



Association of Monterey Bay Area Governments

**Request for Proposals
for
Offsite Backup System and Service**

5 year contract period of September 1, 2014- June 30, 2019

Issued: July 2, 2014

Questions Due: July 10, 2014

Deadline (received by AMBAG): July 24, 2014

Submit all questions and proposals to:

Gina Schmidt | AMBAG | Attn: RFP for Offsite Backup | mail: P.O Box 809, Marina, CA 93933 | courier: 445 Reservation Rd. Suite G, Marina, CA 93933 | gschmidt@ambag.org | fax 831.883.3755

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Introduction

The Association of Monterey Bay Area Governments (AMBAG) is accepting proposals for a five-year contract to provide Offsite Backup System and Service to ensure all servers backup systems are fully functional both onsite and replicated offsite. These are to be secure and replicated 24/7 to provide smooth continuance of daily business operations in the event backups need to be restored onsite. This RFP encompasses the following: procurement of new hardware for both onsite and offsite NAS network storage server (including tax & shipping), maintenance fees of software, maintenance fees of hardware, backup and replication software, installation, configuration, 24/7 backup (both full replication and differential), internet connection service fees at offsite location, and ongoing monthly support service of offsite/onsite backup system.

The selected consultant will serve at the discretion of the Board of Directors and work under the direction of the AMBAG Executive Director.

The Association of Monterey Bay Area Governments operates under a Joint Powers Agreement with local jurisdictions (cities) and the Counties of Monterey, San Benito and Santa Cruz. The Board is comprised of one representative member from each City and two supervisors from each of the counties.

AMBAG is a public agency funded through a combination of federal transportation funds, grants and membership dues. Policy direction is provided by a twenty-four (24) member Board of Directors. The Executive Director reports directly to the Board of Directors and performs all duties necessary for the proper and efficient management of AMBAG, as determined by the Board and State and Federal law. A small professional staff provides support to the Board of Directors.

Schedule

Task	Completion Date
Release RFP	July 2, 2014
Pre-Proposal On-Site Visit (optional)	July 9, 2014, 10:30am PST
Questions Due	July 10, 2014
Post responses to questions (or addendum if required)	July 14, 2014
Proposals Due	July 24, 2014
Evaluation Committee Completes Proposal Review	July 28, 2014
Notifications to prospective bidder	July 28, 2014
Oral Interviews	July 31, 2014
Consultant Selection	August 1, 2014
AMBAG Board Approval of Consultant	August 13, 2014
Execute Contract	August 14, 2014
Kick Off Meeting	September 2, 2014

Pre-Proposal On-Site Visit (Optional)

AMBAG will hold a pre-proposal on-site visit at 10:30 am-11:30am, Pacific Standard Time, on July 9, 2014 in the AMBAG Office at: 445 Reservation Road, Suite G, Marina, CA 93933. Attendance at the pre-proposal on-site visit is optional.

The purpose of the on-site visit is to conduct a visual site inspection of the facility/equipment, and discuss the work to be performed with the prospective Consultants. AMBAG will transcribe questions and they may be answered at the site inspection or, by response questions and answers to the RFP posted online for review. Consultants may submit questions in writing to the project manager concerning the RFP by the questions deadline of July 10, 2014 by 5p.m PST. AMBAG will respond to the questions as noted in the schedule by posting responses to questions (if applicable) to the RFP online. It is the responsibility of the prospective consultant to check the AMBAG website, <http://ambag.org> for the Questions and Responses to the RFP. You will find this information in the Request for Proposals tab online on the AMBAG website and the page specific to this RFP.

Qualifications

AMBAG is seeking a Consultant that is committed to providing quality Offsite Backup System and Service to a public sector client. A qualified applicant will have proven expertise in all aspects of administering Offsite Backup System and Service for small businesses.

Failure to meet minimum prior experience requirements will cause its proposal to be considered non-responsive and its proposal will be rejected.

The successful consultant chosen must meet the following minimum experience and specific competency requirements for contract personnel performing the work in this RFP. Consultant must provide narrative on all contract personnel who will be involved in providing the goods and/or services contemplated by this RFP. The contract personnel listed will perform/provide goods and services for AMBAG. Any changes in contract personnel during the contract must be approved by AMBAG. Additionally, replacement personnel must have comparable training, experience and ability as the person originally proposed for the contract work. The following information must be included in the narrative:

- 1) Consultant must provide the following information regarding its experience:
 - a) Name, address, telephone number, and e-mail address of the offering firm
 - b) Consultant's local addresses and office phone numbers
 - c) Number of years in business providing the services sought by the RFP
 - d) Consultants must describe their management structure that provides accountability for the work described in this RFP
 - e) Consultants must describe the business experience of their firm in completing similar work and describe the results produced
 - f) Consultants must provide 3 reference names and contact information for customers with production installations comparable in size and complexity to that of AMBAG. AMBAG reserves the right to contact any references provided
- 2) Describe in detail the account manager :
 - a) Account Manager shall have a minimum of 5 years of experience
 - b) Title and Full name
 - c) Relevant certifications and degrees (or on the job experience)
 - d) Experience with the following:
 - Overseeing Accounts for Offsite Backup Systems (including Onsite)

- e) Number of years employed with the company
- f) Location from where the personnel will perform services

3) Describe in detail the Senior Engineers and Technicians:

- a) Describe how a dedicated team will be provided
- b) Senior Engineers shall have a minimum of 10 years of experience; Technicians shall have a minimum of 5 years of experience
- c) Full name and Title
- d) Relevant certifications and degrees (or on the job experience)
- e) Experience with the following:
 - Offsite Backup System (including Onsite)
 - Offsite Backup Service (including Onsite)
 - Offsite Backup Maintenance (including Onsite)
 - AppAssure or Unitrends software
- f) Number of years employed with the company.

Scope of Work

The following provides details of the scope of services required under this contract. Respondents to this RFP should build on this general description by proposing a scope of work with specific sub-tasks as deemed appropriate. Some tasks may require additional information from respondents as called out under the description of each task. Respondents should also refer to the Proposal Requirements, and Evaluation and Selection Process sections for additional requirements.

Additional tasks and work elements may be added or deleted during contract negotiations. Upon conclusion of the negotiation process, the selected consultant will be required to prepare a final work plan, schedule, and budget for inclusion into a final contract.

Consultant, based in the greater Monterey Bay Area/ Central Coast region, shall provide Offsite Backup System and Service administration to ensure all servers, computers, data, and back-up systems are fully functional both onsite and replicated offsite. These are to be secure and replicated 24/7 to provide smooth continuance of daily business operations in the event backups need to be restored onsite. This RFP encompasses the following: procurement of new hardware for both onsite and offsite NAS network storage server (including tax & shipping), maintenance fees of software, maintenance fees of hardware, backup and replication software, installation, configuration, 24/7 backup (both full replication and differential), internet connection service fees at offsite location, and ongoing monthly support service of offsite/onsite backup system.

This includes making sure all backup systems are properly installed, manage file backups both onsite and offsite, provide ongoing support of backups for the full term of the contract, install software and hardware updates as needed. Consultants shall also be available by telephone to resolve user IT problems in regard to the backups and provide immediate on-site service within same day to ensure functionality of restored backup copies if needed and when required by AMBAG. Also, the consultant will need to coordinate and

work with existing IT Support Service contractor (Monterey Computer Corporation) to perform the duties as listed in this RFP scope of work.

Goals

Provide Offsite Backup System and Service administration to ensure all server backup systems are fully functional both onsite and replicated offsite. These are to be secure and replicated 24/7 to provide smooth continuance of daily business operations in the event backups need to be restored onsite. These backup systems and service shall be provided by a dedicated account team who will be familiar with AMBAG's IT system and backup needs for both onsite and offsite.

Requirements

Consultant must provide substantive responses on how they would achieve the scope of work, goals, and deliverables to produce functional onsite and offsite backup system for AMBAG's existing IT structure. Please specify how you will manage the contract work deliverables, provide timeline for deliverables, provide and manage qualified staff. Describe any additional tasks and deliverables that would deem appropriate to achieve the overall goals and deliverables if not already specified in this RFP.

The following are minimum performance specifications. Your proposals may be more inclusive.

