

Financial Report

December 16, 2019 Board Meeting

General

- 1) Since Stacey Hammond presented the final audit report at the committee meeting, she will not attend the board meeting.
- 2) We will start another FTA-required on-board survey in January. We will perform four surveys each week for 52 weeks.
- 3) We are working on the specifications for the paratransit vehicle RFP and should have this ready for board review in the next couple of months. We are also looking at vehicles available on the state contract.
- 4) The Bus Stop Engineer contract recommendation will be presented to the board in January.

Balance Sheet Review

- 1) Leasehold Improvements – completed the boiler project at QSS.
- 2) Service Vehicles – completed the ¾ ton pickup purchase.
- 3) Projects in Process – incurred expenses for bus stops and bus technology.
- 5) All other changes were due to normal and customary activity.

Operating Statement Review

YTD percentage is 41.67%.
YTD expenses are \$8,166 over budget.

Other Revenue: Donations and bike share sponsorships are over budget.

Expenses:

Audit Services – at budget.

South Topeka Service – we are reimbursed for all expenses.

Self-Insurance Payments – approved settlements.

Shuttles in FY2020:

Number - 3

Passengers – 786

Total Cost - \$1,685.35

Action required – accept the Financial Report

Topeka Metropolitan Transit Authority
Balance Sheet
As of November 30, 2019
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	This Month	Net Changes	Last Month
Assets and Deferred Outflows			
Current Assets			
Cash - Operating	2,612,566.34	(282,924.61)	2,895,490.95
Cash - Designated	8,400,427.09	8,886.90	8,391,540.19
Accounts Receivable	109,378.53	(14,218.69)	123,597.22
Fuel Inventory	33,797.37	(18,752.38)	52,549.75
Prepaid Expenses	98,440.38	(2,144.29)	100,584.67
Prepaid Insurance	22,421.95	(21,459.45)	43,881.40
Prepaid Employee Benefits	<u>(1,518.54)</u>	<u>(542.53)</u>	<u>(976.01)</u>
Total Current Assets	11,275,513.12	(331,155.05)	11,606,668.17
Long-Term Assets			
Buildings - Net	2,039,393.00	(16,013.06)	2,055,406.06
Bus Shelters - Net	1,581,980.39	(15,290.24)	1,597,270.63
Communication Equipment - Net	15,292.34	(4,283.59)	19,575.93
Computers - Net	3,835.23	(295.02)	4,130.25
Farebox Equipment - Net	160,500.00	(6,311.66)	166,811.66
Office Furniture & Equipment - Net	1,225.96	(306.47)	1,532.43
Leasehold Improvements - Net	1,065,000.08	102,126.43	962,873.65
Maintenance Equipment - Net	41,618.08	(1,836.44)	43,454.52
Revenue Vehicles - Net	4,211,493.60	(70,827.10)	4,282,320.70
Service Vehicles - Net	147,601.27	33,076.21	114,525.06
Projects in Process	794,679.64	207,705.80	586,973.84
Land	<u>3,600,255.44</u>	<u>0.00</u>	<u>3,600,255.44</u>
Total Long-Term Assets	13,662,875.03	227,744.86	13,435,130.17
Deferred Outflows			
KPERS Deferred Outflows	853,914.00	0.00	853,914.00
KPERS OPEB Deferred Outflows	34,227.00	0.00	34,227.00
Metro OPEB Deferred Outflows	<u>2,087.00</u>	<u>0.00</u>	<u>2,087.00</u>
Total Deferred Outflows	<u>890,228.00</u>	<u>0.00</u>	<u>890,228.00</u>
Total Assets and Deferred Outflows	<u>25,828,616.15</u>	<u>(103,410.19)</u>	<u>25,932,026.34</u>
Liabilities and Deferred Inflows			
Current Liabilities			
Accounts Payable	60,310.08	(20,498.66)	80,808.74
Accrued Payables	330,756.08	30,699.94	300,056.14
Payroll Taxes Payable	664.70	341.84	322.86
Payroll Liabilities Payable	(100.20)	(1,250.14)	1,149.94
Unearned Revenue	201,883.00	(27,633.00)	229,516.00
Other Current Liabilities	<u>64,000.00</u>	<u>0.00</u>	<u>64,000.00</u>
Total Current Liabilities	657,513.66	(18,340.02)	675,853.68

