



# Utah Transit Authority

## Board of Trustees

### REGULAR MEETING AGENDA

669 West 200 South  
Salt Lake City, UT 84101

**Wednesday, October 23, 2024**

**9:00 AM**

**FrontLines Headquarters**

The UTA Board of Trustees will meet in person at UTA FrontLines Headquarters (FLHQ) 669 W. 200 S., Salt Lake City, Utah.

**For remote viewing, public comment, and special accommodations instructions, please see the meeting information following this agenda.**

1. **Call to Order and Opening Remarks** Chair Carlton Christensen
2. **Pledge of Allegiance** Chair Carlton Christensen
3. **Safety First Minute** Viola Miller
4. **Public Comment** Chair Carlton Christensen
5. **Consent** Chair Carlton Christensen
  - a. Approval of October 9, 2024 Board Meeting Minutes
  - b. Approval of October 10, 2024 Board Budget Hearing Minutes
  - c. Quarterly Disbursement Report - Vehicle Parts Inventory Vendors - Q3 2024
  - d. Quarterly Disbursement Report - Non-Inventory Vendors - Q3 2024
  - e. 2024 Fraud Risk Assessment
6. **Reports**
  - a. Executive Director Report Jay Fox
    - Continuous Improvement Excellence Award - Ashley Crump
  - b. Strategic Plan Minute: Moving Utahns to a Better Quality of Life - Deploy Operator Staffing Strategies Jay Fox
  - c. Discretionary Grants Report Tracy Young  
Gregg Larsen
  - d. Pension Committee Report Jeff Acerson

**7. Resolutions**

- a. R2024-10-02 - Resolution Authorizing the Executive Director to Execute Grant Agreements for Specified Projects Gregg Larsen  
Alma Haskell
- b. R2024-10-03 - Resolution Granting Contract and Expenditure Authority to Non-Inventory Vendors Eric Barrett
- c. R2024-10-04 - Resolution Giving Notice and Setting Regular Meeting Dates for the Authority's Board of Trustees and Audit Committee for Calendar Year 2025 Carlton Christensen

**8. Contracts, Disbursements and Grants**

- a. Contract: 5600 West Bus Route Final Design Services (WSP USA Inc.) Jared Scarbrough  
Ethan Ray
- b. Contract: Mobile Trip Planning Software and Services (Transit) Kyle Brimley  
G.J. LaBonty
- c. Contract: Twenty New Light Rail Vehicles (Stadler US) David Hancock  
Kyle Stockley
- d. Disbursement: Employee Appreciation Holiday Gift Rob Lamph  
Mary Ann Schwalbendorf

**9. Discussion Items**

- a. Capital Program Report - Third Quarter 2024 David Hancock  
Carlie Torres  
Jacob Wouden
- b. UTA Tentative to Final 2025 Budget Change Overview Viola Miller

**10. Other Business**

Chair Carlton Christensen

- a. Next Meeting: Wednesday, November 13th, 2024 at 9:00 a.m.

**11. Closed Session**

Chair Carlton Christensen

- a. Strategy Session to Discuss the Purchase, Exchange, or Lease of Real Property AND Collective Bargaining

**12. Open Session**

Chair Carlton Christensen

**13. Adjourn**

Chair Carlton Christensen

**Meeting Information:**

- Special Accommodation: Information related to this meeting is available in alternate format upon request by contacting [adacompliance@rideuta.com](mailto:adacompliance@rideuta.com) or (801) 287-3536. Request for accommodations should be made at least two business days in advance of the scheduled meeting.
- Meeting proceedings may be viewed remotely by following the meeting portal link on the UTA Public Meeting Portal - <https://rideuta.legistar.com/Calendar.aspx>
- In the event of technical difficulties with the remote connection or live-stream, the meeting will proceed in person and in compliance with the Open and Public Meetings Act.
- Public Comment may be given live during the meeting by attending in person at the meeting location OR by joining the remote Zoom meeting below.
  - o Use this link [https://rideuta.zoom.us/webinar/register/WN\\_OWqYljXxTQC8kikObXjesA](https://rideuta.zoom.us/webinar/register/WN_OWqYljXxTQC8kikObXjesA) and follow the instructions to register for the meeting (you will need to provide your name and email address).
  - o Sign on to the Zoom meeting through the URL provided after registering
  - o Sign on 5 minutes prior to the meeting start time.
  - o Use the "raise hand" function in Zoom to indicate you would like to make a comment.
  - o Comments are limited to 3 minutes per commenter.
- Public Comment may also be given through alternate means. See instructions below.
  - o Comment online at <https://www.rideuta.com/Board-of-Trustees>
  - o Comment via email at [boardoftrustees@rideuta.com](mailto:boardoftrustees@rideuta.com)
  - o Comment by telephone at 801-743-3882 option 5 (801-RideUTA option 5) – specify that your comment is for the board meeting.
  - o Comments submitted before 2:00 p.m. on Tuesday, October 22nd will be distributed to board members prior to the meeting.
- Meetings are audio and video recorded and live-streamed
- Members of the Board of Trustees and meeting presenters will participate in person, however trustees may join electronically as needed with 24 hours advance notice.
- Motions, including final actions, may be taken in relation to any topic listed on the agenda.



# Utah Transit Authority

669 West 200 South  
Salt Lake City, UT 84101

## MEETING MEMO

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**Board of Trustees**

**Date:** 10/23/2024

**TO:** Board of Trustees  
**THROUGH:** Jana Ostler, Board Manager  
**FROM:** Jana Ostler, Board Manager

**TITLE:**

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**Approval of October 9, 2024 Board Meeting Minutes**

**AGENDA ITEM TYPE:**

Minutes

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**RECOMMENDATION:**

Approve the minutes of the October 9, 2024, Board of Trustees meeting

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**BACKGROUND:**

A meeting of the UTA Board of Trustees was held in person at UTA Frontlines Headquarters and broadcast live via the UTA Public Meeting Web Portal on Wednesday October 9, 2024 at 9:00 a.m. Minutes from the meeting document the actions of the Board and summarize the discussion that took place in the meeting. A full audio recording of the meeting is available on the [Utah Public Notice Website](https://www.utah.gov/pmn/sitemap/notice/944883.html) <<https://www.utah.gov/pmn/sitemap/notice/944883.html>> and video feed is available through the [UTA Public Meeting Portal](https://rideuta.legistar.com/Calendar.aspx) <<https://rideuta.legistar.com/Calendar.aspx>>.

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**ATTACHMENTS:**

1. 2024-10-09\_BOT\_Minutes\_unapproved



# Utah Transit Authority

## Board of Trustees

### MEETING MINUTES - Draft

669 West 200 South  
Salt Lake City, UT 84101

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**Wednesday, October 9, 2024**

**9:00 AM**

**FrontLines Headquarters**

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**Present:**  
Chair Carlton Christensen  
Trustee Beth Holbrook  
Trustee Jeff Acerson

Also attending were UTA staff and interested community members.

**1. Call to Order and Opening Remarks**

Chair Carlton Christensen welcomed attendees and called the meeting to order at 9:00 a.m.

**2. Pledge of Allegiance**

Attendees recited the Pledge of Allegiance.

**3. Safety First Minute**

Heather Barnum, UTA Chief Communications Officer, delivered a brief safety message.

**4. Public Comment**

**In Person/Virtual Comment**

No in person or virtual comment was given.

**Online Comment**

No online comment was received.

**5. Consent**

**a. Approval of September 25, 2024 Board Meeting Minutes**

A motion was made by Trustee Holbrook, and seconded by Trustee Acerson, to approve the consent agenda. The motion carried by a unanimous vote.

**6. Reports**

**a. Executive Director Report**

**- Sales Tax Revenue Refunding Bonds Issuance**

Jay Fox, UTA Executive Director, was joined by Brian Reeves, UTA Associate Chief Financial Officer, and Brian Baker, with Zions Public Finance.

Fox began by reporting system ridership year-over-year is strong.

Reeves and Baker then reported on the agency's recent issuance of sales tax revenue refunding bonds. The transaction redeemed all outstanding UTA Build America Bonds (BABs), purchased \$83 million additional tendered bonds of various maturities, removed subsidy payment risk, and decreased debt service by \$85 million.

Discussion ensued. Questions on BAB refunding for other agencies in Utah, bond market conditions, and similar transactions made at a national level were posed by the board and answered by staff.

**b. Strategic Plan Minute: Generating Critical Economic Return - Finance School**

Jay Fox highlighted the UTA Finance School initiative, which was implemented to increase the financial acumen of employees across the agency.

**c. Financial Report - August 2024**

Brian Reeves was joined by Brad Armstrong, UTA Director of Budget & Financial Strategy, and Greg Andrews, UTA Senior Financial Analyst.

Staff reviewed the following:

- Financial dashboard
- Sales tax revenue
- Sales tax collections by county
- Sales tax growth and passenger revenues
- Full-time equivalent (FTE) staffing
- Operating financial results
- Capital spending by chief office
- Capital year-to-date spending

Discussion ensued. Questions on budgeted sales tax revenue projections for 2025, debt service results numbers, grant drawdowns, and capital budget expenditure allocations were posed by the board and answered by staff. Chair Christensen recommended including more compressed natural gas (CNG) vehicles in UTA's fleet to reduce cost per mile.

**7. Resolutions**

**a. R2024-10-01 - Resolution Authorizing Execution of an Interlocal Cooperation Agreement with Salt Lake County for Evidence Management Services**

Dalan Taylor, UTA Chief of Police & Public Safety Manager, was joined by Jason Petersen, UTA Police Captain.

Petersen summarized the resolution, which authorizes execution of an interlocal

cooperation agreement with Salt Lake County for evidence management services. The agreement has a term of four years and a not-to-exceed value of \$35,000.

Discussion ensued. Questions on the capacity of the storage facility and contract impacts were posed by the board and answered by staff.

A motion was made by Trustee Acerson, and seconded by Trustee Holbrook, that this resolution be approved. The motion carried by the following vote:

Aye: Chair Christensen, Trustee Holbrook, and Trustee Acerson

## 8. Contracts, Disbursements and Grants

### a. **Contract: Police Vehicle Replacements (Young Chevrolet, Inc.)**

Dalan Taylor was joined by Jason Petersen.

Petersen requested the board approve an \$883,813 contract with Young Chevrolet, Inc. for the purchase of 17 new police patrol vehicles.

Discussion ensued. Questions on the fleet vehicle status, vehicle rotation objectives, and delivery timeline were posed by the board and answered by Petersen.

A motion was made by Trustee Holbrook, and seconded by Trustee Acerson, that this contract be approved. The motion carried by a unanimous vote.

### b. **Contract: Police Vehicle Upfitting (Vehicle Lighting Solutions)**

Dalan Taylor was joined by Jason Petersen.

Petersen requested the board approve a \$280,000 contract with Vehicle Lighting Solutions for police vehicle upfittings.

A motion was made by Trustee Acerson, and seconded by Trustee Holbrook, that this contract be approved. The motion carried by a unanimous vote.

### c. **Contract: Lehi Pedestrian Bridge and Mainline Path Repairs (Granite Construction Company)**

Jared Scarbrough, UTA Director of Capital Design & Construction, was joined by Grey Turner, UTA Manager - Civil Engineering & Design.

Staff requested the board approve a \$799,273 contract with Granite Construction Company for repairs on the Lehi pedestrian bridge and Mainline path.

Discussion ensued. A question on future design analysis was posed by the board and answered by staff.

A motion was made by Trustee Holbrook, and seconded by Trustee Acerson, that this

contract be approved. The motion carried by a unanimous vote.

d. **Contract: TRAX and FrontRunner Rail Platform Real Time Digital Signage Equipment (International Display Systems, Inc.)**

Kyle Brimley, UTA IT Director, was joined by Shawn Stephens, UTA Manager - IT Project Management Office.

Brimley requested the board approve a contract with International Display Systems, Inc. (IDS) for real-time digital signage equipment. The contract has a three-year base term with two additional one-year options. The total contract value for the base term and two option years is \$2,130,386.96.

Discussion ensued. A question on sign capabilities was posed by the board and answered by staff.

A motion was made by Trustee Acerson, and seconded by Trustee Holbrook, that this contract be approved. The motion carried by a unanimous vote.

e. **Contract: Cohesity Backup and Recovery System Support Annual Subscription (CVE Technologies Group, Inc.)**

Kyle Brimley was joined by Tom Smith, UTA IT Network Support Manager.

Brimley requested the board approve a \$233,254.98 contract with CVE Technologies Group, Inc. for an annual data backup support subscription.

Discussion ensued. A question on the backup system functionality was posed by the board and answered by staff.

A motion was made by Trustee Holbrook, and seconded by Trustee Acerson, that this contract be approved. The motion carried by a unanimous vote.

f. **Contract: Automatic Passenger Counting (APC) System Upgrade for Bus and Rail (Urban Transportation Associates, Inc.)**

Kyle Brimley was joined by Shawn Stephens.

Brimley requested the board approve a contract with Urban Transportation Associates, Inc. for an upgrade to the APC system on bus and rail. The contract has a not-to-exceed value of \$2,382,795 that applies to the three-year term. The contract also includes two additional one-year options. Exercise of the options will require additional board approval.

Discussion ensued. Questions on the implementation impacts and timeline were posed by the board and answered by staff. Chair Christensen noted the agency is under federal requirement to report ridership data.

A motion was made by Trustee Acerson, and seconded by Trustee Holbrook, that this

contract be approved. The motion carried by a unanimous vote.

**g. Contract: Procurement Consulting Services (Concordant, LLC)**

Todd Mills, UTA Director of Supply Chain, requested the board approve a contract with Concordant, LLC for procurement consulting services. The contract has a base term of one year with two additional one-year options. The contract has a total not-to-exceed value of \$959,727.05, including the option years.

Discussion ensued. Questions on expected consultant work and anticipated length of need for services were posed by the board and answered by Mills.

A motion was made by Trustee Holbrook, and seconded by Trustee Acerson, that this contract be approved. The motion carried by a unanimous vote.

**h. Contract: Critical Connections Study Funding Agreement (UDOT)**

Patti Garver, UTA Manager of Environmental Compliance & Sustainability, requested the board approve a \$500,000 contract with the Utah Department of Transportation (UDOT) for a critical connections study, which would evaluate the nature of east to west transportation in Salt Lake City and recommend an infrastructure solution or program of solutions for further consideration and/or implementation.

[Note: A previous version of this agreement was approved by the UTA Board of Trustees on December 20, 2023. The signatories on the previous version included UDOT, the Redevelopment Agency of Salt Lake City (RDA), Salt Lake City, and UTA. However, UDOT requested a new agreement specific to UDOT and UTA. A separate agreement will be completed among UDOT, RDA, and Salt Lake City. This contract rescinds and replaces the December 20, 2023, agreement.]

A motion was made by Trustee Acerson, and seconded by Trustee Holbrook, that this contract be approved. The motion carried by a unanimous vote.

**9. Budget and Other Approvals**

**a. TBA2024-10-01 - Technical Budget Adjustment - 2024 Capital Program**

Daniel Hofer, UTA Director of Capital Programs & Support, was joined by Greg Andrews.

Hofer summarized the technical budget adjustment, which reallocates \$6.011 million in the existing 2024 capital budget to aid in project delivery. The adjustment has a net neutral impact on the fund balance.

Discussion ensued. Questions on funding sources for the FrontRunner 2x project, status on various projects, project cost increases, how cost increases are accommodated in the five-year capital plan, procurement delay impacts, and procurement lead time management were posed by the board and answered by staff.

A motion was made by Trustee Holbrook, and seconded by Trustee Acerson, that this technical budget adjustment be approved. The motion carried by a unanimous vote.

## 10. Discussion Items

### a. 2024-2025 UTA Insurance Program and Renewals

Brian Reeves was joined by Dave Pitcher, UTA Claims & Insurance Manager, and Katy Seeley, UTA Workers Compensation Administrator.

Pitcher reported on UTA's insurance program and renewals, including:

- Public officials errors and omissions coverage
- Blanket excess liability
- Premises liability
- Policy professional liability
- General liability
- Auto liability
- Public officials E&O employment practices
- Railroad liability
- Workers compensation coverage
- Property liability
- Cyber liability
- Vanpool coverage
- Railroad protective liability
- Terrorism liability
- Fiduciary liability
- Crime coverage
- Drone liability

Overall, there is a 3.08% increase in 2024-25 premiums over 2023-2024.

Pitcher also noted in 2023 the board approved projected expenditures under the Insurance Brokerage Service contract over the next five years. The projected expenditure for 2024-2025 was \$3,631,399.50 and the actual expenditure will be \$3,722,780.00, resulting in an overage of \$91,380.50 over the projected expenditure amount for 2024. The total approved expenditures for five years has not been exceeded.

Discussion ensued. Questions on criteria for determining public officials coverage, tort immunity caps, and property insurance rates were posed by the board and answered by staff.

Chair Christensen called for a recess at 10:36 a.m.

The meeting reconvened at 10:45 a.m.

**b. 2025-2029 Five Year Service Plan**

Nichol Bourdeaux, UTA Chief Planning & Engagement Officer, was joined by Eric Callison, UTA Manager of Service Planning.

Callison reviewed the UTA 2025-2029 Five-Year Service Plan, including the plan purpose, timeline, final draft revision process, and proposed phasing for April change days throughout the plan's duration. The presentation focused on adjustments made to the plan as a result of public feedback.

Discussion ensued. Questions on route 417 end of line, route 219 end of line, planned changes in the Ogden area in 2026, Holladay City feedback on proposed route changes, MVX start-up following construction completion, and route 17 adjustments were posed by the board and answered by staff.

**c. TechLink TRAX Study Update and Locally Preferred Alternative Recommendation**

Nichol Bourdeaux was joined by Patti Garver and Alex Beim, UTA Manager of Long-Range Strategic Planning.

Staff provided an overview and background of the Techlink TRAX Study. They discussed project goals and the study timeline. They then reviewed alternatives that were considered and presented the preferred technical evaluation recommendation, which was determined following a public engagement process. The locally preferred alternative is identified as alternative 3 in the study document. This alternative provides a direct TRAX connection along 400 West and a potential future connection to the TRAX Salt Lake Central Station. Staff concluded by outlining the next steps in the implementation process.

Discussion ensued. Questions on TRAX service intervals across alternatives, decisions regarding route planning and the Salt Lake Central Station, and Salt Lake City's plans for the Rio Grande building were posed by the board and answered by staff. The board requested additional information on the locally preferred alternative recommendation and its long-term impacts to the UTA system. Chair Christensen recommended including the Salt Lake Central Station area in the environmental work for the project.

**d. UTA Economic Value Study**

Alex Beim was joined by Dede Murray, UTA Strategic Planner III.

Murray provided an overview of the study purpose, economic return statistics, and key findings, such as:

- Investing in UTA benefits Utah's economy
- Most of the benefits of transit occur to non-users

- Existing transit results in mileage and time cost savings to Utah households and businesses beyond the cost of the service
- The positive impacts of transit performance greatly outweigh the adverse impacts of the taxes and fares that support the system

Discussion on the community benefits of transit ensued. Chair Christensen recommended the study results be made available to UTA's partners and the public.

**11. Other Business**

- a. Next Meeting: Wednesday, October 23rd, 2024 at 9:00 a.m.

**12. Adjourn**

A motion was made by Trustee Acerson, and seconded by Trustee Holbrook, to adjourn the meeting. The motion carried by a unanimous vote and the meeting adjourned at 11:38 a.m.

Transcribed by Cathie Griffiths  
Executive Assistant to the Board Chair  
Utah Transit Authority

This document is not intended to serve as a full transcript as additional discussion may have taken place; please refer to the meeting materials or audio located at <https://www.utah.gov/pmn/sitemap/notice/944883.html> for entire content. Meeting materials, along with a time-stamped video recording, are also accessible at [https://rideuta.granicus.com/player/clip/324?view\\_id=1&redirect=true](https://rideuta.granicus.com/player/clip/324?view_id=1&redirect=true).

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

Approved Date:

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Carlton J. Christensen  
Chair, Board of Trustees



# Utah Transit Authority

669 West 200 South  
Salt Lake City, UT 84101

## MEETING MEMO

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**Board of Trustees**

**Date:** 10/23/2024

**TO:** Board of Trustees  
**THROUGH:** Jana Ostler, Board Manager  
**FROM:** Jana Ostler, Board Manager

**TITLE:**

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**Approval of October 10, 2024 Board Budget Hearing Minutes**

**AGENDA ITEM TYPE:**

Minutes

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**RECOMMENDATION:**

Approve the minutes of the October 10, 2024, Board of Trustees Budget Hearing

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**BACKGROUND:**

The UTA Board of Trustees held a budget hearing in person at UTA Frontlines Headquarters and broadcast the hearing live via the UTA Public Meeting Web Portal on Thursday October 10, 2024 at 5:30 p.m. Minutes from the hearing document the actions of the Board and summarize the discussion that took place in the meeting. A full audio recording of the meeting is available on the [Utah Public Notice Website](https://www.utah.gov/pmn/sitemap/notice/943021.html) <<https://www.utah.gov/pmn/sitemap/notice/943021.html>> and video feed is available through the [UTA Public Meeting Portal](https://rideuta.legistar.com/Calendar.aspx) <<https://rideuta.legistar.com/Calendar.aspx>>.

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**ATTACHMENTS:**

1. 2024-10-10\_BOT\_Budget Hearing\_Minutes\_unapproved



# Utah Transit Authority

## Board of Trustees

### MEETING MINUTES - Draft

669 West 200 South  
Salt Lake City, UT 84101

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Thursday, October 10, 2024

5:00 PM

FrontLines Headquarters

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#### Public Hearing - 2025 Tentative Budget

**Present:**  
Chair Carlton Christensen  
Trustee Beth Holbrook  
Trustee Jeff Acerson

Also attending were UTA staff and interested community members.

#### 1. Call to Order and Opening Remarks

Chair Carlton Christensen welcomed attendees and called the meeting to order at 5:30 p.m. Note that an informational public open house began at 5:00 p.m.

#### 2. Pledge of Allegiance

Attendees recited the Pledge of Allegiance.

#### 3. Safety First Minute

Alisha Garrett, UTA Chief Enterprise Strategy Officer, delivered a brief safety message.

#### 4. Budget Overview

##### a. UTA Tentative 2025 Budget Overview

Jay Fox, UTA Executive Director, reviewed the 2025 budget approach, guiding priorities, and alignment with the agency's strategic plan.

Brad Armstrong, UTA Director of Budget & Financial Strategy, provided an overview of the 2025 operating budget, including expenses by category, office, mode, and full-time equivalents (FTEs), along with a summary of the 2024 capital budget.

Fox described several initiatives included in the 2025 budget.

Armstrong concluded by outlining the budget approval process.

#### 5. Public Comment

Jolisha Branch, UTA Public Hearing Liaison, provided information on the public comment

period on the tentative budget. The public comment period is currently open. Comments are welcome and can be submitted through 5:00 p.m. on November 6, 2024, through any of the following ways:

- Email: [hearingofficer@rideuta.com](mailto:hearingofficer@rideuta.com) <mailto:hearingofficer@rideuta.com>
- Phone: 801-743-3888
- Mail: Utah Transit Authority, C/O Jolisha Branch, 669 W 200 S, Salt Lake City, UT 84101
- Website: [www.rideuta.com/budget](http://www.rideuta.com/budget) <http://www.rideuta.com/budget>

#### **In Person/Virtual Comment**

In person comment was given by Mary Rose Eargle, Adam Danos, and Claudia Johnson.

Virtual comment was made by Zach Scriven.

A transcript of the public comment is included in Appendix A to these minutes.

#### **Online Comment**

No online comment was received for today's meeting.

#### **6. Adjourn**

A motion was made by Trustee Holbrook, and seconded by Trustee Acerson, to adjourn the meeting. The motion carried by a unanimous vote and the meeting adjourned at 5:59 p.m.