Task 1: Maintain Existing AMBAG IT System (or replacement items)

Deliverables:

- *Designated Account Manager and Dedicated Technical Support Team*
- *Scheduled and Agreed Periodic on-site visits*
- *Remote Connected Maintenance Checks Weekly to Ensure Functional Onsite and Offsite Backups of Entire System*
- *Onsite Backup System Procurement of:*
 - *Netgear, READYNAS 4220 NAS 24TB 12X2TB, ISCSI Network Storage Server, 12 Bay (RT4318)*
- *Offsite Backup System Procurement of:*
 - *Netgear, READYNAS 4220 NAS 24TB 12X2TB, ISCSI Network Storage Server, 12 Bay (RT4318)*
- *Onsite Backup System Configuration, Installation, and Setup*
- *Offsite Backup System Configuration, Installation, and Setup*
- *Ongoing Maintenance and Security for both Onsite and Offsite Backup Systems*
- *Software Procurement for both Onsite and Offsite Backup Units of:*
 - *AppAssure or Unitrends Software*
- *Installation and Management of Software for Backup and Replication for Hyper-V*
- *New Installations and Replacement Equipment Installation of Hardware (either in warranty or not)*
- *Repair Hardware/Software as Needed (note replacement equipment: parts to repair, hardware not under warranty, and software not listed above will be purchased separately)*
- *Respond to Backup System Issues Within 2 Hours*
- *Provide telephone immediate response during normal business hours, 8:00am-5pmPST, excluding holidays*
- *Assist AMBAG IT Project Manager (and/or Existing IT Support Service Contractor- MCC) in Resolving Onsite or Offsite Backup Issues by Phone and to Troubleshoot Issue Remotely/or on-site if required*

Task 2: Provide Information Deliverables

Deliverables:

- *Provide Annual Written Assessment of the Current Status of the Offsite and Onsite Backup System and Review with AMBAG*
- *Make Recommendations for Hardware and Software Replacement for Backup System Equipment*
- *72-hour Response Time for Requested Informational Deliverables*
- *Provide warranty descriptions and other information for the guarantee of their work delineating responsibilities and liabilities*

Cost

Provide a total cost for the service levels and items required for purchase as described in this RFP. The cost proposal must show line item cost by each item as described in the scope of work deliverables list. The total cost must include all components included in this RFP: procurement of new hardware for both onsite and offsite NAS network storage server (including tax & shipping), maintenance fees of software, maintenance fees of hardware, backup and replication software, installation, configuration, 24/7 backup (both full replication and differential), internet connection service fees at offsite location, and support service of offsite/onsite backup system. Alternate formats of the cost proposal will not be considered responsive. See RFP Attachment A Cost Proposal Form.

Proposal Submittal

Interested consultants must submit both hard copies and a digital copy of the proposal to the Project Manager as follows:

- Hard copy: One original, three copies
- Digital: Send as a single PDF or PDF portfolio

All submissions must be received by AMBAG on or before July 24, 2014 at 5pm Pacific Standard Time (PST). Postmarking by the due date will not substitute for actual proposal receipt by AMBAG.

Mail proposal to:

Association of Monterey Bay Area Governments
Attn: RFP for Offsite Backup System and Service
P.O. Box 809, Marina, CA 93933

Courier delivered to:

Association of Monterey Bay Area Governments
Attn: RFP for Offsite Backup System and Service
445 Reservation Rd. Suite G, Marina, CA 93933

Until award of the contract, the proposals shall be held in confidence and shall not be available for public review. Upon award of a contract to the successful Proposer, all proposals shall become public record. No proposal shall be returned after the date of July 24, 2014 at 5 p.m. PST and time set for opening thereof.

Submittal Questions and Addenda

All questions regarding the RFP should be received no later than July 10, 2014 at 5 p.m. PST by e-mail to Gina Schmidt at gschmidt@ambag.org or by fax to 831.883.3755. Responses that require that an addendum be issued to the RFP will be posted on the AMBAG website at www.ambag.org on or before July 14, 2014. It is the responsibility of proposers to check the AMBAG website to determine if Question and Responses for RFP have been posted and/or addenda have been issued. Any addenda to the RFP will become part of the RFP.

AMBAG reserves the right to revise the RFP prior to the date that proposals are due. It is the responsibility of proposers to check the AMBAG website to determine if a modified RFP has been issued.

Notice of Award

Notification to all prospective bidders occurs on July 28, 2014. The short listed consultants may be interviewed. Short listed candidates will be contacted by July 28, 2014. Interviews will take place on July 31, 2014. The final selected consultant shall be informed by phone on or before August 1, 2014.

Project Manager

Gina Schmidt, GIS Coordinator
Association of Monterey Bay Area Governments
Email | gschmidt@ambag.org (preferred communication)
Fax | 831.883.3755

Proposal Requirements

- A. Proposals should be concise, well organized and demonstrate the proposer's qualifications and experience applicable to the project. Proposals shall be limited to 50 one-sided pages (8.5 inches x 11 inches). The proposal must include a discussion of the proposer's approach to Offsite Backup System and Service project, a description of the firm's and any subconsultants' qualifications for the scope of work, and a cost proposal (see RFP Attachment A).
- B. The Proposal and any required certifications shall be signed by an individual or individuals authorized to execute legal documents on behalf of the proposer.
- C. Failure to comply with the requirements of the RFP may result in disqualification. AMBAG is not responsible for finding, correcting, or seeking clarification regarding ambiguities or errors in proposals. If a proposal is found to contain ambiguities or errors, it may receive a lower score during the evaluation process. AMBAG may, but is not required to, seek clarification from a proposer regarding information in a proposal. Errors and ambiguities

in proposals will be interpreted in favor of AMBAG. Proposals and/or modifications received subsequent to the hour and date specified above will not be considered.

- D. The proposer shall certify whether it takes no exception(s) to this RFP and the draft contract. If the proposer does take exception(s) to any portion of the RFP or the draft contract, the specific portion to which exception(s) is taken must be identified and explained. Failure to make exceptions to the RFP or draft contract within the proposal will be deemed a waiver of any objection. Exceptions will be considered during the proposal evaluation process.
- E. AMBAG reserves the right to reject any or all proposals and to waive irregularities contained therein and to accept any proposals deemed most advantageous to AMBAG.

Evaluation and Selection Process

- A. Based upon the proposals and other appropriate evaluation factors, the top-ranked proposer(s) will be identified and short listed. Negotiations with the selected firm may cover: scope of work, contract schedule, contract terms and conditions, technical specifications, level of effort, and cost or best value.
- B. All proposals must be completed and convey all of the information requested in order to be considered responsive. The proposals then will be evaluated on the basis of the criteria listed below. The total number of points used to score the proposals is 100.
- C. Evaluation factors and point values will be as follows:

Criteria	Description	Points
Qualifications and staffing	▪ Professional qualifications ▪ Relevant experience ▪ Unique qualification of key personnel	25
Project experience	▪ Nature, quality, and relevance of recently completed projects	20

Understanding of AMBAG's current IT system and Offsite Backup System needs	▪ Achieve the requirements and deliverables for the Offsite Backup System and Service ▪ Define methodology proposed to meet expectations	35
Cost or Best Value	▪ Ranking of comparative costs among proposed firms, providing the best value of services offered	20
Total		100

- D. The Evaluation Committee will review all submitted proposals. Proposers may be emailed and asked for further information, if necessary, and may be expected to appear for oral interviews on July 31, 2014. The Evaluation Committee will make recommendations to AMBAG's Executive Director on the basis of the proposal, oral interview, and reference check. AMBAG reserves the right to select a consultant based solely on written proposals and to not convene oral interviews.
- E. AMBAG's Executive Director or designee will make the final recommended selection to the AMBAG Board of Directors. If the Board of Directors selects a different consultant than the one recommended by the Evaluation Committee, the Project Manager, in consultation with the AMBAG Executive Director, will prepare a memo explaining the selection.

Contractual Information and Payment Schedule

The contract agreement for the Offsite Backup System and Service will be between AMBAG and the Consultant. The consultant will invoice AMBAG for services rendered, and AMBAG will compensate the consultant for these services as set forth in the agreement. Funding for the consultant services will be provided by AMBAG. The project deliverables will be reviewed by the AMBAG Project Manager.

The Consultant will be paid based on work actually performed, and accepted in writing by AMBAG, during the preceding month. The consultant should forward a copy of all invoices for payment for work performed and associated expenses by the 15th day of the month.

Terms & Conditions

A. Limitations

This request for proposal (RFP) does not commit AMBAG to award a contract, to pay any pre-contractual expenses, or to procure or contract for services or supplies. AMBAG expressly reserves the right to reject any and all proposals or to waive any irregularity or informality in any proposal or in the RFP procedure and to be the sole judge of the responsibility of any Proposer and of the suitability of the materials and/or services to be rendered. AMBAG reserves the right to withdraw this RFP at any time without prior notice. Further, AMBAG reserves the right to modify the RFP schedule described above.