Topeka Metropolitan Transit Authority

Balance Sheet

As of November 30, 2019

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	This Month	Net Changes	Last Month
Long-Term Liabilities			
KPERs Pension Liability	3,190,357.00	0.00	3,190,357.00
KPERs OPEB Liability	61,421.00	0.00	61,421.00
Metro OPEB Liability	<u>112,091.00</u>	<u>0.00</u>	<u>112,091.00</u>
Total Long-Term Liabilities	3,363,869.00	0.00	3,363,869.00
Deferred Inflows			
Metro OPEB Deferred Inflows	50,490.00	0.00	50,490.00
KPERs OPEB Deferred Inflows	7,283.00	0.00	7,283.00
KPERs Deferred Inflows	<u>173,529.00</u>	<u>0.00</u>	<u>173,529.00</u>
Total Deferred Inflows	<u>231,302.00</u>	<u>0.00</u>	<u>231,302.00</u>
Total Liabilities and Deferred Inflows	<u>4,252,684.66</u>	<u>(18,340.02)</u>	<u>4,271,024.68</u>
Fund Balance			
Fund Balance - Non-Designated	2,451,988.47	0.00	2,451,988.47
Fund Balance - Designated	7,742,685.79	0.00	7,742,685.79
Investment in Capital Assets	13,352,556.94	0.00	13,352,556.94
YTD Excess/(Deficit)	<u>(1,971,299.71)</u>	<u>(85,070.17)</u>	<u>(1,886,229.54)</u>
Total Fund Balance	<u>21,575,931.49</u>	<u>(85,070.17)</u>	<u>21,661,001.66</u>
Total Liabilities, Deferred Inflows and Fund Balance	<u>25,828,616.15</u>	<u>(103,410.19)</u>	<u>25,932,026.34</u>

Topeka Metropolitan Transit Authority
Cash Balances
As of November 30, 2019

	This Month	Net Changes	Last Month
Cash Account Balances			
Operating			
Operating Cash 1100	191,070.19	(357,766.11)	548,836.30
Customer Service Cash 1120	1,400.00	0.00	1,400.00
Cash in Machines 1130	3,976.00	0.00	3,976.00
Petty Cash 1140	200.00	0.00	200.00
Cash In Bank - Flex Spending 1150	16,541.16	(2,629.75)	19,170.91
MIP - General 1200	2,046,987.01	77,471.25	1,969,515.76
ST Investment - General Reserve 1230	<u>352,391.98</u>	<u>0.00</u>	<u>352,391.98</u>
Total Operating	2,612,566.34	(282,924.61)	2,895,490.95
Designated			
ST Investment - Insurance Reserve 1240	500,000.00	0.00	500,000.00
ST Investment - Capital Reserve 1250	<u>7,900,427.09</u>	<u>8,886.90</u>	<u>7,891,540.19</u>
Total Designated	<u>8,400,427.09</u>	<u>8,886.90</u>	<u>8,391,540.19</u>
Total Cash Account Balances	11,012,993.43	(274,037.71)	11,287,031.14

Topeka Metropolitan Transit Authority

December 16, 2019 Board Meeting

November 2019 Investment Summary

New Investments

none

Transfers

none

Renewals

none

Withdrawals

none

Bank and Investment Account Summary

<u>Bank / Rating</u>	<u>Designated</u>	<u>Operating</u>
CBW Bank - 5	\$ 101,742 (capital)	
Equity Bank - 3	\$ 500,000 (self-ins)	
U.S. Bank NA OH - 4	\$7,798,685 (capital)	\$ 352,392 (emergency)
U.S. Bank NA OH		\$ 191,070 (checking)
Other Cash		\$ 22,117
MIP		\$2,046,987 (operating)
Total	<u>\$8,400,427</u>	<u>\$2,612,566</u>

Note: Bank ratings are obtained on www.bankrate.com – 5 is best.

Topeka Metropolitan Transit Authority
Organization Overall
From 07/01/2019 through 11/30/2019

