 *et seq.* Section 12 Civil Rights part C. "Equal Employment Opportunity" representations indicating submission of required compliance reports, signed by proposed subcontractors, submitted before subcontract or awards.

B.07 AFFIRMATIVE ACTION COMPLIANCE

A. The Proposer represents as part of its offer that it has a workforce of _____ (# of employees): It (Mark one with an "X"):

- Has developed and has on file**
- Has not developed and does not have on file**

B. At each establishment, affirmative action programs required by the rules and regulations of the Secretary of Labor (41 CFR 60-1 and 60-2), or it (Mark one with an "X"):

- Has**
- Has not**

Previously had contracts subject to the written affirmative action programs requirement of the rules and regulations of the Secretary of Labor.

B.08 PARENT COMPANY AND IDENTIFYING DATA

A. The Proposer represents as part of its offer that it (Mark one with an "X"):

- Is**
- Is not**

Owned or controlled by a parent company. A parent company, for the purpose of this provision, is one that owns or controls the activities and basic business policies of the Proposer. To own the proposing company means that the parent company must own



more than 50 percent of the voting rights in that company. A company may control a Proposer as a parent although not meeting the requirements for such ownership. When the company is able to formulate, determine, or veto basic policy decisions of the Offeror through the use of dominant minority voting rights, use of proxy voting, or otherwise.

- B. If the Proposer is not owned or controlled by a parent company, it shall insert its own Employer's Identification Number below:
- C. If the Proposer is owned or controlled by a parent company, it shall enter in the blocks below the name and main office address of the parent company, and the parent company's Employer's Identification Number.

NAME OF PARENT COMPANY AND MAIN OFFICE ADDRESS (INCLUDE ZIP AND PHONE):

PARENT COMPANY'S EMPLOYER'S IDENTIFICATION

#: _____.

B.09 CERTIFICATION OF INDEPENDENT PRICE DETERMINATION

- A. By submission of this offer, the Proposer certifies, and in the case of a joint offer, each party thereto certifies as to its own organization, that in connection with this procurement:
 - 1. The prices in this offer have been arrived at independently, without consultation, communication, or agreement, for the purpose of restricting competition, as to any matter relating to such prices with any other Offeror or with any competitor.
 - 2. Unless otherwise required by law, the prices quoted in this offer, have not been knowingly disclosed by the Proposer. The Proposer before the opening (in the case of an advertised procurement) or prior to award (in the case of a negotiated procurement) will not knowingly disclose it either directly or indirectly to any other Proposer or to any competitor.
 - 3. No attempt was made or will be made by the Proposer to induce any other person or firm to submit or not to submit an offer, or to restrict competition.
- B. Each person signing this offer certifies that:
 - 1. He or she is the person in the Proposer's organization responsible within that organization for the decision as to the prices offered herein and that he/she has not participated, and will not participate, in any action contrary to A.1. through A.3 above or
 - 2. He or she is not the person in the Proposer's organization responsible within that organization for the decision as to the prices offered herein but that they are authorized in writing to act as an agent for the persons responsible for such decision in certifying that such persons have not participated, and will not participate, in any action contrary to A.1. through A.3 above, and as their agent does hereby so certify.

B.10 DISADVANTAGED BUSINESS ENTERPRISE GOALS



If goals are established by submission of this offer, the Proposer certifies that it will comply with the provisions of this solicitation entitled "Disadvantaged Business Enterprise Program" and will meet such goals as are established in any ensuing contract.

B.11 CLEAN AIR AND WATER CERTIFICATION

Applicable if the offer exceeds \$100,000, or the Contract Administrator believes that orders under an indefinite contract in any year will exceed \$100,000, if a facility to be used has been the subject of a conviction under the Air Act [42 U.S.C. 7413 (c) (1)] or the Water Act [33 U.S.C. 1319 (c)], and is listed by the Environmental Protection Agency (EPA) as a violating facility, and the acquisition is not otherwise exempt.

By submission of this offer, the Proposer certifies that:

A. Any facility to be used in the performance of this proposed contract mark (1) with an "X"):

Is

Is not listed on the EPA List of Violating Facilities

B. It will immediately notify the Contracting Officer, before award, of the receipt of any communication from the administrator, or a designee of the EPA, that any facility which it proposes to use for the performance of the Contract is under consideration to be listed on the EPA List of Violating Facilities. It will include a certification substantially the same as this certification, including this paragraph C., in every nonexempt subcontract.

B.12 CERTIFICATION ON NON-SEGREGATED FACILITIES

A. By the submission of this offer, the Proposer certifies that it does not and will not maintain or provide for its employees any segregated facilities. It does not and will not permit its employees to perform their services at any location under its control, where segregated facilities are maintained.

B. The Proposer agrees that a breach of this certification is a violation of the Equal Opportunity Clause in the contract. As used in this certification, the term "segregated facilities" means: waiting rooms, work areas, rest rooms and wash rooms, restaurants and other eating areas, work and or entertainment facilities that are segregated by explicit directive or are in fact segregated based on race, color, religion or nation origin, because of habit, local custom or otherwise.

C. Proposer further agrees that (except where it has obtained identical certifications from proposed subcontractors for specific times) Proposer will:

1. Obtain identical certifications from proposed subcontractors before the award of subcontract under which the subcontractor will be subject to the Equal Opportunity Clause.
2. Retain such certifications in its files; and forward the following notice to the proposed subcontractors (except if the proposed subcontractors have submitted identical certifications for specific times).

NOTICE TO PROSPECTIVE SUBCONTRACTORS OF REQUIREMENTS FOR CERTIFICATIONS OF NONSEGREGATED FACILITIES

Certification on Non-segregated Facilities must be submitted before the award of a subcontract under which the subcontractor will be subject to the Equal Opportunity clause. The certification may be submitted either for such subcontract or for all subcontracts during a period (i.e. quarterly, semiannually or annually). Note: The penalty for making false statements in offers is prescribed in 18 U.S.C. 1001.



B.13 CERTIFICATION REGARDING DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS, PRIME CONTRACT

A. In accordance with provisions of 49 CFR Part 29 and the certification instructions contained therein, the Proposer certifies, to the best of its knowledge and belief, that it and/or any of its Principals (mark one with an "X"):

- Are**
- Are not**

Presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from the award of contracts by any Federal department or agency or by THE DISTRICT (mark one with an "X");

- Have**
- Had not**

Within a three-year period preceding this offer, convicted of or had a civil judgment rendered against them for: commission of fraud rendered against them or a criminal offense concerning obtaining, attempting to obtain, or performing a public (Federal, State or local) contract or subcontract, violation of Federal or State antitrust statutes 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 (mark one with an "X");

- Are**
- Are not**

Presently indicted for, or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in subparagraph A.2. of this certification; and (mark one with an "X");

- Have**
- Had not**

Within a three-year period preceding this offer, had one or more public (Federal, State, or local) contracts terminated for cause or default. "Principals," for the purposes of this certification, means officers, directors, owners, partners, key employees, or any other person within the business entity who have primary management or supervisory responsibilities: or a person who has a critical influence on a contract or substantive controls over contracts, whether or not employed by the Offeror.

B. The Proposer shall provide immediate written notice to the Contract Administrator, if, at any time before contract award, the Proposer learns that its certification was erroneous when submitted or has become erroneous due to changed circumstances.

C. Where the Proposer is unable to certify positively to any of the statements in this certification, the Proposer shall attach an explanation to this offer. A certification that any of the items in subparagraph A of this provision exists will not necessarily result in withholding of an award under this solicitation. However, the certification may be considered in determining the Proposer responsibility. Failure of the Offeror to furnish a certification or provide such additional information as requested by the Contract Administrator may render the Offeror unresponsive.

D. Nothing contained in the foregoing is construed to require establishment of a system of records in order to render, in good faith, the certification required by subparagraph A of this provision.



The knowledge and information of a Proposer is not required to exceed that which a prudent person in the ordinary course of business normally possesses.

- E. The certification in subparagraph A of this provision is a material representation of fact upon which reliance is placed when making an award. If it is later determined that the Proposer knowingly rendered an erroneous certification may be grounds for termination. In addition to other remedies available to the District or the Federal Government or any of its departments or agencies, the Contract Administrator may end the contract resulting from this solicitation for default.
- F. The Proposer further agrees by submitting the offer that it will include the following clause, without modification, in all subcontracts and in all solicitations for subcontract:

The name of your financial accounting software is: _____,
provided by [insert Contractor name]: _____.
- G. The following information is required in order for the agency to determine whether your firm is maintaining the appropriate financial controls necessary to safeguard the public's interest.

The name of your financial accounting software is: _____,
provided by [insert Contractor name]: _____.

I have / have not [circle one in blue ink] installed the latest version of that software.
The software database is backed up via the following method:

CERTIFICATION REGARDING DEBARMENT, SUSPENSION, INELIGIBILITY AND VOLUNTARY EXCLUSION, SUBCONTRACTS

1. In accordance with the provisions of 49 CFR Part 29 and the certification instructions contained therein, the prospective subcontractor certifies, by submission of this offer that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this contract by any Federal department or agency or by LAMTD.
2. Where the prospective subcontractor is unable to certify to any of the statements in this certification, such prospective subcontractor shall attach an explanation to this offer.

Certified:

Name of Proposer Firm/Company: _____

Authorized Signature: _____

Print Name: _____

Date: _____



OFFERORS MUST SET FORTH FULL, ACCURATE AND COMPLETE INFORMATION AS REQUIRED BY THIS SOLICITATION (INCLUDING THIS EXHIBIT). FAILURE TO DO SO MAY RENDER THE OFFER NONRESPONSIVE OR UNACCEPTABLE.

A FALSE STATEMENT IN ANY BID OR PROPOSAL SUBMITTED TO LAMTD MAY BE A CRIMINAL OFFENSE IN VIOLATION OF APPLICABLE FEDERAL AND/OR STATE LAWS.