B. Award

AMBAG may ask RFP finalists to present oral briefings of their proposals. All finalists may be required to participate in negotiations and submit such price, technical, or other revisions of their proposals as may result from negotiations. AMBAG also reserves the right to award the contract without oral briefings or discussion, based upon the initial written proposals. Accordingly, each initial proposal should be submitted on the most favorable terms from a price and a technical viewpoint.

C. Verbal Agreement or Conversation

No prior, current, or post award verbal conversations or agreement(s) with any officer, agent, or employee of AMBAG shall affect or modify any terms or obligations of the RFP, or any contract resulting from this RFP.

D. Pre-contractual Expenses

Pre-contractual expenses include any expenses incurred by Proposers and selected consultant in:

- Preparing proposals in response to this RFP
- Submitting proposals to AMBAG
- Negotiations with AMBAG on any matter related to proposals.
- Other expenses incurred by a consultant or Proposer prior to the date of award of any agreement.

In any event, AMBAG shall not be liable for any pre-contractual expenses incurred by any Proposer or selected consultant. Proposers shall not include any such expenses as part of the price proposed in response to this RFP. AMBAG shall be held harmless and free from any and all liability, claims, or expenses whatsoever incurred by, or on behalf of, any person or organization responding to this RFP.

E. Signature

The proposal will also provide the following information: name, title, address, and telephone number of individual with authority to bind the consultant or consultant firm and also who may be contacted during the period of proposal evaluation. The proposal shall be signed by an official

authorized to bind the consultant or consulting firm and shall contain a statement to the effect that the proposal is a firm offer for at least a ninety (90) day period. Execution of the contract is expected by no later than August 31, 2014.

F. Conflict of Interest Statement

Consultants and consultant firms submitting proposals in response to this RFP must disclose to AMBAG any actual, apparent, or potential conflicts of interest that may exist relative to the services to be provided under Agreement for consultant services to be awarded pursuant to this RFP. If the consultant or firm has no conflict of interest, a statement to that effect shall be included in the proposal. The selected consultant shall refrain from and disclose subsequent potential conflicts during this contract. Consultant shall at all time avoid conflicts of interest, or the appearance of conflicts of interest, in the performance of this contract. Consultant shall file statements of financial interest on forms provided by AMBAG to the extent and at all times required by AMBAG's Conflict of Interest Code and applicable law.

G. Contract Arrangements

The successful consultant is expected to utilize the AMBAG Standard Contractual Agreement which included as Attachment C.

G1. Disadvantaged Business Enterprise (DBE) Policy: It is the policy of the U.S. Department of Transportation(USDOT) that minority-and women-owned business enterprises (hereby referred to as DBEs) as defined in 49 CFR Part 23 shall have the maximum opportunity to participate in the performance of contracts financed in whole or in part with Federal funds.

G2. DBE Obligation: The recipient or its subconsultant agrees to ensure that DBEs have the maximum opportunity to participate in the performance of contracts and subcontracts financed in whole or in part with Federal funds provided under this agreement. In this regard, all recipients or subconsultants shall take all necessary and reasonable steps in accordance with 49 CFR Part 23 to ensure that DBEs have the maximum opportunity to compete for and perform contracts. Recipients and their subconsultants shall not discriminate on the basis of race, color, national origin, or sex in the award and performance of USDOT assisted contracts.

G3. Title VI of the Civil Rights Act of 1964: The consultant agrees to comply with all the requirements imposed by Title VI of the Civil Rights Act of 1964 (49 USC 2000d) and the regulations of the U.S. Department of Transportation issued there under in 49 CFR Part 21.

G4. Equal Employment Opportunity: In connection with the performance of the contract, the consultant shall not discriminate against any employee or applicant for employment because of race, color, age, creed, sex or national original. 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.

Each proposal, to be considered responsive, must include the following:

(1) A copy of the consultant's affirmative action policy (applicable for firms with 50 or more employees)

(2) Discussion of the consultant's program for use of DBEs in the performance of this work, including the following:

- The names and addresses of DBE firms that will participate
- The description of the work each named firm will perform
- The dollar amount of participation by each DBE firm

H. Americans with Disabilities Act (ADA) Provisions

To comply with the nondiscrimination requirements of the Americans with Disabilities Act (ADA), it is the policy of AMBAG to make every effort to ensure that its programs, activities and services are available to all persons, including persons with disabilities. For persons with a disability needing a reasonable modification to participate in the procurement process, or for persons having questions regarding reasonable modifications of the procurement process, you may contact the AMBAG representative listed in this RFP.

IMPORTANT: To ensure that we can meet your need for ADA accommodations, it is best that we receive your request for reasonable modification at least 10 working days before the scheduled event (i.e., meeting, conference, workshop, etc.) or deadlines due date for procurement documents. In order to ensure the proposal is in compliance with Federal ADA guidelines, Proposers should review the Federal ADA guidelines at <http://www.ada.gov/>.

I. Protest Procedures

I1. Purpose: The purpose of these procedures is to set forth the procedures to be utilized by AMBAG in considering and determining all bid protests or objections regarding solicitations, proposed award of a contract, or award of a contract whether before or after award.

I2. General: In order for a bid protest to be considered by AMBAG, it must be submitted by an interested party (as defined below in accordance with the procedures set forth herein). A protest which is submitted by a party which is not an interested party or which is not in accordance with the procedures shall not be considered by AMBAG, and will be returned to the submitting party without any further action by AMBAG.

I3. Definitions: For purposes of these Bid Protest Procedures:

(1) The term "Bid" includes any bid or offer submitted by a bidder in response to an Invitation for Bid (IFB), and a proposal submitted by an offeror in response to a Request for Proposals (RFP).

(2) The term "contract" means that document to be entered into between AMBAG and the successful bidder and offeror.

(3) The term "days" refers to normal business days of AMBAG staff offices.

(4) The term “interested party” means any person: (a) who is an actual or prospective proposer, bidder, or offeror in the procurement involved; and (b) whose direct economic interest would be affected by the award of the contract or by failure to award a contract.

(5) The term “solicitation” means an Invitation for Bids (IFB), Request for Proposals (RFP), or other form of document used to procure equipment or services.

I4. Grounds for Protest: Any interested party may file a bid protest with AMBAG on the grounds that:

(1) AMBAG has failed to comply with applicable Federal or State Law:

(2) AMBAG has failed to comply with its procurement procedures;

(3) AMBAG has failed to comply with the terms of the solicitation in question, including the failure to adhere to the evaluation criteria set forth in the solicitation, if applicable;

(4) AMBAG has issued restrictive or discriminatory specifications; or,

(5) Award is made to other than the lowest responsive and responsible bidder on formally advertised (IFB) procurements.

I5. Contents of Protest:

(1) A bid protest must be filed in writing and must include:

a. The name and address of the protestor.

b. The name and number (if available) of the procurement solicitation.

c. A detailed statement of the grounds for the protest, including all relevant facts and a citation to the Federal or State law, the provision of AMBAG procurement procedures, or specific term of the solicitation alleged to have been violated.

d. Any relevant supporting documentation the protesting party desires AMBAG to consider in making its decision.

e. The desired relief, action, or ruling sought by the protestor.

(2) Protests must be filed with:

Executive Director
AMBAG
445 Reservation Road, Suite G
Marina, CA 93933

(3) All protests must be received at the AMBAG address listed above during normal office hours of 8:00 a.m. to 5:00 p.m., Pacific Standard Time.

(4) If any of the information required by this section is omitted or incomplete, AMBAG will notify the protestor, in writing, within one day of the receipt of the protest, and the protestor will be given

one day to provide the omitted or incomplete information in order for the protest to be further considered. Note that this provision only applies in the case of a failure to state any grounds for a protest and does not apply to stating inadequate grounds for a protest or the failure to submit documentation.

I6. Timing Requirements and Categories of Protests: AMBAG will consider the following categories of bid protests within the time period set forth in each category:

(1) Any bid protest alleging improprieties in a solicitation process or in solicitation documents must be filed no later than five days prior to the scheduled bid opening or deadline for submittal or proposals, as appropriate, in order to be considered by AMBAG. Any protest based on such grounds not filed within this period will not be considered by AMBAG. This category of protests includes, but is not limited to, allegation of restrictive or exclusionary specifications or conditions.

(2) Any bid protests regarding the evaluation of bids or proposals by AMBAG, or improprieties involving the approval or award or proposed approval or award of a contract must be filed with AMBAG no later than 72 hours after the protestor's receipt of AMBAG's written notice of its decision or intended decision to award a contract. Any protest filed after such date which raises issues regarding the bid proposal evaluation, or the contract approval or award will not be considered by AMBAG.