	YTD Actual	Annual Budget	\$ Remaining	% Used	YTD Last Year
Operating Revenue					
Fares	480,307.98	1,154,989.00	(674,681.02)	41.58%	476,191.02
Advertising	16,595.50	66,000.00	(49,404.50)	25.14%	10,107.32
Product Sales	646.00	1,560.00	(914.00)	41.41%	678.00
Other Revenue	<u>60,159.88</u>	<u>71,300.00</u>	<u>(11,140.12)</u>	<u>84.37%</u>	<u>67,421.62</u>
Total Operating Revenue	<u>557,709.36</u>	<u>1,293,849.00</u>	<u>(736,139.64)</u>	<u>43.10%</u>	<u>554,397.96</u>
Operating Expense					
Salaries and Wages	1,596,785.21	3,678,925.00	2,082,139.79	43.40%	1,545,950.98
Payroll Taxes	190,147.84	468,645.00	278,497.16	40.57%	186,178.93
Paid Time Off	211,510.83	461,200.00	249,689.17	45.86%	208,990.93
Insurance	251,039.50	629,373.00	378,333.50	39.88%	317,973.63
KPERS	174,447.53	386,985.00	212,537.47	45.07%	172,125.62
Other Benefits	9,603.21	29,500.00	19,896.79	32.55%	11,478.82
Legal Services	180.00	10,000.00	9,820.00	1.80%	13,149.60
Audit Services	13,150.00	22,600.00	9,450.00	58.18%	18,900.00
Maintenance Services	92,446.91	337,748.00	245,301.09	27.37%	155,402.34
Other Services	53,950.71	157,335.00	103,384.29	34.29%	123,416.82
Fuel, Lubricants and Tires	210,952.88	540,674.00	329,721.12	39.01%	249,012.49
Maintenance Supplies	137,493.71	285,900.00	148,406.29	48.09%	130,044.61
Other Supplies	165,462.43	418,261.00	252,798.57	39.55%	129,794.47
Utilities and Telephones	48,386.36	174,795.00	126,408.64	27.68%	51,264.83
Insurance	43,483.78	114,498.00	71,014.22	37.97%	39,675.40
Taxes	26,056.30	65,885.00	39,828.70	39.54%	28,034.14
Contracted Lift Service	183,635.00	396,000.00	212,365.00	46.37%	170,808.00
South Topeka Service	64,382.00	78,000.00	13,618.00	82.54%	36,455.00
Continuing Education	1,173.27	17,725.00	16,551.73	6.61%	3,471.77
Advertising	1,442.98	12,450.00	11,007.02	11.59%	3,911.15
Equipment Leases	475.79	960.00	484.21	49.56%	475.70
Self-Insurance Payments	51,200.00	60,000.00	8,800.00	85.33%	5,175.00
Other Expenses	7,532.16	28,200.00	20,667.84	26.70%	7,852.53
Depreciation	<u>652,877.94</u>	<u>1,576,148.00</u>	<u>923,270.06</u>	<u>41.42%</u>	<u>629,560.14</u>
Total Operating Expense	<u>4,187,816.34</u>	<u>9,951,807.00</u>	<u>5,763,990.66</u>	<u>42.08%</u>	<u>4,239,102.90</u>
Operating Excess/(Deficit)	<u>(3,630,106.98)</u>	<u>(8,657,958.00)</u>	<u>5,027,851.02</u>	<u>41.92%</u>	<u>(3,684,704.94)</u>
Non-Operating Revenue					
Mill Levy	353,585.32	5,135,098.00	(4,781,512.68)	6.88%	319,198.74
Federal Operating Funds	572,342.00	2,310,000.00	(1,737,658.00)	24.77%	562,245.00
State Operating Funds	474,242.66	878,108.00	(403,865.34)	54.00%	445,445.65
Other Grants	3,000.00	0.00	3,000.00	0.00%	0.00
MTPO & JEDO Grants	85,118.18	138,000.00	(52,881.82)	61.67%	79,725.75
Interest Earned	85,510.41	228,000.00	(142,489.59)	37.50%	72,699.51
Gain/(Loss) on Disposal	<u>13,112.50</u>	<u>0.00</u>	<u>13,112.50</u>	<u>0.00%</u>	<u>(3,981.99)</u>
Total Non-Operating Revenue	<u>1,586,911.07</u>	<u>8,689,206.00</u>	<u>(7,102,294.93)</u>	<u>18.26%</u>	<u>1,475,332.66</u>
Net Excess/(Deficit)	<u>(2,043,195.91)</u>	<u>31,248.00</u>	<u>(2,074,443.91)</u>	<u>(6,538.64)%</u>	<u>(2,209,372.28)</u>
Capital Items					
Capital Grants	<u>71,896.20</u>	<u>66,080.00</u>	<u>5,816.20</u>	<u>108.80%</u>	<u>228,410.10</u>
Total Capital Items	<u>71,896.20</u>	<u>66,080.00</u>	<u>5,816.20</u>	<u>108.80%</u>	<u>228,410.10</u>
Change in Net Assets	<u>(1,971,299.71)</u>	<u>97,328.00</u>	<u>(2,068,627.71)</u>	<u>(2,025.41)%</u>	<u>(1,980,962.18)</u>

Procurement Calendar
Board Meeting
For Calendar Year 2019
December 16, 2019

January 22 – at board meeting

- b) award QSS intercom system contract (complete)
- c) award Ryan HVAC controller contract (complete)

February 18 – at board meeting

- a) award QSS roof replacement contract (no meeting)

March 18 – at board meeting

- a) ok the HR services RFB (on hold)
- b) award QSS roof replacement contract (not ready)

April 15 – at board meeting

- a) award Group 8.4 pad contract (complete)
- b) award QSS roof replacement contract (complete)

May 20 – at board meeting

- a) ok the bus technology RFP (complete)
- b) award the Walmart West pad contract (complete)

July 22 – at board meeting

- a) ok the DVR replacement RFB (complete)
- b) award the Bus Technology contract (complete)

August 19 – at board meeting

- a) award the 8.5 Bus Stop contract (complete)
- b) award the QSS Ice Melt Boiler contract (complete)
- c) award the Environmental Disposal contract (complete)
- d) award the Uniform contract (complete)
- e) ok the Bus Wash RFB (complete)
- f) ok the Bike Share Connectivity RFB (complete)
- g) ok the HR Services RFB (complete)