END OF FORM B



FORM D: CONFLICT OF INTEREST AFFIDAVIT

STATE OF _____

COUNTY OF _____

Before me, the undersigned authority duly authorized in the state and county aforesaid to take acknowledgments, personally appeared _____, as (title) _____ of (name of firm) _____ ("Affiant"), who after first being duly sworn, deposed and stated the following:

1. I am the (title) _____ of (name of firm) _____ with a local office in _____ and principal office in _____. The above named entity is submitting a Proposal for the District described as: RFP # _____, entitled: _____.
2. The Affiant has made diligent inquiry and provides the information contained in this Affidavit based upon his/her own knowledge.
3. The Affiant states that only one submittal for the above proposal is being submitted on behalf of the above named entity and that the entity has no financial interest in other entities submitting proposals for the same project.
4. Neither the Affiant nor the above named entity has directly or indirectly entered into any agreement, participated in any collusion, or otherwise taken any action in restraints of free competitive pricing in connection with the entity's submittal for the above proposal. This statement restricts the discussion of pricing data until the completion of negotiations if necessary and execution of the contract for this project.
5. Neither the entity nor its affiliates, nor anyone associated with them is presently suspended or otherwise ineligible from participation in contract letting by any local, State, or Federal Agency.
6. Neither the entity, nor its affiliates, nor anyone associated with them have any potential conflict of interest due to any other clients, contracts, or property interests for this project.
7. I certify that no member of the entity's ownership or management is presently applying for an employee position or actively seeking an elected position with LAMTD.
8. I certify that no member of the entity's ownership or management, or staff has a vested interest in any aspect of the District.
9. In the event that a conflict of interest is identified in the provision of services, I, on behalf of the above named entity, will immediately notify the District.

Signature

Date

Typed Name and Title

Sworn to and subscribed before me this _____ day of _____, 20____.

Personally known ____ OR produced identification _____. Identification type: _____

Notary Public: State of _____ County of _____.

Printed, typed, or stamped commissioned name of notary public

My commission expires _____.

END OF FORM D

FORM E: ELIGIBLE CONTRACTOR CERTIFICATE

The _____ (Name of Proposer) hereby certifies that it **IS / IS NOT** (circle one in blue ink) included on the U.S. Comptroller's lists of persons or firms currently debarred for violations of various public contracts incorporating labor standards provisions. The Proposer further certifies that:

- A. By entering into this contract, the contractor certifies that neither it (nor he or she) nor any person or firm who has an interest in the contractor's firm is a person or firm ineligible to be awarded government contracts by virtue of Section 3(a) of the Davis-Bacon Act or 29 CFR 5.12(a)(1).

- B. No part of this contract shall be subcontracted to any person or firm ineligible for award of a government contract by virtue of Section 3(a) of the Davis-Bacon Act or 29 CFR 5.12(a)(1).

The penalty for making false statements is prescribed in the U.S. Criminal Code, 18 U.S.C. 1001.

Submitted (DATE): _____

Signature: _____

Title: _____

Date: _____

Address: _____

City, State, & Zip: _____

Telephone: _____

END OF FORM E



FORM F: AFFIDAVIT OF NON COLLUSION

STATE OF _____

COUNTY OF _____

Before me, the undersigned authority duly authorized in the state and county aforesaid to take acknowledgments, personally appeared _____, **as** _____ of _____ ("Affiant"), who after first being duly sworn, deposed and stated the following:

1. That I am the Proposer (if the Proposer is an individual) or a partner of the Proposer (if the Proposer is a partnership) or an officer or employee of the proposing corporation, having authority to assign on its behalf (if the Proposer is a corporation);
2. That the Proposer has arrived at the attached proposal or proposals independently, and have been submitted without collusion with, and agreement, understanding or planned common course of action with any other Contractor of material proposals, designed to limit independent bidding or competition;
3. That the contents of the proposal or proposals have not been communicated by the Proposer, employees or agents to any person not an employee or agent of the Proposer. Surety on any bond furnished with the proposal or proposals, will not be communicated to any such person prior to the official opening of the proposal or proposals; and
4. That I have fully informed myself regarding the accuracy of the statements made in this affidavit.

Signed

Firm Name

Proposer's F.E.I. Number (used on employers
Quarterly Federal Tax returns.)

Sworn to and subscribed before me this _____ day of _____, 20__.

Personally known ____ OR produced identification _____. Identification type: _____

Notary Public: State of _____ County of _____.

Printed, typed, or stamped commissioned name of notary public

My commission expires _____.

END OF FORM F



FORM G: DRUG FREE WORKPLACE CERTIFICATION

Pursuant to 49 CFR Part 29, any contractor performing work for the District must complete the following certification. The undersigned, being an authorized agent of the Proposer, certifies that the Proposer will provide a drug-free workplace by:

- A. Publishing a statement notifying employees that unlawfully manufacturing, distributing, dispensing, possessing, or using a controlled substance on the District property is prohibited and specifying the actions that will be taken against employees for violations of such prohibition.
- B. Establishing a drug-free awareness program to inform employees about:
 - The dangers of drug abuse in the workplace, the Proposer's policy of maintaining a drug-free workplace; any drug counseling, rehabilitation, and employee assistance programs that are available in the community; the penalties that will be imposed upon employees for drug abuse violations occurring on the Proposer's or the District property.
- C. Making it a requirement that each employee to be engaged in the performance of the contract with the District be given a copy of the statement required by paragraph A.
- D. Notifying the employee in the statement required by paragraph (A) that, as a condition of employment under the contract with the District, the employee will:
 - Abide by the terms of the statement; notify the contractor of any drug statute conviction for a violation occurring in the workplace no later than five (5) days after such conviction.
- E. Notifying the District within ten (10) days after receiving notice under paragraph D from an employee or otherwise receiving actual notice of such conviction. Taking one of the following actions within 30 days of receiving notice under subparagraph (D) with respect to any employee so convicted:
- F. Taking appropriate personnel action against such an employee, up to and including termination. Requiring such an employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by Federal, State or local health, law enforcement, or other appropriate agency.

Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs A, B, C, D, E, and F.

The Proposer's headquarters are located at the following address. The addresses of all other workplaces maintained by the Proposer provided on an accompanying list.

Name _____
Street Address: _____
City: _____
State: _____
Zip Code: _____
Authorized Official's Signature: _____
Title: _____
Date: _____

END OF FORM G



FORM H: CERTIFICATION OF RESTRICTIONS ON LOBBYING

No Federal appropriated funds paid or to be paid, by or on behalf of the undersigned, can be used to compensate any person for the purpose of influencing, or attempting, to influence an officer, or employee of an agency, or to a Member of Congress, an officer, employee of Congress, or an employee of a Member of Congress concerning 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.

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 an agency, a Member of Congress, or to an officer, employee of Congress, 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, 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 USC 1601, *et seq.*)].

The undersigned shall require that the language of this certification be included in the award documents for all sub awards at all tiers (including subcontracts, sub grants, and contracts under grants, loans, and cooperative agreements). 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 as imposed by 31 USC § 1352 (as amended by the Lobbying Disclosure Act of 1995). Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

[Note: Pursuant to 31 USC § 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 Proposer, _____, certifies or affirms the truthfulness and accuracy of each statement of its certification and disclosure, if any. In addition, the Proposer understands and agrees that the provisions of 31 USC A 3801, *et seq.*, apply to this certification and disclosure, if any.

Signature of Proposer's Authorized Official

Name and Title of Proposer's Authorized Official

Date

END OF FORM H – THE FORM NEXT PAGE IS FOR YOUR REFERENCE CONCERNING POSSIBLE FUTURE FILINGS, IF REQUIRED.



DISCLOSURE OF LOBBYING ACTIVITIES

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352
(See reverse for public burden disclosure.)

Approved by OMB
0348-0046

| | | |
|--|---|--|
| 1. Type of Federal Action: <input type="checkbox"/> a. contract <input type="checkbox"/> b. grant <input type="checkbox"/> c. cooperative agreement <input type="checkbox"/> d. loan <input type="checkbox"/> e. loan guarantee <input type="checkbox"/> f. loan insurance | 2. Status of Federal Action: <input type="checkbox"/> a. bid/offer/application <input type="checkbox"/> b. initial award <input type="checkbox"/> c. post-award | 3. Report Type: <input type="checkbox"/> a. initial filing <input type="checkbox"/> b. material change For Material Change Only: year _____ quarter _____ date of last report _____ |
| 4. Name and Address of Reporting Entity: <input type="checkbox"/> Prime <input type="checkbox"/> Subawardee Tier _____, <i>if known</i> : Congressional District, <i>if known</i> : 4c | 5. If Reporting Entity in No. 4 is a Subawardee, Enter Name and Address of Prime: Congressional District, <i>if known</i> : | |
| 6. Federal Department/Agency: | 7. Federal Program Name/Description: CFDA Number, <i>if applicable</i> : _____ | |
| 8. Federal Action Number, if known: | 9. Award Amount, if known: \$ | |
| 10. a. Name and Address of Lobbying Registrant <i>(if individual, last name, first name, MI):</i> | b. Individuals Performing Services <i>(including address if different from No. 10a)</i> <i>(last name, first name, MI):</i> | |
| 11. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure. | Signature: _____ Print Name: _____ Title: _____ Telephone No.: _____ Date: _____ | |
| Federal Use Only: | | Authorized for Local Reproduction Standard Form LLL (Rev. 7-97) |



INSTRUCTIONS FOR COMPLETION OF SF-LLL, DISCLOSURE OF LOBBYING ACTIVITIES

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a covered Federal action. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a followup report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, State and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in item 4 checks "Subawardee," then enter the full name, address, city, State and zip code of the prime Federal recipient. Include Congressional District, if known.
6. Enter the name of the Federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitation for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency). Include prefixes, e.g., "RFP-DE-90-001."
9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, State and zip code of the lobbying registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal action.

(b) Enter the full names of the individual(s) performing services, and include full address if different from 10 (a). Enter Last Name, First Name, and Middle Initial (MI).
11. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

According to the Paperwork Reduction Act, as amended, no persons are required to respond to a collection of information unless it displays a valid OMB Control Number. The valid OMB control number for this information collection is OMB No. 0348-0046. Public reporting burden for this collection of information is estimated to average 10 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0046), Washington, DC 20503.



FORM I: BUY AMERICA CERTIFICATION

This procurement is subject to the Federal Transit Administration (FTA) Buy America requirements in 49 CFR 661. As a condition of responsiveness, the Proposer must submit with his/her proposal a completed Certificate of Compliance with 49 USC 5323(j)(2)(C) and the regulations at 49 CFR Part 661, or a Certificate of Non-Compliance with 49 USC 5323(j)(2)(C) and the regulations at 49 CFR Part 661. The required certifications are included below. **Proposer shall complete only one of the certifications - whichever is applicable.**

CERTIFICATE OF COMPLIANCE WITH 49 USC 5323(j)(2)(C)

The Proposer or Offeror hereby certifies that it will comply with the requirements of 49 USC 5323(j)(2)(C) and the regulations at 49 CFR Part 661.