Transcribed by Cathie Griffiths  
Executive Assistant to the Board Chair  
Utah Transit Authority

This document is not intended to serve as a full transcript as additional discussion may have taken place; please refer to the meeting materials or audio located at <https://www.utah.gov/pmn/sitemap/notice/943021.html> for entire content. Meeting materials, along with a time-stamped video recording, are also accessible at [https://rideuta.granicus.com/player/clip/326?view\\_id=1&redirect=true](https://rideuta.granicus.com/player/clip/326?view_id=1&redirect=true).

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

Approved Date:

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Carlton J. Christensen  
Chair, Board of Trustees

## Appendix A

### Transcript of Public Comment

**Mary Rose Eargle:**

So, my name is Mary Eargle or Mary Rose Eargle. So, I'm here today with the Neuro Inclusive Autism Community Coalition, and I'm actually giving comment on behalf of one of our members whose name is Gregory Crowley. So let me just pull up what he sent me. He sent me. So, Gregory uses UTA On Demand and he suffers from epilepsy. He's also a self-advocate on the spectrum. On the spectrum, so he's really dependent on transportation and so he uses UTA On Demand to get to like the trains and the TRAX. So, he just wanted to bring up expanding services to the area out of 5600 W and make it to at least to the Mountain View Corridor. So, he experiences, he has to go up a big hill, and it's hard for him. He can't walk very well, and he has a lot of health issues. And he also has to cross this busy intersection, and there's a divider. But that's just how the boundaries happen to be set up. So, so that's his comment today. He just wanted to advocate for UTA On Demand. He thinks it's a great service and expanding that just a little farther. So, thank you.

**Adam Danos:**

Well, good evening. UTA board members. My name is Adam Danos, and I am the local group coordinator of Neuro-Inclusive Autism Community Coalition. I'm here today to advocate for change for TRAX Blue Line. And the TRAX Blue Line is really kind of outdated compared to Red and Green Line trains. So, the main problem is though for TRAX Blue Line is that people will have to use the accessibility ramp to get groceries in and put heavy bikes in. Like especially on my part where I brought my bike on the ramp. I was barred from the Blue Line to go get home. And so, since my bike is really heavy, it's really kind of not worth bringing that heavy bike up the stairs. And so, there was an article out there on KSL that does explain about a grant that UTA got. It was back in the 2023. They did say they got a grant, but the where's the newer cars today? So, at our CAT team meeting that you just had last week you did address about some problems that you had for the TRAX Blue Line. And so, we did advocate for this change, and we did bring up that we're kind of expecting that change to happen or wanting them kind of expecting this to happen like before 2030. Because with the Olympics coming here in 10 years, this is a big step that UTA needs to consider if they want to improve their transit service. And from the way I see the TRAX Blue Line, the service is really kind of since you only get on one car from the accessibility ramp, we want the cars to be low leveled. And so, I have to give this announcement and address that to y'all. So, thank you so much for your time for my comment and I look forward to talking to y'all soon.

**Claudia Johnson:**

My name is Claudia Johnson, and I used to come here on a regular basis for the regular board meetings and I've enjoyed it, and I was impressed that somebody came and actually talked and addressed it. I was also impressed the fact that you addressed didn't solve the problem, but you addressed that back. And I'm sure you have a little more comfort of knowing they are working on it. It may not be when your timeframe, but that happens, and I appreciate being able to stand up and tell you that I see you're doing the right things. It's not perfect, but when none of us are perfect and we're all learning, and if the public would take the time to come in and give the feedback, I think they would be surprised that they're not just going to be given a run around, but they're actually going to listen. And as I mentioned to several of you earlier, it's been fun to have come to the board meetings in the previous life because I can see the impact that I may have had on the board on UTA or some of the other clients, because I've been able to be a voice which somebody hasn't, and I appreciate that. But I really appreciate that you're giving some feedback now, because you need those warm fuzzies no matter what. And thanks for putting up with me, even though I didn't fill out a card.

**Zach Scriven:**

Awesome. Hey. Hey, guys. I'm Zach Scriven. I'm a resident of Salt Lake City, and I'm an avid user of the UTA services. When I first moved here three years ago, I was not a transit user, and I've since fallen in love with the TRAX, the FrontRunner, and even taking the bus for the first time. I commend UTA for

looking at things holistically. I noticed you guys talked about the One UTA plan. I think that's really awesome. You know the I hear the FrontRunner has double tracking and great separation in its future plan. I think that would be a great objective to accomplish. Increasing service and reliability of the for the FrontRunner. So, my comment is about rather than having a siloed or ad hoc grade separation project is to encourage UTA to look at a unified plan. I'm here to talk about the Rio Grande Plan. Every and, and more specifically about the cost. Everyone wants to talk about the cost of doing the Rio Grande Plan, but let's look at the cost of not doing it. As you guys know, the North Temple viaduct cost \$70 million in 2010. That'd be about ninety \$99 million today. Granted, you know all those grade crossings may not be as complicated like with the TRAX flying over it and that kind of thing, but Rio Grande plan removes 8 at-grade crossings. That's 900 S, 800 S, 200 S, 300 N, 400 N, 600 W, 800 W, 900 W. Not only that, it opens up two, three previously closed streets, 200 N, 50 N, and 700 S. If you're calculating that would be almost a billion dollars to do in an ad hoc manner. In other words, it's going to be almost as expensive as the Rio Grande Plan, and it doesn't open up any land for redevelopment. Oh, not to mention the new UTA headquarter building, the value. You guys' value could go up, potentially with the with the increase of transit-oriented development that the Rio Grande Plan offers. The stand-alone grade separation projects do not accomplish this. So, let's do it the right way. We need to budget from the UTA in 2025 to study the plan and incorporate it into a 10-year vision. Let's fast track the Rio Grande Plan. Thank you.



# Utah Transit Authority

669 West 200 South  
Salt Lake City, UT 84101

## MEETING MEMO

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Board of Trustees

Date: 10/23/2024

**TO:** Board of Trustees  
**THROUGH:** Jay Fox, Executive Director  
**FROM:** Viola Miller, Chief Financial Officer  
**PRESENTER(S):** Todd Mills, Director of Procurement

---

**TITLE:**

Quarterly Disbursement Report - Vehicle Parts Inventory Vendors - Q3 2024

---

**AGENDA ITEM TYPE:**

Report

---

**RECOMMENDATION:**

Review the Inventory Parts supplier spend information for Q3, 2024 as compared against disbursement authorization given in R2024-02-01.

---

**BACKGROUND:**

R2024-02-01 was approved by the Board of Trustees on February 14, 2024 granting the purchasing authority and related disbursements to vehicle parts inventory vendors in 2024 up to the amounts below:

- Bus parts - up to \$7,000,000
- Light Rail Vehicle parts - up to \$10,000,000
- Commuter Rail Vehicle parts - up to \$5,000,000

The resolution also stated that at the end of every quarter the Director of Supply Chain will provide a report of actual purchase totals for each vendor to the Board of Trustees, and will review and compare actual Purchase Order amounts with the amounts listed in the resolution. Any Transit mode parts Purchase Order amounts that will likely exceed the forecasted amount will be brought back to the Board of Trustees for further review and approval.

---

**DISCUSSION:**

Attached are the supplier spend totals by mode. Additionally, the top 10 vendors spend for each transit mode

are individually identified.

Quarter 3, 2024 YTD expenditure compared to the authorized amount in R2024-02-01 was:

- **Bus Parts** - \$6,118,925 expenditure YTD compared to \$7,000,000 annual authorization
- **Light Rail Vehicle Parts** - \$6,268,614 expenditure YTD compared to \$10,000,000 annual authorization
- **Commuter Rail Vehicle Parts** - \$2,685,780 expenditure YTD compared to \$5,000,000 annual authorization
- **All Parts Total Spend** - \$15,073,319 expenditure YTD compared to \$22,000,000 annual authorization

---

**ALTERNATIVES:**

N/A

---

**FISCAL IMPACT:**

Each maintenance division is provided with an annual parts inventory budget as part of their Operating Expense Budget.

---

**ATTACHMENTS:**

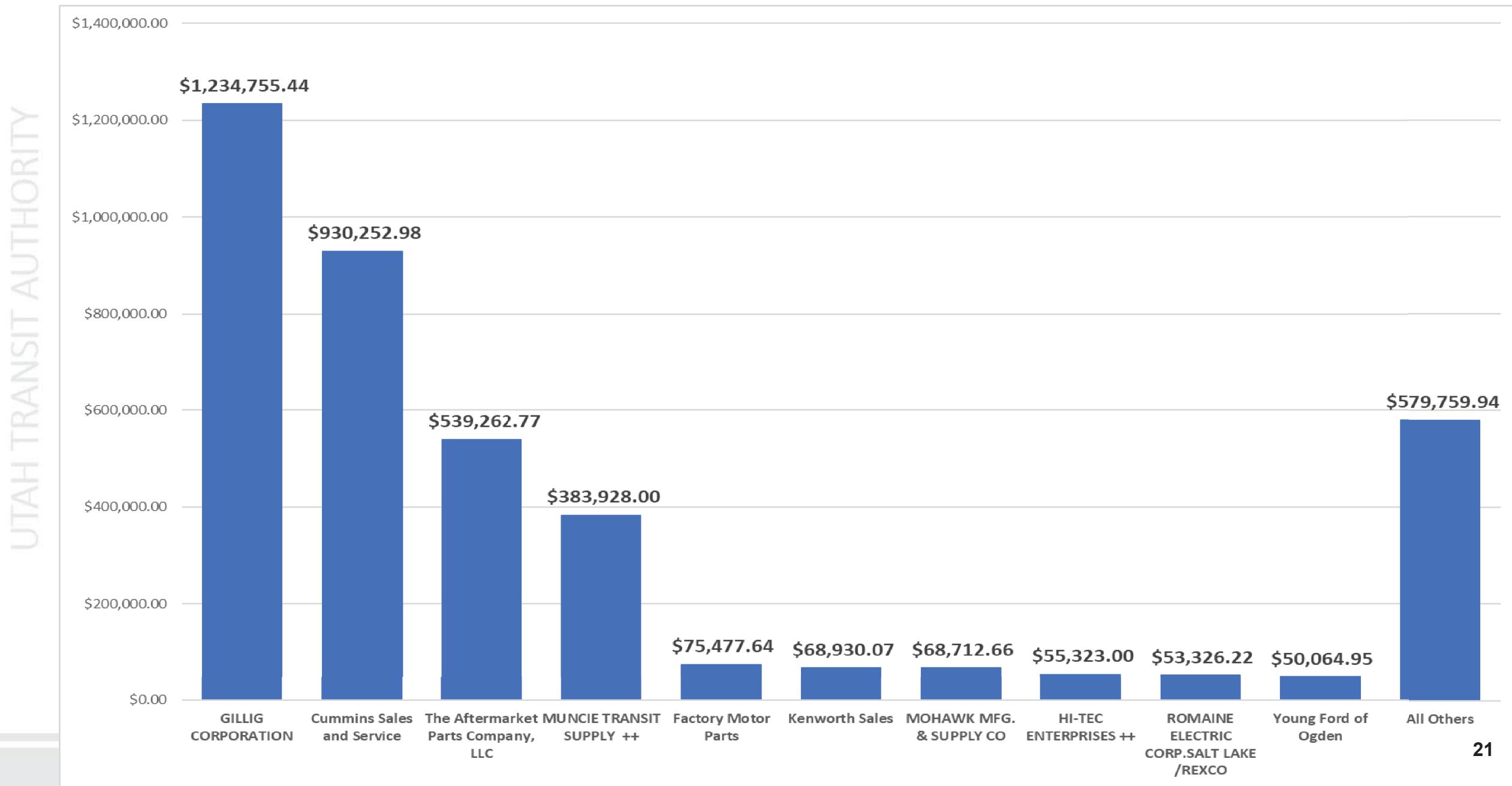
Report - Inventory Parts Spend - Q3 2024

# Inventory Parts Spend – YTD Q3 2024

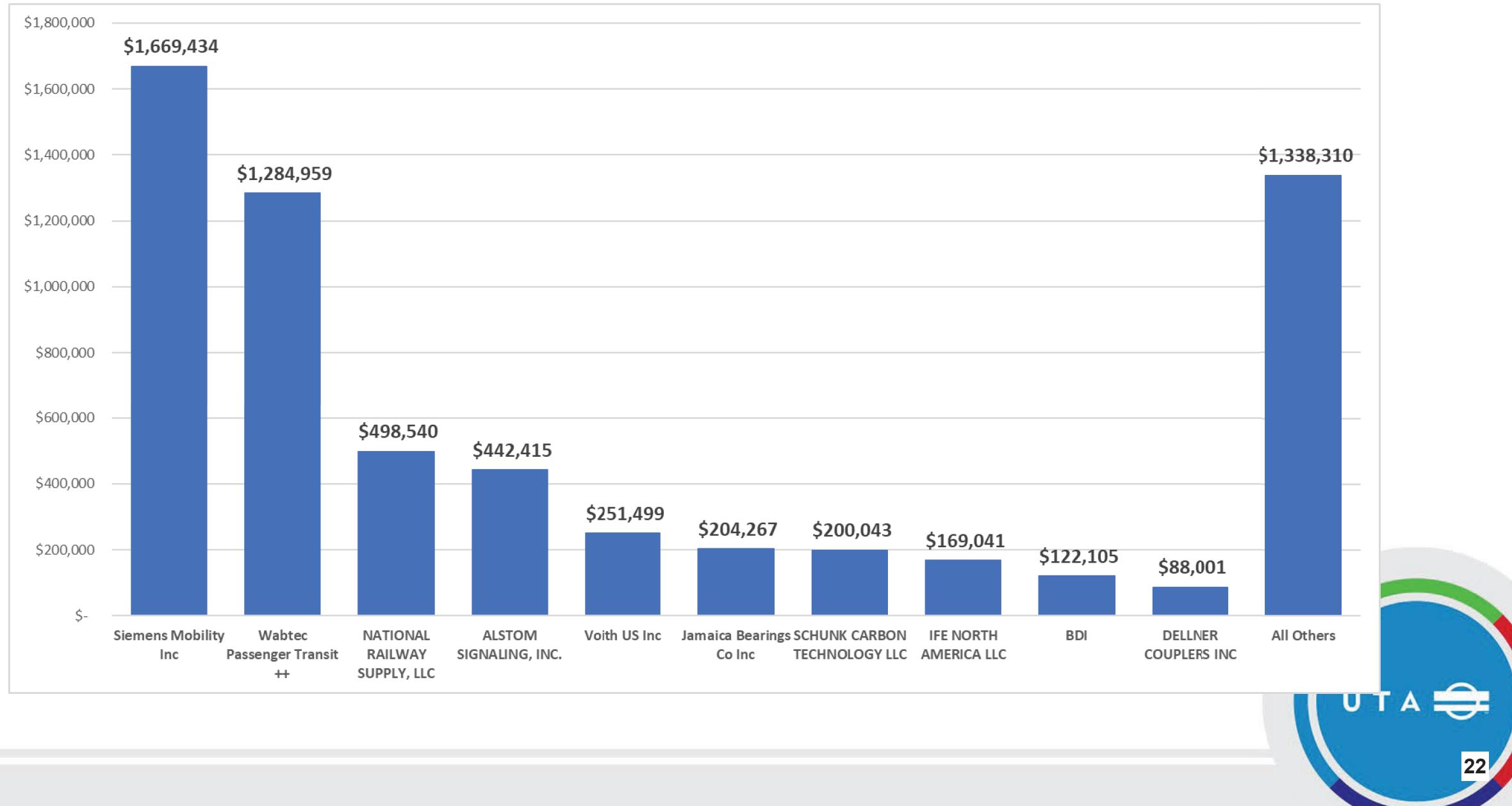
September 30, 2024



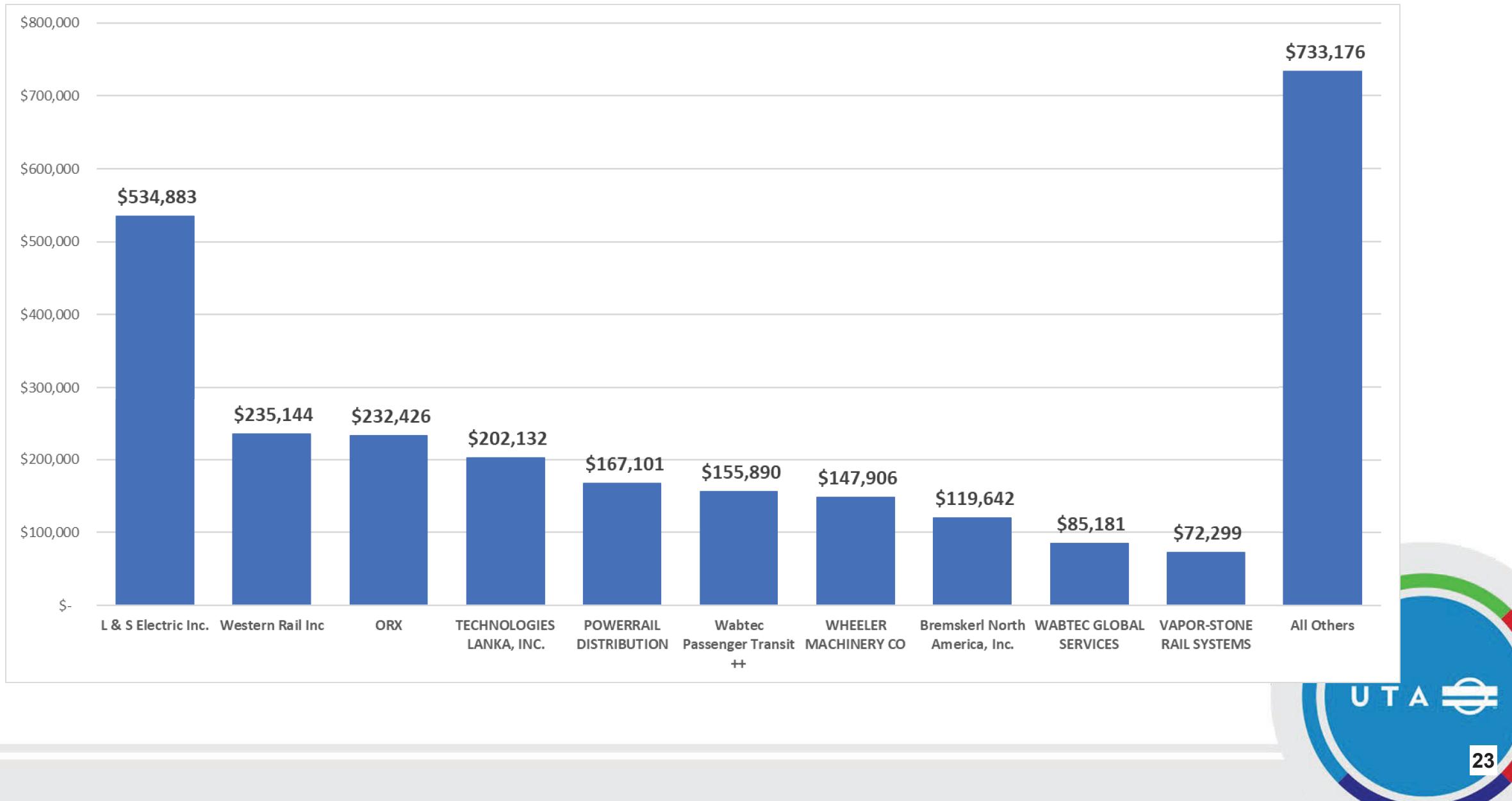
# YTD Q3 2024 Bus Parts Total Spend = \$6,118,925 (Authorized = \$7M)



## YTD Q3 2024 TRAX Parts Total Spend = \$6,268,614 (Authorized = \$10M)



# YTD Q3 2024 FrontRunner Parts Total Spend = \$2,685,780 (Authorized = \$5M)





# Utah Transit Authority

669 West 200 South  
Salt Lake City, UT 84101

## MEETING MEMO

---

**Board of Trustees**

**Date:** 10/23/2024

**TO:** Board of Trustees  
**THROUGH:** Jay Fox, Executive Director  
**FROM:** Viola Miller, CFO  
**PRESENTER(S):** Eric Barrett, Deputy Comptroller

---

**TITLE:**

**Quarterly Disbursement Report - Non-Inventory Vendors - Q3 2024**

---

**AGENDA ITEM TYPE:**

Report

---

**RECOMMENDATION:**

Review the quarterly disbursement expenditure report for Q3 2024. No action needed.

---

**BACKGROUND:**

The Board approved resolution R2024-02-02 authorizing disbursements for non-inventory purchases in 2024. The resolution also requires a quarterly report to the Board on non-inventory disbursements. Payments are being made to vendors as scheduled. Several are nearing Not to Exceed (NTE) thresholds.

---

**DISCUSSION:**

A report on non-inventory disbursement expenditures for Q3 2024 is attached to this memo for the Board's review.

---

Payroll vendors nearing NTE Amounts:

Amalgamated Transit Union - Union membership dues

Cambridge Associates - Pension Contributions

Mutual of America - 457 plan participation

Utah State Tax - Withholding Tax

VantagePoint - Supplemental Benefits

Office of Recovery Services - Wage Garnishments for Child Support Payments

Utility Vendors nearing NTE amount:

Murray City Utilities - City Electrical Services

Rocky Mountain Power - Electricity Usage

Dominion Energy - Natural Gas Service Contract

First Net - per phone line cost increase

A request will be presented to the Board at this meeting in Resolution R2024-10-03 to increase the authorized disbursement amount for certain non-inventory vendors nearing their NTE amounts (presented separately).

---

**ALTERNATIVES:**

None

---

**FISCAL IMPACT:**

None

---

**ATTACHMENTS:**

2024 Non-Inventory Vendors - Q3 Disbursement Report

# Non-Inventory Vendors – YTD Q3 2024

September 30, 2024



## YTD Q3 Non-Inventory Vendors –Debt and Government

Type	Vendor2	Purpose	2024 Not to Exceed	2024 as of 9/30/24
Debt	Utah County Government	4th Quarter Cent Sales Tax Agreement with Utah County	\$ 2,565,910	864,845.80
Government	Utah Attorney General's Office	Legal Services	\$ 1,855,728	1,347,703



# YTD Q3 Non-Inventory Vendors –Payroll

Type	Vendor2	Purpose	2024 Not to Exceed	2024 as of 9/30/24
Payroll	Department of the Treasury	Payroll Taxes	\$ 44,456,843	34,799,922
Payroll	UTA/ATU JOINT INSURANCE TRUST	Health Insurance (Collective Bargaining)	\$ 29,308,452	4,821,249
Payroll	OFFICE OF RECOVERY SERVICES	Utah State Child Support	\$ 353,703	328,603
Payroll	AMALGAMATED TRANSIT UNION	Union Dues from Employees	\$ 651,290	601,342
Payroll	UTAH ST TAX (WITHHOLDING ONLY)	Payroll Taxes	\$ 8,191,722	6,699,548
Payroll	VANTAGEPOINT TRANSFER AGENTS -	457 Plans	\$ 7,065,828	6,469,580
Payroll	Cambridge Associates, LLC.	Pension Contributions	\$ 30,121,439	24,936,494
Payroll	MUTUAL OF AMERICA LIFE INS.	457 Plans	\$ 3,761,588	3,675,787



## YTD Q3 Non-Inventory Vendors –Utilities

Type	Vendor2	Purpose	2024 Not to Exceed	2024 as of 9/30/24
Utilities	AT&T ++	Cellular Connection to Buses	\$ 563,385	315,832
Utilities	CENTURY LINK (QWEST) +++	Internet Connection	\$ 485,599	165,998
Utilities	SALT LAKE CITY CORP. ++	Electric, Water, and Sewer	\$ 253,979	69,514
Utilities	MURRAY CITY UTILITIES	Electric, Water, and Sewer	\$ 570,219	467,637
Utilities	FirstNet	Cellular Phone Contract	\$ 704,428	544,038
Utilities	ROCKY MOUNTAIN POWER	Electricity	\$ 8,234,680	6,552,561
Utilities	Dominion Energy (Questar)	Natural Gas	\$ 1,152,017	1,125,052





# Utah Transit Authority

669 West 200 South  
Salt Lake City, UT 84101

## MEETING MEMO

---

**Board of Trustees**

**Date:** 10/23/2024

**TO:** Board of Trustees  
**THROUGH:** Jay Fox, Executive Director  
**FROM:** Mike Hurst, Director Internal Audit  
**PRESENTER(S):** Viola Miller, Chief Financial Officer  
Mike Hurst, Director Internal Audit

**TITLE:**

2024 Fraud Risk Assessment

**AGENDA ITEM TYPE:**

Report

**RECOMMENDATION:**

Informational report

**BACKGROUND:**

The Office of the State Auditor (Utah) requires government agencies to annually complete a fraud risk assessment. The assessment is self-administered by the agency and assesses the existence and strength of policies and controls that are key to reducing the risk of fraud. The completed assessment is submitted to The Office of the State Auditor and is to be presented to the agency's governing body.