September 16 – at board meeting

- a) award the DVR replacement contract (not ready)
- b) ok the After Hours RFB (complete)

October 21 – at board meeting

- a) award the HR Services contract (complete)
- b) ok the Bus Stop Engineer RFQ (complete)

Procurement Calendar
Board Meeting
For Calendar Year 2019
December 16, 2019
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November 18 – at board meeting

- a) award the Bus Wash contract (complete)
- b) award the DVR replacement contract (complete)
- c) ok the bus bench RFB (complete)

December 16 – at board meeting

- a) ok the audit service RFB

Grant Projects to be Scheduled

Security Cameras - \$70,905
QSS Roof Replacement - \$155,000
QSS Information Signs - \$47,607
Paratransit Vehicles - \$763,395

Grant Projects Waiting for Notice to Proceed

Bus Stops Phase 10
Operator Security Barriers
Maintenance Equipment

Recent History of Transfers to Capital Reserves
 Board Meeting
 December 16, 2019

<u>Fiscal Year</u>	<u>Non-Cash Expenses</u>	<u>Excess/ Deficit</u>	<u>Asset Purchases*</u>	<u>Transfer to Cap Reserve</u>	<u>Transfer Shortfall</u>
2015	1,339,430.34	357,296.63	virtually 0	1,700,000.00	n/a
2016	1,613,413.20	126,966.44	536,688.14	1,000,000.00	613,413
2017	1,641,185.00	374,702.49	448,346.37	800,000.00	841,185
2018	1,553,034.67	503,346.28	178,319.62	870,000.00	683,035
2019 Actual	1,511,328.04	212,731.63	201,731.72	1,100,000.00	<u>411,328</u>
Total Shortfall					<u>2,548,961</u>

\$600,000 has been transferred to Capital Reserve; \$500,000 will be transferred in January.

* Assets purchased with operating funds during the fiscal year, net of grants.

December 23, 2019

Request for Bids TO-20-09
Audit Services

Topeka Metropolitan Transit Authority (Metro) is requesting bids from qualified firms to provide audit services. Metro has a single audit of its financial statements performed at the end of each fiscal year. The Metro fiscal year is July 1 through June 30. Total annual budgeted expenses are approximately \$10 million, and Metro currently has 100 employees. The on-site portion of the audit should take place in early September each year. Bidders shall have sufficient governmental accounting experience, auditing experience, and qualifications to complete the single audit for Metro in accordance with the specifications contained in this request for bids.

Metro receives the following types of funding:

- U.S. Department of Transportation and Federal Transit Administration operating and capital grants.
- Kansas Department of Transportation operating and capital grants.
- City of Topeka property tax funding for operating and capital expenses.
- Metropolitan Topeka Planning Organization through the City of Topeka planning grants.
- Bus Fares

Firm Responsibilities

The Firm will be responsible for auditing the basic financial statements each year of the five-year period, and to express an opinion on the basic financial statements based on the audit. The Firm will conduct the audit in accordance with:

- U.S. generally accepted auditing standards
- Standards applicable to financial audits contained in Government Auditing Standards
- Applicable provisions of the Kansas Municipal Audit and Accounting Guide
- The laws and regulations of the State of Kansas
- The Single Audit Act of 1984, SAA Amendments of 1996
- The provisions of CFR Part 200
- Any subsequent amendments to the items listed above
- All other applicable local, state and federal laws and regulations

Metro Responsibilities

- Prepare financial statements in accordance with GAAP and GASBS No. 34.
- Before the audit site visit, and upon Contractor's request, provide any and all financial statements and materials that the auditor requests.
- During the site visit, provide any and all required documents, internal controls, and procedures that the auditor requests.
- Provide the auditor with a Management Discussion & Analysis (MD&A) letter for inclusion in the audit report.

- Return the draft audit report, with proposed revisions, to the auditor within fourteen (14) calendar days.
- Work with the auditors to ensure that the best possible audit report is submitted to the Board.

Specifications

- Obtain reasonable assurance about whether the basic financial statements are free of material misstatement.
- Examine, on a test basis, evidence supporting the amounts and disclosures in the financial statements.
- Assess the accounting principles used and significant estimates made by management, as well as evaluate the overall financial statement presentation.
- Issue a report on management's compliance with requirements applicable to major programs and internal controls, in accordance with CFR Part 200.
- Issue a report on management's internal control over financial reporting in accordance with Government Auditing Standards.
- Examine expenditures of federal awards in accordance with CFR Part 200.
- Hold any and all certifications, licenses and registrations necessary to perform audit services in the United States and the State of Kansas.

