

Regular Meeting of the  
**Board of Trustees of the Utah Transit Authority**

Wednesday, May 1, 2019, 9:00 a.m.  
Utah Transit Authority Headquarters  
669 West 200 South, Salt Lake City, Utah  
Golden Spike Conference Rooms



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|---|---|
| <b>1. Call to Order &amp; Opening Remarks</b>   | <b>Chair Carlton Christensen</b>  |
| <b>2. Pledge of Allegiance</b>  | <b>Chair Carlton Christensen</b>  |
| <b>3. Safety First Minute</b>   | <b>Sheldon Shaw</b>   |
| <b>4. Public Comment Period</b>   | <b>Bob Biles</b>  |
| <b>5. Consent Agenda</b><br>a. Approval of April 24, 2019 Board Meeting Minutes<br>b. Approval of UTA Policy 6.1.4 Employment of Relatives  | <b>Chair Carlton Christensen</b>  |
| <b>6. Agency Report</b>   | <b>Steve Meyer</b>  |
| <b>7. Board Priorities</b>  | <b>Carlton Christensen</b>  |
| <b>8. R2019-05-01 Authorizing Sale of Surplus Property Located at 8397 S. Spaulding Court, West Jordan</b>  | <b>Paul Drake</b>   |
| <b>9. Contracts and Pre-Procurements</b><br>a. Contract: UTA Website Maintenance and Development (Penna Powers)<br>b. Change Order: On-Call Maintenance Contract Task Order #75- Rail Replacement (Stacy and Witbeck)<br>c. Disbursement: Siemens Mobility Inc.<br>d. Pre-procurement: On Board Passenger Surveys | Andrea Packer<br>Eddy Cumins<br>Bob Biles<br>Steve Meyer                            |
| <b>10. Discussion Items</b><br>a. Budget Amendment Process<br>b. Spike 150 Celebration May 10-12<br>c. Benchmark Survey   | Bob Biles<br>Trustee Holbrook<br>Andrea Packer<br>Nichol Bourdeaux<br>Andrea Packer |

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**11. Other Business**

**Chair Carlton Christensen**

- a. Next meeting: May 8, 2019 at 9:00 a.m.

**12. Adjourn**

**Chair Carlton Christensen**

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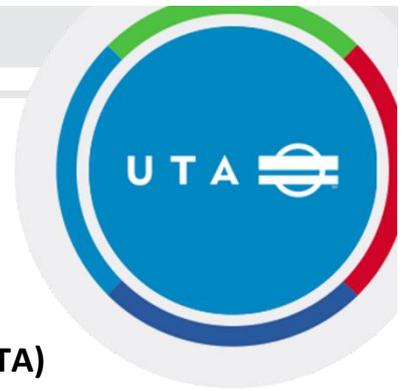
**Public Comment:** Members of the public are invited to provide comment during the public comment period. Comment may be provided in person or online through [www.rideuta.com](http://www.rideuta.com). In order to be considerate of time and the agenda, comments are limited to 2 minutes per individual or 5 minutes for a designated spokesperson representing a group. Comments may also be sent via e-mail to [boardoftrustees@rideuta.com](mailto:boardoftrustees@rideuta.com).

**Special Accommodation:** Information related to this meeting is available in alternate format upon request by contacting [calldredge@rideuta.com](mailto:calldredge@rideuta.com) or (801) 287-3536. Request for accommodations should be made at least two business days in advance of the scheduled meeting.

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**Don't let April Showers bring you hospital flowers.  
Stay alert when driving in wet conditions.**





**Minutes of the Meeting  
of the  
Board of Trustees of the Utah Transit Authority (UTA)  
held at UTA FrontLines Headquarters located at  
669 West 200 South, Salt Lake City, Utah  
April 24, 2019**

**Board Members Present:**

Carlton Christensen, Chair  
Kent Millington

**Board Members Excused/Not in Attendance:** Beth Holbrook

Also attending were members of UTA staff, as well as interested citizens.

**Call to Order, Opening Remarks, and Pledge of Allegiance.** Chair Christensen welcomed attendees and called the meeting to order at 9:00 a.m. with two board members present. Following Chair Christensen's opening remarks, the board and meeting attendees recited the Pledge of Allegiance.

**Safety First Minute.** Chair Christensen yielded the floor to Sheldon Shaw, UTA Safety Manager, for a brief safety message.

**Public Comment Period.** No public comment was given.

**Approval of April 17, 2019 Board Meeting Minutes.** A motion to approve the April 17, 2019 Board Meeting Minutes was made by Trustee Millington and seconded by Chair Christensen. The motion carried unanimously.

## Agency Report.

**Outreach Plan for Main Street Rail Replacement.** Steve Meyer, UTA Interim Executive Director, was joined by Eddy Cumins, UTA Chief Operating Officer, Greg Thorpe, UTA Project Manager III, and James Larson, UTA Public Relations Specialist. The team delivered a presentation on the outreach plan for the upcoming rail replacement on the TRAX alignment along Main Street at 150 South and 400 South. Pre-construction work is scheduled from April 15-May 3, 2019 and full construction is scheduled from May 4-June 2, 2019. Once full construction commences, work will be performed around the clock over a period of 24 days. The overall construction process, pre-construction and associated communications plans, and construction and associated communications plans for phases I-III were reviewed.

Discussion ensued. Questions on road closures, the possibility of condensing the project schedule, the schedule for distributing communications collaterals to riders, and employee platform volunteer efforts during the project were posed by the board and answered by staff. Chair Christensen suggested providing water to riders walking along the detour route.

**Emergency Program Completion.** Mr. Meyer recognized Amy Cornell-Titcomb, UTA Emergency Management Program Manager, for completion of the Center for Homeland Defense and Security Naval Postgraduate School Emergence Program.

**Financial Report – March 2019.** Bob Biles, UTA Chief Financial Officer, delivered the financial report for March 2019. Discussion ensued. Questions on accounting for leave time and transfers from expense to capital were posed by the board and answered by Mr. Biles.

## Contracts and Pre-Procurements.

**Revenue Contract Amendment: University of Utah Ed Pass.** Monica Morton, UTA Fares Director, described the contract amendment, which eliminates annual increases of the base rate per user contemplated in the original contract and holds the rate constant for the remaining three years of the contract. One intention of the amendment is to maintain equitable pricing among the higher education institutions. Discussion ensued. It was clarified that the reduced contract amount referenced in the meeting packet is a projection.

A motion to approve the contract amendment as explained with an understanding that the dollar amount of the adjustment may change when actual user numbers become

available was made by Trustee Millington and seconded by Chair Christensen. The motion carried unanimously with aye votes from Trustee Millington and Chair Christensen.

**Change Order: TIGER Phase 2 Amendment 7 – Tooele County Bike Lanes.** Eddy Cumins, UTA Chief Operating Officer, was joined by Mary DeLoretto, UTA Capital Development Director. Mr. Cumins summarized the change order, which authorizes the construction of bike lanes in Tooele County. The bike lanes are one of 94 projects designated in the Transportation Investment Generating Economic Recovery (TIGER) program of projects. Discussion ensued. Questions on the location of the bike lanes and connections to new service being offered in August were posed by the board and answered by staff. Ms. DeLoretto committed to provide the board with an overview of the TIGER program in a future board meeting.

A motion to approve the contract amendment was made by Trustee Millington and seconded by Chair Christensen. The motion carried unanimously with aye votes from Trustee Millington and Chair Christensen.

**Pre-Procurement: Bond Underwriting.** Mr. Meyer spoke about the agency's intent to secure a five-year contract with a pool of bond underwriters. Discussion ensued. Questions on determining which underwriter(s) to use for a given bond issue and agency requirements with the state bonding commission were posed by the board and answered by Mr. Meyer.

#### **Other Business.**

**Next Meeting.** The next meeting of the board will be on Wednesday, May 1, 2019 at 9:00 a.m.

**Adjournment.** The meeting was adjourned at 9:52 a.m. by motion.

Transcribed by Cathie Griffiths  
Executive Assistant to the Board Chair  
Utah Transit Authority  
[cgriffiths@rideuta.com](mailto:cgriffiths@rideuta.com)  
801.237.1945

*This document is not intended to serve as a full transcript as additional discussion may have taken place; please refer to the meeting materials, audio, or video located at <https://www.utah.gov/pmn/sitemap/notice/529553.html> for entire content.*

*This document along with the digital recording constitute the official minutes of this meeting.*

UNAPPROVED

## UTAH TRANSIT AUTHORITY POLICY

No. 6.1.4

### **EMPLOYMENT OF RELATIVES**

I. **Purpose.** This policy is intended to guard against the preferences and conflicts that may arise from the Hiring of Relatives.

II. **Definitions.** For purposes of this policy only, the subsequent words and phrases are defined as follows:

A. *Conflicts of Interest* means a set of circumstances that gives rise to a risk that professional judgment or actions will be unduly influenced or that performance or productivity may be hampered. Conflicts of Interest may arise in situations including, but not limited to, financial, purchasing, procurement, or data control and oversight or in situations involving physical control including, but not limited to, quality control, auditing, theft prevention, etc.

B. *Hiring* means an applicant's initial hire or a current employee's hire into another position at UTA.

C. *Executive* means the Board of Trustees, Executive Director, and Chief Officers.

D. *Relative* means father, mother, husband, wife, son, daughter, sister, brother, uncle, aunt, nephew, niece, first cousin, grand parent, grandchild, step relatives, in-laws, and individuals in a personal relationship of a romantic or intimate nature.

III. **Policy.**

A. **Application.** This Policy applies to all full-time, part-time, temporary employees, and interns.

B. **Hiring of Relatives.**

1. Relatives of Executives are not eligible for employment at UTA.

2. UTA employees are prohibited from Hiring and participating in the Hiring of Relatives.

3. UTA discourages the Hiring of Relatives within the same administrative Department.

C. **Conflicts of Interest.** Relatives of UTA employees are not eligible for hire if their Hiring creates a Conflict of Interest. The Hiring Executive, in consultation with the People Office and Ethics Officer, shall determine if the Hiring creates a Conflict of Interest.

D. Supervision of Relatives.

1. UTA employees are prohibited from supervising Relatives.
2. If a bargaining unit employee bids into a shift supervised by a Relative or bids into a shift that creates a Conflict of Interest with a supervisor, the supervisor must seek another position at UTA and will be placed on unpaid administrative leave for a period of up to ninety days or temporarily reassigned to another position for a period of up to ninety days, if possible. If the supervisor is unable to find another position within ninety days, the supervisor's employment will be terminated.

E. Standards of Conduct. An employee may not participate in or interfere with employment actions, including promotion decisions, investigations, evaluations, and disciplinary proceedings, involving a Relative.

F. Notification. If two employees become subject to this Policy's restrictions after Hire, they must notify the Human Resources Service & Labor Relations Director.

IV. Cross-References. UTA Policy 6.3.1 – Positive People Management.

This UTA Policy was reviewed by UTA's Chief Officers on April 9, 2019, by the Board of Trustees on \_\_\_\_\_, and approved by the Interim Executive Director on this \_\_\_\_ day of \_\_\_\_\_. This policy takes effect on the latter date.

\_\_\_\_\_  
W. Steve Meyer  
Interim Director

Approved as to form:

\_\_\_\_\_  
Compliance Officer

Revision History		Owner
Employment of Relatives Policy Adopted	March 23, 2006	
Employment of Relatives Policy Revised	3.13.12, clarify policy	
Superseded	Conflicts of Interests in Employment Relationship 5.2.4 Renumbered to 6.1.4.	

Employment of Relatives Policy Revised	6.1.4 dated January 12, 2007	
Employment of Relatives Policy Revised	6.1.4 dated November 1, 2007	
Revised	June 11, 2013	
Revised	August 22, 2017	
Revised		Ethics Officer

**RESOLUTION OF THE BOARD OF TRUSTEES OF THE UTAH TRANSIT  
AUTHORITY APPROVING THE SALE OF SURPLUS PROPERTY AT 8397 SOUTH  
SPAULDING COURT IN WEST JORDAN CITY**

R2019-05-01

May 1, 2019

WHEREAS, the Utah Transit Authority (the "Authority") is a public transit district organized under the laws of the State of Utah and was created to transact and exercise all of the powers provided for in the Utah Limited Purpose Local Government Entities - Local Districts Act and the Utah Public Transit District Act;

WHEREAS, the Authority currently owns 0.16 acres of real property improved with a single-family home which is located at 8397 South Spaulding Court in West Jordan City, Utah ("Property");

WHEREAS, the UTA Board of Trustees (the "Board") authorized the Executive Director to surplus the Property and enter into a Purchase and Sale Agreement to sell the Property subject to receiving an offer equal to or greater than the appraised value of \$310,000 (R2018-05-05);

WHEREAS, on January 16, 2019, UTA entered a Purchase and Sale Agreement to sell the Property for the appraisal amount of \$310,000 (appraisal date of February 26, 2018);

WHEREAS, the buyers obtained a property inspection report with multiple items in need of repair and obtained a new FHA-Approved appraisal (appraisal date February 2, 2019) with a value conclusion of \$298,000; and

WHEREAS, the buyers have offered to purchase the Property for \$298,000 less \$4,000 in seller paid concessions to cover the repair costs;

NOW, THEREFORE, BE IT RESOLVED by the Board of Trustees of the Utah Transit Authority:

1. That the Board of Trustees hereby authorizes the Interim Executive Director to convey 0.16 acres of real property located at 8397 South Spaulding Court in West Jordan City, Utah to Jessica Loya, Gregory Harris, and Adolfinia Lopez for Two Hundred Ninety-Eight Thousand Dollars (\$298,000) less \$4,000 in seller concessions under and subject to the terms and conditions set forth in the Purchase and Sale Agreement attached hereto as Exhibit A.
2. That the Board hereby ratifies any and all actions taken by the Authority's Executive Director and staff in furtherance of and effectuating the intent of this Resolution.
3. That the corporate seal be attached hereto.

Approved and adopted this 1st day of May, 2019.

\_\_\_\_\_  
Carlton Christensen, Chair  
Board of Trustees

ATTEST:

\_\_\_\_\_  
Robert K. Biles, Secretary/Treasurer

(Corporate Seal)

Approved As To Form:

\_\_\_\_\_  
Legal Counsel

## Exhibit A

# REAL ESTATE PURCHASE CONTRACT

This is a legally binding Real Estate Purchase Contract ("REPC"). Utah law requires real estate licensees to use this form. Buyer and Seller, however, may agree to alter or delete its provisions or to use a different form. If you desire legal or tax advice, consult your attorney or tax advisor.

## EARNEST MONEY DEPOSIT

On this 10th day of January, 2019 ("Offer Reference Date") Jessica Loya Gregory Harris & Adolfinna Loya Lopez ("Buyer") offers to purchase from UTA ("Seller") the Property described below and agrees to deliver no later than four (4) calendar days after Acceptance (as defined in Section 23), an Earnest Money Deposit in the amount of \$1000. in the form of Check. After Acceptance of the REPC by Buyer and Seller, and receipt of the Earnest Money by the Brokerage, the Brokerage shall have four (4) calendar days in which to deposit the Earnest Money into the Brokerage Real Estate Trust Account.

## OFFER TO PURCHASE

### 1. PROPERTY: 8397 S. Spaulding Ct.

City of West Jordan, County of Salt Lake, State of Utah, Zip 84088 Tax ID No. 21-33-333-017 (the "Property"). Any reference below to the term "Property" shall include the Property described above, together with the Included Items and water rights/water shares, if any, referenced in Sections 1.1, 1.2 and 1.4.

**1.1 Included Items.** Unless excluded herein, this sale includes the following items if presently owned and in place on the Property: plumbing, heating, air conditioning fixtures and equipment; solar panels; ovens, ranges and hoods; cook tops; dishwashers; ceiling fans; water heaters; water softeners; light fixtures and bulbs; bathroom fixtures and bathroom mirrors; all window coverings including curtains, draperies, rods, window blinds and shutters; window and door screens; storm doors and windows; awnings; satellite dishes; all installed TV mounting brackets; all wall and ceiling mounted speakers; affixed carpets; automatic garage door openers and accompanying transmitters; security system; fencing and any landscaping.

**1.2 Other Included Items.** The following items that are presently owned and in place on the Property have been left for the convenience of the parties and are also included in this sale (check applicable box):  washers  dryers  refrigerators  microwave ovens  other (specify) \_\_\_\_\_

The above checked items shall be conveyed to Buyer under separate bill of sale with warranties as to title. In addition to any boxes checked in this Section 1.2 above, there  ARE  ARE NOT additional items of personal property Buyer intends to acquire from Seller at Closing by separate written agreement.

**1.3 Excluded Items.** The following items are excluded from this sale: N/A

**1.4 Water Service.** The Purchase Price for the Property shall include all water rights/water shares, if any, that are the legal source for Seller's current culinary water service and irrigation water service, if any, to the Property. The water rights/water shares will be conveyed or otherwise transferred to Buyer at Closing by applicable deed or legal instruments. The following water rights/water shares, if applicable, are specifically excluded from this sale: N/A

### 2. PURCHASE PRICE.

**2.1 Payment of Purchase Price.** The Purchase Price for the Property is \$298,000.00. Except as provided in this Section, the Purchase Price shall be paid as provided in Sections 2.1(a) through 2.1(e) below. Any amounts shown in Sections 2.1(c) and 2.1(e) may be adjusted as deemed necessary by Buyer and the Lender (the "Lender").

- \$ 1000.00 (a) **Earnest Money Deposit.** Under certain conditions described in the REPC, this deposit may become totally non-refundable.
- \$ \_\_\_\_\_ (b) **Additional Earnest Money Deposit** (see Section 8.4 if applicable)
- \$ 287,150.00 (c) **New Loan.** Buyer may apply for mortgage loan financing (the "Loan") on terms acceptable to Buyer: If an FHA/VA loan applies, see attached FHA/VA Loan Addendum.
- \$ \_\_\_\_\_ (d) **Seller Financing** (see attached Seller Financing Addendum)
- \$ 9850.00 (e) **Balance of Purchase Price in Cash at Settlement**
- \$ 298,000.00 **PURCHASE PRICE. Total of lines (a) through (e)**

**2.2 Sale of Buyer's Property.** Buyer's ability to purchase the Property, to obtain the Loan referenced in Section 2.1(c) above, and/or any portion of the cash referenced in Section 2.1(e) above  IS  IS NOT conditioned upon the sale of real estate owned by Buyer. If checked in the affirmative, the terms of the attached subject to sale of Buyer's property addendum apply.

### 3. SETTLEMENT AND CLOSING.

**3.1 Settlement.** Settlement shall take place no later than the Settlement Deadline referenced in Section 24(d), or as otherwise mutually agreed by Buyer and Seller in writing. "Settlement" shall occur only when all of the following have been completed: (a) Buyer and Seller have

Page 1 of 6  
Buyer's Initials JL GH Date 4/15/19 Seller's Initials RKB Date \_\_\_\_\_

signed and delivered to each other or to the escrow/closing office all documents required by the REPC, by the Lender, by the title insurance and escrow/closing offices, by written escrow instructions (including any split closing instructions, if applicable), or by applicable law; (b) any monies required to be paid by Buyer or Seller under these documents (except for the proceeds of any Loan) have been delivered by Buyer or Seller to the other party, or to the escrow/closing office, in the form of cash, wire transfer, cashier's check, or other form acceptable to the escrow/closing office.

**3.2 Closing.** For purposes of the REPC, "Closing" means that: (a) Settlement has been completed; (b) the proceeds of any new Loan have been delivered by the Lender to Seller or to the escrow/closing office; and (c) the applicable Closing documents have been recorded in the office of the county recorder ("Recording"). The actions described in 3.2 (b) and (c) shall be completed no later than four calendar days after Settlement.

**3.3 Possession.** Except as provided in Section 6.1(a) and (b), Seller shall deliver physical possession of the Property to Buyer as follows:  Upon Recording;  \_\_\_ Hours after Recording;  \_\_\_ Calendar Days after Recording. Any contracted rental of the Property prior to or after Closing, between Buyer and Seller, shall be by separate written agreement. Seller and Buyer shall each be responsible for any insurance coverage each party deems necessary for the Property including any personal property and belongings. The provisions of this Section 3.3 shall survive Closing.

**4. PRORATIONS / ASSESSMENTS / OTHER PAYMENT OBLIGATIONS.**

**4.1 Prorations.** All prorations, including, but not limited to, homeowner's association dues, property taxes for the current year, rents, and interest on assumed obligations, if any, shall be made as of the Settlement Deadline referenced in Section 24(d), unless otherwise agreed to in writing by the parties. Such writing could include the settlement statement. The provisions of this Section 4.1 shall survive Closing.

**4.2 Special Assessments.** Any assessments for capital improvements as approved by the homeowner's association ("HOA") (pursuant to HOA governing documents) or as assessed by a municipality or special improvement district, prior to the Settlement Deadline shall be paid for by:  Seller  Buyer  Split Equally Between Buyer and Seller  Other (explain) \_\_\_\_\_  
The provisions of this Section 4.2 shall survive Closing.

**4.3 Fees/Costs/Payment Obligations.**

(a) **Escrow Fees.** Unless otherwise agreed to in writing, Seller and Buyer shall each pay their respective fees charged by the escrow/closing office for its services in the settlement/closing process. The provisions of this Section 4.3(a) shall survive Closing.

(b) **Rental Deposits/Prepaid Rents.** Rental deposits (including, but not limited to, security deposits, cleaning deposits and prepaid rents) for long term lease or rental agreements, as defined in Section 6.1(a), and short-term rental bookings, as defined in Section 6.1(b), not expiring prior to Closing, shall be paid or credited by Seller to Buyer at Settlement. The provisions of this Section 4.3(b) shall survive Closing.

(c) **HOA/Other Entity Fees Due Upon Change of Ownership.** Some HOA's, special improvement districts and/or other specially planned areas, under their governing documents charge a fee that is due to such entity as a result of the transfer of title to the Property from Seller to Buyer. Such fees are sometimes referred to as transfer fees, community enhancement fees, HOA reinvestment fees, etc. (collectively referred to in this section as "change of ownership fees"). Regardless of how the change of ownership fee is titled in the applicable governing documents, if a change of ownership fee is due upon the transfer of title to the Property from Seller to Buyer, that change of ownership fee shall, at Settlement, be paid for by:  Seller  Buyer  Split Equally Between Buyer and Seller  Other (explain) N/A  
\_\_\_\_\_. The provisions of this Section 4.3(c) shall survive Closing.

(d) **Utility Services.** Buyer agrees to be responsible for all utilities and other services provided to the Property after the Settlement Deadline. The provisions of this Section 4.3(d) shall survive Closing.

(e) **Sales Proceeds Withholding.** The escrow/closing office is authorized and directed to withhold from Seller's proceeds at Closing, sufficient funds to pay off on Seller's behalf all mortgages, trust deeds, judgments, mechanic's liens, tax liens and warrants. The provisions of this Section 4.3(e) shall survive Closing.

**5. CONFIRMATION OF AGENCY DISCLOSURE.** Buyer and Seller acknowledge prior written receipt of agency disclosure provided by their respective agent that has disclosed the agency relationships confirmed below. At the signing of the REPC:

Seller's Agent(s) Samantha Gough-Bagley, represent(s)  Seller  both Buyer and Seller as Limited Agent(s);

Seller's Agent(s) Utah Real Estate License Number(s): \_\_\_\_\_

Seller's Brokerage Jordan R.E., represents  Seller  both Buyer and Seller as Limited Agent;

Seller's Brokerage Utah Real Estate License Number: \_\_\_\_\_

Buyer's Agent(s) Joan Pate, represent(s)  Buyer  both Buyer and Seller as Limited Agent(s);

Buyer's Agent(s) Utah Real Estate License Number(s): 5460308-SA00

Buyer's Brokerage Berkshire Hathaway HomeServices Utah - Salt Lake, represents  Buyer  both Buyer and Seller as a Limited Agent.

Buyer's Brokerage Utah Real Estate License Number: 5491119-CN00

**6. TITLE & TITLE INSURANCE.**

**6.1 Title to Property.** Seller represents that Seller has fee title to the Property and will convey marketable title to the Property to Buyer at Closing by general warranty deed. Buyer does agree to accept title to the Property subject to the contents of the Commitment for Title Insurance (the "Commitment") provided by Seller under Section 7, and as reviewed and approved by Buyer under Section 8.

(a) **Long-Term Lease or Rental Agreements.** Buyer agrees to accept title to the Property subject to any long-term tenant lease or rental agreements (meaning for periods of thirty (30) or more consecutive days) affecting the Property not expiring prior to Closing. Buyer also agrees

Buyer's Initials AGH Date 4/15/19 Seller's Initials BKB Date \_\_\_\_\_  
XAL

to accept title to the Property subject to any existing rental and property management agreements affecting the Property not expiring prior to Closing. The provisions of this Section 6.1(a) shall survive Closing.

**(b) Short-Term Rental Bookings.** Buyer agrees to accept title to the Property subject to any short-term rental bookings (meaning for periods of less than thirty (30) consecutive days) affecting the Property not expiring prior to Closing. The provisions of this Section 6.1(b) shall survive Closing.

**6.2 Title Insurance.** At Settlement, Seller agrees to pay for and cause to be issued in favor of Buyer, through the title insurance agency that issued the Commitment (the "Issuing Agent"), the most current version of the *ALTA Homeowner's Policy of Title Insurance* (the "*Homeowner's Policy*"). If the *Homeowner's Policy* is not available through the Issuing Agent, Buyer and Seller further agree as follows: (a) Seller agrees to pay for the *Homeowner's Policy* if available through any other title insurance agency selected by Buyer; (b) if the *Homeowner's Policy* is not available either through the Issuing Agent or any other title insurance agency, then Seller agrees to pay for, and Buyer agrees to accept, the most current available version of an *ALTA Owner's Policy of Title Insurance* ("*Owner's Policy*") available through the Issuing Agent.

**7. SELLER DISCLOSURES.** No later than the Seller Disclosure Deadline referenced in Section 24(a), Seller shall provide to Buyer the following documents in hard copy or electronic format which are collectively referred to as the "Seller Disclosures":

- (a) a written Seller property condition disclosure for the Property, completed, signed and dated by Seller as provided in Section 10.3;
- (b) a *Lead-Based Paint Disclosure & Acknowledgement* for the Property, completed, signed and dated by Seller (only if the Property was built prior to 1978);
- (c) a Commitment for Title Insurance as referenced in Section 6.1;
- (d) a copy of any restrictive covenants (CC&R's), rules and regulations affecting the Property;
- (e) a copy of the most recent minutes, budget and financial statement for the homeowners' association, if any;
- (f) a copy of any long-term tenant lease or rental agreements affecting the Property not expiring prior to Closing;
- (g) a copy of any short-term rental booking schedule (as of the Seller Disclosure Deadline) for guest use of the Property after Closing;
- (h) a copy of any existing property management agreements affecting the Property;
- (i) evidence of any water rights and/or water shares referenced in Section 1.4;
- (j) written notice of any claims and/or conditions known to Seller relating to environmental problems and building or zoning code violations;
- (k) In general, the sale or other disposition of a U.S. real property interest by a foreign person is subject to income tax withholding under the *Foreign Investment in Real Property Tax Act of 1980* (FIRPTA). A "foreign person" includes a non-resident alien individual, foreign corporation, partnership, trust or estate. If FIRPTA applies to Seller, Seller is advised that Buyer or other qualified substitute may be legally required to withhold this tax at Closing. In order to avoid closing delays, if Seller is a foreign person under FIRPTA, Seller shall advise Buyer in writing; and
- (l) Other (specify) \_\_\_\_\_

**8. BUYER'S CONDITIONS OF PURCHASE.**

**8.1 DUE DILIGENCE CONDITION.** Buyer's obligation to purchase the Property:  IS  IS NOT conditioned upon Buyer's Due Diligence as defined in this Section 8.1(a) below. This condition is referred to as the "Due Diligence Condition." If checked in the affirmative, Sections 8.1(a) through 8.1(c) apply; otherwise they do not.

**(a) Due Diligence Items.** Buyer's Due Diligence shall consist of Buyer's review and approval of the contents of the Seller Disclosures referenced in Section 7, and any other tests, evaluations and verifications of the Property deemed necessary or appropriate by Buyer, such as: the physical condition of the Property; the existence of any hazardous substances, environmental issues or geologic conditions; the square footage or acreage of the land and/or improvements; the condition of the roof, walls, and foundation; the condition of the plumbing, electrical, mechanical, heating and air conditioning systems and fixtures; the condition of all appliances; the costs and availability of homeowners' insurance and flood insurance, if applicable; water source, availability and quality; the location of property lines; regulatory use restrictions or violations; fees for services such as HOA dues, municipal services, and utility costs; convicted sex offenders residing in proximity to the Property; and any other matters deemed material to Buyer in making a decision to purchase the Property. Unless otherwise provided in the REPC, all of Buyer's Due Diligence shall be paid for by Buyer and shall be conducted by individuals or entities of Buyer's choice. Seller agrees to cooperate with Buyer's Due Diligence. Buyer agrees to pay for any damage to the Property resulting from any such inspections or tests during the Due Diligence.