Date _____

Signature _____

Company Name _____

Title _____

CERTIFICATE OF NON-COMPLIANCE WITH 49 USC 5323(j)(2)(C)

The Proposer or Offeror hereby certifies that it cannot comply with the requirements of 49 USC 5323(j)(2)(C), but may qualify for an exception pursuant to 49 USC 5323(j)(2)(B) or (j)(2)(D) and the regulations in 49 CFR 661.7. **You must include documentation with your submission concerning what exceptions you qualify for, how you qualify for them according to Federal laws and regulations, and an FTA determination for your company regarding this exception.**

Date _____

Signature _____

Company Name _____

Title _____

END OF FORM I



FORM J: DISADVANTAGED BUSINESS ENTERPRISE PARTICIPATION

(DBE) DISADVANTAGED BUSINESS ENTERPRISE PARTICIPATION

PART I BACKGROUND

USE OF FORM

Any Contractor responding to a Request for Proposals (RFP) must complete this Form J.

POLICY STATEMENT

The District has established an overall agency goal of 10.46% participation by certified Disadvantaged Business Enterprises (DBEs) in procurements of all goods and services. All businesses to be considered DBEs for the purposes of achieving this goal must provide with its proposal a current certification. The U.S. Department of Transportation (DOT) requires that all Florida DOT recipients, such as LAMTD participate in a Uniform Certification Program. To access the complete directory, please visit: <https://www3.dot.state.fl.us/EqualOpportunityOffice/biznet/mainmenu.asp> and select the method in which you would like to search. Be sure to only use the businesses certified under the UCP category as a DBE.

COMPLIANCE WITH DBE PROGRAM

The DBE Program request that all Contractors make a good faith effort to meet the DBE goal assigned to each solicitation. There are two methods by which a Contractor may demonstrate its good faith effort to meet the goals of the DBE Program:

- (1) A Contractor may document that it has obtained ____% DBE participation for this contract (please see Part II A); or
- (2) A Contractor may document that it made good faith efforts to obtain DBE participation. Please see Part II B for examples of criteria that may be used to demonstrate good faith effort.

PART II – DOCUMENTATION OF GOOD FAITH EFFORTS

A. DOCUMENTATION OF ACTUAL DBE PARTICIPATION

- 1. Tabulate the percentages of participation of DBE and non-DBE contractors and subcontractors in the spaces provided below.

DBE Participation

| | | |
|--|----|---|
| Primary Contractor if DBE (If not, leave blank): | | |
| Value of work to be performed: | \$ | % |
| DBE Subcontractor: | | |
| Value of work to be performed: | \$ | % |
| DBE Subcontractor: | | |
| Value of work to be performed: | \$ | % |



| | | |
|--------------------------------------|-----------|----------|
| TOTAL DBE Participation -> | \$ | % |
|--------------------------------------|-----------|----------|

Non-DBE Participation

| | | |
|--|-----------|----------|
| Value of all Non-DBE work to be performed (include primary contractor if not a DBE) | \$ | % |
| TOTAL Contract Value -> | \$ | % |

(Attach additional sheets as necessary)

B. DOCUMENTATION OF ADEQUATE GOOD FAITH EFFORTS

Complete this Part II B only if you are unable to obtain DBE participation.

1. Soliciting through all reasonable and available means (e.g. attendance at pre-proposal conferences, advertising and/or written notices) the interest of all certified DBEs who have the capability to perform the work of the contract. The Contractor must solicit this interest within sufficient time to allow the DBEs to respond to the solicitation. The Contractor must determine with certainty if, the DBE is interested by taking appropriate steps to follow- up initial solicitations.

2. Selecting portions of the work to be performed by DBEs in order to increase the likelihood that the DBE goals will be achieved. This includes, where appropriate, breaking out contract work items into economically feasible units to facilitate DBE participation, even when the prime contractor might otherwise prefer to perform these work items with its own forces.

2. Providing interested DBEs with adequate information about the plans, specifications, and requirements of the contract in a timely manner to assist them in responding to a solicitation.



-
-
3. Negotiating in good faith with interested DBEs. It is the Contractor's responsibility to make a portion of the work available to DBE subcontractors and suppliers and to select those portions of the work or material needs consistent with the available DBE subcontractors and suppliers, so as to facilitate DBE participation.

-
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-
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-
4. Not rejecting DBEs as being unqualified without sound reasons based on a thorough investigation of their capabilities. A Contractor's standing within its industry, membership in specific groups, organizations, or associations and political or social affiliations (for example union vs. non-union employee status) are not legitimate causes for the rejection or non-solicitation of bids in the Contractor's efforts to meet the project goal.

-
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5. Making efforts to assist interested DBEs in obtaining bonding, lines of credit, or insurance as required by the recipient or contractor.

-
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-
-
-
-
6. Making efforts to assist interested DBEs in obtaining necessary equipment, supplies, materials, or related assistance or services.

-
-
-
-
-
-
7. Effectively using the services of available minority/women community organizations; minority/women contractors' groups; local, state, and Federal minority/women business



assistance offices; and other organizations as allowed on a case-by-case basis to provide assistance in the recruitment and placement of DBEs.

[The District reserves the right to also consider the actual DBE participation achieved, as described by the Contractor in Part II.A., in evaluating the genuineness and intensity of the good faith efforts made by the Contractor.]

EXECUTION

The Contractor, _____, certifies and affirms the truthfulness and accuracy of each statement provided in this Form J, and acknowledges and agrees that its completion and execution of this form is subject to the Provisions of 49 CFR part 26, *et seq.*, and the policies and procedures of the District.

Signature of Contractor's Authorized Officer

Name / Title

Date: _____

END OF FORM J



FORM K: STATEMENT OF INSURANCE COMPLIANCE

The following Insurance Requirements for Automobile Liability are not applicable where delivery will be made by a third party carrier. All Contractors that will be making deliveries in their own vehicles are required to provide proof of insurance for Automobile Liability and other pertinent coverages as indicated below prior to award. If deliveries are being made by a third party carrier, other pertinent coverages listed on the certificate are still required. The Contractor should provide proper insurance to the Purchasing Dept. within five (5) business days after request by LAMTD but prior to award by the Director of Purchasing or recommendation of award to the Board of Directors, whichever is applicable.

The Insurance Requirements contained in this solicitation represent the minimal protection necessary for the District as determined by the agency. Further modifications of the requirements may be made at the sole discretion of the Risk Management Director upon a material change in scope at any time during the term of the contract or at time of contract renewal upon mutual agreement of the parties.

Without limiting any of the other obligations or liabilities of the Contractor, Contractor shall provide, pay for, and maintain in force until all of its work to be performed under this proposal has been completed and accepted by the District (or for such duration as is otherwise specified hereinafter), the insurance coverages set forth in this Section.

Workers' Compensation Insurance to apply for all employees in compliance with the "Workers Compensation Law" of the State of Florida and all applicable Federal laws. Policies other than State issued Worker's Compensation shall be issued only by companies authorized by maintaining certificates of authority issued to the companies by the Department of Insurance of the State of Florida to conduct business in the State of Florida and which maintain a Rating of A or better and a Financial Size category of VII - X or better according to the A.M. Best Company. Companies authorized as a group self-insurer by F.S. 440.57, Florida Statutes, may issue policies for Worker's Compensation.

In addition, the policy(ies) must include:

1. Employers' Liability with minimum limits of One Hundred Thousand Dollars (\$100,000.00) each accident.
2. Notice of Cancellation and/or Restriction -- The policy(ies) must be endorsed to provide the District with thirty (30) days notice of cancellation and/or restriction.
3. If any operations are to be undertaken on or about navigable waters, coverage must be included for the U.S. Longshoremen and Harbor Workers Act and Jones Act.
4. Comprehensive General Liability with minimum limits of Five Hundred Thousand Dollars (\$500,000.00) per occurrence and Five Hundred Thousand Dollars (\$500,000.00) aggregate, combined single limit for Bodily Injury Liability and Property Damage Liability. Coverage must be afforded on a form no more restrictive than the latest edition of the Comprehensive General Liability policy, without restrictive endorsements, and must include:
 - Premises-Operations.
 - Products/Completed Operations Hazard.
 - Broad Form Contractual Coverage applicable to this specific Contract, including any hold harmless and/or indemnification agreement.
 - Broad Form Property Damage.
 - Independent Contractors.



- Personal Injury Coverage with Employee and Contractual Exclusions removed with minimum limits of coverage equal to those/required for Bodily Injury Liability and Property Damage Liability.

The District is to be included as an "Additional Insured" in the name of "Lakeland Area Mass Transit District" with respect to liability arising out of operations performed for the District in connection with general supervision of such operation.

Notice of Cancellation and/or Restriction -- The policy(ies) must be endorsed to provide the District with thirty (30) days notice of cancellation and/or restriction.

Business Automobile Liability with minimum limits of Five Hundred Thousand Dollars (\$500,000.00) per occurrence combined single limit for Bodily Injury Liability and Property policy, without restrictive endorsements, as filed by the Insurance Services Office and must include:

1. Comprehensive Form.
2. Owned Vehicles.
3. Hired Vehicles.
4. Non-Owned Vehicles.
5. Any auto, if applicable.

Notice of Cancellation and/or Restriction -- The policy(ies) must be endorsed to provide the District with thirty (30) days notice of cancellation and/or restrictions.

The Contractor shall be required to provide to the District certificates of insurance evidencing the insurance coverage specified above. The required Certificates of Insurance shall not only name the types of policies provided, but also shall refer specifically to this Contract and section and the above paragraphs in accordance as required by such paragraphs of this Contract. If the initial insurance expires prior to the completion of the work, renewal Certificates of Insurance shall be furnished thirty (30) days prior to the date of their expiration.

Certificates of insurance shall be provided as specified above unless any of these coverages are, for just cause, inapplicable, and upon specific request by the Contractor are excepted by written determination of Risk Management and approved by the Director of Purchasing. If an exception is requested, your firm should indicate in the appropriate area on the bid sheet any such request including reason(s) thereto for exemption from insurance requirements as specified in this section of this solicitation.



STATEMENT OF INSURANCE COMPLIANCE

Mark "X" next to the statement that applies to your proposal:

_____ The undersigned firm agrees to obtain prior to award, if selected, the above named-insurances in accordance to the requirements as set forth in this RFP.

_____ Request for Alternative Coverage. If your firm wishes to substitute a different form of insurance that offers substantially similar protection against risk and damages to the District, then please attach an explanation for this deviation to this form, along with a description of the insurance coverage your firm wishes to substitute. The District is not obligated to award a firm whose deviation does not meet the substantially similar requirement herein, in its determination of firm responsibility.