A draft of the audit report, and any adjusting journal entries, must be submitted to the Chief Financial Officer by October 31. The contractor will present the draft audit to The Board of Directors of Metro at the November committee meeting, and the final audit report at the November board meeting each year. Ten (10) bound copies of the audit report, ten (10) copies of the Board letter, and one electronic copy of the audit report and board letter shall be supplied to the Chief Financial Officer at least three days before the audit is presented to The Board.

Contract Term

This will be a five-year contract. There will be no options or extensions. During the final six months of this contract, Metro will issue another RFB for these services.

General Instructions

Bids must be submitted in the following format:

- 1) Cover letter signed by the individual authorized to commit the firm to perform the contract requirements, including your firm's name, address, phone, fax, and email;
- 2) A current peer review letter affirming your firm's System of Quality Control;
- 3) Provide a description of your understanding of, and ability to fulfill, the specifications and services requested in this RFB;
- 4) Provide a description of your firm's experience and qualifications. Supply at least three references with current contact information, for which you are currently providing the same or similar services as specified in this RFB; and,
- 5) The completed price quote and certifications on pages 8-12.

In order to be considered for contract award, your bid must be received in the Metro office by **1:00pm on Thursday, January 30, 2020.**

Following are the evaluation criteria, listed by degree of importance. A criterion may have multiple elements with varying degrees of importance.

Qualifications and Experience
Price

The price quote form and the certifications on pages 8-12 are part of your bid and must be completed by all bidders. Bids that do not include the completed price quote and fully executed certifications may not be considered. The successful bidder will be required to follow the contract clauses on pages 4-7.

No advantage shall be taken by the contractor or any subcontractor in fulfilling the terms of this project due to omission of specifications by Metro. Topeka Metro's current DBE goal is 2.00%. There is no DBE goal for this contract. If your firm is a DBE, or if you will be sub-contracting with a DBE, please attach a copy of the current DBE certificate. Upon contract award, all proposals will be public record and posted to Metro's website. Metro recommends that proposers exclude any trade secret, proprietary or confidential information from their proposals.

If you have any questions concerning this RFB, or if you need clarification or additional information, please contact Richard Appelhanz. Bids should be submitted electronically. If submitting bids on paper, please provide three copies. Bids are to be sent to:

Topeka Metropolitan Transit Authority
Attn: Richard Appelhanz
201 North Kansas Avenue
Topeka, KS 66603
785-730-8621
rappelhanz@topekametro.org

The preceding specifications and the following clauses and certifications will be part of the contract.

1.0 ACCESS TO RECORDS

The Contractor agrees to provide Metro, the FTA Administrator, the Comptroller General of the United States or any of their authorized representatives access to any books, documents, papers and records of the Contractor which are directly pertinent to this contract for the purposes of making audits, examinations, excerpts and transcriptions. Contractor also agrees, pursuant to 49 CFR 633.15 to provide the FTA Administrator or his authorized representatives including any PMO Contractor access to Contractor's records and construction sites pertaining to a major capital project, defined at 49 USC 5302 and 49 CFR 633.5, which is receiving federal financial assistance through the programs described at 49 USC 5307, 5309 or 5311. The Contractor agrees to permit any of the foregoing parties to reproduce by any means whatsoever or to copy excerpts and transcriptions as reasonably needed. The Contractor agrees to maintain all books, records, accounts and reports required under this contract for a period of not less than three years after the date of termination or expiration of this contract, except in the event of litigation or settlement of claims arising from the performance of this contract, in which case Contractor agrees to maintain same until Metro, the FTA Administrator, the Comptroller General, or any of their duly authorized representatives, have disposed of all such litigation, appeals, claims or exceptions related thereto. Reference 2 CFR 200.333 and 2 CFR 200.336. FTA does not require the inclusion of these requirements in subcontracts.

2.0 ASSIGNMENT AND DELEGATION

Contractor shall neither delegate any duties or obligations under this contract, nor assign, transfer, convey, sublet, subcontract or otherwise dispose of the contract or its right, duty, title or interest in or to the same, or any part thereof, without previous written consent of Metro.