**DISCUSSION:**

The 2024 Fraud Risk Assessment was completed jointly by the Finance and Internal Audit departments. Mike Hurst, Director Internal Audit, submitted the report to the Office of the State Auditor and received confirmation that it was received. The results of the assessment will be shared with the Board of Trustees.

**ALTERNATIVES:**

Not applicable

**FISCAL IMPACT:**

Not applicable

---

**ATTACHMENTS:**

UTA Fraud Risk Assessment 2024 signed

Fraud Risk Assessment Submission Confirmation



OFFICE OF THE  
**STATE AUDITOR**

# Questionnaire

Revised December 2020

## Fraud Risk Assessment

### INSTRUCTIONS:

- Reference the *Fraud Risk Assessment Implementation Guide* to determine which of the following recommended measures have been implemented.
- Indicate successful implementation by marking “Yes” on each of the questions in the table. Partial points may not be earned on any individual question.
- Total the points of the questions marked “Yes” and enter the total on the “Total Points Earned” line.
- Based on the points earned, circle/highlight the risk level on the “Risk Level” line.
- Enter on the lines indicated the entity name, fiscal year for which the Fraud Risk Assessment was completed, and date the Fraud Risk Assessment was completed.
- Print CAO and CFO names on the lines indicated, then have the CAO and CFO provide required signatures on the lines indicated.

# Fraud Risk Assessment

Continued

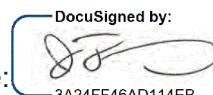
\*Total Points Earned: 395 /395 \*Risk Level:  Very Low (Green) > 355, Low (Yellow) 316-355, Moderate (Orange) 276-315, High (Red) 200-275, Very High (Red) < 200

	Yes	Pts
1. Does the entity have adequate basic separation of duties or mitigating controls as outlined in the attached Basic Separation of Duties Questionnaire?	200	200
2. Does the entity have governing body adopted written policies in the following areas:		
a. Conflict of interest?	5	5
b. Procurement?	5	5
c. Ethical behavior?	5	5
d. Reporting fraud and abuse?	5	5
e. Travel?	5	5
f. Credit/Purchasing cards (where applicable)?	5	5
g. Personal use of entity assets?	5	5
h. IT and computer security?	5	5
i. Cash receipting and deposits?	5	5
3. Does the entity have a licensed or certified (CPA, CGFM, CMA, CIA, CFE, CGAP, CPFO) expert as part of its management team?	20	20
a. Do any members of the management team have at least a bachelor's degree in accounting?	10	10
4. Are employees and elected officials required to annually commit in writing to abide by a statement of ethical behavior?	20	20
5. Have all governing body members completed entity specific (District Board Member Training for local/special service districts & interlocal entities, Introductory Training for Municipal Officials for cities & towns, etc.) online training ( <a href="http://training.auditor.utah.gov">training.auditor.utah.gov</a> ) within four years of term appointment/election date?	20	20
6. Regardless of license or formal education, does at least one member of the management team receive at least 40 hours of formal training related to accounting, budgeting, or other financial areas each year?	20	20
7. Does the entity have or promote a fraud hotline?	20	20
8. Does the entity have a formal internal audit function?	20	20
9. Does the entity have a formal audit committee?	20	20

\*Entity Name: Utah Transit Authority

\*Completed for Fiscal Year Ending: 2024 \*Completion Date: 9/17/2024

\*CAO Name: Jay Fox \*CFO Name: Viola Miller

\*CAO Signature:  DocuSigned by:  Signed by:   
 \*CFO Signature:  6E67BAEE558445A...

\*Required

# Basic Separation of Duties

See the following page for instructions and definitions.

	Yes	No	MC*	N/A
1. Does the entity have a board chair, clerk, and treasurer who are three separate people?	x			
2. Are all the people who are able to receive cash or check payments different from all of the people who are able to make general ledger entries?			x	
3. Are all the people who are able to collect cash or check payments different from all the people who are able to adjust customer accounts? If no customer accounts, check "N/A".			x	
4. Are all the people who have access to blank checks different from those who are authorized signers?			x	
5. Does someone other than the clerk and treasurer reconcile all bank accounts OR are original bank statements reviewed by a person other than the clerk to detect unauthorized disbursements?	x			
6. Does someone other than the clerk review periodic reports of all general ledger accounts to identify unauthorized payments recorded in those accounts?	x			
7. Are original credit/purchase card statements received directly from the card company by someone other than the card holder? If no credit/purchase cards, check "N/A".	x			
8. Does someone other than the credit/purchase card holder ensure that all card purchases are supported with receipts or other supporting documentation? If no credit/purchase cards, check "N/A".	x			
9. Does someone who is not a subordinate of the credit/purchase card holder review all card purchases for appropriateness (including the chief administrative officer and board members if they have a card)? If no credit/purchase cards, check "N/A".	x			
10. Does the person who authorizes payment for goods or services, who is not the clerk, verify the receipt of goods or services?	x			
11. Does someone authorize payroll payments who is separate from the person who prepares payroll payments? If no W-2 employees, check "N/A".	x			
12. Does someone review all payroll payments who is separate from the person who prepares payroll payments? If no W-2 employees, check "N/A".			x	

\* MC = Mitigating Control

# Basic Separation of Duties

Continued

**Instructions:** Answer questions 1-12 on the Basic Separation of Duties Questionnaire using the definitions provided below.

 If all of the questions were answered “Yes” or “No” with mitigating controls (“MC”) in place, or “N/A,” the entity has achieved adequate basic separation of duties. Question 1 of the Fraud Risk Assessment Questionnaire will be answered “Yes.” 200 points will be awarded for question 1 of the Fraud Risk Assessment Questionnaire.

 If any of the questions were answered “No,” and mitigating controls are not in place, the entity has not achieved adequate basic separation of duties. Question 1 of the Fraud Risk Assessment Questionnaire will remain blank. 0 points will be awarded for question 1 of the Fraud Risk Assessment Questionnaire.

## Definitions:

**Board Chair** is the elected or appointed chairperson of an entity’s governing body, e.g. Mayor, Commissioner, Councilmember or Trustee. The official title will vary depending on the entity type and form of government.

**Clerk** is the bookkeeper for the entity, e.g. Controller, Accountant, Auditor or Finance Director. Though the title for this position may vary, they validate payment requests, ensure compliance with policy and budgetary restrictions, prepare checks, and record all financial transactions.

**Chief Administrative Officer (CAO)** is the person who directs the day-to-day operations of the entity. The CAO of most cities and towns is the mayor, except where the city has a city manager. The CAO of most local and special districts is the board chair, except where the district has an appointed director. In school districts, the CAO is the superintendent. In counties, the CAO is the commission or council chair, except where there is an elected or appointed manager or executive.

**General Ledger** is a general term for accounting books. A general ledger contains all financial transactions of an organization and may include sub-ledgers that are more detailed. A general ledger may be electronic or paper based. Financial records such as invoices, purchase orders, or depreciation schedules are not part of the general ledger, but rather support the transaction in the general ledger.

**Mitigating Controls** are systems or procedures that effectively mitigate a risk in lieu of separation of duties.

**Original Bank Statement** means a document that has been received directly from the bank. Direct receipt of the document could mean having the statement 1) mailed to an address or PO Box separate from the entity’s place of business, 2) remain in an unopened envelope at the entity offices, or 3) electronically downloaded from the bank website by the intended recipient. The key risk is that a treasurer or clerk who is intending to conceal an unauthorized transaction may be able to physically or electronically alter the statement before the independent reviewer sees it.

**Treasurer** is the custodian of all cash accounts and is responsible for overseeing the receipt of all payments made to the entity. A treasurer is always an authorized signer of all entity checks and is responsible for ensuring cash balances are adequate to cover all payments issued by the entity.

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## Your Document has been Successfully Submitted

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**From** noreply@salesforce.com <noreply@salesforce.com>  
on behalf of  
Office of the State Auditor <stateauditor@utah.gov>  
**Date** Tue 9/17/2024 11:41 AM  
**To** Hurst, Mike (Director Internal Audit) <MHurst@rideuta.com>

---

### **This Message Is From an External Sender**

This message came from outside your organization.

CAUTION: This email originated outside of UTA. Do not click links or open attachments unless you recognize the sender and know the contents are safe.

The 2024 Fraud Risk Assessment for Utah Transit Authority has been successfully submitted.

Please note that if issues are identified during our review of the Fraud Risk Assessment, further action by Utah Transit Authority may be required.

If you have any questions or concerns please contact us at (801) 538-1025.

Thank you,  
The Local Government Team



# Utah Transit Authority

669 West 200 South  
Salt Lake City, UT 84101

## MEETING MEMO

---

**Board of Trustees**

**Date:** 10/23/2024

**TO:** Board of Trustees  
**FROM:** Jay Fox, Executive Director  
**PRESENTER(S):** Jay Fox, Executive Director

**TITLE:**

**Executive Director Report**

- Continuous Improvement Excellence Award - Ashley Crump

**AGENDA ITEM TYPE:**

Report

**RECOMMENDATION:**

Informational report for discussion

**DISCUSSION:**

Jay Fox, Executive Director, will provide the following:

- Continuous Improvement Excellence Award - presented by Alisha Garrett and Richard Murray



# Utah Transit Authority

669 West 200 South  
Salt Lake City, UT 84101

## MEETING MEMO

---

Board of Trustees

Date: 10/23/2024

**TO:** Board of Trustees  
**THROUGH:** Jay Fox, Executive Director  
**FROM:** Jay Fox, Executive Director  
**PRESENTER(S):** Jay Fox, Executive Director

---

**TITLE:**

Strategic Plan Minute: Moving Utahns to a Better Quality of Life - Deploy Operator Staffing Strategies

---

**AGENDA ITEM TYPE:**

Report

---

**RECOMMENDATION:**

Informational report for discussion

---

**BACKGROUND:**

At the end of 2022, UTA adopted its 2022-2030 Strategic Goals and Objectives. The strategic plan minute provides an update on one of the five UTA strategic initiatives - Quality of Life, Customer Experience, Organizational Excellence, Community Support, and Economic Return.

---

**DISCUSSION:**

Our Quality-of-Life Strategic priority defines success as, "UTA supports community development and sustainability, connecting the Wasatch Front through accessible mobility options, strategic investments, and partnerships." Success in this priority requires proper staffing and training. Our Chief People Office set both an annual target and strategic initiative under the Quality-of-Life strategic priority related to staffing. The annual target was to achieve 95% staffing and the strategic initiative was to deploy operator staffing strategies. The discussion will highlight our performance in these areas.

---

**ATTACHMENTS:**

None



# Utah Transit Authority

669 West 200 South  
Salt Lake City, UT 84101

## MEETING MEMO

---

**Board of Trustees**

**Date:** 10/23/2024

---

**TO:** Board of Trustees  
**THROUGH:** Jay Fox, Executive Director  
**FROM:** Viola Miller, Chief Financial Officer  
**PRESENTER(S):** Tracy Young, Grants Director  
Gregg Larsen, Manager of Grant Services

**TITLE:**

---

**Discretionary Grants Report**

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**AGENDA ITEM TYPE:**

Report

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**RECOMMENDATION:**

Informational report for discussion

---

**BACKGROUND:**

This grant update is providing information on grant applications not selected for award, grant applications submitted waiting selection, and those that have been selected for award but have not yet been obligated in a grant agreement and not previously presented to the Board. There are 0 grants not selected, 4 grants that are awaiting selection and 2 grants have been selected for award and not yet in a grant funding agreement.

---

**DISCUSSION:**

Tracy Young, Grants Director will give a grants update

---

**ALTERNATIVES:**

NA

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**FISCAL IMPACT:**

Local match for the awarded and requested grants will come from existing UTA capital project or operating budgets and project partner funds.

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**ATTACHMENTS:**

NA



# Utah Transit Authority

669 West 200 South  
Salt Lake City, UT 84101

## MEETING MEMO

---

**Board of Trustees**

**Date:** 10/23/2024

**TO:** Board of Trustees  
**THROUGH:** Jay Fox, Executive Director  
**FROM:** Jeff Acerson, Board of Trustees  
**PRESENTER(S):** Jeff Acerson, Board of Trustees

---

**TITLE:**

Pension Committee Report

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**AGENDA ITEM TYPE:**

Report

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**RECOMMENDATION:**

Informational report for discussion

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**DISCUSSION:**

The Pension Committee met on September 25<sup>th</sup>, 2024. Trustee Jeff Acerson is Chair of the Pension Committee and will provide an update on Pension Committee activities.

---



# Utah Transit Authority

669 West 200 South  
Salt Lake City, UT 84101

## MEETING MEMO

Board of Trustees

Date: 10/23/2024

**TO:** Board of Trustees  
**THROUGH:** Jay Fox, Executive Director  
**FROM:** Viola Miller, Chief Financial Officer  
**PRESENTER(S):** Gregg Larsen, Manager of Grant Services  
Alma Haskell, Grants Development Administrator

**TITLE:**

**R2024-10-02 - Resolution Authorizing the Executive Director to Execute Grant Agreements for Specified Projects**

**AGENDA ITEM TYPE:**

Resolution

**RECOMMENDATION:**

Approve resolution R2024-10-02 authorizing grant execution by the Executive Director or his Designee of the FY2024 Low or No Emissions Grant for Zero Emissions Battery Electric Buses and the FY2022 5309 Small Starts Grant for the MidValley Connector (MVX) as presented.

**BACKGROUND:**

Board Policy 2.2 - Contract Authority, Procurement and Grants requires agency staff to present discretionary grant awards of \$200,000 or more to the Board of Trustees for approval at the time of award. Such awards must be approved in the agency budget prior to the Board's approval of the grant agreement.

**DISCUSSION:**

UTA has been selected to receive two grants from the United States Department of Transportation (USDOT) for FY2024 Low or No Emissions Grant Program for 15 Zero Emission Battery Electric Buses and for FY2022 5309 Small Starts Grant Program for MidValley Connector Bus Rapid Transit Small-Starts (CIG) Project. A detailed list of the grant awards is attached as Exhibit A to the resolution and include:

- FY2024 Low or No Emissions Grant for Zero Emissions Battery Electric Buses
- FY2022 5309 Small Starts Grant for MidValley Connector (MVX)

**ALTERNATIVES:**

If the grants are not executed in a timely manner, reimbursement of project costs may be delayed.

---

**FISCAL IMPACT:**

All Projects in Exhibit A are accounted for in the 2024-2029 Approved Capital Plan.

-15 Zero Emission Battery Electric Buses Capital project REV211 with Grant award of \$18,112,632 and required match of \$3,196,347 Capital project REV211

-Midvalley Connector BRT Small Starts Capital project MSP253 with Grant award of \$60,646,104 and required match of \$37,754,228

---

**ATTACHMENTS:**

Resolution

**RESOLUTION OF THE BOARD OF TRUSTEES OF THE UTAH TRANSIT  
AUTHORITY AUTHORIZING THE EXECUTIVE DIRECTOR TO EXECUTE GRANT  
AGREEMENTS FOR SPECIFIED PROJECTS**

R2024-10-02

October 23, 2024

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

WHEREAS, the Authority has (i) obtained grants of assistance for the Projects shown in Exhibit A; (ii) secured (or contracted to secure) local match commitments from Stakeholders for the same Projects, where applicable; and (iii) budgeted Authority funds for the same Projects; and

WHEREAS, UTAH CODE § 17B-2a-801 *et seq.* of the Act requires the Board of Trustees (the "Board") of the Authority to review and approve any contract with a value of \$200,000 or more; and

WHEREAS, Board Policy 2.2 - Contract Authority enacted on December 21, 2022, requires discretionary grant awards greater than \$200,000 to be presented to the Board for approval at the time of the notice of award, and after such award is approved in the Authority's budget; and

WHEREAS, the Board understands and recognizes that grant agreements for the Projects, shown in Exhibit A, are ready to be executed and qualify as contracts with a value exceeding \$200,000; and

WHEREAS, the Board understands and recognizes the time sensitive nature often associated with executing grant agreements and the project schedules the grants are supporting; and

WHEREAS, the Authority's Board desires to provide the Executive Director with the authority to execute the grant agreements for the Projects in Exhibit A.

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

1. That the Board hereby approves the grant awards for the Projects identified in Exhibit A.
2. That the Board hereby authorizes the Executive Director to execute the grants for the Projects listed in Exhibit A.

R2024-10-02

1

3. That the Board hereby ratifies any and all actions previously taken by the Authority's management, staff, and counsel to prepare the grants for the Projects listed in Exhibit A.
4. That the corporate seal be attached hereto.

Approved and adopted this 23<sup>rd</sup> day of October 2024

---

Carlton Christensen, Chair  
Board of Trustees

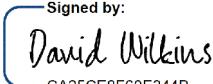
ATTEST:

---

Secretary of the Authority

(Corporate Seal)

Approved As To Form:

Signed by:  
  
David Wilkins  
CA25CE8F60E344B...  
Legal Counsel

## Exhibit A

### Grants Selected for Award as of 9/17/2024 for Board Approval 10/23/2024

Awarding Agency	Funding Program	Project Description	UTA Grant Number	Grant Funds Awarded	Required Local Match	Included in Capital Budget	Included in Operating Budget	Pre-Award Authority Y/N
USDOT	FY2024 Low or No Emissions	15 Zero Emission Battery Electric Buses (REV211)	GRNT-0386	\$ 18,112,632	\$ 3,196,347	Y	NA	Y
	FFY2022 5309 Small Starts	MidValley Connector BRT Small-Starts (CIG) (MSP253)	GRNT-0420	\$ 60,646,104	\$ 37,754,228	Y	NA	Y*
<b>Total</b>				<b>\$ 78,758,736</b>	<b>\$ 40,950,575</b>			

\* Limited Pre-Award Authority until grant is executed

Acronyms:

FTA	Federal Transit Administration
FHWA	Federal Highway Administration
STBG	Surface Transportation Block Grant
CMAQ	Congestion Mitigation Air Quality Program
WFRC	Wasatch Front Regional Council
MAG	Mountainland Association of Governments
FY	Federal Fiscal Year
O/L	Ogden/Layton UZA
SLC	Salt Lake City UZA
P/O	Provo/Orem UZA
TOD	Transit Oriented Development
USDOT	United States Department of Transportation



# Utah Transit Authority

669 West 200 South  
Salt Lake City, UT 84101

## MEETING MEMO

---

Board of Trustees

Date: 10/23/2024

**TO:** Board of Trustees  
**THROUGH:** Jay Fox, Executive Director  
**FROM:** Viola Miller, Chief Financial Officer  
**PRESENTER(S):** Eric Barrett, Deputy Comptroller

---

**TITLE:**

**R2024-10-03 - Resolution Granting Contract and Expenditure Authority to Non-Inventory Vendors**

---

**AGENDA ITEM TYPE:**

Resolution

---

**RECOMMENDATION:**

Approve Resolution, which increases the NTE amount previously approved in Resolution R2024-02-02 for certain vendors

---

**BACKGROUND:**

The Utah Public Transit District Act (Utah Code §17B-2a-808.1(2)(v)) requires the board of trustees of a large public transit district, such as the Authority, to review and approve any contract or expense exceeding \$200,000 and any proposed change order to an existing contract if the value of the change order exceeds 15% of the total contract or \$200,000. Further, the Board of Trustees of UTA in its Board Policy 2.2 - Contracting Authority and Procurement further defined which contracts, change orders and disbursements that must be approved by the Board. Specifically, Board Policy 2.2 (III)(D)(3) permits the Board to preapprove disbursements equal to or greater than \$200,000 by Resolution. On February 14, 2024 the Board of Trustees of the Authority (the "Board") passed Resolution R2024-02-02 Granting Contract and Expenditure Authority to Non-Inventory Vendors. Expenditures to date reflect a year end forecast that exceeds the previously Board approved NTE amounts in Resolution R2024-02-02 and will not be sufficient to cover costs for the year 2024.

---

**DISCUSSION:**

Increases are needed for the following vendors due to increases in personnel:

Amalgamated Transit Union - membership dues

Cambridge Associates - pension contributions

Mutual of America - 457 plan participation

Utah State Tax - withholding

VantagePoint - supplemental benefits

Increases are needed for the following vendors due to increased usage during the year:

Murray City Utilities - City electrical services

Office of Recovery Services - wage garnishments

Rocky Mountain Power - electricity usage

Increases are needed for the following vendors due to rate/contract increases:

Dominion Energy - new contract for Natural Gas

First Net - per phone line cost increase

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#### **ALTERNATIVES:**

If the Board does not enact this Resolution, future payments to the listed vendors will need to be presented individually to the Board for approval when the previously approved NTE amount is reached.

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#### **FISCAL IMPACT:**

Increases to the NTE Amounts for the following Vendors for an overall increase of \$12,580,000

Amalgamated Transit Union \$250,000

Cambridge Associates \$3,000,000

Mutual of America \$3,000,000

Office of Recovery Services \$70,000

Utah State Tax (Withholding) \$2,000,000

VantagePoint \$2,000,000

Dominion Energy \$1,500,000

First Net \$200,000

Murry City Utilities \$60,000

Rocky Mtn Power

\$500,000

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**ATTACHMENTS:**

Resolution

**RESOLUTION OF THE BOARD OF TRUSTEES OF THE UTAH TRANSIT  
AUTHORITY GRANTING CONTRACT AND EXPENDITURE AUTHORITY  
TO NON-INVENTORY VENDORS**

R2024-10-03

October 23, 2024

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

WHEREAS, UTAH CODE §17B-2a-808.1(2)(v) requires the board of trustees of a large public transit district, such as the Authority, to review and approve any contract or expense exceeding \$200,000 and any proposed change order to an existing contract if the value of the change order exceeds 15% of the total contract or \$200,000; and

WHEREAS, the Board of Trustees ("Board") of the Authority in its Board Policy 2.2 – Contracting Authority and Procurement further defined which contracts, change orders and disbursements that must be approved by the Board; and

WHEREAS, Board Policy 2.2 (III)(D)(3)) permits the Board to preapprove disbursements equal to or greater than \$200,000 by Resolution; and

WHEREAS, on February 14, 2024 the Board of Trustees of the Authority (the "Board") passed Resolution R2024-02-02 Granting Contract and Expenditure Authority to Non-Inventory Vendors; and

WHEREAS, the Board wishes to supersede Resolution R2024-02-02 with an updated version outlining disbursements to non-inventory vendors in excess of \$200,000.

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

1. That Resolution R2024-02-02 Granting Contract and Expenditure Authority to Non-Inventory Vendors is hereby superseded.
2. That the Executive Director is authorized to approve payments to vendors in 2024 for the purposes and expenditure ranges described in Exhibit A.
3. That the Executive Director is authorized to approve expenses exceeding \$200,000 if the associated contract was previously approved at a regular or special meeting by the Board of Trustees.
4. That the Board hereby ratifies any and all actions taken by Authority management, staff, and counsel in furtherance of and effectuating the intent of this Resolution.

That the corporate seal shall be affixed hereto.

APPROVED AND ADOPTED this 23rd day of October 2024.