I7. Review of Protest by AMBAG:

(1) AMBAG will notify the protestor within 3 days of timely receipt of a bid protest that the protest is being considered.

(2) In the notification, AMBAG will inform the protestor of any additional information required for evaluation of the protest by AMBAG, and set a time deadline for submittal of such information. If AMBAG requests additional information, and it is not submitted by the stated deadline, AMBAG may either review the protest on the information before it, or decline to take further action on the protest

(3) In its sole discretion, AMBAG may give notice of any bid protest to other bidders or proposers for the procurement involved in the protest, as appropriate, and permit such bidders or offerors to submit comments to AMBAG relative to the merits of the bid protest. AMBAG will set a time deadline for the submittal of such comments, which will be no less than 5 days after AMBAG provides notification of the protest.

(4) In its sole discretion, AMBAG may schedule an informal conference on the merits of a bid protest. All interested parties will be invited to participate in the conference. Any information provided at the conference will only be considered by AMBAG in deciding the bid protest if it is submitted to AMBAG in writing within 3 days after the conference.

I8. Effects of Protest on Procurement Actions:

(1) Upon receipt of a timely protest regarding either the solicitation process or the solicitation documents in the case of sealed bids, AMBAG will postpone the opening of bids until resolution of the protest. The filing of the protest will not, however, change the date on which bids are due, unless AMBAG determines, and so notifies all bidders, that such a date change is necessary and appropriate to carry out the goals of the procurement and assure fair treatment for all bidders.

(2) Upon receipt of a timely protest regarding evaluation of bid or proposals, or the approval or award of a contract, AMBAG will suspend contract approval or other pending action, or issue a stop work order if appropriate, until the resolution of the protest. In this event, the successful bidder or proposer may not recover costs as a change order.

(3) Notwithstanding the pendency of a bid protest, AMBAG reserves the right to proceed with any appropriate step or action in the procurement process or in the implementation of the contract in the following cases:

- a. Where the item to be procured is urgently required;
- b. Where AMBAG determines, in writing, that the protest is vexatious or frivolous;
- c. Where delivery or performance will be unduly delayed, or other undue harm to AMBAG will occur, by failure to make the award promptly; or,
- d. Where AMBAG determines that proceeding with the procurement is otherwise in the public interest.

I9. Summary Dismissal of Protests: AMBAG reserves the right to summarily dismiss all or any portion for a bid protest that raises legal or factual arguments or allegations that have been considered and adjudicated by AMBAG in a previous bid protest by any interested party in the same solicitation or procurement action.

I10. Protest Decisions:

(1) After review of a bid protest, the Procurement Officer shall make a recommendation to the Executive Director of the appropriate disposition of such protest.

(2) The recommendation shall be made on the basis of the information provided by the protestor and other parties, the results of any conferences, and AMBAG's own investigation and analysis.

(3) If the protest is upheld, AMBAG will take appropriate action to correct the procurement process and protect the rights of the protestor, including re-solicitation, revised evaluation of bids or proposals or AMBAG's determination, or termination of the contract.

(4) If the protest is denied, AMBAG will lift any suspension imposed and proceed with the appropriate state of the procurement process or the contract.

I11. Judicial Appeals: A protest adversely affected by a bid protest decision may appeal such decision to an appropriate court of the State of California located in the county of Monterey.

Incorporation of Attachments

The following documents are attached and incorporated by reference if the box next to document title is marked.

- ☒ RFP Attachment A – Cost Estimate
- ☒ RFP Attachment B – Sub-consultant List
- ☒ RFP Attachment C – AMBAG Standard Contractual Agreement
- ☒ RFP Attachment D – Forms and Certifications

COST PROPOSAL FORM – RFP ATTACHMENT A

Name of Firm: _____

Address: _____

City, State, Zip: _____

Contact Name: _____

Contact Telephone Number(s): _____

Contact E-mail Address: _____

I, the undersigned, certify I am duly authorized to represent the above named firm and am empowered to submit this bid. In addition, I certify I am authorized to contract with AMBAG on behalf of the above named firm.

Signature

Title

Date

Name (print)

COST PROPOSAL FORM EXAMPLE- RFP ATTACHMENT A

SCHEDULE OF PROFESSIONAL FEES AND EXPENSES FOR THE OFFSITE BACKUP

Project: _____

Consultant: _____

Services will commence on mm/dd/yy and be fully completed on mm/dd/yy.

Combined Overhead (%) +

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		Hours	Actual Rate/Hr	Loaded* Rate/Hr	Labor Amount	Total	Date Due
Name	Classification		\$0.00	\$0.00	\$0.00	\$0.00	mm/dd/yy
Name	Classification		\$0.00	\$0.00	\$0.00	\$0.00	
Name	Classification		\$0.00	\$0.00	\$0.00	\$0.00	
						<u>\$0.00</u>	

Other Direct Costs:

Quantity	Item	Price	Tax	Shipping	Sub-total	Total Due	
Item 1	Item Description	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	mm/dd/yy
Item 2	Item Description	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	
						<u>\$0.00</u>	

Total Hours:

--

Total Cost:

\$0.00

* Loaded hourly rate: includes labor overhead, fringe benefit, and general administrative expenses (% of total direct labor cost)

Loaded hourly rate calculation: \$ actual hourly rate x (1 + combined of overhead & fringe %) x (1 + fee %)

Name and Title of Authorized Representative (typed)

Date

Signature of Authorized Representative

Date

SUBCONSULTANT LIST – RFP ATTACHMENT B

The proposal shall include a complete list of all proposed subconsultants. All subconsultants listed must be provided a meaningful element of work within the defined scope of work. Changes to this Subconsultant List will not be allowed without prior written approval from AMBAG.

PROPOSED SUBCONSULTANTS

Subconsultant Firm Name and Address	Scope of Work	Dollar Amount of Work

Name of Firm

Printed name and Title of Signatory

Signature

Date

SAMPLE DRAFT AGREEMENT FOR SERVICES – RFP ATTACHMENT C

This Agreement is made and entered into this xx **day of month, 2014**, by and between **The Association of Monterey Bay Area Governments** (hereinafter referred to as "AMBAG" or "CLIENT"), and xxx (hereinafter referred to as "xxx" or "CONSULTANT").

WITNESSETH

WHEREAS, as the Metropolitan Planning Organization (MPO) for Monterey, Santa Cruz and San Benito Counties, AMBAG is charged with maintaining a level of Offsite Backup System and Serviceto serve the Board of Directors; and

WHEREAS, pursuant to its annual Overall Work Program (OWP), AMBAG will be engaged in many activities and projects that will require certain Offsite Backup System and Serviceto complete the goals of AMBAG; and

WHEREAS, the CONSULTANT is qualified and experienced and has necessary technical and personnel resources to provide such IT Support Services; and

NOW, THEREFORE, AMBAG and CONSULTANT for the considerations hereinafter set forth, mutually agree as follows:

1. SCOPE OF WORK

CONSULTANT shall perform those services described in the "Scope of Work, Deliverables, Timeline, and Budget," Exhibit A attached hereto and incorporated herein by this reference and shall comply with all relevant conditions as set forth in the AGREEMENT.

2. TERM

- A. The term of this Agreement shall be from the date of its execution until the completion of the work contemplated by this Agreement and its final acceptance by AMBAG unless terminated earlier as provided herein. CONSULTANT shall complete all tasks **on or before June 30, 2019** unless otherwise extended by written authorization.
- B. Services performed under this Agreement shall commence only upon Notice to Proceed by AMBAG to CONSULTANT.

This Agreement includes the following Exhibits:

Exhibit A. Project Tasks/Services, Timeline, and Budget

Exhibit B. Debarment and Suspension Certification

Exhibit C. Federal Tax Form W-9, Request for Taxpayer Identification Number and Certification

Exhibit D. Disadvantaged Business Enterprises (DBE) Information Form

3. COORDINATION/STAFFING

- A. CONSULTANT shall assign **xx xxxx as Project Manager** to personally participate in said project. AMBAG also retains the right to approve any substitution of the Project Manager. No portion of the work included in this Agreement shall be subcontracted, except as provided herein, without the prior, written authorization of the AMBAG.
- B. Services described in the Scope of Work shall be performed by Consultant's staff, Subconsultant(s) or other members of the project team, hereinafter referred to as "Subconsultant(s)," listed in the "Project Tasks/Services, Timeline, and Budget," Exhibit A, attached hereto and incorporated by this reference.

4. COMPENSATION

AMBAG shall pay CONSULTANT for services on a firm fixed price basis as shown in Exhibit A. In no event shall compensation exceed XX DOLLARS (\$X,XXX) per year without prior written consent of AMBAG.