3.0 CIVIL RIGHTS

- 3.1 Nondiscrimination – In accordance with Title VI of the Civil Rights Act, as amended, 42 USC 2000d, Section 303 of the Age Discrimination Act of 1975, as amended, 42 USC 6102, Section 202 of the Americans with Disabilities Act of 1990, 42 USC 12132, and Federal transit law at 49 USC 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.
- 3.2 Equal Employment Opportunity – The following equal employment opportunity requirements apply to the underlying contract:
 - 3.2.1 Race, Color, Creed, National Origin, Sex – In accordance with Title VII of the Civil Rights Act, as amended, 42 USC 2000e, and Federal transit law at 49 USC 5332, the contractor agrees to comply with all applicable equal employment opportunity requirements of US Department of Labor (USDOL) regulations, "Office of Federal Contract Compliance Programs, Equal Employment Opportunity, Department of Labor," 41 CFR Parts 60 et seq., and with any applicable Federal statutes, executive orders, regulations, and Federal policies that may in the future affect activities undertaken in the course of the project. The contractor agrees to take affirmative action to ensure that applicants are employed, and that employees are treated during employment, without regard to their race, color, creed, national origin, sex, or age. Such action shall include, but not be limited to, the following: employment, upgrading, demotion or transfer, recruitment or recruitment advertising, layoff or termination; rates of pay or other forms of compensation; and selection for training, including apprenticeship. In addition, the contractor agrees to comply with any implementing requirements FTA may issue.
 - 3.2.2 Age – In accordance with Section 4 of the Age Discrimination in Employment Act of 1967, as amended, 29 USC 623 and Federal transit law at 49 USC 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.
 - 3.2.3 Disabilities – In accordance with Section 102 of the Americans with Disabilities Act, as amended, 42 USC 12112, the Contractor agrees that it will comply with the requirements of the US Equal Employment Opportunity Commission, "Regulations to Implement the Equal Employment Provisions of the Americans with Disabilities Act," 29 CFR Part 1630, pertaining to employment of persons with disabilities. In addition, the contractor agrees to comply with any implementing requirements FTA may issue.
- 3.3 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.
- 3.4 If the contract involves federal funds, the provisions of this subsection do not apply. If the contract does not involve federal funds, and if contractor's contracts with Topeka Metro for the current fiscal year cumulatively total more than \$5,000 and the contractor has four or more employees during the term of this contract, the contractor also agrees to observe the provisions of the Kansas Act Against Discrimination and the Kansas Age Discrimination in Employment Act and shall not discriminate against any person in the performance of work under this contract because of race, religion, color, sex, disability, national origin or ancestry. In all solicitations or advertisements for employees, the contractor shall include the phrase, "equal opportunity employer," or a similar phrase to be approved by Topeka Metro. If the contractor fails to comply with the reporting or other requirements of the Kansas Human Rights Commission under K.S.A. 44-1031 or K.S.A. 44-1116, and amendments thereto, the contractor shall be deemed to have breached this contract and it may be canceled, terminated or suspended, in whole or in part, by Topeka Metro. If contractor is found guilty of a violation of the Kansas Act Against Discrimination or the Kansas Age Discrimination in Employment Act under a decision or order of the Kansas Human Rights Commission which has become final,

the contractor shall be deemed to have breached the present contract and it may be canceled, terminated or suspended, in whole or in part, by Topeka Metro. Contractor agrees to include the binding provisions of this subsection in every subcontract or purchase order so that such provisions will be binding upon such subcontractor or vendor.

4.0 COMPLIANCE WITH LOCAL, STATE AND FEDERAL LAWS

Contractor shall at all times be solely responsible for complying with all applicable local, state and federal laws, ordinances and regulations in connection with the performance of this contract.

5.0 CONFIDENTIALITY

Between the date and time that proposals are due, until award of the contract by Metro, no information will be released which may have an adverse impact upon the negotiations or selection process. No information will be shared about the distinguishing characteristics or deficient characteristics of any proposal. All documents received by Metro are subject to the Kansas Open Records Act, KSA 45-215, et seq., and the Freedom of Information Act, 5 USC 552.

6.0 CONFLICT OF INTEREST

No director or employee of Topeka Metropolitan Transit Authority, during his/her tenure or within one year thereafter, shall have any interest, direct or indirect, in this contract or the proceeds thereof.

7.0 CONTRACT CHANGES

Any proposed change to this contract shall be submitted to Metro in writing for approval. No change in this contract shall be made unless Metro gives prior written approval. Contractor shall be liable for all costs, damages and/or liabilities, and for proper corrections, resulting from any specification change not properly approved in writing by Metro. Changes that have not been approved by Metro shall place Contractor in default of the contract.

8.0 DISADVANTAGED BUSINESS ENTERPRISE (DBE)

- 8.1 This contract is subject to the requirements of 49 CFR 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%. Metro's overall 2019-2021 goal for DBE participation is 2.00%; the race neutral goal is 1.12%, and the race conscious goal is 0.88%. There is no contract goal for this procurement.
- 8.2 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 Metro deems appropriate. Each subcontract the contractor signs with a subcontractor must include the assurance in this paragraph (see 49 CFR 26.13(b)).
- 8.3 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 Metro.
- 8.4 The contractor may not hold retainage from its subcontractors.
- 8.5 The contractor must promptly notify Metro, 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 Metro.

9.0 ENERGY CONSERVATION

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

10.0 EXCLUSIONARY OR DISCRIMINATORY SPECIFICATIONS

Metro will comply with the requirements of 49 USC 5323(h)(2) by refraining from using any Federal assistance awarded by FTA to support procurements using exclusionary or discriminatory specifications.

11.0 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 Metro and FTA, as they may be amended or promulgated from time to time during the term of this contract. Contractor's failure to so comply shall constitute a material breach of this contract.

