

INVITATION FOR BIDS**S20115****CARDBOARD BALER PREVENTATIVE MAINTENANCE AND REPAIRS**

*Procurement, Contracts and Materials Management Department
3331 North First Street, Building B
San Jose, CA 95134-1906
www.vta.org*

Contracts Administrator	Norman David
<u>Key IFB Dates</u>	
Date Issued	AUGUST 13, 2020
Pre-Bid Conference	AUGUST 21, 2020; 10:00 AM P.T.
Submit Questions	AUGUST 25, 2020 by 2:00 PM P.T.
Submit Bids:	SEPTEMBER 11, 2020 by 2:00 PM P.T.

**INVITATION FOR BIDS
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TABLE OF CONTENTS:

INVITATION FOR BIDS3
INSTRUCTIONS TO BIDDERS9
STANDARD TERMS AND CONDITIONS13
SPECIAL CONDITIONS.....20
SCOPE OF WORK23
BID FORM 1-A: BIDDER ACKNOWLEDGEMENT OF ADDENDA..... 30
BIDDER’S SIGNATURE PAGE..... 31
BID FORM 2-A: LISTING OF SBE CONTRACTOR OR SUBCONTRACTORS 32
BID FORM 2-B: SBE SUPPLEMENTAL CONTRACTOR AND SUBCONTRACTOR INFORMATION 34
BID FORM 2-C: BIDDER’S QUESTIONNAIRE 35
BID FORM 2-D: “NO BID” RESPONSE FORM 39
EXHIBIT A: INSURANCE REQUIREMENTS 41
EXHIBIT B: PREVAILING WAGE REQUIREMENTS..... 45
EXHIBIT C: SMALL BUSINESS ENTERPRISE (SBE) POLICY AND REQUIREMENTS.....47
EXHIBIT D: QUALITY ASSURANCE AND WARRANTY PROVISION51
EXHIBIT E: SAMPLE CONTRACT52
ATTACHMENT A: BID FORM 1-B – SCHEDULE OF PRICES AND ESTIMATED QUANTITIES



*Procurement, Contracts and Materials Management Department
3331 North First Street. Building "A"
San Jose, CA 95134-1906*

**INVITATION FOR BIDS
S20115
CARDBOARD BALER PREVENTATIVE MAINTENANCE AND REPAIRS**

Invitation for Bid. Request for quotation. Request for proposal.

INSTRUCTIONS:

The enclosed Santa Clara Valley Transportation Authority (herein referred to as "VTA") "conditions" form an integral part of each bid ("Bid"). Prices must be F.O.B destination, freight prepaid and allowed, unloaded to the dock unless otherwise specified.

CONTRACT ADMINISTRATOR	DATE ISSUED	CLOSING TIME/DATE	BID NUMBER
Norman David	AUGUST 13, 2020	SEPTEMBER 11, 2020	S20115
Phone (408) 952-4259 e-mail: norman.david@vta.org	<ul style="list-style-type: none"> • Virtual Pre-Bid Conference: AUGUST 21, 2020 at 10:00 AM P.T. • Last Day to ask Questions: AUGUST 25, 2020; by 2:00 PM P.T. • Bids will be received until 2:00 PM P.T. on the above closing date. 		

- CONTRACT TITLE:** Cardboard Baler preventative maintenance and repairs
- PRE-BID CONFERENCE:** A pre-bid conference is scheduled for AUGUST 21, 2020 at 10:00 AM P.T. The pre-bid conference will be held via virtual conference only.

Attendance at the Pre-Bid Conference is not mandatory but is strongly encouraged. Attendance may be in person or via teleconference. Email the contract administrator ("Contract Administrator") listed above to register as a teleconference attendee. Teleconference registration deadline is **August 20, 2020 by 2:00 PM P.T.**

Virtual pre-proposal conference details:

Date: August 21, 2020

Time: 10:00 am

Microsoft Teams: [Join Microsoft Teams Meeting](#)[+1 408-889-1601](#) United States, San Jose (Toll)

Conference ID: 778 347 459#

3. **BID OPENING TIME & LOCATION:** Each bidder (“Bidder”) must submit its sealed Bid no later than 2:00 PM P.T. on September 11, 2020 at the Santa Clara Valley Transportation Authority’s Procurement, Contracts and Materials Management Department at 3331 North First Street, Building A, San Jose, CA 95134, and, at that time, publicly opened and read. No Bids will be received or accepted after 2:00PM P.T. on September 11, 2020.

4. **BID DOCUMENTS:** The following, in addition to this Invitation for Bid, constitute the Bid documents (“Bid Documents”) in order of precedence, and are the instructions and conditions to this Bid:

- Solicitation Amendments, if any
- Invitation for Bid
- Technical Specifications and/or Scope of Work
- Contractor Acknowledgement of Addenda (Bid Form 1-A)
- Attachment A - Schedule of Prices and Estimated Quantities (Bid Form 1-B)
- Listing of SBE Contractor or subcontractors (Bid Form 2-A)
- Supplemental Contractor and subcontractor Information (Bid Form 2-B)
- Bidder’s Questionnaire (Bid Form 2-C)
- “No Bid” Response Form (Bid Form 2-D)
- Instructions to Bidders
- Special Conditions
- VTA Standard Terms and Conditions
- Exhibit A – Insurance Requirements
- Exhibit B – Prevailing Wage Requirements
- Exhibit C – Small Business Enterprise (SBE) Policy and Requirements

Exhibit D – Quality Assurance and Warranty Provision

Exhibit E – Sample Contract

5. **TERM OF CONTRACT:** The term of the contract (“Contract”) awarded to the successful Bidder (herein also referred to as the “Contractor”) shall be three (3) years from date of award by VTA, with four (4) additional one (1) year options for years four, five, six and seven. VTA may extend the term of the Contract by written notice to the Contractor within thirty (30) days prior to the end of the current Contract term.

6. **CONTRACT TYPE:** VTA anticipates the award of a firm, fixed-price Contract as a result of this solicitation.

This is an exclusive contract. Except as the Contract otherwise provides, VTA shall order from the Contractor all the goods or services specified in the Scope of Work and/or Schedule of Prices and Estimated Quantities that are required to be purchased by VTA. The quantities of the various unit price items or services specified in the Scope of Work and/or Schedule of Prices and Estimated Quantities are the estimated total quantities of such items or services required by VTA. The estimate is not a representation to Contractor that the estimated quantities will be required or ordered, or that conditions affecting requirements will be stable or normal. The estimates are not in any way guaranteed and will not form any basis for any claims or damages including, but not limited to, lost profits should the estimates change in any way.

7. **OBLIGATION:** This Invitation for Bids does not obligate VTA to award a Contract or to pay costs incurred in the preparation or submittal of any Bid.

8. **INSURANCE:** Each prospective Bidder (herein referred to as the “Bidder” or “Contractor”) is cautioned to review the Insurance requirements of this solicitation. See Exhibit A.

9. **PRICE:** It is the desire of VTA to enter into a firm fixed price Contract with the successful Bidder who agrees that the prices quoted are firm and fixed for the duration of the Contract. The unit price as bid will apply regardless of the actual quantity purchased.

A. No additional charges will be allowed unless agreed to in writing by VTA prior to delivery of goods and/or services. Bidder agrees that the prices quoted on the attached Bid Form 1-B are maximum for the period of the proposed Contract, and in the event of a price decline, the benefit of such lower price shall be extended to VTA.

10. **PRICE INCREASE:** [OMITTED].

11. **FREIGHT TERMS:** All materials shall be FOB Destination, prepaid and allowed, at no additional cost to VTA unless specified otherwise in the Scope of Work, attached hereto. Destination is defined for purposes of this Contract as the VTA Yard locations as specified under Delivery or on the individual purchase orders associated with this Contract. Any exception to this policy may deem the Bid non-responsive.

12. **INVOICE BILLING/PAYMENT TERMS:** Invoices shall be prepared per descriptions and pricing in this Bid.

Note: Invoices for goods or services not specifically covered in this Bid will not be approved for payment.

13. SPECIFICATIONS: See Scope of Work.

14. QUANTITIES: See CONTRACT TYPE section (above), Scope of Work, and the Schedule of Prices and Estimated Quantities.

15. BIDS: All Bids must be received in sealed envelopes with the Bidder’s company name, bid number, closing date and time noted on the outside of the envelope. **At this time, electronically submitted Bids cannot be accepted.**

16. AWARD CRITERIA: Contracts shall be awarded to the lowest responsive and responsible Bidder found to have the fitness, quality, and capacity to satisfactorily deliver the goods and services as detailed in the Bid Documents. Any potential Contract award will be subject to a VTA technical and business evaluation of the Bidder prior to any Contract award. VTA reserves the right to reject any and all Bids or to waive any informalities or technicalities in any Bid in the best interest of VTA. Single conforming Bids are subject to price or cost analysis by VTA. Bids will be valid for review and award up to ninety (90) days after Bid opening.

The specific basis of award is the Total Bid designated on Bid Form 1-B Schedule of Prices sheet that is a part of these Bid Documents.

17. SOLICITATION SUBMITTALS: Your Bid submittal should include the following forms which are included in this IFB:

BID FORM 1-A: BIDDER ACKNOWLEDGEMENT OF ADDENDA.....	30
BIDDER’S SIGNATURE PAGE.....	31
BID FORM 2-A: LISTING OF SBE CONTRACTOR OR SUBCONTRACTORS.....	32
BID FORM 2-B: SBE SUPPLEMENTAL CONTRACTOR AND SUBCONTRACTOR INFORMATION.....	34
BID FORM 2-C: BIDDER’S QUESTIONNAIRE.....	35
BID FORM 2-D: “NO BID” RESPONSE FORM.....	39
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18. BRAND NAME OR EQUAL: [OMITTED].

19. Q/A AND WARRANTY PROGRAMS SUBMITTALS:

All QA and warranty submittals should be provided no later than Notice to Proceed (NTP) plus 15 working days.

A. SUPPLIER QUALITY PROGRAM REQUIREMENTS:

- (1) Quality Manager contact information.

(2) ISO quality program certificate (If available).

B. SUPPLIER WARRANTY PROGRAM REQUIREMENTS:

- (1) Written legal limited warranty (Claims) policy.
- (2) Return Materials Authorization (RMA) procedure.

20. DELIVERY ADDRESS: The delivery address (within Santa Clara County) will be provided to the successful Bidder.

21. SMALL BUSINESS ENTERPRISE POLICY:

- A. POLICY:** It is VTA policy to ensure that Small Business Enterprises (SBEs), as defined in Federal Regulations at 13 CFR Part 121, have the maximum opportunity to participate in the performance of contracts and subcontracts.
- B. SBE GOAL:** VTA has not established a specific Small Business Enterprise (SBE) goal for this project. However, Bidder agrees to cooperate with VTA in meeting VTA's overall goal of 19% annual utilization of Small Business Enterprises. In this regard, Contractor will use its best efforts to ensure that SBEs shall have an equitable opportunity to compete for subcontract work under this Contract.