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Carlton Christensen, Chair  
Board of Trustees

ATTEST:

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Secretary of the Authority

(Corporate Seal)

Approved As To Form:

Signed by:  
  
David Wilkins  
CA25CE8F60E344B...  
Legal Counsel

Exhibit A

## 2024 Disbursements Approved for Certain Vendors

Type	Vendor Description	Purpose	2023 as of	2024 Not to	2024 as of	2024	Change
			12/27/23	Exceed	6/30/2024	Increased Not to Exceed	
Debt	Utah County Government	4th Quarter Cent Sales Tax Agreement with Utah County	\$ 2,485,143	\$ 2,565,910	864,845.80	2,565,909.63	-
Government	Utah Attorney General's Office	Legal Services	\$ 1,797,315	\$ 1,855,728	909,396.87	1,855,728.12	-
Payroll	AMALGAMATED TRANSIT UNION	Union Dues from Employees	\$ 630,790	\$ 651,290	390,044.00	901,290.20	250,000
Payroll	Cambridge Associates, LLC.	Pension Contributions	\$ 29,173,307	\$ 30,121,439	16,141,907.22	33,121,439.26	3,000,000
Payroll	Department of the Treasury	Payroll Taxes	\$ 43,057,475	\$ 44,456,843	22,803,563.87	44,456,842.94	-
Payroll	MUTUAL OF AMERICA LIFE INS.	457 Plans	\$ 3,643,185	\$ 3,761,588	2,695,573.86	6,761,588.37	3,000,000
Payroll	OFFICE OF RECOVERY SERVICES	Utah State Child Support	\$ 342,570	\$ 353,703	\$ 211,594	423,703.09	70,000
Payroll	UTA/ATU JOINT INSURANCE TRUST	Health Insurance (Collective Bargaining)	\$ 28,385,910	\$ 29,308,452	3,087,653.89	29,308,452.17	-
Payroll	UTAH ST TAX (WITHHOLDING ONLY)	Employee Payroll Taxes	\$ 7,933,871	\$ 8,191,722	4,655,193.86	10,191,722.19	2,000,000
Payroll	VANTAGEPOINT TRANSFER AGENTS -	457 Plans	\$ 6,843,417	\$ 7,065,828	4,531,294.28	9,065,828.05	2,000,000
Utilities	AT&T ++	Cellular Connection to Buses	\$ 545,651	\$ 563,385	275,551.70	563,384.72	-
Utilities	CENTURY LINK (QWEST) +++	Internet Connection	\$ 470,314	\$ 485,599	158,338.70	485,598.98	-
Utilities	Dominion Energy (Questar)	Natural Gas	\$ 1,115,755	\$ 1,152,017	1,069,188.00	2,652,017.35	1,500,000
Utilities	FirstNet	Cellular Phone Contract	\$ 682,255	\$ 704,428	471,503.71	904,428.13	200,000
Utilities	MURRAY CITY UTILITIES	Electric, Water, and Sewer	\$ 552,270	\$ 570,219	317,065.51	630,218.86	60,000
Utilities	ROCKY MOUNTAIN POWER	Electricity	\$ 7,975,477	\$ 8,234,680	4,233,838.36	8,734,680.09	500,000
Utilities	SALT LAKE CITY CORP. ++	Electric, Water, and Sewer	\$ 245,985	\$ 253,979	10,406.53	253,979.31	-



# Utah Transit Authority

669 West 200 South  
Salt Lake City, UT 84101

## MEETING MEMO

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Board of Trustees

Date: 10/23/2024

**TO:** Board of Trustees  
**FROM:** Jana Ostler, Board Manager  
**PRESENTER(S):** Carlton Christensen, Chair Board of Trustees

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**TITLE:**

**R2024-10-04 - Resolution Giving Notice and Setting Regular Meeting Dates for the Authority's Board of Trustees and Audit Committee for Calendar Year 2025**

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**AGENDA ITEM TYPE:**

Resolution

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**RECOMMENDATION:**

Approve Resolution R2024-10-04 Giving Notice and Setting Regular Meeting Dates for the Authority's Board of Trustees and Audit Committee for Calendar Year 2025

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**BACKGROUND:**

The Utah Public Transit District Act (Utah Code § 17B-2a-808.1) defines one of the responsibilities of the Board of Trustees ("Board") of the Authority is to hold public meetings and receive public comment. The Utah Open and Public Meetings Act (Utah Code § 52-4-2), provides that any public body which holds regular meetings that are scheduled in advance over the course of a year shall give public notice at least once each year of its annual meeting schedule and that such notice shall specify the date, time, and place of such meetings.

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**DISCUSSION:**

The proposed 2025 schedule is anticipated to meet the needs of the Board of Trustees and the agency. If additional meetings are deemed necessary, or if cancellations are needed, they will be properly noticed according to the Utah Open and Public Meetings Act.

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**ATTACHMENTS:**

- R2024-10-04 - Resolution Giving Notice and Setting Regular Meeting Dates for the Authority's Board of Trustees and Audit Committee for Calendar Year 2025

**RESOLUTION OF THE BOARD OF TRUSTEES OF THE UTAH TRANSIT  
AUTHORITY GIVING NOTICE AND SETTING REGULAR MEETING DATES FOR  
THE AUTHORITY'S BOARD OF TRUSTEES AND AUDIT COMMITTEE FOR  
CALENDAR YEAR 2025**

R2024-10-04

October 23, 2024

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

WHEREAS the Utah Public Transit District Act, UTAH CODE § 17B-2a-808.1, defines one of the responsibilities of the Board of Trustees ("Board") of the Authority is to hold public meetings and receive public comment; and

WHEREAS, the Utah Open and Public Meetings Act, Utah Code § 52-4-2, provides that any public body which holds regular meetings that are scheduled in advance over the course of a year shall give public notice at least once each year of its annual meeting schedule and that such notice shall specify the date, time, and place of such meetings; and

WHEREAS, the Board of the Authority desires to afford stakeholders and the public greater participation and accessibility to its meetings and fulfil the requirements of the Utah Open and Public Meetings Act, and the Utah Public Transit District Act; and

WHEREAS, it is considered necessary and desirable by the Board of Trustees of the Authority to adopt a resolution giving notice of regular meetings of the Board of Trustees and the Audit Committee of the Authority for calendar year 2025.

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

1. That the Board of the Authority gives notices of its regular meetings and for meetings of the Audit Committee for calendar year 2025 as outlined in "Exhibit A" to this resolution.
2. That the corporate seal be attached hereto.

Approved and adopted this 23<sup>rd</sup> day of October 2024.

---

Carlton Christensen, Chair  
Board of Trustees

ATTEST:

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Secretary of the Authority

(Corporate Seal)

Approved As To Form:

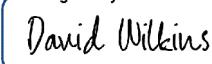
Signed by:  
  
David Wilkins  
CA25CE8F60E344B...  
Legal Counsel

Exhibit A

NOTICE OF 2025 ANNUAL MEETING SCHEDULE  
BOARD OF TRUSTEES OF THE UTAH TRANSIT AUTHORITY

In accordance with the provisions of the Utah Open and Public Meetings Act (the "Act"), public notice is hereby given that the Board of Trustees of the Utah Transit Authority, a large public transit district organized under the laws of the State of Utah, will hold its regular meetings at the indicated hours at the location of 669 West 200 South, Salt Lake City, Utah 84101, or via a remote meeting platform as provided for in the Act:

**Regular Board of Trustees Meetings**

**(All Regular Board Meetings Start at 9:00 a.m. except if otherwise noted)**

Wednesday, January 15, 2025

Wednesday, January 29, 2025

Wednesday, July 9, 2025

Wednesday, July 23, 2025

Wednesday, February 12, 2025

Wednesday, February 26, 2025

Wednesday, August 13, 2025

Wednesday, March 12, 2025

Wednesday, March 26, 2025

Wednesday, September 10, 2025

Wednesday, September 24, 2025

Wednesday, April 9, 2025

Wednesday, April 23, 2025

Wednesday, October 8, 2025

Wednesday, October 22, 2025

Wednesday, May 14, 2025

Wednesday, May 28, 2025

Wednesday, November 12, 2025

Wednesday, June 11, 2025

Wednesday, June 25, 2025

Wednesday, December 3, 2025

Wednesday, December 17, 2025

**Regular Audit Committee Meetings**

**(All Audit Committee Meetings Start at 3:00 p.m.)**

Monday, March 10, 2025

Monday, June 16, 2025

Monday, September 22, 2025

Monday, December 15, 2025

The agenda of each meeting of the Board of Trustees and Audit Committee of the Utah Transit Authority, together with the date, time and place of each meeting shall be posted in compliance with the requirements of the Act.

The Board of Trustees of the Utah Transit Authority invites brief comments or questions from the public during its regularly scheduled Board of Trustee meetings. The Chair of the Board of Trustees shall determine the duration and timing of the public comment period.



# Utah Transit Authority

669 West 200 South  
Salt Lake City, UT 84101

## MEETING MEMO

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**Board of Trustees**

**Date:** 10/23/2024

**TO:** Board of Trustees  
**THROUGH:** Jay Fox, Executive Director  
**FROM:** David Hancock, Chief Capital Services Officer  
**PRESENTER(S):** Jared Scarborough, Director of Capital Design and Construction  
Ethan Ray, Project Manager II

**TITLE:**

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**Contract: 5600 West Bus Route Final Design Services (WSP USA Inc.)**

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**AGENDA ITEM TYPE:**

Procurement Contract/Change Order

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**RECOMMENDATION:**

Approve and authorize the executive director to execute the contract and associated disbursements with WSP USA Inc. in the amount of \$1,878,115.36 for final design services on the 5600 West Bus Route project.

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**BACKGROUND:**

The 5600 West Bus Route is the transit alternative for UDOT's Mountain View Corridor (MVC) project. UTA has an agreement with UDOT to implement the transit alternative. It will provide new and enhanced bus service along the westside of Salt Lake County, connecting the 5600 W. Old Bingham Hwy TRAX Station, the International Center, and the Salt Lake City International Airport. The project includes new bus stops along 5600 West and four new park and rides. Design concepts were closely coordinated with UDOT representatives and UTA Service Planning team. Vehicles for the project will consist of CNG buses awarded through the FY 2023 Low or No Emission Grant Program - 5339(c).

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**DISCUSSION:**

Earlier this year, UTA issued an RFQu seeking a qualified firm for design services on the 5600 West Bus Route, including the development of bus stops and park and ride facilities. The scope of work includes 100% design and preparation of construction documents. WSP USA Inc. was selected to deliver the project.

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**CONTRACT SUMMARY:**

<b>Contractor Name:</b>	WSP USA Inc.
<b>Contract Number:</b>	24-03822VW
<b>Base Contract Effective Dates:</b>	October 2024 to December 2025
<b>Extended Contract Dates:</b>	N/A
<b>Existing Contract Value:</b>	N/A
<b>Amendment Amount:</b>	N/A
<b>New/Total Contract Value:</b>	\$1,878,115.36
<b>Procurement Method:</b>	RFQu
<b>Budget Authority:</b>	Approved 2024 Capital Budget

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#### **ALTERNATIVES:**

UTA could negotiate with one of the other firms that bid on the project. However, doing so would cause significant delays and increase project costs.

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#### **FISCAL IMPACT:**

The funding for the 5600 West Bus Route project is coming from a variety of federal and local sources including UDOT TTIF, Low or No Emission Grant Program, Congestion Mitigation & Air Quality (CMAQ) Improvement Program, and a federal earmark. Budget authority is included in the approved 2024 and proposed 2025 capital budgets (MSP260).

2024 Contract Budget Impact: \$500,000

2024 Approved Capital Budget: \$3,500,000

2025 Contract Plan Impact: \$1,378,115.36

2025 Approved Capital Plan: \$16,500,000

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#### **ATTACHMENTS:**

24-03822VW 5600 West Bus Route Final Design Services Contract (Redacted Copy for the Public)

## PROFESSIONAL SERVICES AGREEMENT

UTA CONTRACT #24-03822VW  
5600 West - Bus Route Final Design Services

This Professional Services Agreement is entered into and made effective as of the date of last signature below (the “Effective Date”) by and between UTAH TRANSIT AUTHORITY, a public transit district organized under the laws of the State of Utah (“UTA”), and WSP USA Inc., (“Consultant”).

### RECITALS

WHEREAS, UTA desires to hire professional services for 5600 West - Bus Route Final Design Services.

WHEREAS, On April 2, 2024, UTA issued Request for Proposal Package Number 24-03822VW“RFQu”) encouraging interested parties to submit proposals to perform the services described in the RFQu.

WHEREAS, Upon evaluation of the proposals submitted in response to the RFQu, UTA selected Consultant as the preferred entity with whom to negotiate a contract to perform the Work.

WHEREAS, Consultant is qualified and willing to perform the Work as set forth in the Scope of Services.

### AGREEMENT

NOW, THEREFORE, in accordance with the foregoing Recitals, which are incorporated herein by reference, and for and in consideration of the mutual covenants and agreements hereafter set forth, the mutual benefits to the parties to be derived here from, and for other valuable consideration, the receipt and sufficiency of which the parties acknowledge, it is hereby agreed as follows:

#### 1. SERVICES TO BE PROVIDED

- a. Consultant shall perform all Work as set forth in the Scope of Services (Exhibit A). Except for items (if any) which this Contract specifically states will be UTA-provided, Consultant shall furnish all the labor, material and incidentals necessary for the Work.
- b. 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.
- c. All Work shall conform to generally accepted standards in the transit industry. Consultant shall perform all Work in compliance with applicable laws, regulations, rules, ordinances, permit constraints and other legal requirements including, without limitation, those related to safety and environmental protection.
- d. Consultant shall furnish only qualified personnel and materials necessary for the performance of the Work.
- e. When performing Work on UTA property, Consultant shall comply with all UTA work site rules

including, without limitation, those related to safety and environmental protection.

## 2. **MANAGEMENT OF WORK**

- a. Consultant's Project Manager will be the day-to-day contact person for Consultant and will be responsible for all Work, as well as the coordination of such Work with UTA.
- b. UTA's Project Manager will be the day-to-day contact person for UTA and shall act as the liaison between UTA and Consultant with respect to the Work. UTA's Project Manager shall also coordinate any design reviews, approvals or other direction required from UTA with respect to the Work.

## 3. **PROGRESS OF WORK**

- a. Consultant shall prosecute the Work in a diligent and continuous manner and in accordance with all applicable notice to proceed, critical path schedule and guaranteed completion date requirements set forth in (or developed and agreed by the parties in accordance with) the Scope of Services.
- b. Consultant shall conduct regular meetings to update UTA's Project Manager regarding the progress of the Work including, but not limited to, any unusual conditions or critical path schedule items that could affect or delay the Work. Such meetings shall be held at intervals mutually agreed to between the parties.
- c. Consultant shall deliver monthly progress reports and provide all Contract submittals and other deliverables as specified in the Scope of Services.
- d. Any drawing or other submittal reviews to be performed by UTA in accordance with the Scope of Services are for the sole benefit of UTA and shall not relieve Consultant of its responsibility to comply with the Contract requirements.
- e. UTA will have the right to inspect, monitor and review any Work performed by consultant hereunder as deemed necessary by UTA to verify that such Work conforms to the Contract requirements. Any such inspection, monitoring and review performed by UTA is for the sole benefit of UTA and shall not relieve Consultant of its responsibility to comply with the Contract requirements.
- f. UTA shall have the right to reject Work which fails to conform to the requirements of this Contract. Upon receipt of notice of rejection from UTA, Consultant shall (at its sole expense and without entitlement to equitable schedule relief) promptly re-perform, replace or re-execute the Work so as to conform to the Contract requirements.
- g. If Consultant fails to promptly remedy rejected Work as provided in Section 3.F, UTA may (without limiting or waiving any rights or remedies it may have) perform necessary corrective action using other Consultants or UTA's own forces. Any costs reasonably incurred by UTA in such corrective action shall be chargeable to Consultant.

## 4. **PERIOD OF PERFORMANCE**

This Contract shall commence as of the Effective Date. This Contract shall remain in full force and effect until all Work is completed in accordance with this Contract, as reasonably determined by UTA. Consultant shall complete all Work no later than December 30, 2025. The contract end date of January 31, 2026. This guaranteed completion date may be extended if Consultant and UTA mutually agree to an extension evidenced by a written Change Order. The rights and obligations of UTA and Consultant under this Contract shall at all times be subject to and conditioned upon the provisions of this Contract.

## 5. **COMPENSATION**

- a. For the performance of the Work, UTA shall pay Consultant in accordance with the payments provisions described in Exhibit B. Payments shall be made in accordance with the milestones or other payment provisions detailed in Exhibit B. If Exhibit B does not specify any milestones or other payment provisions, then payment shall be made upon completion of all Work and final acceptance thereof by UTA.
- b. To the extent that Exhibit B or another provision of this Contract calls for any portion of the consideration to be paid on a cost-reimbursement basis, such costs shall only be reimbursable to the extent allowed under 2 CFR Part 200 Subpart E. Compliance with federal cost principles shall apply regardless of funding source for this Contract.
- c. To the extent that Exhibit B or another provision of this Contract calls for any portion of the consideration to be paid on a time and materials or labor hour basis, then Consultant must refer to the not-to-exceed amount, maximum Contract amount, Contract budget amount or similar designation (any of these generically referred to as the “Not to Exceed Amount”) specified in Exhibit B (as applicable). Unless and until UTA has notified Consultant by written instrument designated or indicated to be a Change Order that the Not to Exceed Amount has been increased (which notice shall specify a revised Not to Exceed Amount): (i) Consultant shall not be obligated to perform services or incur costs which would cause its total compensation under this Contract to exceed the Not to Exceed Amount; and (ii) UTA shall not be obligated to make payments which would cause the total compensation paid to Consultant to exceed the Not to Exceed Amount.
- d. UTA may withhold and/or offset from payment any amounts reasonably reflecting: (i) items of Work that have been rejected by UTA in accordance with this Contract; (ii) invoiced items that are not payable under this Contract; or (iii) amounts Consultant owes to UTA under this Contract.

## 6. **INCORPORATED DOCUMENTS**

- a. The following documents hereinafter listed in chronological order, with most recent document taking precedence over any conflicting provisions contained in prior documents (where applicable), are hereby incorporated into the Contract by reference and made a part hereof:
  1. The terms and conditions of this Professional Services Supply Agreement (including any exhibits and attachments hereto).
  2. UTA's RFQu including, without limitation, all attached or incorporated terms, conditions, federal clauses (as applicable), drawings, plans, specifications and

standards and other descriptions of the Professional Services;

3. Consultant's Proposal including, without limitation, all federal certifications (as applicable);
- b. The above-referenced documents are made as fully a part of the Contract as if hereto

## 7. **ORDER OF PRECEDENCE**

The Order of Precedence for this contract is as follows:

1. UTA Contract including all attachments
2. UTA Terms and Conditions
3. UTA Solicitation Terms
4. Consultant's Bid or Proposal including proposed terms or conditions

Any Consultant /Consultant proposed term or condition which is in conflict with a UTA contract or solicitation term or condition will be deemed null and void.

## 8. **CHANGES**

- a. UTA's Project Manager or designee may, at any time, by written order designated or indicated to be a Change Order, direct changes in the Work including, but not limited to, changes:

1. In the Scope of Services;
2. In the method or manner of performance of the Work; or
3. In the schedule or completion dates applicable to the Work.

To the extent that any change in Work directed by UTA causes an actual and demonstrable impact to: (i) Consultant's cost of performing the work; or (ii) the time required for the Work, then (in either case) the Change Order shall include an equitable adjustment to this Contract to make Consultant whole with respect to the impacts of such change.

- b. A change in the Work may only be directed by UTA through a written Change Order or (alternatively) UTA's expressed, written authorization directing Consultant to proceed pending negotiation of a Change Order. Any changes to this Contract undertaken by Consultant without such written authority shall be at Consultant's sole risk. Consultant shall not be entitled to rely on any other manner or method of direction.
- c. Consultant shall also be entitled to an equitable adjustment to address the actual and demonstrable impacts of "constructive" changes in the Work if: (i) subsequent to the Effective Date of this Contract, there is a material change with respect to any requirement set forth in this Contract; or (ii) other conditions exist or actions are taken by UTA which materially modify the magnitude, character or complexity of the Work from what should have been reasonably assumed by Consultant based on the information included in (or referenced by) this Contract. In order to be eligible for equitable relief for "constructive" changes in Work, Consultant must give UTA's Project Manager or designee written notice stating:
  - A. The date, circumstances, and source of the change; and
  - B. That Consultant regards the identified item as a change in Work giving rise to an

adjustment in this Contract.

Consultant must provide notice of a “constructive” change and assert its right to an equitable adjustment under this Section within ten (10) days after Consultant becomes aware (or reasonably should have become aware) of the facts and circumstances giving rise to the “constructive” change. Consultant’s failure to provide timely written notice as provided above shall constitute a waiver of Consultant’s rights with respect to such claim.

- d. As soon as practicable, but in no event longer than 30 days after providing notice, Consultant must provide UTA with information and documentation reasonably demonstrating the actual cost and schedule impacts associated with any change in Work. Equitable adjustments will be made via Change Order. Any dispute regarding the Consultant’s entitlement to an equitable adjustment (or the extent of any such equitable adjustment) shall be resolved in accordance with Article 21 of this Contract.

## **9. INVOICING PROCEDURES**

- a. Consultant shall invoice UTA after achievement of contractual milestones or delivery of all Goods and satisfactory performance of all Services or in accordance with an approved progress or periodic billing schedule. Consultant shall submit invoices to program manager Ethan Ray [eray@rideuta.com](mailto:eray@rideuta.com) for processing and payment. In order to timely process invoices, Consultant shall include the following information on each invoice:
  - i. Consultant Name
  - ii. Unique Invoice Number
  - iii. PO Number
  - iv. Invoice Date
  - v. Detailed Description of Charges
  - vi. Total Dollar Amount Due
- b. UTA shall have the right to disapprove (and withhold from payment) specific line items of each invoice to address non-conforming Software or Services. Approval by UTA shall not be unreasonably withheld. UTA shall also have the right to offset (against payments) amounts reasonably reflecting the value of any claim which UTA has against Consultant under the Contract. Payment for all invoice amounts not specifically disapproved or offset by UTA shall be provided to Consultant within thirty (30) calendar days of invoice submittal to program manager Ethan Ray [eray@rideuta.com](mailto:eray@rideuta.com). Invoices not submitted electronically will shall be paid thirty (30) calendar days from date of receipt by UTA’s accounting department.
- c. Invoices must include a unique invoice number, UTA’s Purchase Order number, a description of the Good or Service provided, line-item pricing, total amount due, and must be submitted electronically to program manager Ethan Ray [eray@rideuta.com](mailto:eray@rideuta.com).

## **10. OWNERSHIP OF DESIGNS, DRAWINGS, AND WORK PRODUCT**

Any deliverables prepared or developed pursuant to the Contract including without limitation drawings, specifications, manuals, calculations, maps, sketches, designs, tracings, notes, reports, data, computer programs, models and samples, shall become the property of UTA when prepared, and, together with any documents or information furnished to Consultant and its employees or agents by UTA hereunder, shall be delivered to UTA upon request, and, in any event, upon termination or final acceptance of the Professional Services. UTA shall have full rights and privileges to use and reproduce said items. To the extent that any deliverables include or incorporate preexisting intellectual property of Consultant, Consultant hereby grants UTA a fully paid, perpetual license to use such intellectual property for UTA's operation, maintenance, modification, improvement and replacement of UTA's assets. The scope of the license shall be to the fullest extent necessary to accomplish those purposes, including the right to share same with UTA's Consultants, agent, officers, directors, employees, joint owners, affiliates and Consultants.