12.0 INCORPORATION OF FTA TERMS

These contract provisions include, in part, certain Standard Terms and Conditions required by USDOT, whether or not expressly set forth in the included contract provisions. All contractual provisions required by USDOT, as set forth in the current version of FTA Circular C 4220.1, are hereby incorporated by reference. Anything to the contrary herein notwithstanding, all FTA mandated terms shall be deemed to control in the event of a conflict with other provisions contained in this Agreement. The contractor shall not perform any act, fail to perform any act, or refuse to comply with any Metro requests which would cause Metro to be in violation of the FTA terms and conditions.

13.0 INDEMNIFICATION

Contractor shall be responsible for and indemnify, defend and hold harmless Metro, its directors and employees from all demands, claims, suits and settlements for loss of or damages to property, or personal injuries, including death to persons, and from all judgments recovered, and from all expenses incurred in defending or settling said claims or suits, or enforcing this provision, including court costs and attorney fees and other expenses arising out of the errors, omissions or negligent acts of the Contractor, its employees, or agents in connection with the goods and/or services provided under this contract.

14.0 INSURANCE

Contractor shall maintain for the duration of the contract such insurance as will protect it and Metro from all claims, including Workers' Compensation, and will hold Metro harmless from, and indemnify Metro for, all claims and damages which may arise out of or result from the Contractor's operations under this contract, whether such operations are by Contractor, by a subcontractor, by anyone directly or indirectly employed by them, or by anyone for whose acts any of them may be liable. Contractor will submit certificates or other proof of insurance to Metro, naming Metro as an additional insured, upon notification of contract award.

15.0 INTEREST OF CONGRESS

No member of or delegate to the Congress of the United States of America shall be admitted to any share or part of this contract or to any benefit arising therefrom.

16.0 NO FEDERAL GOVERNMENT OBLIGATION TO THIRD PARTIES

Metro and the contractor acknowledge and agree that, notwithstanding any concurrence by the Federal Government in or approval of the solicitation or award of this 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 Metro, the contractor, or any other party (whether or not a party to this contract) pertaining to any matter resulting from this contract. The contractor agrees to include the above clause in each subcontract financed in whole or in part with Federal assistance provided by FTA. It is further agreed that this clause shall not be modified, except to identify the subcontractor who will be subject to its provision.

17.0 PATENT INFRINGEMENT

Contractor agrees that it will, at its own expense, defend all suits and all proceedings instituted against Metro, if such suits and proceedings are based on any claim that the materials or equipment provided by Contractor, or any part thereof, or any tool, article or process used in the manufacture thereof, constitutes an infringement of any patent. Metro will give Contractor prompt notice in writing of any suit or proceeding, and will give Contractor all needed information, assistance and authority to enable Contractor, through its legal counsel, to defend the same.

18.0 PROGRAM FRAUD AND FALSE OR FRAUDULENT STATEMENTS

- 18.1 The contractor acknowledges that the provisions of the Program Fraud Civil Remedies Act of 1986, as amended, 31 USC 3801, et seq. and US DOT regulations, "Program Fraud Civil Remedies," 49 CFR Part 31, apply to its actions pertaining to this project. Upon execution of this 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 this contract or the FTA assisted project for which this contract work is being performed. In addition to other penalties that may be applicable, the contractor further acknowledges that if it makes, or causes to be made, a false, fictitious, or fraudulent claim, statement, submission, or certification, the Federal Government reserves the right to impose the penalties of the Program Fraud Civil Remedies Act of 1986 on the contractor to the extent the Federal Government deems appropriate.
- 18.2 The contractor also acknowledges that if it makes, or causes to be made, a false, fictitious, or fraudulent claim, statement, submission, or certification to the Federal Government under a contract connected with a project that is financed in whole or in part with Federal assistance originally awarded by FTA under the authority of 49 USC 5307, the Government reserves the right to impose the penalties of 18 USC 1001 and 49 USC 5307 on the contractor, to the extent the Federal Government deems appropriate.
- 18.3 The contractor agrees to include the above two clauses in each subcontract financed in whole or in part with Federal assistance provided by FTA. It is further agreed that the clauses shall not be modified, except to identify the subcontractor who will be subject to the provisions.

19.0 SUSPENSION AND DEBARMENT

In accordance with 2 CFR Parts 180 and 1200, the contractor is required to verify that none of its principals or affiliates: 1) is included on the federal government's suspended and debarred list; 2) is proposed for debarment, declared ineligible, voluntarily excluded or disqualified; 3) within three years preceding this proposal, has not been convicted of or had a civil judgment rendered against them for (a) commission of fraud or criminal offense pertaining to performing a public transaction, (b) violation of any federal or state antitrust statute, or (c) embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements or receiving stolen property; 4) is indicted or charged by a governmental entity for any of the charges in 3) above; and 5) has had any public transaction terminated for cause or default within three years preceding this proposal. The contractor is required to include this requirement in any subcontracts related to this contract. By signing and submitting its proposal, the proposer certifies that the certification in this clause is a material representation of fact relied upon by Metro. If it is later determined that the proposer knowingly rendered an erroneous certification, in addition to remedies available to Metro, the Federal Government may pursue available remedies, including but not limited to suspension and/or debarment. The proposer agrees to verify that none of its principals or affiliates is included on the federal government's suspended and debarred list at any time throughout the period of this contract. The proposer further agrees to include a provision requiring the same compliance in its subcontracts related to this contract.