- (1) All SBE firms listed on Bid Form 2-A must be certified by VTA's Office of Business Diversity Program (OBDP) or the California Unified Certification Program (CUCP) at the time of Bid to be counted toward the Contract SBE goal.
- (2) Bid Form 2-A and Bid Form 2-B are required to be submitted at the Bid opening.
- (3) It is the Bidder's sole responsibility for verifying subcontractor certification as a SBE to VTA. The list of VTA SBEs is available at <https://www.vta.org/business-center/business-diversity-programs#accordion-small-business-enterprise-program>
- (4) The VTA SBE application is available at http://vtaorgcontent.s3-us-west-1.amazonaws.com/Site_Content/SBE%20Application%20rev%2011-2013

22. MINORITY AND WOMEN-OWNED BUSINESS ENTERPRISE (MWBE) POLICY AND REQUIREMENTS:

- A. POLICY:** It is the policy of the Santa Clara Valley Transportation Authority to ensure that Minority and Women-Owned Business Enterprises (MWBEs) as defined in the VTA MWBE Program have an equal opportunity to participate in the performance of contracts and subcontracts financed with local funds. VTA has an 18% MWBE aspirational goal.

VTA's Office of Business Diversity Program encourages Contractors to call (408) 321-5962 for assistance in identifying eligible MWBE firms. Listings of eligible firms are also available on the World Wide Web at the following:

- www.vta.org/obdp

B. POST AWARD ACTIVITIES:

- (1) **NONDISCRIMINATION:** The Contractor shall make VTA's contracting requirements known to subcontractors, vendors and suppliers who are certified or accepted as certifiable as MWBE, as well as to non-MWBE businesses, and shall provide a practical opportunity for all firms to participate in the contract.
- (2) **PROMPT PAYMENT:** The Contractor must adhere to all federal and California prompt payment laws and regulations. If Contractor does not adhere to prompt payment requirements, penalties may apply.

23. WEBSITE REGISTRATION:

Bidders must register on VTA's website as a condition of bidding to ensure receiving notification of any potential addenda or other pertinent information, as well as notification of closing and award even if this was a manually processed IFB. Go to <http://www.vta.org>, select "About", then "Business Center", and then select "Register" under "Get Registered". The system will take you to the registration page where you will enter all your registration information. In the "NAICS Email Subscription Settings" check the box "New Solicitation and Updates, Including Plan Holder Updates". Then check all the NAICS code boxes for the categories of business that represent your company.

Once you are confirmed as a registered vendor, click the "View Solicitations" link on the page. This will take you to the "Procurements" page where you will select this solicitation. Once you are on the page for this solicitation, you will need to register and log in to download the solicitation documents. You do this by entering in your email address and password in the boxes indicated. You will finalize your registration by downloading all the solicitation documents. This will register you as a plan holder for this solicitation.

It is vital to register as a plan holder, because if any addenda or notifications are posted for this solicitation, you will get an email directing you to go to the site for viewing and possible download.

Note: To review Bids after award of Contract, contact the Contract Administrator listed in the Instructions section.

24. EXERCISE OPTIONS:

The Contractor hereby grants VTA options ("Options") to extend the length of this Contract as specified under the Term of Contract section of this solicitation.

VTA may extend the term of this contract by written notice to the Contractor within thirty (30) days prior to the end of the current Contract term. If VTA exercises this Option, the extended contract shall be considered to include this option clause. The total duration of this contract, including the exercise of any options under this clause, shall not exceed seven (7) years.

The price of the Options shall be as shown on Bid Form 1-B, Schedule of Prices and Estimated Quantities.

Except as otherwise specified, all terms of the Invitation for Bid and any resulting Contract shall apply to the Options.

INSTRUCTIONS TO BIDDERS
S20115
CARDBOARD BALER PREVENTATIVE MAINTENANCE AND REPAIRS

1. EXAMINATION OF DOCUMENTS:

- A. A complete set of Bid Documents shall be used in preparing a Bid; VTA assumes no responsibility for errors or misinterpretations resulting from the use of incomplete sets of documents.
- B. Each Bidder should carefully examine these Bid Documents and take such other steps as may be reasonably necessary to ascertain the Contract performance requirements. Failure to do so will not relieve Bidders from responsibility for estimating properly the difficulty or cost of successfully performing the Contract. Extra compensation will not be allowed for conditions that are determinable by examining these documents.

- 2. INTERPRETATION:** Should any discrepancies or omissions be found in the Bid specifications, or doubt as to their meaning, the Bidder shall notify the Contract Administrator in writing at once. The Contract Administrator will send written instruction or addenda to all Bidders. Receipt of addenda by the Bidder must be acknowledged in the space provided on Bid Form 1-A. VTA shall not be held responsible for oral interpretations. Questions must be received at least ten (10) days before date set to receive Bids. All addenda issued shall be incorporated into the Contract. VTA will assume no responsibility for any understanding or representations concerning conditions made by any of its officers, agents or employees prior to the execution of the Contract, unless included in these documents.

3. BIDDER QUALIFICATIONS AND ELIGIBILITY FOR AWARD:

- A. Each Bidder shall complete, and submit with the Bid, the Bidder's Questionnaire contained in these documents. If the Bidder is a joint venture, each joint venturer shall prepare and submit a separate form. Failure to complete and return the Bidder's Questionnaire may be grounds for rejection of the Bid.
- B. When Federal, State or Local law or ordinance requires a special license or permit, a Bidder must be properly licensed prior to submitting a Bid and furnish evidence of such with the Bid.
- C. In order for a Bidder to be eligible to be awarded the Contract, the Bid must be responsive to the solicitation and VTA must be able to determine that the Bidder is responsible to perform the Contract satisfactorily.
- D. Bids deviating or taking exception to the solicitation requirements will not be considered.
- E. Bidder shall have the equipment, organization, facilities and financial capability to perform the services required by this solicitation.

- 4. PROTESTS:** The following procedures shall be used by Bidders seeking review of the Bid Documents or the Contract process:

- A. SOLICITATION PHASE:** Prior to the closing date for submittal of Bids, Bidder may submit to VTA protests regarding the procurement process, or alleged improprieties in specifications or alleged restrictive specifications. Any such protests shall be filed no later than ten (10) working days prior to the scheduled closing date. If necessary, the closing date of the solicitation may be extended pending a resolution of the protest.
- B. PRE-AWARD:** Protests dealing with alleged improprieties in the procurement or the procurement process, that can only be apparent after the closing date for receipt of Bids, shall be filed within five (5) working days of issuance of the Notice of Recommended Award. Protests shall contain a statement of the grounds for protests and supporting documentation. Protestor will be notified of VTA's final decision prior to issuance of Award.

Protestors shall have an opportunity to appear and be heard before the agency prior to the bid opening in the case of protests based on the content of the IFB or prior to final award in the case of protests based on other grounds. Proposer's requests and protests shall be in writing only and be addressed to:

Santa Clara Valley Transportation Authority
Procurement, Contracts and Materials Management Department
Attention: Chief Procurement Officer
3331 North First Street, Building B
San Jose, CA 95134

The full text of VTA's Policy No. 36 may be obtained at <http://www.vta.org/about-us/doing-business-with-vta-policies>. Failure to comply with the above protest procedures will render a protest untimely and/or inadequate and shall result in its rejection.

For federally funded projects, a Bidder may appeal VTA's determination of the protest to the Federal Transit Administration. All appeals submitted to the FTA shall be filed and will be handled in accordance with FTA Circular 4220.1F.

5. PREPARATION OF BIDS:

- A.** All prices and notations must be printed in ink or typewritten. No erasures are permitted. Errors may be crossed out and corrections printed in ink or typewritten nearby and must be initialed in ink by person signing the Bid.
- B.** Bidder shall bid on each item separately. Prices should be stated in the units specified. Sales tax, if any, should be stated separately.
- C.** Delivery date or time of performance is a part of the Bid and must be adhered to.
- D.** All Bids must be signed by an authorized representative with the name, title, and firm name clearly printed.

6. SUBMISSION OF BIDS:

- A.** Each Bid must be submitted on enclosed VTA forms, in sealed envelope, with company name, Bid number, closing date and time noted on the outside of the envelope.

- B. Bid modifications or corrections thereof received after the closing time specified will be rejected.
 - C. Notwithstanding the time for Opening Bids established in the Request for Bid, the Bid opening might be postponed solely at VTA's discretion.
7. **ACCEPTANCE OF BIDS:** Bids are subject to acceptance at any time **within ninety (90) days** after Bid opening, unless otherwise stipulated in the Bid.
8. **TIE BIDS:** In the event that two or more low Bids equal in all respects are received by VTA, the Contract shall be awarded to the Bidder by the flip of a coin in the presence of witnesses, or the entire Bid may be rejected and re-bid.
9. **AWARD:**
- A. Award of a firm fixed-price Contract, if awarded, will be made to the lowest responsive and responsible Bidder.
 - B. The basis of award shall be the Total Bid as submitted on Bid Form 1-B.
 - C. Unless the Bidder specifies otherwise in the Bid, or the Bid gives notice of an all or none award, VTA may accept any item or group of items of any Bid.
 - D. VTA reserves the right to reject any or all Bids and to waive informalities and minor irregularities in Bids received.
 - E. In the event of a discrepancy between the unit price bid and the price extension, the unit price bid will be deemed intended by the Bidder and the extension will be adjusted accordingly. Failure to list a unit price will result in the Bid being rejected as non-responsive.
 - F. The Bidder whose Bid is accepted shall, within the time established in section 7 above, enter into a written Contract with VTA and furnish the required Certificate of Insurance within five (5) working days of Notice of Award.
10. **TAXES:** Contractor will be responsible for assessing any and all applicable taxes related to the purchase of, or installation of, materials used as part of this Contract. For material used on a VTA project, the Contractor will assess any and all applicable taxes and will, for purposes of determining transaction or use tax liability, use the VTA job site as the place where "engaged in business".
11. **SBE DOCUMENTATION:** All Bidders are required to submit the following documents to the Contract Administrator at the Bid Opening:
- A. Bid Form 2-A.
 - B. Bid Form 2-B.
12. **DISCLOSURE OF BID INFORMATION:** After award, all Bids shall be open to public inspection. VTA assumes no responsibility for the confidentiality of information offered in a Bid.

- 13. DESIGNATED POINT OF CONTACT:** All communications with VTA regarding this IFB shall be in writing (US mail/ email) to the Designated Point of Contact identified below. All emails must indicate in the subject line “IFB S20115 for Cardboard Baler Preventative Maintenance and Repairs.” No telephone calls will be accepted. Except as otherwise provided herein, no contact will be entertained by the Procurement, Contracts, and Materials Management staff outside of the formal Q&A period, and/or by anyone other than the Designated Point of Contact regarding this IFB.

Any unauthorized contact related to this IFB is not permitted. Any breach of this provision may result in the Bidder’s submittal being deemed non-responsive and may be cause for rejection.

VTA Designated Point of Contact:
Norman David, Contracts Administrator
3331 N. First Street, Bldg. B
San Jose, CA 95134-1906
norman.david@vta.org

STANDARD TERMS AND CONDITIONS**S20115****CARDBOARD BALER PREVENTATIVE MAINTENANCE AND REPAIRS**

1. **ACCEPTANCE:** VTA shall not be bound by the terms and conditions stated in these Bid Documents until a Contract is appropriately executed between VTA and Contractor or VTA accepts deliveries against the purchase order. These Bid Documents shall be deemed incorporated into the Contract, and the Contractor shall be bound by the terms and conditions set forth in these Bid Documents, when it executes and returns said Contract. By entering into the Contract, Contractor shall be deemed to have accepted the terms and conditions set forth herein; any additional or different terms proposed by Contractor shall not be deemed a part the Contract unless expressly assented to in writing by VTA.

2. **TERMINATION AND SUSPENSION:**
 - A. VTA may, by giving at least ten (10) business days' written notice to Contractor, terminate this Contract, or suspend performance hereunder, in whole or in part at any time for VTA's convenience. Contractor shall be compensated in accordance with the terms of this Contract for the Scope of Work satisfactorily performed prior to the effective date and time of termination or suspension. Contractor shall have no right to recover lost profits on the balance of the Scope of Work.