PROPOSER

AUTHORIZED SIGNATURE

OFFICER TITLE

DATE

END OF FORM K



FORM L: EQUAL EMPLOYMENT OPPORTUNITY STATEMENT OF CERTIFICATION

As certification and acceptance of all the following terms and conditions, _____ [Name of Firm] hereby certifies that we will comply with all requirements stated herein during the term of our contract. We understand that LAMTD may request specific written documentation to confirm compliance, and by signing this document, we agree to provide the data upon demand. Further, we understand that annual certification and reaffirmation of compliance will be required.

Civil Rights - The following requirements will apply to the underlying contract:

(1) Nondiscrimination - In accordance with Title VI of the Civil Rights Act, as amended, 42 U.S.C. § 2000d, section 303 of the Age Discrimination Act of 1975, as amended, 42 U.S.C. § 6102, section 202 of the Americans with Disabilities Act of 1990, 42 U.S.C. § 12132, and Federal transit law at 49 U.S.C. § 5332, the Contractor agrees that it will not discriminate against any employee or applicant for employment because of race, color, creed, national origin, sex, age, or disability. In addition, the Contractor agrees to comply with applicable Federal implementing regulations and other implementing requirements FTA may issue.

(2) Equal Employment Opportunity - The following equal employment opportunity requirements apply to the underlying contract:

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

(b) Age - In accordance with Section 4 of the Age Discrimination in Employment Act of 1967, as amended, 29 U.S.C. § 623 and Federal transit law at 49 U.S.C. § 5332, the Contractor agrees to refrain from discrimination against present and prospective employees for reason of age. In addition, the Contractor agrees to comply with any implementing requirements FTA may issue.

(c) Disabilities - In accordance with Section 102 of the Americans with Disabilities Act, as amended, 42 U.S.C. § 12112, the Contractor agrees that it will comply with the requirements of U.S. Equal Employment Opportunity Commission, "Regulations to Implement the Equal Employment Provisions of the Americans with Disabilities Act," 29 C.F.R. Part 1630, pertaining to employment of persons with disabilities. In addition, the Contractor agrees to comply with any implementing requirements FTA may issue.



(3) The Contractor also agrees to include these requirements in each subcontract financed in whole or in part with Federal assistance provided by FTA, modified only if necessary to identify the affected parties.

The undersigned hereby certifies acceptance of the above.

Organization

Address

Title

Date

END OF FORM L



FORM M: PROPOSER AND SUBCONTRACTOR - QUALIFICATION QUESTIONNAIRE

Statement of Qualifications of Contractor

Please provide the following information, along with your proposal:

a. Please detail in writing any supply or service contracts of more than \$100,000 annually for the specified product, for the previous five years, using the following required information (use separate pages for additional firms by copying these lines below and filling them in):

Company name: _____

Contact person: _____

Address (incl. city, state, zip): _____

Telephone: _____

Number of years in business: _____

Annual Contracts Amount : _____

Brief description of goods/service provided: _____

Duration of contracted services: _____

List references of at least two for whom present organization has done similar work.

| NAME | PHONE | ADDRESS | POSITION |
|------|-------|---------|----------|
| | | | |
| | | | |
| | | | |
| | | | |

b. Location of warehouse or facility from where the product or services will be distributed:

c. Number of full-time employees your firm employs: _____



d. Date your firm was created (if it has changed ownership, please describe the nature of the merger and acquisition and date thereof): _____

e. State your firm's total average annual receipts over the past three years. _____

The undersigned agrees to furnish the District additional or supplemental information concerning its financial and/or technical qualifications, when and as required.

Contractor Name

Date

End of Form M



FORM N: TRADE SECRET/CONFIDENTIAL/PROPRIETARY INFORMATION REQUESTS

Instructions: The special and standard terms contained in this RFP explaining this subject matter apply. In addition, you must mark the section you are requesting to be withheld from a public records request within the proposal itself and by filling out this form and attaching it to your other required forms. Blanket statements or page footnotes requesting non-disclosure will be rejected. Cost/price or fee information you provide to the agency is always subject to full public disclosure.

Check ONE:

_____ My proposal does not contain any trade secret/confidential or proprietary information.

_____ My proposal DOES contain trade secret/confidential or proprietary information, and the appropriate Florida Statute citations pertaining to the request for non-disclosure should a public records request ensue are provided below, along with a written explanation for EACH request for non-disclosure (copy and attach additional sheets shown next page as necessary):

Request No.1 – Proposal Page _____, Section Number _____.
Citing Florida Statute Number: _____

Explanation:

Request No.2 – Proposal Page _____, Section Number _____.
Citing Florida Statute Number: _____

Explanation:



Request No.__ – Proposal Page ____, Section Number ____.
Citing Florida Statute Number: _____

Explanation:

Request No.__ – Proposal Page ____, Section Number ____.
Citing Florida Statute Number: _____

Explanation:

Request No.__ – Proposal Page ____, Section Number ____.
Citing Florida Statute Number: _____

Explanation:

END OF FORM N



Form P
ACKNOWLEDGEMENT OF ADDENDA

Instructions: Complete Part I or Part II, whichever is applicable.

PART I: Listed below are the dates of issue for each Addendum received in connection with this solicitation.

Addendum #1, Dated _____, 20__

Addendum #2, Dated _____, 20__

Addendum #3, Dated _____, 20__

Addendum #4, Dated _____, 20__

Addendum #5, Dated _____, 20__

Addendum #6, Dated _____, 20__

PART II:

____ No Addendum was received in connection with this solicitation.

Authorized Signature: _____ Date: _____

Print Name: _____ Title: _____

Firm Name: _____

Attachment A

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INFORMATION TO PROPOSERS

Please read all of the following information carefully before submitting your proposal.

BACKGROUND SUMMARY

The Lakeland Area Mass Transit District (the District) currently self insures its medical and dental program, and provides life insurance through Great West/CIGNA. There are approximately 116 employees enrolled in the plan. Please refer to the census (attached) for a detailed breakout of enrollment by tier.

The appointed Agent of Record for the Authority is the Gehring Group.

Plans Requested

The District is seeking both fully insured AND/OR self funded medical quotes that match the current program of benefits as closely as possible. Providers are not required to submit plans with both funding arrangements.

Identify plan deviations on a separate proposal page.

Proposer must provide copy of Provider Networks.

UNDERWRITING SPECIFICATIONS

1. Requested Effective Date for All Lines of Coverage: **June 1, 2010**
2. The District is requesting proposals for the following lines of coverage:
 - a. **Health Insurance**
Include a quote for the following options:
 - i. **PPO/POS**

***Include medical quotes on a fully insured AND/OR self-funded basis.**
3. **Renewal notification** will be required from the insurance company 90 days prior to the renewal date.
4. **Term of Contract:** The District is requesting a rate guarantee of at least twelve (12) months.
5. **Employee Waiting Period for benefits:** First of the month following date of hire.
6. **Employee Contribution:** The following is the Authority's contribution to the medical and dental insurance plans:

MEDICAL PPO – MAXIMUM COST FUNDING RATES (includes expenses)

| | Employee Contribution | Employer Contribution | Total Premium |
|-----------|-----------------------|-----------------------|---------------|
| SINGLE | \$0.00 | \$758.44 | \$758.44 |
| EE+SPOUSE | \$343.62 | \$1,176.04 | \$1,519.66 |
| EE+CHILD | \$205.66 | \$1,061.62 | \$1,267.28 |
| FAMILY | \$563.54 | \$1,504.92 | \$2,068.46 |

7. **Commission:** All proposers shall submit their proposals inclusive of commission payable to the District's Agent of Record, Kurt Gehring, Gehring Group, Inc.:
 - a. **Fully Insured Medical Insurance – 4% flat**
 - b. **Self Funded Health Insurance – \$8 PEPM**
 - c. **Aggregate and Stop Loss Insurance – 10% or equivalent PEPM**

8. **Current Rates:**

MEDICAL PPO

| Tier of Coverage | Admin Fee | Specific Stop Loss | Aggregate Stop Loss | Maximum Attachment Factor* |
|------------------|-----------|--------------------|---------------------|----------------------------|
| Emp Only | \$71.71 | \$120.10 | \$30.47 | \$532.16 |
| EE+Spouse | \$138.83 | \$285.26 | \$59.91 | \$1,095.57 |
| EE+Child(ren) | \$143.53 | \$249.55 | \$47.14 | \$825.06 |
| EE+Family | \$188.73 | \$414.72 | \$76.58 | \$1,388.43 |

*(includes 25% corridor; excludes expenses)

Exhibit Instructions

Complete all proposal forms applicable to the coverage Proposer is quoting.

Exhibit I: HEALTH INSURANCE PROGRAM (FULLY INSURED & SELF FUNDED)

A. PPO Plan Schedule of Benefits

B. ALTERNATE PPO Schedule of Benefits

Exhibit II: MEDICAL INSURANCE RATE SHEET

Exhibit III: SELF FUNDED MEDICAL INSURANCE RATE SHEET

Exhibit IV: QUESTIONNAIRE

EXHIBIT I-A**Proposed PPO Schedule of Benefits***(COMPLETE and SUBMIT with your proposal. YOU may make multiple copies if necessary)***NAME OF PLAN:** _____

| Schedule of Insurance | Current PPO Plan | | Proposed PPO Plan | |
|---|-------------------------------------|---|--------------------------|----------------|
| | In Network | Out of Network | In Network | Out of Network |
| Lifetime Maximum | \$1,000,000 | | | |
| Calendar Year Deductible | | | | |
| Individual | \$500 | \$2,000 | | |
| Family | \$1,500 | \$6,000 | | |
| Maximum Out-of-Pocket (excludes CYD) | | | | |
| Individual | \$1,500 | \$7,500 | | |
| Family | \$4,500 | \$22,500 | | |
| Physician Office Visit Copay (PCP/Specialist) | \$20 | CYD + 50% | | |
| Prescription Drug Benefit | | | | |
| Generic | \$10 | Applicable copay + 50% of FULL cost of prescription | | |
| Tier 2 Brand | \$20 | | | |
| Tier 3 Brand | \$40 | | | |
| Mail Order (90 day supply) | 2x Retail | | | |
| Outpatient Diagnostics | | | | |
| Clinical Lab and X-ray | 10% | 50% | | |
| Diagnostic Services | CYD + 10% | CYD + 50% | | |
| Advanced Imaging (MRI, MRA, CT) | CYD + 10% | CYD + 50% | | |
| Hospital Services | | | | |
| Inpatient | CYD + 10% | \$500 PAD + CYD + 50% | | |
| Outpatient | CYD + 10% | \$500 PAD + CYD + 50% | | |
| Physician Services | CYD + 10% | CYD + 50% | | |
| Emergency Room Visit | \$100 | \$100 | | |
| Mental & Nervous / Alcohol & Substance Abuse | | | | |
| <i>Max. number of days/CY</i> | <i>10 Days CYM, 20 Days LTM</i> | | | |
| Inpatient | CYD + 10% | \$500 PAD + CYD + 50% | | |
| <i>Max. number of visits/CY</i> | <i>20 Visits CYM</i> | | | |
| Outpatient | \$35 | CYD + 50% | | |

Attachment A

See schedule of benefits for 80% benefit when no PPO network is available.