**(b) Buyer's Right to Cancel or Resolve Objections.** If Buyer determines, in Buyer's sole discretion, that the results of the Due Diligence are unacceptable, Buyer may either: (i) no later than the Due Diligence Deadline referenced in Section 24(b), cancel the REPC by providing written notice to Seller, whereupon the Earnest Money Deposit shall be released to Buyer without the requirement of further written authorization from Seller; or (ii) no later than the Due Diligence Deadline referenced in Section 24(b), resolve in writing with Seller any objections Buyer has arising from Buyer's Due Diligence.

**(c) Failure to Cancel or Resolve Objections.** If Buyer fails to cancel the REPC or fails to resolve in writing with Seller any objections Buyer has arising from Buyer's Due Diligence, as provided in Section 8.1(b), Buyer shall be deemed to have waived the Due Diligence Condition, and except as provided in Sections 8.2(a) and 8.3(b)(i), the Earnest Money Deposit shall become non-refundable.

**8.2 APPRAISAL CONDITION.** Buyer's obligation to purchase the Property:  IS  IS NOT conditioned upon the Property appraising for not less than the Purchase Price. This condition is referred to as the "Appraisal Condition." If checked in the affirmative, Sections 8.2(a) and 8.2(b) apply; otherwise they do not.

**(a) Buyer's Right to Cancel.** If after completion of an appraisal by a licensed appraiser, Buyer receives written notice from the Lender or the appraiser that the Property has appraised for less than the Purchase Price (a "Notice of Appraised Value"), Buyer may cancel the REPC by

Buyer's Initials AG Date 4/15/19 Seller's Initials RKB Date \_\_\_\_\_  
X GH X/A.L

providing written notice to Seller (with a copy of the Notice of Appraised Value) no later than the Financing & Appraisal Deadline referenced in Section 24(c); whereupon the Earnest Money Deposit shall be released to Buyer without the requirement of further written authorization from Seller.

(b) **Failure to Cancel.** If the REPC is not cancelled as provided in this section 8.2, Buyer shall be deemed to have waived the Appraisal Condition, and except as provided in Sections 8.1(b) and 8.3(b)(i), the Earnest Money Deposit shall become non-refundable.

**8.3 FINANCING CONDITION. (Check Applicable Box)**

(a)  **No Financing Required.** Buyer's obligation to purchase the Property **IS NOT** conditioned upon Buyer obtaining financing. If checked, Section 8.3(b) below does NOT apply.

(b)  **Financing Required.** Buyer's obligation to purchase the Property **IS** conditioned upon Buyer obtaining the Loan referenced in Section 2.1(c). This Condition is referred to as the "Financing Condition." If checked, Sections 8.3(b)(i), (ii) and (iii) apply; otherwise they do not. If the REPC is not cancelled by Buyer as provided in Sections 8.1(b) or 8.2(a), then Buyer agrees to work diligently and in good faith to obtain the Loan.

(i) **Buyer's Right to Cancel Before the Financing & Appraisal Deadline.** If Buyer, in Buyer's sole discretion, is not satisfied with the terms and conditions of the Loan, Buyer may, after the Due Diligence Deadline referenced in Section 24(b), if applicable, cancel the REPC by providing written notice to Seller no later than the Financing & Appraisal Deadline referenced in Section 24(c); whereupon \$\_\_\_\_\_ of Buyer's Earnest Money Deposit shall be released to Seller without the requirement of further written authorization from Buyer, and the remainder of Buyer's Earnest Money Deposit shall be released to Buyer without further written authorization from Seller.

(ii) **Buyer's Right to Cancel After the Financing & Appraisal Deadline.** If after expiration of the Financing & Appraisal Deadline referenced in Section 24(c), Buyer fails to obtain the Loan, meaning that the proceeds of the Loan have not been delivered by the Lender to the escrow/closing office as required under Section 3.2, then Buyer shall not be obligated to purchase the Property and Buyer or Seller may cancel the REPC by providing written notice to the other party.

(iii) **Earnest Money Deposit(s) Released to Seller.** If the REPC is cancelled as provided in Section 8.3(b)(ii), Buyer agrees that all of Buyer's Earnest Money Deposit, or Deposits, if applicable (see Section 8.4 below), shall be released to Seller without the requirement of further written authorization from Buyer. Seller agrees to accept, as Seller's exclusive remedy, the Earnest Money Deposit, or Deposits, if applicable, as liquidated damages. Buyer and Seller agree that liquidated damages would be difficult and impractical to calculate, and the Earnest Money Deposit, or Deposits, if applicable, is a fair and reasonable estimate of Seller's damages in the event Buyer fails to obtain the Loan.

**8.4 ADDITIONAL EARNEST MONEY DEPOSIT.** If the REPC has not been previously canceled by Buyer as provided in Sections 8.1, 8.2 or 8.3, as applicable, then no later than the Due Diligence Deadline, or the Financing & Appraisal Deadline, whichever is later, Buyer:  **WILL**  **WILL NOT** deliver to the Buyer's Brokerage, an Additional Earnest Money Deposit in the amount of \$\_\_\_\_\_. The Earnest Money Deposit and the Additional Earnest Money Deposit, if applicable, are sometimes referred to herein as the "Deposits". The Earnest Money Deposit, or Deposits, if applicable, shall be credited toward the Purchase Price at Closing.

**9. ADDENDA.** There  **ARE**  **ARE NOT** addenda to the REPC containing additional terms. If there are, the terms of the following addenda are incorporated into the REPC by this reference:  **Addendum No. \_\_\_\_\_**  **Seller Financing Addendum**  **FHA/VA Loan Addendum**  **Other (specify) \_\_\_\_\_**

**10. HOME WARRANTY PLAN / AS-IS CONDITION OF PROPERTY.**

**10.1 Home Warranty Plan.** A one-year Home Warranty Plan  **WILL**  **WILL NOT** be included in this transaction. If included, the Home Warranty Plan shall be ordered by  **Buyer**  **Seller** and shall be issued by a company selected by  **Buyer**  **Seller**. The cost of the Home Warranty Plan shall not exceed **\$525.00** and shall be paid for at Settlement by  **Buyer**  **Seller**.

**10.2 Condition of Property/Buyer Acknowledgements.** Buyer acknowledges and agrees that in reference to the physical condition of the Property: (a) Buyer is purchasing the Property in its "As-Is" condition without expressed or implied warranties of any kind; (b) Buyer shall have, during Buyer's Due Diligence as referenced in Section 8.1, an opportunity to completely inspect and evaluate the condition of the Property; and (c) if based on the Buyer's Due Diligence, Buyer elects to proceed with the purchase of the Property, Buyer is relying wholly on Buyer's own judgment and that of any contractors or inspectors engaged by Buyer to review, evaluate and inspect the Property. The provisions of Section 10.2 shall survive Closing.

**10.3 Condition of Property/Seller Acknowledgements.** Seller acknowledges and agrees that in reference to the physical condition of the Property, Seller agrees to: (a) disclose in writing to Buyer defects in the Property known to Seller that materially affect the value of the Property that cannot be discovered by a reasonable inspection by an ordinary prudent Buyer; (b) carefully review, complete, and provide to Buyer a written Seller property condition disclosure as stated in Section 7(a); (c) deliver the Property to Buyer in substantially the same general condition as it was on the date of Acceptance, as defined in Section 23, ordinary wear and tear excepted; (d) deliver the Property to Buyer in broom-clean condition and free of debris and personal belongings; and (e) repair any Seller or tenant moving-related damage to the Property at Seller's expense. The provisions of Section 10.3 shall survive Closing.

**11. FINAL PRE-SETTLEMENT WALK-THROUGH INSPECTION.** No earlier than seven (7) calendar days prior to Settlement, and upon reasonable notice and at a reasonable time, Buyer may conduct a final pre-Settlement walk-through inspection of the Property to determine only that the Property is "as represented," meaning that the items referenced in Sections 1.1, 1.2 and 8.1(b)(ii) ("the items") are respectively present, repaired or corrected as agreed. The failure to conduct a walk-through inspection or to claim that an item is not as represented shall not constitute a waiver by Buyer of the right to receive, on the date of possession, the items as represented.

**12. CHANGES DURING TRANSACTION.** Seller agrees that except as provided in Section 12.5 below, from the date of Acceptance until the date of Closing the following additional items apply:

**12.1 Alterations/Improvements to the Property.** No substantial alterations or improvements to the Property shall be made or undertaken without prior written consent of Buyer.

**12.2 Financial Encumbrances/Changes to Legal Title.** No further financial encumbrances to the Property shall be made, and no changes in the legal title to the Property shall be made without the prior written consent of Buyer.

**12.3 Property Management Agreements.** No changes to any existing property management agreements shall be made and no new property management agreements may be entered into without the prior written consent of Buyer.

**12.4 Long-Term Lease or Rental Agreements.** No changes to any existing tenant lease or rental agreements shall be made and no new long-term lease or rental agreements, as defined in Section 6.1(a), may be entered into without the prior written consent of Buyer.

**12.5 Short-Term Rental Bookings.** If the Property is made available for short-term rental bookings as defined in Section 6.1(b), Seller **MAY NOT** after the Seller Disclosure Deadline continue to accept short-term rental bookings for guest use of the property without the prior written consent of Buyer.

**13. AUTHORITY OF SIGNERS.** If Buyer or Seller is a corporation, partnership, trust, estate, limited liability company or other entity, the person signing the REPC on its behalf warrants his or her authority to do so and to bind Buyer and Seller.

**14. COMPLETE CONTRACT.** The REPC together with its addenda, any attached exhibits, and Seller Disclosures (collectively referred to as the "REPC"), constitutes the entire contract between the parties and supersedes and replaces any and all prior negotiations, representations, warranties, understandings or contracts between the parties whether verbal or otherwise. The REPC cannot be changed except by written agreement of the parties.

**15. MEDIATION.** Any dispute relating to the REPC arising prior to or after Closing:  **SHALL**  **MAY AT THE OPTION OF THE PARTIES** first be submitted to mediation. Mediation is a process in which the parties meet with an impartial person who helps to resolve the dispute informally and confidentially. Mediators cannot impose binding decisions. The parties to the dispute must agree before any settlement is binding. The parties will jointly appoint an acceptable mediator and share equally in the cost of such mediation. If mediation fails, the other procedures and remedies available under the REPC shall apply. Nothing in this Section 15 prohibits any party from seeking emergency legal or equitable relief, pending mediation. The provisions of this Section 15 shall survive Closing.

**16. DEFAULT.**

**16.1 Buyer Default.** If Buyer defaults, Seller may elect one of the following remedies: (a) cancel the REPC and retain the Earnest Money Deposit, or Deposits, if applicable, as liquidated damages; (b) maintain the Earnest Money Deposit, or Deposits, if applicable, in trust and sue Buyer to specifically enforce the REPC; or (c) return the Earnest Money Deposit, or Deposits, if applicable, to Buyer and pursue any other remedies available at law.

**16.2 Seller Default.** If Seller defaults, Buyer may elect one of the following remedies: (a) cancel the REPC, and in addition to the return of the Earnest Money Deposit, or Deposits, if applicable, Buyer may elect to accept from Seller, as liquidated damages, a sum equal to the Earnest Money Deposit, or Deposits, if applicable; or (b) maintain the Earnest Money Deposit, or Deposits, if applicable, in trust and sue Seller to specifically enforce the REPC; or (c) accept a return of the Earnest Money Deposit, or Deposits, if applicable, and pursue any other remedies available at law. If Buyer elects to accept liquidated damages, Seller agrees to pay the liquidated damages to Buyer upon demand.

**17. ATTORNEY FEES AND COSTS/GOVERNING LAW.** In the event of litigation or binding arbitration arising out of the transaction contemplated by the REPC, the prevailing party shall be entitled to costs and reasonable attorney fees. However, attorney fees shall not be awarded for participation in mediation under Section 15. This contract shall be governed by and construed in accordance with the laws of the State of Utah. The provisions of this Section 17 shall survive Closing.

**18. NOTICES.** Except as provided in Section 23, all notices required under the REPC must be: (a) in writing; (b) signed by the Buyer or Seller giving notice; and (c) received by the Buyer or the Seller, or their respective agent, or by the brokerage firm representing the Buyer or Seller, no later than the applicable date referenced in the REPC.

**19. NO ASSIGNMENT.** The REPC and the rights and obligations of Buyer hereunder, are personal to Buyer. The REPC may not be assigned by Buyer without the prior written consent of Seller. Provided, however, the transfer of Buyer's interest in the REPC to any business entity in which Buyer holds a legal interest, including, but not limited to, a family partnership, family trust, limited liability company, partnership, or corporation (collectively referred to as a "Permissible Transfer"), shall not be treated as an assignment by Buyer that requires Seller's prior written consent. Furthermore, the inclusion of "and/or assigns" or similar language on the line identifying Buyer on the first page of the REPC shall constitute Seller's written consent only to a Permissible Transfer.

**20. INSURANCE & RISK OF LOSS.**

**20.1 Insurance Coverage.** As of Closing, Buyer shall be responsible to obtain casualty and liability insurance coverage on the Property in amounts acceptable to Buyer and Buyer's Lender, if applicable.

**20.2 Risk of Loss.** If prior to Closing, any part of the Property is damaged or destroyed by fire, vandalism, flood, earthquake, or act of God, the risk of such loss or damage shall be borne by Seller; provided however, that if the cost of repairing such loss or damage would exceed ten

Buyer's Initials NGH Date 4/14/19 Seller's Initials RKB Date \_\_\_\_\_

percent (10%) of the Purchase Price referenced in Section 2, either Seller or Buyer may elect to cancel the REPC by providing written notice to the other party, in which instance the Earnest Money Deposit, or Deposits, if applicable, shall be returned to Buyer.

**21. TIME IS OF THE ESSENCE.** Time is of the essence regarding the dates set forth in the REPC. Extensions must be agreed to in writing by all parties. Unless otherwise explicitly stated in the REPC: (a) performance under each Section of the REPC which references a date shall absolutely be required by 5:00 PM Mountain Time on the stated date; and (b) the term "days" and "calendar days" shall mean calendar days and shall be counted beginning on the day following the event which triggers the timing requirement (e.g. Acceptance). Performance dates and times referenced herein shall not be binding upon title companies, lenders, appraisers and others not parties to the REPC, except as otherwise agreed to in writing by such non-party.

**22. ELECTRONIC TRANSMISSION AND COUNTERPARTS.** The REPC may be executed in counterparts. Signatures on any of the Documents, whether executed physically or by use of electronic signatures, shall be deemed original signatures and shall have the same legal effect as original signatures.

**23. ACCEPTANCE.** "Acceptance" occurs only when all of the following have occurred: (a) Seller or Buyer has signed the offer or counteroffer where noted to indicate acceptance; and (b) Seller or Buyer or their agent has communicated to the other party or to the other party's agent that the offer or counteroffer has been signed as required.

**24. CONTRACT DEADLINES.** Buyer and Seller agree that the following deadlines shall apply to the REPC:

- (a) Seller Disclosure Deadline April 30, 2019 (Date)
- (b) Due Diligence Deadline April 30, 2019 (Date)
- (c) Financing & Appraisal Deadline April 30, 2019 (Date)
- (d) Settlement Deadline May 10, 2019 (Date)

**25. OFFER AND TIME FOR ACCEPTANCE.** Buyer offers to purchase the Property on the above terms and conditions. If Seller does not accept this offer by: 5 : 00 [ ] AM [X] PM Mountain Time on May 06, 2019 (Date), this offer shall lapse; and the Brokerage shall return any Earnest Money Deposit to Buyer.

Juan Lopez 4/14/19 [Signature] X 4.14.19  
 (Buyer's Signature) (Date) (Buyer's Signature) (Date)

[Signature] X 4/14/19  
 (Buyer's Signature) (Date)

**ACCEPTANCE/COUNTEROFFER/REJECTION**

- CHECK ONE:**
- ACCEPTANCE OF OFFER TO PURCHASE:** Seller Accepts the foregoing offer on the terms and conditions specified above.
  - COUNTEROFFER:** Seller presents for Buyer's Acceptance the terms of Buyer's offer subject to the exceptions or modifications as specified in the attached ADDENDUM NO. \_\_\_\_.
  - REJECTION:** Seller rejects the foregoing offer.

[Signature] 4/24/19 2:46 P.M. \_\_\_\_\_  
 (Seller's Signature) (Date) (Time) (Seller's Signature) (Date) (Time)

THIS FORM APPROVED BY THE UTAH REAL ESTATE COMMISSION AND THE OFFICE OF THE UTAH ATTORNEY GENERAL, EFFECTIVE SEPTEMBER 1, 2017. AS OF JANUARY 1, 2018, IT WILL REPLACE AND SUPERSEDE THE PREVIOUSLY APPROVED VERSION OF THIS FORM.

Approved As To Form  
[Signature]  
 UTA Compliance Officer



# ADDENDUM NO. 2 TO REAL ESTATE PURCHASE CONTRACT



THIS IS AN  ADDENDUM  COUNTEROFFER to that REAL ESTATE PURCHASE CONTRACT (the "REPC") with an Offer Reference Date of 10th day of January, 2019 including all prior addenda and counteroffers, between Jessica Loya, Gregory Harris & Adolfina Loy Lopez as Buyer, and UTA as Seller, regarding the Property located at 8397 S. Spaulding Ct. -West Jordan, UT 84088

The following terms are hereby incorporated as part of the REPC:  
Seller to pay \$4000. toward Closing Costs.

BUYER AND SELLER AGREE THAT THE CONTRACT DEADLINES REFERENCED IN SECTION 24 OF THE REPC (CHECK APPLICABLE BOX):  REMAIN UNCHANGED  ARE CHANGED AS FOLLOWS: \_\_\_\_\_

To the extent the terms of this ADDENDUM modify or conflict with any provisions of the REPC, including all prior addenda and counteroffers, these terms shall control. All other terms of the REPC, including all prior addenda and counteroffers, not modified by this ADDENDUM shall remain the same.  Seller  Buyer shall have until 5:00  AM  PM Mountain Time on May 06, 2019 (Date), to accept the terms of this ADDENDUM in accordance with the provisions of Section 23 of the REPC. Unless so accepted, the offer as set forth in this ADDENDUM shall lapse.

<u>[Signature]</u>	<u>4-18-19</u>	<u>9:37 PM</u>	<u>[Signature]</u>	<u>4/18/19</u>	<u>9:40 PM</u>
<input type="checkbox"/> Buyer <input type="checkbox"/> Seller Signature	(Date)	(Time)	<input type="checkbox"/> Buyer <input type="checkbox"/> Seller Signature	(Date)	(Time)

**ACCEPTANCE/COUNTEROFFER/REJECTION**

CHECK ONE:  
 ACCEPTANCE:  Seller  Buyer hereby accepts the terms of this ADDENDUM.  
 COUNTEROFFER:  Seller  Buyer presents as a counteroffer the terms of attached ADDENDUM NO. \_\_\_\_.

<u>[Signature]</u>	<u>4/24/19</u>	<u>2:46 P.M.</u>	<u>[Signature]</u>	<u>[Date]</u>	<u>[Time]</u>
(Signature)	(Date)	(Time)	(Signature)	(Date)	(Time)

REJECTION:  Seller  Buyer rejects the foregoing ADDENDUM.

<u>[Signature]</u>	<u>[Date]</u>	<u>[Time]</u>	<u>[Signature]</u>	<u>[Date]</u>	<u>[Time]</u>
(Signature)	(Date)	(Time)	(Signature)	(Date)	(Time)

THIS FORM APPROVED BY THE UTAH REAL ESTATE COMMISSION AND THE OFFICE OF THE UTAH ATTORNEY GENERAL, EFFECTIVE AUGUST 5, 2003. IT REPLACES AND SUPERSEDES ALL PREVIOUSLY APPROVED VERSIONS OF THIS FORM.

Approved As To Form  
  
 UTA Compliance Officer

## Detailed Contract Description & Purpose

**Board Review Date:** 5/1/2019

**Document Type:** Contract

**Action Requested:** Motion to approve the contract or change order

**Criteria:** Contract is > \$1,000,000

**Contract Title:** UTA Website Maintenance and Development

**Contract #** 19-2960

**Project Manager:** Andrea Packer

**Contract Administrator:** Pat Postell

**Impacted Areas:** Public Relations & Marketing

**Included in budget?** Yes

**Procurement method:** Best value (RFP)

**Contractor:** Penna Powers

**Sole-Source Reason:** N/A

**Qty & Unit price**

**Change Order Value**

**Total Contract Value** \$1,250,000

**Contract term (Months)** 36

**Contract Start Date** Upon Approval

**Contract options (Months)** 24

**Contract End Date:** 3/26/2024

**Number of responding firms:** 18

**\$ Value of Next Lowest Bidder** \$ 1,262,690

### General Description & Purpose:

This contract with Penna Powers/Guru Technologies is for external support and assistance with website maintenance, development and design. The RFP was issued with a base of 3 years with two one-year option periods. Work will consist of predictable, ongoing maintenance of existing websites per a monthly rate established by the contract. Work will also consist of development projects to enhance website features and functionality, the cost of which will be determined by the scope of the project and by hourly rates billed according to the contract pricing sheet. Costs for monthly maintenance and development are not to exceed \$1,250,000 over the 5 year contract period. UTA has found UTA's primary website to be a the most sought after and effective way to disseminate information to riders and the general public. In addition to the primary website, UTA also supports subsidiary websites tied to specific initiatives including: [www.letsrideuta.com](http://www.letsrideuta.com); [www.utarideshare.com](http://www.utarideshare.com); [www.uta2go.com](http://www.uta2go.com); and [www.utarideclear.com](http://www.utarideclear.com). Any needed support for these subsidiary websites are included in the contract.

**Attachments:** Contract routing sheet attached? Yes

Other attachments?

Contract



# CONTRACT ROUTING SHEET

Agenda Item No.: \_\_\_\_\_  
Board Review Date: \_\_\_\_\_

## CONTRACT SECTION

- 1) Contract/P.O. No. **19-2960** (Assigned by Purchasing) Contract Administrator: **Pat Postell**  
Project Manager: **Andrea Packer**
- 2) Contract Type  A. A&E/Design  B. Blanket PO  C. Construction  D. Goods  E. Modification  
 E. Option  F. Other \_\_\_\_\_  G. Renewal  H. Services  I. Task Orders
- 3) Procurement Method  RFQ (Quote)  IFB (Low Bid)  RFQU (Qualification)  
 RFP (Best-value)  Sole source  Other: \_\_\_\_\_
- 4) Contract Title **UTA Website Maintenance and Development**
- 5) Description / Purpose (of contract or project) **website maintenance/support and development/design of the UTA Website. UTA also supports subsidiary or partner websites including: www.letsrideuta.com; www.utarideshare.com;**
- 6) Contractor Name **Penna Powers**
- 7) Effective Dates Beginning: **03/27/19** Ending: **03/26/22 24**
- 8) Option to renew?  Yes  No Renewal terms **Two one-year options**

## FINANCIAL SECTION

- 9) Total Board Approval Amount: \_\_\_\_\_
- 9a) Current Contract Value: **44,250,000.00**
- 9b) Amendment Amount: \_\_\_\_\_
- 9d) New Contract Value (including all amendments) **44,250,000.00**
- 9e) Is the amount an estimate?  Yes  No  
(Estimate if per transaction cost)
- 9f) If estimated, how was the estimate calculated? \_\_\_\_\_
- 10) Is the amount a one-time purchase or annual recurring purchase?  One-time  Recurring
- 11) Account Code **7400.50339.90** Capital Project Code \_\_\_\_\_
- 12) Budgeted?  Yes  No Budget amount: \_\_\_\_\_
- 13) Will this contract require support from another department?  Yes  No
- 14) If so, is the other department(s) aware of this contract and the required support?  Yes  No
- 15) If box 2a or 2c is checked, has the Qualified Health Insurance Certificate been verified?  Yes  No

## SIGNATURE SECTION

- |  | Route to?   | Initials   | Signature                                   |
|--|---|------------|---|
| Attorney/Legal <i>compliance</i>   | <input checked="" type="checkbox"/> Yes                             | <i>JPB</i> | <i>SIGNED ON CONTRACT</i>                   |
| Accounting Review  | <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No | <i>BMS</i> | <i>Bryan Steele</i><br>Bryan Steele         |
| IT Review (IT software or hardware)                                      | <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No |            |   |
| Up to \$10K Manager/Program Manager                                      | <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No | <i>AP</i>  | <i>Andrea Packer</i><br>Andrea Packer       |
| Up to \$50K Dir, Sr. Mgr, RGM, or Chief/VP                               | <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No |            |   |
| Up to \$100K Chief/VP, or Dir, Sr. Mgr, RGM (Capital, Maint., Ops. only) | <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No | <i>NB</i>  | <i>Nichol Bourdeaux</i><br>Nichol Bourdeaux |
| Over \$100K Executive Director   | <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No |            | <i>Steve Meyer</i><br>Steve Meyer           |
| Over \$200K Board Approval   | <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No |            |   |

If Yes, route to the Sr. Supply Chain Manager for board meeting agenda and approval

**CONTRACT Number UT 19-2960**  
**For**  
**UTA Website Maintenance & Development Services**  
**PROFESSIONAL SERVICES**

This Professional Services Contract ("Contract") is dated March 27, 2019 and is between the **UTAH TRANSIT AUTHORITY**, a public transit district organized under the laws of the State of Utah, ("UTA"), and Penna Powers, a Utah State Corporation ("Consultant.")

**RECITALS**

- A. UTA desires to hire professional services for UTA Website Maintenance & Development Services.
- B. On January 3, 2019, UTA issued Request For Proposal Package Number 19-2960 ("RFP") encouraging interested parties to submit proposals to perform the services described in the RFP.
- C. Upon evaluation of the proposals in response to the RFP UTA selected Consultant as the preferred entity to negotiate a contract to perform the Work.
- D. Consultant is qualified and willing to perform the Work set forth in the Scope of Services attached as Exhibit A (the "Work").

**AGREEMENT**

Accordingly, the parties agree as follows:

**ARTICLE 1.0**  
**Definitions**

As used throughout this Contract, the following terms shall have the meaning set forth:

- 1.1 The Term "UTA's Project Manager" shall mean Andrea Packer, or his/her successor as appointed or designated in writing by UTA.
- 1.2 The term "Change Order" shall mean written modification to the Contract, the form of which shall be prescribed by UTA, by which the parties shall mutually agree and execute any addition, deletion, or variation in the Work covered by the Contract as described in the Scope of Services, including, but not limited to, any increase or decrease in the monies to be paid under this Contract, any change in the deliverables, any material change

in the method, manner or scope of the work.

- 1.3 The term "Scope of Services" shall mean the services described in Exhibit "A" attached hereto and incorporated herein.
- 1.4 The term "Work" shall mean the undertaking and completion of the services described in the Scope of Services, or as may be amended in writing by the parties hereto.
- 1.5 The term "Consultant's Principal-In-Charge" shall mean Mike Taylor or his/her successor as appointed or designated in writing by the Consultant.
- 1.6 The term "Consultant's Project Manager" means Randy Barney, or his/her successor as appointed or designated in writing by the Consultant.
- 1.7 The term "Work Scope Budget" means the budget for the Work, a copy of which is attached as Exhibit "B" and incorporated herein.

## **ARTICLE 2.0**

### **Description of Services**

- 2.1 Consultant shall provide all the necessary labor, material, and incidentals to perform the Work as described in the Scope of Services.
- 2.2 Consultant shall perform all Work under this Contract in a professional manner, using at least that standard of care, skill and judgment which can reasonably be expected from similarly situated professionals.
- 2.3 Consultant shall furnish only qualified personnel and materials necessary for the performance of the Work for UTA.
- 2.4 UTA's Project Manager shall be responsible for the Work and give overall direction and maintain control over the Work to be performed by Consultant hereunder until the completion or termination of this Contract.
- 2.5 Consultant's Project Manager will also be the day-to-day contact person for Consultant, working under the supervision of the UTA's Project Manager, and will be responsible for coordination of the Work.
- 2.6 UTA's Project Manager will represent UTA and be responsible to see that the Work is completed on time, and shall act as the liaison between UTA and the Consultant.
- 2.7 No activity that materially changes this Contract, including but not limited to the Scope of Services, any schedule of performance, any deliverables, and/or any other attachments/exhibits, shall be implemented without a written "Change Order" issued by UTA. Any costs incurred by Consultant without proper contractual authorization through a written "Change Order" shall be considered non-reimbursable costs.

- 2.8 At the sole discretion of UTA, and subject to the written approval of the Consultant, UTA may amend the Scope of Services to provide that Consultant perform certain professional services for the Project which are not currently defined in the Scope of Services.

**ARTICLE 3.0**  
**Period of Service**

- 3.1 This Contract shall commence as of the Effective Date. The Contract shall remain in full force and effect for an initial three (3) year period expiring March 26, 2022. UTA may, at its sole election and in its sole discretion, extend the initial term for up to two (2) additional one-year option periods, for a total Contract period not to exceed five (5) years. Extension options may be exercised by UTA upon providing Consultant with notice of such election at least thirty (30) days prior to the expiration of the initial term or then-expiring option period (as applicable). The contract may be further extended if the Consultant and the Authority mutually agree to an extension evidenced in writing. The rights and obligations of the Authority and Consultant under this Contract shall at all times be subject to and conditioned upon the provisions of this Contract.