 - B. VTA, by written notice given to Contractor, may declare default in Contractor's performance of any term of this Contract, specifying with particularity the basis for such default. Contractor shall deliver a response thereto in writing to VTA within two (2) business days of receipt of the notice, setting forth a reasonable proposal to cure the default. If Contractor fails to deliver the foregoing response on time or fails to cure the default within ten (10) business days after receipt of the notice (or within such additional time the Parties may agree upon in writing), VTA may elect to terminate this Contract for cause by serving written notice thereof to Contractor.

 - C. In the event of such termination for cause, VTA shall be relieved of any obligation of further payment to Contractor and may complete the remainder of the Scope of Work by itself, or by using an alternative, third party contractor. The additional cost to VTA for completing the Scope of Work shall be deducted from any sum due to the Contractor and the balance, if any, shall be paid to the Contractor upon demand. The foregoing shall be in addition to any other legal or equitable remedies available to VTA.

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

3. **WARRANTY:**
 - A. Contractor expressly warrants that all services covered by this Contract shall conform to the specifications or other descriptions upon which this Contract is based and shall be fit and sufficient for the purpose intended.

- B.** Contractor agrees to re-perform any services not conforming to the foregoing warranty promptly, without expense to VTA, when notified of such nonconformity by VTA. In the event of failure by Contractor to correct defects in or re-perform non-conforming services promptly, VTA, after reasonable notice to Contractor, may make such corrections or re-perform such services and charge Contractor for the cost incurred by VTA thereby.
- C.** VTA may, at its option, require Contractor to grant full refund or credit to VTA, in lieu of re-performance, with respect to any item VTA is entitled to reject hereunder. VTA shall have the right to cancel this order or any partial order if service conforming to specifications shall not be ready at the time and in the quantities herein set forth. The foregoing shall be in addition to any legal remedies available to VTA.
- 4. FORCE MAJEURE:** An event of force majeure refers to an event beyond the control and without the fault or negligence of the Party affected which prevents a Party from complying with any of its obligations under this Contract, including but not limited to:
- Acts of God (such as, but not limited to earthquakes, flood, fire or other physical natural disaster)
 - War, hostilities (whether declared or not), invasion, acts of terrorism, civil war, rebellion, revolution, requisition
 - Contamination by radioactivity from any nuclear fuel or from any nuclear waste from the combustion of nuclear fuel
- A.** Neither Party is responsible for any failure to perform its obligations under this Contract if it is prevented or delayed in performing its obligations by an event of force majeure.
- B.** Where there is an event of force majeure, the Party prevented from or delayed in performing its obligations under this Contract (“Affected Party”) must immediately notify the other Party giving full particulars of the event of force majeure and the reasons for the event of force majeure preventing that Party from, or delaying that Party in, performing its obligations under the Contract, and the Affected Party must use its reasonable efforts to mitigate the effect of the event of force majeure upon its performance of the Contract and must use reasonable efforts to fulfill its obligations under the Contract.
- C.** Upon completion of the event of force majeure, the Affected Party must, as soon as reasonably practicable, re-commence the performance of its obligations under this Contract
- 5. CHANGES:** VTA shall have the right at any time prior to the delivery date of the services or goods to make changes in drawings, designs, specifications, packaging, time and place of delivery and method of transportation. If any such changes cause an increase or decrease in the cost, or the time required for performance, or otherwise affect any other provision of this Contract, a mutually agreed upon adjustment shall be made and this Contract shall be modified in writing accordingly. Any claim by Contractor for adjustment under this clause shall be deemed waived unless made in writing within ten (10) working days after receipt by Contractor of notice of such change. Price increases or extensions of time for delivery shall not be binding on VTA unless evidenced by a written change order executed by an authorized agent of VTA.
- 6. VTA’s PROPERTY:** The Contractor agrees that any documentation and equipment or material, including drawings, patterns and specifications, supplied or paid for by VTA shall be and remain VTA’s

properties and shall be held by the Contractor for VTA unless directed otherwise by VTA. The Contractor will account for such items and keep them in good/working condition and fully covered by insurance at all times without expense to VTA.

7. **ASSIGNMENTS AND SUBCONTRACTING:** This Contract and any payments to be made hereunder may not be assigned, subcontracted or transferred without the prior written approval of VTA.
8. **WAIVER:** VTA's failure to insist on performance of any of the terms or conditions herein or to exercise any right or privilege or VTA's waiver of any breach hereunder shall not thereafter waive any other terms, conditions, rights or privileges.
9. **BANKRUPTCY/INSOLVENCY:** In the event of any proceeding by or against Contractor in bankruptcy, reorganization or insolvency or any assignment for the benefit of creditors or of a receiver, VTA shall have the right, upon written notice to Contractor and without liability, to cancel this Contract with respect to any portion thereof not complete.
10. **ADDITIONAL DOCUMENTS:** All specifications and documents expressly referred to in this Contract are incorporated herein by reference. If such reference is to a portion of such specifications or documents, then only the portions referenced shall be incorporated herein.
11. **COMPLIANCE WITH LAWS:** Contractor warrants that all services performed have been performed in compliance with, and Contractor agrees to be bound by, all applicable federal, state and local laws, orders, rules and regulations.
12. **THIRD PARTIES NOT TO BENEFIT:** This Contract is binding upon and shall inure to the benefit of the parties hereto and their successors and permitted assigns, but shall not inure to the benefit of any third party or other person.
13. **AUDIT AND RECORDS:**
 - A. Contractor shall maintain, in accordance with generally accepted accounting principles and practices, complete books, accounts, records and data with respect to actual time devoted and costs incurred for services under this Contract. Such documentation shall be supported by properly executed payrolls, invoices, contracts and vouchers evidencing in detail the nature and propriety of any charges and sufficient to allow a proper audit of the services. All checks, payrolls, invoices, contracts and other accounting documents pertaining in whole or in part to the services shall be clearly identified and readily accessible.
 - B. For the duration of the Contract, and for a period of three (3) years thereafter, VTA, its representatives and the state auditor shall have the right to examine and audit during successful Bidder normal business hours these books, accounts, records, data and other relevant information to the extent required to verify the costs incurred hereunder where such costs are the basis for billings under this Contract.
14. **PROHIBITED INTERESTS:**
 - A. **SOLICITATION:** Contractor warrants that it has not employed or retained any company or person, other than a bona fide employee working solely for Contractor, to solicit or secure

this Contract and that it has not paid or agreed to pay any company or person, other than a bona fide employee working solely for Contractor, any fee, commission, percentage, brokerage fee, gift or any other consideration, contingent upon or resulting from the award or making of the Contract. For breach or violation of this warranty, VTA shall have the right to rescind this Contract without liability.

- B. INTEREST OF PUBLIC OFFICIALS:** No Board Member, officer or employee of the VTA during his or her tenure or for two years thereafter shall have any interest, direct or indirect, in this Contract or the proceeds thereof.
- C. INTEREST OF THE CONTRACTOR:** The Contractor covenants that neither it nor its officers, directors or agents, presently has any interest and shall not acquire any interest, direct or indirect, which would conflict in any manner or degree with the performance of services required to be performed under this Contract. The Contractor further covenants that in the performance of this Contract no person having any such interest shall knowingly be employed.
- 15. NONDISCRIMINATION:** During performance of this Contract Contractor its employees and sub-Bidders shall not unlawfully discriminate, harass or allow harassment against any person because of race, religious creed, color, sex, gender, gender identity, gender expression, national origin, ancestry, physical disability (including HIV and AIDS), mental disability, medical condition (including cancer), genetic information, marital status, age (over 40), sexual orientation or military and veteran status, and the denial of family care leave. Contractor shall ensure that the evaluation and treatment of its employees and applicants for employment are free of such discrimination and harassment.
- 16. CONFIDENTIALITY AND PUBLICITY:** Without the written consent of VTA, Contractor shall not disclose to third parties other than its employees or authorized sub-Bidders or disclose or use for any purpose other than performance of the services any information provided to Contractor by VTA in connection with performance of this Contract, or any information developed or obtained by Contractor in the performance of this Contract, unless: (1) the information is known to Contractor prior to obtaining same from VTA or performing services under this Contract; (2) the information is, at the time of disclosure by Contractor, then in the public domain; or (3) the information is obtained by or from a third party who did not receive it, directly or indirectly, from VTA and who has no obligation of confidentiality with respect thereto.
- 17. SEVERABILITY:** If any of the provisions or portions or applications thereof of this Contract are held to be unenforceable or invalid by any court of competent jurisdiction, VTA and Contractor shall negotiate an equitable adjustment in the provisions of the Contract with a view toward effecting the purpose of this Contract, and the validity and enforceability of the remaining provisions or portions or applications thereof shall not be affected thereby.
- 18. NOTICES:** Notices provided for under this Contract shall be provided in writing and addressed to VTA's authorized representative.
- 19. INDEPENDENT CONTRACTOR:** Contractor is an independent Contractor and not the agent or employee of VTA in performing its services under this Contract.

- 20. ENTIRE CONTRACT:** This Contract constitutes the entire contract between VTA and Contractor relating to the subject matter hereof and supersedes any previous contracts or understandings, oral or written.
- 21. AMENDMENT:** Except as expressly provided herein, the provisions of this Contract shall not be altered, modified or amended except through the execution of a written amendment executed by VTA and Contractor.
- 22. DAYS:** For purposes of this Contract, all references herein to “day” shall mean calendar day, unless specified otherwise. All references to “calendar day” shall mean any day, including Saturday, Sunday and all legal holidays. All references to “working day” shall mean any business day, excluding Saturdays, Sundays and legal holidays.
- 23. GOVERNING LAW:** The laws of the State of California will govern these terms and conditions, as well as any claim that might arise between Contractor and VTA, without regard to conflict of law provisions.
- 24. FORUM SELECTION:** Contractor will resolve any claim, cause of action or dispute (collectively “claim”) that Contractor has with VTA arising out of or related to this Contract in a state or federal court located in Santa Clara County, California. Contractor agrees to submit to the personal jurisdiction of the courts located in Santa Clara County, California for the purpose of litigating all such claims.

25. INDEMNIFICATION AND DEFENSE OF CLAIMS:

A. INDEMNITY AND DEFENSE OF CLAIMS:

1. General Indemnification and Defense of Claims:

- i. Contractor must indemnify and hold harmless VTA, any public agencies within whose jurisdiction, on whose behalf, or on whose property the Contract is being performed, any party VTA is contractually obligated to identify in this Contract as an indemnitee, and each of their respective Board of Directors, Board of Supervisors, Councils, individual board members, officers, agents, employees, and consultants (each an “Indemnitee”; collectively, the “Indemnitees”) from and against any claims, liabilities, losses, injuries, damages, expenses, fines, penalties, liens, or fees and costs (including reasonable attorneys’ and experts’ fees and costs) (each, a “Claim” and collectively, the “Claims”) arising out of, pertaining to, caused by, or in any way relating to the performance of this Contract, including compliance or non-compliance with the terms of this Contract, by Contractor and/or its agents, employees, suppliers, or subcontractors, whether such Claims are based upon a contract, personal injury, death, property damage, or any other legal or equitable theory whatsoever.
- ii. Contractor must, at its own expense, and upon written request by VTA or any individual Indemnitee, immediately defend any suit, action, proceeding, dispute, or demand brought against any Indemnitee founded upon, alleging, or implicating any Claims covered by Contractor’s indemnity obligation set forth above in subparagraph (i) immediately above and regardless of whether Contractor and/or any of its agents, employees, suppliers, or subcontractors, was, in fact, liable. In the event a court of competent jurisdiction

determines that any suit, action, claim, or demand brought against any Indemnitee was caused by the sole or active negligence or willful misconduct by VTA or its agents, servants, or independent contractors who are acting on behalf of VTA, VTA shall promptly reimburse Contractor for costs of defending the Indemnitees in such action incurred by Contractor, but only in proportion to the sole or active negligence or willful misconduct of VTA or its agents, servants, or independent contractors who are acting on behalf of VTA.