20.0 TERMINATION

Termination for Convenience – Metro may terminate this contract, in whole or in part, at any time by written notice to the contractor when it is in the Metro'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 Metro to be paid to the contractor. If the contractor has any property in its possession belonging to Metro, the contractor will account for the same, and dispose of it in the manner Metro directs.

Termination for Default – 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, Metro 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 Metro 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, Metro, 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.

Opportunity to Cure – Metro in its sole discretion may, in the case of a termination for breach or default, allow the contractor ten (10) days 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 Metro'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 Metro setting forth the nature of said breach or default, Metro shall have the right to terminate the contract without any further obligation to the contractor. Any such termination for default shall not in any way operate to preclude Metro from also pursuing all available remedies against contractor and its sureties for said breach or default.

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

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



PRICE QUOTE

Audit for Fiscal Year Ended 06/30/2020 \$ _____

Audit for Fiscal Year Ended 06/30/2021 \$ _____

Audit for Fiscal Year Ended 06/30/2022 \$ _____

Audit for Fiscal Year Ended 06/30/2023 \$ _____

Audit for Fiscal Year Ended 06/30/2024 \$ _____

Additional Charges \$ _____

_____ \$ _____

_____ \$ _____

_____ \$ _____

_____ \$ _____

Topeka Metro is tax exempt. Do not include sales tax in your proposed price.

DISADVANTAGED BUSINESS ENTERPRISES (DBE) CERTIFICATION

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%. Metro's overall 2019-2021 goal for DBE participation is 2.00%; the race neutral goal is 1.12%, and the race conscious goal is 0.88%. There is no contract goal for this procurement.

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 Metro deems appropriate. Each subcontract the contractor signs with a subcontractor must include the assurance in this paragraph (see 49 CFR 26.13(b)).

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 Metro.

The contractor may not hold retainage from its subcontractors.

The contractor must promptly notify Metro 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 Metro.

Signature: _____

Name and Title: _____

Company Name: _____

Date: _____

NON-COLLUSION CERTIFICATION

This is my sworn statement to certify that this proposal was not made in the interest of or on behalf of any undisclosed entity. This proposal is not collusive.

This proposer has not been a party to any agreement or collusion in restraint of freedom of competition by agreement to bid a fixed price, to refrain from bidding, or otherwise. This proposer has not, directly or indirectly, by agreement, communication or conference with anyone, attempted to induce action prejudicial to the interest of Topeka Metropolitan Transit Authority, or of any proposer, or anyone else interested in the proposed contract.

Signature: _____

Name and Title: _____

Company Name: _____

Date: _____

QUALIFICATION CERTIFICATION

The undersigned, being duly authorized to sign and act for the proposer, hereby certifies that all parties involved in the Project as specified in this RFP hold any and all degrees, certifications, and licenses necessary in order to provide goods and/or perform services in the State of Kansas.

Signature: _____

Name and Title: _____

Company Name: _____

Date: _____



SUSPENSION / DEBARMENT CERTIFICATION

In regard to 2 CFR Parts 180 and 1200

In accordance with 2 CFR Parts 180 and 1200, the contractor is required to verify that none of its principals or affiliates:

- 1) is included on the federal government's suspended and debarred list;
- 2) is proposed for debarment, declared ineligible, voluntarily excluded or disqualified;
- 3) within three years preceding this proposal, has been convicted of or had a civil judgment rendered against them for (a) commission of fraud or criminal offense pertaining to performing a public transaction, (b) violation of any federal or state antitrust statute, or (c) embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements or receiving stolen property;
- 4) is indicted or charged by a governmental entity for any of the charges in 3) above; and
- 5) has had any public transaction terminated for cause or default within three years preceding this proposal.

The contractor is required to include this requirement in any subcontracts related to this contract.

By signing and submitting its proposal, the proposer certifies that the certification in this clause is a material representation of fact relied upon by Metro. If it is later determined that the proposer knowingly rendered an erroneous certification, in addition to remedies available to Metro, the Federal Government may pursue available remedies, including but not limited to suspension and/or debarment. The proposer agrees to verify that none of its principals or affiliates is included on the federal government's suspended and debarred list at any time throughout the period of this contract. The proposer further agrees to include a provision requiring the same compliance in its subcontracts related to this contract.

Signature: _____

Name and Title: _____

Company Name: _____

Date: _____