**ARTICLE 4.0**  
**Consideration**

- 4.1 For the performance of the Work, UTA shall pay the Consultant the fixed price specified on Exhibit B, in accordance with the milestones set forth on Exhibit B.
- 4.2 Consultant shall not be obligated to perform services or incur costs which would cause its total compensation under this Contract to exceed the estimated cost of this Contract, as set forth on Exhibit B (the "Not to Exceed Amount"), nor shall UTA be obligated to reimburse Consultant for costs or make payments which would cause the total compensation paid to Consultant to exceed the Not to Exceed Amount unless and until UTA has notified Consultant by written instrument designated or indicated to be a Change Order that the total compensation has been increased and further specifies in such notice a revised total compensation amount against which the obligation of the parties hereto shall be payable in accordance with this Article.

**ARTICLE 5.0**  
**Reporting Requirements**

- 5.1 It is agreed that the Consultant shall deliver progress reports and other deliverables as specified in Exhibit "A".

**ARTICLE 6.0**  
**Contract Changes**

- 6.1 UTA's Project Manager or designee may, at any time, by written order designated or indicated to be a Change Order, make changes in the Work within the general scope of the contract, including but not necessarily limited to, changes:
- A. In the Scope of Services identified in Exhibit A,
  - B. In the method or manner of performance of the Work; or
  - C. In directing acceleration or deceleration in the performance of the Work.
- 6.2 Any other written or oral order from UTA's Project Manager, or designee, that causes a material and substantial change in the Work shall be treated as a Change Order under this article only if the Consultant gives UTA's Project Manager or designee written notice stating (1) the date, circumstances, and source of the change in Work and (2) that the Consultant regards the change in Work as a Change Order. The Consultant must assert its right to an adjustment under this article within thirty (30) days after receipt of an order materially and substantially changing the Work.
- 6.3 If any Change Order under this article causes an increase or decrease in the Consultant's cost of, or the time required for, the performance of any part of the Work under this contract, UTA's Project Manager or designee shall make an equitable adjustment to compensate the Consultant for the additional costs or time, and modify the Contract in writing.

## **ARTICLE 7.0**

### **Invoicing Procedures and Records**

- 7.1 At the end of each month the Consultant shall submit invoices to UTA's Project Manager for processing and payment in the form specified by UTA. The amount invoiced shall be in accordance with the milestone payment schedule set forth in Exhibit B. Supporting documentation for all Work covered by the invoice will be submitted with each invoice. UTA shall have the right to disapprove specific elements of each invoice. UTA shall provide, in writing, such disapproval to the Consultant within ten (10) working days of invoice submittal. Approval by UTA shall not be unreasonably withheld. Payment for all invoice amounts not specifically disapproved in writing within ten (10) working days after receipt shall be provided to Consultant within thirty (30) calendar days of invoice submittal.
- 7.2 The Consultant shall maintain a time sheet showing standard payroll rates, and other cost documentation related to the performance of labor services under this Contract, as well as receipts or other adequate documentation for non-labor expenses. Upon the request of UTA, written data supporting the labor services and written estimates and actual costs and information in support thereof shall be made available within a reasonable time during the Contract period and for a period of three (3) years thereafter. Consultant agrees that it shall require (as a matter of written contract) that similar records be maintained by all

subcontractors at any tier utilized in the performance of this Work.

#### **ARTICLE 8.0 Ownership of Materials**

- 8.1 All data, including but not limited to, maps, drawings, sketches, renderings, software, hardware, and specifications, including the original thereof, developed by the Consultant as a part of its Work under this Contract, hereinafter referred to as data and materials, (with the exception of any intellectual property contained therein that is owned or created by Consultant prior to the effective date of this Contract) are the property of UTA and upon completion of this Contract, or upon the termination or cancellation of this Contract, shall be delivered to UTA prior to final payment. All other materials provided to Consultant by UTA to perform this Contract shall be retained by UTA at completion, termination, or cancellation. UTA may reuse or alter any of Consultant's Work, data and materials. In the event UTA chooses to reuse or alter any of the Consultant's work, UTA will hold the Consultant harmless from any liability or damages resulting from UTA's alteration of Consultant Work.

#### **ARTICLE 9.0 Subcontracts**

- 9.1 The Consultant shall give advance written notification to UTA of any proposed consulting agreement or subcontract negotiated in participation of this Contract. UTA shall have the right to approve all subcontract agreements and consulting agreements, including any change or amendments to any subcontract or consulting agreement.
- 9.2 No change, removal or substitution shall be made in any of the contracted subconsultants without the prior written approval of UTA.
- 9.3 UTA shall have no liability to any subcontractor for payment for services under this Contract or other Work performed for Consultant by any subcontractor. For any subcontract entered into by Consultant under this Contract, Consultant shall be solely responsible for making payments to the subcontractor, and such payment to said subcontractor(s) shall be made to said subcontractors within thirty (30) days after Consultant has received payment from UTA for the applicable Work performed.
- 9.4 The Consultant shall be responsible for and direct all Work performed by subcontractors as set forth in the Scope of Services. UTA shall not be responsible for or direct any subcontractor to perform services, which have not been previously authorized in that subcontractor's subcontract. Neither Consultant nor UTA shall have any liability to subcontractors for Work performed by subcontractors which has not been previously authorized by Consultant.
- 9.5 The Consultant agrees that no subcontract Work performed under this Contract shall provide for payment on a cost-plus-percentage-of-cost basis. The Consultant further agrees that all subcontract agreements shall comply with all applicable laws.

- 9.6 No subcontract shall provide for further subcontracting of the Work to a lower tier unless the written approval of UTA is first obtained in writing. Any such additional subcontractors shall meet all of the requirements set forth in this Contract for subcontracts and, in addition, shall include such other provisions as UTA, at its discretion, shall deem appropriate.

**ARTICLE 10.0**  
**Key Personnel**

- 10.1 Consultant shall provide the personnel as indicated in Consultants "Work Scope Budget" attached hereto as Exhibit "B", and shall not change any of said personnel without the express written consent of UTA.
- 10.2 Consultant shall assign such further professional and technical personnel as required to perform the Work.

**ARTICLE 11.0**  
**Suspension of Work**

- 11.1 UTA may, at any time, by written order to Consultant, require Consultant to suspend, delay, or interrupt all or any part of the Work called for by this Contract. Any such order shall be specifically identified as a "Suspension of Work Order" issued pursuant to this Article. Upon receipt of such an order, the Consultant shall forthwith comply with its terms and take all reasonable steps to minimize the incurrence of further costs allocable to the Work covered by the order during the period of Work stoppage.
- 11.2 If a Suspension of Work Order issued under this article is canceled, Consultant shall resume Work as mutually agreed to in writing by the parties hereto.
- 11.3 If a Suspension of Work Order is not canceled and the Work covered by such order is terminated for the convenience of UTA, reasonable costs incurred as a result of the "Suspension of Work Order" shall be considered in negotiating the termination settlement.
- 11.4 If the Suspension of Work causes an increase Consultant's cost to perform the Work, UTA's Project Manager or designee shall make an equitable adjustment to compensate the Consultant for the additional costs or time, and modify the Contract in writing.

**ARTICLE 12.0**  
**Termination**

- 12.1 UTA shall have the right to terminate this contract at any time by giving at least thirty (30) day's advance written notice to Consultant. If the Contract is terminated for any reason other than a default by Consultant, UTA shall pay to Consultant in accordance with the final terms and conditions of the Contract all sums actually due and owing from UTA for all services performed and expenses incurred up to the day written notice of termination is given, plus costs reasonably and necessarily incurred by Consultant to effect such suspension or termination.

- 12.2 If Consultant materially fails to perform any of its obligations under this Contract, and such failure is not cured or a cure initiated to the satisfaction of UTA within ten (10) business days after receipt of written notice from UTA identifying the breach and requesting a cure, in that event, UTA may terminate this Contract for default.
- 12.3 If the Contract is terminated for default, UTA shall remit final payment to Consultant in an amount to cover all services performed and expenses incurred in full accordance with the terms and conditions of this Contract up to the effective date of termination, less the costs incurred by UTA as a result of the default.
- 12.4 If UTA terminates this Contract, Consultant shall remain available, for a period not exceeding 90 days, to UTA to respond to any questions or concerns that UTA may have regarding the Work completed by Consultant prior to termination. Consultant services required after termination shall be billed to UTA at the rate and in the manner specified prior to termination. This Article 12 survives the termination of this Contract.

### **ARTICLE 13.0** **Information, Records, and Reports**

- 13.1 To the extent applicable, Consultant shall provide all information and reports required by Federal regulations or directives issued pursuant thereto and shall permit access to its books, records, accounts, other sources of information and its facilities as may be determined by UTA or FTA.
- 13.2 Consultant shall maintain invoicing and cost information for the duration specified in Article 7.
- 13.3 Consultant shall store all work products, data, and materials for a period not less than three (3) years following the completion of the Project.

### **ARTICLE 14.0** **Findings Confidential**

- 14.1 Any documents, reports, information, or other data and materials available to or prepared or assembled by Consultant or subcontractors under this Contract are considered confidential, and shall not be made available to any person, organization, or entity by Consultant without consent in writing from UTA.
- 14.2 It is hereby agreed that the following information is not considered to be confidential under this Contract:
  - a) Information already in the public domain;
  - b) Information disclosed to Consultant by a third party who is not under a confidentiality obligation;

- c) Information developed by or in the custody of Consultant before entering into this Contract;
- d) Information developed by Consultant through its work with other clients; and
- e) Information required to be disclosed by law or regulation, including, but not limited to, subpoena, court order or administrative order.

**ARTICLE 15.0**  
**Indemnification and Insurance**

15.1 The Consultant shall protect, release, defend, indemnify, and hold harmless UTA from and against any and all claims, liability, demands, costs and expenses, and liens of subconsultants, arising from or related to this Contract or the Work performed hereunder, except to the extent caused by the negligent acts or omissions of UTA.

15.2 Nothing in this Agreement shall be construed or interpreted as requiring Consultant to assume the status of, and UTA acknowledges that Consultant does not act in the capacity nor assume the status of, a "generator," "operator," "transporter," or "arranger" in the treatment, storage, disposal, or transportation of any hazardous substance or waste as those terms are understood within the meaning of the Resource Conservation and Recovery Act ("RCRA"), Comprehensive Environmental Response, Compensation and Liability Act ("CERCLA"), or any other similar federal, state, or local law, regulation, or ordinance. UTA acknowledges further that Consultant has played no part in and assumes no responsibility for generation or creation of hazardous waste, pollution condition, nuisance, or chemical or industrial disposal problem, if any, which may already exist at any site that may be the subject matter of any Work performed hereunder.

15.3 For the duration of this Contract, Consultant shall maintain at its own expense, and provide proof of said insurance to UTA, the following types of insurance:

15.3.1 Occurrence type Commercial General Liability Insurance ISO CG001, with an edition date of 11-88 or later, covering the indemnity and other liability provisions of this Agreement, with no exclusions of explosion, collapse, underground hazards. The limits shall be \$1,000,000 per occurrence with an annual aggregate of \$2,000,000. This coverage shall be endorsed to provide the "Amendment of Aggregate Limits of Insurance (Per Project)" ISO form CG 25 03 11, and shall also be amended to show Utah Transit Authority as an Additional Insured by the use of ISO form CG 2010 with an edition date of 11-85.

15.1.2 Professional Liability insurance with the following limits and coverages:

Minimum Limits:

\$1,000,000 each claim

\$2,000,000 annual aggregate

Coverages:

1. Insured's interest in joint ventures
  2. Punitive damages coverage (where not prohibited by law)
  3. Limited contractual liability
  4. Retroactive date prior to date
  5. Extended reporting period of 36 months
  6. Coverage which meets or exceeds the minimum requirements will be maintained, purchased annually in full force and effect until 3 years past completion of the Scope of Services unless such coverage becomes unavailable to the market on a commercially reasonable basis, in which case the Consultant will notify UTA. If UTA agrees that such coverage is not commercially reasonably available, the Consultant may elect not to provide such coverage.
- 15.1.3 Automobile insurance covering owned, if any, non-owned, and hired automobile with limits not less than \$1,000,000 combined single limit of coverage.
- 15.1.4 Workers' Compensation insurance conforming to the appropriate states' statutory requirements covering all employees of Consultant, and any employees of its subcontractors, representatives, or agents as long as they are engaged in the work covered by this Contract or such subcontractors, representatives, or agents shall provide evidence of their own Worker's Compensation insurance. The policy shall also cover Employers Liability with limits no less than \$500,000 each accident, and each employee for disease.
- 15.2 Consultant warrants that this Contract has been thoroughly reviewed by its insurance agent, broker or consultant, and that said agent/broker/ consultant has been instructed to procure for Consultant the insurance coverage and endorsements required herein.
- 15.3 UTA, as a self-insured governmental entity, shall not be required to provide insurance coverage for the risk of loss to UTA premises and improvements or equipment owned by UTA.

**ARTICLE 16.0**  
**Independent Contractor**

- 16.1 In the performance of the Work to be provided hereunder, Consultant represents that it is an independent contractor and agrees that its personnel will not represent themselves as, nor claim to be, an officer or employee of UTA by reason of this Contract. Consultant is responsible to provide and pay the cost of all its employees' benefits.

**ARTICLE 17.0**  
**Prohibited Interest**

- 17.1 No member, officer, agent, or employee of UTA during his or her tenure or for one year thereafter shall have any interest, direct or indirect, including prospective employment by Consultant in this Contract or the proceeds thereof without specific written authorization by UTA.

**ARTICLE 18.0**  
**Dispute Resolution**

- 18.1 No party may bring a legal action to enforce any term of this Contract without first having exhausted the dispute resolution process described below.

The time schedule for escalation of unresolved issues, including unresolved Change Order requests, shall be as follows:

Level of Authority	Time Limit
UTA's Project Manager/Consultant's Project Manager	Three calendar days
UTA's Project Manager/Consultant's Project Manager	Three calendar days
UTA's VP of External Affairs/Consultant's Principal in-Charge	Three calendar days

If UTA and the Consultant are unable to resolve an issue within the time limits set forth above, the issue must be submitted to UTA's General Manager for resolution, who shall have sole discretion in resolving issues brought before him/her.

**ARTICLE 19.0**  
**Successors and Assignees**

- 19.1 Consultant shall not assign, sublet, sell, transfer, or otherwise dispose of any interest in this Contract without prior written approval of UTA.
- 19.2 This Contract shall be binding upon and inure to the benefit of the parties hereto, their successors and permitted assignees, but shall not inure to the benefit of any third party or other person.

**ARTICLE 20.0**  
**Nonwaiver**

- 20.1 No failure or waiver or successive failures on the part of either party hereto, their successors or permitted assignees, in the enforcement of any condition, covenant, or article of this Contract shall operate as a discharge of any such condition, covenant, or

article nor render the same invalid, nor impair the right of either party hereto, their successors or permitted assigns, to enforce the same in the event of any subsequent breaches by the other party hereto, its successors or permitted assignees.

**ARTICLE 21.0**  
**Notices or Demands**

- 21.1 Any notice or demand to be given by one party to the other shall be given in writing per personal service, telegram, express mail, Federal Express, DHL or any other similar form of courier or delivery service, or mailing in the United States Mail, postage prepaid, certified, return receipt requested and addressed to such party as follows:

If to UTA:

Utah Transit Authority  
ATTN: Pat Postell  
669 West 200 South  
Salt Lake City, UT 84101

with a required copy to:

Utah Transit Authority  
ATTN: Contract Compliance  
669 West 200 South  
Salt Lake City, UT 84101

If to Vendor

Penna Powers  
1706 S. Major St.  
Salt Lake City, UT 84115

Either party may change the address at which such party desires to receive written notice of such change to any other party. Any such notice shall be deemed to have been given, and shall be effective, on delivery to the notice address then applicable for the party to which the notice is directed; provided, however, that refusal to accept delivery of a notice or the inability to deliver a notice because of an address change which was not properly communicated shall not defeat or delay the giving of a notice.

**ARTICLE 22.0**  
**Contract Administrator**

- 22.1 UTA's Contract Administrator for this Contract is Pat Postell, or designee. All questions and correspondence relating to the contractual aspects of this Contract should be directed to said Contract Administrator, or designee.

**ARTICLE 23.0**  
**General Provisions**

- 23.1 The Work performed by Consultant under this Contract shall conform to generally acceptable professional standards.

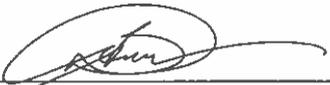
- 23.2 No drawings and specifications, as instruments of service developed by Consultant as part of its Work under this Contract, shall be the subject of an application for copyright or trademark by or on behalf of Consultant.
- 23.3 No assignment of any claim or proceeds under this Contract shall be binding upon UTA, unless UTA shall be notified thereof in writing and consents to the same.
- 23.4 The laws of the State of Utah and applicable Federal, state and local laws, regulations and guidelines shall govern hereunder.
- 23.5 The headings of the articles, clauses, and Sections of this Contract are inserted for reference purposes only and are not restrictive as to content.
- 23.6 Nothing contained herein shall be deemed to create any contractual relationships between UTA and any of the other contractors, subcontractors or material suppliers on the Work, nor shall anything contained herein be deemed to give any third party any claim or right of action against UTA or Consultant which does not otherwise exist without regard to this Contract.
- 23.8 If UTA becomes aware of any fault or defect in the Work or non-conformance with the Contract documents, it shall give prompt written notice thereof to the Consultant.

**ARTICLE 24.0**  
**Incorporated Documents**

- 24.3 UTA's RFP 19-2960 including all attachments, and Consultant's Proposal submitted pursuant to that RFP, are hereby incorporated into and made a part of this Contract, except to the extent that such documents were changed or altered by subsequent negotiations as indicated by the terms of this Contract, including Exhibits A and B.

IN WITNESS WHEREOF, the parties have made and executed this Contract as of the day and year first above written.

**CONTRACTOR:**

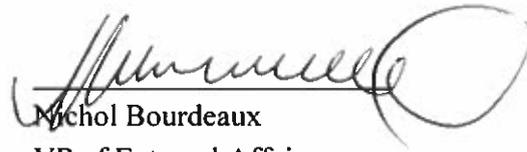
By 

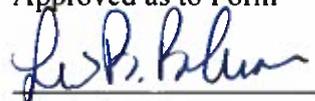
Name Michael Brian

Title: Partner, CEO

**UTAH TRANSIT AUTHORITY:**

\_\_\_\_\_  
Steve Meyer  
Executive Director

  
\_\_\_\_\_  
Nichol Bourdeaux  
VP of External Affairs

Approved as to Form  
  
\_\_\_\_\_  
UTA Contract Compliance

## **Exhibit B**

### **Scope of Services/Scope of Work**

#### **1. SCOPE OF SERVICES**

Utah Transit Authority has found its primary website, [www.rideuta.com](http://www.rideuta.com), to be a primary point of information for riders and a cost effective way to disseminate information to riders. UTA would like to continue the development of the website. UTA also maintains a number of subsidiary or partner websites that would also be covered as part of this contract.

The current needs are: (1) Assist UTA staff with strategic planning for both technical web development of the website, (2) coordinate as needed with UTA's host vendor, (3) website development, (4) database development and (5) system integration. The Scope of Work section describes the types of skills and capabilities that will be needed.

#### **(A) Websites and Web Applications**

The existing primary website at [www.rideuta.com](http://www.rideuta.com) is based on Microsoft Development Technologies and uses extensively and exclusively MS SQL Server databases, ASP.NET in addition to Classic ASP/VBScript. These technologies are not required in order to respond to this proposal but are indicated here only to provide background on the existing website.

Knowledge of the following programming languages will be helpful in supporting the existing website and its supporting applications, and/or assist in the transition process if a new back-end system needs to be developed:

- VB Script (ASP)
- VB.NET
- JavaScript
- T-SQL
- ASP.NET
- Classic ASP

Other programming languages and/or platforms may be included as part of your proposal to redesign and rebuild back-end systems, if deemed necessary.

The website also uses a number of web applications that communicate between servers and databases both inside UTA and on the web server. Communications protocols used include:

- XML
- SOAP
- ODBC

To support the website and its applications, UTA would require a continued relationship (or substitute equivalent relationship) with the following third party vendors/partners

- Authorize.net

- SiteCore
- Trapeze

The following software/licenses are used by the current website. Some may carry over, but others may need to be acquired as part of this contract. Substitutes may be included in a proposal that includes back-end redevelopment:

- SQL Server 2008 R2
- SiteCore
- Thawte
- SSL for encryption
- Multiple Trapeze licenses

Additional skills needed to support the website:

- Graphic Design
- HTML
- CSS (table-less and layout)
- Working knowledge of ADA (section 508) compliance requirements
- Knowledge of PCI-DSS (Payment Card Industry – Data Security Standard) requirements for web based applications.

It is anticipated that the current design will have a life expectancy of two to four years and that new features will need to be added and maintained to the existing site under this proposal.

Currently, there also exists a web application and content management tool written in Classic ASP/VBScript. This will need to be maintained and updated as a part of this contract or substituted as a part of back-end redevelopment. If a different platform is proposed, the vendor must clearly describe the mitigation path, interoperability between new and existing development and internal staff training for such technologies. The current web applications/tools are supported by the following MS SQL databases:

- Rideuta Database – 2 GB (2GB)
- Recovery Database 20 GB
  - 120 + tables
  - Performs scheduled tasks and SQL server jobs
  - May include some jobs that include business logic and stored procedures, but mostly just serves up data (most procedures and business logic are imbedded in the Rideuta Control application)
  - Database security – each procedure/scheduled task has set permissions to allow it to perform only the necessary operations – username/password provided by config file.
- Shopping Cart: UTA currently operates a dynamic shopping cart on its website. This system interacts with Authorize.net and accounts for significant revenue to the Authority annually and is a vital part of the customer experience on the website. UTA anticipates projects to upgrade and improve the shopping cart.

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## **2. Scope of Work**

1. Web consulting and marketing strategy
  - Assist UTA with long-range planning and marketing strategy consulting for website and web-based application development
2. Web development and production
  - Graphic design, usability, QA Testing, HTML and related production.
  - Full compliance with standards for disabilities (ADA compliance)
3. Database and ASP development (or new back-end equivalent)
  - SQL, C# or VB.NET, JavaScript, CSS, HTML
4. Systems integration
  - Integration with existing corporate systems such as routes, schedules, trip planner, etc.
5. Website security
  - Ensure that all work meets current Web security standards.
6. Website accessibility
  - UTA's website is required to be compliant with W3C standards.

**EXHIBIT B  
 PRICING SHEET**

**OPTION 1: Hourly Rates/Time and Material**

Item	Month	Per Month Price	Total Amount
Year 1: Monthly Maintenance & Operational Support	12	\$1,710	\$20,520
Year 2: Monthly Maintenance & Operational Support	12	\$1,761	\$21,135
Year 3: Monthly Maintenance & Operational Support	12	\$1,814	\$21,770
Year 4: Monthly Maintenance & Operational Support	12	\$1,868	\$22,422
Year 5: Monthly Maintenance & Operational Support	12	\$1,923	\$23,085
<b>Total for 5 Years</b>			<b>\$ 108,933</b>

**OPTION 1: Hourly Rates/Time and Material**

For Individual Development Projects		
Position	Hourly Burdened Rate/Travel Rates/Material Margin	Equivalent title in your org.
Architect	\$150	Partner
Developer II	\$114	
Developer III	\$114	
Developer	\$114	
Project Manager	\$125	
Account Manager	\$114	
Material Cost Margin	10%	
Travel:		
Mileage Rate	Federal rate (\$0.58/mile)	
Per Diem Rate	Federal rate for Utah	

**Second Year Escalation to labor rates: 3%**

**Second Year Material Cost Margin Increase: None**

**Second Year Travel Increases: Mileage Rate**  **Federal**  **Per Diem:**  **Federal**

**Third Year Escalation to labor rates: 3%**

**Third Year Material Cost Margin Increase: None**

Contract 19-2960  
UTA Website Maintenance & Development Services

**Third Year Travel Increases: Mileage Rate\_\_Federal\_\_\_\_\_ Per Diem: \_\_Federal\_\_\_\_\_**

**Fourth Year Escalation to labor rates: 3%**

**Fourth Year Material Cost Margin Increase: None**

**Fourth Year Travel Increases: Mileage Rate\_\_Federal\_\_\_\_\_ Per Diem: \_\_Federal\_\_\_\_\_**

**Fifth Year Escalation to Labor Rates: 3%**

**Fifth Year Material Cost Margin Increase: None**

**Fifth Year Travel Increases: Mileage Rate\_\_Federal\_\_\_\_\_ Per Diem: \_\_Federal\_\_\_\_\_**

## Detailed Contract Description & Purpose

**Board Review Date:** 5/1/2019

**Document Type:** Change Order

**Action Requested:** Motion to approve the contract or change order

**Criteria:** Contract is \$200,000 - \$999,999

**Contract Title:** On-Call Maintenance Contract  
Task Order #75

**Contract #** 19-3020BM

**Project Manager:** Dave Hancock

**Contract Administrator:** Teressa Pickett

**Impacted Areas:** Various FrontRunner Curves

**Included in budget?** Yes

**Procurement method:** Best value (RFP)

**Contractor:** Stacy and Witbeck

**Sole-Source Reason:** N/A

**Qty & Unit price**

**Change Order Value** \$547,555

**Total Contract Value** \$28,737,454

**Contract term (Months)** 12

**Contract Start Date** When Executed

**Contract options (Months)** N/A

**Contract End Date:** 12/31/2019

**Number of responding firms:** N/A

**\$ Value of Next Lowest Bidder** N/A

### **General Description & Purpose:**

UTA contracted with Stacy and Witbeck for a three year on-call maintenance contract on 12/30/2016 to perform pre-construction services, construction management and a variety of maintenance tasks on UTA's transit system. This task order is for the replacement of five (5) rail curves on the FrontRunner system. The locations are in Lehi, South Jordan, Jordan Narrows, 200 South SLC and Ogden. The task order price includes the cost to procure, weld and replace these portions of worn rail with new premium rail. The 2019 capital budget for the 2019 rail replacement project is \$1,847,432. This task order totaling \$547,555 is for a portion of that project and includes the five rail curves listed above. When other rail is identified as needing replacement, another task order will be issued to the contract and deducted from the remaining 2019 capital budget for rail replacement. The total contract amount of \$28,737,454 is made up from 75 task orders since 2017. Each task order is covered by multiple project budgets from 2017, 2018 and 2019.

**Attachments:** Contract routing sheet attached? Yes

Other attachments?

Task Order,

Original contract



# CONTRACT ROUTING SHEET

Agenda Item No.: \_\_\_\_\_  
Board Review Date: \_\_\_\_\_

## CONTRACT SECTION

- 1) Contract/P.O. No. **UT16-1846TP** (Assigned by Purchasing) Contract Administrator: **Teresa Pickett**  
Project Manager: **Dave Hancock**
- 2) Contract Type  A. A&E/Design  B. Blanket PO  C. Construction  D. Goods  E. Modification  
 F. Option  G. Renewal  H. Services  I. Task Orders
- 3) Procurement Method  RFQ (Quote)  IFB (Low Bid)  RFQU (Qualification)  
 RFP (Best-value)  Sole source  Other: \_\_\_\_\_
- 4) Contract Title **On-Call Maintenance Contract Task Order #75**
- 5) Description / Purpose (of contract or project) **2019 Rail Replacement for FrontRunner Curves**
- 6) Contractor Name **Stacy and Witbeck, Inc.**
- 7) Effective Dates Beginning: **Execution** Ending: **12/31/19**
- 8) Option to renew?  Yes  No Renewal terms **N/A**

## FINANCIAL SECTION

- 9) Total Board Approval Amount: \$547,555
- 9a) Current Contract Value: \$28,189,899
- 9b) Amendment Amount: \$ 547,555.00
- 9d) New Contract Value (including all amendments) \$ 28,737,454.00 charged to multiple projects
- 9e) Is the amount an estimate?  Yes  No  
(Estimate if per transaction cost)

9f) If estimated, how was the estimate calculated? **N/A**

- 10) Is the amount a one-time purchase or annual recurring purchase?  One-time  Recurring
- 11) Account Code **40-7385.68912** Capital Project Code **SGR385**
- 12) Budgeted?  Yes  No Budget amount: **\$ 1,847,472.00** This is the 2019 budget for SGR385
- 13) Will this contract require support from another department?  Yes  No
- 14) If so, is the other department(s) aware of this contract and the required support?  Yes  No
- 15) If box 2a or 2c is checked, has the Qualified Health Insurance Certificate been verified? **N/A**  Yes  No

## SIGNATURE SECTION

	Route to?	Initials	Print Name
Contract Compliance	<input checked="" type="checkbox"/> Yes	<u>TP</u>	<u>Teresa Pickett</u>
Accounting Review	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<u>MS</u>	<u>Myra Steele</u>
IT Review (IT software or hardware)	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
Up to \$10K Manager/Program Manager	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<u>DC</u>	<u>Dave Hancock</u>
Up to \$50K Dir, Sr. Mgr, RGM, or Chief/VP	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<u>DH</u>	<u>Dave Hancock</u>
Up to \$100K Chief/VP, or Dir, Sr. Mgr, RGM (Capital, Maint., Ops. only)	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<u>EC</u>	<u>Eddy Collins</u>
Over \$100K Executive Director	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		<u>Steve Meyer</u>
Over \$200K Board Approval	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		Approval Date

If Yes, route to the Sr. Supply Chain Manager for board meeting agenda and approval

**TASK ORDER NO. 75**

**TASK ORDER NAME: 2019 Rail Replacement for FrontRunner Curves**

**PROJECT CODE: SGR385 40-7385.68912**

This Task Order No. 75 to the On Call Maintenance Contract is entered into by and between Utah Transit Authority (UTA) and Stacy and Witbeck, Inc. (Contractor) as of December 30<sup>th</sup>, 2016.