2. Infringement Indemnification and Defense of Claims:

- i. Contractor must indemnify and hold harmless the Indemnitees from and against any and all Claims which may be suffered by, incurred by, accrued against, charged to, or recoverable from any Indemnitee, by reason of any Claim arising out of or relating to any actual or alleged infringement of any intellectual property rights (including but not limited to patents, copyrights, trade secrets, service marks, and trademarks) by the goods and/or services provided by Contractor hereunder (referred to as “Goods” and “Services” for purposes of this Infringement Indemnification and Defense of Claims provision), or use of any of the aforementioned.
- ii. Contractor must, at its own expense, and upon written request by VTA or any individual Indemnitee, immediately defend any suit, action, proceeding, dispute, or demand brought against any Indemnitee founded upon, alleging, or implicating any claims, liabilities, losses, injuries, damages, expenses, fines, penalties, or fees and costs covered by Contractor’s indemnity obligation set forth in subparagraph (i) immediately above and regardless of whether Contractor and/or any of its agents, employees, or subcontractors did, in fact, infringe any intellectual property rights.
- iii. If any part of the Goods and/or Services is, or in Contractor’s reasonable judgment is likely to be, claimed to infringe, misappropriate, or otherwise violate any third-party intellectual property right, Contractor must, at its expense and option, do one of the following: (a) procure for VTA the necessary right to continue using the Goods and/or Services; (b) replace or modify the infringing portion of the Goods and/or Services with a functionally equivalent item or portion thereof, or (c) if none of the foregoing are commercially reasonable, Contractor may terminate this Contract upon written notice to VTA, take back any infringing portion of the Goods, and refund to VTA a pro-rated amount of any fees paid for the infringing portion of the Goods and/or Services. The remedies set forth in this subparagraph (iii) are in addition to, and not in lieu of, all other remedies that may be available to VTA, including the indemnification rights under this Indemnity and Defense of Claims provision.
- iv. Contractor will have no liability or obligation hereunder with respect to any Claim to the extent the Claim is based upon (i) modifications, alterations, combinations, or enhancements by VTA of the Goods and/or Services that is not authorized by Contractor or (ii) VTA’s continuation of allegedly infringing activity after being notified thereof.
- v. **Infringement Indemnification Procedures:** Contractor’s obligations under the Infringement Indemnification and Defense of Claims section are expressly conditioned on the following: VTA shall (a) promptly notify Contractor in writing of any such Claim of which VTA has actual knowledge (provided that failure to do so will only release Contractor from the foregoing indemnification and defense obligations to the extent that such failure led to material prejudice), (b) in writing, grant Contractor sole control of the

defense of any such Claim and of all negotiations for its settlement or compromise (provided that no such settlement or compromise may impose any liability or other obligations on VTA), and (c) reasonably cooperate with Contractor to facilitate the settlement or defense of the Claim. Notwithstanding the foregoing, VTA may participate, at VTA's own expense, in the defense of such Claim.

- 3. Survival:** This Indemnity and Defense of Claims provision will survive the expiration or termination of this Contract and remain in full force and effect.

SPECIAL CONDITIONS**S20115****CARDBOARD BALER PREVENTATIVE MAINTENANCE AND REPAIRS**

1. **COMPENSATION:** As full consideration for the satisfactory performance of the Contract by the Contractor, VTA shall pay to the Contractor amounts designated in Bid Form 1-B – Schedule of Prices and Estimated Quantities.
2. **QUANTITY:** Contractor agrees Bid price(s) apply to any quantity purchased under this Contract and such prices are guaranteed for the term of the Contract unless otherwise agreed by both parties in writing.
3. **TAXES:** Sales tax (when applicable) shall be included in the bid as a separate line item.
4. **INVOICING AND PAYMENTS:**
 - A. The successful Bidder shall submit its invoice for payment to the address listed below for the services provided, which have been accepted by VTA.

**VTA ACCOUNTS PAYABLE
3331 NORTH FIRST STREET, BUILDING A
SAN JOSE, CA 95134-1906
or
VTAAccountsPayable@VTA.org**
 - B. Payments will be made to the successful Bidder within thirty (30) days following receipt of a properly prepared invoice.
 - C. Payment will be considered to have been made on the date VTA mails payment.
 - D. Discounts offered by Contractor for early payment will be taken by VTA if payment is made within the discount period specified.
 - E. VTA shall not be responsible for late payment charges unless they are an express part of this Contract.
 - F. Upon completion of this Contract, the final payment shall be made on determination by VTA that all requirements hereunder have been completed, and such determination shall not be unreasonably delayed.
5. **LIQUIDATED DAMAGES:** [OMITTED].
6. **ALLOWANCE:** An “Allowance” means a Services item that will be paid by VTA to Contractor for (i) the actual cost for the performance of the Services item, (ii) a mutually agreed upon lump sum amount, or (iii) on a time and materials basis (based on the rates indicated in Bid Form 1), up to the maximum value specified in the Contract (see Attachment A Bid Form 1-B). A Services item will be

treated as an Allowance only if specifically designated as such in these Contract or in a specific work order (“Work Order”).

7. BILLING:

- A.** All pricing per unit will be on a fixed dollar per unit listed on Bid Form 1-B, Schedule of Quantities and Prices. All On-Call Services will be billed pursuant to the underlying Work Order.
- B. MATERIALS MARK-UPS:** For simplicity, Contractor must bill all materials in bulk as described on Bid Form 1-B, Schedule of Quantities and Prices. This Allowance will form the basis for all materials purchased under this Contract. Material mark-ups are restricted to a maximum of 15%.
- C.** In addition to the other invoicing requirements set forth in this IFB, all invoices submitted under this Contract must comply with the following:
 - i. Each invoice must be a separate PDF document, no combined files will be accepted, and invoice must be in the format of the sample invoices attached hereto.
 - ii. Contractor must label invoices with the proper (i) VTA Authorized Representative or VTA Designated Contact and (ii) facility location.
 - iii. Invoices will contain the following information:
 - 1. The Work Order number (if applicable),
 - 2. The labor rate and number of hours worked per employee assigned to the Work Order, and
 - 3. Any materials purchased by Contractor to perform the Services. Contractor will list individually by line item the type of material purchased, identifying each part by part/model number, unit price, and material mark-up charged to VTA for said part or submit invoices for material expenditures included with the invoice submitted to VTA. Incidentals such as gloves, tape, sandpaper, etc. may be listed in aggregate unless VTA determines that the aggregate is large enough to cause significant costs under incidentals, in which case Contractor will provide an itemized list of incidentals upon VTA’s request
- D.** Contractor is solely responsible for the expense of travel and associated costs. This cost should be included in Contractor’s Total Contract Price and no additional compensation will be allowed.
- E.** Only charges for the Services performed will be accepted; Contractor may not bill for any other charges, including but not limited to, un-itemized materials or parts fees, undocumented disposal fees, or undocumented environmental disposal or HAZMAT fees. Any invoices received by VTA that include travel time or extraneous fees will not be

processed and instead will be returned for corrections. Charges for Services performed under a Work Order may begin only when Contractor arrives at the VTA worksite (“Worksite”) and must end when Contractor leaves the Worksite. Charges for anything other than (i) the mechanics’ labor, (ii) the materials used to complete the work order or proposal, and (iii) appropriate or pre-approved disposal fees will be accepted.

SCOPE OF WORK
S20115
CARDBOARD BALER PREVENTATIVE MAINTENANCE AND REPAIRS

A. INTRODUCTION AND OVERVIEW:

1. Contractor will perform ongoing maintenance and repair services (“Services”) at VTA facilities. Certain portions of the Services will be quarterly-scheduled preventive maintenance (“PM”) Services, and certain portions of the Services will be performed on an on-call basis (“On-Call”), meaning that VTA may request unscheduled maintenance or repair/replacement Services to remedy an unexpected issue or emergency.
2. For any PM Services performed under this Contract, Contractor must submit a PM schedule as described herein and execute its PM Services according to that schedule. Contractor shall provide flat rates for the quarterly PM visits on Bid Form 1-B.
3. Any On-Call Services performed under this Contract will be authorized by VTA via the issuance of a written Work Order. Contractor shall provide hourly rates for these unscheduled repairs on Bid Form 1-B.

B. PROTECTING EXISTING FACILITIES AND LANDSCAPING

1. Contractor will adequately protect all existing facilities, structures, materials, landscape, piping, supply, and electrical systems. Any facility, asset, structure, utility, and/or landscaping damaged by any operation of Contractor or its subcontractors of any tier, as determined by VTA, must be replaced or repaired by Contractor at Contractor’s sole expense.
2. During performance of Services, Contractor must assure safe operation of VTA functions and prevent unnecessary downtime. Contractor must check in and out with VTA’s on-site designated contacts. Contractor is responsible for coordinating safety while providing the Services to minimize risk of injury or damage to personnel, property, and/or equipment.
3. All demolished materials, unclaimed leftover materials, or any debris manufactured by Contractor during performance of the Services must be removed and disposed of in a manner permitted by the State of California. All debris or materials unclaimed by VTA will be the sole responsibility of Contractor.

C. WORK ORDER PROCEDURES DESCRIPTION

1. If, during the course of performing any Services (whether On-Call or PM), Contractor discovers any safety or operating deficiency issues relating to the Carboard Balers (compactors), Contractor will notify VTA verbally or in writing of such so that VTA can determine whether a Work Order is needed. In such written notice, Contractor will provide a cost estimate of the needed repairs. VTA must approve, pursuant to the Work Order procedures set forth herein, the course of action to be taken, if any.
2. The only persons authorized to issue Work Orders on behalf of VTA, and the only persons from whom Contractor may accept Work Orders, are the VTA Authorized Representative or persons

designated in writing as an approved contact by VTA's Authorized Representative (each a "Designated Contact").

3. If VTA determines that On-Call Services are needed, VTA will first assess the estimated cost of the needed On-Call Services. The VTA Authorized Representative or Designated Contact may, in his or her sole discretion, confer with Contractor to assess the required scope of work for On-Call Services before a Work Order is issued to complete the underlying On-Call Services. Contractor must not proceed with On-Call Services until VTA authorizes such On-Call Services via a Work Order.
4. VTA will issue a Work Order to Contractor describing the specific Services to be performed, and Contractor will perform the Services described therein pursuant to the time and materials pricing terms and conditions of this Contract.
5. VTA reserves the right to competitively bid any On-Call type services, even if they fall within the scope of Services contemplated in the Contract, if the service is in excess of \$1,500.00.
6. VTA does not guarantee a minimum number of Work Orders to be issued hereunder for On-Call Service, and any quantities of On-Call Services set forth in the Contract are estimates only. On-Call Services will be billed either on a (i) fixed price basis or (ii) time and materials basis, as agreed to in writing by both parties in the relevant Work Order.
7. All On-Call Services must be performed pursuant to the schedule agreed to in the relevant Work Order.
8. Most VTA facilities operate twenty-four (24) hours per day, seven (7) days per week. Following receipt of a Work Order, unless a different schedule is agreed upon between the parties in the Work Order or a prompter response is required (i.e., emergency), Contractor will give a minimum of two (2) working days' notice to VTA before any On-Call Service may begin in order to allow for logistical preparations and notifications at said facilities.
9. For any equipment or materials replaced during On-Call Services, Contractor must supply VTA with the applicable Original Equipment Manufacturer ("OEM") Manuals for the replacement equipment or invoices from OEM approved parts upon completion of the equipment or material replacement.