EXHIBIT I-B**ALTERNATE PPO Schedule of Benefits***(Complete and Submit with your proposal. You may make multiple copies if necessary)***NAME OF PLAN:** _____

| Schedule of Insurance | Current PPO Plan | | Proposed PPO Plan | |
|--|-----------------------------|--|--------------------------|----------------|
| | In Network | Out of Network | In Network | Out of Network |
| Lifetime Maximum | \$1,000,000 | | | |
| <u>Calendar Year Deductible</u> | | | | |
| Individual | \$500 | \$2,000 | | |
| Family | \$1,500 | \$6,000 | | |
| <u>Maximum Out-of-Pocket (excludes CYD)</u> | | | | |
| Individual | \$1,500 | \$7,500 | | |
| Family | \$4,500 | \$22,500 | | |
| <u>Physician Office Visit Copay (PCP/Specialist)</u> | \$25 / \$35 | CYD + 50% | | |
| <u>Prescription Drug Benefit</u> | | | | |
| Generic | \$10 | Applicable copay + 50% of FULL cost of prescription | | |
| Tier 2 Brand | \$20 | | | |
| Tier 3 Brand | \$40 | | | |
| Mail Order (90 day supply) | 2x Retail | | | |
| <u>Outpatient Diagnostics</u> | | | | |
| Clinical Lab and X-ray | 20% | 50% | | |
| Diagnostic Services | CYD + 20% | CYD + 50% | | |
| Advanced Imaging (MRI, MRA, CT) | CYD + 20% | CYD + 50% | | |
| <u>Hospital Services</u> | | | | |
| Inpatient | CYD + 20% | \$500 PAD + CYD + 50% | | |
| Outpatient | CYD + 20% | \$500 PAD + CYD + 50% | | |
| Physician Services | CYD + 20% | CYD + 50% | | |
| Emergency Room Visit | \$100 | \$100 | | |
| <u>Mental & Nervous / Alcohol & Substance Abuse</u> | | | | |
| <i>Max. number of days/CY</i> | 10 Days CYM, 20 Days LTM | | | |
| Inpatient | CYD + 20% | \$500 PAD + CYD + 50% | | |
| <i>Max. number of visits/CY</i> | 20 Visits CYM | | | |
| Outpatient | \$35 | CYD + 50% | | |

See schedule of benefits for 80% benefit when no PPO network is available.

EXHIBIT II

Medical Insurance Rate Sheet

(Complete and Submit with your proposal. you may make multiple copies if necessary)

PPO – PLAN MATCH

PLAN NAME:

Employee

Employee+Spouse

Employee+Child(ren)

Employee+Family

| |
|--|
| |
| |
| |
| |

PPO – ALTERNATE PLAN DESIGN

PLAN NAME:

Employee

Employee+Spouse

Employee+Child(ren)

Employee+Family

| |
|--|
| |
| |
| |
| |

How many months are your proposed rates guaranteed?

| |
|--|
| |
|--|

EXHIBIT III

Self Funded Medical Insurance Rate Sheet

(Complete and Submit with your proposal – Make copies if necessary)

OPTION 1

(\$50,000 Specific Deductible)

TPA Administration Cost Proposal

Name of Network(s) Utilized

Outline All Applicable Fees Below

Administration Fee (PEPM)

Utilization Review (PEPM)

Network Access Fee (PEPM)

Disease Management (PEPM)

Pharmacy Management Fee (PEPM)

COBRA Administration (PEPM)

Other Fees (PEPM)

Termination Fees (PEPM)

**Include all fees associated with plan administration in your proposal response.*

Reinsurance Premium Cost Proposal

(add rows where necessary)

Aggregate Loss Corridor

125%

Type of Contract

12/15

Coverages Included

**Medical &
Prescription Drugs**

Lifetime Maximum

\$1 Million

Specific Deductible

\$50,000

Include the following in your proposal:

Specific Stop Loss Premium (PEPM)

Aggregate Stop Loss Premium (PEPM)

Aggregate Attachment Factors
Suggested Funding Rates

**Outline in detail, all limitations and exclusions associated with your proposal.*

EXHIBIT IV

Questionnaire

(Complete and Submit with your proposal)

Answer where indicated next to each question/requirement in this section and attach any deviations or alternatives to your proposal if you are unable or unwilling to provide requested benefits or services. **The signature of an officer with the ability to bind the carrier is required on this page.**

The following benefits are of particular interest to the Authority; therefore, all proposers are requested to include coverage for the following in any health plans proposed. Answer where indicated if proposer agrees to provide the following services requested by the Authority:

1. Confirm that proposer will provide the following claims reports on a monthly basis as stated below, or upon request of the Authority or its Agent of Record at no additional cost to the Authority:

Monthly Paid Claims reports listing monthly premium, monthly **paid** claims and plan enrollment.

Yes _____ No _____

Semi-annual reports detailing the top 25 utilized drugs and costs associated.

Yes _____ No _____

Reports upon request listing large claims over \$25,000 including diagnosis and current status.

Yes _____ No _____

2. Will proposers provide renewal notification 90 days prior to the renewal date with explanation and/or justification for any proposed premium increases?

Yes _____ No _____

3. Are sample copies of the Insurance Certificates of Coverage for the plans proposed included in your submission?

Yes _____ No _____

4. Will proposer agree to permit the Authority to offer Retirees (over and under age 65) the ability to continue coverage under the same plan at the same rate as active employees?

Yes _____ No _____

5. Will all employees enrolled in the Authority's health, dental, and life insurance plan who are currently not "actively at work" due to disability, FMLA, or any other reasons, continue to be covered under the health plan implemented for the effective date stated in this RFP?

Yes _____ No _____

6. Will all policies, identification cards, and any other correspondence be mailed directly to the employee?

Yes _____ No _____

7. Are all rates proposed "firm" and not subject to any contingencies?

ATTACHMENT 1

HEALTH CLAIMS EXPERIENCE

ATTACHMENT 2

HEALTH SUMMARY OF BENEFITS

ATTACHMENT 3

HEALTH CERTIFICATE OF COVERAGE

ATTACHMENT 4

EXCESS LOSS INSURANCE CONTRACT

ATTACHMENT 5

AGENT OF RECORD APPOINTMENT

ATTACHMENT 6

EMPLOYEE CENSUS (EXCEL FILE)

ATTACHMENT B

LAKELAND AREA MASS TRANSIT DISTRICT

CONTRACT # FY- 10-006

for

HEALTH INSURANCE /MEDICAL

THIS AGREEMENT (hereinafter, the "**Contract**") is made as of the _____ day of _____ 2010 (the "**Effective Date**") by and between:

THE LAKELAND AREA MASS TRANSIT DISTRICT (hereinafter referred to as the "**District**"), an independent special district in Polk County, Florida, whose street address is 1248 George Jenkins Blvd., Building A, Lakeland, Florida 33815.

and

_____, a State of _____ for-profit corporation (hereinafter referred to as the "**Contractor**"), with its principal place of business located at _____ and a Federal Employer Identification Number of ____-_____.

WITNESSETH:

WHEREAS, the District was created to perform functions necessary for the achievement of an integrated, efficient and well-balanced public transportation system, and to take all steps and actions necessary or convenient for the conduct of its business; and

WHEREAS, the District desires to obtain goods and/or services (collectively, the "Services"), according to the requirements in the Request for Proposal # 10-006 (hereinafter referred to as the "Solicitation") and as further described herein; and

WHEREAS, the Contractor has submitted a proposal or response in connection with the Solicitation, which has been selected by the District (hereinafter referred to as the "Response"); and

WHEREAS, the Contractor warrants to the District that it is qualified and duly licensed to furnish the Services in Florida and meet the obligations set forth in the Solicitation, the Response, and the documents detailing the scope of services attached hereto as Exhibit "A" (the "Scope of Services"), and as hereinafter stated; and

WHEREAS, the Contractor warrants that the representations made by it in its Response to the

Solicitation remain valid, accurate and binding upon it; and

WHEREAS, the Contractor desires to render the Services and meet the obligations set forth in the Solicitation, the Response, and the Scope of Services and upon the terms and conditions set forth in the Contract Documents, as defined herein.

NOW, THEREFORE, in consideration of the premises herein and other good and valuable consideration, the receipt and sufficiency of which is hereby acknowledged, the parties hereto hereby agree as follows:

1. **RECITALS.** The Recitals set forth above are incorporated herein by this reference.
2. **DEFINITIONS.** Terms not defined in the Contract Documents shall have the meanings ascribed to such terms in applicable state, local or federal regulations, including but not limited to the District Policies and Procedures. If there is a conflict between any defined terms, the reasonable interpretation of said term by the District shall govern.
3. **CONTRACT DOCUMENTS.** For the purposes of this Contract, the following documents are collectively referred to herein as the "Contract Documents":
 - a) The third-party contracting requirements in Federal Transit Administration (FTA) Circular 4220.1F as well as the applicable "Federally Required and Other Model Clauses" which are available on the FTA web site at http://www.fta.dot.gov/documents/FTA_Circular_4220.1F_-_Finalpub1.pdf; and
 - b) This Contract together with all Exhibits and attachments hereto; and
 - c) The Solicitation; and
 - d) The Contractor's Response.

In the event of a conflict between the terms of the Contract Documents, the order of precedence is as set forth above. In addition, to the extent any of the terms of the Response conflict or in the reasonable opinion of the District are not relevant to the remaining Contract

Documents, then, in that event, the provisions contained in the Response will not be applicable and a part of the Contract Documents. Contract Documents shall further include any later amendments or change orders.

4. FURNISHING OF SERVICES. In regard to the Services to be furnished by the Contractor:

(a) **Furnishing of Services.** The Contractor shall furnish to the District the Services in compliance with the Contract Documents.