This Task Order is part of the On Call Maintenance Contract and is governed by the terms thereof.

The purpose of this Task Order is to specifically define the scope, schedule, lump sum price, and other terms applicable to the work identified herein.

UTA and Contractor hereby agree as follows:

**1.0 SCOPE OF SERVICES**

The scope of work for the Task Order #75 is identified in Exhibit 1 – Scope of Work, which is hereby attached and incorporated into this Task Order.

**2.0 SCHEDULE**

The Substantial Completion Date for this Task is December 31<sup>st</sup>, 2019. The Revenue Operations Dates for this Task is December 31<sup>st</sup>, 2019. The Final Acceptance Date for this Task is December 31<sup>st</sup>, 2019.

**3.0 LUMP SUM PRICE**

The price for this task order is a not to exceed \$547,555.00. Invoices will be billed on monthly basis for work completed to date.

**4.0 APPLICABILITY OF FEDERAL CLAUSES**

This Task Order does  does not  [Check Applicable] include federal assistance funds which requires the application of the Federal Clauses appended as Exhibit D to the On Call Maintenance Contract.

IN WITNESS WHEREOF, this Task Order has been executed by UTA and the Contractor or its appointed representative

UTAH TRANSIT AUTHORITY:

STACY AND WITBECK, INC.:

By: \_\_\_\_\_  
W. Steve Meyer, Interim Executive Director Date  
> \$100,000

By: \_\_\_\_\_

By: *[Signature]* 4/16/19  
D. Eddy Cumins, Chief Operating Officer Date  
< \$100,000

Date: \_\_\_\_\_

By: *[Signature]* 4/15/19  
David Hancock, Director of Asset Management Date  
< \$50,000

Approved As To Form  
*[Signature]*  
UTA Compliance Officer

On-Call Maintenance Contract # UT16-1846TP

March 19, 2018

OCS

Mr. Dave Hancock  
Director of Asset Management  
Utah Transit Authority  
669 West 200 South  
Salt Lake City, UT 84101

Reference: On-Call Maintenance Contract  
Contract No: 16-1846TP

Subject: 19-603 - UTA Rail Replacement 2019 – for FrontRunner Curves

Dear Dave:

We are pleased to provide pricing to procure, weld and replace worn rail with new Premium rail, throughout the FrontRunner and Trax North/South Line. Our estimate is based on the scope of work discussed and quantities provided including five curve locations.

UTA has provided a detail list of curves to be replaced ranked in priority of current rail and anticipated replacement year.

Locations include:

Curve #1260 on FrontRunner South - Lehi 27.87  
Curve #1480 on FrontRunner South - South Jordan 13.21  
Curve #1290 on FrontRunner South - Jordan Narrows 23.4  
Curve #1140 on FrontRunner North – 200 South SLC .25  
Curve #1920 on FrontRunner North – Ogden 36.80

We have bid the work to complete all the needed trackwork on Sundays

Exclusions:

- Railroad Protective Insurance
- Insurance deductibles
- Davis Bacon Wages
- Quality Control Testing and Supervision
- HAZMAT and Contaminated Material Testing and Remediation
- Permits and Fees
- Railroad Flagging
- Placing of ballast and tamping the curves are not included in pricing.

Clarifications:

- Please see detailed list of each bid item below

- The unit costs for each bid item includes the costs of insurance, bond, and risk at the agreed upon rates.
- We have not included any design costs for this scope of work. If additional design is required beyond what was furnished by UTA, This will need to be priced separately.
- The scope of work is inclusive of only the items and scope that are listed below. Any other items of work or changes to the below scope will need to be repriced.
- SWI has bid this project with the understanding that if needed SWI will be allowed to use UTA's Track Mobile and Speed Swing at no rental cost to SWI.
- SWI will furnish the needed operators, fuel, and maintenance for UTA's equipment that SWI uses.
- Rail delivery and transportation is included in pricing
- UTA will need to provide access to Beck Street Yard via track with support to unlock and throw switches where needed, UTA will also provide support if required to pull rail cars into Beck Yard/siding facility.
- Final clean-up and distressing is included in unit pricing.
- Changing Concrete Tie OTM (pads, insulators, clips, etc.)

#### **Summary of Costs and Scope for each item:**

##### **Bid Item 10000 – Mobilization – Each Location - 5.00 EA - \$15,000 EA Total of \$75,000.00 -**

This bid item includes transportation to move all necessary equipment and materials to and from the site. Item also includes the cost to mobilize the flash butt welding subcontractor to Beck Street Yard to weld the rail stringers. This item also includes the subsequent mobs to an anticipated five locations along the FrontRunner alignment. Bid item also includes site restrooms, and job site dumpsters.

**Bid Item 20000 – Replace Single Rail at 2019 Locations – 5,920.00 LF \$72.00 Per LF - Total of \$426,240.00** - This bid item includes the cost to remove and replace the existing rail with new 115lb premium rail.

##### **Transloading – 5,920 LF**

Item also the cost to transload and unload the rail from Beck Yard to the subsequent flash butt welding sites.

##### **Flash Butt Welding – 68 EA**

Item includes the site preparations, set-up and takedown at each flash butt welding site. Also included in this item is the flash butt welding of the rail into stringers and feeding the rail into the welding machine.

##### **Changing Out Existing Rail – 5,920 LF**

Item includes the labor, and equipment to remove rail, change out rail, and distress rail (Please see introduction paragraphs for sequence of work). This bid item also includes the setup and rental cost of a "mini" rail train to move the rail from Beck Street Yard to corresponding curve locations. Also included in this bid item is the cost to sort, salvage, truck and unload existing rail and OTM.

# Stacy and Witbeck

## Thermite Welding - 20 EA

Item includes the purchase of the thermite weld kits, as well as the time and labor to complete the thermite welds onsite during the rail replacement.

On track work is anticipated work windows are estimated to be from Sunday 00:01 to Monday morning 04:00.

**Bid Item 100000 - Fee (5.25%) - Total of \$26,315.00** - This is the agreed to CMGC fee that is part of the new On Call Services Contract on the above bid items.

**Bid Item 200000 – Train Signals and Insulated Joint – PROV SUM – 1.00 PS - Total of \$20,000.00** - This bid item is a provisional sum to account for any needs or potential costs in regards to the UTA Signal System. items to include: signaling support with UTA crossings gates, replacement of bonding cables, and replacement of IJ's within the curve replacement limits. This item will be billed at time and material. Risk, fee, bond and insurance will be added to time and material.

The total price for this scope of work is **\$547,555.00** If you have any questions, please contact me.

Sincerely,  
Stacy and Witbeck, Inc.



Brian Dagsland  
Project Manager

03/22/2019

13:35

19-603

UTA Rail Replacement 2019

\*\*\* Brian Dagsland, BD

**BID TOTALS**

<u>Biditem</u>	<u>Description</u>	<u>Quantity</u>	<u>Units</u>	<u>Unit Price</u>	<u>Bid Total</u>
10000	Mobilization- Each Location	5.000	EA	15,000.00	75,000.00
20000	Replace Single Rail at 2019 Locations- 5 Total	5,920.000	LF	72.00	426,240.00
Subtotal					\$501,240.00
100000	Fee (5.25%)	1.000	LS	26,315.00	26,315.00
200000	Train Signals and Insulated Joint- Prov. Sum	1.000	PS	20,000.00	20,000.00
Bid Total $\Longrightarrow$					\$547,555.00

**RFP/Contract No. 16-1846TP**

**ON-CALL  
MAINTENANCE CONTRACT**

**UTAH TRANSIT AUTHORITY  
669 WEST 200 SOUTH  
SALT LAKE CITY, UT 84101**

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**ON-CALL MAINTENANCE CONTRACT  
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**EXHIBIT A – Form of Task Order**

**EXHIBIT B – General Conditions**

**EXHIBIT C – Contractor's Pricing Sheet**

**EXHIBIT D – Required Federal Clauses**

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## ON-CALL MAINTENANCE CONTRACT

This On-Call Maintenance Contract ("Contract") is entered into this 30<sup>th</sup> day of December, 2016, by and between Utah Transit Authority ("Utah Transit Authority" or "UTA"), a public transit district organized under the laws of the State of Utah, and Stacy and Witbeck, Inc. ("Contractor").

### WITNESSETH:

WHEREAS, UTA desires to hire Contractor to perform pre-construction services, construction management, and construction for a variety of maintenance tasks on UTA's transit system (each, a "Task", and collectively, the "Project");

WHEREAS, UTA desires to hire a Contractor for a three (3) year initial term, to complete Tasks on an as-needed basis and when UTA and the Contractor are able to successfully negotiate a scope of construction services, a schedule, and a lump sum price for that Task;

WHEREAS, on September 9, 2016, UTA publicly issued a Request For Proposal ("RFP") Package Number UT 16-1846TP seeking interested parties to submit proposals to perform the work described in the RFP;

WHEREAS, upon UTA's evaluation of the Proposals received in response to the RFP by responsive, responsible Proposers, UTA did select the Contractor; and

WHEREAS, the Contractor is qualified and willing to perform the types of work set forth in the RFP.

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

### 1.0 DEFINITIONS

As used throughout this Contract, the following terms shall have the meanings set forth below:

- A) "Change Order" means a written modification to this Contract or to an executed Task Order, the form of which will be prescribed by UTA, by which the parties must mutually agree to and evidence any addition, deletion, or variation in the work covered by this Contract or the Task Order, including, but not limited to, any increase or decrease in the monies to be paid, any change in the deliverables, any change in the schedule, or any change in the work.
- B) "Contractor's Principal-in-Charge" or "Contractor's PIC" means Ryan Memmott or his/her successor as appointed or designated in writing by the Contractor. The Contractor's PIC will serve as a counterpart to UTA's PIC and will serve as UTA's liaison to the highest levels of management of the Contractor.
- C) "Contractor's Project Manager" or "Contractor's PM" means Brian Dagsland or his/her successor as appointed or designated in writing by the Contractor. The responsibilities identified for the Contractor's PM **must not** be devolved to other

key personnel or proposed staff. Roles and responsibilities and reporting and communications relationships of the Contractor's PM may not be altered unless requested in writing and approved by UTA.

D) "Contractor's Construction Manager" or "Contractor's CM" means Sean Furey or his/her successor as appointed or designated in writing by the Contractor. The responsibilities identified for the Contractor's CM **must not** be devolved to other key personnel or proposed staff. Roles and responsibilities and reporting and communications relationships of the Contractor's PM may not be altered unless requested in writing and approved by UTA.

E) The "Utah Transit Authority's Principal-in-Charge" or "UTA's PIC" means Paul Edwards or his successor or designee as appointed or designated in writing by UTA.

F) The "Utah Transit Authority's Project Manager" or "UTA's PM" means David Hancock or his successor or designee as appointed or designated in writing by UTA.

## 2.0 DESCRIPTION OF SERVICES

The Contractor's PM and Contractor's CM shall perform pre-construction services with respect to a wide variety of maintenance and repair tasks, as requested by UTA.

Each discrete maintenance item is referred to as a "Task." UTA and the Contractor will negotiate scope, schedule, and lump sum price for each Task, and document those and other terms, as necessary, in a written "Task Order" in substantively the same format as that attached as Exhibit A. The lump sum price for each Task shall be developed in accordance with Section 5 of this Contract and Exhibit C. Upon the execution of a Task Order, the Contractor shall perform construction management and construction services for that Task, including furnishing all the materials, appliances, tools, and labor of every kind required, and constructing and completing in the most substantial and skillful manner, the work identified in the scope of work attached as an Exhibit to that Task Order.

If UTA and the Contractor are unable to agree on the price, scope, or other terms of a Task Order, UTA shall retain the right to remove the Task from the scope of the on-call Contractor and procure the item outside this Contract.

## 3.0 ORDER OF PRECEDENCE

Every provision of the documents listed below is incorporated into this Contract by reference and together form one, integrated Contract. The contract documents referenced below are in descending order of precedence.

- A) Executed Task Orders;
- B) This Contract, including all exhibits hereto;
- C) Contractor's Proposal in response to the RFP; and
- D) The RFP.

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In case of any ambiguity in the contract documents, the matter must be immediately submitted to UTA's PM, who will adjust the same, in his sole discretion, and his decision in relation thereto will be final and conclusive upon the parties.

If at any time UTA's PM determines that an inconsistency or conflict exists in the Contract, including inconsistencies relating to construction materials or use of equipment, UTA's PM may determine the controlling Contract requirements and instruct the Contractor to comply with such requirements. Promptly following receipt of such instructions, the Contractor shall submit its plan for compliance to UTA's PM and request a statement of no objection.

In the event that the Contractor disagrees with UTA's PM's interpretation of the Contract, the Contractor shall have the right to submit the issue to dispute resolution in accordance with the terms of this Contract, but shall in all events comply with UTA's PM's instructions pending resolution of the dispute.

#### **4.0 TERM AND SCHEDULE**

The effective date for this Contract is January 1, 2017, and the initial expiration date is December 31, 2019. The Contract may be extended for two (2) additional one (1) year terms, at UTA's sole option. If UTA elects to exercise one or both of the option terms, it will provide written notice to Contractor at least thirty (30) days prior to the expiration of the then-current term.

Each Task will have its own schedule, to be negotiated and documented in a Task Order.

#### **4.1 Notice to Proceed**

The Contractor shall begin a Task upon receipt of Notice to Proceed (NTP) from UTA, unless a written consent of UTA is obtained to begin at a later date. Execution of a Task Order does not, by itself, constitute an NTP. UTA will not issue an NTP until the Task Order is executed, and all required insurance, bonding, and other requirements for a Task are submitted and deemed acceptable by UTA.

#### **4.2 Substantial Completion**

The Contractor shall complete the scope of work for a Task, as such work is identified in the applicable Task Order, so that it shall be substantially completed and performed on or before the Substantial Completion Date identified in the applicable Task Order (except for punch list items, final cleanup, and other items required for final acceptance).

#### **4.3 Revenue Operations**

For some Tasks, UTA may designate a Revenue Operations Date, which is the date the affected facility must be fully operational and available for use by UTA's patrons. Where applicable, Tasks shall be ready for revenue operations by the Revenue Operations Date specified in the applicable Task Order.

#### **4.4 Final Acceptance**

Each Task shall be entirely completed – including all punch list items, final cleanup, etc. – by the final acceptance date specified in the applicable Task Order. When, in the opinion of UTA's PM, the Contractor has fully performed the work under a Task Order, UTA's PM will notify the Contractor of final acceptance.

Final acceptance will be final and conclusive except for defects not readily ascertainable by UTA, actual or constructive fraud, gross mistakes amounting to fraud, or other errors which the Contractor knew or should have known about, as well as UTA's rights under any warranty or guarantee. Final acceptance may be revoked by UTA at any time prior to the issuance of the final payment by UTA or upon UTA's discovery of such defects, mistakes, fraud, or errors in the work even after final payment is issued.

#### **4.5 Delays**

Time is of the essence in the performance of the work under this Contract. The Contractor shall perform all work diligently and take all reasonable steps necessary to meet the schedule milestones set forth in each Task Order. Should any circumstances arise that cause the Contractor to believe that the specified milestones may or will not be met, the Contractor shall immediately bring those circumstances to the attention of UTA's Project Manager (PM).

No extension beyond specified milestones will be effective unless in writing and signed by UTA's PM. Any extension must be for such time and terms and conditions as will be fixed by UTA, which may include the assessment of Liquidated Damages ("LD"s) as outlined below. Notice of application for such extension must be filed with UTA's PM at least 15 calendar days prior to the deadline for which Contractor seeks an extension.

Any delay beyond the dates set forth the applicable Task Order will result in UTA potentially incurring significant losses, including, without limitation, loss of reputation, delay costs, and losses out of other contracts held by UTA and related to this Project. The parties acknowledge that these potential losses, while actual, may not be easy to prove in a court of law. Accordingly, the parties have agreed to the following LDs as an estimate of UTA's losses and not as a penalty.

If the Contractor fails to achieve a schedule milestone by the deadline specified in the Task Order, the Contractor agrees to an LDs charge for every calendar day until the milestone is reached. The specific amount of LDs will be negotiated for each Task Order. Where no LDs are specified, UTA shall have all remedies available at law.

The Contractor agrees that UTA may withhold additional payments under this Contract or attach the Contractor's performance bond to cover the LDs set forth above. Liquidated Damages will be assessed until notice of substantial completion has been made and accepted by UTA.

### **5.0 COMPENSATION AND PAYMENT**

#### **5.1 Compensation for Pre-Construction Services and Construction Management**

UTA agrees to pay Contractor for services rendered hereunder in accordance with the applicable hourly rates for Contractor's PM and Contractor's CM as set forth in Exhibit C.

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Payment will be based on actual hours expended (except that no more than 8 hours per day will be charged regardless of the hours worked on that day, nor more than 40 hours per week will be charged, regardless of the hours worked that week), plus appropriate and authorized direct expenses.

## **5.2 Compensation for Tasks**

Unless otherwise agreed in a Task Order, payment for the completion of maintenance Tasks will be in the form of a lump sum price negotiated between UTA and the Contractor and set forth in an executed Task Order. The lump sum price will be negotiated through an open-book cost estimating process based on the pricing elements set forth in Exhibit C. The lump sum price will be paid to the Contractor for satisfactory completion of all work identified in the applicable Task Order. Except as amended by UTA-issued change orders, the amount to be paid to the Contractor for all costs necessary to complete the work, whether stated or reasonably implied in the Task Order or other contract documents, will not exceed the lump sum price, including all labor, materials, equipment, supplies, small tools, incidental expenses, and any other direct or indirect associated costs.

The lump sum price for Tasks must not include any compensation for pre-construction or construction management services, which are fully compensated through the hourly fees set forth above.

## **5.3 Retention**

Retention may be withheld from payments due the Contractor, in an amount equal to five percent of the amount under the invoice attributable to construction services. Retention will not be withheld for any amounts due for pre-construction services or construction management. Retention withheld by UTA may be drawn upon by UTA to complete any term or requirement of the Contract that, in UTA's sole determination, has not been satisfied or to fulfill any payments which the Contractor has failed to remit to any subcontractors at any tier for work satisfactorily performed under the Contract; provided, however, that UTA will allow Contractor a reasonable time to complete the term or requirement, or to make the subcontractor payment, before withdrawing and using retention for that purpose. Retention proceeds will be placed in an interest-bearing account, which will accrue for the benefit of the Contractor and any of its subcontractors. The retention will be paid to the Contractor after a Task Order is completed and work under the Task Order is accepted by UTA.

## **5.4 Sales Tax**

The Contractor should be aware that Utah Code Ann. 59-12-104(2)(a)(ii) and 59-12-104(65) exempts from sales and use tax certain construction materials and tangible personal property covered by this Contract.

## **6.0 CONTRACT CHANGES**

Change Order procedures are set forth in Article 7 the General Conditions.

## **7.0 SUBCONTRACTING**

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## **7.1 Approval of Subcontractors**

The Contractor shall give advance written notification to UTA of any proposed consulting agreement or subcontract negotiated in conjunction with this Contract. All subcontracts must be in writing. The Authority shall have the right to approve all subcontract agreements and consulting agreements, including any change or amendments to any subcontract or consulting agreement. No change, removal or substitution shall be made in any of the contracted subcontractors without the prior written approval of the Authority.

No subcontract shall provide for further subcontracting of the work to a lower tier unless the written approval of the Authority is first obtained in writing. Any such additional subcontractors shall meet all of the requirements set forth in this Contract for subcontracts and, in addition, shall include such other provisions as the Authority, at its discretion, shall deem appropriate.

## **7.2 Competitive Bids**

For subcontracted work with subcontractors not identified in Contractor's proposal, Contractor shall solicit such work through a standard procurement process, such as low-bid, competitive proposals, or another selection method approved by UTA.

## **7.3 Relationship between UTA and Subcontractors**

UTA shall have no liability to any subcontractor for payment for services under this Contract or other work performed for Contractor by any subcontractor. For any subcontract entered into by Contractor under this Contract or any Task Order, responsibility for payment to the subcontractors or any other work performed by a subcontractor shall be the sole responsibility of Contractor, and such payment to said subcontractor(s) shall be made to said subcontractors within thirty (30) days after Contractor has received payment for the applicable work performed from the Authority.

The Contractor shall be responsible for and direct all work performed by subcontractors. The Authority shall not be responsible for or direct any subcontractor to perform services, which have not been previously authorized in that subcontractor's subcontract. Neither Contractor nor the Authority shall have any liability to subcontractors for work performed by subcontractors which has not been previously authorized by Contractor.

## **7.4 Payment Type**

The Contractor agrees that no subcontract work performed under this Contract shall provide for payment on a cost-plus-percentage-of-cost basis.

## **8.0 INVOICING PROCEDURES AND RECORDS**

The procedures for invoicing and payment are set forth in Article 4 the General Conditions.

## **9.0 BONDS**

### **9.1 Performance Bond**

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The Contractor shall provide and continuously maintain for the term of this Contract either: (i) one performance bond in the amount of \$5,000,000, or (ii) individual performance bonds for each Task in an amount equal to the lump sum price of such Task. In no event may Contractor perform work under this Contract, the total price of which exceeds the amount of performance bond(s) provided by Contractor to UTA. The Contractor shall deliver the performance bond(s) to UTA before UTA will issue an NTP.

The performance bond(s) must be payable to UTA and issued by a good and sufficient surety company authorized to transact business in Salt Lake City, Utah, and listed in the then current United States (US) Department of the Treasury's Circular 570, Companies Holding Certificates of Authority as Acceptable Sureties on Federal Bonds and as Acceptable Reinsuring Companies.

## 9.2 Labor and Material Payment Bond

The Contractor shall provide and continuously maintain for the term of this Contract either (i) one labor and material payment bond in the amount of \$5,000,000, or (ii) individual labor and material payment bonds for each Task in an amount equal to the lump sum price for such Task. In no event may Contractor perform work under this Contract, the price of which exceeds the amount of labor and material payment bond(s) provided by Contractor to UTA. The Contractor shall deliver the labor and material payment bond to UTA before UTA will issue an NTP.

The payment bond must be payable to UTA and issued by a good and sufficient surety company authorized to transact business in Salt Lake City, Utah, and listed in the then current US Department of the Treasury's Circular 570, Companies Holding Certificates of Authority as Acceptable Sureties on Federal Bonds and as Acceptable Reinsuring Companies.

## 10.0 KEY PERSONNEL

For UTA's needs, the Contractor will assign key personnel to the Project. The key personnel must take direction for work assignments under the direction of UTA's PM. The key personnel must remain on the Project until such time that UTA agrees it does not need their expertise and/or services or until completion of the work under this Contract.

The Contractor shall secure the services of the following key personnel to perform the work under this Contract and agrees there must not be any change in the assignment of the key personnel without the prior written approval by UTA:

### THE CONTRACTOR'S KEY PERSONNEL

NAME	POSITION
<u>Brian Dagsland</u>	Contractor's Project Manager
<u>Sean Furey</u>	Contractor's Construction Manager

The Contractor shall assign such further professional and technical personnel as required to perform the work under this Contract, including subcontractors' personnel.

Any removal of key personnel identified under this Article will potentially result in UTA incurring significant losses, including, without limitation, loss of reputation, delay costs, and losses out of other contracts held by UTA related to the Project. UTA and the Contractor acknowledge that these potential losses, while actual, may not be easy to prove in a court of law. Accordingly, UTA and the Contractor have agreed to the Liquidated Damages ("LDs") set forth below.

If the Contractor makes the decision to remove or reassign any of the Contractor's key personnel prior to the completion of the work under this CM/GC Contract, it will pay to UTA LDs in the amount of \$25,000.00 for each key personnel that is removed. If UTA's PM and the Contractor's PIC agree to the removal of the Contractor's key personnel and their replacement, no LDs will be assessed to the Contractor. If, in UTA's sole opinion, UTA makes a significant change in its management or the structure of the work that affects the Contractor's key personnel, LDs will not apply to the Contractor. The parties agree and acknowledge that actual damages for changes in key personnel will be difficult to calculate and that the LDs set forth herein have been agreed to by the parties.

All of the Contractor's key personnel and employees must have the skill, experience, and any necessary licenses required under Utah law to perform the work assigned to them. If UTA determines in its sole discretion that any person employed by the Contractor or by any subcontractor is not performing the work in a proper and skillful manner, then at the written request of UTA, the Contractor or such subcontractor must remove such person and such person must not be re-employed on the Project without the prior written consent of UTA. If the Contractor or the subcontractor fails to remove such person or fails to furnish skilled and experienced personnel for the proper performance of the work, then UTA may suspend the affected portion of the work by delivery of written notice of such suspension to the Contractor. Such suspension will in no way relieve the Contractor of any obligation contained in the Contract or entitle the Contractor to a Change Order. Once compliance is achieved, the Contractor will be entitled to, and must promptly, resume the work.

#### **11.0 INFORMATION, RECORDS, AND REPORTS**

Contractor shall retain all books, papers, documents and accounting records related to the work performed or costs incurred under this Contract. Such records shall include, without limitation, time sheets and other cost documentation related to the performance of labor services, as well as subcontracts, purchase orders, other contract documents, invoices, receipts or other documentation supporting non-labor costs. Records shall be retained by Contractor for a period of at least six (6) years, or until any audit initiated within that six-year period has been completed (whichever is later). During this six-year period, such cost records shall be made available at all reasonable times for audit and inspection by UTA and other authorized auditing parties including, but not limited to, the Federal Transit Administration. Copies of requested cost records shall be furnished to UTA or designated audit parties upon request. Contractor agrees that it shall flow-down (as a matter of written contract) these records requirements to all subcontractors utilized in the performance of this Agreement at any tier.

#### **12.0 FINDINGS CONFIDENTIAL**

Any documents, reports, information, or other data and materials available to or prepared or

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assembled by the Contractor or a subcontractors under this Contract will not be made available to any person, organization, or entity by the Contractor without consent in writing from UTA. The Contractor shall require (as a matter of written contract) that any documents, reports, information, or other data and materials available to or prepared or assembled by any subcontractor be maintained as confidential and not disclosed without written consent in writing from UTA.

### **13.0 INSURANCE**

The Contractor shall provide, and shall ensure that its subcontractors provide, certain insurance coverages for this Project, as described below.

The Contractor and its subcontractors shall be solely responsible for damage to their own equipment. Any policy or policies of insurance which the Contractor elects to carry as insurance against loss or damage to its construction equipment or tools shall contain a provision waiving the insurer's right of subrogation against UTA. The Contractor waives its right of recovery against UTA for loss or damage to Contractor's construction equipment or tools.

#### **13.1 Insurance Coverages**

The Contractor shall procure at its own expense insurance acceptable to UTA as described herein and shall maintain such insurance in full force and effect as specified herein. Insurance shall be procured from insurance or indemnity companies with an A.M. Best and Company rating level of A- or better, Class VIII or better, or as otherwise approved by UTA and authorized to do business in the State of Utah.

Certificates of insurance shall be delivered to UTA prior to UTA's issuing any NTP associated with this Contract.

##### **13.1.1 Workers' Compensation Insurance**

The Contractor shall, and shall cause its subcontractors of all tiers to, provide at its own expense workers' compensation insurance to cover full liability under the workers' compensation laws of the State of Utah and at the statutory limits required by laws of the State of Utah.

##### **13.1.2 Employer's Liability Insurance**

The Contractor shall, and shall cause its subcontractors of all tiers to, provide at its own expense employer's liability insurance with the following minimum limits of liability:

- A) \$100,000.00 Each Accident.
- B) \$500,000.00 Disease-Policy Limit.
- C) \$100,000.00 Disease-Each Employee.

##### **13.1.3 Commercial General Liability Insurance**

The Contractor shall, and shall cause its subcontractors of all tiers to, provide at its own expense Commercial General Liability (CGL) insurance on an "occurrence basis," including, insurance for

operations, independent contractors, products/completed operations, and contractual liability specifically designating the indemnity provisions of this Contract as an insured contract on the certificate of insurance. Such CGL insurance must be endorsed with a broad form property damage endorsement (including completed operations) and afford coverage for explosion, collapse, and underground hazards.

The Commercial General Liability insurance must be in limits not less than the following:

- 1) \$2,000,000.00 Bodily Injury and Property Damage per occurrence
- 2) \$4,000,000.00 General Aggregate
- 3) \$4,000,000.00 Products and Completed Operations Aggregate.

The aggregate loss limit must be on a per project basis. The policy must include products and completed operations extended coverage for a minimum of five years following final acceptance. If the Contractor's CGL insurance or other form with a general aggregate limit and products and completed operations aggregate limit is used, then the annual aggregate limits must apply separately to the Project, or the Contractor may obtain separate insurance to provide the required limit which must not be subject to depletion because of claims arising out of any other project or activity of the Contractor. Any such excess insurance must be at least as broad as the Contractor's primary insurance.

The CGL insurance certificate must state that the policy has been endorsed to name UTA as an additional insured. From time to time, additional insureds may be required to be added to the CGL insurance.