D. SPECIFICATIONS

All Services must be performed, and all material must be provided in full accordance with applicable provisions of the American Society for Testing and Materials ("ASTM"), American National Standards Institute ("ANSI"), the relevant manufacturer's application specifications.

E. TRAFFIC CONTROL

1. Traffic control will consist of providing, posting, and maintaining signs and erecting barricades or any other necessary equipment required to safely control all types of traffic through the Worksite. Contractor will perform traffic control in compliance with all applicable standards, including but not limited to, the **State of California Manual of Traffic Controls for Construction and Maintenance Work Sites**.

2. Suitable barricades must be used to protect all Worksites at all times. Prior to performing any Services affecting the flow of traffic, whether vehicular or pedestrian, Contractor shall prepare and submit to the VTA Authorized Representative a written traffic control plan for approval. Contractor will not detour any traffic until the VTA Authorized Representative or Designated Contact approves the traffic control plan in writing.
3. Contractor will not receive separate payments from VTA for complying with these requirements. Such costs must be included in the Total Contract Price or individual Work Order, as applicable.

F. PM SCHEDULE OF WORK

1. PM will be scheduled in advance in writing. The Contractor will submit a proposed initial maintenance schedule to VTA. The schedule will be approved by VTA before Services can be provided. Independent of the initial schedule, all PM Services will require a minimum seven (7) day advance notice prior to commencing. Once the initial and subsequent PM schedules has been determined, changes may be requested by either the Contractor or VTA to meet any possible changes due to conflicts in scheduling.
2. If repairs are determined to be necessary by Contractor during a PM, Contractor will notify VTA for review and the issuance of an On-Call Services to repair the equipment in question. VTA reserves the right to reject the proposal and bid said work competitively.
3. A check-off list must be signed and dated by Contractor's technician upon completion of the PM and must be signed off by the VTA Authorized Representative or VTA Designated Contact.

G. ON-CALL REQUESTS RESPONSE TIMES

1. Non-Emergency On-Call Service Requests: When an On-Call Service request is designated as a non-emergency by VTA, Contractor must be prepared to respond within the time period specified by VTA in the applicable Work Order. If no time period is specified in the Work Order, or if VTA notifies Contractor of the Service request via means other than a Work Order, Contractor will respond within the following time periods:
 - a) For On-Call Service requests made before 10AM PT, Contractor must report to the relevant VTA Worksite within 4 hours of VTA notification to Contractor.
 - b) For On-Call Service requests made between 10AM PT and 12PM PT, Contractor must report to the relevant VTA Worksite before 5:30PM PT on that same day.
 - c) For On-Call service requests made after 12PM PT, Contractor must arrange a mutually agreeable response time with VTA, to be documented in the applicable Work Order.
2. Emergency On-Call Service Requests: Contractor must have a Designated Representative on call twenty-four (24) hours a day, seven days a week, to provide emergency On-Call Services needed by VTA. An On-Call Service request will be designated as an emergency by VTA when appropriate, including but not limited to instances where (i) units fail to operate, (ii) a hazardous condition exists, (iii) an unsafe condition exists, (iv) an unsafe environmental condition exists, or (v) execution of operational requirements are severely limited or prohibited due to safety conditions. VTA reserves the right to determine in its sole discretion what constitutes an emergency On-Call Service request. When an On-Call Service request is designated as an emergency by

VTA, Contractor must report to the relevant VTA Worksite within twelve (12) hours of VTA notification to Contractor. Contractor must provide a contact phone number that will be continually monitored in order to respond as required. VTA reserves the right to contact an alternate vendor of its choosing if Contractor for any reason is unable or refuses to provide such emergency service on any occasion.

H. REFERENCE STANDARDS

1. REQUIREMENTS INCLUDED

- a. This section includes abbreviations and acronyms of various industrial associations, trade associations, societies, organizations, and regulatory agencies and their meanings as used in the IFB and/or sample Contract.
- b. The requirements specified herein are in addition to the requirements specified in the 2016 California Standard Building Codes (Title 24 of the California Code of Regulations) and any other applicable laws, regulations, codes, and standards.

2. REFERENCES

- a. The IFB contains references to various standard specifications, codes, practices, and requirements for materials, work quality, installation, inspections, and tests which Contractor must adhere to when providing the Services...
- b. All specifications and standards of the American Society for Testing and Materials (“ASTM”) and the American National Standards Institute (“ANSI”) are identified in the various sections by abbreviation and number only (not by title). They are not further identified, because it is assumed that Contractor is familiar with, and has ready access to, specified ASTM and ANSI specifications and standards.
- c. When the effective date of a reference standard is not given, the most current edition or latest revision thereof and any amendments or supplements thereto in effect on the date of issue of the IFB, as indicated on the cover, will govern the Work.
- d. Reference standards are not furnished with the Contract because Contractor, subcontractors, manufacturers, suppliers, and the trades involved are assumed to be familiar with their requirements.
- e. Contractor shall obtain, at its own cost, copies of the referenced standards direct from publication sources as needed for proper performance and completion of the Work. VTA will furnish, upon request, information as to how copies of the specified standards may be obtained.

Contractor will provide and maintain referenced standards at the Worksite field office as needed for proper performance and completion of the Services.

VTA may require Contractor to support the Services provided by referencing the applicable standards. Upon request, Contractor must make all applicable standards available to the VTA immediately and without charge.

3. QUALITY CONTROL

a. **REQUIREMENTS INCLUDED**

This section includes the general requirements for quality control for the Services. The requirements specified herein are in addition to quality control requirements specified elsewhere in the IFB.

b. **WORKMANSHIP**

Contractor will comply with industry standards except where this Contract or applicable local, state, or federal laws or regulations prescribe more rigid standards or more precise workmanship.

Upon request, Contractor will present to VTA the manufacturer's certification that the parts used by Contractor are appropriate for the equipment being repaired.

c. **MANUFACTURER'S CERTIFICATE**

When required or when requested by VTA, Contractor will submit the manufacturer's certificate described in immediately above, in duplicate, to verify that all products meet or exceed the manufacturer's specified requirements.

d. **MANUFACTURER'S SPECIFICATIONS AND INSTRUCTIONS**

Unless otherwise indicated or specified by VTA or Contract, all manufactured materials, products, processes or the like will be supplied by a manufacturer specializing in the manufacture of all appropriate materials. All materials will be applied in accordance with the manufacturer's instructions, directions, or specifications. Said application will be in accordance with printed instructions furnished by the manufacturer of the materials concerned for the use under conditions similar to those at the Worksite.

Any deviation from the manufacturer's printed recommendations must be explained and acknowledged in writing by the particular manufacturer as correct and appropriate for the circumstances. Contractor will be held responsible for applications contrary to the manufacturer's recommendations.

e. **WORK QUALITY**

Craftsmen or skilled workers with experience in the fabrication and application of the Services must be involved in shop or fieldwork. All Services hereunder must be performed in accordance with the best and accepted commercial practices of the trades involved. Services must be free from defects or damage.

VTA reserves the right to reject any Services that are not considered to be up to the highest standards of the various trades involved. Such inferior material or work quality must be repaired or replaced by Contractor, as directed by VTA and at no additional cost to VTA.

f. **QUALITY ASSURANCE**

Qualifications of Technicians: Contractor will use only qualified Journeyman Mechanics under local Union guidelines for apprentices. All Work will follow Union standards for Journeymen and Apprenticeship rates for all Services performed on all VTA assets. The rejection by VTA of any portion of the Services will allow no tolerances for the lack of skill

on the part of the mechanic.

“Mechanic” as used here defines all employees of Contractor involved in maintenance, repair, or replacement of any VTA owned or leased electrical equipment or materials.

Single Source Responsibility: Contractor will provide only parts and supplies that are approved by the manufacturer for use in each piece of equipment, regardless of the brand or manufacturer.

g. **WARRANTY/GUARANTEE**

The following provisions apply in addition to the warranty provisions found elsewhere in this IFB.

Upon completion of Work Order and acceptance by VTA, Contractor will warranty the Services for a period of one (1) year (“Warranty Period”).

Defects noticed during the Warranty Period will be repaired or replaced by Contractor at no cost to VTA. Included along with the warranty will be the name, address, and phone number of each manufacturer's representative.

4. SCOPE OF WORK:

1. QUARTERLY PREVENTATIVE MAINTENANCE

- a. Ensure all interlocks are fully functional.
- b. Check the hydraulic oil reservoir level. Check for oil condition, replace low oil as necessary to meet fill specifications. If oil needs replacing, notify the VTA Authorized Representative or Designated Contact.
- c. Inspect for any damaged or worn parts.
- d. Check all hoses, pipes, and fittings for leaks, deterioration, or damage.
- e. Inspect the pump for leaks and proper operation.
- f. Test unit for proper operation.

2. ANNUAL PREVENTATIVE MAINTENANCE (As per Contractor’s schedule.)

- a. Drain hydraulic fluid and remove filter.
- b. Install new hydraulic oil filter, replace oil with manufacturers recommended product to the fill line.
- c. All above quarterly PM protocols.
- d. Cycle unit and check for proper operation.

5. EQUIPMENT LOCATIONS

1. River Oaks Administrative Campus
3331 North First Street
Building A Loading Dock
San Jose, CA 95134

2. Cerone Division
3390 Zanker Road,
Overhaul & Repair Division Warehouse – Building G
San Jose, CA 95134

3. Chaboya Division
2240 South 7th Street
bus parking lot along 10th Street
San Jose, CA 95112

6. EQUIPMENT TO BE MAINTAINED

CRAM-A-LOT
Model: SC-T2-38
Quantity: 3, one at each location.

**BID FORM 1-A: BIDDER ACKNOWLEDGEMENT OF ADDENDA
S20115
CARDBOARD BALER PREVENTATIVE MAINTENANCE AND REPAIRS**

In compliance with your **Invitation for Bid** for this project, the undersigned Bidder, being thoroughly familiar with the terms and conditions of the solicitation documents, hereby bids and agrees fully to perform the work within the time stated and in strict accordance with the solicitation documents.

Note: It is the Bidder’s responsibility to obtain all addenda to this solicitation.

The Bidder hereby acknowledges receipt of the following Addenda to the solicitation documents:

Addendum No. _____	Dated _____		Addendum No. _____	Dated _____	
Addendum No. _____	Dated _____		Addendum No. _____	Dated _____	
Addendum No. _____	Dated _____		Addendum No. _____	Dated _____	
Addendum No. _____	Dated _____		Addendum No. _____	Dated _____	

CONTINUED 

BIDDER'S SIGNATURE PAGE
S20115
CARDBOARD BALER PREVENTATIVE MAINTENANCE AND REPAIRS

SEE ATTACHMENT A:
SCHEDULE OF PRICES AND ESTIMATED QUANTITIES (BID FORM 1-B)

BY SIGNING, THE BIDDER CERTIFIES THAT HE/SHE HAS READ AND UNDERSTANDS THE BID DOCUMENTS AND THAT HE/SHE OFFERS AND AGREES TO FURNISH THE GOODS AND/OR SERVICES SPECIFIED UNDER THE INSTRUCTIONS AND CONDITIONS STATED THEREIN.