(b) **Required Notice to Proceed.** The Contractor shall not proceed with any work required under this Contract without a written notice to proceed from the District (hereinafter referred to as a "Notice to Proceed"). A blanket purchase order will be issued at the time of Award. Any work performed or expenses incurred by the Contractor prior to receipt of a Notice to Proceed shall be entirely at the Contractor's risk.

(c) **Type of Contract.** The Contract shall be defined as the following:

Firm, fixed unit price

Cost-plus percentage of cost contracts are prohibited by federal law (see: 46 Comp. Gen. 612 (B-159713; FTA C.42201F)). If the Contractor engages any sub-contractors on a cost-plus percentage of cost contract type basis, the Contractor shall be deemed to be in material breach of the Contract and the District may terminate for cause under the provisions set forth below.

5. NOT TO EXCEED AMOUNT. The Contractor shall not provide Services of an amount that would be greater than the "Not To Exceed Amount" (as defined below), unless otherwise agreed in writing by the District. The Contractor shall also not be required to provide Services in excess of said Amount, except as otherwise provided in the Contract Documents.

6. TERM.

(a) **Initial Term.** Subject to the further provisions set forth in this paragraph, the initial term of this Contract shall be for a period of 12 months commencing on the date specified in the Notice to Proceed (NTP).

(b) **Option Term.** The District at its sole discretion, reserves the right to exercise the option to renew this Contract for a period for four (4) additional years on a year to year basis. The District reserves the right to exercise its option to extend this Contract for up to one hundred-eighty (180) calendar days beyond the current Contract period and will notify the Contractor in writing of the extension

(c) **Termination.** The District shall have the right to terminate this Contract in accordance with the provisions of paragraph 10 below.

7. PAYMENT.

(a) **Payment.** The District agrees to pay the Contractor for the Services the amount provided in the Scope of Services.

(b) **Maximum Contract Amount.** Will be in accordance with the pricing of Exhibits II and III of Attachment A following negotiations.

(c) **Procedure for Invoicing.** Invoicing for services must be rendered in accordance with the District Purchasing Policies and the Florida Prompt Payment statute, posted on the District's web site, on a monthly basis, or as otherwise provided in the Contract Documents. The invoice must be sent to: Accounts Payable, P.O. Box 1687, Lakeland FL 33802.

(d) **Time of Payment by the District.** Consistent with the Florida Prompt Payment Statute (F.S. Ch. 218.70, et seq.), and further subject to the terms and conditions provided herein, the District shall make full payment within net 45 days after receipt and approval by the District of the Contractor's invoice, unless otherwise stated herein.

(e) **Prohibited Costs.** The District may request additional documentation from the Contractor prior to payment of any invoice or bill from the Contractor. The District may disallow and deduct any cost for which proper documentation is not provided. Notwithstanding any other provision in this Contract or any other document, the provisions of Federal Acquisition Regulations (FAR) 31.201 through 31.205 regarding "Allowable Costs" govern, and are hereby incorporated by reference herein. Such prohibited costs include, but are not limited to: general advertising/public relations; alcoholic beverages; bad debts; contingency reserves; contributions and donations; dividends or other profit distributions; excess depreciation; entertainment; fines, penalties, and mischarging costs; first-class/business class air travel; goodwill amortization; insurance for catastrophic losses; interest and related taxes for refinancing; legal judgments, fines, and related attorney's fees; lobbying costs; losses on other contracts; organization expenses and related taxes for reorganizing; certain taxes for federal income and excess profits; relocation cost ; dues, memberships, conferences, and subscriptions.

(f) **Receipt of Payment by Contractor as Release of the District.** The acceptance by the Contractor, its successors, or assigns, of any progress or final payment due pursuant to this Contract, shall constitute a full and complete release of the District from any and all claims, demands, or causes of action whatsoever that the Contractor, its successors, or assigns may have against the District in connection with the Services

performed hereunder, through the date that the Services are rendered and for which such payment is made.

(g) Subcontractors. In the event the Contractor is utilizing any subcontractors for the furnishing of Services (which must be approved by the District prior to engaging the subcontractor in any work pursuant to this Contract), then, upon request by the District, the Contractor shall further provide to the District copies of billings and other invoices which may be received from any such subcontractors and, in addition, the Contractor will obtain releases from time to time in favor of the District from any subcontractor(s) for work so performed by that subcontractor. The District shall have the right from time to time to directly contact and discuss with the subcontractor any work performed by that Subcontractor under the Contract Documents, but the District will not have any liability or obligation to said subcontract or said subcontractor.

8. **CONTRACTOR'S OBLIGATIONS.**

(a) The Contractor shall, for the consideration set forth herein, and at its sole cost and expense, as an independent Contractor, provide all labor, materials, equipment, tools, supplies and incidentals necessary to perform this Contract in the manner and to the full extent as set forth in the Contract Documents.

(b) Contractor will render its Services in accordance with the standard of care, skill and diligence exercised by members of the same profession providing similar services under similar conditions at the locale of the project and at the time the Services are to be performed. The Contractor's performance shall be considered acceptable when:

(i) The Contractor's performance has been inspected and approved by the District and, if applicable, all punch-list items have been properly corrected to the District's satisfaction; and

(ii) The Contractor has delivered to the District the Contractor's final affidavit in form acceptable to the District (which would incorporate a full and general release of the District), if any, as well as a final affidavit and release from any sub-contractor; and

(iii) All the other duties and obligations to be performed by the Contractor under the Contract Documents have been satisfactorily met or performed, including the delivery to the District of any materials or documentation relating to the Services, including any warranty materials.

(c) The Contractor shall conform to all applicable governmental requirements and regulations, whether or not such requirements and regulations are specifically set forth in the Contract Documents. The Contractor in this regard understands that the District is a public agency which receives both federal and state funding. Therefore, the Contract Documents and the

performance by the Contractor shall be subject to any applicable rules and regulations promulgated by the Federal Transit Administration ("FTA") and/or the Florida Department of Transportation ("FDOT").

(d) The Contractor shall pay license fees and all sales, consumer, use and other similar taxes relating to the Contract, and the matters to be performed thereunder. The District is exempt from payment of Florida sales and use taxes. The District will sign an exemption certificate submitted by the Contractor, if required. The Contractor shall not be exempted from paying sales tax to its suppliers for materials used to fulfill contractual obligations with the District, nor is the Contractor authorized to use the District's tax exemption number in securing such materials. The District reserves the right to "direct buy" any materials to be furnished by the Contractor under the Contract Documents and, if the District requests, the parties will enter into an appropriate agreement reflecting said direct purchase, the effect of which will be for the District to directly purchase those materials. Accordingly, the contract amount will be reduced by the amount of the purchase price paid by the District for said materials, in addition to the delivery cost of those materials to be physically acquired and/or delivered to the Contractor, with full warranties regarding those materials as if those materials were purchased from the Contractor. Any bonds furnished by the Contractor will apply to those materials.

(e) The Contractor shall be responsible for payment of its employee(s)' Federal Insurance Contributions Act ("FICA") and Social Security benefits with respect to this Contract.

(f) Unless otherwise expressly set forth in the Contract Documents, the Contractor shall be responsible to secure, at the Contractor's expense, all necessary permits and approvals. The Contractor shall promptly furnish copies of all such permits and approvals to the District as and when obtained.

(g) The Contractor shall be responsible to coordinate all tests and inspections necessary for the proper execution and timely completion of this Contract.

(h) The Contractor shall be required to obtain and maintain during the term of the Contract at its sole expense, any and all insurance required under the Contract Documents or as may be otherwise reasonably required by the District and, if applicable, to show the District as an insured under said insurance and to furnish appropriate certificates to the District.

(i) The Contractor, at the request of the District, shall further provide to the District such other information as the District may reasonably request from time to time. Further, the Contractor shall at the District's request meet and have its employees and representatives meet with the District from time to time, regarding any of the Services to be rendered under the Contract.

(j) Should either party to the Contract suffer injury or damage to person or property because of any act or omission of the party or of any of their employees, agents or others for whose acts they are legally liable, a claim for damages therefor shall be made in writing to such other party within a reasonable time after the first observance of such injury or damage.

(k) Goods required for daily consumption, or where the delivery is an emergency, a replacement, or is overdue, the convenience of the District shall govern. If, in calculating the number of calendar days from the order date, the delivery date falls on a Saturday, Sunday or holiday, delivery shall be made not later than the next succeeding business day.

9. NON-DISCRIMINATION/CIVIL RIGHTS REQUIREMENTS.

The following requirements apply to the underlying contract:

(1) Nondiscrimination - In accordance with Title VI of the Civil Rights Act, as amended, 42 U.S.C. § 2000d, section 303 of the Age Discrimination Act of 1975, as amended, 42 U.S.C. § 6102, section 202 of the Americans with Disabilities Act of 1990, 42 U.S.C. § 12132, and Federal transit law at 49 U.S.C. § 5332, the Contractor agrees that it will not discriminate against any employee or applicant for employment because of race, color, creed, national origin, sex, age, or disability. In addition, the Contractor agrees to comply with applicable Federal implementing regulations and other implementing requirements FTA may issue.

(2) Equal Employment Opportunity - The following equal employment opportunity requirements apply to the underlying contract:

Race, Color, Creed, National Origin, Sex - In accordance with Title VII of the Civil Rights Act, as amended, 42 U.S.C. § 2000e, and Federal transit laws at 49 U.S.C. § 5332, the Contractor agrees to comply with all applicable equal employment opportunity requirements of U.S. Department of Labor (U.S. DOL) regulations, "Office of Federal Contract Compliance Programs, Equal Employment Opportunity, Department of Labor," 41 C.F.R. Parts 60 et seq., (which implement Executive Order No. 11246, "Equal Employment Opportunity," as amended by Executive Order No. 11375, "Amending Executive Order 11246 Relating to Equal Employment Opportunity," 42 U.S.C. § 2000e note), and with any applicable Federal statutes, executive orders, regulations, and Federal policies that may in the future affect construction activities undertaken in the course of the project. The Contractor agrees to take affirmative action to ensure that applicants are employed, and that employees are treated during employment, without

regard to their race, color, creed, national origin, sex, or age. Such action shall include, but not be limited to, the following: employment, upgrading, demotion or transfer, recruitment or recruitment advertising, layoff or termination; rates of pay or other forms of compensation; and selection for training, including apprenticeship. In addition, the Contractor agrees to comply with any implementing requirements FTA may issue.