The Contractor shall obtain an endorsement to its CGL policy removing the exclusion pertaining to construction and demolition within 50 feet of a railroad.

#### **13.1.4 Professional Liability**

Minimum Limits:        \$2,000,000 each claim  
                                     \$4,000,000 annual aggregate

Coverages:

1. Insured's interest in joint ventures
2. Punitive damages coverage (where not prohibited by law)
3. Limited contractual liability
4. Retroactive date prior to date
5. Extended reporting period of 36 months

#### **13.1.5 Automobile Liability Insurance**

The Contractor shall, and shall cause its subcontractors of all tiers to, provide at their own expense automobile liability insurance for claims arising from the ownership, maintenance, or use of motor vehicles at, upon, or away from the Project site. The automobile liability insurance must cover all

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owned, non-owned, and hired automobiles used in connection with the work, with the following minimum limits of liability:

\$1,000,000.00      Combined Single Limit Bodily Injury and Property Damage Per Occurrence.

The automobile liability insurance certificate must state that the policy has been endorsed to name UTA as an additional insured. From time to time, additional insureds may be required to be added to the automobile liability insurance.

### **13.1.6      Railroad Protective Policy**

UTA may elect to enroll Contractor under a blanket Railroad Protective Policy held by UTA, at no cost to Contractor.

## **13.2      General Insurance Requirements**

### **13.2.1      Cooperation**

The Contractor shall cooperate fully with and provide any information or record requested by UTA or its insurance representative(s) regarding all aspects of the Contractor's insurance program, including enrollment, claims, audit, and safety procedures, as required by UTA. If the Contractor fails or delays in any material respect in reporting such required information to UTA or its insurance representative, UTA may suspend payment until the Contractor complies.

### **13.2.2      Verification of Coverage**

#### **A) Certificates of Insurance**

Prior to NTP, the Contractor will deliver to UTA a certificate of insurance with respect to each policy required to be provided under this Contract.

#### **B) Renewal Policies**

The Contractor shall promptly deliver to UTA a certificate of insurance with respect to each renewal policy, bearing a notation evidencing payment of the premium therefor, or accompanied by other proof of payment satisfactory to UTA.

#### **C) Disclaimer**

UTA will not be responsible to provide any insurance coverage pertaining to the Project or for Contractor's benefit. The Contractor and all subcontractors shall ensure that their insurance coverages fit the particular needs of this Project, and it is their responsibility to arrange for and secure any insurance coverage which they deem advisable, whether or not specified above.

#### **D) Endorsements and Waivers**

All general and automobile liability insurance policies required to be provided by the Contractor or any subcontractor hereunder shall contain or be endorsed to contain the

following provisions (1) through (5); and all workers' compensation and employer's liability policies are to contain or be endorsed to contain the following provision (4) and (5):

- 1) For any claims related to the Project, insurance coverage will be primary insurance with respect to the additional insureds (and their respective members, directors, officers, employees, agents, and consultants), and shall specify that coverage continues after departure from the site. Any insurance or self-insurance maintained by an additional insured (or its members, directors, officers, employees, agents, and consultants) will be excess of such insurance and will not contribute with it;
- 2) Any failure on the part of the principal insured to comply with reporting provisions or other conditions of the policies, any breach of warranty, any action or inaction of the principal insured or others, any foreclosure relating to the Project or any change in ownership of all or any portion of the Project will not affect coverage provided to the additional insureds (and their respective members, directors, officers, employees, agents and consultants);
- 3) The insurance shall apply separately to each insured against whom a claim is made or suit is brought, except with respect to the limits of the insurer's liability;
- 4) Insurance policies (including the CGL, workers' compensation, and employer's liability policies) will include a waiver of any right of subrogation against the additional insureds (and their respective members, directors, officers, employees, and agents); and
- 5) Each policy shall be endorsed to state that coverage will not be suspended, voided, canceled or reduced in coverage or in limits except after 30 calendar days prior written notice by certified mail, return receipt requested, has been given to UTA. Such endorsement will not include any limitation of liability of the insurer for failure to provide such notice.

E) Waivers of Subrogation

Contractor hereby agrees to waive rights of subrogation which any insurer of Contractor may acquire from Contractor by virtue of the payment of any loss. Contractor agrees to obtain any endorsement that may be necessary to effect this waiver of subrogation. The Workers' Compensation policy shall be endorsed with a waiver of subrogation in favor of Utah Transit Authority for all work performed by the Contractor, its employees, agents and subcontractors.

F) Changes in Requirements

UTA will notify the Contractor in writing of any changes in the requirements applicable to insurance to be provided by the Contractor. Pursuant to a change order, any additional cost from such change shall be paid by UTA, and any reduction in cost shall reduce the amount

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due from UTA under the Contract, as appropriate.

G) No Recourse

There shall be no recourse against UTA for payment of premiums or other amounts with respect to the insurance to be provided by Contractor hereunder.

H) Support of Indemnification Obligations

The insurance coverage provided hereunder by the Contractor must support, but is not intended to limit, the Contractor's and UTA's indemnification obligations under Article 5 of the General Conditions.

I) Commercial Unavailability of Required Coverages

If, through no fault of the Contractor, any of the coverages required in this Article (or any of the required terms of such coverages, including policy limits) become unavailable or are available only with commercially unreasonable premiums, UTA will work with the Contractor to find commercially reasonable alternatives to the required coverages that are acceptable to UTA. The Contractor shall not be entitled to any increase in the amount due under the Contract for increased costs resulting from the unavailability of coverage and the requirement to provide acceptable alternatives. UTA will be entitled to a reduction in the amount otherwise due under the Contract if it agrees to accept alternative policies providing less than equivalent coverage. UTA's right to a reduction in the amount due under the Contract as set forth in the preceding sentence will be without regard to the insurance costs expended by the Contractor for the less than equivalent coverage or on other insurance required under this Article.

J) Prosecution of Claims

Unless otherwise directed by UTA in writing, the Contractor shall be responsible for reporting and processing all potential claims by UTA or the Contractor against the insurance required to be provided under this Article. The Contractor agrees to report timely to the insurer(s) any and all matters which may give rise to an insurance claim and to promptly and diligently pursue any and all insurance claims on behalf of UTA, whether for defense or indemnity or both. UTA agrees to promptly notify the Contractor of UTA's incidents, potential claims, and matters which may give rise to an insurance claim by UTA, to tender its defense or the claim to the Contractor, and to cooperate with the Contractor as necessary for the Contractor to fulfill its duties hereunder. The Contractor shall report all claims against any of the policies identified in this Article immediately to UTA Claims and Insurance Department.

### 13.3 Commencement of Work

The Contractor shall not commence work under this Contract until it has obtained the insurance required under this Article and such insurance has been approved by UTA, nor shall the Contractor allow any subcontractor to commence work under its subcontract until the insurance required of the subcontractor has been obtained and approved by the Contractor. If the insurance provided by the Contractor fails to comply with the requirements listed herein, or if Contractor fails to maintain such insurance, then UTA maintains the right to suspend the Contractor's right to proceed until proper evidence is provided.

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### **13.4 UTA's Right to Remedy Breach by the Contractor**

If the Contractor fails to provide insurance as required herein, UTA or its assignees have the right, but not the obligation, to purchase such insurance. In such event, the amount due under the CM/GC Contract will be reduced by the amount paid for such insurance.

### **14.0 NOTICES OR DEMANDS**

Any notice or demand to be given by one party to the other will be given in writing by personal service, FedEx, DHL, United Parcel Services (UPS), the United States Postal Service (USPS), or any other similar form of courier or delivery service addressed to such party as follows:

If to UTA:

With a required copy to:

Utah Transit Authority  
ATTN: Teresa Pickett  
669 West 200 South  
Salt Lake City, UT 84101

Utah Transit Authority  
ATTN: General Counsel  
669 West 200 South  
Salt Lake City, UT 84101.

If to the Contractor:

Stacy and Witbeck, Inc.  
ATTN: Clayton Gilliland  
2800 Harbor Bay Pkwy  
Alameda, CA 94502

Either party may change the address at which such party desires to receive written notice by delivery of written notice of such change to the party as set forth herein. Any notice given under this Article will be deemed to have been given, and will be effective, on delivery to the notice address then applicable for the party to which the notice is directed, provided, however, that refusal to accept delivery of a notice or the inability to deliver a notice because of an address change which was not properly communicated will not defeat or delay the giving of a notice.

### **15.0 CONTRACT ADMINISTRATOR**

UTA's Contract Administrator for this Contract is Teresa Pickett or her designee. All questions and correspondence relating to the contractual aspects of this Contract should be directed to Ms. Pickett or her designee, at the address indicated in Article 14.0, with a copy to UTA's PM.

### **16.0 NO THIRD PARTY BENEFICIARIES**

This Contract is the entire agreement between the parties concerning its subject matter; supersedes all prior agreements and understandings, whether or not written; and is not intended to confer upon any person other than the parties any rights or remedies hereunder.

### **17.0 SURVIVAL**

Neither the expiration nor earlier termination of this Contract shall affect any warranties,

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indemnities, insurance requirements, audit rights, termination obligations or confidentiality obligations under this Contract, all of which shall continue in full force and effect.

**18.0 INDEPENDENT CONTRACTOR**

The relationship of the Contractor to UTA is that of an independent contractor, and said Contractor, in accordance with its status as an independent contractor, covenants and agrees that it will conduct itself consistently with such status, that it will neither hold itself out as nor claim to be an officer or employee of UTA by reason hereof, and that it will not, by reason hereof, make any claim, demand, or application to or for any right or privilege applicable to an officer or employee of UTA, including, but not limited to, workers' compensation coverage, unemployment insurance benefits, social security coverage, or retirement membership or credit.

**19.0 DISPUTES**

The time schedule for escalation of unresolved issues to the next higher level of authority will be the following:

<b>Level of Contract/Project Authority/Responsibility</b>	<b>Time Limit (Calendar Days)</b>
UTA's Project Manager/Contractor's Project Manager	Three Calendar Days
UTA's Principal-in-Charge/Contractor's Principal- in-Charge	Three Calendar Days

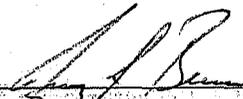
Dispute resolution procedures under this Contract are more particularly set forth in the General Conditions, attached hereto as Exhibit B.

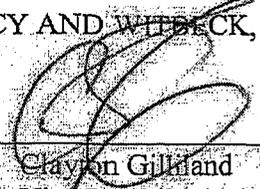
**20.0 APPLICABILITY OF FEDERAL CLAUSES**

The Federal Clauses included as Exhibit D to this Contract shall apply (in accordance with the applicable dollar thresholds and other terms of such clauses) to any Task Order identified as being funded with federal assistance.

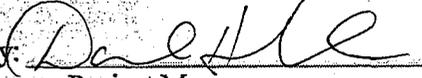
IN WITNESS WHEREOF, the parties have made and executed this Contract as of the day and year first above written.

UTAH TRANSIT AUTHORITY: STACY AND WITBECK, INC.:

By:   
Jerry Benson  
President and CEO

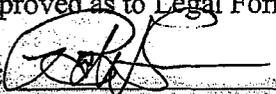
By:   
Clayton Gilliland  
Vice President/Area Manager

By:   
W. Steve Meyer  
Chief Capital Development Officer

By:   
Project Manager

Contractor's Federal ID Number:  
94-2787950

Approved as to Legal Form:

By:   
Utah Transit Authority  
Legal Counsel

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**EXHIBIT A**

**FORM of TASK ORDER**

**TASK ORDER NO. 1 \_\_\_\_\_**

This Task Order No. 1 ("Task Order") to the On Call Maintenance Contract is entered into by and between Utah Transit Authority (UTA) and \_\_\_\_\_ (Contractor) as of \_\_\_\_\_, 2016.

This Task Order is part of the On Call Maintenance Contract and is governed by the terms thereof.

The purpose of this Task Order is to specifically define the scope, schedule, lump sum price, and other terms applicable to the work identified herein.

UTA and Contractor hereby agree as follows:

**1.0 SCOPE OF SERVICES**

The scope of work for the Task Order \_\_\_\_ is identified in Exhibit 1 – Scope of Work, which is hereby attached and incorporated into this Task Order.

**2.0 SCHEDULE**

The Substantial Completion Date for this Task is \_\_\_\_\_. The Revenue Operations Dates for this Task is \_\_\_\_\_. The Final Acceptance Date for this Task is \_\_\_\_\_.

**3.0 LUMP SUM PRICE**

The lump sum price for this Task is \$ \_\_\_\_\_.

**4.0 APPLICABILITY OF FEDERAL CLAUSES**

This Task Order does \_\_\_\_ does not \_\_\_\_ [Check Applicable] is being funded with federal assistance with requires the application of the Federal Clauses appended as Exhibit D to the On Call Maintenance Contract.

IN WITNESS WHEREOF, this Task Order has been executed by UTA and the Contractor or its appointed representative

UTAH TRANSIT AUTHORITY:

NAME OF CONTRACTOR

By: \_\_\_\_\_

By: \_\_\_\_\_

Signature

By: \_\_\_\_\_

Signature

Signature

Faint, illegible text lines.

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## EXHIBIT B

### GENERAL CONDITIONS

#### ARTICLE 1

##### General

1.1 **Cooperation.** UTA and Contractor commit at all times to cooperate fully with each other, and proceed on the basis of trust and good faith, so as to permit each party to realize the benefits afforded under the Contract Documents.

1.2 **Professional Standards.** Contractor shall perform the Work in a good and workmanlike manner, and shall use reasonable skill, care, and diligence. If the Work includes professional services, Contractor shall perform those services in a professional manner, using at least that standard of care, skill and judgment that can reasonably be expected from similarly situated professionals.

1.3 **Definitions.** Terms that are defined in the Agreement have the same definition in all the Contract Documents, including in these General Conditions. Unless expressly modified by the Agreement, the following definitions shall also apply to all Contract Documents:

“Agreement” means the document signed by Contractor and UTA to which these General Conditions are attached as an exhibit or into which these General Conditions are incorporated by reference.

“Application for Payment” shall mean an invoice for a progress or final payment made in accordance with the requirements of Article 4.

“Basis of Design Documents” means those preliminary drawings, concept design drawings, technical requirements, performance requirements, project criteria, or other documents that are (i) included in the Contract Documents, and (ii) serve as the basis or starting point for design services to be performed by Contractor, if any.

“Claim” has the meaning indicated in Section 8.1 of these General Conditions.

“Construction Documents” means the final drawings and specifications that set forth in detail the requirements for construction of the Project.

“Contract Documents” means those documents designated as Contract Documents in the Agreement.

“Contract Times” means the guaranteed dates for Substantial Completion, Final Completion (if applicable), and any other deadlines for completion of the Work, or a part thereof, all as set forth in the Agreement.

“Contractor” means the entity that has entered into a contract with UTA to perform construction and other services as detailed in the Contract Documents. The Contractor may be a Design-Builder, general contractor, Construction Manager/General Contractor, or other type of entity.

“Day” means a calendar day unless otherwise specifically noted in the Contract Documents.

“Differing Site Condition” has the meaning indicated in Section 3.2 of these General Conditions.

“Final Completion” has the meaning indicated in Section 4.7 of these General Conditions.

“Force Majeure Event” means a delay caused by any national or general strikes, fires, riots, acts of God, acts of the public enemy, floods, acts of terrorism, unavoidable transportation accidents or embargoes, or other events: (i) which are not reasonably foreseeable as of the date the Agreement was executed; (ii) which are attributable to a cause beyond the control and without the fault or negligence of the party incurring such delay; and (iii) the effects of which cannot be avoided or mitigated by the party claiming such Force Majeure Event through the use of commercially reasonable efforts. The term Force Majeure Event does not include a delay caused by seasonal weather conditions, inadequate construction forces, general economic conditions, changes in the costs of goods, or Contractor’s failure to place orders for equipment, materials, construction equipment or other items sufficiently in advance to ensure that the Work is completed in accordance with the Contract Documents.

“General Conditions” means this document.

“Legal Requirements” means all applicable federal, state, and local laws, codes, ordinances, rules, regulations, orders and decrees of any government or quasi-government entity having jurisdiction over the Project or Site, the practices involved in the Project or Site, or any Work. The terms Legal Requirements shall also include any requirements or conditions included in a permit required for, or issued in conjunction with, the Project.

“Potential Change Notice” has the meaning indicated in Section 7.3 of these General Conditions.

“Project” means the construction project described in the Agreement.

“Punchlist” means shall mean a schedule of Work items (developed in accordance with the procedures described in Article 4) which remain to be completed prior to Final Completion, but which do not adversely affect the performance, operability, capacity, efficiency, reliability, cost effectiveness, safety or use of the Project after Substantial Completion.

“Schedule of Values” means the detailed statement furnished by Contractor and approved by UTA in accordance with Section 4.1, which statement outlines the various components of the Contract Price and allocates values for all such components in a manner that can be used for preparing and reviewing invoices.

“Site” means the land or premises on which the Project is located, as more particularly

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defined and described in the Contract Documents.

“Subcontractor” means any person or entity (including subcontractors at any tier, design engineers, laborers and materials suppliers) retained by Contractor or any other Subcontractor to perform a portion of Contractor’s obligations under the Contract Documents.

“Substantial Completion” or “Substantially Complete” has the meaning indicated in Section 4.6 of these General Conditions.

“Work” means all obligations, duties, requirements, and responsibilities for the successful completion of the Project by Contractor, including furnishing of all services and/or equipment (including obtaining all applicable licenses and permits to be acquired by Contractor) in accordance with the Contract Documents.

## ARTICLE 2

### Contractor’s Services

#### 2.1 General Services.

2.1.1 Contractor’s Project Manager shall be reasonably available to UTA and shall have the necessary expertise and experience required to supervise the Work. Contractor’s Project Manager shall communicate regularly with UTA and shall be vested with the authority to act on behalf of Contractor.

2.1.2 Contractor shall provide UTA with a monthly status report detailing the progress of the Work, including: (i) whether the Work is proceeding according to schedule; (ii) whether discrepancies, conflicts, or ambiguities exist in the Contract Documents that require resolution; (iii) whether unusual health and safety issues exist in connection with the Work; and (iv) other items that require resolution so as not to jeopardize Contractor’s ability to complete the Work for the Contract Price and within the Contract Time(s).

2.1.3 Unless a schedule for the execution of the Work has been attached to the Agreement as an exhibit at the time the Agreement is executed, Contractor shall prepare and submit, within seven (7) Days of the execution of the Agreement, a schedule for the execution of the Work for UTA’s review and response. The schedule must indicate the dates for the start and completion of the various stages of Work, including the required dates when UTA obligations must be completed to enable Contractor to achieve the Contract Time(s). Such UTA obligation dates may include (where contemplated in the Contract Documents): (i) Site availability requirements; and/or (ii) dates when UTA information or approvals are required. The schedule shall be revised as required by conditions and progress of the Work, but such revisions shall not relieve Contractor of its obligations to complete the Work within the Contract Time(s), as such dates may be adjusted in accordance with the Contract Documents. UTA’s review of, and response to, the schedule shall not be construed as relieving Contractor of its complete and exclusive control over the means, methods, sequences and techniques for executing the Work.

2.2 **Design Services.** If the Work includes any design services, provisions 2.2.1 through 2.2.8 apply.

2.2.1 Contractor shall provide the necessary design services, including architectural, engineering and other design professional services, for the preparation of the required drawings, specifications and other design submittals to permit Contractor to complete the Work consistent with the Contract Documents. Contractor shall ensure that design services are performed by qualified, licensed design professionals employed by Contractor, or by qualified, independent licensed design consultants procured by Contractor.

2.2.2 Contractor and UTA shall, consistent with any applicable provision of the Contract Documents, agree upon any interim design submissions that UTA may wish to review, which interim design submissions may include design criteria, drawings, diagrams, and specifications setting forth the Project requirements. Interim design submissions must be consistent with the Basis of Design Documents, as the Basis of Design Documents may have been changed through the design process set forth in this Section 2.2.2. On or about the time of the scheduled submissions, Contractor and UTA shall meet and confer about the submissions, with Contractor identifying during such meetings, among other things, the evolution of the design and any changes to the Basis of Design Documents, or, if applicable, previously submitted design submissions. Changes to the Basis of Design Documents shall be processed in accordance with Article 7. Minutes of the meetings, including a full listing of all changes, will be maintained by Contractor and provided to all attendees for review. Following the design review meeting, UTA will be entitled to at least ten (10) Days to review and approve the interim design submissions and meeting minutes.

2.2.3 To the extent not prohibited by the Contract Documents or Legal Requirements, and with the approval of UTA, Contractor may prepare interim design submissions and Construction Documents for a portion of the Work to permit construction to proceed on that portion of the Work prior to completion of the Construction Documents for the entire Work.

2.2.4 Contractor shall submit proposed Construction Documents to UTA, which must be consistent with the latest set of interim design submissions, as such submissions may have been modified in a design review meeting and recorded in the meeting minutes. The parties shall have a design review meeting to discuss, and UTA shall review and approve, the Construction Documents in accordance with the procedures set forth in Section 2.2.2 above. Contractor shall submit one set of approved Construction Documents to UTA prior to commencement of construction.

2.2.5 UTA's review and approval of interim design submissions, meeting minutes, and Construction Documents is for the purpose of mutually establishing a conformed set of Contract Documents compatible with the requirements of the Work. Neither UTA's review nor approval of any interim design submissions, meeting minutes, and Construction Documents shall be deemed to: (i) relieve Contractor from its obligations to comply with the Contract Documents; (ii) relieve Contractor from its obligations with respect to the accuracy of the design submittals; or (iii) transfer any design liability from Contractor to UTA.

2.2.6 Upon completion of the Work, and as a condition to receiving final payment pursuant to Section 4.7, Contractor shall prepare and provide to UTA a final set of as-built drawings, depicting the Project as completed, including all changes to the Project made subsequent to the approval of the Construction Documents.

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2.2.7 All drawings, specifications, interim design submissions, Construction Documents, and other documents furnished by Contractor to UTA pursuant to the Contract Documents (those documents, the "Work Product") are deemed to be instruments of service and Contractor shall retain the ownership and intellectual property rights therein.

2.2.8 Once UTA has made a corresponding payment for the Work required for Contractor to prepare any Work Product, Contractor will be deemed to have granted to UTA a license to use that Work Product in connection with the construction, occupancy, and maintenance of the Project, or any other UTA project or facility.

### **2.3 Government Approvals, Permits, and Legal Requirements.**

2.3.1 Except where the Contract Documents expressly state that UTA will be responsible for a specific entitlement, Contractor shall obtain and pay for all necessary permits, approvals, licenses, government charges and inspection fees required for the prosecution of the Work by any government or quasi-government entity having jurisdiction over the Project or Site. Contractor shall provide reasonable assistance to UTA in obtaining any permits, approvals, and licenses that the Contract Documents expressly specify to be a UTA responsibility.

2.3.2 Contractor shall perform the Work in accordance with all Legal Requirements and shall provide all notices applicable to the Work as required by the Legal Requirements.

2.3.2 Contractor shall file a notice of commencement, a notice of completion, and other notices required by Utah Code Title 38 (Liens). Contractor shall file such notices in the manner and within the time periods required by law.

2.3.3 The Contract Price and/or Contract Time(s) will be adjusted to compensate Contractor for the effects of any changes in the Legal Requirements provided that such changes: (i) materially increase Contractor's cost of, or time required for, the performance of the Work; and (ii) are enacted after the effective date of the Agreement.

### **2.4 Construction Services.**

2.4.1 Contractor shall proceed with construction in accordance with the approved Construction Documents.

2.4.2 Except to the extent that the Contract Documents expressly identify UTA obligations related to the Work, Contractor shall provide through itself or Subcontractors the necessary supervision, labor, inspection, testing, start-up, material, equipment, machinery, temporary utilities and other temporary facilities (whether or not expressly stated or depicted in the Contract Documents or Construction Drawings) to permit Contractor to complete construction of the Project consistent with the Contract Documents.

2.4.3 Contractor is responsible for securing the Site until UTA issues a Certificate of Substantial Completion.

2.4.4 Contractor shall perform all construction activities efficiently and with the requisite expertise, skill and competence to satisfy the requirements of the Contract Documents. Contractor shall at all times exercise complete and exclusive control over the means, methods, sequences,

techniques and procedures of construction.

2.4.5 Contractor shall be solely responsible for initiating, maintaining and supervising all safety precautions and programs in connection with the Work. Contractor shall take necessary precautions for the safety of, and shall provide necessary protection to prevent damage, injury or loss to the following: (i) all Contractor, Subcontractor, UTA employees, the public and other persons who may be affected thereby; (ii) all Work and all equipment and materials to be incorporated into the Work; and (iii) other property at the Site or adjacent thereto. Contractor shall comply with the minimum standards imposed by UTA's Construction Safety and Security Program Manual, as updated from time to time (UTA's Construction Safety and Security Program Manual is incorporated into the Contract Documents by reference). However, Contractor shall be responsible for all additional as necessary to comply protect persons and property and comply with applicable Legal Requirements related to safety.

2.4.6 Contractor shall employ only Subcontractors who are duly licensed and qualified to perform the Work consistent with the Contract Documents. UTA may require Contractor to remove from the Project a Subcontractor or anyone employed directly or indirectly by any Subcontractor, if UTA reasonably concludes that the Subcontractor is creating safety risks at the Site or quality risks to the Project.

2.4.7 Contractor is responsible for the proper performance of the Work by Subcontractors and for any acts and omissions in connection with such performance. Nothing in the Contract Documents is intended or deemed to create any legal or contractual relationship between UTA and any Subcontractor, including but not limited to any third-party beneficiary rights.

2.4.8 Contractor shall coordinate the activities of all of its Subcontractors. If UTA performs other work on the Project or at the Site with separate contractors under UTA's control, Contractor agrees to reasonably cooperate and coordinate its activities with those of such separate contractors so that the Project can be completed in an orderly and coordinated manner without unreasonable disruption.

2.4.9 Contractor shall keep the Site reasonably free from debris, trash and construction wastes to permit Contractor to perform its construction services efficiently, safely and without interfering with the use of adjacent land areas. Upon Substantial Completion of the Work, or a portion of the Work, Contractor shall remove all debris, trash, construction wastes, materials, equipment, machinery and tools arising from the Work or applicable portions thereof to permit UTA to occupy the Project or a portion of the Project for its intended use.

## **2.5 Quality Control, Quality Assurance, Inspection, Rejection and Correction of Work.**

2.5.1 Contractor shall develop a Project-specific construction quality control plan as contemplated in UTA's Quality Management Plan and Construction Quality Plan. The Contractor's plan shall satisfy the minimum requirement imposed by UTA's Construction Quality Plan and shall be sufficient to ensure that Work is performed in compliance with the Contract Documents. If the Work includes any design services, Contractor shall also develop and thereafter comply with a design quality plan that meets the minimum requirements set forth in the UTA Design Quality Plan. The UTA Quality Management Plan, Construction Quality Plan and Design Quality Plan are incorporated into the Contract Documents by reference. The Contractor's plans

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shall be subject to UTA's review and approval.

2.5.2 Contractor shall comply with the approved quality control plan(s). Responsibilities shall include inspection and testing and related activities including administration, management, supervision, reports, record keeping and use of independent testing agencies and laboratories. Contractor shall provide evidence of compliance with the Contract Documents.

2.5.3 UTA will have the right to audit and spot check the Contractor's quality control procedures and documentation. This will include the Company's right to inspect and test all Work at reasonable times. Contractor shall cooperate with any inspection and testing performed by UTA. All contractor-furnished materials and supplies shall be subject to inspection at the point of manufacture.

2.5.2 Any inspection and testing performed by UTA shall be for the sole and exclusive benefit of UTA. Neither inspection and testing of Work, nor the lack of same nor acceptance of the Work by UTA, nor payment therefore shall relieve Contractor from any of its obligations under the Contract Documents.

2.5.3 At any time prior to Substantial Completion, UTA may reject Work which fails to conform to the Contract Documents. Contractor shall, at its sole expense, promptly re-perform or correct any Work so as to conform to the requirements of the Contract. Contractor shall not be entitled to an adjustment to the Contract Price and/or Contract Times with respect to any corrective action necessary to rectify non-conforming Work.

2.5.4 If Contractor fails to promptly remedy rejected Work, UTA may, without limiting or waiving any other rights or remedies it may have, self-perform (through its own forces or through other contractors) the necessary corrective action(s) and deduct all amounts so incurred from any amount then or thereafter due Contractor.

## 2.6 Contractor's Warranty.

2.6.1 Contractor warrants to UTA that all Work, including all materials and equipment furnished as part of the Work, shall be: (i) of good quality conforming to generally recognized industry standards; (ii) in conformance with the Contract Documents; (iii) free of defects in materials and workmanship; and (iv) consistent with applicable Legal Requirements. Without limiting the generality of the foregoing, Contractor also specifically warrants that any design, engineering or other professional services provided by Contractor shall be shall satisfy applicable professional standards of care and that all materials and that any equipment furnished as part of the construction shall be new (unless otherwise specified in the Contract Documents). This provision is not intended to limit any manufacturer's warranty that provides UTA with greater warranty rights than set forth in this Section 2.6. Contractor shall provide UTA with all manufacturers' warranties upon Substantial Completion. Similarly, nothing in this Article is intended to limit any other express warranties set forth in the Contract Documents or to limit any other warranties implied by law, custom or usage of trade.