SIGNATURE

/ / 20

DATE

PRINT NAME

E-MAIL ADDRESS

FIRM

TELEPHONE

FAX

**BID FORM 2-A: LISTING OF SBE CONTRACTOR OR SUBCONTRACTORS
S20115
CARDBOARD BALER PREVENTATIVE MAINTENANCE AND REPAIRS**

Issued AUGUST 13, 2020

Firm: _____ City, State: _____ Phone: _____ Age of Firm: _____ Name and Title: _____	Street Address: _____ Zip Code: _____ Fax/E-mail: _____ Small Business Enterprise: Yes _____ No _____ Signature: _____ Date: _____
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Contract dollar value must exclude work performed by non-SBEs except materials or equipment purchased and used in this Contract.

CREDIT FOR SBE VENDOR of materials or supplies is limited to 60% of its expenditures for materials and supplies required under this Contract and obtained from a SBE regular dealer. Credit for SBE manufacturers is given at 100% toward the goal only where the SBE vendor manufactures or substantially alters the material prior to resale.

CREDIT FOR SBE BROKERS (Distributor or Representative) is limited to the fees and commissions of the amount paid. All other firms receive 100% credit, less work subcontracted by the SBE to non-SBE firms, towards the SBE goal.

CREDIT FOR SBE TRUCKING FIRMS is limited to amount performed by the SBE's own trucks and drivers and by certified SBE trucking subhauers. A SBE trucking firm must itself own and operate at least one fully licensed, insured and operational truck used on the Contract. *A SBE must be certified or accepted as Certified by VTA.* Refer to 49 CFR Part 26.

**LISTING OF SBE CONTRACTOR OR SUBCONTRACTORS
S20115
CARDBOARD BALER PREVENTATIVE MAINTENANCE AND REPAIRS**

Issued AUGUST 13, 2020

BID FORM 2-A

Name & Address of Certified SBE	Certification Number	Agency Certifying	Age Of Firm	M* W**	Description of Work	Bid Item	Dollar Value of Contract
							\$

SBE GOALS ARE DETERMINED ON BASE CONTRACT AMOUNTTOTAL..... Total \$ _____

Base Contract Amount:	\$
SBE Contract Amount:	\$

SBE Amounts and Base Amounts Must Exclude Alternate Bids Goal Achieved _____ % SBE Goal _____ %

*Minority Type: **A** = Asian, **SA**= Subcontinent Asian, **B** = Black, **H** = Hispanic, **NA** = Native American, **O** = Other, ****** Woman

$\frac{\text{SBE Contract Amount}}{\text{Base Contract Amount}} \times 100 =$ _____ % _____ %

IMPORTANT! THIS FORM MUST BE SUBMITTED WITH THE BID

**BID FORM 2-B: SBE SUPPLEMENTAL CONTRACTOR AND SUBCONTRACTOR INFORMATION
S20115
CARDBOARD BALER PREVENTATIVE MAINTENANCE AND REPAIRS**

Issued AUGUST 13, 2020

This form shall be copied by the Bidder and distributed to all sub-Bidders. The completed forms are to be submitted with the Bid.

Date: _____

Contract Name and Number: _____

Firm Name: _____

Firm Address: _____

Phone Number: _____

Fax Number: _____

Age of Firm: _____

(Check one)						
Annual Gross Receipts						
Indicate bracket of income	Below \$500K	\$500K - \$1M	\$1M-\$4M	\$4M-\$6M	\$6-\$13M	Above \$13M

Check One:	DBE <input type="checkbox"/>	SBE <input type="checkbox"/>	Non-SBE/DBE <input type="checkbox"/>
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Ethnicity*: _____ Gender: _____ Work/Trade Category: _____

A = Asian, SA = Subcontinent Asian, B = Black, C = Caucasian, H = Hispanic, NA = Native American, O = Other

Completed by Company _____
Email Address: _____

Valley Transportation Authority
Office of Business Diversity Program
3331 North First Street, Bldg. A San Jose, CA 95134-1906
If you require additional forms or information, call (408) 321-5719

**BID FORM 2-C: BIDDER'S QUESTIONNAIRE
S20115
CARDBOARD BALER PREVENTATIVE MAINTENANCE AND REPAIRS**

This questionnaire is an integral part of a Bidder's Bid, and shall be completed. Failure to provide the required information may cause rejection of your Bid. All references and information shall be current and traceable. If the Bidder is a joint venture, each shall prepare a separate form.

NAME OF BIDDER:

PRINCIPAL OFFICE

STREET ADDRESS OR P.O. NUMBER

CITY

STATE

ZIP CODE + 4

TELEPHONE

FAX

E-MAIL ADDRESS

- 1.** Are you an individual _____, a partnership _____, a corporation _____, or a joint venture _____?
(Check appropriate business structure).

If partnership, list names and addresses of partners; if corporation, list names of officers and directors and State of incorporation; if joint venture, list names and addresses of venturers and, if any venture is a corporation, partnership or joint venture, list the same information for each such corporation, partnership and joint venture.

NAME	ADDRESS

--	--

2. How many years has your organization been in business as a Contractor under your present business name? _____ years.
3. How many people are currently employed by your firm? _____ In Santa Clara County? _____
4. Of the people employed, what are the job classifications involved in the services required by this solicitation, and how many people are assigned to each classification?

JOB CLASSIFICATION	NO. OF EMPLOYEES

5. What is the location of your facility located in Santa Clara County? What is the square footage of this facility? (If the facility is not in Santa Clara County, indicate the location and square footage of the nearest facility to VTA's Administrative Offices on First Street, San Jose).

6. What are the types and number of vehicles you will use in the performance of services required by this solicitation?

TYPE	NUMBER

7. List the names of companies and public agencies that you have furnished service to within the last twelve months.

NAME AND ADDRESS:	
TYPE OF BUSINESS:	
CONTACT INFORMATION:	
NAME AND ADDRESS:	
TYPE OF BUSINESS:	
CONTACT INFORMATION:	
NAME AND ADDRESS:	
TYPE OF BUSINESS:	
CONTACT INFORMATION:	

8. List the names of companies and public agencies that you have current orders for the same or similar service.

NAME AND ADDRESS:	
TYPE OF BUSINESS:	
CONTACT INFORMATION:	
NAME AND ADDRESS:	
TYPE OF BUSINESS:	
CONTACT INFORMATION:	
NAME AND ADDRESS:	
TYPE OF BUSINESS:	
CONTACT INFORMATION:	

9. Have you or your organization, or any officer or partner thereof, failed to complete a contract? If so, give details:

10. Is any litigation pending against your organization? If so, give details:

11. Are you a certified SBE/DBE? If yes, with which agency do you hold your certification:

The undersigned certifies that (s)he is legally authorized by the Bidder to make the statements and representations contained in this document, and represents and warrants that the foregoing information is true and accurate to the best of his knowledge, and intends that the Santa Clara Valley Transportation Authority, Santa Clara County, California, rely thereon in evaluating the Bidder.

NAME OF COMPANY

SIGNATURE

PRINTED NAME/ TITLE

DATE

**BID FORM 2-D: “NO BID” RESPONSE FORM
S20115
CARDBOARD BALER PREVENTATIVE MAINTENANCE AND REPAIRS**

If no Bid is to be submitted, detach this sheet from the Solicitation, complete the information below, and fax the form to the attention of the Contract Administrator listed on page 1 of this solicitation at the fax number above.

Reason for not submitting a Bid:

- Do not provide this service.
- Unable to obtain required insurance.
- Unable to obtain required bonding.
- Not equipped to handle this project.
- Do not carry this item.
- Not within the scope of our capabilities.
- Insufficient bidding time.
- Unable to identify items.
- Can supply item, however, cannot be competitive.
- Cannot comply with delivery/performance period.
- Project size is too large.
- Project size is too small.
- Not interested in this type of project.

Explain:

Cannot comply with Specification:

Explain:

Other:

Explain:

SIGNATURE

/ / 20

DATE

PRINT NAME

E-MAIL ADDRESS

FIRM

TELEPHONE

FAX

EXHIBIT A: INSURANCE REQUIREMENTS

CONTRACTOR'S ATTENTION IS DIRECTED TO THE INSURANCE REQUIREMENTS BELOW. IT IS HIGHLY RECOMMENDED THAT CONTRACTOR CONFER WITH THEIR INSURANCE CARRIERS OR BROKERS IN ADVANCE OF BID SUBMISSION TO DETERMINE THE AVAILABILITY OF INSURANCE CERTIFICATES AND ENDORSEMENTS REQUIRED BY THIS CONTRACT.

INSURANCE

Without limiting Contractor's indemnification and defense of claims obligations to VTA, Contractor must procure and maintain for the duration of the Contract insurance against claims for injuries to persons or damages to property which may arise from or in connection with the performance of the work hereunder by the Contractor, its agents, representatives, or employees, or subcontractors. The cost of such insurance must be included in the Contract pricing. Contractor must furnish complete copies of all insurance policies within three (3) business days of any such request by VTA.

A. Liability and Workers' Compensation Insurance**1. Minimum Scope of Coverage**

Coverage must be at least as broad as:

- a. Insurance Services Office General Liability coverage ("occurrence" form CG 0001). General Liability insurance written on a "claims made" basis is not acceptable. Completed Operations coverage must be continuously maintained in force for at least two (2) years after completion of the work under this Contract.
- b. Insurance Services Office Business Auto Coverage, Insurance Services Office form number CA 0001, covering Automobile Liability, code 1 "any auto." Auto Liability written on a "claims-made" basis is not acceptable.
- c. Workers' Compensation insurance as required by the Labor Code of the State of California and Employer's Liability insurance

2. Minimum Limits of Insurance

Contractor must maintain limits no less than:

- a. General Liability (including umbrella/excess liability): \$2,000,000 limit per occurrence for bodily injury, personal injury, and property damage. If a General Liability or other form with a general aggregate limit is used, either the general aggregate limit must apply separately to this project/location or the general aggregate limit must be twice the required occurrence limit. This requirement may be satisfied by a combination of General Liability with Excess or Umbrella insurance, but in no event may the General Liability primary policy limit per occurrence be less than

\$2,000,000, unless Umbrella/Excess policies feature inception and expiration dates concurrent with the underlying policy, “Follow Form” coverage, and a “Drop Down” provision.

- b. Automobile Liability: \$1,000,000 limit per accident for bodily injury and property damage.
- c. Workers’ Compensation and Employer’s Liability: Statutory Workers’ Compensation limits and Employer’s Liability limits of \$1,000,000 per accident.

B. Self-Insured Retention

The certificate of insurance must disclose the actual amount of any deductible or self-insured retention, or lack thereof, for all coverages required herein. Any self-insured retention or deductible in excess of \$50,000 (\$100,000 if Contractor is a publicly-traded company) must be declared to and approved by VTA. If Contractor is a governmental authority such as a state, municipality or special district, self-insurance is permitted. To apply for approval for a level of retention or deductible in excess of \$50,000, Contractor must provide a current financial report including balance sheets and income statements for the past three years, so that VTA can assess Contractor’s ability to pay claims falling within the self-insured retention or deductible. Upon review of the financial report, if deemed necessary by VTA in its sole discretion, VTA may elect one of the following options: to accept the existing self-insured retention or deductible; require the insurer to reduce or eliminate the self-insured retention or deductible as respects VTA, its directors, officers, officials, employees and volunteers; or to require Contractor to procure a bond guaranteeing payment of losses and related investigations, claim administration and defense expenses. Applicable costs resulting therefrom will be borne solely by Contractor. Contractor may request execution of a nondisclosure agreement prior to submission of financial reports.