5. INVOICING

- A. Invoices for services must be presented to AMBAG no later than the fifteenth day of each month for the month prior. CONSULTANT shall submit an invoice to AMBAG stating the amount due for such services on a monthly basis throughout the duration of the project. Said monthly invoicing shall reflect the task worked on, the percentage of the task completed, and the total dollar amount for the task in comparison to the invoiced amount based upon the percentage of the task then completed. AMBAG shall reimburse the CONSULTANT as promptly as its fiscal procedures permit, upon receipt of itemized invoices submitted in accordance with this Agreement. Payment of the invoices will be made to CONSULTANT after acceptance and approval by AMBAG and upon reimbursement by Caltrans. Such reimbursements shall be based upon actual eligible costs incurred by the CONSULTANT consistent with the "Project Tasks/Services, Timeline, and Budget" Exhibit A. No interest or carrying charges shall accrue to CONSULTANT by reason of delayed payment.
- B. Prompt Payment to Subconsultant(s): A CONSULTANT shall pay any Subconsultant(s) for satisfactorily completed work no later than ten (10) days of receipt of each payment from AMBAG. The ten (10) day period is applicable unless a longer period is agreed to in writing. Any delay or postponement of payment over thirty (30) days may take place only for good cause and with AMBAG's prior written approval. This requirement shall not be construed to limit or impair any contractual, administrative, or judicial remedies otherwise available to the CONSULTANT or Subconsultant in the event of a dispute involving late payment or nonpayment by the CONSULTANT, deficient Subconsultant performance, and/or noncompliance by a Subconsultant. This clause applies to both DBE and non-DBE Subconsultant.

- C. Invoicing Format and Content: All invoices submitted to AMBAG for payment shall be sent directly to:

Association of Monterey Bay Area Governments

ATTN: Accounts Payable

P.O. Box 809

Marina, CA 93933

1. The invoice shall be entitled "Invoice" or otherwise clearly identify that the document is an Invoice, and shall contain the following information:
 - i. AMBAG's "Bill To" information as stated in the above paragraph;
 - ii. Invoice number and/or billing number specified by CONSULTANT. The invoice number must be unique for each invoice submitted;
 - iii. Invoice date;
 - iv. Billing period specified with beginning and ending dates. The beginning date must not be sooner than the Notice to Proceed date of the Agreement, or within any previous billing dates;
 - v. Total amount due for the billing period;
 - vi. Total Contract Value (as identified in 4A. above); and
 - vii. AMBAG Project Manager
6. AGREEMENT COMPLETION RETAINER

No retainage will be held by AMBAG from progress payments due to CONSULTANT. CONSULTANT is prohibited from holding retainage from Subconsultant(s). Any delay or postponement of payment may take place only for good cause and with AMBAG's prior written approval. Any violation of these provisions shall subject the violating CONSULTANT to the penalties, sanctions, and other remedies specified in Section 7108.5 of the California Business and Professions Code, if applicable. This requirement shall not be construed to limit or impair any contractual, administrative, or judicial remedies, otherwise available to the CONSULTANT in the event of a dispute involving late payment or nonpayment by the CONSULTANT, deficient Subconsultant(s) performance, and/or noncompliance by Subconsultant(s). This clause applies to both DBE and non-DBE Subconsultant(s).
7. SATISFACTORY PERFORMANCE

Payment for services under this Agreement is contingent upon AMBAG's determination that the performance of the CONSULTANT has been satisfactory.
8. UNTIMELY PERFORMANCE BY CONSULTANT

Timely delivery of project deliverables is crucial to this project. Accordingly, late fees shall be assessed against the CONSULTANT for every **calendar day** a milestone or

delivery date is not met. Milestone dates and delivery schedules have been negotiated between the CONSULTANT and AMBAG and shall be assessed as follows:

- Days one (1) through five (5): 0.01 percent of contract total per day
- Days six (6) through fifteen (15): 0.02 percent of contract total per day
- Days sixteen (16) through thirty (30): 0.03 percent of contract total per day

9. OWNERSHIP, CONFIDENTIALITY AND USE OF WORK PRODUCTS

- A. Ownership of any reports, data, studies, surveys, charts, memoranda, and any other documents, which are developed, compiled, or produced as a result of this Agreement, whether or not completed, shall vest with AMBAG. AMBAG reserves a royalty-free, nonexclusive and irrevocable license to reproduce, publish, or otherwise use, and to authorize others to use the data.
- B. AMBAG shall receive copyright and ownership to all data and materials delivered under this contract upon formal acceptance, except for those data and materials that are subject to ownership or copyright of others prior to the execution of this contract. No distribution of the original or derived works shall be made prior to acceptance by AMBAG unless specified in the task order or authorized by the contracting officer. The consultant may maintain copyright and ownership of all original or derived works which are not required submittals under this contract.
- C. Methodology and materials developed under this Agreement are the property of AMBAG and may be used by AMBAG as it sees fit, including the right to revise or publish the same without limitation. CONSULTANT shall not be liable for use of such methodology, materials, software logic, and systems for purposes other than that for which it is developed.
- D. Subject to the California Public Records Act, all Work Products and Related Work Materials including Intellectual Property shall be held confidential by CONSULTANT. Nothing furnished to CONSULTANT, which is otherwise known to CONSULTANT or is generally known, or has become known, to the related industry shall be deemed confidential.
- E. The CONSULTANT shall not use, release, reproduce, distribute, publish, adapt for future use or otherwise use Work Products and Related Work Materials for purposes other than the performance of the Scope of Work, nor authorize others to do so, without prior written permission of AMBAG Legal Counsel; nor shall such materials be disclosed to any person or entity not connected with the performance of the work. CONSULTANT shall also safeguard such confidential materials from unauthorized disclosure, using the same standard of care to avoid disclosure, as the CONSULTANT treats its confidential information, but in no case less than reasonable care.
- F. Upon termination of this Agreement or when requested to do so by AMBAG, CONSULTANT shall erase all copies of Work Products and Related Work Materials from its computers.
- G. All equipment, including, but not limited to, computer hardware, printing and duplication equipment, multimedia equipment, software tools and programs, and upgrade packages to existing equipment, procured in whole or part by funds provided

under this Agreement, are the property of AMBAG. AMBAG shall determine the disposition of all such property upon completion or termination of this Agreement.

- H. AMBAG may utilize any Work Products or Related Work Materials provided by CONSULTANT pursuant to this Agreement, in any manner which AMBAG deems appropriate without additional compensation to CONSULTANT.

10. TERMINATION

A. Termination of Convenience of AMBAG

AMBAG may terminate this Agreement at any time by giving notice to the CONSULTANT of such termination (including the effective termination date) at least thirty (30) calendar days before the effective date of such termination. In such event, all finished or unfinished documents and other materials as described in this Agreement, at the option of AMBAG, become AMBAG's property. If this Agreement is terminated by AMBAG, as provided herein, AMBAG's only obligation shall be the payment of fees and expenses incurred prior to the termination date, for work deemed satisfactory to AMBAG, in accordance with the cost provisions of this Agreement.

B. Termination for Cause

If through any cause, the CONSULTANT shall fail to fulfill in a timely and proper manner its obligations under this Agreement, or if the CONSULTANT violates any of the covenants, terms, or stipulations of this Agreement, AMBAG shall thereupon have the right to terminate the Agreement by giving not less than ten (10) working days written notice to the CONSULTANT of the intent to terminate and specifying the effective date thereof. In such event, all finished or unfinished documents, data, studies, surveys, drawings, maps, models, photographs, reports or other materials prepared by the CONSULTANT under this Agreement shall, at the option of CONSULTANT, become AMBAG's property.

11. AMENDMENT OF SCOPE OF WORK

The parties may amend the Scope of Work subject to mutual prior written modification of the Agreement.

12. CORRECTION OF WORK

The performance of services or acceptance of information furnished by CONSULTANT shall not relieve the CONSULTANT from obligation to correct any defective, inaccurate or incomplete work subsequently discovered and all such work shall be remedied by the CONSULTANT on demand without cost to AMBAG.

13. DELAYS AND EXTENSIONS

Time is of the essence concerning performance of this Agreement; however, the CONSULTANT will be granted time extensions for delays beyond the Consultant's control.

Time extensions will be equal to the length of the delay or as otherwise agreed upon in writing between the CONSULTANT and AMBAG.