## **11. USE OF SUBCONSULTANTS**

- a. Consultant shall give advance written notification to UTA of any proposed subcontract (not indicated in Consultant's Proposal) negotiated with respect to the Work. UTA shall have the right to approve all subconsultants, such approval not to be withheld unreasonably.
- b. No subsequent change, removal or substitution shall be made with respect to any such subconsultant without the prior written approval of UTA.
- c. Consultant shall be solely responsible for making payments to subconsultants, and such payments shall be made within thirty (30) days after Consultant receives corresponding payments from UTA.
- d. Consultant shall be responsible for and direct all Work performed by subconsultants.
- e. Consultant agrees that no subcontracts shall provide for payment on a cost-plus-percentage-of-cost basis. Consultant further agrees that all subcontracts shall comply with all applicable laws.

## **12. KEY PERSONNEL**

Consultant shall provide the key personnel as indicated in Consultant's Proposal (or other applicable provisions of this Contract) and shall not change any of said key personnel without the express written consent of UTA. The following individuals are concerned to be key personnel under this contract.

Tom Hiles, PE – Project Manager  
Paige Cureton, AICP – Planning Lead  
Matt Sibul, PD – PSC Administrator  
Michelle Cline, PE -Quality Manager  
Chris Hemmer, PE – Lead Estimator  
Jeremy Christensen, PE – Strategic Advisor

If the Consultant changed key personnel without the express written permission of UTA, it shall be in default of the contract and liable for default damages.

## **13. SUSPENSION OF WORK**

- a. 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, Consultant shall immediately 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.

- b. 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.
- c. 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.
- d. If the Suspension of Work causes an increase in Consultant’s cost or time to perform the Work, UTA’s Project Manager or designee shall make an equitable adjustment to compensate Consultant for the additional costs or time, and modify this Contract by Change Order.

## 14. **TERMINATION**

### a. **FOR CONVENIENCE:**

UTA shall have the right to terminate the Contract at any time by providing written notice to Consultant. If the Contract is terminated for convenience, UTA shall pay Consultant: (i) in full for Goods delivered and Services fully performed prior to the effective date of termination; and (ii) an equitable amount to reflect costs incurred (including Contract close-out and subconsultant termination costs that cannot be reasonably mitigated) and profit on work-in-progress as of to the effective date of the termination notice. UTA shall not be responsible for anticipated profits based on the terminated portion of the Contract. Consultant shall promptly submit a termination claim to UTA. If Consultant has any property in its possession belonging to UTA, Consultant will account for the same, and dispose of it in the manner UTA directs.

### b. **FOR DEFAULT:**

If Consultant (a) becomes insolvent; (b) files a petition under any chapter of the bankruptcy laws or is the subject of an involuntary petition; (c) makes a general assignment for the benefit of its creditors; (d) has a receiver appointed; (e) should fail to make prompt payment to any subconsultants or suppliers; or (f) fails to comply with any of its material obligations under the Contract, UTA may, in its discretion, after first giving Consultant seven (7) days written notice to cure such default:

1. Terminate the Contract (in whole or in part) for default and obtain the Professional Services using other Consultants or UTA’s own forces, in which event Consultant shall be liable for all incremental costs so incurred by UTA;
2. Pursue other remedies available under the Contract (regardless of whether the termination remedy is invoked); and/or
3. Except to the extent limited by the Contract, pursue other remedies available at law.

### **CONSULTANT’S POST TERMINATION OBLIGATIONS:**

Upon receipt of a termination notice as provided above, Consultant shall (i) immediately

discontinue all work affected (unless the notice directs otherwise); and (ii) deliver to UTA all data, drawings and other deliverables, whether completed or in process. Consultant shall also remit a final invoice for all services performed and expenses incurred in full accordance with the terms and conditions of the Contract up to the effective date of termination. UTA shall calculate termination damages payable under the Contract, shall offset such damages against Consultant's final invoice, and shall invoice Consultant for any additional amounts payable by Consultant (to the extent termination damages exceed the invoice). All rights and remedies provided in this Article are cumulative and not exclusive. If UTA terminates the Contract for any reason, 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 Professional Services furnished by Consultant prior to termination.

## **15. INFORMATION, RECORDS and REPORTS; AUDIT RIGHTS**

Consultant shall retain all books, papers, documents, accounting records and other evidence to support any cost-based billings allowable under Exhibit B (or any other provision of 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. Consultant shall also retain other books and records related to the performance, quality or management of this Contract and/or Consultant's compliance with this Contract. Records shall be retained by Consultant for a period of at least six (6) years after completion of the Work, or until any audit initiated within that six-year period has been completed (whichever is later). During this six-year period, such 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 records shall be furnished to UTA or designated audit parties upon request. Consultant agrees that it shall flow-down (as a matter of written contract) these records requirements to all subconsultants utilized in the performance of the Work at any tier.

## **16. FINDINGS CONFIDENTIAL**

Any documents, reports, information, or other data and materials delivered or made available to or prepared or assembled by Consultant or subconsultant 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. If confidential information is released to any third party without UTA's written consent as described above, Consultant shall notify UTA of the data breach within 10 days and provide its plan for immediate mitigation of the breach for review and approval by UTA.

- a. It is hereby agreed that the following information is not considered to be confidential:
  - 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.

17. **PUBLIC INFORMATION.**

Consultant acknowledges that the Contract and related materials (invoices, orders, etc.) will be public documents under the Utah Government Records Access and Management Act (GRAMA). Consultant's response to the solicitation for the Contract will also be a public document subject to GRAMA, except for legitimate trade secrets, so long as such trade secrets were properly designated in accordance with terms of the solicitation.

18. **GENERAL INDEMNIFICATION**

Consultant shall indemnify, hold harmless and defend UTA, its officers, trustees, agents, and employees (hereinafter collectively referred to as "Indemnitees") from and against all liabilities, claims, actions, damages, losses, and expenses including without limitation reasonable attorneys' fees and costs (hereinafter referred to collectively as "claims") related to bodily injury, including death, or loss or damage to tangible or intangible property caused, or alleged to be caused, in whole or in part, by the acts or omissions of Consultant or any of its owners, officers, directors, agents, employees or subconsultants. This indemnity includes any claim or amount arising out of the failure of such Consultant to conform to federal, state, and local laws and regulations. If an employee of Consultant, a subconsultant, anyone employed directly or indirectly by any of them or anyone for whose acts any of them may be liable brings a claim against UTA or another Indemnitee, Consultant's indemnity obligation set forth above will not be limited by any limitation on the amount of damages, compensation or benefits payable under any employee benefit acts, including workers' compensation or disability acts. The indemnity obligations of Consultant shall not apply to the extent that claims arise out of the sole negligence of UTA or the Indemnitees.

19. **INSURANCE REQUIREMENTS**

The insurance requirements herein are minimum requirements for this Contract and in no way limit the indemnity covenants contained in this Contract. The Utah Transit Authority in no way warrants that the minimum limits contained herein are sufficient to protect the Consultant from liabilities that might arise out of the performance of the work under this contract by the Consultant, his agents, representatives, employees or subconsultants and Consultant is free to purchase additional insurance as may be determined necessary.

A. **MINIMUM SCOPE AND LIMITS OF INSURANCE:** Consultant shall provide coverage with limits of liability not less than those Stated below. An excess liability policy or umbrella liability policy may be used to meet the minimum liability requirements provided that the coverage is written on a "following form" basis.

1. Commercial General Liability – Occurrence Form

Policy shall include bodily injury, property damage and broad form contractual liability coverage.

• General Aggregate	\$4,000,000
• Products – Completed Operations Aggregate	\$1,000,000

- Personal and Advertising Injury \$1,000,000
- Each Occurrence \$2,000,000
  - a. The policy shall be endorsed to include the following additional insured language: "The Utah Transit Authority shall be included as an additional insured with respect to liability arising out of the activities performed by, or on behalf of the Consultant".
  - b. The policy must also contain the following endorsement, WHICH MUST BE STATED ON THE CERTIFICATE OF INSURANCE: "Contractual Liability Railroads" ISO from CG 24 17 10 01 (or a substitute form providing equivalent coverage) showing "Utah Transit Authority Property" as the Designated Job Site

## 2. Automobile Liability

Bodily Injury and Property Damage for any owned, hired, and non-owned vehicles used in the performance of this Contract.

Combined Single Limit (CSL)	\$2,000,000
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- a. The policy shall be endorsed to include the following additional insured language: "The Utah Transit Authority shall be included as an additional insured with respect to liability arising out of the activities performed by, or on behalf of the Consultant, including automobiles owned, leased, hired or borrowed by the Consultant".

## 3. Worker's Compensation and Employers' Liability

Workers' Compensation	Statutory
Employers' Liability	
Each Accident	\$100,000
Disease – Each Employee	\$100,000
Disease – Policy Limit	\$500,000

- a. Policy shall contain a waiver of subrogation against the Utah Transit Authority.
- b. This requirement shall not apply when a Consultant or subconsultant is exempt under UCA, AND when such Consultant or subconsultant executes the appropriate waiver form.

## 4. Professional Liability (Errors and Omissions Liability)

The policy shall cover professional misconduct or lack of ordinary skill for those positions defined in the Scope of Services of this contract.

Each Claim	\$1,000,000
Annual Aggregate	\$2,000,000

- a. In the event that the professional liability insurance required by this Contract is written on a claims-made basis, Consultant warrants that any retroactive date under the policy shall precede the effective date of this Contract; and that either continuous coverage will be maintained or an extended discovery period will be exercised for a period of three (3) years beginning at the time work under this Contract is completed.

## 5. Railroad Protective Liability Insurance (RRPLI) –

During construction and maintenance within fifty (50) feet of an active railroad track, including but not limited to installation, repair or removal of facilities, equipment, services or materials, the

Consultant must maintain “Railroad Protective Liability” insurance on behalf of UTA only as named insured, with a limit of not less than \$2,000,000 per occurrence and an aggregate of \$6,000,000. The foregoing requirement may be satisfied by Consultant enrolling in UTA’s blanket RRPLI program.

If the Consultant is not enrolling for this coverage under UTA’s blanket RRPLI program, the policy provided must have the definition of “JOB LOCATION” AND “WORK” on the declaration page of the policy shall refer to this Agreement and shall describe all WORK or OPERATIONS performed under this Agreement.

**B. ADDITIONAL INSURANCE REQUIREMENTS:** The policies shall include, or be endorsed to include the following provisions:

1. On insurance policies where the Utah Transit Authority is named as an additional insured, the Utah Transit Authority shall be an additional insured to the full limits of liability purchased by the Consultant. Insurance limits indicated in this agreement are minimum limits. Larger limits may be indicated after the Consultant’s assessment of the exposure for this contract; for their own protection and the protection of UTA.
2. The Consultant's insurance coverage shall be primary insurance and non-contributory with respect to all other available sources.
3. Except for professional liability, Consultant and their insurers shall endorse the required insurance policy(ies) to waive their right of subrogation against UTA. Consultant’s insurance shall be primary with respect to any insurance carried by UTA. Consultant will furnish UTA at least thirty (30) days advance written notice of any cancellation or non-renewal of any required coverage that is not replaced.

**C. NOTICE OF CANCELLATION:** Each insurance policy required by the insurance provisions of this Contract shall provide the required coverage and shall not be suspended, voided, or canceled except after thirty (30) days prior written notice has been given to the Utah Transit Authority, except when cancellation is for non-payment of premium, then ten (10) days prior notice may be given. Such notice shall be sent directly to (Utah Transit Authority agency Representative's Name & Address).

**D. ACCEPTABILITY OF INSURERS:** Insurance is to be placed with insurers duly licensed or authorized to do business in the State and with an “A.M. Best” rating of not less than A-VII. The Utah Transit Authority in no way warrants that the above-required minimum insurer rating is sufficient to protect the Consultant from potential insurer insolvency.

**E. VERIFICATION OF COVERAGE:** Consultant shall furnish the Utah Transit Authority with certificates of insurance (on standard ACORD form) as required by this Contract. The certificates for each insurance policy are to be signed by a person authorized by that insurer to bind coverage on its behalf.

All certificates and any required endorsements are to be sent to [utahhta@ebix.com](mailto:utahhta@ebix.com) and received and approved by the Utah Transit Authority before work commences. Each insurance policy required by this Contract must be in effect at or prior to commencement of work under this Contract and remain in effect for the duration of the project. Failure to maintain the insurance policies as required by this Contract or to provide evidence of renewal is a material breach of contract.

All certificates required by this Contract shall be emailed directly to Utah Transit Authority's insurance email address at [utahta@ebix.com](mailto:utahta@ebix.com). The Utah Transit Authority project/contract number and project description shall be noted on the certificate of insurance. Utah Transit Authority reserves the right to require complete, certified copies of all insurance policies required by this Contract at any time. DO NOT SEND CERTIFICATES OF INSURANCE TO THE UTAH TRANSIT AUTHORITY'S CLAIMS AND INSURANCE DEPARTMENT.

- F. **SUBCONSULTANTS:** Consultants' certificate(s) shall include all subconsultants as additional insureds under its policies or subconsultants shall maintain separate insurance as determined by the Consultant, however, subconsultant's limits of liability shall not be less than \$1,000,000 per occurrence / \$2,000,000 aggregate. Sub-consultants maintaining separate insurance shall name Utah Transit Authority as an additional insured on their policy. Blanket additional insured endorsements are not acceptable from sub-consultants. Utah Transit Authority must be scheduled as an additional insured on any sub-consultant policies.
- G. **APPROVAL:** Any modification or variation from the insurance requirements in this Contract shall be made by Claims and Insurance Department or the Office of General Counsel, whose decision shall be final. Such action will not require a formal Contract amendment but may be made by administrative action.

## 20. **OTHER INDEMNITIES**

- a. Consultant shall protect, release, indemnify and hold harmless UTA and the other Indemnitees against and from any and all Claims of any kind or nature whatsoever on account of infringement relating to Consultant's negligent performance under this Contract. If notified promptly in writing and given authority, information and assistance, Consultant shall defend, or may settle at its expense, any suit or proceeding against UTA so far as based on a claimed infringement and Consultant shall pay all damages and costs awarded therein against UTA due to such breach. In case any portion of the Work is in such suit held to constitute such an infringement or an injunction is filed that interferes with UTA's rights under this Contract, Consultant shall, at its expense and through mutual agreement between the UTA and Consultant, either procure for UTA any necessary intellectual property rights, or modify Consultant's services or deliverables such that the claimed infringement is eliminated.
- b. Consultant shall: (i) protect, release, defend, indemnify and hold harmless UTA and the other Indemnitees against and from any and all liens or Claims made or filed against UTA or upon the Work or the property on which the Work is located on account of any labor performed or labor, services, and equipment furnished by subconsultants of any tier; and (ii) keep the Work and said property free and clear of all liens or claims arising from the performance of any Work covered by this Contract by Consultant or its subconsultants of any tier. If any lien arising out of this Contract is filed, before or after Work is completed, Consultant, within ten (10) calendar days after receiving from UTA written notice of such lien, shall obtain a release of or otherwise satisfy such lien. If Consultant fails to do so, UTA may take such steps and make such expenditures as in its discretion it deems advisable to obtain a release of or otherwise satisfy any such lien or liens, and Consultant shall upon demand reimburse UTA for all costs incurred and expenditures made by UTA in obtaining such release or satisfaction. If any non-payment claim is made

directly against UTA arising out of non-payment to any subconsultant, Consultant shall assume the defense of such claim within ten (10) calendar days after receiving from UTA written notice of such claim. If Consultant fails to do so, Consultant shall upon demand reimburse UTA for all costs incurred and expenditures made by UTA to satisfy such claim.

**21. INDEPENDENT CONSULTANT**

Consultant is an independent Consultant 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.

**22. 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 Consultant in this Contract or the proceeds thereof without specific written authorization by UTA.

**23. CLAIMS/DISPUTE RESOLUTION**

- a. "Claim" means any disputes between UTA and the Consultant 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 6. Claims must be made by written notice. The responsibility to substantiate claims rests with the party making the claim.
- b. Unless otherwise directed by UTA in writing, Consultant 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.
- c. The parties shall attempt to informally resolve all claims, counterclaims and other disputes through the escalation process described below. No party may bring a legal action to enforce any term of this Contract without first having exhausted such process.
- d. The time schedule for escalation of disputes, including disputed requests for change order, shall be as follows:

Level of Authority	Time Limit
UTA's Project Manager/Consultant's Project Manager	Five calendar days
UTA's Director of Capital Design & Construction/	
Consultant's Utah Transportation Business Leader	Five calendar days
UTA's Chief Capital Services Officer/	
Consultant's District Transportation Business Leader	Five calendar days

Unless otherwise directed by UTA's Project Manager, Consultant shall diligently continue performance under this Contract while matters in dispute are being resolved.

If the dispute cannot be resolved informally in accordance with the escalation procedures set forth above, then either party may commence formal mediation under the Juris Arbitration and Mediation (JAMS) process using a mutually agreed upon JAMS mediator. If resolution does not occur through Mediation, then legal action may be commenced in accordance the venue and governing law provisions of this contract.

**24. GOVERNING LAW**

This Contract shall be interpreted in accordance with the substantive and procedural laws of the State of Utah. Any litigation between the parties arising out of or relating to this Contract will be conducted exclusively in federal or state courts in the State of Utah and Consultant consents to the jurisdiction of such courts.

**25. ASSIGNMENT OF CONTRACT**

Consultant shall not assign, sublet, sell, transfer, or otherwise dispose of any interest in this Contract without prior written approval of UTA, and any attempted transfer in violation of this restriction shall be void.

**26. NONWAIVER**

No failure or waiver or successive failures or waivers on the part of either party 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 to enforce the same in the event of any subsequent breaches by the other party.

**27. NOTICES OR DEMANDS**

- a. Any formal notice or demand to be given by one party to the other shall be given in writing by one of the following methods: (i) hand delivered; (ii) deposited in the mail, properly stamped with the required postage; (iii) sent via registered or certified mail; or (iv) sent via recognized overnight courier service. All such notices shall be addressed as follows:

If to UTA:

Utah Transit Authority  
ATTN: Vicki Woodward, contract Administrator  
669 West 200 South  
Salt Lake City, UT 84101

with a required copy to:

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

If to Consultant:

Tom Hiles, Project Manager  
6510 S Millrock Dr. Ste 225  
Salt Lake City, UT 84121

- a. 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. Either party may change the address at which such party desires to receive written notice by providing written notice of such change to any other party.
- b. Notwithstanding Section 27, the parties may, through mutual agreement, develop alternative communication protocols to address change notices, requests for information and similar categories of communications. Communications provided pursuant to such agreed means shall be recognized as valid notices under this Contract.

**28. CONTRACT ADMINISTRATOR**

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

**29. INSURANCE COVERAGE REQUIREMENTS FOR CONSULTANT EMPLOYEES AND SUBCONSULTANTS UNDER DESIGN AND CONSTRUCTION CONTRACTS**

- a. The following requirements apply to the extent that the Consultant is providing design or construction services and (i) the initial value of this Contract is equal to or in excess of \$2 million; (ii) this Contract, with subsequent modifications, is reasonably anticipated to equal or exceed \$2 million; (iii) Consultant has a subcontract at any tier that involves a sub-consultant that has an initial subcontract equal to or in excess of \$1 million; or (iv) any subcontract, with subsequent modifications, is reasonably anticipated to equal or exceed \$1 million:
- b. Consultant shall, prior to the effective date of this Contract, demonstrate to UTA that Consultant has and will maintain an offer of qualified health insurance coverage (as defined by Utah Code Ann. § 17B-2a-818.5) for the Consultant's employees and the employee's dependents during the duration of this Contract.
- c. Consultant shall also demonstrate to UTA that subconsultants meeting the above-described subcontract value threshold have and will maintain an offer of qualified health insurance coverage (as defined by Utah Code Ann. § 17B-2a-818.5) for the subconsultant's employees and the employee's dependents during the duration of the subcontract.

**30. COSTS AND ATTORNEYS FEES**

If any party to this Agreement brings an action to enforce or defend its rights or obligations hereunder, the prevailing party shall be entitled to recover its costs and expenses, including mediation, arbitration, litigation, court costs and attorneys' fees, if any, incurred in connection with such suit, including on appeal

**31. NO THIRD-PARTY BENEFICIARY**

The parties enter into this Contract for the sole benefit of the parties, in exclusion of any third- party, and no third-party beneficiary is intended or created by the execution of this Contract.

**32. FORCE MAJEURE**

Neither party to the Contract will be held responsible for delay or default caused by fire, riot, acts of God and/or war which are beyond that party's reasonable control. UTA may terminate the Contract after determining such delay or default will reasonably prevent successful performance of the Contract.

**33. UTAH ANTI-BOYCOTT OF ISRAEL ACT**

Consultant agrees it will not engage in a boycott of the State of Israel for the duration of this contract.

**34. TRAVEL COSTS**

Any travel costs charged against this contract and paid for with contract funds must be in compliance with UTA's Travel Policy (UTA.02.07) and the U.S. General Services Administration (GSA) per diem rates

**35. SEVERABILITY**

Any provision of this Contract prohibited or rendered unenforceable by operation of law shall be ineffective only to the extent of such prohibition or unenforceability without invalidating the remaining provisions of this Contract.

**36. ENTIRE AGREEMENT**

This Contract shall constitute the entire agreement and understanding of the parties with respect to the subject matter hereof, and shall supersede all offers, negotiations and other agreements with respect thereto. The terms of the Contract supersede any additional or conflicting terms or provisions that may be preprinted on Vendor's work plans, cost estimate forms, receiving tickets, invoices, or any other related standard forms or documents of Vendor that may subsequently be used to implement, record, or invoice Goods and/or Services hereunder from time to time, even if such standard forms or documents have been signed or initialed by a representative of UTA. The terms of the Contract prevail in any dispute between the terms of the Contract and the terms printed on any such standard forms or documents, and such standard forms or documents will not be considered written amendments of the Contract.

**37. REVOLVING DOOR RESTRICTIONS**

UTA Ethics Policy requires Board approval for the award or amendment of a contract with a Consultant that has hired a former UTA employee or who are represented by a former employee where the former employee left UTA employment within the 12 months prior to the contract award or amendment. Approval will not be given if there is a strong appearance of an unfair competitive advantage.

### 38. **AMENDMENTS**

Any amendment to this Contract must be in writing and executed by the authorized representatives of each party.

### 39. **COUNTERPARTS**

This Contract may be executed in any number of counterparts and by each of the parties hereto on separate counterparts, each of which when so executed and delivered shall be an original, but all such counterparts shall together constitute but one and the same instrument. Any signature page of the Contract may be detached from any counterpart and reattached to any other counterpart hereof. The electronic transmission of a signed original of the Contract or any counterpart hereof and the electronic retransmission of any signed copy hereof shall be the same as delivery of an original.

### 40. **SURVIVAL**

Provisions of this Contract intended by their nature and content to survive termination of this Contract shall so survive including, but not limited to, Articles 5, 7, 8, 10, 14, 15, 17, 18, 19, 20, 23, 29 and 30.

IN WITNESS WHEREOF, the parties have made and executed this Contract as of the day, month and year of the last signature contained below.

**UTAH TRANSIT AUTHORITY:**

By:  
Jay Fox  
Executive Director

Date:

By:  
David Hancock  
Chief Service Development Officer

Approved as to Content and Form

**WSP USA Inc:**

By:  
Shannon Bond  
Utah Transportation Business Leader, SVP  
Fed ID# 11-1531569

By:  
Date:

Mike Bell, AAG State of Utah  
And UTA Legal Counsel

Reviewed & Recommended

By: Date:  
Ethan Ray  
UTA Project Manager

## Exhibit A – Scope of Work

### Scope of Work

1. **Project Management – (Roles: WSP-Lead).** The consultant Project Manager (PM) is responsible for the successful delivery of the project design. This includes management of consultant resources and subconsultants; regular coordination with UTA and third parties; and management of scope, schedule, and budget.
  - a. Project Oversight and Coordination (Roles: WSP-Lead, Avenue, Meridian)
    - i. Project kick-off meeting – Conduct an in-person project kick-off meeting.
    - ii. Bi-weekly coordination meetings – PM to coordinate regular 1-hour bi-weekly project meetings with UTA (up to 14 months). The meeting agenda shall include a review of work plan progress, schedule, and technical issues. The bi-weekly meetings may be utilized for third-party coordination as necessary. Avenue will attend up to nine (9) bi-weekly meetings.
    - iii. Bi-weekly WSP consultant meetings – Conduct 1-hour bi-weekly meetings with WSP consultant team. Avenue will attend up to 20 meetings.
    - iv. Public Involvement Support – UTA will lead all public involvement and stakeholder meetings. In coordination with the UTA PI team, the consultant project team is expected to attend and prepare meeting materials and exhibits for eight meetings with local municipalities and stakeholders including UDOT, Salt Lake City, West Valley City, Kearns, West Jordan, Salt Lake International Airport, WFRC, and the University of Utah. One public involvement kick-off meeting will be held to discuss project history, engagement techniques, and roles and responsibilities (virtual meeting, 3 staff, 2 hours).
    - v. Project Approvals Plan – Develop a plan that identifies project approvals required per jurisdiction for park-and-rides and bus stops, as needed.
    - vi. General Coordination – Coordinate with UTA outside of scheduled meetings.