C. Claims Made Provisions (not applicable to General Liability or Auto Liability)

Claims-made coverage is never acceptable for General Liability or Auto Liability. Claims-made may be considered for Professional, Environmental/Pollution, or Cyber Liability. If coverage is written on a claims-made basis, the Certificate of Insurance must clearly state so. In addition to all other coverage requirements, such policy must comply with the following:

- 1. The policy retroactive date must be no later than the date of this Contract.
- 2. If any policy is not renewed or the retroactive date of such policy is to be changed, Contractor must obtain or cause to be obtained the broadest extended reporting period coverage available in the commercial insurance market. This extended reporting provision must cover at least two (2) years.
- 3. No prior acts exclusion may be added to the policy during the contract period.
- 4. The policy must allow for reporting of circumstances or incidents that might give rise to future claims.

D. Other Provisions

The policies must contain, or be endorsed to contain, the following provisions:

1. General Liability and Automobile Liability

- a. VTA, its directors, officers, officials, employees, and volunteers must be named as additional insureds as respects: liability arising out of activities performed by or on behalf of Contractor, including VTA's general supervision of Contractor; products and completed operations of Contractor or subcontractors; premises owned, occupied, or used by Contractor; or automobiles owned, leased, hired, or borrowed by Contractor. The coverage must contain no special limitations on the scope of protection afforded to VTA, its directors, officers, officials, employees, or volunteers. Additional Insured endorsements must provide coverage at least as broad as afforded by the combination of ISO CG 20 10 10 01 and CG 20 37 10 01.
- b. Any failure to comply with reporting provisions of the policies may not affect coverage provided to VTA, its directors, officers, officials, employees, or volunteers.
- c. Contractor's insurance must apply separately to each insured against whom claim is made or suit is brought, except with respect to the limits of the insurer's liability.
- d. The General Liability General Aggregate limit must apply per project, not per policy
- e. The General Liability policy must be endorsed to remove the exclusion for railroad liabilities, with coverage at least as broad as that afforded by ISO CG 24 17.

2. All Coverages

- a. The insurer must agree to waive all rights of subrogation against VTA, its directors, officers, officials, employees, and volunteers for losses arising from work performed by Contractor and its subcontractors for VTA.
- b. Contractor's insurance coverage must be primary insurance as respects VTA, its directors, officers, officials, employees, and volunteers. Self-insurance or insurance that may be maintained by VTA, its directors, officers, officials, employees, or volunteers may apply only as excess to Contractor's insurance. Contractor's insurance must not seek contribution from VTA's insurance program.

3. Other Insurance Provisions

- a. The Certificate must disclose the actual amount of the Deductible or Self-Insured Retention.
- b. If any coverage forms or endorsements required by this Contract are updated by their publishers, whether they be the insurance carrier(s), the Insurance Services office, or the American Association of Insurance Services, during the duration of this Contract, VTA reserves the rights to require Contractor to procure said coverage forms or endorsements using the updated versions upon the next renewal cycle.

E. Acceptability of Insurers

Insurance and bonds must be placed with insurers with an A.M. Best's rating of no less than A VII (financial strength rating of no less than A and financial size category of no less than VII), unless specific prior written approval has been granted by VTA.

F. Certificates of Insurance

Contractor must furnish VTA with a Certificate of Insurance. The certificates for each insurance policy must be signed by an authorized representative of that insurer. The certificates must be issued on a standard ACORD Form. Contractor must instruct its insurance broker/agent to submit all insurance certificates and required notices electronically in PDF format to Insurance.certificates@vta.org. All endorsements must be attached to the ACORD certificate in a single PDF document.

The certificates must (1) identify the insurers, the types of insurance, the insurance limits, the deductibles, and the policy term, (2) include copies of all the actual policy endorsements required above, and (3) in the "Certificate Holder" box include:

Santa Clara Valley Transportation Authority ("VTA")
3331 North First Street
San Jose, CA 95134-1906

In the Description of Operations/Locations/Vehicles/Special Items Box, the VTA Contract number must appear, the list of policies scheduled as underlying on the Umbrella/Excess policy must be listed, Certificate Holder must be named as additional insured, and Waiver of Subrogation must be indicated as endorsed to all policies as stated in the Contract documents.

It is a condition precedent to award of this Contract that all insurance certificates and endorsements be received and approved by VTA before Contract execution. No work may be performed until insurance is in full compliance. VTA reserves the rights to require complete, certified copies of all required insurance policies, at any time.

If Contractor receives notice that any of the insurance policies required by this Exhibit may be cancelled or coverage reduced for any reason whatsoever, Contractor must immediately provide written notice to VTA that such insurance policy required by this Exhibit is canceled or coverage is reduced.

G. Maintenance of Insurance

If Contractor fails to maintain insurance as required herein, VTA, at its option, may suspend payment for work performed and/or may order Contractor to suspend work at Contractor's expense until a new policy of insurance is in effect.

EXHIBIT B: PREVAILING WAGE REQUIREMENTS

- A. CALIFORNIA PREVAILING WAGE LAW:** This Contract is a “public work” as defined in Section 1720 through 1720.6 of the California Labor Code (“Labor Code”) and is therefore subject to the requirements of Labor Code Section 1720 et seq. requiring the payment of prevailing wages and compliance with other applicable requirements. Contractors and subcontractors of all tiers who perform work under this Contract are required to comply with these requirements.
- B. DIR REGISTRATION:** Contractor and subcontractors of all tiers used for the Contract must be registered with the DIR pursuant to Labor Code Section 1725.5 (with limited exceptions from this requirement for bid purposes only under Labor Code section 1771.1(a)) prior to (i) submission of the bid or proposal and/or (ii) execution of the Contract, as applicable. Those who fail to register and maintain their status as a public works contractor are not permitted to perform work hereunder.
- C. SUBCONTRACTOR LISTING:** Contractor must provide VTA with a list of all subcontractors of every tier, for any dollar amount. Contractor must not allow any unidentified subcontractor of any tier to perform work under this Contract.
- D. APPLICABLE RATES:** Workers employed under the Contract must be paid at the rates at least equal to the prevailing wage rates as adopted. If Contractor uses a craft or classification not shown on the prevailing wage determinations, Contractor may be required to pay the wage rate of that craft or classification most closely related to it as shown in the general determinations effective at the time of Contract award.
- 1. California Prevailing Wage Rates:** The applicable California prevailing wage rates can be found at www.dir.ca.gov and are on file with the Contracts Office at VTA, which will be available to any interested party upon request. Contractor is also required to have a copy of the applicable prevailing wage rates posted and/or available at the jobsite or material staging area.
 - 2. Special Prevailing Wage Rates:** Special prevailing wage rates generally apply to work performed on weekends, holidays, and for certain shift work. Depending on the location of the project and the amount of travel incurred by workers on the project, certain travel and subsistence payments may also be required. Contractor is on notice, and responsible for ensuring that its subcontractors of all tiers are on notice, that information about such special rates, holidays, premium pay, shift work, and travel and subsistence requirements can be found at www.dir.ca.gov.
- E. APPRENTICES:** In the performance of work under this Contract, Contractor is responsible for compliance with Labor Code Section 1777.5, pertaining to the employment of registered apprentices.

F. CERTIFIED PAYROLLS:

1. **Submission to VTA:** In the performance of work under this Contract, Contractor is responsible for its compliance, as well as that of its subcontractors of every tier, with Labor Code Section 1776. On a weekly basis, Contractor will present to VTA all applicable and necessary certified payrolls (for itself and all applicable subcontractors of every tier) for the time period covering the immediately preceding week. The term “certified payroll” includes all required documentation to comply with the mandates set forth in Labor Code Section 1720 et seq, as well as any additional documentation requested by VTA.
2. **Submission to the California Department of Industrial Relations (“DIR”):** In addition to submitting the certified payrolls and related documentation to VTA, on a weekly basis Contractor and subcontractors of all tiers must submit certified payroll and related documents electronically to the DIR. Failure to submit payrolls to the DIR when mandated by the Contract will also result in the withholding of progress, retention, and final payment, if applicable.
3. **Flow Down:** Contractor will incorporate into every lower-tier subcontract and purchase order these instructions where labor compliance documentation is required.

G. FAILURE TO COMPLY: VTA or the DIR may impose penalties upon Contractor and subcontractors of any tier for failure to comply with prevailing wage requirements. This Contract is subject to compliance monitoring and enforcement by the DIR.

EXHIBIT C: SMALL BUSINESS ENTERPRISE (SBE) POLICY AND REQUIREMENTS**S20115****CARDBOARD BALER PREVENTATIVE MAINTENANCE AND REPAIRS**

1. **POLICY:** It is the policy of the Santa Clara Valley Transportation Authority to ensure that Small Business Enterprises (SBEs) as defined in federal regulations at 13 CFR Part 121 shall have the opportunity to participate in the performance of contracts and subcontracts financed with local funds.
 - A. Any certified DBE is eligible to participate as an SBE toward the SBE goal.
 - B. VTA's Office of Business Diversity Program encourages Contractors to call (408) 321-5962 for assistance in identifying eligible SBE firms. Listings of eligible firms are also available on the internet at the following: <https://www.vta.org/business-center/business-diversity-programs#accordion-small-business-enterprise-program>.
2. **GOAL:** There is no specific goal established for this Contract. However, Contractor is encouraged to make every effort to meet VTA's overall agency goal of 19% where possible.
3. **COUNTING TOWARD THE SBE GOAL:** SBEs may perform as Contractors, subcontractors (1st tier), or subcontractor to subcontractor (2nd tier). Only the value of the work actually performed by the SBE, including materials and supplies, will be counted toward the SBE goal.
 - A. An SBE must perform a commercially useful function; i.e., must be responsible for the execution of a distinct element of the work and must carry out its responsibility by actually performing, managing and supervising the work.

If an SBE does not perform or exercise responsibility of at least thirty percent (30%) of the total cost of its Contract with its own work force, or if the SBE subcontracts a greater portion of work of a Contract than would be expected on the basis of normal industry practice, then it will be presumed that the SBE is not performing a commercially useful function.
 - B. Credit for an SBE vendor of materials or supplies is limited to sixty percent (60%) of the amount to be paid to the vendor for the materials or supplies unless the vendor manufactures or substantially alters the goods. Credit for SBE brokers is limited to only the fees and commissions portion of the amount paid. All other firms receive one hundred percent (100%) credit, less work subcontracted by the SBE to non-SBE firms, toward the SBE goal.
 - C. Credit for SBE trucking firms is limited to the amount performed by the SBE's own trucks and drivers and by certified SBE trucking sub haulers. An SBE trucking firm must itself own and operate at least one fully licensed, insured and operational truck used on the Contract.
 - D. In a joint venture, only the portion of the total dollar value of the Contract equal to the distinct, clearly-defined portion of the work of the Contract that the SBE performs with its own forces will be counted toward the SBE goal.