2.6.2 If Contractor becomes aware of any defect in the Work, or non-conformance with the Contract Documents, Contractor shall give prompt written notice of that defect or non-conformance to UTA.

2.6.3 Except as otherwise stated in the Agreement, Contractor shall correct any Work that does not comply with the warranties provided above for a period of two years following the date of Substantial Completion.

2.6.4 Contractor shall, within seven (7) Days of receipt of written notice from UTA that the Work does not comply with the warranties provided above, take meaningful steps to commence corrective action, including the correction, removal, replacement or re-performance of the nonconforming Work and the repair of any damage to other property caused the warranty failure. If Contractor fails to commence the necessary corrective action within such seven (7) Day period (or thereafter fails to continuously and diligently pursue such corrective action to completion), UTA may (in addition to any other remedies provided under the Contract Documents) provide Contractor with written notice that UTA will self-perform (through its own forces or through other contractors) correction of the warranty failure at Contractor's expense. If UTA performs (or causes to be performed) such corrective action, UTA may collect from Contractor all amounts so incurred. If the nonconforming Work creates an emergency requiring an immediate response, the seven (7) Day period identified above shall be deemed inapplicable.

2.6.5 The two-year period referenced in Section 2.6.3 above only applies to Contractor's obligation to correct nonconforming Work and is not intended to constitute a period of limitations for any other rights or remedies UTA may have regarding Contractor's other obligations under the Contract Documents

### **ARTICLE 3**

#### **Site Conditions**

##### **3.1 Hazardous Materials.**

3.1.1 Unless otherwise expressly provided in the Contract Documents to be part of the Contractor's Work, Contractor is not responsible for any Hazardous Materials encountered at the Site. "Hazardous Materials" means any substance that: (i) is deemed a hazardous waste or substance under any environmental law; or (ii) might endanger the health of people exposed to it.

3.1.2 If Contractor discovers at the Site any substance the Contractor reasonably believes to be a Hazardous Material, Contractor shall immediately stop Work in the area of the discovery and immediately report the discovery to the UTA Project Manager. UTA shall determine how to deal with the Hazardous Material, and Contractor shall resume Work in the area when directed to do so by the UTA Project Manager.

3.1.3 Contractor will be entitled to an adjustment to the Contract Price and/or Contract Time(s) to the extent Contractor's cost and/or time of performance have been adversely impacted by the presence of Hazardous Materials.

3.1.4 The risk allocation and change provisions of Sections 3.1.1 through 3.1.3 do not apply to any Hazardous Materials introduced to the Site by Contractor, its Subcontractors, or anyone for whose acts Contractor is responsible. Those provisions also exclude Hazardous Materials that were properly stored and/or contained at the Site but thereafter released as a result of the Contractor's negligent performance of the Work. To the extent that Hazardous Materials are introduced and/or released at the Site by Contractor as described above in this Section 3.1.4, then:

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(i) to the fullest extent permitted by law, Contractor shall defend and indemnify UTA from and against all claims, losses, damages, liabilities and expenses, including attorneys' fees and expenses, arising out of or resulting from such Hazardous Materials; and (ii) Contractor shall not be entitled to an extension of Contract Price and/or Contract Time(s).

### **3.2 Differing Site Conditions.**

3.2.1 If Contractor encounters a Differing Site Condition, Contractor will be entitled to an adjustment to the Contract Price and/or Contract Time(s) to the extent Contractor's cost and/or time of performance have been adversely impacted by the Differing Site Condition. "Differing Site Condition" means concealed or latent physical conditions at the Site that: (i) materially differ from the conditions indicated in the Contract Documents; and (ii) are of an unusual nature, differing materially from the conditions ordinarily encountered and generally recognized as inherent in the Work.

3.2.2 Upon encountering a Differing Site Condition, Contractor shall provide prompt written notice to UTA of such condition, which notice shall not be later than five (5) Days after such condition has been encountered. Contractor shall, to the extent reasonably possible, provide such notice before the Differing Site Condition has been substantially disturbed or altered.

## **ARTICLE 4**

### **Payment**

#### **4.1 Schedule of Values.**

4.1.1 Unless required by UTA upon execution of this Agreement, within ten (10) Days of execution of the Agreement, Contractor shall submit for UTA's review and approval a Schedule of Values for all of the Work. The Schedule of Values will: (i) subdivide the Work into its respective parts; (ii) include values for all items comprising the Work; and (iii) serve as the basis for monthly progress payments made to Contractor throughout the Work.

4.1.2 UTA will timely review and approve the Schedule of Values so as not to delay the submission of the Contractor's first application for payment. UTA and Contractor shall timely resolve any differences so as not to delay the Contractor's submission of its first application for payment.

#### **4.2 Application for Payment.**

4.2.1 To receive payment, Contractor shall submit to UTA an Application for Payment requesting payment for all Work performed as of the date of the Application for Payment. Contractor shall not submit Applications for Payment more often than once per month. The Application for Payment must be accompanied by supporting documentation sufficient to establish, to UTA's reasonable satisfaction, Contractor's entitlement to receive payment.

4.2.2 The Application for Payment may request payment for equipment and materials not yet incorporated into the Project, provided that: (i) UTA is satisfied that the equipment and materials are suitably stored at either the Site or another acceptable location; (ii) the equipment and materials are protected by suitable insurance; and (iii) upon payment, UTA will receive the

equipment and materials free and clear of all liens and encumbrances.

4.2.3 The Application for Payment will constitute Contractor's representation that the Work described therein has been performed consistent with the Contract Documents, has progressed to the point indicated in the Application for Payment, and that title to all materials and equipment will pass to UTA free and clear of all claims, liens, encumbrances, and security interests upon the incorporation of the materials and equipment into the Project, or upon Contractor's receipt of payment, whichever occurs earlier.

#### 4.3 Sales Tax Exemption

4.3.1 Purchases of certain materials are exempt from Utah sales tax. UTA will provide a sales tax exemption certificate to Contractor upon request. UTA will not pay Contractor for sales taxes for exempt purchases, and such taxes should not be included in Contractor's Application for Payment.

#### 4.4 UTA's Payment Obligations.

4.4.1 UTA shall pay Contractor all amounts properly requested and documented within thirty (30) Days of receipt of an Application for Payment.

4.4.2 Notwithstanding Section 4.4.1, UTA may withhold up to 5% of each payment as retention in accordance with Utah Code Ann. § 13-8-5.

4.4.3 Notwithstanding Section 4.4.1, UTA may offset from such Application for Payment amounts any owed to UTA by Contractor pursuant to the Contract Documents.

4.4.4 If UTA determines that Contractor is not entitled to all or part of an Application for Payment as a result of Contractor's failure to meet its obligations under the Contract Documents, UTA will notify Contractor of the specific amounts UTA has withheld (or intends to withhold), the reasons and contractual basis for the withholding, and the specific actions Contractor must take to qualify for payment under the Contract Documents. If the Contractor disputes UTA's bases for withholding, Contractor may pursue its rights under the Contract Documents, including those under Article 8.

#### 4.5 Contractor's Payment Obligations.

4.5.1 Contractor shall pay Subcontractors, in accordance with its contractual obligations to such parties, all the amounts Contractor has received from UTA on account of their work. Contractor shall indemnify and defend UTA against any claims for payment and mechanic's liens as set forth in Section 5.2 hereof.

4.5.2 If the Contract Documents include Federal Clauses, the terms of those Federal Clauses pertaining to payment of Subcontractors supersede any conflicting terms of this Article 4.

#### 4.6 Substantial Completion.

4.6.1 Contractor shall notify UTA when it believes the entire Work is Substantially Complete. As used in the Contract Documents, "Substantially Complete" or "Substantial Completion" refers to the Contractor's satisfactory completion of all Work in accordance with the

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Contract Documents (excluding Punchlist items) to point such that UTA may safely start-up, occupy or otherwise fully use the Project for its intended purposes in compliance with applicable Legal Requirements. The terms "Substantially Complete" or "Substantial Completion" also require the completion of any items of Work specifically set forth as conditions precedent to Substantial Completion in the Agreement. Within five (5) Days of UTA's receipt of Contractor's notice, UTA and Contractor will jointly inspect such Work to verify that it is Substantially Complete in accordance with the requirements of the Contract Documents. If such Work is Substantially Complete, UTA shall prepare and issue a Certificate of Substantial Completion that will set forth: (i) the date of Substantial Completion of the Work or portion thereof; (ii) the remaining Punchlist items that have to be completed before Final Completion and final payment; and (iii) provisions (to the extent not already provided in the Contract Documents) establishing UTA's and Contractor's responsibility for the Project's security, maintenance, utilities and insurance pending Final Completion and final payment.

4.6.2 Promptly after issuing the Certificate of Substantial Completion, UTA shall release to Contractor all retained amounts, less an amount equal to two times the reasonable value of all remaining Punchlist items noted in the Certificate of Substantial Completion.

4.6.3 Upon Contractor's request or upon UTA's own initiative, UTA may, in its sole discretion, deem a discrete segment of the Project to be Substantially Complete. The provisions of Sections 4.6.1 and 4.6.2 will apply to that discrete segment of the Project. In addition, before UTA may take possession of a discrete segment of the Project, UTA and Contractor shall obtain the consent of their sureties, insurers, and any government authorities having jurisdiction over the Project.

4.6.4 Following Substantial Completion, UTA may restrict Contractor's access to the Site. UTA shall allow Contractor reasonable access to the Site in order for the Contractor to achieve Final Completion.

#### **4.7 Final Payment.**

4.7.1 When Contractor has achieved Final Completion of the Work, Contractor shall submit a Final Application for Payment. As used in the Contract Documents, "Final Completion" refers to the Contractor's satisfactory completion of all Work in accordance with the Contract Documents including completion of Punchlist items, demobilization from the Site and the transmittal of all deliverables required by the Contract Documents. The Final Application for Payment shall include (at a minimum) the items set forth below.

4.7.1.1 An affidavit that there are no claims, obligations or liens outstanding or unsatisfied for labor, services, materials, equipment, taxes or other items performed, furnished or incurred for or in connection with the Work which will in any way affect UTA's interests;

4.7.1.2 A general release executed by Contractor waiving, upon receipt of final payment, all claims, except those claims previously made in writing to UTA and remaining unsettled at the time of final payment;

4.7.1.3 All as-built drawings, redlined drawings, operating manuals, warranty assignments and other deliverables required by the Contract Documents; and

4.7.1.4 Certificates of insurance confirming that required coverages will remain in effect consistent with the requirements of the Contract Documents.

4.7.2 Deficiencies in the Work discovered after Substantial Completion, whether or not such deficiencies would have been included on the Punchlist if discovered earlier, will be deemed warranty Work. Contractor shall correct such deficiencies pursuant to Section 2.6, and UTA may withhold from the final payment the reasonable value of completion of the deficient work until that work is completed.

## **ARTICLE 5**

### **Indemnification and Loss**

5.1 **Patent and Copyright Infringement.** If the Work includes any design services, provisions 5.1.1 through 5.1.3 apply.

5.1.1 Contractor shall defend any action or proceeding brought against UTA based on any claim that the Work, or any part thereof, or the operation or use of the Work or any part thereof, constitutes infringement of any United States patent or copyright, now or hereafter issued. UTA shall give prompt written notice to Contractor of any such action or proceeding and will reasonably provide authority, information and assistance in the defense of same. Contractor shall indemnify UTA from and against all damages and costs, including but not limited to attorneys' fees and expenses awarded against UTA or Contractor in any such action or proceeding. Contractor shall keep UTA informed of all developments in the defense of such actions.

5.1.2 If UTA is enjoined from the operation or use of the Work, or any part thereof, as the result of any patent or copyright suit, claim, or proceeding, Contractor shall at its sole expense take reasonable steps to procure the right to operate or use the Work. If Contractor cannot so procure such right within a reasonable time, Contractor shall promptly, at Contractor's expense, either: (i) modify the Work so as to avoid infringement of any such patent or copyright; or (ii) replace said Work with Work that does not infringe or violate any such patent or copyright.

5.1.3 Sections 5.1.1 and 5.1.2 above shall not be applicable to any suit, claim or proceeding based on infringement or violation of a patent or copyright: (i) relating solely to a particular process or product of a particular manufacturer specified by UTA and not offered or recommended by Contractor to UTA; or (ii) arising from modifications to the Work by UTA or its agents after acceptance of the Work.

5.2 **Payment Claim Indemnification.** Provided that UTA is not in breach of its contractual obligation to make payments to Contractor for the Work, Contractor shall indemnify, defend and hold harmless UTA from any claims or mechanic's liens brought against UTA or against the Project as a result of the failure of Contractor, its Subcontractors, or others for whose acts Contractor is responsible, to pay for any services, materials, labor, equipment, taxes or other items

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or obligations furnished or incurred for or in connection with the Work. Within three (3) Days of receiving written notice from UTA that such a claim or mechanic's lien has been filed, Contractor shall commence to take the steps necessary to discharge said claim or lien, including, if necessary, the furnishing of a mechanic's lien bond. If Contractor fails to do so, UTA will have the right to discharge the claim or lien and hold Contractor liable for costs and expenses incurred, including attorneys' fees.

### **5.3 Contractor's General Indemnification.**

5.3.1 Contractor, to the fullest extent permitted by law, shall indemnify, hold harmless and defend UTA, its officers, trustees, and employees from and against claims, losses, damages, liabilities, including attorneys' fees and expenses, for bodily injury, sickness or death, and property damage or destruction resulting from or arising out of the negligent acts or omissions of Contractor, Subcontractors, anyone employed directly or indirectly by any of them or anyone for whose acts any of them may be liable.

5.3.2 If an employee of Contractor, a Subcontractor, anyone employed directly or indirectly by any of them or anyone for whose acts any of them may be liable has a claim against UTA, its officers, directors, employees, or agents, Contractor's indemnity obligation set forth in Section 5.3.1 above will not be limited by any limitation on the amount of damages, compensation or benefits payable by or for Contractor, Subcontractors, or other entity under any employee benefit acts, including workers' compensation or disability acts.

5.4 **Risk of Loss.** Contractor bears all risk of loss to the Project, including materials and equipment not yet incorporated into the Project, until final payment is made by UTA.

## **ARTICLE 6**

### **Time**

6.1 **Obligation to Achieve the Contract Times.** Contractor shall commence performance of the Work and achieve the Contract Time(s) in accordance with the Contract Documents. The Contract Documents specify critical completion milestones with which Contractor must comply. All time and schedule requirements included within the Contract Documents are of the essence. By executing the Agreement, Contractor confirms that the completion milestones in the Contract Documents are reasonable for the performance of the Work. Unless otherwise excused by the terms of the Contract Documents, Contractor's failure to timely perform the Work in accordance with the completion milestones shall constitute an event of default.

6.2 **Excusable Delays.** The Contract Time(s) for performance shall be equitably adjusted by Change Order to the extent that Contractor is actually and demonstrably delayed in the performance of the Work because of: (i) Differing Site Conditions (as provided in Section 3.2); (ii) Hazardous Materials (as provided in Section 3.1); (iii) Force Majeure Events (as defined in Section 1.3); (iv) changes in the Work directed by UTA (as provided in Section 7.2); (v) constructive changes (as provided in Section 7.3); (vi) changes in Legal Requirements (as provided in Section 2.3.3); (viii) a suspension without cause (as provided in Section 9.1); or (viii) UTA's unexcused delay in performing any UTA obligation specified in the Contract Documents in accordance with the completion milestones indicated in the approved schedule.

6.3 **Excusable and Compensable Delays.** In addition to Contractor's right to a time extension for those events set forth in Section 6.2 above, Contractor will also be entitled to an appropriate adjustment of the Contract Price provided, however, that the Contract Price will not be adjusted for delays caused by Force Majeure Events.

## **ARTICLE 7**

### **Changes**

#### **7.1 Change Orders.**

7.1.1 Contractor shall not undertake any activity that materially changes the Work, or materially deviates from the requirements of the Contract Documents, except as authorized in this Article 7. Any costs incurred by Contractor without authorization as provided in this Article 7 will be considered non-compensable.

7.1.2 A Change Order is a written instrument, signed by UTA and Contractor, issued after execution of the Agreement, stating their agreement on a change in: (i) the scope of the Work; (ii) the Contract Price; and/or (iii) the Contract Time(s).

7.1.3 All changes in the Work authorized by applicable Change Order shall be performed under the applicable conditions of the Contract Documents. UTA and Contractor shall negotiate in good faith and as expeditiously as possible the appropriate adjustments for such changes.

7.2 **UTA-Directed Changes.** UTA may direct changes in the Work. Upon receipt of such direction, Contractor shall prepare an estimate of the cost and schedule impact of the change (if any). Upon agreement between UTA and Contractor on the scope of the change to the Work, and the adjustment, if any, to the Contract Price and/or Contract Times, UTA and Contractor shall execute a written Change Order.

#### **7.3 Constructive Changes.**

7.3.1 To the extent that Contractor: (i) receives a written or verbal direction or proceeding from UTA that Contractor believes to constitute a material change to the nature, character or schedule of the Work; and/or (ii) becomes aware of any circumstance or condition that expressly provides Contractor a right to a Change Order under the terms of the Contract Documents, then (in either case) Contractor shall deliver to UTA's Project Manager written notice (hereinafter a "Potential Change Notice") within ten (10) Days after Contractor becomes aware of (or should have reasonably become aware) the facts and circumstances which Contractor believes to give rise to a Change Order.

7.3.2 Contractor's failure to deliver a Potential Change Notice in a timely manner shall constitute a waiver of all of Contractor's rights to a Change Order.

7.3.3 In conjunction with the Potential Change Notice (or as soon as reasonably possible thereafter), Contractor shall submit to UTA all supporting information and documentation necessary for UTA to evaluate the contractual basis for the Potential Change Notice and to also

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evaluate the relief claimed by Contractor. Contractor shall promptly respond to all UTA inquiries about the Potential Change Notice and the supporting information and documentation.

7.3.4 To the extent UTA concludes that the Potential Change Notice demonstrates Contractor's entitlement to a Contract adjustment, and provided that the parties are able to negotiate mutually agreeable adjustments to the Contract Documents, then UTA and Contractor shall execute a written Change Order.

#### **7.4 Direction or Authorization to Proceed.**

7.4.1 Prior to final agreement with respect to a Change Order, UTA may issue a Direction or Authorization to Proceed ("DAP"). A DAP is a written order unilaterally prepared and signed by UTA directing the Contractor to proceed with specified Work while Change Order negotiations or Claim resolution discussions continue. UTA may issue a DAP at any time, and Contractor shall undertake the Work as set forth in the DAP, and in accordance with the Contract Documents.

7.4.2 After issuance of a DAP, UTA and Contractor shall continue to negotiate in good faith to resolve outstanding issues expeditiously.

**7.5 Requests for Information.** UTA shall have the right, from time to time, to issue clarifications to the Work of a non-material nature at any time. Contractor shall have the corresponding right to seek clarification with respect to ambiguous or conflicting provisions of the Contract Documents. Such clarifications or conflicts shall be confirmed, implemented and documented through a Request for Information ("RFI") process to be developed for the Project. The RFI process may also be used to document minor changes in the Work do not involve an adjustment in the Contract Price and/or Contract Time(s) and do not materially and adversely affect the Work, including the design, quality, performance and workmanship required by the Contract Documents.

#### **7.6 Contract Price Adjustments.**

7.6.1 The increase or decrease in Contract Price resulting from a change in the Work will be determined by one or more of the following methods:

7.6.1.1 Unit prices set forth in the Agreement or as subsequently agreed to between the parties;

7.6.1.2 A mutually accepted lump sum, properly itemized and supported by sufficient substantiating data to permit evaluation by UTA;

7.6.1.3 Costs, fees and any other markup rates set forth in the Agreement;

or

7.6.1.4 If an increase or decrease cannot be agreed to as set forth in items 7.6.1.1 through 7.6.1.3 above and UTA issues a DAP, the cost of the change of the Work shall be determined by the reasonable expense and savings in the performance of the Work resulting from the change, including a reasonable overhead and profit rate, as may be set forth in the Agreement.

7.6.2 If unit prices are set forth in the Contract Documents or are subsequently agreed to by the parties, but application of such unit prices will cause substantial inequity to UTA or

Contractor because of differences in the character or quantity of such unit items as originally contemplated, such unit prices shall be equitably adjusted.

7.6.3 Negotiations over changes in the Contract Price will be conducted using an open-book cost-estimating process. UTA defines "open-book" to include all elements of Contractor's costs, including labor hours and rates, units and estimated quantities, unit prices, equipment estimates, material costs, and subcontractor costs. Contractor shall openly share its detailed cost estimate, material and subcontractor quotations and any other information used to compile its cost estimate.

7.7 **Disputes Regarding Change Orders.** If the parties are not able to agree as to whether a Change Order is warranted under the Contract Documents, or cannot agree upon the extent of relief to be granted under a Change Order after good faith negotiations, either party may refer the dispute to the Claim resolution provisions of Article 8. Pending resolution of such Claim, Contractor shall proceed with the Work as directed by UTA under a reservation of rights. UTA shall continue to pay any undisputed payments related to such Claim.

7.8 **Emergencies.** In any emergency affecting the safety of persons and/or property, Contractor shall act, at its discretion, to prevent threatened damage, injury or loss. Any change in the Contract Price and/or Contract Time(s) on account of emergency work shall be determined as provided in this Article 7.

## **ARTICLE 8**

### **Claims and Claim Resolution**

#### **8.1 Claims.**

8.1.1 "Claim" means any disputes between UTA and the Contractor arising out of or relating to the Contract Documents including any disputed claims for Contract adjustments that cannot be resolved in accordance with the Change Order negotiation process set forth in Article 8. Claims must be made by written notice. The responsibility to substantiate claims rests with the party making the claim.

8.1.2 Unless otherwise directed by UTA in writing, Contractor shall proceed diligently with performance of the Work pending final resolution of a Claim, including litigation. UTA shall continue to pay any undisputed payments related to such Claim.

#### **8.2 Claim Resolution.**

8.2.1 The parties shall attempt in good faith to resolve promptly through negotiation any Claim arising out of or relating to the Contract Documents. If a Claim should arise, UTA's Project Manager and Contractor's Project Manager will meet at least once to attempt to resolve the Claim. For such purpose, either may request the other to meet within seven (7) Days of the date the Claim is made, at a mutually agreed upon time and place.

8.2.2 If UTA's Project Manager and Contractor's Project Manager are not able to resolve the Claim within fourteen (14) Days after their first meeting (or such longer period of time as may be mutually agreed upon), either party may request that UTA's Senior Representative and the

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Contractor's management representative ("Contractor's Management Representative") meet at least once to attempt to resolve the Claim.

8.2.3 If the Claim has not been resolved within sixty (60) Days of the date the Claim is made, either party may refer the Claim to non-binding mediation by sending a written mediation request to the other party. In the event that such a request is made, the Parties agree to participate in the mediation process. Non-binding mediation of claims or controversies under the Contract Documents shall be conducted by a professional mediator that is mutually acceptable to and agreed upon by both parties (the "Mediator"). The parties and the Mediator may join in the mediation any other party necessary for a mutually acceptable resolution of the Claim. The mediation procedure shall be determined by the Mediator in consultation with the parties. The fees and expenses of the Mediator shall be borne equally by the parties.

8.2.4 If the Claim is not resolved within thirty (30) days after the commencement of mediation, or if no mediation has been commenced within one hundred and twenty (120) days of the date the Claim is made, either party may commence litigation to resolve the Claim. The exclusive forum for any such litigation is the Third District Court in and for Salt Lake County, Utah.

## ARTICLE 9

### **Suspension and Termination**

#### **9.1 UTA's Right to Stop Work.**

9.1.1 UTA may, without cause and for its convenience, order Contractor in writing to stop and suspend the Work. Such suspension shall not exceed one hundred and twenty (120) consecutive Days or aggregate more than two hundred and forty (240) Days during the duration of the Project. In the event a suspension continues longer than the above-referenced periods, Contractor shall have the right to terminate the Agreement. Any such termination shall be considered to be a termination for convenience by UTA.

9.1.2 If a suspension is directed by UTA without cause, Contractor shall be entitled to seek an adjustment of the Contract Price and/or Contract Time(s) if its cost or time to perform the Work has been adversely impacted by any suspension or stoppage of the Work by UTA.

9.1.3 In addition to its rights under Section 9.3, UTA shall have the right to order a suspension for cause if the Work at any time ceases to comply with the workmanship, safety, quality or other requirements of the Contract Documents or any Legal Requirements. Contractor shall not be entitled to seek an adjustment the Contract Price and/or Contract Time(s) with regard to any such suspension.

**9.2 UTA's Right to Terminate for Convenience.** Upon written notice to Contractor, UTA may, for its convenience and without cause, elect to terminate this Agreement. In such event, UTA shall pay Contractor for the following:

9.2.1 All Work satisfactorily completed or commenced and in process as of the effective date of termination;

9.2.2 The reasonable and demonstrable costs and expenses attributable to such termination, including demobilization costs and amounts due in settlement of terminated contracts with Subcontractors; and

9.2.3 The fair and reasonable sums for overhead and profit on the sum of items 9.2.1.1 and 9.2.1.2 above. UTA shall not be liable for anticipated profits, costs or overhead based upon Work not yet performed as of the date of termination.

**9.3 UTA's Right to Terminate for Cause; Other Remedies for Default.**

9.3.1 Subject to the cure provision of Section 9.3.2 below, Contractor shall be in default of its obligations under the Contract Documents if Contractor: (i) fails to provide a sufficient number of skilled workers; (ii) fails to supply the materials required by the Contract Documents; (iii) fails to comply with applicable Legal Requirements; (iv) fails to timely pay its Subcontractors without proper cause; (v) makes a materially false or misleading representation or certification in conjunction with the Contract Documents; (vi) fails to prosecute the Work with promptness and diligence to ensure that the Work is completed by the Contract Time(s), as such times may be adjusted; (vii) fails to satisfy any guaranteed interim or completion milestone set forth in the Contract Documents; or (viii) fails to perform any other material obligations under the Contract Documents. In any such event, UTA (in addition to any other rights and remedies provided in the Contract Documents or by law) shall have the rights set forth in Sections 9.3.2 through 9.3.5 below.

9.3.2 Upon the occurrence of an event of default set forth in Section 9.3.1 above, UTA may provide written notice to Contractor that it intends to terminate the Agreement (in whole or in part) or pursue other available remedies unless the grounds for default are cured within ten (10) Days of Contractor's receipt of such notice. If Contractor fails to cure the grounds for default within such period, then UTA may declare the Agreement, or portions of the Agreement, terminated for default by providing written notice to Contractor of such declaration; provided, however, that to the extent that an item included is the notice of default and demand for cure is capable of cure, but not within the ten-Day cure period, then the Agreement shall not be terminated so long as Contractor commences actions to reasonably cure such breach within the 10-Day cure period and thereafter continuously and diligently proceeds with such curative actions until completion (such additional period not to exceed 45 Days). UTA may terminate the Agreement without opportunity to cure if the breach involves the Contractor's material failure to comply with any Legal Requirements pertaining to safety or environmental compliance.

9.3.3 Upon the continuance of a breach described in Section 9.3.1 for more than ten (10) Days following delivery of written notice to Contractor (and regardless of whether the Agreement, or any portion hereof, has been terminated as provided above), UTA shall be entitled to self-perform (through its own forces or through other contractors) the corrective action necessary to cure Contractor's event of default and deduct all costs so incurred from any amount then or thereafter due to Contractor.

9.3.4 Upon the continuance of a breach described in Section 9.3.1 for more than ten (10) Days following delivery of written notice to Contractor (and regardless of whether the Agreement, or any portion hereof, has been terminated as provided above), UTA shall be entitled to seek performance by any guarantor of Contractor's obligations hereunder or draw upon any surety or security provided for in the Contract Documents.

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9.3.5 Upon declaring the Agreement terminated pursuant to Section 9.3.2 above, UTA may enter upon the premises and take possession, for the purpose of completing the Work, of all materials, equipment, scaffolds, tools, appliances and other items thereon, which have been purchased or provided for the performance of the Work, all of which Contractor hereby transfers, assigns and sets over to UTA for such purpose, and to employ any person or persons to complete the Work and provide all of the required labor, services, materials, equipment and other items. In the event of such termination, Contractor shall not be entitled to receive any further payments under the Contract Documents until the Work shall be finally completed in accordance with the Contract Documents. At such time, if the unpaid balance of the Contract Price exceeds the cost and expense incurred by UTA in completing the Work, such excess shall be paid by UTA to Contractor. If UTA's cost and expense of completing the Work exceeds the unpaid balance of the Contract Price, then Contractor shall pay the difference to UTA. Such costs and expenses include not only the cost of completing the Work, but also losses, damages, costs and expenses, including attorneys' fees and expenses, incurred by UTA in connection with the procurement and defense of claims arising from Contractor's default.

9.3.6 All rights and remedies set forth in the Contract Documents are cumulative, and unless otherwise specifically provided in the Contract Documents are not exclusive of any other rights or remedies that may be available, whether provided by law, equity, statute, in any other agreement between the Parties or otherwise. Upon the occurrence of any such default, following the applicable process described in this Article, UTA shall be entitled to pursue any and all other rights and remedies, including without limitation damages, that UTA may have against Contractor under the Contract Documents or at law or in equity.