(3) Age - In accordance with section 4 of the Age Discrimination in Employment Act of 1967, as amended, 29 U.S.C. § 623 and Federal transit law at 49 U.S.C. § 5332, the Contractor agrees to refrain from discrimination against present and prospective employees for reason of age. In addition, the Contractor agrees to comply with any implementing requirements FTA may issue.

(4) Access Requirements to Individuals with Disabilities - In accordance with section 102 of the Americans with Disabilities Act, as amended, 42 U.S.C. § 12112, the Contractor agrees that it will comply with the requirements of U.S. Equal Employment Opportunity Commission, "Regulations to Implement the Equal Employment Provisions of the Americans with Disabilities Act," 29 C.F.R. Part 1630, pertaining to employment of persons with disabilities. In addition, the Contractor agrees to comply with any implementing requirements FTA may issue. The Contractor shall comply with all applicable requirements of the Americans with Disabilities Act of 1990 (ADA), 42 U.S.C. 12101 et seq. and 49 U.S.C. 322; Section 504 of the Rehabilitation Act of 1973, as amended, 29 U.S.C. 794; Section 16 of the Federal Transit Act, as amended, 49 U.S.C. app. 1612; and the following regulations and any amendments thereto:

- A) U.S. DOT regulations, "Transportation Services for Individuals with Disabilities (ADA)," 49 C.F.R. Part 37;
- B) U.S. DOT regulations, "Nondiscrimination on the Basis of Handicap in Programs and Activities Receiving or Benefiting from Federal Financial Assistance," 49 C.F.R. Part 27;
- C) U.S. DOT regulations, "Americans With Disabilities (ADA) Accessibility Specifications for Transportation Vehicles," 49 C.F.R. Part 39;
- D) Department of Justice (DOJ) regulations, "Nondiscrimination on the Basis of Disability in State and Local Government Services," 28 C.F.R. Part 36;
- E) DOJ Regulations, "Nondiscrimination on the Basis of Disability by Public Accommodations and in Commercial Facilities," 28 C.F.R. Part 36;
- F) General Services Administration regulations, "Construction and Alteration of Public

Buildings," "Accommodations for the Physically Handicapped," 41 C.F.R. Part 101-10;

G) Equal Employment Opportunity Commission (EEOC) "Regulations to Implement the Equal Employment Provisions of the Americans with Disabilities Act," 29 C.F.R. Part 1630;

H) Federal Communications Commission regulations, "Telecommunications Relay Services and Related Customer Premises Equipment for the Hearing and Speech Disabled," 47 C.F.R. Part 64, Subpart F; and

I) FTA regulations, "Transportation for Elderly and Handicapped Persons," 49 C.F.R. Part 609.

(5) The Contractor also agrees to include these requirements in each subcontract financed in whole or in part with Federal assistance provided by FTA, modified only if necessary to identify the affected parties.

10. **TERMINATION. Default by Contractor.**

(a) The District may, in its sole and absolute discretion, by written notice of default to the Contractor, terminate all or any part of this Contract if (i) the Contractor fails to perform the Services described herein, within the time specified herein or any extension thereof; or (ii) if the Contractor fails to satisfy any of the other material provisions of the Contract, or so fails to make progress as to endanger performance of this Contract in accordance with its terms; and in either of these two circumstances does not cure such failure within a period of ten (10) days (or such longer period as the Contracting Officer may in his/her absolute discretion authorize in writing) after receipt of notice from the Contracting Officer specifying such failure. In the event that the District elects to waive its remedies for any breach by the Contractor of any covenant, term or condition of this Contract, such waiver by the District shall not limit the District's remedies for any succeeding breach of that or of any other term, covenant, or condition of this Contract.

(b) **Termination by the District for Convenience.**

This Contract may be terminated by the District in its absolute discretion, in whole or in part, whenever the Executive Director or the District shall determine that such termination is in the best interest of the District. Any such termination shall be effected by delivery of a notice of termination by the District to the Contractor, specifying the extent to which performance of work under the Contract is terminated, and the date upon which such termination becomes effective. The Contractor shall be paid its costs, including contract closeout costs. The Contractor shall promptly submit its claim for final payment to the District. Settlement of claims by the Contractor under this paragraph shall be in accordance with the provisions set forth in Part 49 of

Title 48 of the Federal Acquisition Regulations (48 C.F.R. 49), except that wherever the word "Government" appears it shall be deleted and the word "District" shall be substituted in lieu thereof.

(c) **Default by the District.** In the event the District is in default under this Contract, the Contractor shall first provide written notice to the District of said condition alleged by the Contractor to be a default, and the District shall have a reasonable period of time, not to exceed sixty days, within which to cure said default. During said period, the Contractor shall continue to provide the services to the District.

(d) **Remedies for Default by Contractor.** If this Contract is terminated by the District for default by the Contractor, the District shall, except as otherwise expressly set forth in the Contract Documents, retain any and all remedies available to it against the Contractor. By way of illustration and not limitation, the District may proceed to obtain the remaining Services from another third party and thereby recover from the Contractor any "excess costs" incurred by the District in so doing.

11. **DISPUTE RESOLUTION.** Providing there is no conflict with Part 49 of Title 48 of the Federal Acquisition Regulations (48 C.F.R. 49), the District may elect to refer any and all disagreements, disputes, controversies or claims with the Contractor ("**Legal Dispute(s)**") to the American Arbitration Association ("**AAA**") provided, however, that nothing in this paragraph shall in any way limit the right of the District to terminate this Agreement under paragraph 10 hereof. On filing for such arbitration, the District shall appoint one arbitrator, the Contractor shall appoint a second arbitrator, and AAA shall appoint a third arbitrator. Once a claim in arbitration has been filed, the parties shall have sixty (60) days to conduct discovery pursuant to the discovery rules of the United States District Court for the Middle District of Florida, Tampa Division, and the parties agree that the arbitrators shall enforce such discovery rules in a manner in which such rules would be enforced in such court and that the mandatory disclosures under Rule 26 of the Federal Rules of Civil Procedure shall apply. Once such sixty (60) day discovery period has ended, each of the parties shall have an additional fifteen (15) days to file a written brief which shall not exceed fifty (50) pages and which shall support such party's position in the Legal Dispute. The arbitrators shall then render a binding decision regarding the Legal Dispute based on such written briefs. Notwithstanding the foregoing, either party may seek appropriate injunctive relief from any court of appropriate jurisdiction for any threatened or actual breach, which may cause immediate and irreparable harm. The parties hereby consent and agree that any action, suit or proceeding arising in connection with any Legal Dispute relating to this Contract shall be brought only in the exclusive jurisdiction of the 10th Judicial

Circuit of the State of Florida or the United States District Court for the Middle District of Florida, Tampa Division; provided, however, that any Legal Dispute arising out of this Contract shall first be subject to the District's option to refer such Legal Dispute to the AAA as provided in this paragraph 11.

12. NOTICES. All notices shall be made to the addresses listed in the preamble to this Contract, unless otherwise provided below:

- (a) The Contractor's primary point of contact for daily operations, or project manager, regarding the Services pursuant to this Contract is:

Manager, Human Resources
Lakeland Area Mass Transit District
PO Box 1687
Lakeland, FL 33802
Phone: (863) 688-4733

The District reserves the right to require the Contractor to assign a new staff member to manage the project at the District's sole discretion, should progress completing performance under this contract become unsatisfactory.

- (b) The Contractor's primary point of contact for legal notice, and authority to modify or act under this Contract and contractual changes, modifications and overall Contractor performance, is:

Manager, Procurement and Contracts
Lakeland Area Mass Transit District
PO Box 1687
Lakeland, FL 33802
Phone: (863) 688-7433

- (c) The Contractor may appoint other individuals upon written notice to, and approval by, the District. The Contractor shall provide written notice to the District promptly with respect to any changes to the aforesaid contact information.
- (d) The District and the Contractor may change its own staff designations upon written notice to the other party. The designated District staff member shall not have the authority to modify this Contract except in accordance with applicable rules and regulations, including, but not limited to the District's Policies and Procedures. Notwithstanding anything herein to the contrary, no such change, modification or amendment shall be valid or binding upon the District, if the authorizing representative of the District executing such instrument has exceeded its authority, pursuant to the applicable District Policies and Procedures.

13. MISCELLANEOUS.

- (a) **Captions and Headings.** The captions and headings provided herein are for convenience of reference only and are not intended to be used in construing the terms and provisions hereof.
- (b) **Number and Gender.** Whenever herein the singular or plural is used the same shall include the other where appropriate. Words of any gender shall include all genders when the context so requires.
- (c) **Multiple Counterparts.** This Contract may be executed in a number of identical counterparts each of which is an original and all of which constitute collectively one agreement. In making proof of this Contract in any legal action, it shall not be necessary to produce or account for more than one such counterpart.
- (d) **Attorney Fees.** In the event of any legal action, including arbitration proceedings, seeking enforcement of this Contract, the prevailing party shall be entitled to recover reasonable attorneys' fees and the costs of such proceedings from the other party, including without limitation fees and costs associated with any trial, appellate or bankruptcy proceeding.
- (e) **Waiver Of Jury Trial.** EACH PARTY HEREBY AGREES NOT TO ELECT A TRIAL BY JURY OF ANY ISSUE TRIABLE OF RIGHT BY JURY, AND WAIVES ANY RIGHT TO TRIAL BY JURY FULLY TO THE EXTENT THAT ANY SUCH RIGHT SHALL NOW OR HEREAFTER EXIST WITH REGARD TO THE CONTRACT DOCUMENTS, OR ANY CLAIM, COUNTERCLAIM OR OTHER ACTION ARISING IN CONNECTION THEREWITH. THIS WAIVER OF RIGHT TO TRIAL BY JURY IS GIVEN KNOWINGLY AND VOLUNTARILY BY EACH PARTY, AND IS INTENDED TO ENCOMPASS INDIVIDUALLY EACH INSTANCE AND EACH ISSUE AS TO WHICH THE RIGHT TO A TRIAL BY JURY WOULD OTHERWISE ACCRUE.
- (f) **Assignment.** The District has selected the Contractor to render the Services based in substantial part on the personal qualifications of the Contractor; as such, the Contractor may not assign or transfer any right or obligation of this Contract in whole or in part, without the prior written consent of the District, which consent may be granted or withheld in the sole discretion of the District. The Contractor may utilize subcontractors as otherwise permitted and provided in the Contract Documents. Any assignment or transfer of any obligation under this Contract without the prior written consent of the District shall be void *ab initio*, and shall not release the Contractor from any liability or obligation under the Contract, or cause any such liability or obligation to be reduced to a secondary liability or obligation.
- (g) **Survival and Severability.** Should any provision of this Contract be determined to be illegal or in

conflict with any laws of the State of Florida or the Federal government, the validity of the remaining provisions shall not be impaired.