- E.** During the life of a Contract, work performed by SBE firms whose certification has expired will not continue to be counted toward the SBE goal. Only work performed by a certified SBE firm will be counted toward the SBE goal when the SBE firm has been paid.
 - F.** Bidders are encouraged to utilize services offered by financial institutions owned and controlled by socially and economically disadvantaged individuals in VTA's community and marketplace.
- 4. AWARD OF THE CONTRACT:** VTA will award this Contract to the lowest responsible and responsive Bidder as required by federal and California laws.
- 5. SUBMITTALS:** All Bidders shall submit the following:
- A.** Bid Form 2-A: Listing of SBE Contractor, subcontractor(s) or supplier(s) Bidder intends to use and count toward VTA's overall agency SBE goal, with a complete description of services or supplies to be provided by each, work which the SBE further subcontracts to non-SBE firms, and the dollar value of each such subcontracting or supplies transaction.
 - B.** Bid Form 2-B: Supplemental Contractor and Subcontractor Information.
- 6. NONDISCRIMINATION:** The Contractor shall make VTA's contracting requirements known to subcontractors, vendors and suppliers who are certified or accepted as certifiable as SBE, as well as to non-SBE businesses, and shall provide a practical opportunity for all firms to participate in the Contract.
- 7. SUBSTITUTION OF SBE SUBCONTRACTOR WITH NON-SBE SUBCONTRACTOR:** An SBE subcontractor or supplier shall not be replaced without the prior written consent of VTA. Contractor shall make good faith efforts to find another SBE subcontractor or supplier to substitute for the original SBE. The efforts employed by the Contractor shall be those that one could reasonably expect a Contractor to take if the Contractor were actively and aggressively trying to engage a certified SBE firm to substitute for an SBE firm that has to be replaced and shall include the following:
- A.** Contractor shall immediately notify VTA in writing of its intent to replace a SBE firm, and of the reasons therefore, prior to any solicitation or advertisement for replacement firms. A copy of the notice shall be provided to the VTA Office of Business Diversity Program (OBDP).
 - B.** VTA will provide written notice to the SBE firm of Contractor's request for substitution and of the reasons therefor and they will be requested to provide any written objections within five (5) working days.
 - C.** Contractor shall utilize the following sources for identifying certified SBE firms for solicitation: California DBE Uniform Certification Program (UCP) database; California Department of General Services Small Business database; VTA SBE database.
 - D.** Contractor shall provide written notice to at least five (5) firms in each work or material/supply category to be substituted. If Contractor provides written notice to fewer than (5) five firms Contractor shall explain to OBDP in writing why the number of firms solicited
-

was sufficient. Written notice shall be sent first to firms located in the County of Santa Clara and its contiguous counties (“local firms”) and then, where appropriate, to out-of-area SBE firms.

- E.** Contractor shall contact the SBE firms solicited to determine with certainty whether the firms are interested in bidding on the project. This follow-up shall be documented with telephone logs, fax logs or other written documentation and submitted to OBDP.
 - F.** Contractor shall provide OBDP with the following information:
 - (1)** A list and copies of all SBE and non-SBE responses to the solicitation, including all Bids received.
 - (2)** If a Bid is rejected by Contractor, the reasons for the rejection.
 - (3)** If Contractor rejected an SBE firm as unqualified, a description of the qualification assessment conducted by Contractor and the factors considered.
 - G.** A Contractor who fails to use good faith efforts to replace an SBE firm with another SBE firm may be subject to the imposition of a penalty of up to fifteen percent (15%) of the value of the work of the subcontractor or supplier replaced.
- 8. MONTHLY SBE UTILIZATION REPORT:** Contractors are required to submit a monthly SBE Utilization Report electronically to the SBE Administrator, VTA Office of Business Diversity Program. These monthly reports shall be submitted electronically and the Contractor will document the dollar value of payments to SBE firms, and the percentage of the Contract completed. VTA will monitor the Contract for compliance with SBE requirements.
- A.** This system is web-based, accessible from any computer via the internet at <https://vta.sbdbe.com>. Each Contractor and subcontractor will receive an email providing them with Log On identification, and a temporary password and instructions on how to use the system. Classroom training will also be provided. Other assistance will be provided upon request.
 - B.** Contractor will include this requirement in all of its subcontracts and purchase orders when required to provide or verify SBE utilization documentation.
 - C.** If the SBE Utilization Reports indicate potential problems, the Contractor shall meet with the appropriate VTA representative(s) to address any deficiencies and discuss appropriate corrective actions.
 - D.** Prior to final payment, Contractor will be required to submit a final SBE Utilization Report. In addition to payments to the SBEs, the final report must include payments to and other information about all other businesses, including non-SBE subcontractors, suppliers of materials, trucking firms, consultants and others.

- E.** Failure by Contractor to submit required reports as described above may be considered grounds for a determination by VTA of nonresponsibility in consideration of Contractor's eligibility to bid on or be awarded future work.
- 9. PROMPT PAYMENT:** The Contractor must adhere to all federal and California prompt payment laws and regulations. If Contractor does not adhere to prompt payment requirements, penalties may apply.

EXHIBIT D: QUALITY ASSURANCE AND WARRANTY PROVISION**S20115****CARDBOARD BALER PREVENTATIVE MAINTENANCE AND REPAIRS**

1. **QUALITY ASSURANCE SYSTEM POLICY:** The Contractor and/or supplier shall have and maintain an effectively defined and documented Quality Assurance System which demonstrates the Contractor and/or supplier's policy, objective and commitment to quality at all levels of the organization. This system manual or current quality program certification document shall be submitted in writing to VTA as part of the Bid package for approval. The Contractor and/or supplier shall also have the capability to ensure original design integrity, inspection, testing, adhering to Scope of Work and/or technical specification by preventing nonconformity at all stages from production through delivery.

2. **MANAGEMENT ORGANIZATION:** The Contractor and/or supplier shall have a designated quality assurance representative with the defined responsibility and authority to verify Contract conformance and initiate corrective and/or preventative actions on the occurrence of any nonconformance relating to product (systems, parts, components, materials, and services), performance, customer service, process and/or Quality Assurance System. VTA reserves the right to audit and assess the effectiveness of this Quality Assurance System organization. The Contractor and/or supplier shall:
 - A. Identify, document and communicate changes to the Quality Assurance System, and any problems relating to the system and its nonconformity.
 - B. Initiate, recommend or provide solutions through designated channels.
 - C. Verify the implementation of corrections, preventative actions and/or solutions.
 - D. Ensure that the Quality Assurance System requirements of this Contract are established, implemented and maintained.
 - E. Review, audit and report on the Quality Assurance System at defined intervals sufficient to ensure its continuing suitability and effectiveness in satisfying the requirements of this Contract.

3. **WARRANTY:** Warranties in this Document are in addition to any statutory remedies or warranties imposed on the Contractor and/or supplier. Consistent with this requirement, the Contractor and/or supplier shall guarantee and warrant all products adhering to products manufacture performance requirements and VTA's specified requirements. The Contractor and/or supplier shall also have and maintain an effectively defined and documented warranty administration system that demonstrates the Contractor and/or supplier's and/or Products Manufacturer's policy, procedure and commitment to respond to and resolve product returns and warranty claims within a reasonable time. The Contractor and/or supplier is required to submit warranty policy, procedure, and forms for VTA review.

EXHIBIT E: SAMPLE CONTRACT

CONTRACT
BETWEEN
SANTA CLARA VALLEY TRANSPORTATION AUTHORITY
AND
[CONTRACTOR NAME]
FOR
CARDBOARD BALER PREVENTATIVE MAINTENANCE AND REPAIRS

CONTRACT NO. P20115

This contract (“Contract”) is made and entered into by and between Santa Clara Valley Transportation Authority (“VTA”) and _____ (“Contractor”). This Contract expresses the terms and conditions for the purchase of cardboard baler preventative maintenance and repairs.

1. **CONTRACT COMPONENTS:**

The Contract consists of:

- A. Exhibit 1 – Invitation for Bid S20115 dated Month XX, 20XX, and any addenda thereto (the “IFB”)
- B. Exhibit 2 – Contractor Price Sheet dated MONTH XX, 20XX

All parts of the Contract are intended to be complementary and what is set forth in any one document is as binding as if set forth in each document.

In case of any conflict among these documents where the parties’ intended resolution is not clear, the order of precedence will be in the order listed above. In the event that any of the language set forth in the Contract is inconsistent or contradictory, then the language that is most favorable to VTA will control.

2. **SCOPE OF WORK:** Contractor must furnish and deliver services, as described in the Scope of Work of the IFB.
3. **TERM OF CONTRACT:** The term of this Contract will commence on the Effective Date (as defined in the signature block below) and continue through [MONTH DAY, YEAR] (unless otherwise earlier terminated pursuant to the terms and conditions set forth herein).

VTA may, at its option, extend the term of the Contract for four (4) additional one-year terms (each an “Option Year”). VTA may unilaterally exercise its Option Years by sending 30 days written notice to Contractor.

4. **COMPENSATION:** VTA will pay Contractor in accordance with [Exhibit 2] in exchange for Contractor’s performance under this Contract. The compensation information set forth in

Exhibit 2 will remain in effect and applicable to any Option Year exercised by VTA pursuant to the terms and conditions set forth herein.

Total compensation paid by VTA to Contractor hereunder will not exceed \$[xx,xxx.00].

5. **ENTIRE AGREEMENT:** This Contract constitutes the entire agreement between VTA and Contractor relating to the subject matter hereof and supersedes any previous contracts, agreements, or understandings, whether oral or written.
6. **GOVERNING LAW:** The laws of the State of California will govern these terms and conditions, as well as any claim that might arise between Contractor and VTA, without regard to conflict of law provisions.
7. **FORUM SELECTION:** Any lawsuit or legal action arising from this Contract must be commenced and prosecuted in the courts of Santa Clara County, California. Contractor agrees to submit to the personal jurisdiction of the courts located in Santa Clara County, California for the purpose of litigating all such claims.
8. **AUTHORIZED REPRESENTATIVES, NOTICES, AND POINTS OF CONTACT:** The Authorized Representatives identified below, or assigned designees, have authority to authorize changes to the scope, terms, and conditions of this Contract, as set forth herein.

A. AUTHORIZED REPRESENTATIVES:

VTA:

John Wesley White
Chief Procurement Officer
Procurement, Contracts and Materials Management
3331 N. First Street, Bldg. B
San Jose, CA 95134-1906
john.white@vta.org

Contractor:

Name/Title
Address
City/State/Zip
Telephone
Email

- B. NOTICES:** Notices must be in writing and addressed to the Authorized Representatives at the address set forth above. Any notice required or permitted to be given under this Contract will be deemed given when personally delivered to recipient thereof or mailed by registered or certified mail, return receipt requested, postage prepaid, to the appropriate

recipient thereof, as identified immediately above in paragraph A (Authorized Representatives).

C. POINTS OF CONTACT: The Points of Contact listed below are authorized to communicate regarding Contract matters, except in the case where correspondence regarding legal notices must be addressed to the Authorized Representatives.

VTA:

Norman David, Contracts Administrator
3331 N. First Street, Bldg. B
San Jose, CA 95134-1906
norman.david@vta.org

Contractor:

Name/Title
Address
City/State/Zip
Telephone
Email

D. Written notification to the other party must be provided, in advance, for changes in the name or address of the designated Authorized Representatives or Points of Contact stated above.

In witness whereof, VTA and Contractor have executed this Contract as of the last date set forth below ("Effective Date").

*Santa Clara Valley Transportation
Authority*

Contractor

Name	Date
Title	

Name	Date
Title	

Approved as to Form

VTA Counsel	Date
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EXHIBIT 2: CONTRACTOR PRICE SHEET

[TO BE FILLED-IN UPON CONTRACT AWARD]

SUBMITTED [INSERT DATE]