14. RECORDS RETENTION AND AUDITS

CONSULTANT shall maintain adequate records of contract performance costs, expenses, etc., and make these records available for inspection, audit, and copying by AMBAG and Caltrans, FHWA, FTA at the Consultant's principal place of business during the agreement period and for a period of three (3) years from the date of final payment, except in the event of litigation or settlement of claims arising from the performance of this contract, in which case Consultant agrees to maintain same until AMBAG, Caltrans, FHWA, FTA, or any of their duly authorized representatives, have disposed of all such litigation, appeals, claims or exceptions related thereto. Reference 49 CFR 18.39(i)(11).

15. SUBCONTRACTING

In accordance with Government Code Section 7550, CONSULTANT agrees to state in a separate section of any filed report the numbers and dollars amounts of all contracts and subcontracts relating to preparation of the report.

16. ASSIGNMENT

The Agreement shall not be assigned by the CONSULTANT, in whole or in part, without the prior written consent of AMBAG.

17. INDEMNIFICATION

To the full extent permitted by law, CONSULTANT shall indemnify, hold harmless, release and defend AMBAG, its officers, employees and agents from and against any and all actions, claims, demands, damages, disability, losses, expenses including attorney's fees and other defense costs and liabilities of any nature that may be asserted by any person or entity including CONSULTANT, in whole or in part, arising out of Consultant's activities hereunder, including the activities of other persons employed or utilized by CONSULTANT in the performance of this Agreement (including design defects and regardless of AMBAG's approval, use or acceptance of the work or work product hereunder) excepting liabilities due to the admitted or adjudicated sole negligence or willful misconduct of AMBAG. If the adjudicated or admitted sole negligence or willful misconduct of AMBAG has contributed to a loss, CONSULTANT shall not be obligated to indemnify AMBAG for the proportionate share of such loss caused by such sole negligence or willful misconduct. This indemnification obligation is not limited in any way by any limitation on the amount or type of damages or compensation payable by or for CONSULTANT under Worker's Compensation, disability or other employee benefit acts or the terms, applicability or limitations of any insurance held or provided by CONSULTANT and shall continue to bind the parties after termination/completion of this Agreement.

18. CIVIL RIGHTS

- A. 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 CONSULTANT 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 CONSULTANT agrees to comply with applicable Federal implementing regulations and other implementing requirements FTA may issue.
- B. Equal Employment Opportunity - The following equal employment opportunity requirements apply to the underlying contract:
1. Race, Color, Creed, National Origin, Sex - In accordance with Title VII of the Civil Rights Act, as amended, 42 U.S.C. § 2000e, and Federal transit laws at 49 U.S.C. § 5332, the CONSULTANT 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 CONSULTANT 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 CONSULTANT agrees to comply with any implementing requirements FTA may issue.
 2. Age - In accordance with section 4 of the Age Discrimination in Employment Act of 1967, as amended, 29 U.S.C. § 623 and Federal transit law at 49 U.S.C. § 5332, the CONSULTANT agrees to refrain from discrimination against present and prospective employees for reason of age. In addition, the CONSULTANT agrees to comply with any implementing requirements FTA may issue.
 3. Disabilities - In accordance with section 102 of the Americans with Disabilities Act, as amended, 42 U.S.C. § 12112, the CONSULTANT 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 CONSULTANT agrees to comply with any implementing requirements FTA may issue.
- C. The CONSULTANT 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.

20. FEDERAL CHANGES - Consultant 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 Purchaser and FTA, as they may be amended or promulgated from time to time during the term of this contract. Consultant's failure to so comply shall constitute a material breach of this contract.

21. ENERGY CONSERVATION - The consultant 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.

22. NO OBLIGATION BY THE FEDERAL GOVERNMENT

A. AMBAG and CONSULTANT 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 AMBAG, CONSULTANT, or any other party (whether or not a party to that contract) pertaining to any matter resulting from the underlying contract.

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

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

A. The CONSULTANT 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 Consultant 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 CONSULTANT 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 CONSULTANT to the extent the Federal Government deems appropriate.

B. The CONSULTANT 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 CONSULTANT, to the extent the Federal Government deems appropriate.

- C. The CONSULTANT 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 Subconsultant who will be subject to the provisions.

24. SUSPENSION AND DEBARMENT

This contract is a covered transaction for purposes of 49 CFR Part 29. As such, the CONSULTANT is required to verify that none of the 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 CONSULTANT 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.

By signing and submitting the contract, the CONSULTANT shall certify those clauses described in the Debarment and Suspension Certification, Exhibit B attached hereto and incorporated herein by this reference and shall comply with all relevant conditions as set forth in the AGREEMENT.

25. CONTRACTS INVOLVING FEDERAL PRIVACY ACT REQUIREMENTS

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

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

26. INSURANCE/NOTIFICATION

Prior to the beginning, and throughout the duration, of the work, CONSULTANT will maintain insurance in conformance with the requirements set forth below. CONSULTANT will use existing coverage to comply with these requirements. If that existing coverage does not meet the requirements set forth here, it will be amended to do so. CONSULTANT acknowledges that the insurance coverage and policy limits set forth in this section constitute the minimum amount of coverage required. Any

insurance proceeds in excess of the limits and coverage required in this agreement and which is applicable to a given loss, will be available to AMBAG.

CONSULTANT is covered by, and agrees to maintain, general liability insurance for bodily injury and property damage arising directly from its negligent acts or omissions with limits as specified below. Certificates of insurance shall be provided to AMBAG prior to commencement of work by CONSULTANT. CONSULTANT agrees to indemnify, protect, defend and name AMBAG, its public officials, officers and employees as additional insured on the Commercial General Liability and Business Auto Insurance and hold harmless from any loss, damage or liability arising directly from any negligent act or omission by CONSULTANT. CONSULTANT shall not be responsible for any loss, damage or liability arising from any act or omission by AMBAG, its officials, officers or employees.

CONSULTANT shall provide the following types and amounts of insurance:

- A. Commercial General Liability Insurance using Insurance Services Office "Commercial General Liability" policy form CG 00 01, with an edition date prior to 2004, or the exact equivalent. Coverage for an additional insured shall not be limited to its vicarious liability. Defense costs must be paid in addition to limits. Limits shall be no less than \$1,000,000 per occurrence for all covered losses and no less than \$2,000,000 general aggregates.
- B. Workers' Compensation on a state-approved policy form providing statutory benefits as required by law with employer's liability limits no less than \$1,000,000 per accident for all covered losses.
- C. Business Auto Coverage on ISO Business Auto Coverage form CA 00 01 including owned, non-owned and hired autos, or the exact equivalent. Limits shall be no less than \$1,000,000 per accident, combined single limit. If CONSULTANT owns no vehicles, this requirement may be satisfied by a non-owned auto endorsement to the general liability policy described above. If CONSULTANT or CONSULTANT'S employees use personal autos in any way on this project, CONSULTANT shall obtain evidence of personal auto liability coverage for each such person.
- D. Errors and Omissions Liability CONSULTANT shall provide evidence of professional liability insurance on a policy form appropriate to Consultant's profession. Limits shall be no less than \$1,000,000/claim.
- E. Certificate of Insurance CONSULTANT shall file a certificate of insurance completed and filed with AMBAG within fifteen (15) days of execution of this Agreement and prior to engaging any operation or activities set forth in this Agreement. The foregoing policies shall provide that no cancellation, major change in coverage, or expiration by insurance company or insured during the term of this contract shall occur without thirty (30) days written notice to AMBAG prior to the effective date of such cancellation or change in coverage.
- F. All such insurance shall be written on an occurrence basis, or, if the policy is not written on an occurrence basis, such policy with the coverage required herein shall continue in effect for a period of two (2) years after completion of the contract.

G. The Commercial General Liability and Business Auto insurance policies shall provide an endorsement naming AMBAG, its officers, agents, employees and volunteers as Additional Insured, and shall further provide that such insurance is primary insurance to any insurance or self-insurance maintained by AMBAG and that the insurance of the Additional Insured shall not be called upon to contribute to a loss covered by the insurance AMBAG.

27. CONFLICT OF INTEREST

CONSULTANT covenants that it presently has no interest and shall not acquire any interest, direct or indirect, which would conflict in any manner or degree with the performance of its services hereunder. CONSULTANT further covenants that in the performance of this Agreement, no person having any such interest shall be employed.

CONSULTANT shall at all time avoid conflicts of interest, or the appearance of conflicts of interest, in the performance of this contract. CONSULTANT shall file statements of financial interest on forms provided by AMBAG to the extent and at the times required by AMBAG's Conflict of Interest Code and applicable law.

28. STATEMENT OF ECONOMIC INTEREST

If AMBAG determines CONSULTANT comes within the definition of CONSULTANT under the Political Reform Act (Government Code §87100), CONSULTANT shall complete and file and shall require any other person doing work under this Agreement to complete and file a "Statement of Economic Interest" with AMBAG disclosing CONSULTANT and/or such other person's financial interests.