#### *Deliverables*

<ul style="list-style-type: none"><li>• Meeting Minutes</li><li>• Meeting Agendas</li></ul>	<ul style="list-style-type: none"><li>• Public Involvement Materials</li><li>• Project Approvals Plan</li></ul>
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#### *Assumptions:*

- Up to 14-month contract.
- One (1) in-person project kick-off meeting (4 staff, 3 hours). WSP will prepare the agenda, meeting materials, and meeting summary.
- Bi-weekly meetings with UTA (2 staff, 1 hour). WSP will prepare agenda, summary, and track action items.
- Bi-weekly consultant team meetings (4 staff, 1 hour plus subconsultants).
- One (1) virtual public involvement kick-off meeting (3 staff, 2 hours). Agenda development

in coordination with UTA PI team.

- Up to eight (8) stakeholder meetings (2 staff, 2 hours).
- UTA's PI team will schedule stakeholder meetings (property owners, cities, other stakeholders), coordinate logistics, develop agendas and meeting summaries. The technical team will coordinate directly with UTA and UDOT.
- WSP will prepare materials (handouts, PowerPoint slides) for up to eight (8) stakeholder meetings (draft, one revision, final).
- WSP will attend virtual debrief meetings for up to eight (8) stakeholder meetings.
- No infographics, renderings or 3D illustrations are included. WSP has graphics capabilities if desired.
- Up to six (6) hours per month for general UTA coordination.

b. Project Scope (Roles: WSP-Lead, Avenue)

- i. Develop a detailed project scope (work plan) with activities and deliverables clearly defined. The scope of work shall tie directly to the project schedule and project budget. The work plan shall be delivered within 10 days of the notice to proceed.

***Deliverables***

- **Scope of Work**

*Assumptions:*

- Subconsultants will provide scope of work to WSP for integration.

c. Project Schedule (Roles: WSP-Lead, Avenue)

- i. Develop a Microsoft Project schedule that clearly defines the sequence and duration of all project activities and deliverables. The project schedule shall be submitted to the UTA project manager for approval prior to commencing work. The schedule shall be updated monthly and presented at the bi-weekly coordination meetings. The project schedule shall be delivered within 10 days of the notice to proceed.

***Deliverables***

- **Microsoft Project Schedule**

d. Project Budget (Roles: WSP-Lead, Avenue)

- i. Develop a project budget that identifies all resources (PM, Project Engineer, Design Engineers, Admin, etc.) to be utilized on the project with hours for each activity. The project budget shall align with the activities and deliverables in the project scope and schedule.

*Deliverables*

- Project Budget

e. Quality Management (Roles: WSP-Lead, Avenue)

- i. The project design shall adhere to the UTA Quality Management Plan (see Appendix III – Quality Management Plan) and its associated Design Quality Procedures. All design deliverables submitted to UTA must include quality control records providing objective evidence that the design, calculations, plans, etc. have been checked in accordance with the UTA QMP.

*Deliverables*

- Quality control records for each deliverable

f. Monthly Invoicing and Progress Reporting (Roles: WSP-Lead, Avenue, Meridian)

- i. Monthly invoicing shall include a detailed summary of costs incurred for the accounting period. Costs for each task shall include staff hourly rates, hours, direct costs, and percent complete. The invoice shall include a progress summary of work performed noting milestones and deliverable status. Subconsultant invoices are subject to the same requirements.

*Deliverables*

- Monthly Invoices

**2. Aesthetics and Landscaping (Roles: WSP-Lead)**

a. Aesthetics Design (Roles: WSP)

- i. The aesthetics design approach for the project is to utilize materials and items that are consistent with UTA's overall bus network including canopies, trash receptacles, lighting, benches, etc. Coordinate the project aesthetics approach with UTA's Facility and Maintenance Department.

b. Landscaping Design (Roles: WSP)

- i. The landscaping design approach for park and ride lots to minimize maintenance by reducing/eliminating sod areas, incorporating drought tolerant trees and plants, and utilizing rock mulch in landscaped and undeveloped areas. In coordination with UTA, the PM shall meet with the appropriate City officials to determine the minimum level of landscaping required by City standards for each park and ride lot. Coordinate final landscaping design with UTA's Facility and Maintenance Department.
- ii. Bus stops are envisioned to have no added landscaping features and shall be designed to fit in with the existing surroundings.

*Deliverables*

- Project Aesthetics Plan
- Meeting Agendas, Handouts, and Summaries
- Local Government Agreements (if necessary)
- Landscape and Irrigation Plans

*Assumptions:*

- Up to six (6) 1-hour virtual meetings to discuss aesthetics and landscaping.

**3. Survey and Mapping (Roles: Meridian-Lead, WSP)**

a. Survey (Meridian)

- i. Local survey control to be established in accordance with UTA Design Criteria Chapter 5 - Civil Work.
- ii. Conduct Surveying to provide local control at each location. A project wide control network is not included in this scope of work.
- iii. Conduct surveying to provide local survey control at each site. Survey Control will be consistent at each location. Variations between sites are likely to exist.
  1. Salt Lake City International Airport (location TBD)
  2. 5600 W Amelia Earhart Dr.
  3. 5600 W California Ave.
  4. 5600 W Parkway Blvd.
  5. 5600 W 3100 S
  6. 5600 W 3500 S
  7. 5600 W 4100 S
  8. 5600 W 4700 S
  9. 5600 W 5400 S
  10. 5600 W 6200 S
  11. 5600 W 7000 S
  12. 5600 W 7800 S
  13. 5600 W New Bingham Hwy.
  14. 5600 W 9000 S
  15. 5600 W Old Bingham Hwy.
- iv. Conduct Surveying of Section and Right of Way monuments sufficient for locating the Right of Way at each location.
- v. Survey Control Sheets are not included in this scope of work.
- vi. Conduct Topographic Surveying at each proposed bus stop location.

1. Salt Lake City International Airport (location TBD)
  - a. Single Bus Stop location.
2. 5600 W Amelia Earhart Dr.
  - a. WB Bus Stop
  - b. EB Bus Stop
3. 5600 W California Ave.
  - a. NB Bus Stop
  - b. SB Bus Stop
4. 5600 W Parkway Blvd.
  - a. NB Bus Stop
  - b. SB Bus Stop
5. 5600 W 3100 S
  - a. SB Bus Stop
6. 5600 W 3500 S
  - a. NB Bus Stop
  - b. SB Bus Stop
7. 5600 W 4100 S
  - a. NB Bus Stop
  - b. SB Bus Stop
8. 5600 W 4700 S
  - a. NB Bus Stop
  - b. SB Bus Stop
9. 5600 W 5400 S
  - a. Parking lot and Road Access
  - b. SB Bus Stop
10. 5600 W 6200 S
  - a. Parking Lot NE corner of intersection
  - b. NB Bus Stop
  - c. SB Bus Stop
11. 5600 W 7000 S
  - a. NB Bus Stop
  - b. SB Bus Stop
12. 5600 W 7800 S

- a. Park and Ride Area (approx. 1.25 acres)
- b. NB Bus Stop
- c. SB Bus Stop

13. 5600 W New Bingham Hwy.

- a. SB Bus Stop

14. 5600 W 9000 S

- a. Park and Ride Area (approx. 0.75 acres)
- b. NB Bus Stop
- c. SB Bus Stop

15. 5600 W Old Bingham Hwy.-Topographic survey for Restroom areas.

b. Base Mapping (Meridian)

- i. Perform base mapping survey on new park and ride locations and all proposed bus stop locations to provide sufficient topography (DTM) for design (Extopo.dgn). Include surface features, utility locations, and existing ROW information. The existing concept plans were developed with site surveys to define existing surface features. A copy of the base mapping will be supplied to the selected proposer.
- ii. Updated Imagery will only be provided at locations where flights are conducted for the purpose of providing topographic information. Full corridor imagery is not included in this scope of work.
- iii. Incorporates the data model into the project design (WSP).
- iv. Provide quality review of survey and mapping (WSP).

***Deliverables***

- Base Mapping
- Original Field Data

*Assumptions:*

- Up to four (4) 1-hour third-party meetings to discuss survey and mapping.
- WSP will review surveys and mapping.

**Meridian**

- The previous surveys prepared by Redcon and provided by UTA/HNTB, completed for this project, appear to be completed for environmental purposes and do not meet topographic mapping standards of accuracy at 0.07'. This Work Plan provided by Meridian includes local control and base mapping for

each area listed, treating each area as its own project area. Each area will meet an accuracy standard of 0.07' locally.

#### **4. Geotechnical Investigation, Testing, and Report (Roles: WSP-Lead, Drilling Contractor TBD)**

##### **a. Geotechnical Exploration Plan (WSP)**

- i. The scope of work for geotechnical investigation is limited to the park and ride locations. Review existing available geotechnical information in and around each park and ride location and conduct a field visit to inform the exploration plan. Develop exploration plan based on the project's technical needs (pavement design, operator restroom foundations, etc.).
- ii. Two (2) station locations for prototypical soil conditions to be investigated.

##### **b. Geotechnical Investigation, Testing, and Report**

- i. Perform exploration/sampling and laboratory testing. Prepare geotechnical report summarizing exploration logs, findings, and design recommendations. (Drilling subconsultant TBD)
- ii. Review Geotechnical and Pavement Design Report. (WSP)

#### *Deliverables*

<ul style="list-style-type: none"><li>• Geotechnical Exploration Plan</li></ul>	<ul style="list-style-type: none"><li>• Geotechnical and Pavement Design Report</li></ul>
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#### *Assumptions:*

- Up to four (4) 1-hour third-party meetings to discuss geotechnical issues.

#### **5. Right-of-Way (Roles: Meridian-Lead, Avenue)**

UDOT will be acquiring the right-of-way for this project. The consultant will prepare all the required documents in accordance with the UDOT Right-of-Way Design Manual.

##### **a. Identify Existing Right-of-Way and Right-of-Way Needs (Roles: Meridian)**

- i. Conduct ownership deed and subdivision plat research within the local County Recorder's Office. Conduct a complete title abstract search to determine fee ownership of all parcels within the project limits, including all adjacent contiguous parcels to determine the larger parcel. Retrieve copies of subdivision plats and road dedication plats.
- ii. Conduct abstract research on all the parcels within the project limits with the County Recorder's Office to obtain any recorded Utility Easements.
- iii. Conduct previously recorded boundary survey research with the County

Surveyor's Office. This information will aid in placing subdivisions and private survey data within the right of way drawings.

- iv. Conduct research within the UDOT to determine the existing right of way conditions at the intersections of 5600 West and 9000 S, 8500 S (New Bingham Highway), 7800 S, 7000 S, 6200 S, 5400 S, 4700 S, 4100 S, 3500 S, 2700 S and California Avenue.
- v. Conduct research with the Local Government to help determine the existing right of way conditions along Amelia Earhart Drive.
- vi. There are approximately 25 parcels impacted by design inside the limits of this project.
- vii. Plot all deeds, maps and support documents to determine the existing right of way and adjoining parcel boundaries.
- viii. Create an Existing Right of Way (Exrow.dgn) file.
- ix. Perform quality control quality assurance reviews.
- x. Meridian will create a spreadsheet list of all parcels listing ownership information (names, tax ID, parcel address, owners address, type of ownership, apparent use).
- xi. Review of right-of-way spreadsheet and findings (WSP).
- xii. Review existing ROW mapping and integrate into design plans (WSP).

#### *Deliverables*

<ul style="list-style-type: none"><li>• <b>Existing ROW Mapping</b></li></ul>	<ul style="list-style-type: none"><li>• <b>Property Spreadsheet</b></li></ul>
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- b. Right-of-Way Plans and Documents (Roles: Meridian-Lead, Avenue)
  - i. Develop right of way plans and documents per UDOTs Right of Way Manual, design specifications, ProjectWise guide and direction from UDOT Right of Way.
  - ii. Develop right of way plans to show required acquisitions and accommodate all aspects of the project. Include fee ownership, slope easements, temporary construction easements, drainage easements and utility relocation easements or documents.
  - iii. Develop base files to support the right of way plans, these files include the ROW.dgn and the ROW Parcels.dgn.
  - iv. Develop all sheets according to current Department CADD Standards and the Departments Plan Sheet Development Standards. These sheets include the Title sheet, Survey Control Sheet (SC), the Total Tract Map (RWTT), the Parcel Summary sheet (RWSM), and Right of Way sheets (RW).
  - v. Right of Way, perpetual easement and temporary construction easement needs will be determined and confirmed by the project team.
  - vi. It is assumed 3 Partial Summaries will be prepared for this project.

- vii. Each Partial Summary will include the following:
  - 1. RW-53 Summary forms
  - 2. RW-51 Ownership Records forms for each parcel
  - 3. Deed and/or Easement Conveyance Instruments
  - 4. Plotter Printouts
  - 5. Copy of Recorded Vesting Deeds
  - 6. ePM Summary
  - 7. Affected Right of Way maps including RWTT maps.
  - 8. Parcel ROW Exhibits for each parcel
  - 9. Complete QC-QA documentation including checklist.
  - 10. Complete Summary Package pdf.
- viii. A complete signed set of Right of Way Plans will be provided.
- ix. Review ROW Summaries prepared by Meridian Engineering (Avenue).
- x. Review Final ROW Plans prepared by Meridian Engineering (Avenue).
- xi. Coordinate with UTA's ROW Program Management team, as needed, in order to secure the ROW for the project. Coordinate with UDOT ROW as needed for support (Meridian, Avenue).
- xii. Integrate existing ROW and ROW needs into design plans (WSP).
- xiii. Coordinate appraisals and work for packages. (WSP).

*Deliverables*

- Final ROW Plans
- ROW Legal Descriptions
- ROW Documents

*Assumptions:*

WSP:

- Up to six (6) 1-hour meetings to discuss right-of-way.
- Right-of-way acquisition to be led by UTA/UDOT following completion of metes and bounds documentation. UTA/UDOT will lead property owner coordination, appraisals, offers, closings; process takes approximately 9 months.
- No appraisal fees are included.
- No right-of-way acquisition fees are included.

Meridian:

- The previous surveys completed for this project and provided to Meridian appear to be completed for environmental purposes. It is not known the quality level for the property and right of way lines shown therein. Meridian will be creating an Existing Right of Way (Exrow) tied to the Project Survey that is described in the Survey Assumptions. This work plan provided follows UDOT standards found in the Right of Way Design Manual, ProjectWise Guide and current training and standards.

Avenue:

- One round of reviewing for each of the three ROW Partial Summary Packages. No supplemental summaries scoped.
- The review of three ROW Summary Packages prepared to UDOT Standards, including verification of requested changes and validation of summary uploads in UDOT's ProjectWise, ePM, and GIS systems.
- One round of reviewing and verification of requested changes for the final ROW plans, prepared by Meridian Engineering.
- Plan sheets will only be in areas centered on the bus stop and park and ride locations and will not include sheets between the areas impacted by ROW Acquisitions.

## 6. Drainage (WSP)

The drainage design for the project is limited to the design of drainage facilities needed for the proposed park and ride locations. Drainage design shall meet the requirements of the UTA Design Criteria and satisfy requirements of the local governing authority. There is no drainage design anticipated for the bus stops as they will use existing curb and gutter for the curb side loading.

- a. Develop Preliminary Drainage Summary
  - i. Locate and review any existing information including as-built plans, local government master plans, agreements, etc. Conduct a site visit to determine drainage patterns, potential outfall locations, detention locations, etc.
- b. Develop Drainage Design
  - i. Develop Preliminary Drainage Design - perform hydrologic analysis, hydraulic analysis, and preliminary drainage system layout. Include drainage plan and profile sheets, detention layout, applicable details, and draft drainage report.
  - ii. Develop Final Drainage Design – finalize drainage design plans, profiles, detention design, details, summary sheets, specifications, cost estimate, and drainage report.

*Deliverables*

- 30% Drainage Plans
- 60% Drainage Plans (P&Rs only)
- Final Drainage Plans
- Preliminary Drainage Report
- Final Drainage Report

*Assumptions:*

- Up to four (4) 1-hour meetings to discuss drainage.
- No wetland or stream mitigation.

**7. Park and Ride, Bus Stop, Roadway, and Operator Restroom (Roles: WSP-Lead, Avenue)**

Plans include park and ride lot designs, bus stop designs, designs of any necessary roadway improvements, and operator restrooms/breakrooms.

a. Design – General (WSP)

- i. Conduct up to four (4) design meetings.
- ii. Conduct one (1) field visit.
- iii. Develop design toolbox for bus stops and park-and-ride lots.
- iv. Develop specifications and Basis of Design Document.
- v. Develop cost estimate at 30%, 90%, and 100% Design.
- vi. Develop design plan package at 30%, 90%, and 100% Design to include:
  1. Cover sheet
  2. General sheet
  3. Index Sheet
  4. Abbreviations and Legend
  5. Cross Reference
  6. Typical Sections
  7. Details
  8. Quantities
  9. Roadway
  10. Roadway Profile
  11. Removal
  12. Grade

13. Erosion Control
14. Striping
15. Work Zone Traffic Control Plan

vii. Develop draft permit applications and encroachment agreements.

b. Park and Ride Design (WSP)

- i. Develop park and ride designs at 9000 South, 7800 South, 6200 South, and 5400 South. Coordinate final layouts with UTA Bus Service Planning. Coordinate access locations/details with roadway governing entity (UDOT and/or City).

c. Bus Stop Design (WSP)

- i. Design 22 bus stop locations as shown in the Proposed 5600 West Concept Plan. Bus stop design shall be in accordance with the latest UTA Bus Stop Master Plan.

d. Roadway Design (*Optional Task – Not Included in Cost Proposal*)

- i. Develop roadway plans for any necessary roadway improvements associated with queue jumps, traffic signal modifications, shoulder widening (restriping plans), etc.

e. Operator Restroom (WSP)

- i. Develop civil plans and utility details for adding one (1) operator restroom at the Old Bingham TRAX station. Coordinate with UTA bus operations and facilities on details and elements to be included.

f. Bid Preparation (WSP)

- i. Support bid preparation, including one (1) pre-construction meeting, preparation of bid package, one (1) contractor meeting, bid review, and one (1) pre-construction meeting.

g. Fiberoptic Feasibility Analysis and Technical Memo (Avenue)

- i. Develop a Fiberoptic Feasibility Analysis and Technical Memo. This will include coordination with UTA, UDOT, and telecom utilities to explore the use of existing facilities. The Feasibility Analysis does not include any fiber system design or communications design.
- ii. Review of Fiberoptic Feasibility Analysis and Technical Memo (WSP).

### ***Deliverables***

- Design Meeting Materials
- Design Toolbox
- Specifications
- Basis of Design Document
- 30% Plans
- 90% Plans
- Final Roadway Plans, Specs, and Estimate
- 60% Plans (P&Rs only)
- Bid Documentation
- Fiberoptic Feasibility Analysis and Technical Memo

### ***Assumptions:***

- Bus stop design milestones: 30%, 90%, 100% PS&E (omit 60% design milestone).
- Park-and-ride design milestones: 30%, 60%, 90%, 100% PS&E.
- Design workshops and design review meetings will include four (4) staff for 3 hours. Design team will prepare the agenda, materials, and meeting summaries. BlueBeam will be used for review and comment tracking. One (1) design workshop and up to five (5) in-person design review meetings are included.
- Division 00 and Division 01 specifications provided by UDOT.
- Standard technical specifications provided by UDOT and UTA with minor revisions provided by design team.
- UDOT permitting coordination to begin at 30% design.
- Permitting – Up to 120 hours to support draft permit applications and encroachment agreements. No permitting fees included.
- No rezoning, variance requests, or appearance commission hearings included.
- No real-time signage design.

### **Roadway improvements:**

- Design of roadway improvements are not included pending traffic analysis.
- No improvements at DEN Airport.
- No traffic signal design included or TSP timing analysis.

### **Park-and-rides:**

- Surface parking lot with single access at 9000 S P&R, 7800 S P&R, 6200 S P&R, and 5400 S P&R.
- No shelters, totems, or raised vertical structures.
- Park-and-ride lot scope: limited clearing, grubbing and grading; asphalt pavement and

striping with required ADA stalls; curb and gutter connections; standard UTA site identification and regulatory signage; lighting; minimal landscape restoration per jurisdictional requirements (limited landscape design)

- 9000 S: 17 parking stalls, single access off 5600 W
- 7800 S: 17 surface parking stalls, single access from existing frontage off Ranches Loop
- 6200 S: 33 surface parking stalls, single access from 5600 W
- 5400 S: 30 surface parking stalls, single access from 5400 S or 5600 W, transit center removed from scope.
- No design of transit centers or bus bays. No design for forward compatibility of future improvements. Planning level analysis included.
- Evaluation of existing private parking lots for park-and-rides through temporary leases not included (may be added).
- No TOD analysis; discussion of potential future TOD during other meetings.
- Canopy design to be concept only with delegated design by contractor.
- One (1) Operator restroom at one location only (Old Bingham Highway TRAX Station) using standard design materials / solutions. Operator restroom design to be provided by UTA. Civil design services included. No architectural or structural design services included.
- No battery electric bus (BEB) infrastructure included.

Bus stops:

- Bus stop location based on conceptual planning phase. Slight adjustments only due to utility conflicts.
- Bus stop pads, shelters, and amenities per standard UTA specifications.
- No sidewalk/ADA improvements outside of bus stop location.
- Standard bus stop design and kit-of-parts.
- No custom architectural services included.
- Bus stops will include no new lighting. Shelters will be solar powered.
- No battery electric bus (BEB) infrastructure included.

Fiberoptic Feasibility Analysis and Technical Memo (Avenue):

- Up to 40 hours of work.
- No real-time signage design.

Vehicles:

- No vehicle design or procurement services included.

## 8. Traffic

- a. Traffic Analysis (Roles: Avenue-Lead, WSP)
  - i. Identify best practices and recommendations for TSP to evaluate as concepts in the operational analysis (WSP).
  - ii. Perform operational analysis to determine bus travel time benefits associated with queue jumps, traffic signal priority, and shoulder running conditions. Analysis shall document tradeoffs and/or impacts to overall roadway and intersection operations (signal progression impacts, intersection level of service, safety concerns, etc.). Coordinate analysis with UDOT Region 2 Traffic Operations Engineer. Develop technical memorandum detailing analysis, summarizing findings and recommendations (Avenue and WSP).
  - iii. Provide quality review of Operational Analysis Technical Memo (WSP).