(h) No Third-Party Beneficiary. It is specifically agreed that this Contract is not intended by any of the provisions of any part of this Contract to establish in favor of any other party, the public or any member thereof, the rights of a third-party beneficiary hereunder, or to create or authorize any private right of action by any person or entity not a signatory to this Contract to enforce this Contract or any rights or liabilities arising out of the terms of this Contract.

14. AMENDMENT OF CONTRACT. This Contract may not be modified or amended without the prior written consent of the party to be charged by said amendment or modification. This provision may not itself be changed orally. The Contractor specifically is aware and understands that any material or substantial change to this Contract may require approval of the District's Governing Board for any such change to be valid.

15. DISTRICT APPROVAL. Execution of this Contract, including the exhibits and attachments hereto, is contingent upon the approval by the District Governing Board, and applicable governing rules and procedures of the District.

16. ENTIRE CONTRACT. This Contract, including the Contract Documents referenced above, together with any exhibits or attachments hereto constitutes the entire agreement between the parties.

17. ACCESS TO RECORDS AND REPORTS. In accordance with 49 C. F. R. 18.36(i), the Contractor agrees to provide the District, the Federal Transit Administration (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 C. F. R. 633.17 to provide the FTA Administrator or the FTA Administrator's authorized representatives including any PMO Contractor access to Contractor's records and construction sites (if any) 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. In accordance with 49 CFR 18.39(i)(11), the Contractor agrees to maintain all books, records, accounts and reports required under this contract for a period of not less than seven 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 District, 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. The Contractor agrees to permit any of the foregoing parties to reproduce by any means whatsoever or to copy excerpts and transcriptions as reasonably needed.

18. ENERGY CONSERVATION. The Contractor agrees to comply with mandatory standards and policies relating to energy efficiency which are contained in the state energy conservation plan issued in compliance with the Energy Policy and Conservation Act.

19. FEDERAL CHANGES. 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 Master Agreement between the District and FTA, as they may be amended or promulgated from time to time during the term of this contract. Contractor's failure to so comply shall constitute a material breach of this contract.

20. PROGRAM FRAUD AND FALSE OR FRAUDULENT STATEMENTS OR RELATED ACTS.

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

(2) The Contractor also acknowledges that if it makes, or causes to be made, a false, fictitious, or fraudulent claim, statement, submission, or certification to the Federal Government under a contract connected with a project that is financed in whole or in part with Federal assistance originally awarded by FTA under the authority of 49 U.S.C. § 5307, the Government reserves the right to impose the 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.

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

21. INCORPORATION OF FEDERAL TRANSIT ADMINISTRATION (FTA) TERMS.

Whether or not expressly set forth in the preceding contract provisions, all standard terms and conditions required by the United States Department of Transportation (DOT) are hereby incorporated by reference. All contractual provisions required by DOT, as set forth in FTA Circular 4220.1F are hereby incorporated by reference. Anything to the contrary herein notwithstanding, all FTA mandated terms shall be deemed to control in the event of a conflict with other provisions contained in this Contract. The Contractor shall not perform any act, fail to perform any act, or refuse to comply with any District requests which would cause the District to be in violation of the FTA terms and conditions.

22. CLEAN WATER

(1) The Contractor agrees to comply with all applicable standards, orders or regulations issued pursuant to the Federal Water Pollution Control Act, as amended, 33 U.S.C. 1251 *et seq.* The Contractor agrees to report each violation to the District and understands and agrees that the District will, in turn, report each violation as required to assure notification to FTA and the appropriate EPA Regional Office.

(2) The Contractor also agrees to include these requirements in each subcontract exceeding \$100,000 financed in whole or in part with Federal assistance provided by FTA.

23. CERTIFICATION REGARDING LOBBYING

The Contractor certifies, to the best of its 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 Contractor shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

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

24. CLEAN AIR

(1) The Contractor agrees to comply with all applicable standards, orders or regulations issued pursuant to the Clean Air Act, as amended, 42 U.S.C. §§ 7401 *et seq.* The Contractor agrees to report each violation to the District and understands and agrees that the District will, in turn, report each violation as required to assure notification to FTA and the appropriate EPA Regional Office.

(2) The Contractor also agrees to include these requirements in each subcontract exceeding \$100,000 financed in whole or in part with Federal assistance provided by FTA.

25. SUSPENSION AND DEBARMENT

(1) This contract is a covered transaction for purposes of 49 CFR Part 29. As such, the Contractor is required to verify that none of the Contractor, its principals, as

defined at 49 CFR 29.995, or affiliates, as defined at 49 CFR 29.905, are excluded or disqualified as defined at 49 CFR 29.940 and 29.945. The Contractor is required to comply with 49 CFR 29, Subpart C and must include the requirement to comply with 49 CFR 29, Subpart C in any lower tier covered transaction it enters into.

(2) The certification in this clause is a material representation of fact relied upon by the District. If it is later determined that the Contractor knowingly rendered an erroneous certification, in addition to remedies available to the District, the Federal Government may pursue available remedies, including but not limited to suspension and/or debarment.

(3) 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.

(4) The Contractor certifies or affirms the truthfulness and accuracy of each statement of its certifications and disclosures. 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.

26. PUBLIC RECORDS. The District is subject to Florida's Government in the Sunshine Law, Chapter 286, Florida Statutes (the "Sunshine Law") and the Public Records Act, Chapter 119, Florida Statutes (the "Public Records Act"). It is possible that the Contractor, as a result of the Contract, may also be subject to the Sunshine Law and the Public Records Act and, if so, the Contractor will promptly respond in accordance with the statute to any and all third party requests for "public records," as that term is defined in the Public Records Act. In regard to any such request, the Contractor will promptly notify the District. The District's determination as to the necessity of such response shall be presumptively correct.

27. NO WAIVER OF SOVEREIGN IMMUNITY. Nothing contained in this Contract shall be construed to waive the sovereign immunity of the District under Chapter 768, Florida Statutes, and any amendments thereof, or under any other provision of law.

28. NO OBLIGATION BY THE FEDERAL GOVERNMENT.

(1) The District and Contractor acknowledge and agree that, notwithstanding any concurrence by the Federal Government in or approval of the solicitation or award of the underlying contract, absent the express written consent by the Federal Government, the Federal Government is not a party to this contract and shall not

be subject to any obligations or liabilities to the District, Contractor, or any other party (whether or not a party to that contract) pertaining to any matter resulting from the underlying contract.

(2) 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 subcontractor who will be subject to its provisions.

29. DISADVANTAGED BUSINESS ENTERPRISES.

a) This contract is subject to the requirements of Title 49, Code of Federal Regulations, Part 26, *Participation by Disadvantaged Business Enterprises in Department of Transportation Financial Assistance Programs*. The national goal for participation of Disadvantaged Business Enterprises (DBE) is 10%. The agency's overall goal for DBE participation is 10.46%. A separate contract goal of 0% DBE participation has been established for this procurement.

b) The Contractor shall not discriminate on the basis of race, color, national origin, or sex in the performance of this contract. The Contractor shall carry out applicable requirements of 49 CFR Part 26 in the award and administration of this DOT-assisted contract. Failure by the Contractor to carry out these requirements is a material breach of this contract, which may result in the termination of this contract or such other remedy as the District deems appropriate. Each subcontract the Contractor signs with a subcontractor must include the assurance in this paragraph (see 49 CFR 26.13(b)).

c) The Contractor is required to report its DBE participation obtained through race-neutral means throughout the period of performance, if it has obtained DBE subcontractors for the Services under this Contract.

d) The Contractor is required to pay its DBE subcontractors performing work related to this contract for satisfactory performance of that work no later than 30 days after the Contractor's receipt of payment for that work from the District. In addition, the Contractor may not hold retainage from its subcontractors and is required to return any retainage payments to those subcontractors within 30 days after the subcontractor's work related to this contract is satisfactorily completed. The Contractor is required to return any retainage payments to those subcontractors within 30 days after incremental acceptance of the subcontractor's work by the District and Contractor's receipt of the partial retainage payment related to the subcontractor's work.

e) The Contractor must promptly notify the District whenever a DBE subcontractor performing work related to this contract is terminated or fails to complete its work, and must make good faith efforts to engage another DBE subcontractor to perform at least the same amount of work. The Contractor may not terminate any

DBE subcontractor and perform that work through its own forces or those of an affiliate without prior written consent of the District.

30. TIME IS OF THE ESSENCE. In performing this contract, the Contractor agrees that time is of the essence.

31. UNDOCUMENTED WORKERS. This Contract shall be immediately terminated for cause according to Section 10 should the Contractor, after exhausting its right to appeals, be found liable or guilty by any state or federal authority concerning violations of any immigration employment laws or regulations, if the violation involved labor connected to the performance of this contract.

32. OFFICIALS NOT TO BENEFIT. No member of or delegate to Congress, or a member of the District's governing body, shall be admitted to any share or part of this contract or to any benefit arising from it.

However, this clause does not apply to this contract to the extent that this contract is made with a corporation for the corporation's general benefit.

33. BUY AMERICA REQUIREMENTS. The Contractor agrees to comply with 49 U.S.C. 5323(j) and 49 C.F.R. Part 661, which provide that Federal funds may not be obligated unless steel, iron, and manufactured products used in FTA-funded projects are produced in the United States, unless a waiver has been granted by FTA or the product is subject to a general waiver. General waivers are listed in 49 C.F.R. 661.7, and include final assembly in the United States for 15 passenger vans and 15 passenger wagons produced by Chrysler Corporation, and microcomputer equipment and software. Separate requirements for rolling stock are set out at 49 U.S.C. 5323(j)(2)(C) and 49 C.F.R. 661.11. Rolling stock must be assembled in the United States and have a 60 percent domestic content.

IN WITNESS WHEREOF, the authorized signatories named below have executed this Contract on behalf of the parties as of the Effective Date.

Lakeland Area Mass Transit District

[firm]

By: _____
Name: Danny Ours
Title: Executive Director

By: _____
Title: _____

Date: _____

Date: _____

Attest: _____
Corporate Secretary/Notary

Approved as to form and correctness:

By: _____
Name: Ben Darby
Title: District General Counsel

Date: _____