9.3.7 If UTA improperly terminates the Agreement for cause, the termination for cause will be converted to a termination for convenience in accordance with the provisions of Section 9.2 above.

#### **9.4 Bankruptcy of Contractor.**

9.4.1 If Contractor institutes or has instituted against it a case under the United States Bankruptcy Code, such event may impair or frustrate the Contractor's ability to perform its obligations under the Contract Documents. Accordingly, should such event occur:

9.4.1.1 Contractor, its trustee or other successor, shall furnish, upon request of UTA, adequate assurance of the ability of the Contractor to perform all future material obligations under the Contract Documents, which assurances shall be provided within ten (10) Days after receiving notice of the request; and

9.4.1.2 Contractor shall file an appropriate action within the bankruptcy court to seek assumption or rejection of the Agreement within sixty (60) Days of the institution of the bankruptcy filing and shall diligently prosecute such action. If Contractor fails to comply with its foregoing obligations, UTA shall be entitled to request the bankruptcy court to reject the Agreement, declare the Agreement terminated and pursue any other recourse available to the UTA under this Article 9.

9.4.2 The rights and remedies under Section 9.4.1 above shall not be deemed to limit the ability of UTA to seek any other rights and remedies provided by the Contract Documents or by

law, including its ability to seek relief from any automatic stays under the United States Bankruptcy Code.

## **ARTICLE 10**

### **Value Engineering**

#### **10.1 VALUE ENGINEERING CHANGE PROPOSALS.**

10.1.1 A Value Engineering Change Proposal ("VECP") is a proposal developed, prepared, and submitted to UTA by the Contractor, which reduces the cost of the Work without impairing essential functions or characteristics of the Project, as determined by UTA in its sole discretion. UTA encourages Contractor to submit VECPs whenever it identifies potential savings or improvements. UTA may also request the Contractor to develop and submit a specific VECP.

10.1.2 In determining whether a VECP will impair essential functions or characteristics of the Project, UTA may consider: (i) relative service life; (ii) maintenance effort and frequency; (iii) environmental and aesthetic impacts; (iv) system service; (v) effect of other system components; and (vi) other issues as UTA deems relevant. A VECP must not be based solely on a change in quantities.

10.1.3 Contractor must include the following information in any VECP:

10.1.3.1 A narrative description of the proposed change,

10.1.3.2 A discussion of differences between existing requirements and the proposed change, together with advantages and disadvantages of each changed item;

10.1.3.3 A complete cost analysis, including the cost estimate of any additional rights-of-way or easements required for implementation of the VECP;

10.1.3.4 Justification for changes in function or characteristics of each item and effect of the change on the performance on the end item;

10.1.3.5 A description of any previous use or testing of the proposed approach and the conditions and results. If the VECP was previously submitted on another UTA project, the Contractor shall indicate the date, contract number, and the action taken by UTA;

10.1.3.6 Costs of development and implementation; and

10.1.3.7 Any additional information requested by UTA, which must be provided in a timely manner.

#### **10.2 Review and Approval of VECPs**

10.2.1 Upon receipt of a VECP, UTA shall process it expeditiously, but will not be liable for any delay in acting upon any VECP. Contractor may withdraw all or part of any VECP at any time prior to approval by UTA, but shall, in any case, be liable for costs incurred by UTA in reviewing the withdrawn VECP, or part thereof. In all other situations, each party will bear its own costs in connection with preparation and review of VECPs.

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10.2.2 UTA may approve in whole or in part any VECP submitted. The decision of UTA regarding rejection or approval of any VECP will be at the sole discretion of UTA and will be final and not subject to appeal. Contractor will have no claim for any additional costs or delays resulting from the rejection of a VECP, including development costs, loss of anticipated profits, or increased material or labor costs

10.3 **Cost Savings.** Except as otherwise stated in the Agreement, any savings resulting from an approved VECP will accrue to the benefit of UTA and Contractor on a 50/50 cost sharing basis.

10.4 **Ownership of VECPs.** All approved or disapproved VECPs will become the property of UTA and must contain no restrictions imposed by Contractor on their use or disclosure. UTA retains the right to use, duplicate, and disclose, in whole or in part, any data necessary for the utilization of the VECP on any other projects without any obligation to Contractor. This provision is not intended to deny rights provided by law with respect to patented materials or processes.

## **ARTICLE 11**

### **Health Insurance**

#### **11.1 Insurance Coverage for Employees.**

11.1.1 Contractor shall, prior to the effective date of the Agreement, certify to UTA that Contractor has and will maintain an offer of qualified health insurance coverage (as defined by Utah Code Ann. § 17B-2a-818.5) for the Contractor's employees and the employee's dependents during the duration of the Contract.

11.2.1 If the Contractor enters into any subcontracts under the Contract Documents in an amount of \$1,000,000 or more, then Contractor shall also certify to UTA (at the time the applicable Task Order is entered) that such subcontractor(s) have and will maintain an offer of qualified health insurance coverage for the subcontractor's employees and the employee's dependents during the duration of the subcontract

## **ARTICLE 12**

### **Miscellaneous**

12.1 **Confidential Information.** "Confidential Information" means information that is determined by the transmitting party to be of a confidential or proprietary nature and: (i) the transmitting party identifies in writing as either confidential or proprietary; (ii) the transmitting party takes steps to maintain the confidential or proprietary nature of the information; and (iii) the document is not otherwise available in or considered to be in the public domain. To the extent permitted by law (including specifically UCA Title 63G Chapter 2), the receiving party shall maintain the confidentiality of the Confidential Information and shall use the Confidential Information solely in connection with the Project. The parties agree that the Agreement itself (including all incorporated Contract Documents) does not constitute Confidential Information.

12.2 **Prohibited Interest.** No member, officer, agent, or employee of UTA during his or her tenure or for one year thereafter shall have any interest, direct or indirect, including prospective employment by, Contractor or the proceeds under the Contract Documents without specific written

authorization by UTA.

**12.3 Assignment.** Contractor acknowledges that the Work to be performed by Contractor is considered personal by UTA. Contractor shall not assign or transfer its interest in the Contract Documents without prior written approval by UTA.

**12.4 Successorship.** Contractor and UTA intend that the provisions of the Contract Documents are binding upon the parties, their employees, agents, heirs, successors and permitted assigns.

**12.5 Governing Law.** The Agreement and all Contract Documents are governed by the laws of the State of Utah, without giving effect to its conflict of law principles. Actions to enforce the terms of this Agreement may only be brought in the Third District Court for Salt Lake County, Utah.

**12.6 Severability.** If any provision or any part of a provision of the Contract Documents is finally determined to be superseded, invalid, illegal, or otherwise unenforceable pursuant to any applicable Legal Requirements, such determination shall not impair or otherwise affect the validity, legality, or enforceability of the remaining provision or parts of the provision of the Contract Documents, which shall remain in full force and effect as if the unenforceable provision or part were deleted.

**12.7 No Waiver.** The failure of either Contractor or UTA to insist, in any one or more instances, on the performance of any of the obligations required by the other under the Contract Documents shall not be construed as a waiver or relinquishment of such obligation or right with respect to future performance.

**12.8 Headings.** The headings used in these General Conditions, or any other Contract Document, are for ease of reference only and shall not in any way be construed to limit or alter the meaning of any provision.

**12.9 Amendments.** The Contract Documents may not be changed, altered, or amended in any way except in writing signed by a duly authorized representative of each party.

## EXHIBIT C – CONTRACTOR’S PRICING SHEET

### A. Pre-Construction and Construction Management Fees:

	Contract Year One	Contract Year Two	Contract Year Three	Contract Year Four	Contract Year Five
Project Manager	\$103.00	\$107.00	\$112.00	\$116.00	\$120.00
Construction Manager	\$116.00	\$121.00	\$126.00	\$131.00	\$136.00

Payment will be based on actual hours expended (except that no more than 8 hours per day will be charged regardless of the hours worked on that day, nor more than 40 hours per week will be charged, regardless of the hours worked that week), plus appropriate and authorized direct expenses. UTA anticipates needing the PM and CM on a full-time basis, but that is not guaranteed.

### B. Unit Pricing for Typical Tasks:

	Unit
<p><b><u>Item 1: Ballasted Grade Crossing Replacement</u></b></p> <p>Includes complete removal and replacement of grade crossing panels, ties, clips and ballast. Also includes subgrade rework &amp; compaction, track alignment, track tamping and regulating, concrete and/or asphalt paving between tracks if applicable and within 5 feet of roadway tie-in. (See drawing included as an Exhibit to the RFP)</p>	\$ 308.00/LF
<p><b><u>Item 2: Tubbed Grade Crossing Replacement</u></b></p> <p>Includes complete removal and replacement of crossing tubs and infill panels, boot, rat slab, end restraints (if applicable), subgrade rework and compaction. Also includes track cutting and rewelding and alignment, asphalt and/or concrete paving between tracks if applicable and within 5 feet of roadway tie-in. (See drawing included as an Exhibit to the RFP)</p>	\$ 410.00/LF
<p><b><u>Item 3: Embedded (Cast in place) Grade Crossing Replacement</u></b></p> <p>Includes complete removal and replacement of embedded concrete, boot, ties, clips, subgrade rework and compaction. Also includes rail cutting and re-welding (if needed), track re-alignment, concrete and/or asphalt paving between tracks if applicable and within 5 feet of roadway tie-in (See drawing included as an Exhibit to the RFP)</p>	\$ 425.00/LF
<p><b><u>Item 4: Platform Deck and Tactile Replacement without Snowmelt</u></b></p> <p>Remove and replace concrete within 5' from edge of platform. Placing new tactile on edge of platform. Rebar to be tied into existing platform stem wall and placed on 12' centers. Match existing saw cut lines and seal all saw cuts and joints.</p>	\$ 197.00/LF
<p><b><u>Item 5: Platform Deck and Tactile Replacement with Snowmelt</u></b></p>	

Remove and replace concrete within 5' from edge of platform. Placing new tactile on edge of platform. Rebar to be embedded (8" min embedment) into existing platform stem wall and placed on 18" centers. Assume #4 rebar and HIT RE 500 Epoxy. Match existing saw cut lines and seal all saw cuts and joints. Install snow melt cables between 2 and 3 inches beneath finished concrete and tie into existing snowmelt system. (See drawing included as an Exhibit to the RFP)	N/A
<b>Item 6: Pedestrian Tactile Replacement In Concrete Sidewalk</b> Remove and replace ADA tactile in concrete sidewalk or ramp with up to 20SF of 4" sidewalk and curb and gutter tie-in on each side of tactile.	\$ 23.00/SF
<b>Item 7: Track Tamping Excluding Tamping Equipment</b> Supply of tamping operator and ballast rock to lift, tamp, realign, fix super elevation, and regulate track. UTA to supply tamper. Contractor to supply all other equipment and material.	\$ 5.00/LF
<b>Item 8: Ballast Renewal/Replacement</b> Remove and replace/renew ballast rock. Assume 1' of new rock placed and 1' of old rock removed.	\$ 50.00/LF
<b>Item 9: Grade Crossing Asphalt Replacement</b> Mill and replace up to 5" of Asphalt pavement.	\$ 203.00/Ton
<b>Item 10: Concrete Sidewalk Replacement</b> Remove and Replace concrete sidewalk 4" thick.	\$ 10.00/SF
<b>Item 11: Concrete Curb and Gutter Replacement</b> Remove and replace concrete curb and gutter. UDOT standard Type B1	\$ 31.00/LF

**C. Fixed Construction Fee: 5.25%**

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EXHIBIT D – Required Federal Clauses

**FEDERAL CLAUSES**

**NO GOVERNMENT OBLIGATION TO THIRD PARTIES**

The Authority and the Contractor acknowledge and agree that, notwithstanding any concurrence by the federal government in or approval of the solicitation or award of the underlying contract, absent the express written consent by the federal government, the federal government is not a party to this Contract and shall not be subject to any obligations or liabilities to the Authority, the Contractor or any other party (whether or not a party to the Contract) pertaining to any matter resulting from the Contract. The Contractor agrees to include the above clause in each subcontract or purchase order financed in whole or in part with federal assistance provided by FTA. It is further agreed that the clause shall not be modified, except to identify the Subcontractor or Supplier who will be subject to its provisions.

**PROGRAM FRAUD AND FALSE OR FRAUDULENT STATEMENTS**

The Contractor acknowledges that the provisions of the Program Fraud Civil Remedies Act of 1986, as amended, 31 USC §3801, et seq. and United States Department of Transportation regulations, "Program Fraud Civil Remedies," 49 CFR Part 31, apply to its actions pertaining to the Contract. Upon execution of the underlying Contract, the Contractor certifies or affirms the truthfulness and accuracy of any statement it has made, it makes, it may make, or causes to be made, pertaining to the underlying Contract or the FTA assisted project for which the Work is being performed. In addition to other penalties that may be applicable, the Contractor further acknowledges that if it makes, or causes to be made, a false, fictitious or fraudulent claim, statement, submission, or certification, the federal government reserves the right to impose the penalties of the Program Fraud Civil Remedies Act of 1986 on the Contractor to the extent the federal government deems appropriate. The Contractor also acknowledges that if it makes, or causes to be made, a false, fictitious, or fraudulent claim, statement, submission or certification to the federal government under a contract connected with a project that is financed in whole or in part with federal assistance originally awarded by FTA under the authority of 49 USC §5307, the federal government reserves the right to impose the penalties of 18 USC §1001 and 49 USC §5307(n)(1) on the Contractor, to the extent the federal government deems appropriate. The Contractor agrees to include the above two clauses in each subcontract or purchase order financed in whole or in part with federal assistance provided by FTA. It is further agreed that the clauses shall not be modified, except to identify the Subcontractor or Supplier who will be subject to the provisions.

**ACCESS TO RECORDS AND REPORTS**

The Contractor agrees to provide the Authority, the FTA Administrator, the Comptroller General of the United States or any of their authorized representatives access to any books, documents, papers and records of the Contractor which are directly pertinent to this Contract for the purposes of making audits, examinations, excerpts and transcriptions. The Contractor also agrees, pursuant to 49 CFR 633.17 to provide the FTA Administrator or his authorized representatives including any project management oversight auditor access to the Contractor's records and construction sites pertaining to a major capital project (defined at 49 USC §5302(a)(1)), which is receiving federal financial assistance through the programs described at 49 USC §§5307, 5309 or 5311. The Contractor further agrees to include in all of its subcontracts and purchase orders under the Contract a provision to the effect that the Subcontractor or Supplier agrees that the Authority, the United States Department of Transportation and the Comptroller General of the United States, the project management oversight auditor, or any of their duly authorized representatives shall, until the expiration of three (3) years after final payment under the subcontract, have access to and the right to examine any directly pertinent books, documents, papers, and other records of the Subcontractor or Supplier.

**FEDERAL CHANGES**

The Contractor shall at all times comply with all applicable FTA regulations, policies, procedures and directives, including without limitation those listed directly or by reference in the Master Agreement between the Authority and the FTA, as they may be amended or promulgated from time to time during the term of the Contract. The Contractor's failure to so comply shall constitute a material breach of the Contract.

**CIVIL RIGHTS REQUIREMENTS**

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

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

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

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

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

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

#### **DISADVANTAGED BUSINESS ENTERPRISES (DBE)**

a. This contract is subject to the requirements of Title 49, Code of Federal Regulations, Part 26, *Participation by Disadvantaged Business Enterprises in Department of Transportation Financial Assistance Programs*. The national goal for participation of Disadvantaged Business Enterprises (DBE) is 10%. The agency's overall goal for DBE participation is 6.25%. A separate contract goal of 6.2% DBE participation has been established for this procurement.

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

c. Bidders/offers are required to document sufficient DBE participation to meet these goals or, alternatively, document adequate good faith efforts to do so, as provided for in 49 CFR 26.53. Award of this contract is

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conditioned on submission of the following concurrent with and accompanying any Task Order:

1. The names and addresses of DBE firms that will participate in this contract;
2. A description of the work each DBE will perform;
3. The dollar amount of the participation of each DBE firm participating;
4. Written documentation of the bidder/offeror's commitment to use a DBE subcontractor whose participation it submits to meet the contract goal;
5. Written confirmation from the DBE that it is participating in the contract as provided in the prime contractor's commitment; and
6. If the contract goal is not met, evidence of good faith efforts to do so.

Offerors must present the information required above as a matter of responsiveness (see 49 CFR 26.53(3)).

d. **Prompt Payment and Return of Retainage.** The contractor is required to pay its subcontractors performing work related to this contract for satisfactory performance of that work no later than 30 days after the contractor's receipt of payment for that work from the Utah Transit Authority. In addition, is required to return any retainage payments to those subcontractors within 30 days after the subcontractor's work related to this contract is satisfactorily completed.

e. The contractor must promptly notify Utah Transit Authority, whenever a DBE subcontractor performing work related to this contract is terminated or fails to complete its work, and must make good faith efforts to engage another DBE subcontractor to perform at least the same amount of work. The contractor may not terminate any DBE subcontractor and perform that work through its own forces or those of an affiliate without prior written consent of Utah Transit Authority.

#### INCORPORATION OF FTA TERMS

All contractual provisions required by the United States Department of Transportation, as set forth in the most recent edition and revisions of FTA Circular 4220.1F, "Third Party Contracting Guidance," are incorporated by reference into the Contract Documents. All FTA mandated terms shall take precedence over other conflicting terms, if any in the Contract Documents. The Contractor shall not perform any act, fail to perform any act, or refuse to comply with any Authority requests that would cause the Authority to be in violation of any FTA terms and conditions.

#### TERMINATION

*(For contracts over \$10,000.00)*

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

b. **Termination for Default [Breach or Cause] (General Provision)** If the Contractor does not deliver supplies in accordance with the contract delivery schedule, or, if the contract is for services, the Contractor fails to perform in the manner called for in the contract, or if the Contractor fails to comply with any other provisions of the contract, the (Recipient) may terminate this contract for default. Termination shall be effected by serving a notice of termination on the contractor setting forth the manner in which the Contractor is in default. The contractor will only be paid the contract price for supplies delivered and accepted, or services performed in accordance with the manner of performance set forth in the contract. If it is later determined by the (Recipient) that the Contractor had an excusable reason for not performing, such as a strike, fire, or flood, events which are not the fault of or are beyond the control of the Contractor, the (Recipient), after setting up a new delivery of performance schedule, may allow the Contractor to continue work, or treat the termination as a termination for convenience.

**c. Opportunity to Cure (General Provision)** The (Recipient) in its sole discretion may, in the case of a termination for breach or default, allow the Contractor [an appropriately short period of time] in which to cure the defect. In such case, the notice of termination will state the time period in which cure is permitted and other appropriate conditions

If Contractor fails to remedy to (Recipient)'s satisfaction the breach or default of any of the terms, covenants, or conditions of this Contract within [ten (10) days] after receipt by Contractor of written notice from (Recipient) setting forth the nature of said breach or default, (Recipient) shall have the right to terminate the Contract without any further obligation to Contractor. Any such termination for default shall not in any way operate to preclude (Recipient) from also pursuing all available remedies against Contractor and its sureties for said breach or default.

**d. Waiver of Remedies for any Breach** In the event that (Recipient) elects to waive its remedies for any breach by Contractor of any covenant, term or condition of this Contract, such waiver by (Recipient) shall not limit (Recipient)'s remedies for any succeeding breach of that or of any other term, covenant, or condition of this Contract.

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

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

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

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

#### **GOVERNMENT-WIDE DEBARMENT AND SUSPENSION**

The Contract is a covered transaction for purposes of 49 CFR Part 29. As such, the Contractor is required to verify that none of the Contractor, its principals (as defined at 49 CFR 29.995) or affiliates (as defined at 49 CFR 29.905) are excluded or disqualified as defined at 49 CFR 29.940 and 29.945. The Contractor is required to comply with 49 CFR 29, Subpart C and must include the requirement to comply with 49 CFR 29, Subpart C in any subcontract or purchase order that it enters into. (A certification is to be submitted with each bid or offer of \$25,000 or more.)

#### **BUY AMERICA REQUIREMENTS**

The Contractor agrees to comply with 49 USC §5323(j) and 49 CFR Part 661, which provide that federal funds may not be obligated unless steel, iron and manufactured products used in FTA-funded projects are produced in the United States, unless a waiver has been granted by FTA or the product is subject to a general waiver. General waivers are listed in 49 CFR 661.7, and include final assembly in the United States for 15 passenger vans and 15 passenger wagons produced by Chrysler Corporation, microcomputer equipment, software, and small purchases (currently less than \$100,000) made with capital, operating, or planning funds. Separate requirements for rolling stock are set out at 49 USC §5323(j)(2)(C) and 49 CFR 661.11. Rolling stock not subject to a general waiver must be manufactured in the United States and have a 60 percent domestic content. The Contractor agrees to include these requirements in each subcontract or purchase order financed in whole or in part with federal assistance provided by the Authority.

#### **BREACHES AND DISPUTE RESOLUTION**

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

**Performance During Dispute** – Unless otherwise directed by The Authority, Contractor shall continue performance under this Contract while matters in dispute are being resolved.

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

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

**Rights and Remedies** – The duties and obligations imposed by the Contract Documents and the rights and remedies available thereunder shall be in addition to and not a limitation of any duties, obligations, rights and remedies otherwise imposed or available by laws. No action or failure to act by The Authority or Authority's authorized representative or Contractor shall constitute a waiver of any right or duty afforded any of them under the Contract, nor shall any such action or failure to act constitute an approval of or acquiescence in any breach thereunder, except as may be specifically agreed in writing.

#### **LOBBYING**

Modifications have been made to the Clause pursuant to Section 10 of the Lobbying Disclosure Act of 1995, P.L. 104-65 [to be codified at 2 U.S.C. § 1601, *et seq.* ]

- Lobbying Certification and Disclosure of Lobbying Activities for third party contractors are mandated by 31 U.S.C. 1352(b)(5), as amended by Section 10 of the Lobbying Disclosure Act of 1995, and DOT implementing regulation, "New Restrictions on Lobbying," at 49 CFR § 20.110(d)

- Language in Lobbying Certification is mandated by 49 CFR Part 19, Appendix A, Section 7, which provides that contractors file the certification required by 49 CFR Part 20, Appendix A.

Modifications have been made to the Lobbying Certification pursuant to Section 10 of the Lobbying Disclosure Act of 1995.- Use of "Disclosure of Lobbying Activities," Standard Form-LLL set forth in Appendix B of 49 CFR Part 20, as amended by "Government wide Guidance For New Restrictions on Lobbying," 61 Fed. Reg. 1413 (1/19/96) is mandated by 49 CFR Part 20, Appendix A.

**Byrd Anti-Lobbying Amendment, 31 U.S.C. 1352, as amended by the Lobbying Disclosure Act of 1995, P.L. 104-65 [to be codified at 2 U.S.C. § 1601, et seq.]** - Contractors who apply or bid for an award of \$100,000 or more shall file the certification required by 49 CFR part 20, "New Restrictions on Lobbying." Each tier certifies to the tier above that it will not and has not used Federal appropriated funds to pay any person or organization for influencing or attempting to influence an officer or employee of any agency, a member of Congress, officer or employee of Congress, or an employee of a member of Congress in connection with obtaining any Federal contract, grant or any other award covered by 31 U.S.C. 1352. Each tier shall also disclose the name of any registrant under the Lobbying Disclosure Act of 1995 who has made lobbying contacts on its behalf with non-Federal funds with respect to that Federal contract, grant or award covered by 31 U.S.C. 1352. Such disclosures are forwarded from tier to tier up to the recipient.

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

##### Certification for Contracts, Grants, Loans, and Cooperative Agreements

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

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

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

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

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

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

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

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

\_\_\_\_\_  
Signature of Contractor's Authorized Official

\_\_\_\_\_  
Name and Title of Contractor's Authorized Official

\_\_\_\_\_  
Date

**CLEAN AIR REQUIREMENTS**

The Contractor agrees to comply with all applicable standards, orders or regulations issued pursuant to the Clean Air Act, as amended, 42 USC §§ 7401, et seq. The Contractor agrees to report each violation to the Authority and understands and agrees that the Authority will, in turn, report each violation as required to assure notification to the FTA and the appropriate EPA Regional Office. The Contractor also agrees to include these requirements in each subcontract exceeding \$100,000 financed in whole or in part with federal assistance provided by FTA.

**CLEAN WATER REQUIREMENTS**

The Contractor agrees to comply with all applicable standards, orders or regulations issued pursuant to the Federal Water Pollution Control Act, as amended, 33 USC §1251, et seq. The Contractor agrees to report each violation to the Authority and understands and agrees that the Authority will, in turn, report each violation as required to assure notification to FTA and the appropriate Regional Office of the United States Environmental Protection Agency. The Contractor also agrees to include these requirements in each subcontract or purchase order exceeding \$100,000 financed in whole or in part with federal assistance provided by FTA.

**CARGO PREFERENCE**

The Contractor agrees. to: (a) use privately owned United States-Flag commercial vessels to ship at least 50 percent of the gross tonnage (computed separately for dry bulk carriers, dry cargo liners and tankers) involved, whenever shipping any equipment, material, or commodities pursuant to the underlying contract to the extent such vessels are available at fair and reasonable rates for United States-Flag commercial vessels; (b) furnish within twenty (20) working days following the date of loading for shipments originating within the United States or within thirty (30) working days following the date of loading for shipments originating outside the United States, a legible copy of a rated, "on-board" commercial ocean bill-of-lading in English for each shipment of cargo described to the Division of National Cargo, Office of Market Development, Maritime Administration, Washington, DC 20590 and to the FTA recipient (through the Contractor in the case of a Subcontractor's or Supplier's bill-of-lading.); and (c) include these requirements in all subcontracts and purchase orders issued pursuant to the Contract Documents when the subcontract may involve the transport of equipment, material or commodities by ocean vessel. *(A certification is to be submitted with each bid or offer exceeding \$500,000 if shipping is applicable.)*

**FLY AMERICA REQUIREMENTS**

The Contractor agrees to comply with 49 USC §40118 and 41 CFR Part 301-10, which provide that contractors are required to use United States -Flag air carriers for federally financed international air travel and transportation of their personal effects or property, to the extent such service is available, unless travel by foreign air carrier is a matter of necessity, as defined by 49 USC §40118 and CFR Part 301-10.

**DAVIS-BACON AND COPELAND ANTI-KICKBACK ACTS**

(1) **Minimum wages** - (i) All laborers and mechanics employed or working upon the site of the work (or under the United States Housing Act of 1937 or under the Housing Act of 1949 in the construction or development of the project), will be paid unconditionally and not less often than once a week, and without subsequent deduction or rebate on any account (except such payroll deductions as are permitted by regulations issued by the Secretary of Labor under the Copeland Act (29 CFR part 3)), the full amount of wages and bona fide fringe benefits (or cash equivalents thereof) due at time of payment computed at rates not less than those contained in the wage determination of the Secretary of Labor which is attached hereto and made a part hereof, regardless of any contractual relationship which may be alleged to exist between the contractor and such laborers and mechanics.

Contributions made or costs reasonably anticipated for bona fide fringe benefits under section 1 (b)(2) of the Davis-Bacon Act on behalf of laborers or mechanics are considered wages paid to such laborers or mechanics, subject to the provisions of paragraph (1)(iv) of this section; also, regular contributions made or costs incurred for more than a weekly period (but not less often than quarterly) under plans, funds, or programs which cover the particular weekly period, are deemed to be constructively made or incurred during such weekly period. Such laborers and mechanics

shall be paid the appropriate wage rate and fringe benefits on the wage determination for the classification of work actually performed, without regard to skill, except as provided in 29 CFR Part 5.5(a)(4). Laborers or mechanics performing work in more than one classification may be compensated at the rate specified for each classification for the time actually worked therein. Provided that the employer's payroll records accurately set forth the time spent in each classification in which work is performed. The wage determination (including any additional classifications and wage rates conformed under paragraph (1)(ii) of this section) and the Davis-Bacon poster (WH-1321) shall be posted at all times by the contractor and its subcontractors at the site of the work in a prominent and accessible place where it can be easily seen by the workers.

(ii)(A) The contracting officer shall require that any class of laborers or mechanics, including helpers, which is not listed in the wage determination and which is to be employed under the contract shall be classified in conformance with the wage determination. The contracting officer shall approve an additional classification and wage rate and fringe benefits therefore only when the following criteria have been met:

Except with respect to helpers as defined as 29 CFR 5.2(n)(4), the work to be performed by the classification requested is not performed by a classification in the wage determination; and

(1) The classification is utilized in the area by the construction industry; and

(2) The proposed wage rate, including any bona fide fringe benefits, bears a reasonable relationship to the wage rates contained in the wage determination; and

(3) With respect to helpers as defined in 29 CFR 5.2(n)(4), such a classification prevails in the area in which the work is performed.

(B) If the contractor and the laborers and mechanics to be employed in the classification (if known), or their representatives, and the contracting officer agree on the classification and wage rate (including the amount designated for fringe benefits where appropriate), a report of the action taken shall be sent by the contracting officer to the Administrator of the Wage and Hour Division, Employment Standards Administration, U.S. Department of Labor, Washington, DC 20210. The Administrator, or an authorized representative, will approve, modify, or disapprove every additional classification action within 30 days of receipt and so advise the contracting officer or will notify the contracting officer within the 30-day period that additional time is necessary.