### *Deliverables*

- Operations Analysis  
Technical Memo

### *Assumptions:*

- Up to four (4) 1-hour meetings to discuss traffic.
- Study area will be limited to 5600 West from 2700 South to 9000 South
  - Only major intersections will be analyzed: 2700 S, 3100 S, 3500 S, 4100 S, 4700 S, 5400 S, new bus-only traffic signal, 6200 S, 7000 S, 7800 S, and 9000 S
  - Intersection turning movement counts will be performed at the 10 study intersections
  - Avenue staff will perform observations during the data collection
  - The signalized intersections at the minor streets Cilma Drive, 8200 S, and 8600 S will not be analyzed
- Analysis will be performed with the Vissim microsimulation software
- Analysis time-of-day period will be the PM peak hour
- Analyses will be performed for existing (2024) conditions – no future conditions analyses will be performed
- Consistent with the MVC Transit Re-evaluation, five scenarios will be analyzed:
  - Baseline (existing conditions)
  - Transit Signal Priority (TSP)

- Queue Jump (includes TSP)
- Bus on Shoulder (includes TSP)
- Modified Bus on Shoulder (includes TSP)
- The UDOT TSP Calculations worksheet will be used to estimate allowable TSP times
- Avenue will lead the analysis coordination with UDOT Traffic staff.
- A traffic operations technical memo will be prepared.
- Internal review and quality management for the analysis and memo.
- Traffic data collection and vehicle mileage for traffic observations are expected to add approximately \$3,500 to the budget

b. Signing Design and Lighting Design (WSP)

- i. Develop signing plans for park and ride lots at 9000 South, 7800 South, 6200 South, and 5400 South. Coordinate signing design and details with UTA Manager of Customer Experience.
- ii. Develop lighting design plans for park and ride lots at 9000 South, 7800 South, 6200 South, and 5400 South. Lighting design shall be designed in conformance with UTA Design Criteria.

*Deliverables*

<ul style="list-style-type: none"> <li>● Preliminary Sign Plans</li> <li>● Preliminary Lighting Plans</li> </ul>	<ul style="list-style-type: none"> <li>● Final Sign Plans</li> <li>● Final Lighting Plans</li> </ul>
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c. Traffic Signal (*Optional Task*)

- i. Transit Signal Priority Equipment and Requirements. Limited design plans but equipment identification and contractor directions and specifications.

Signal Timing plans for TSP.

*Deliverables*

<ul style="list-style-type: none"> <li>● Equipment identification and contractor directions and specifications (<i>Optional</i>)</li> </ul>	<ul style="list-style-type: none"> <li>● Signal Timing Plans for TSP (<i>Optional</i>)</li> </ul>
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**9. Utilities (Roles: Meridian, Avenue, SUE Solutions, WSP)**

a. Identify Existing Utilities and Potential Conflicts (Roles: Meridian, Avenue)

- i. Identify and locate existing utilities that may be in conflict within or near park and ride lots and bus stop locations.
- ii. Conduct Survey in support of development of Exutil.dgn file for up to 20,000 linear feet of QLB utility designations (Meridian).

- iii. Conduct Survey in support of development of Exutil.dgn file for up to 15 QLA Test holes (Meridian).
- iv. Identify subsurface utilities (SUE Solutions)
  - 1. Utility Coordination: Project administration, Blue Stake coordination, pre- marking of test hole locations, utility coordination meetings, and project reporting.
  - 2. Utility and Railroad Identification: SUE QL-B Designating (horizontal locating) at five (5) park-and-ride locations for up to 1,000 lineal feet of designating per location.
  - 3. Utility and Railroad Identification QC: Provide the QC (Quality Control) activities of the SUE Quality Level B designations as surveyed by “Others” (Meridian Engineering) at five (5) park-and-ride locations for up to 1,000 lineal feet per location.
  - 4. Identify Utility Depth: Up to ten (10) total SUE QL-A Test Holes to be conducted throughout the five (5) park-and-ride locations (5 hard-surface test holes, and 5 unimproved surface test holes).
- v. Potential utility conflict evaluation at 22 bus stops and 5 park and ride lots (4 new, 1 existing) (Avenue).
- vi. Develop utility contact list and conflict matrix to track utility details, disposition, and agreements (if necessary) (Avenue).
- vii. Review existing utilities and potential conflicts (WSP).
- viii. Integrate existing utilities into plans (WSP).

SUE Solutions:

- No QC (verification) of any Blue Stake markings which may be surveyed by Meridian Engineering (the SUE QC activities are to be completed for the SUE Quality Level B designating activities only).
- b. Utility Design (Roles: Avenue, WSP)
  - i. Coordinate utility design for utility relocations with utility owners (Avenue).
  - ii. Identify and coordinate utility connections for the project with utility owners. The table below identifies anticipated utility requirements for the project (Avenue).
  - iii. Review utility designs (WSP).
  - iv. Integrate utility designs into plans (WSP).

Location	Utility Requirements
Park and Rides – 9000 South, 7800 South, 6200 South, 5400 South	Power, Storm Drain
Park and Ride Operator Restroom Old Bingham TRAX lot	Power, Storm Drain, Water, Sewer, Gas
Bus Stops	It is anticipated that the lighting inside the canopies at the bus stop will be powered by photocells

*Assumptions:*

- Up to four (4) 1-hour meetings to discuss utility design.

Avenue:

- No new electrical or water services are included for bus stops.
- No new water, sewer, or gas service at four new park-and-rides.
- New park-and-rides will include new lighting. Scope includes design and coordination from the power source to the meter. WSP will complete the lighting design and analysis.
- One operator restroom at Old Bingham Highway Trax Station location only; new water and sewer at this location.
- One utility coordination kickoff meeting (all utility companies invited).
- 22 utility companies with 2 virtual coordination meetings for each company.
- Third party utility relocations are limited to surface relocation only (adjustments for valve boxes, water meters, and junction boxes) and will be shown on utility sheets.
- Bus stops are slab on grade and are not assumed to require underground relocations.
- Up to 22 sheets at 12hrs/sheet design at bus shelter, 1 Park and Ride lot at 16 hrs/sheet for power, sewer, gas, and water, 4 park and ride lots at 10 hrs/location for power.

c. Utility Agreements (Roles: Avenue-Lead)

- i. Coordinate required utility agreements (Reimbursement, Betterment, and Cooperative) with utility owners (Avenue).

*Deliverables*

- Utility Matrix
- 60% Utility Plans (P&Rs only)
- Ready to be Executed Utility Agreements
- 30% Utility Plans
- Final Utility Plans

*Assumptions:*

Avenue:

- Up to eight (8) utility companies with further coordination for agreements.
- Up to eight (8) utility agreements prepared with exhibits, coordinated with utility company. UTA to complete signature routing and execution.

## WSP Project Staff

Role	Name
Project Manager	Tom Hiles
Principal-in-Charge / Stakeholder Engagement	Matt Sibul
Quality Manager	Michelle Cline
Planning Lead / Transit Integration	Paige Cureton
Project Accountant	Tammy Young
Administrative Support	Amanda Kirkendall
Lead Estimator	Chris Hemmer
Public Involvement Support	Haley Demircan
Public Involvement Support	Linda Townes Cook
GIS / Planning Support	Christian Snelgrove
Transit Operations	Thomas Tumola
Transit Design Lead	Mark Campbell
Bus Stop Design	Soe Shwe
Aesthetics & Landscaping	Ryan Weston
Lead Roadway Designer	Alex Rasmussen
Roadway Design Lead	Brandon Tucker
Civil Engineering Design	Pei Huang
Park & Ride Design	Oscar Zabala
Drainage Lead	Jennifer Hall
Drainage Support	Shadman Kaiser
Electrical Engineering	Manuel Masbernat
Geotechnical	Dave Fadling
Systems Designer	Matt Maxwell
Systems & Technology	Sean Wicks
Signing & Lighting Design	Howard Olien

## Subconsultants

Role	Name
Subsurface Utility Evaluation	SUE Solutions, Inc.
ROW Summary Package Review	Avenue Consultants
ROW Final Plans Review	
Fiber Feasibility Analysis	
Traffic Analysis	
Utility Existing Conditions	
Utility Design	
Utility Agreements	
Survey and Mapping	Meridian Engineering, Inc.
Updated Aerial Imagery	
Utility Location Support	
Drilling	TBD

## Exhibit B – Price

Firm	Role	Cost
WSP	Prime	\$1,269,151.00
SUE Solutions Inc.	Subconsultant – Subsurface Utility Engineering (SUE)	\$26,004.36
Avenue Consultants	Subconsultant – Traffic & Survey Review	\$277,715.00
Meridian Engineering	Subconsultant – Survey & Right-of-Way	\$280,245.00
Future Vendor	Geotechnical Drilling Services	\$25,000.00
<b>Total Cost Proposal</b>		<b>\$1,878,115.36</b>

### Not to exceed \$1,878,115.36

Invoices should be submitted to the UTA program manager, Ethan Ray, monthly via email ([eray@rideuta.com](mailto:eray@rideuta.com)). Invoices should follow the requirements identified in *Section 9 Invoicing Procedures*, including details on the amount expended per task. Additionally, the invoice should include columns for current billing, cumulative amount billed, and remaining funds. This level of detail should also be provided for sub-consultants as well. A short description of tasks completed during the invoicing period should be provided on the cover sheet.



# Utah Transit Authority

669 West 200 South  
Salt Lake City, UT 84101

## MEETING MEMO

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Board of Trustees

Date: 10/23/2024

**TO:** Board of Trustees  
**THROUGH:** Jay Fox, Executive Director  
**FROM:** Alisha Garrett, Chief Enterprise Strategy Officer  
**PRESENTER(S):** Kyle Brimley, IT Director  
GJ LaBonty, Manager Customer Experience

**TITLE:**

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Contract: Mobile Trip Planning Software and Services (Transit)

**AGENDA ITEM TYPE:**

Procurement Contract/Change Order

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**RECOMMENDATION:**

Approve and authorize Executive Director to execute the contract and associated disbursements with Transit for three years and two additional one-year options for a mobile trip planning app in the amount of \$968,753.00 for all five years.

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**BACKGROUND:**

UTA is looking for a partnership with a mobile app developer for the purposes of endorsing one transit trip planning app, that also includes the option to integrate with a fare payment tool across the entire UTA service area. UTA believes that a robust mobile transit trip planning app with the possible integration of fare payment functionality will support the strategic objective of 'Exceeding Customer Expectations' as identified in UTA's Strategic Plan.

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**DISCUSSION:**

The need for a mobile trip planning app is critical in today's transit world. Customers want to have access to real time information both in planning their trips but also while traveling in the system.

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**CONTRACT SUMMARY:**

<b>Contractor Name:</b>	Transit
<b>Contract Number:</b>	24-03860

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<b>Base Contract Effective Dates:</b>	November 1, 2024 to October 31, 2027
<b>Extended Contract Dates:</b>	Plus two additional one-year options
<b>Existing Contract Value:</b>	N/A
<b>Amendment Amount:</b>	N/A
<b>New/Total Contract Value:</b>	\$968,753.00 for base period plus two one-year options
<b>Procurement Method:</b>	RFP
<b>Budget Authority:</b>	Approved 2024 Operating Budget

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#### **ALTERNATIVES:**

The alternative would be to not fund this agreement and stop endorsing the Transit app with the UTA customers.

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#### **FISCAL IMPACT:**

The 2024 approved budget includes \$175,320 for the Trip Planning Contract. Projected funding costs for 2025 will be \$184,086; 2026 will be \$193,291; 2027 Option Year 1 will be \$202,955; 2028 Option Year 2 will be \$213,102. The total 5-year NOT TO EXCEED amount is \$968,753. All funds will come from the Contract Services operating expense line item in the Department of Information Technology yearly budget 5200.50353.92.

2024 Budgeted Total: \$175,320

2025 Budget Request: \$184,086

2026 Budget Request: \$193,291

2027 Budget Request: \$202,955

2028 Budget Request: \$213,102

Expected 5-year Trip Planning spend: \$968,753

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#### **ATTACHMENTS:**

Contract

# UTA IT SOFTWARE AND ASSOCIATED SERVICES SUPPLY AGREEMENT



UTA CONTRACT NO. 24-03860RW

## TRIP PLANNING SERVICE

THIS IT SOFTWARE AND ASSOCIATED SERVICES SUPPLY AGREEMENT ("Contract") is entered into and made effective as of the date of last signature below. ("Effective Date") by and between Utah Transit Authority, a public transit district organized under the laws of the State of Utah ("UTA"), and TRANSIT, (the "Contractor").

### RECITALS

WHEREAS, on June 27, 2024, UTA received competitive proposals to TRIP PLANNING SERVICES and (as applicable) all associated hardware, software, tools, installation services, commissioning and testing services, training and documentation (the "Software and Services") according to the terms, conditions and specifications prepared by UTA in RFP 24-03860 (the "RFP"); and

WHEREAS, UTA wishes to procure the Software and Services according to the terms, conditions and specifications listed in the RFP (as subsequently amended through negotiation by the parties); and

WHEREAS, the "UTA RFP # 24-03860RW; Transit app Technical Proposal" submitted by the Contractor in response to the RFP ("Contractor's Proposal) was deemed to be the most advantageous to UTA; and

WHEREAS, Contractor is willing to furnish the Software and Services according to the terms, conditions and specifications of the Contract.

### AGREEMENT

NOW, THEREFORE, in accordance with the foregoing Recitals, which are incorporated herein by reference, and for and in consideration of the mutual covenants and agreements hereafter set forth, the mutual benefits to the parties to be derived here from, and for other valuable consideration, the receipt and sufficiency of which the parties acknowledge, it is hereby agreed as follows:

#### **1. SOFTWARE AND ASSOCIATED SERVICES TO BE PROVIDED BY CONTRACTOR**

Contractor hereby agrees to furnish and deliver the Software and Associated Services in accordance with the Contract as described in Exhibit A (Product Description and Statement of Associated Services) (including performing any installation, testing commissioning and other Services described in the Contract).

#### **2. TERM**

This Contract shall commence as of the Effective Date. The Contract shall remain in full force

## **UTA IT SOFTWARE AND ASSOCIATED SERVICES SUPPLY AGREEMENT**

and effect for purchases of Software and Services (made via purchase order or other agreed order method) during a THREE (3) - year period expiring September 30, 2027. 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 Contractor 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 Contractor and UTA mutually agree to an extension evidenced in writing. The rights and obligations of UTA and Contractor under the Contract shall at all times be subject to and conditioned upon the provisions of the Contract.

### **3. COMPENSATION AND FEES**

UTA shall pay Contractor in accordance with the payment milestones or other terms described in Exhibit B with a 3 Year NOT TO EXCEED amount of \$552,697.00. Option Year 1 if executed for the NOT TO EXCEED amount of \$202,955.00. Option Year 2 if executed for the NOT TO EXCEED amount of \$213,102.00. The 5 (five) year NOT TO EXCEED Contract Total is \$968,753.00. If Exhibit B does not specify any milestones or other payment provisions, then payment shall be invoiced after the Software have been delivered and the Services have been performed. In no event shall advance payments be made.

### **4. INCORPORATED DOCUMENTS**

a. The following documents hereinafter listed in chronological order, with most recent document taking precedence over any conflicting provisions contained in prior documents (where applicable), are hereby incorporated into the Contract by reference and made a part hereof:

1. The terms and conditions of this Software and Associated Services Supply Agreement (including any exhibits and attachments hereto).
2. UTA's RFP including, without limitation, all attached or incorporated terms, conditions, federal clauses (as applicable), drawings, plans, specifications and standards and other descriptions of the Software and Services;
3. Contractor's Proposal including, without limitation, all federal certifications (as applicable);

b. The above-referenced documents are made as fully a part of the Contract as if hereto attached or herein repeated. The Contract (including the documents listed above) constitute the complete contract between the parties.

c. If this procurement is funded by federal dollars, the mandatory FTA terms and conditions contained at Exhibit C will also apply.

### **5. ORDER OF PRECEDENCE**

The Order of Precedence for this contract is as follows:

- UTA Contract including all attachments and terms and conditions
- UTA Solicitation Terms
- Contractor's Bid or Proposal including proposed terms or conditions

## UTA IT SOFTWARE AND ASSOCIATED SERVICES SUPPLY AGREEMENT

Any contractor proposed term or condition which is in conflict with a UTA contract or solicitation term or condition will be deemed null and void.

### 6. LAWS AND REGULATIONS

Contractor and any and all Software and/or Services furnished under the Contract will comply fully with all applicable Federal and State laws and regulations, including those related to safety and environmental protection. Contractor shall also comply with all applicable licensure and certification requirements.

### 7. INVOICING PROCEDURES

- a. Contractor shall submit invoices to UTA's Project Manager for processing and payment in accordance with Exhibit B. If Exhibit B does not specify invoice instructions, then Contractor shall invoice UTA after delivery of all Software and satisfactory performance of all Services. Invoices shall be provided in the form specified by UTA. Reasonable supporting documentation including cost and pricing data demonstrating Contractor's entitlement to the requested payment must be submitted with each invoice.
- b. Contractor shall invoice UTA after delivery of all Goods and satisfactory performance of all Services. Contractor shall submit invoices to [ap@rideuta.com](mailto:ap@rideuta.com) for processing and payment. In order to timely process invoices, Contractor shall include the following information on each invoice:
  - i. Contractor Name
  - ii. Unique Invoice Number
  - iii. PO Number
  - iv. Invoice Date
  - v. Detailed Description of Charges
- c. Total Dollar Amount Due UTA shall have the right to disapprove (and withhold from payment) specific line items of each invoice to address non-conforming Goods or Services. Approval by UTA shall not be unreasonably withheld. UTA shall also have the right to offset (against payments) amounts reasonably reflecting the value of any claim which UTA has against Contractor under the Contract. Payment for all invoice amounts not specifically disapproved or offset by UTA shall be provided to Contractor within thirty (30) calendar days of invoice submittal.
- d. UTA shall have the right to disapprove (and withhold from payment) specific line items of each invoice to address non-conforming Software or Services. Approval by UTA shall not be unreasonably withheld. UTA shall also have the right to offset (against payments) amounts reasonably reflecting the value of any claim which UTA has against Contractor under the Contract. Payment for all invoice amounts not specifically disapproved or offset by UTA shall be provided to Contractor within thirty (30) calendar days of invoice submittal to [ap@rideuta.com](mailto:ap@rideuta.com). Invoices not submitted electronically will shall be paid thirty (30) calendar days from date of receipt by UTA's accounting department.

## **UTA IT SOFTWARE AND ASSOCIATED SERVICES SUPPLY AGREEMENT**

- e. Invoices must include a unique invoice number, UTA's Purchase Order number, a description of the Good or Service provided, line-item pricing, total amount due, and must be submitted electronically to [ap@rideuta.com](mailto:ap@rideuta.com).

### **8. WARRANTY OF SOFTWARE AND SERVICES**

- a. Contractor warrants that all Software (including hardware, firmware, and/or software products that it licenses) and Services shall conform to the specifications, drawings, standards, samples, and other descriptions made a part of (or incorporated by reference into) the Contract. Contractor further warrants that all Software and Services shall be of the quality specified, or of the best grade if no quality is specified, and, unless otherwise provided in the Contract, will be new, and free from defects in design, materials and workmanship.
- b. Contractor warrants that all Software and Services shall be in compliance with applicable federal, state, and local laws and regulations including, without limitation, those related to safety and environmental protection.
- c. At any time for a period of two (2) years from the date that all Software have been delivered and all Services have been performed in accordance with the Contract, Contractor shall at its own expense promptly repair, replace and/or re-perform any Software or Services that are defective or in any way fail to conform to the Contract requirements.
- d. If Contractor fails to promptly make any repair, replacement or re-performance as required herein, UTA may conduct the necessary remedial work at Contractor's expense. Contractor cannot void the warranty for repair, replacement or re-performance performed under these circumstances. Provided that such repair, replacement or re-performance is conducted in a reasonable manner and with workmanship and care consistent with industry standards, Contractor shall reimburse UTA for the cost of any warranty repair, replacement or re-performance self-performed by UTA.
- e. The foregoing warranties are not intended as a limitation but are in addition to all other express warranties set forth in the Contract and such other warranties as are implied by law, custom, and usage of trade. Contractor (seller) acknowledges that all warranties granted to the buyer by the Uniform Commercial Code of the State of Utah apply to the Contract. Product liability disclaimers and/or warranty disclaimers from the seller are not applicable to the Contract unless otherwise specified and mutually agreed upon elsewhere in the Contract. In general, Contractor warrants that: (1) the Good will do what the salesperson said it would do, (2) the Good will live up to all specific claims that the manufacturer makes in their advertisements, (3) the Software will be suitable for the ordinary purposes for which such items are used, (4) the Software will be suitable for any special purposes that UTA has relied on Contractor's skill or judgment to consider when it advised UTA about the Good, (5) the Software have been properly designed and

## UTA IT SOFTWARE AND ASSOCIATED SERVICES SUPPLY AGREEMENT

manufactured, and (6) the Software are free of significant defects or unusual problems about which UTA has not been warned. Nothing in this warranty will be construed to limit any rights or remedies UTA may otherwise have under the Contract.

### 9. OWNERSHIP OF DESIGNS, DRAWINGS, AND WORK PRODUCT

Any deliverables prepared or developed pursuant to the Contract including without limitation drawings, specifications, manuals, calculations, maps, sketches, designs, tracings, notes, reports, data, software, computer programs, models and samples, shall become the property of UTA when prepared, and, together with any documents or information furnished to Contractor and its employees or agents by UTA hereunder, shall be delivered to UTA upon request, and, in any event, upon termination or final acceptance of the Software and Services. UTA shall have full rights and privileges to use and reproduce said items.

To the extent that any deliverables include or incorporate preexisting intellectual property of Contractor, Contractor hereby grants UTA a fully paid, perpetual license to use such intellectual property for UTA's operation, maintenance, modification, improvement and replacement of UTA's assets. The scope of the license shall be to the fullest extent necessary to accomplish those purposes, including the right to share same with UTA's contractors, agent, officers, directors, employees, joint owners, affiliates and contractors.

Contractor's mobile application that is available to the public and Contractor's back-end software infrastructure to operate the mobile application is designated as the "**Contractor Service**". The mobile application, back-end software infrastructure, the content displayed through the Contractor Service and any other technology used by Contractor in operating the Contractor Service are collectively designated "**Contractor Technology**".

As between the parties to this Contract, the Contractor will retain ownership of all intellectual property rights in and to the Contractor Service and Contractor Technology, including any modification, improvement, enhancement or customization of any element of the Contractor Service or Contractor Technology made by Contractor or any person within the scope of the Contract.

The Contractor has a direct relationship with the end-users of the Contractor Service and collects data from such end-users independently from the Contract. Data collected by Contractor in operating the Contractor Service ("Service Data") shall be owned by Contractor and shall not be assigned to or owned by UTA. Service Data shall not constitute "Agency data" under the Contract. Any data transmitted from the Contractor to a ticketing service provider shall be treated as set forth in the agreement between UTA and the ticketing service provider.

### 10. GENERAL INDEMNIFICATION

Contractor shall indemnify, hold harmless and defend UTA, its officers, trustees, agents,

## UTA IT SOFTWARE AND ASSOCIATED SERVICES SUPPLY AGREEMENT

and employees (hereinafter collectively referred to as "Indemnitees") from and against all liabilities, claims, actions, damages, losses, and expenses including without limitation reasonable attorneys' fees and costs (hereinafter referred to collectively as "claims") related to bodily injury, including death, or loss or damage to tangible or intangible property caused, or alleged to be caused, in whole or in part, by the acts or omissions of Contractor or any of its owners, officers, directors, agents, employees or subcontractors. This indemnity includes any claim or amount arising out of the failure of such Contractor to conform to federal, state, and local laws and regulations. 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 brings a claim against UTA or another Indemnitee, Contractor's indemnity obligation set forth above will not be limited by any limitation on the amount of damages, compensation or benefits payable under any employee benefit acts, including workers' compensation or disability acts. The indemnity obligations of Contractor shall not apply to the extent that claims arise out of the sole negligence of UTA or the Indemnitees.

### **11. INSURANCE REQUIREMENTS**

The insurance requirements herein are minimum requirements for this Contract and in no way limit the indemnity covenants contained in this Contract. The Utah Transit Authority in no way warrants that the minimum limits contained herein are sufficient to protect the Contractor from liabilities that might arise out of the performance of the work under this contract by the Contractor, his agents, representatives, employees or subcontractors and Contractor is free to purchase additional insurance as may be determined necessary.