29. MERGER

This Agreement shall constitute the entire Agreement between the parties and shall supersede any previous agreements, whether verbal or written, concerning the same subject matter. No modification of this Agreement shall be effective unless and until evidence by a writing is signed by both parties.

30. DEFAULT

If CONSULTANT should fail to perform any of his obligations hereunder, within the time and in the manner herein provided or otherwise violate any of the terms of this Agreement, AMBAG may terminate this Agreement by giving CONSULTANT written notice of such termination, stating the reason for such termination. In such event, CONSULTANT shall be entitled to receive as full payment for all services satisfactorily rendered and expenses incurred hereunder, an amount which bears the same ratio to the total fees specified in the agreement as the services satisfactorily rendered hereunder by CONSULTANT bear to the total services otherwise required to be performed for such total fee; provided, however, that AMBAG may withhold payments not yet made to CONSULTANT for the purpose of setoff until such time as the exact amount of damages due AMBAG from CONSULTANT is determined.

31. NO WAIVER OF BREACH/ TIME

The waiver by AMBAG of any breach of any term or promise contained in this Agreement shall not be deemed to be a waiver of such term or provision or any subsequent breach of the same or any other term or promise contained in this Agreement. Time is of the essence in carrying out the duties hereunder.

32. THIRD PARTY BENEFICIARIES

Nothing contained in this Agreement shall be construed to create and the parties do not intend to create any rights in third parties.

33. ATTORNEYS' FEES, APPLICABLE LAW AND FORUM

In the event either party brings an action or proceeding for damages arising out of the other's performance under this Agreement or to establish the right or remedy of either party, the prevailing party shall be entitled to recover reasonable attorneys' fees and costs as part of such action or proceeding, whether or not such action or proceeding is prosecuted to judgment. This Agreement shall be construed and interpreted according to California law, and any action to enforce the terms of this Agreement or for the breach thereof shall be brought and tried in the County of Monterey.

34. INDEPENDENT CONSULTANT

The parties intend that CONSULTANT, in performing the services specified herein, shall act as an independent consultant and shall have control of the work and the manner in which it is performed. CONSULTANT is not to be considered an agent or employee of AMBAG and is not entitled to participate in any pension plan, insurance, bonus or similar benefits AMBAG provides its employees. In the event AMBAG exercises its right to terminate this Agreement, CONSULTANT expressly agrees that he/she shall have no recourse nor right of appeal under rules, regulations, ordinances or laws applicable to employees.

35. TAXES

CONSULTANT agrees to file tax returns and pay all applicable taxes on amounts paid pursuant to this Agreement and shall be solely liable and responsible to pay such taxes and other obligations, including, but not limited to, state and federal income and FICA taxes. CONSULTANT agrees to indemnify and hold AMBAG harmless from any liability which it may incur to the United States or to the State of California as a consequence of CONSULTANT's failure to pay, when due, all such taxes and obligations.

36. FEDERAL TAX FORMS

Prior to issuing the initial claim under this Agreement, the CONSULTANT shall submit Federal Tax Form W-9, Request for Taxpayer Identification Number and Certification to the following address:

Association of Monterey Bay Area Governments

ATTN: Accounts Payable

P.O. Box 809

Marina, CA 93933

or by FAX to: (831) 883-3755. Unless AMBAG receives a completed Tax Form W-9, payments for services performed under this AGREEMENT shall be subject to federal backup withholding.

37. COMPLIANCE WITH LAWS, RULES, AND REGULATIONS

- A. CONSULTANT shall study and comply with all applicable federal, state and local laws, rules and regulations affecting the CONSULTANT and his/her work hereunder. CONSULTANT represents and warrants to AMBAG that CONSULTANT has and will keep in effect during the term of this Agreement all licenses, permits, qualifications and approvals of whatsoever nature which are legally required for CONSULTANT to practice Consultant's profession and to do the work hereunder.
- B. CONSULTANT agrees to abide by the requirements of the Immigration and Control Reform Act pertaining to assuring that all employees of CONSULTANT performing any services under this Agreement have a legal right to work in the United States of America, that all required documentation of such right to work is inspected, and that INS Form 1-9 (as it may be amended from time to time) is completed and on file for each employee. CONSULTANT shall make the required documentation available upon request to AMBAG for inspection.

38. FEDERAL AND STATE LOBBYING ACTIVITIES CERTIFICATION (43 CFR PART 18)

By signing this AGREEMENT, the CONSULTANT certifies, to the best of its knowledge and belief, that no State or Federal funds have been paid or will be paid, by or on behalf of AMBAG, to any person for influencing or attempting to influence an officer or employee of any State or Federal agency, a Member of the State Legislature or United States Congress, an officer or employee of the Legislature or Congress, or any employee of a Member of the Legislature or Congress in connection with the awarding of any State or Federal contract, the making of any State or Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, or the extension, continuation, renewal, amendment, or modification of any State or Federal contract, grant, loan, or cooperative agreement.

If any funds other than State or Federal funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any Federal 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 CONSULTANT shall complete and submit Federal Standard Form-L, "Disclosure Form to Report Lobbying," in accordance with those form instructions.

This certification is a material representation of fact, upon which reliance was placed when this Agreement was entered into. Submission of this certification is a prerequisite for making or entering into this Agreement pursuant to 31 U.S.C. 1352 and 49 C.F.R. Part 19, Appendix A, Section 7.

The CONSULTANT also agrees by signing this Agreement that it will require that the language of this certification be included in all subcontracts funded wholly or in part by any funds provided herein and which exceed \$100,000 and that all such Subconsultant(s) shall certify and disclose accordingly.

39. CERTIFICATIONS AND ASSURANCES

A. CONSULTANT shall adhere to the requirements contained in AMBAG's annual Certification and Assurances (FHWA and FTA Metropolitan Transportation Planning Process Certification) submitted as part of AMBAG's OWP, pursuant to 23 CFR 450.334 and 23 U.S.C. 134. This Certification shall be published annually in AMBAG's OWP. Such requirements shall apply to CONSULTANT to the same extent as AMBAG and may include, but are not limited to:

1. Title VI of the Civil Rights Act of 1964 and Title VI Assurance executed by California under 23 U.S.C. 324 and 29 U.S.C. 794;
2. Pub. Law 105-178, 112 Stat. 107 and any successor thereto, regarding the involvement of disadvantaged business enterprises in FHWA and FTA funded projects (Sec. 105(f), Pub. L. 970424, 96 Stat. 2100, 49 CFR part 26); and
3. The Americans with Disabilities Act of 1990 (Pub. L. 101-336, 104 Stat. 327, as amended) and the United States Department of Transportation (US DOT) implementing regulations (49 CFR 27, 37, and 38).

B. CONSULTANT shall additionally comply with the requirements contained in the annual FTA Certifications and Assurances for FTA Assistance, including Certifications and Assurances Required of Each Applicant and the Lobbying Certification in compliance with 49 U.S.C. Chapter 53; published annually in AMBAG's OWP. Such assurances shall apply to CONSULTANT to the same extent as AMBAG, and include but are not limited, the following areas:

1. Standard Assurances
2. Debarment, Suspension, and Other Responsibility Matters for Primary Covered Transactions
3. Drug Free Work Place Agreement
4. Intergovernmental Review Assurance
5. Nondiscrimination Assurance
6. DBE Assurance
7. Nondiscrimination on the Basis of Disability
8. Certification and Assurances required by the U.S. Office of Management and Budget

- C. The CONSULTANT shall require its Subconsultant(s) to comply with these Certifications, and agrees to furnish documentation to AMBAG to support this requirement that all of its agreements with Subconsultant(s) contain provisions requiring adherence to this section in its entirety.

40. COST PRINCIPLES

- A. CONSULTANT agrees to comply with the following:
 - 1. the Contract Cost Principles and Procedures, 48 Code of Federal Regulations, Federal Acquisition Regulations System, Chapter 1, Part 31, et seq. (Office of Management and Budget Circular A-87, "Cost Principles for State, Local, and Indian Tribal Governments"), shall be used to determine the allowability of individual project cost items, and
 - 2. the Federal administrative procedures in accordance with 49 Code of Federal Regulations, Part 18, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments."
- B. Any costs for which CONSULTANT receives payment or credit that is determined by a subsequent audit or other review by either AMBAG, Caltrans or other State or Federal authorities to be unallowable under, but not limited to, OMB Circular A-87; 48 CFR, Chapter 1, Part 31; or 49 CFR, Part 18, are to be repaid by CONSULTANT within thirty (30) days of CONSULTANT receiving notice of audit findings. Should CONSULTANT fail to reimburse moneys due AMBAG within thirty (30) days of demand, or within such other period as may be agreed between Parties hereto, AMBAG is authorized to withhold future payments due CONSULTANT.
- C. CONSULTANT agrees to furnish documentation to AMBAG to support this requirement that all of its agreements with Subconsultant(s) contain provisions requiring adherence to this section in its entirety.