(C) In the event the contractor, the laborers or mechanics to be employed in the classification or their representatives, and the contracting officer do not agree on the proposed classification and wage rate (including the amount designated for fringe benefits, where appropriate), the contracting officer shall refer the questions, including the views of all interested parties and the recommendation of the contracting officer, to the Administrator for determination. The Administrator, or an authorized representative, will issue a determination within 30 days of receipt and so advise the contracting officer or will notify the contracting officer within the 30-day period that additional time is necessary.

(D) The wage rate (including fringe benefits where appropriate) determined pursuant to paragraphs (a)(1)(ii) (B) or (C) of this section, shall be paid to all workers performing work in the classification under this contract from the first day on which work is performed in the classification.

(iii) Whenever the minimum wage rate prescribed in the contract for a class of laborers or mechanics includes a fringe benefit which is not expressed as an hourly rate, the contractor shall either pay the benefit as stated in the wage determination or shall pay another bona fide fringe benefit or an hourly cash equivalent thereof.

(iv) If the contractor does not make payments to a trustee or other third person, the contractor may consider as part of the wages of any laborer or mechanic the amount of any costs reasonably anticipated in providing bona fide fringe benefits under a plan or program, Provided, That the Secretary of Labor has found, upon the written request of the

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contractor, that the applicable standards of the Davis-Bacon Act have been met. The Secretary of Labor may require the contractor to set aside in a separate account assets for the meeting of obligations under the plan or program.

(v)(A) The contracting officer shall require that any class of laborers or mechanics which is not listed in the wage determination and which is to be employed under the contract shall be classified in conformance with the wage determination. The contracting officer shall approve an additional classification and wage rate and fringe benefits therefore only when the following criteria have been met:

(1) The work to be performed by the classification requested is not performed by a classification in the wage determination; and

(2) The classification is utilized in the area by the construction industry; and

(3) The proposed wage rate, including any bona fide fringe benefits, bears a reasonable relationship to the wage rates contained in the wage determination.

(B) If the contractor and the laborers and mechanics to be employed in the classification (if known), or their representatives, and the contracting officer agree on the classification and wage rate (including the amount designated for fringe benefits where appropriate), a report of the action taken shall be sent by the contracting officer to the Administrator of the Wage and Hour Division, Employment Standards Administration, Washington, DC 20210. The Administrator, or an authorized representative, will approve, modify, or disapprove every additional classification action within 30 days of receipt and so advise the contracting officer or will notify the contracting officer within the 30-day period that additional time is necessary.

(C) In the event the contractor, the laborers or mechanics to be employed in the classification or their representatives, and the contracting officer do not agree on the proposed classification and wage rate (including the amount designated for fringe benefits, where appropriate), the contracting officer shall refer the questions, including the views of all interested parties and the recommendation of the contracting officer, to the Administrator for determination. The Administrator, or an authorized representative, will issue a determination within 30 days of receipt and so advise the contracting officer or will notify the contracting officer within the 30-day period that additional time is necessary.

(D) The wage rate (including fringe benefits where appropriate) determined pursuant to paragraphs (a)(1)(v) (B) or (C) of this section, shall be paid to all workers performing work in the classification under this contract from the first day on which work is performed in the classification.

(2) **Withholding** - The Authority shall upon its own action or upon written request of an authorized representative of the Department of Labor withhold or cause to be withheld from the contractor under this contract or any other Federal contract with the same prime contractor, or any other federally-assisted contract subject to Davis-Bacon prevailing wage requirements, which is held by the same prime contractor, so much of the accrued payments or advances as may be considered necessary to pay laborers and mechanics, including apprentices, trainees, and helpers, employed by the contractor or any subcontractor the full amount of wages required by the contract. In the event of failure to pay any laborer or mechanic, including any apprentice, trainee, or helper, employed or working on the site of the work (or under the United States Housing Act of 1937 or under the Housing Act of 1949 in the construction or development of the project), all or part of the wages required by the contract, the Authority may, after written notice to the contractor, sponsor, applicant, or owner, take such action as may be necessary to cause the suspension of any further payment, advance, or guarantee of funds until such violations have ceased.

(3) **Payrolls and basic records** - (i) Payrolls and basic records relating thereto shall be maintained by the contractor during the course of the work and preserved for a period of three years thereafter for all laborers and mechanics working at the site of the work (or under the United States Housing Act of 1937, or under the Housing

Act of 1949, in the construction or development of the project). Such records shall contain the name, address, and social security number of each such worker, his or her correct classification, hourly rates of wages paid (including rates of contributions or costs anticipated for bona fide fringe benefits or cash equivalents thereof of the types described in section 1 (b)(2)(B) of the Davis-Bacon Act), daily and weekly number of hours worked, deductions made and actual wages paid. Whenever the Secretary of Labor has found under 29 CFR 5.5(a)(1)(iv) that the wages of any laborer or mechanic include the amount of any costs reasonably anticipated in providing benefits under a plan or program described in section 1(b)(2)(B) of the Davis-Bacon Act, the contractor shall maintain records which show that the commitment to provide such benefits is enforceable, that the plan or program is financially responsible, and that the plan or program has been communicated in writing to the laborers or mechanics affected, and records which show the costs anticipated or the actual cost incurred in providing such benefits. Contractors employing apprentices or trainees under approved programs shall maintain written evidence of the registration of apprenticeship programs and certification of trainee programs, the registration of the apprentices and trainees, and the ratios and wage rates prescribed in the applicable programs.

(ii)(A) The contractor shall submit weekly for each week in which any contract work is performed a copy of all payrolls to the Authority for transmission to the Federal Transit Administration. The payrolls submitted shall set out accurately and completely all of the information required to be maintained under section 5.5(a)(3)(i) of Regulations, 29 CFR part 5. This information may be submitted in any form desired. Optional Form WH-347 is available for this purpose and may be purchased from the Superintendent of Documents (Federal Stock Number 029-005-00014-1), U.S. Government Printing Office, Washington, DC 20402. The prime contractor is responsible for the submission of copies of payrolls by all subcontractors.

(B) Each payroll submitted shall be accompanied by a "Statement of Compliance," signed by the contractor or subcontractor or his or her agent who pays or supervises the payment of the persons employed under the contract and shall certify the following: That the payroll for the payroll period contains the information required to be maintained under section 5.5(a)(3)(i) of Regulations, 29 CFR part 5 and that such information is correct and complete:

(1) That each laborer or mechanic (including each helper, apprentice, and trainee) employed on the contract during the payroll period has been paid the full weekly wages earned, without rebate, either directly or indirectly, and that no deductions have been made either directly or indirectly from the full wages earned, other than permissible deductions as set forth in Regulations, 29 CFR part 3;

(3) That each laborer or mechanic has been paid not less than the applicable wage rates and fringe benefits or cash equivalents for the classification of work performed, as specified in the applicable wage determination incorporated into the contract.

(C) The weekly submission of a properly executed certification set forth on the reverse side of Optional Form WH-347 shall satisfy the requirement for submission of the "Statement of Compliance" required by paragraph (a)(3)(ii)(B) of this section.

(D) The falsification of any of the above certifications may subject the contractor or subcontractor to civil or criminal prosecution under section 1001 of title 18 and section 231 of title 31 of the United States Code.

(iii) The contractor or subcontractor shall make the records required under paragraph (a)(3)(i) of this section available for inspection, copying, or transcription by authorized representatives of the Federal Transit Administration or the Department of Labor, and shall permit such representatives to interview employees during working hours on the job. If the contractor or subcontractor fails to submit the required records or to make them available, the Federal agency may, after written notice to the contractor, sponsor, applicant, or owner, take such action as may be necessary to cause the suspension of any further payment, advance, or guarantee of funds. Furthermore, failure to submit the required records upon request or to make such records available may be grounds for debarment action pursuant to 29 CFR 5.12.

(4) **Apprentices and trainees - (i) Apprentices** - Apprentices will be permitted to work at less than the predetermined rate for the work they performed when they are employed pursuant to and individually registered in

a bona fide apprenticeship program registered with the U.S. Department of Labor, Employment and Training Administration, Bureau of Apprenticeship and Training, or with a State Apprenticeship Agency recognized by the Bureau, or if a person is employed in his or her first 90 days of probationary employment as an apprentice in such an apprenticeship program, who is not individually registered in the program, but who has been certified by the Bureau of Apprenticeship and Training or a State Apprenticeship Agency (where appropriate) to be eligible for probationary employment as an apprentice. The allowable ratio of apprentices to journeymen on the job site in any craft classification shall not be greater than the ratio permitted to the contractor as to the entire work force under the registered program. Any worker listed on a payroll at an apprentice wage rate, who is not registered or otherwise employed as stated above, shall be paid not less than the applicable wage rate on the wage determination for the classification of work actually performed. In addition, any apprentice performing work on the job site in excess of the ratio permitted under the registered program shall be paid not less than the applicable wage rate on the wage determination for the work actually performed. Where a contractor is performing construction on a project in a locality other than that in which its program is registered, the ratios and wage rates (expressed in percentages of the journeyman's hourly rate) specified in the contractor's or subcontractor's registered program shall be observed. Every apprentice must be paid at not less than the rate specified in the registered program for the apprentice's level of progress, expressed as a percentage of the journeymen hourly rate specified in the applicable wage determination. Apprentices shall be paid fringe benefits in accordance with the provisions of the apprenticeship program. If the apprenticeship program does not specify fringe benefits, apprentices must be paid the full amount of fringe benefits listed on the wage determination for the applicable classification. If the Administrator of the Wage and Hour Division of the U.S. Department of Labor determines that a different practice prevails for the applicable apprentice classification, fringes shall be paid in accordance with that determination. In the event the Bureau of Apprenticeship and Training, or a State Apprenticeship Agency recognized by the Bureau, withdraws approval of an apprenticeship program, the contractor will no longer be permitted to utilize apprentices at less than the applicable predetermined rate for the work performed until an acceptable program is approved.

(ii) Trainees - Except as provided in 29 CFR 5.16, trainees will not be permitted to work at less than the predetermined rate for the work performed unless they are employed pursuant to and individually registered in a program which has received prior approval, evidenced by formal certification by the U.S. Department of Labor, Employment and Training Administration. The ratio of trainees to journeymen on the job site shall not be greater than permitted under the plan approved by the Employment and Training Administration. Every trainee must be paid at not less than the rate specified in the approved program for the trainee's level of progress, expressed as a percentage of the journeyman hourly rate specified in the applicable wage determination. Trainees shall be paid fringe benefits in accordance with the provisions of the trainee program. If the trainee program does not mention fringe benefits, trainees shall be paid the full amount of fringe benefits listed on the wage determination unless the Administrator of the Wage and Hour Division determines that there is an apprenticeship program associated with the corresponding journeyman wage rate on the wage determination which provides for less than full fringe benefits for apprentices. Any employee listed on the payroll at a trainee rate who is not registered and participating in a training plan approved by the Employment and Training Administration shall be paid not less than the applicable wage rate on the wage determination for the classification of work actually performed. In addition, any trainee performing work on the job site in excess of the ratio permitted under the registered program shall be paid not less than the applicable wage rate on the wage determination for the work actually performed. In the event the Employment and Training Administration withdraws approval of a training program, the contractor will no longer be permitted to utilize trainees at less than the applicable predetermined rate for the work performed until an acceptable program is approved.

(iii) Equal employment opportunity - The utilization of apprentices, trainees and journeymen under this part shall be in conformity with the equal employment opportunity requirements of Executive Order 11246, as amended, and 29 CFR part 30.

**(5) Compliance with Copeland Act requirements** - The contractor shall comply with the requirements of 29 CFR part 3, which are incorporated by reference in this contract.

**(6) Subcontracts** - The contractor or subcontractor shall insert in any subcontracts the clauses contained in 29 CFR 5.5(a)(1) through (10) and such other clauses as the Federal Transit Administration may by appropriate instructions require, and also a clause requiring the subcontractors to include these clauses in any lower tier subcontracts. The

prime contractor shall be responsible for the compliance by any subcontractor or lower tier subcontractor with all the contract clauses in 29 CFR 5.5.

**(7) Contract termination; debarment** - A breach of the contract clauses in 29 CFR 5.5 may be grounds for termination of the contract, and for debarment as a contractor and a subcontractor as provided in 29 CFR 5.12.

**(8) Compliance with Davis-Bacon and Related Act requirements** - All rulings and interpretations of the Davis-Bacon and Related Acts contained in 29 CFR parts 1, 3, and 5 are herein incorporated by reference in this contract.

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

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

(ii) No part of this contract shall be subcontracted to any person or firm ineligible for award of a Government contract by virtue of section 3(a) of the Davis-Bacon Act or 29 CFR 5.12(a)(1). The penalty for making false statements is prescribed in the U.S. Criminal Code, 18 U.S.C. 1001.

#### **CONTRACT WORK HOURS AND SAFETY STANDARDS ACT**

**(1) Overtime requirements** - No contractor or subcontractor contracting for any part of the contract work which may require or involve the employment of laborers or mechanics shall require or permit any such laborer or mechanic in any workweek in which he or she is employed on such work to work in excess of forty hours in such workweek unless such laborer or mechanic receives compensation at a rate not less than one and one-half times the basic rate of pay for all hours worked in excess of forty hours in such workweek.

**(2) Violation; liability for unpaid wages; liquidated damages** - In the event of any violation of the clause set forth in paragraph (1) of this section the contractor and any subcontractor responsible therefore shall be liable for the unpaid wages. In addition, such contractor and subcontractor shall be liable to the United States for liquidated damages. Such liquidated damages shall be computed with respect to each individual laborer or mechanic, including watchmen and guards, employed in violation of the clause set forth in paragraph (1) of this section, in the sum of \$10 for each calendar day on which such individual was required or permitted to work in excess of the standard workweek of forty hours without payment of the overtime wages required by the clause set forth in paragraph (1) of this section.

**(3) Withholding for unpaid wages and liquidated damages** - The Authority shall upon its own action or upon written request of an authorized representative of the Department of Labor withhold or cause to be withheld, from any moneys payable on account of work performed by the contractor or subcontractor under any such contract or any other Federal contract with the same prime contractor, or any other federally-assisted contract subject to the Contract Work Hours and Safety Standards Act, which is held by the same prime contractor, such sums as may be determined to be necessary to satisfy any liabilities of such contractor or subcontractor for unpaid wages and liquidated damages as provided in the clause set forth in paragraph (2) of this section.

**(4) Subcontracts** - The contractor or subcontractor shall insert in any subcontracts the clauses set forth in paragraphs (1) through (4) of this section and also a clause requiring the subcontractors to include these clauses in any lower tier subcontracts. The prime contractor shall be responsible for compliance by any subcontractor or lower tier subcontractor with the clauses set forth in paragraphs (1) through (4) of this section.

#### **BONDING REQUIREMENTS**

**Bid Bond Requirements (Construction)**

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(a) Bid Security

A Bid Bond must be issued by a fully qualified surety company acceptable to (Recipient) and listed as a company currently authorized under 31 CFR, Part 223 as possessing a Certificate of Authority as described thereunder.

(b) Rights Reserved

In submitting this Bid, it is understood and agreed by bidder that the right is reserved by (Recipient) to reject any and all bids, or part of any bid, and it is agreed that the Bid may not be withdrawn for a period of [ninety (90)] days subsequent to the opening of bids, without the written consent of (Recipient).

It is also understood and agreed that if the undersigned bidder should withdraw any part or all of his bid within [ninety (90)] days after the bid opening without the written consent of (Recipient), shall refuse or be unable to enter into this Contract, as provided above, or refuse or be unable to furnish adequate and acceptable Performance Bonds and Labor and Material Payments Bonds, as provided above, or refuse or be unable to furnish adequate and acceptable insurance, as provided above, he shall forfeit his bid security to the extent of (Recipient's) damages occasioned by such withdrawal, or refusal, or inability to enter into an agreement, or provide adequate security therefor.

It is further understood and agreed that to the extent the defaulting bidder's Bid Bond, Certified Check, Cashier's Check, Treasurer's Check, and/or Official Bank Check (excluding any income generated thereby which has been retained by (Recipient) shall prove inadequate to fully recompense (Recipient) for the damages occasioned by default, then the undersigned bidder agrees to indemnify (Recipient) and pay over to (Recipient) the difference between the bid security and (Recipient's) total damages, so as to make (Recipient) whole.

The undersigned understands that any material alteration of any of the above or any of the material contained on this form, other than that requested, will render the bid unresponsive.

**Performance and Payment Bonding Requirements (Construction)**

The Contractor shall be required to obtain performance and payment bonds as follows:

(a) Performance and Payment bonds

1. The penal amount of performance and payment bonds shall be 100 percent of the original contract price, unless the (Recipient) determines that a lesser amount would be adequate for the protection of the (Recipient).
2. The (Recipient) may require additional performance and payment bond protection when a contract price is increased. The increase in protection shall generally equal 100 percent of the increase in contract price. The (Recipient) may secure additional protection by directing the Contractor to increase the penal amount of the existing bond or to obtain an additional bond.

**Advance Payment Bonding Requirements**

The Contractor may be required to obtain an advance payment bond if the contract contains an advance payment provision and a performance bond is not furnished. The (recipient) shall determine the amount of the advance payment bond necessary to protect the (Recipient).

**Patent Infringement Bonding Requirements (Patent Indemnity)**

The Contractor may be required to obtain a patent indemnity bond if a performance bond is not furnished and the financial responsibility of the Contractor is unknown or doubtful. The (recipient) shall determine the amount of the patent indemnity to protect the (Recipient).

**Warranty of the Work and Maintenance Bonds**

1. The Contractor warrants to (Recipient), the Architect and/or Engineer that all materials and equipment furnished under this Contract will be of highest quality and new unless otherwise specified by (Recipient), free from faults and defects and in conformance with the Contract Documents. All work not so conforming to these standards shall be considered defective. If required by the [Project Manager], the Contractor shall furnish satisfactory evidence as to the kind and quality of materials and equipment.

2. The Work furnished must be of first quality and the workmanship must be the best obtainable in the various trades. The Work must be of safe, substantial and durable construction in all respects. The Contractor hereby guarantees the Work against defective materials or faulty workmanship for a minimum period of one (1) year after Final Payment by (Recipient) and shall replace or repair any defective materials or equipment or faulty workmanship during the period of the guarantee at no cost to (Recipient). As additional security for these guarantees, the Contractor shall, prior to the release of Final Payment, furnish separate Maintenance (or Guarantee) Bonds in form acceptable to (Recipient) written by the same corporate surety that provides the Performance Bond and Labor and Material Payment Bond for this Contract. These bonds shall secure the Contractor's obligation to replace or repair defective materials and faulty workmanship for a minimum period of one (1) year after Final Payment and shall be written in an amount equal to ONE HUNDRED PERCENT (100%) of the CONTRACT SUM, as adjusted (if at all).

#### SEISMIC SAFETY REQUIREMENTS

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

#### ENERGY CONSERVATION REQUIREMENTS

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

#### RECYCLED PRODUCTS

**Recovered Materials** - The contractor agrees to comply with all the requirements of Section 6002 of the Resource Conservation and Recovery Act (RCRA), as amended (42 U.S.C. 6962), including but not limited to the regulatory provisions of 40 CFR Part 247, and Executive Order 12873, as they apply to the procurement of the items designated in Subpart B of 40 CFR Part 247.

#### ADA ACCESS

**ADA Access for Individuals with Disabilities** - The Contractor agrees to comply with 49 U.S.C. § 5301(d), which states the Federal policy that elderly individuals and individuals with disabilities have the same right as other individuals to use public transportation services and facilities, and that special efforts shall be made in planning and designing those services and facilities to implement transportation accessibility rights for elderly individuals and individuals with disabilities. The Recipient also agrees to comply with all applicable provisions of section 504 of the Rehabilitation Act of 1973, as amended, 29 U.S.C. § 794, which prohibits discrimination on the basis of disability in the administration of programs or activities receiving Federal financial assistance; with the Americans with Disabilities Act of 1990 (ADA), as amended, 42 U.S.C. §§ 12101 et seq., which requires that accessible facilities and services be made available to individuals with disabilities; with the Architectural Barriers Act of 1968, as amended, 42 U.S.C. §§ 4151 et seq., which requires that buildings and public accommodations be accessible to individuals with disabilities; and with other laws and amendments thereto pertaining to access for individuals with disabilities that may be applicable. In addition, the Recipient agrees to comply with applicable implementing Federal regulations, and any later amendments thereto, and agrees to follow applicable Federal implementing directives, except to the extent FTA approves otherwise in writing. Among those regulations and directives are: (1) U.S. DOT regulations, "Transportation Services for Individuals with Disabilities (ADA)," 49 C.F.R. Part 37; (2) U.S. DOT regulations, "Nondiscrimination on the Basis of Handicap in Programs and Activities Receiving or

Benefiting from Federal Financial Assistance," 49 C.F.R. Part 27; (3) Joint U.S. Architectural and Transportation Barriers Compliance Board (U.S. ATBCB)/U.S. DOT regulations, "Americans With Disabilities (ADA) Accessibility Specifications for Transportation Vehicles," 36 C.F.R. Part 1192 and 49 C.F.R. Part 38; (4) U.S. DOJ regulations, "Nondiscrimination on the Basis of Disability in State and Local Government Services," 28 C.F.R. Part 35; (5) U.S. DOJ regulations, "Nondiscrimination on the Basis of Disability by Public Accommodations and in Commercial Facilities," 28 C.F.R. Part 36; (6) U.S. General Services Administration (U.S. GSA) regulations, "Accommodations for the Physically Handicapped," 41 C.F.R. Subpart 101-19; (7) U.S. EEOC, "Regulations to Implement the Equal Employment Provisions of the Americans with Disabilities Act," 29 C.F.R. Part 1630; (8) U.S. Federal Communications Commission regulations, "Telecommunications Relay Services and Related Customer Premises Equipment for the Hearing and Speech Disabled," 47 C.F.R. Part 64, Subpart F; (9) U.S. ATBCB regulations, "Electronic and Information Technology Accessibility Standards," 36 C.F.R. Part 1194; (10) FTA regulations, "Transportation for Elderly and Handicapped Persons," 49 C.F.R. Part 609; and (11) Federal civil rights and nondiscrimination directives implementing the foregoing Federal laws and regulations, except to the extent the Federal Government determines otherwise in writing.

**SEAT BELT USE**

In accordance with Executive Order No. 13043, "Increasing Seat Belt Use in the United States," April 16, 1997, 23 U.S.C. § 402 note, the Recipient is encouraged to adopt and promote on-the-job seat belt use policies and programs for its employees and other personnel that operate company-owned, rented, or personally operated vehicles, and to include this provision in any third party contracts, third party subcontracts, or subagreements involving the Project.

**DISTRACTED DRIVING, INCLUDING TEXT MESSAGING WHILE DRIVING**

In accordance with Executive Order No. 13513, "Federal Leadership on Reducing Text Messaging While Driving," October 1, 2009, 23 U.S.C. § 402 note, the Recipient is encouraged to adopt and enforce workplace safety policies to decrease crashes caused by distracted drivers, including policies to ban text messages while using an employer supplied electronic device and driving a vehicle you own or rent, a company owned, rented or leased vehicle, a privately owned vehicle when performing any company work on behalf of the project or any vehicle on or off duty. This provision is to be included in any third party contracts, third party subcontracts or subagreements at each tier financed with federal funds.

Accept Terms of Clauses



Date

12/19/16

Company Name

SWI

Federal I.D. No.

94-2787950

## Detailed Contract Description & Purpose

**Board Review Date:** 5/1/2019

**Document Type:** Disbursement

**Action Requested:** Motion to approve the contract or change order

**Criteria:** Disbursement over \$200,000 not on an approved contract

**Contract Title:** Disbursement Only/No Contract

**Contract #**

**Project Manager:** Troy Bingham

**Contract Administrator:**

**Impacted Areas:** Light Rail Inventory

**Included in budget?** Yes

**Procurement method:** Lowest Bidder (IFB)

**Contractor:** Siemens Mobility Inc.

**Sole-Source Reason:** N/A

**Qty & Unit price**

**Total Disbursement** \$226,857.30

**Contract term (Months)**

**Contract Start Date**

**Contract options (Months)**

**Contract End Date:**

**Number of responding firms:**

**\$ Value of Next Lowest Bidder**

### **General Description & Purpose:**

Supply Chain has implemented a forecasted inventory strategy for light rail parts, that generates orders daily based on what maintenance staff has forecasted for the light rail fleet. These orders generate purchase orders daily from \$1 to \$150,000 dollars based on lowest bidder responses to fulfill those orders. As those orders arrive at UTA, they are submitted for payment to Accounts Payable and occasionally the combination of multiple payments will go over \$200,000.

This disbursement is comprised of 11 purchase orders and invoices that were generated by Siemens Mobility Inc. from March 18, 2019 to March 29, 2019. The individual invoice charges range from \$50 to \$90,720. More detailed invoice information is on the attached check detail list.

Attachments:

Other attachments? (check detail list)

## Siemens Mobility Disbursement

<u>Invoice Number</u>	<u>Purchase Order</u>	<u>Invoice Due Date</u>	<u>Part Description</u>	<u>Payment Amount</u>
5610162488	01112386	3/28/2019	2 Pressure Disk, Wipers	942.00
5610162487	01112485	3/28/2019	2 Displays, Train Operator	16,846.00
5610162486	01111185	3/28/2019	2 Sheets, Corner	4,122.00
5610162372	01108496	3/28/2019	4 Hinges, Skirt	940.00
5610162371	01112056	3/28/2019	164 Gaskets	254.20
5610162370	01108514	3/28/2019	82 Bridgeplates	6,666.60
5610159209	01112169	3/28/2019	100 Holders, Fastening	50.00
5610158954	01107427	3/28/2019	24 Holders, Track Brake	58,608.00
5610162485	01108444	3/28/2019	15 Switches, Cam	208.50
5610160446	01106899	3/18/2019	20 Housings, Coupler Shank	47,500.00
5610147541	00182611	3/29/2019	8 Windows	10,080.00
5610147541	00182611	3/29/2019	16 Windows	20,160.00
5610147541	00182611	3/29/2019	24 Windows	30,240.00
5610147541	00182611	3/29/2019	24 Windows	30,240.00
		Total		<u>226,857.30</u>

## Detailed Contract Description & Purpose

**Board Review Date:** 5/1/2019

**Document Type:** Pre-Procurement

**Action Requested:** Pre-Procurement (information only)

**Criteria:** Contract is \$200,000 - \$999,999

**Contract Title:** 2019 On Board Passenger Surveys

**Contract #** TBD

**Project Manager:** Marci Warren

**Contract Administrator:** Teresa Pickett

**Impacted Areas:** Bus and Rail System

**Included in budget?** Yes

**Procurement method:** Best value (RFP)

**Contractor:** TBD

**Sole-Source Reason:** N/A

**Qty & Unit price** \$ 500,000

**Change Order Value**

**Total Contract Value** \$500,000

**Contract term (Months)** 10 months

**Contract Start Date** 6/1/2019

**Contract options (Months)**

**Contract End Date:** 3/31/2020

**Number of responding firms:** TBD

**\$ Value of Next Lowest Bidder** TBD

### **General Description & Purpose:**

Title VI regulations (49 CFR part 21) require that passenger surveys shall be employed by transit providers on a schedule determined by the transit provider but no less than every five years. The primary purpose of these surveys is to allow UTA to develop a demographic profile comparing minority riders and non-minority riders, and trips taken by minority riders and non-minority riders. Demographic information shall also be collected on fare usage by fare type amongst minority users and low-income users, in order to assist with fare equity.

In addition to the demographic information collected, including information on the race, color, national origin, English proficiency, language spoken at home, household income and travel behavior of UTA's riders, UTA also collects origin and destination data at the same time in order to support updates to the regional travel demand models.

UTA is currently preparing an 'On Board Survey' in order to satisfy this mandate and will issue an RFP to engage a contractor with the ability to complete the survey. The surveys will begin in September and will continue through November, with results being available by the end of the first quarter of 2020.

**Attachments:** Contract routing sheet attached? N/A (Pre-Procurement)

Other attachments? (list)

Requisition

# REQUISITION FOR PURCHASE-RSS

**Requisition Number** 6646 OU **Department** 6200 PLANNING

**Requested By** 4868 LaBonty, George J  
**Request Date**

**Date** 4/9/2019

**Title** 2019 On Board Survey

**Justification**

<u>Line</u>	<u>Description</u>	<u>Qty</u>	<u>UoM</u>	<u>Unit Price</u>	<u>Extended</u>	<u>Line Status</u>	<u>Account Number</u>	<u>Subledger-Type</u>	<u>Percent</u>
1.000	2019 On Board Survey			.0000	500,000.00	Approved	6200.50339.90	6200 C	100.0000

## Approval History

<u>Process ID</u>	<u>Line No.</u>	<u>Approver Number and Name</u>	<u>Approver Action Taken</u>	<u>Date and Time Updated</u>
469	Order Level	1473779 Hanson, Laura	Approved	4/9/2019 171159
469	Order Level	1327089 Bourdeaux, Nichol	Approved	4/15/2019 162032
469	Order Level	4835 Meyer, William Steven	Approved	4/19/2019 153536
469	Order Level	1480720 Christensen, Carlton J	Approved	4/19/2019 183613