41. DISADVANTAGED BUSINESS ENTERPRISE (DBE)

- A. The CONSULTANT and its Subconsultant(s) shall not discriminate on the basis of race, color, national origin, or sex in the performance of this contract. The CONSULTANT shall carry out applicable requirements of 49 CFR Part 26 in the award and administration of State or DOT-assisted contracts or in the administration of AMBAG's DBE Program. Failure by the CONSULTANT 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 AMBAG deems appropriate.
- B. It is the policy of AMBAG, Caltrans, and DOT, that the Disadvantaged Business Enterprises (DBEs), as defined in 49 CFR Part 26, shall have an equal opportunity to receive and participate in DOT-assisted contracts. The CONSULTANT and its Subconsultant(s) shall comply with the requirements of 49 CFR Part 26 and with AMBAG's DBE Program, as amended.
- C. A "DBE Information Form" is attached hereto and incorporated herein by this reference as Exhibit D. Even if no DBE participation will be reported, the CONSULTANT shall complete and sign such form at the time this AGREEMENT is executed

- D. During the period of this Agreement, the CONSULTANT shall maintain records of all applicable subcontracts advertised and entered into germane to this AGREEMENT, documenting the actual DBE participation and records of materials purchased from DBE suppliers. Such documentation shall show the name and business address of each DBE Subconsultant(s) or vendor, and the total dollar amount actually paid each DBE Subconsultant(s) or vendor. Upon completion of the AGREEMENT, regardless of whether DBE participation is obtained, a summary of the DBE records shall be prepared, certified correct, and submitted on a form that shall be provided by AMBAG.

42. FLOW-DOWN PROVISIONS

Any subcontract entered into as a result of this AGREEMENT shall contain the following provisions of this Agreement:

Section 3 (Coordination/Staffing); Section 5 (Invoicing for Payment); Section 6 (Agreement Completion Retainer); Section 7 (Satisfactory Performance); Section 9 (Ownership, Confidentiality, and Use of Work Products); Section 10 (Termination); Section 11 (Disputes); Section 15 (Records Retention and Audits); Section 18 (Indemnification); Section 19 (Civil Rights); Section 23 (Program Fraud and False or Fraudulent Statements and Related Acts); Section 27 (Conflict of Interest); Section 34 (Independent Consultant); Section 37 (Compliance with Laws, Rules, and Regulations); Section XX (Disadvantaged Business Enterprise); Section 38 (Federal and State Lobbying Activities Certification); Section 39 (Certifications and Assurances); and Section 40 (Cost Principles)

43. INTERPRETATION

Notwithstanding the fact that one or more provisions of this Agreement may have been drafted by one of the parties to this Agreement, such provisions shall be interpreted as though they were a product of a joint drafting effort and no provisions shall be interpreted against a party on the ground that said party was solely or primarily responsible for drafting the language to be interpreted.

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

AMBAG:

Signature: _____

Name: Maura F. Twomey

Title: Executive Director

Association of Monterey Bay Area Governments (AMBAG)

CONSULTANT:

Signature: _____

Name:

Title: President

APPROVED TO AS TO FORM:

By: _____

Don Freeman, AMBAG Legal Counsel

P.O. Box 805, Carmel CA 93921

EXHIBIT A. PROJECT TASKS/SERVICES, TIMELINE, AND BUDGET

**EXHIBIT B. DEBARMENT AND SUSPENSION
CERTIFICATION**

TITLE 49, CODE OF FEDERAL REGULATIONS, PART 29
DEBARMENT AND SUSPENSION CERTIFICATION

1. All persons or firms, including Subconsultant(s), must complete this certification and certify, under penalty of perjury, that, except as noted below, he/she or any person associated therewith in the capacity of owner, partner, director, officer, or manager:
 - a. Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any federal department or agency;
 - b. Have not, within the three (3) year period preceding this certification, been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (federal, state, or local) transaction or contract under a public transaction, violation of Federal or state antitrust statutes, or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
 - c. 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 listed in subparagraph (1)(b) of this certification; and
 - d. Have not, within the three (3) year period preceding this certification, had one or more public transactions (Federal, state, and local) terminated for cause or default.
2. If such persons or firms later become aware of any information contradicting the statements of paragraph (1), they will promptly provide that information to AMBAG.

If there are any exceptions to this certification, insert the exceptions in the following space.

Exceptions will not necessarily result in denial of award, but will be considered in determining bidder responsibility. For any exception noted above, indicate below to whom it applies, initiating agency, and dates of actions.

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

Name of Firm

Signature (original signature required)

Date

**EXHIBIT C. FEDERAL TAX FORM W-9,
REQUEST FOR TAXPAYER IDENTIFICATION
NUMBER AND CERTIFICATION**

**EXHIBIT D. DISADVANTAGED BUSINESS
ENTERPRISES (DBE) INFORMATION FORM**

FORMS AND CERTIFICATIONS – RFP ATTACHMENT D
CALIFORNIA LEVINE ACT STATEMENT

California Government Code § 84308, commonly referred to as the "Levine Act," precludes an officer of a local government agency from participating in the award of a contract if he or she receives any political contributions totaling more than \$250 in the 12 months preceding the pendency of the contract award, and for three months following the final decision, from the person or company awarded the contract. This prohibition applies to contributions to the officer, or received by the officer on behalf of any other officer, or on behalf of any candidate for office or on behalf of any committee.

1. Have you or your company, or any agent on behalf of you or your company, made any political contributions of more than \$250 to any AMBAG/RAPS, Inc. Board Director in the 12 months preceding the date of the issuance of this Request for Proposals?

YES NO

If yes, please identify the Board Director(s): _____

2. Do you or your company, or any agency on behalf of you or your company, anticipate or plan to make any political contributions of more than \$250 to any AMBAG/RAPS, Inc. Board Director in the three months following the award of the contract?

YES NO

If yes, please identify the Board Director(s): _____

Answering yes to either of the two questions above does not preclude AMBAG from awarding a contract to your firm. It does, however, preclude the identified Board Director(s) from participating in the contract award process for this contract.

DATE

(SIGNATURE OF AUTHORIZED OFFICIAL)

(TYPE OR WRITE APPROPRIATE NAME, TITLE)

(TYPE OR WRITE NAME OF COMPANY)

CERTIFICATION
DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS

1. All persons or firms, including Subcontractor(s), must complete this certification and certify, under penalty of perjury, that, except as noted below, he/she or any person associated therewith in the capacity of owner, partner, director, officer, or manager:
 - a. Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any federal department or agency;
 - b. Have not, within the three (3) year period preceding this certification, been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (federal, state, or local) transaction or contract under a public transaction, violation of Federal or state antitrust statutes, or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
 - c. 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 listed in subparagraph (1)(b) of this certification; and
 - d. Have not, within the three (3) year period preceding this certification, had one or more public transactions (Federal, state, and local) terminated for cause or default.
2. If such persons or firms later become aware of any information contradicting the statements of paragraph (1), they will promptly provide that information to AMBAG.

If there are any exceptions to this certification, insert the exceptions in the following space.

Exceptions will not necessarily result in denial of award, but will be considered in determining bidder responsibility. For any exception noted above, indicate below to whom it applies, initiating agency, and dates of actions.

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

Name of Firm

Signature (original signature required)

Date

CERTIFICATION OF RESTRICTIONS ON LOBBYING

I. _____ hereby certify on behalf of _____ that:
(name and title of authorized official) (name of firm)

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 any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract grant, loan, or cooperative agreement.
2. If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying" in accordance with its instructions.
3. The undersigned shall require that the language of this certification be included in the award documents for all sub-awards at all tiers (including subcontracts, sub-grants, and contracts under grants, loans, and cooperative agreements) and that all sub-recipients shall certify and disclose accordingly.

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

Executed this _____ day of _____, 2014.

By _____ (signature of authorized official)

(title of authorized official)

CERTIFICATION OF RESTRICTIONS ON LOBBYING

I. _____ hereby certify on behalf of _____ that:
(name and title of authorized official) (name of firm)

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 any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract grant, loan, or cooperative agreement.
2. If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying" in accordance with its instructions.
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This certification is a material representation of fact upon which reliance is placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, Title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Executed this _____ day of _____, 2014.

By _____ (signature of authorized official)

(title of authorized official)