**A. MINIMUM SCOPE AND LIMITS OF INSURANCE:** Contractor shall provide coverage with limits of liability not less than those Stated below. An excess liability policy or umbrella liability policy may be used to meet the minimum liability requirements provided that the coverage is written on a "following form" basis.

#### 1. Commercial General Liability – Occurrence Form

Policy shall include bodily injury, property damage and broad form contractual liability coverage.

- General Aggregate \$4,000,000
- Products – Completed Operations Aggregate \$1,000,000
- Personal and Advertising Injury \$1,000,000
- Each Occurrence \$2,000,000

- a. The policy shall be endorsed to include the following additional insured language: "The Utah Transit Authority shall be named as an additional insured with respect to liability arising out of the activities performed by, or on behalf of the Contractor".

## UTA IT SOFTWARE AND ASSOCIATED SERVICES SUPPLY AGREEMENT

### 2. Automobile Liability

Bodily Injury and Property Damage for any owned, hired, and non-owned vehicles used in the performance of this Contract.

Combined Single Limit (CSL)	\$2,000,000
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- a. The policy shall be endorsed to include the following additional insured language: "The Utah Transit Authority shall be named as an additional insured with respect to liability arising out of the activities performed by, or on behalf of the Contractor, including automobiles owned, leased, hired or borrowed by the Contractor".

### 3. Worker's Compensation and Employers' Liability

Workers' Compensation	Statutory
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Employers' Liability	
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Each Accident	\$100,000
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Disease – Each Employee	\$100,000
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Disease – Policy Limit	\$500,000
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- a. Policy shall contain a waiver of subrogation against the Utah Transit Authority.
- b. This requirement shall not apply when a contractor or subcontractor is exempt under UCA 34A-2-103, AND when such contractor or subcontractor executes the appropriate waiver form.

### 4. Professional Liability (Errors and Omissions Liability)

The policy shall cover professional misconduct or lack of ordinary skill for those positions defined in the Scope of Services of this contract.

Each Claim	\$1,000,000
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Annual Aggregate	\$2,000,000
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- a. In the event that the professional liability insurance required by this Contract is written on a claims-made basis, Contractor warrants that any retroactive date under the policy shall precede the effective date of this Contract; and that either continuous coverage will be maintained or an extended discovery period will be exercised for a period of three (3) years beginning at the time work under this Contract is completed.

- B. ADDITIONAL INSURANCE REQUIREMENTS: The policies shall include, or be endorsed to include, the following provisions:

- 1. On insurance policies where the Utah Transit Authority is named as an additional

## UTA IT SOFTWARE AND ASSOCIATED SERVICES SUPPLY AGREEMENT

insured, the Utah Transit Authority shall be an additional insured to the full limits of liability purchased by the Contractor. Insurance limits indicated in this agreement are minimum limits. Larger limits may be indicated after the contractor's assessment of the exposure for this contract; for their own protection and the protection of UTA.

2. The Contractor's insurance coverage shall be primary insurance and non-contributory with respect to all other available sources.
- C. NOTICE OF CANCELLATION: Each insurance policy required by the insurance provisions of this Contract shall provide the required coverage and shall not be suspended, voided or canceled except after thirty (30) days prior written notice has been given to the Utah Transit Authority, except when cancellation is for non-payment of premium, then ten (10) days prior notice may be given. Such notice shall be sent directly to (Utah Transit Authority agency Representative's Name & Address).
- D. ACCEPTABILITY OF INSURERS: Insurance is to be placed with insurers duly licensed or authorized to do business in the State and with an "A.M. Best" rating of not less than A-VII. The Utah Transit Authority in no way warrants that the above-required minimum insurer rating is sufficient to protect the Contractor from potential insurer insolvency.
- E. VERIFICATION OF COVERAGE: Contractor shall furnish the Utah Transit Authority with certificates of insurance (on standard ACORD form) as required by this Contract. The certificates for each insurance policy are to be signed by a person authorized by that insurer to bind coverage on its behalf.

All certificates and any required endorsements are to be sent to [utahta@ebix.com](mailto:utahta@ebix.com) and received and approved by the Utah Transit Authority before work commences. Each insurance policy required by this Contract must be in effect at or prior to commencement of work under this Contract and remain in effect for the duration of the project. Failure to maintain the insurance policies as required by this Contract or to provide evidence of renewal is a material breach of contract.

All certificates required by this Contract shall be emailed directly to Utah Transit Authority's insurance email address at [utahta@ebix.com](mailto:utahta@ebix.com). The Utah Transit Authority project/contract number and project description shall be noted on the certificate of insurance. The Utah Transit Authority reserves the right to require complete, certified copies of all insurance policies required by this Contract at any time. DO NOT SEND CERTIFICATES OF INSURANCE TO THE UTAH TRANSIT AUTHORITY'S CLAIMS AND INSURANCE DEPARTMENT.

- F. SUBCONTRACTORS: Contractors' certificate(s) shall include all subcontractors as additional insureds under its policies or subcontractors shall maintain separate insurance as determined by the Contractor, however, subcontractor's limits of liability shall not be less than \$1,000,000 per occurrence / \$2,000,000 aggregate. Sub-contractors maintaining

## UTA IT SOFTWARE AND ASSOCIATED SERVICES SUPPLY AGREEMENT

separate insurance shall name Utah Transit Authority as an additional insured on their policy. Blanket additional insured endorsements are not acceptable from sub-contractors. Utah Transit Authority must be scheduled as an additional insured on any sub-contractor policies.

G. APPROVAL: Any modification or variation from the insurance requirements in this Contract shall be made by Claims and Insurance Department or the UTA Legal Services, whose decision shall be final. Such action will not require a formal Contract amendment but may be made by administrative action.

### 12. OTHER INDEMNITIES

- a. Contractor shall protect, release, defend, indemnify and hold harmless UTA and the other Indemnitees against and from any and all claims of any kind or nature whatsoever on account of infringement relating to Contractor's performance under the Contract. If notified promptly in writing and given authority, information and assistance, Contractor shall defend, or may settle at its expense, any suit or proceeding against UTA so far as based on a claimed infringement and Contractor shall pay all damages and costs awarded therein against UTA due to such breach. In case any Good or Service is in such suit held to constitute such an infringement or an injunction is filed that interferes with UTA's rights under the Contract, Contractor shall, at its expense and through mutual agreement between UTA and Contractor, either procure for UTA any necessary intellectual property rights, or modify Contractor's Software and Services such that the claimed infringement is eliminated.
- b. Contractor shall: (i) protect, release, defend, indemnify and hold harmless UTA and the other Indemnitees against and from any and all liens or claims made or filed against UTA on account of any Software or Services furnished by subcontractors of any tier; and (ii) keep UTA property free and clear of all liens or claims arising in conjunction with any Software or Services furnished under the Contract by Contractor or its subcontractors of any tier. If any lien arising out of the Contract is filed in conjunction with any Software or Services furnished under the Contract, Contractor, within ten (10) calendar days after receiving from UTA written notice of such lien, shall obtain a release of or otherwise satisfy such lien. If Contractor fails to do so, UTA may take such steps and make such expenditures as in its discretion it deems advisable to obtain a release of or otherwise satisfy any such lien or liens, and Contractor shall upon demand reimburse UTA for all costs incurred and expenditures made by UTA in obtaining such release or satisfaction. If any non-payment claim is made directly against UTA arising out of non-payment to any subcontractor, Contractor shall assume the defense of such claim within ten (10) calendar days after receiving from UTA written notice of such claim. If Contractor fails to do so, Contractor shall upon demand reimburse UTA for all costs incurred and expenditures made by UTA to satisfy such claim.

## **UTA IT SOFTWARE AND ASSOCIATED SERVICES SUPPLY AGREEMENT**

- c. Contractor will defend, indemnify and hold UTA, its officers, agents and employees harmless from liability of any kind or nature, arising from Contractor's use of any copyrighted or un-copyrighted composition, trade secret, patented or un-patented invention, article or appliance furnished or used in the performance of the Contract.

### **13. INDEPENDENT CONTRACTOR**

The parties agree that Contractor, in the carrying out of its duties hereunder, is an independent contractor and that neither Contractor nor any of its employees is or are agents, servants or employees of UTA. Neither Contractor nor any of Contractor's employees shall be eligible for any workers compensation insurance, pension, health coverage, or fringe benefits which apply to UTA's employees. Neither federal, state, nor local income tax nor payroll tax of any kind shall be withheld or paid by UTA on behalf of Contractor or the employees of Contractor. Contractor acknowledges that it shall be solely responsible for payment of all payrolls, income and other taxes generally applicable to independent contractors.

### **14. STANDARD OF CARE.**

Contractor shall perform any Services to be provided under the Contract in a good and workmanlike manner, using at least that standard of care, skill and judgment which can reasonably be expected from similarly situated independent contractors (including, as applicable, professional standards of care).

### **15. USE OF SUBCONTRACTORS**

- a. Contractor shall give advance written notification to UTA of any proposed subcontract (not indicated in Contractor's Proposal) negotiated with respect to the Work. UTA shall have the right to approve all subcontractors, such approval not to be withheld unreasonably.
- b. No subsequent change, removal or substitution shall be made with respect to any such subcontractor without the prior written approval of UTA.
- c. Contractor shall be solely responsible for making payments to subcontractors, and such payments shall be made within thirty (30) days after Contractor receives corresponding payments from UTA.
- d. Contractor shall be responsible for and direct all Work performed by subcontractors.
- e. Contractor agrees that no subcontracts shall provide for payment on a cost-plus-percentage-of-cost basis. Contractor further agrees that all subcontracts shall comply with all applicable laws

### **1. 16. CONTRACTOR SAFETY COMPLIANCE**

Contractor, including its employees, subcontractors, authorized agents, and representatives, shall comply with all UTA and industry safety standards, NATE, OSHA, EPA and all other State and Federal regulations, rules and guidelines pertaining to safety and environmental management, and will be solely responsible for any fines, citations or penalties it may receive or cause UTA to receive pursuant to this Contract. Each employee,

## UTA IT SOFTWARE AND ASSOCIATED SERVICES SUPPLY AGREEMENT

contractor and subcontractor must be trained in UTA environmental and Safety Management principles. Contractor acknowledges that its Goods and Services might affect UTA's environmental obligations. A partial list of activities, products or Services deemed as have a potential environmental effect is available at the UTA website [www.rideuta.com](http://www.rideuta.com). Upon request by UTA, Contractor shall complete and return a *Contractor Activity Checklist*. If UTA determines that the Goods and/or Services under the Contract has the potential to impact the environment, UTA may require Contractor to submit additional environmental documents. Contractor shall provide one set of the appropriate safety data sheet(s) (SDS) and container label(s) upon delivery of a hazardous material to UTA

### 2. 17. ENVIRONMENTAL RESPONSIBILITY

Contractor acknowledges that its Goods and/or Services might affect UTA's ability to maintain environmental obligations. A partial list of activities, products or Services deemed as have a potential environmental effect is available at the UTA website [www.rideuta.com](http://www.rideuta.com). Upon request by UTA, Contractor shall complete and return a *Contractor Activity Checklist*. If UTA determines that the Goods and/or Services under the Contract has the potential to impact the environment, UTA may require Contractor to submit additional environmental documents. Contractor shall provide one set of the appropriate safety data sheet(s) (SDS) and container label(s) upon delivery of a hazardous material to UTA.

### 18. Security Features

The proposed solution must have a high level of cyber security. Specific technical details of the security measures in place should be include in the submission for review by UTA's Information Security team. **Proposed solution must comply with UTA Security Requirements for SaaS/Customed Developed Systems found at Exhibit C.**

The parties acknowledge that the Contractor will not provide services for identified critical functions, handle Sensitive Data, or host any related implemented system for the Agency under the Contract. Therefore, Section 2.2 of Exhibit C (SOC 2 compliance) is not applicable to the Contract.

### 19. ASSIGNMENT OF CONTRACT

Contractor shall not assign any of its rights or responsibilities, nor delegate its obligations, under this Contract or any part hereof without the prior written consent of UTA, and any attempted transfer in violation of this restriction shall be void.

### 20. SUSPENSION OF WORK

## UTA IT SOFTWARE AND ASSOCIATED SERVICES SUPPLY AGREEMENT

- a. UTA may, at any time, by written order to Contractor, require Contractor 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, Contractor shall immediately 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.
- b. If a Suspension of Work Order issued under this Article is canceled, Contractor shall resume Work as mutually agreed to in writing by the parties hereto.
- c. 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.
- d. If the Suspension of Work causes an increase in Contractor's cost or time to perform the Work, UTA's Project Manager or designee shall make an equitable adjustment to compensate Contractor for the additional costs or time and modify this Contract by Change Order.

### 21. **TERMINATION**

- a. **FOR CONVENIENCE:** UTA shall have the right to terminate the Contract at any time by providing written notice to Contractor. If the Contract is terminated for convenience, UTA shall pay Contractor: (i) in full for Software delivered and Services fully performed prior to the effective date of termination; and (ii) an equitable amount to reflect costs incurred (including Contract close-out and subcontractor termination costs that cannot be reasonably mitigated) and profit on work-in-progress as of to the effective date of the termination notice. UTA shall not be responsible for anticipated profits based on the terminated portion of the Contract. Contractor shall promptly submit a termination claim to UTA. If Contractor has any property in its possession belonging to UTA, Contractor will account for the same, and dispose of it in the manner UTA directs.
- b. **FOR DEFAULT:** If Contractor (a) becomes insolvent; (b) files a petition under any chapter of the bankruptcy laws or is the subject of an involuntary petition; (c) makes a general assignment for the benefit of its creditors; (d) has a receiver appointed; (e) should fail to make prompt payment to any subcontractors or suppliers; or (f) fails to comply with any of its material obligations under the Contract, UTA may, in its discretion, after first giving Contractor seven (7) days written notice to cure such default:
  1. Terminate the Contract (in whole or in part) for default and obtain the Software and Services using other contractors or UTA's own forces, in which event Contractor shall be liable for all incremental costs so incurred by UTA;
  2. Pursue other remedies available under the Contract (regardless of whether the termination remedy is invoked); and/or
  3. Except to the extent limited by the Contract, pursue other remedies available at law.
- c. **CONTRACTOR'S POST TERMINATION OBLIGATIONS:** Upon receipt of a termination

## UTA IT SOFTWARE AND ASSOCIATED SERVICES SUPPLY AGREEMENT

notice as provided above, Contractor shall (i) immediately discontinue all work affected (unless the notice directs otherwise); and (ii) deliver to UTA all data, drawings and other deliverables, whether completed or in process. Contractor shall also remit a final invoice for all services performed and expenses incurred in full accordance with the terms and conditions of the Contract up to the effective date of termination. UTA shall calculate termination damages payable under the Contract, shall offset such damages against Contractor's final invoice, and shall invoice Contractor for any additional amounts payable by Contractor (to the extent termination damages exceed the invoice). All rights and remedies provided in this Article are cumulative and not exclusive. If UTA terminates the Contract for any reason, Contractor 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 Software and Services furnished by Contractor prior to termination.

### 22. CHANGES

- a. UTA's Project Manager or designee may, at any time, by written order designated or indicated to be a Change Order, direct changes in the Work including, but not limited to, changes:
  - 1. In the Scope of Services;
  - 2. In the method or manner of performance of the Work; or
  - 3. In the schedule or completion dates applicable to the Work.

To the extent that any change in Work directed by UTA causes an actual and demonstrable impact to: (i) Contractor's cost of performing the work; or (ii) the time required for the Work, then (in either case) the Change Order shall include an equitable adjustment to this Contract to make Contractor whole with respect to the impacts of such change.

- b. A change in the Work may only be directed by UTA through a written Change Order or (alternatively) UTA's expressed, written authorization directing Contractor to proceed pending negotiation of a Change Order. Any changes to this Contract undertaken by Contractor without such written authority shall be at Contractor's sole risk. Contractor shall not be entitled to rely on any other manner or method of direction.
- c. Contractor shall also be entitled to an equitable adjustment to address the actual and demonstrable impacts of "constructive" changes in the Work if: (i) subsequent to the Effective Date of this Contract, there is a material change with respect to any requirement set forth in this Contract; or (ii) other conditions exist or actions are taken by UTA which materially modify the magnitude, character or complexity of the Work from what should have been reasonably assumed by Contractor based on the information included in (or referenced by) this Contract. In order to be eligible for equitable relief for "constructive" changes in Work, Contractor must give UTA's Project Manager or designee written notice stating:
  - 1. The date, circumstances, and source of the change; and
  - 2. That Contractor regards the identified item as a change in Work giving rise to an adjustment in this Contract.

Contractor must provide notice of a "constructive" change and assert its right to an

## **UTA IT SOFTWARE AND ASSOCIATED SERVICES SUPPLY AGREEMENT**

equitable adjustment under this Section within ten (10) days after Contractor becomes aware (or reasonably should have become aware) of the facts and circumstances giving rise to the "constructive" change. Contractor's failure to provide timely written notice as provided above shall constitute a waiver of Contractor's rights with respect to such claim.

- d. As soon as practicable, but in no event longer than 30 days after providing notice, Contractor must provide UTA with information and documentation reasonably demonstrating the actual cost and schedule impacts associated with any change in Work. Equitable adjustments will be made via Change Order. Any dispute regarding the Contractor's entitlement to an equitable adjustment (or the extent of any such equitable adjustment) shall be resolved in accordance with Article 20 of this Contract.

### **23. INFORMATION, RECORDS and REPORTS; AUDIT RIGHTS**

Contractor shall retain all books, papers, documents, accounting records and other evidence to support any cost-based billings allowable under Exhibit B (or any other provision of the 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. Contractor shall also retain other books and records related to the performance, quality or management of the Contract and/or Contractor's compliance with the Contract. 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 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 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 the Contract at any tier.

### **24. FINDINGS CONFIDENTIAL**

Any documents, reports, information, or other data and materials delivered or made available to or prepared or assembled by Contractor or subcontractor under this Contract are considered confidential and shall not be made available to any person, organization,

or entity by Contractor without consent in writing from UTA. If confidential information is released to any third party without UTA's written consent as described above, contractor shall notify UTA of the data breach within 10 days and provide its plan for immediate mitigation of the breach for review and approval by UTA.

- a. It is hereby agreed that the following information is not considered to be confidential:
  - A. Information already in the public domain.
  - B. Information disclosed to Contractor by a third party who is not under a confidentiality obligation.

## **UTA IT SOFTWARE AND ASSOCIATED SERVICES SUPPLY AGREEMENT**

- C. Information developed by or in the custody of Contractor before entering into this Contract.
- D. Information developed by Contractor 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.

### **25. PUBLIC INFORMATION.**

Contractor acknowledges that the Contract and related materials (invoices, orders, etc.) will be public documents under the Utah Government Records Access and Management Act (GRAMA). Contractor's response to the solicitation for the Contract will also be a public document subject to GRAMA, except for legitimate trade secrets, so long as such trade secrets were properly designated in accordance with terms of the solicitation.

### **26. PROJECT MANAGER**

UTA's Project Manager for the Contract is SHAWN STEPHENS, or designee. All questions and correspondence relating to the technical aspects of the Contract should be directed to UTA's Project Manager at UTA offices located at 669 West 200 South, Salt Lake City, Utah 84101, office phone (801)287-3540.

### **27. CONTRACT ADMINISTRATOR**

UTA's Contract Administrator for the Contract is RICK WILSON, or designee. All questions and correspondence relating to the contractual aspects of the Contract should be directed to UTA's Grants & Contracts Administrator at UTA offices located at 669 West 200 South, Salt Lake City, Utah 84101, office phone (801)287-3016.

### **28. CONFLICT OF INTEREST**

Contractor represents that it has not offered or given any gift or compensation prohibited by the laws of the State of Utah to any officer or employee of UTA to secure favorable treatment with respect to being awarded the Contract. No member, officer, or employee of UTA during their tenure or one year thereafter shall have any interest, direct or indirect, in the Contract or the proceeds thereof.

### **29. NOTICES OR DEMANDS**

a. Any and all notices, demands or other communications required hereunder to be given by one party to the other shall be given in writing and may be electronically delivered, personally delivered, mailed by US Mail, postage prepaid, or sent by overnight courier service and addressed to such party as follows:

#### If to UTA:

Utah Transit Authority  
ATTN: Rick Wilson  
669 West 200 South  
Salt Lake City, UT 84101  
rwilson@rideuta.com

#### If to Transit:

Transit  
Jake Sion  
5333 Casgrain, Suite 803  
Montreal, QC H2T 1X3  
jake@transit.app

a. 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.

### **30. CLAIMS/DISPUTE RESOLUTION**

a. "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 20. Claims must be made by written notice. The responsibility to substantiate claims rests with the party making the claim.

b. 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.

c. The parties shall attempt to informally resolve all claims, counterclaims and other disputes through the escalation process described below. No party may bring a legal action to enforce any term of this Contract without first having exhausted such process.

d. The time schedule for escalation of disputes, including disputed requests for change order, shall be as follows:

<b>Level of Authority</b>	<b>Time Limit</b>
UTA's Project Manager Shawn Stephens	Five calendar days
Transit's Jake Sion	
UTA's Kyle Brimley	Five calendar days
Contractor's [SECOND LEVEL]	
UTA's Alisha Garrett	Five calendar days
Contractor's [THIRD LEVEL]	

Unless otherwise directed by UTA's Project Manager, Contractor shall diligently continue performance under this Contract while matters in dispute are being resolved.

If the dispute cannot be resolved informally in accordance with the escalation procedures set forth above, then either party may commence formal mediation under the Juris Arbitration and Mediation (JAMS) process using a mutually agreed upon JAMS mediator. If resolution does not occur through Mediation, then legal action may be commenced in accordance the venue and governing law provisions of this contract.

### **31. GOVERNING LAW**

The validity, interpretation and performance of the Contract shall be governed by the laws of the State of Utah, without regard to its law on the conflict of laws. Any dispute arising out of the Contract that cannot be solved to the mutual agreement of the parties shall be brought in a court

of competent jurisdiction in Salt Lake County, State of Utah. Contractor consents to the jurisdiction of such courts.

**32. COSTS AND ATTORNEY FEES.**

If any party to this Agreement brings an action to enforce or defend its rights or obligations hereunder, the prevailing party shall be entitled to recover its costs and expenses, including mediation, arbitration, litigation, court costs and attorneys' fees, if any, incurred in connection with such suit, including on appeal

**33. UTAH ANTI-BOYCOTT OF ISRAEL ACT**

Contractor agrees that will be not engage in any type of boycott against the State of Israel for the duration of this contract.

**34. SEVERABILITY**

Any provision of the Contract prohibited or rendered unenforceable by operation of law shall be ineffective only to the extent of such prohibition or unenforceability without invalidating the remaining provisions of the Contract.

**35. AMENDMENTS**

Any amendment to the Contract must be in writing and executed by the authorized representatives of each party.

**36. FORCE MAJEURE**

Neither party to the Contract will be held responsible for delay or default caused by fire, riot, acts of God and/or war which are beyond that party's reasonable control. UTA may terminate the Contract after determining such delay or default will reasonably prevent successful performance of the Contract.

**37. NO THIRD-PARTY BENEFICIARIES**

The parties enter in to the Contract for the sole benefit of the parties, in exclusion of any third party, and no third-party beneficiary is intended or created by the execution of the Contract.

**38. ENTIRE AGREEMENT**

This Contract shall constitute the entire agreement and understanding of the parties with respect to the subject matter hereof, and shall supersede all offers, negotiations and other agreements with respect thereto.

**39. COUNTERPARTS**

This Contract may be executed in any number of counterparts and by each of the parties hereto on separate counterparts, each of which when so executed and delivered shall be an original, but all such counterparts shall together constitute but one and the same instrument. Any signature page of the Contract may be detached from any counterpart and reattached to any other counterpart hereof. The electronic transmission of a signed original of the Contract or any counterpart hereof and the electronic retransmission of any signed copy hereof shall be the same

as delivery of an original.

#### **40. NONWAIVER**

No failure or waiver or successive failures or waivers on the part of either party 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 to enforce the same in the event of any subsequent breaches by the other party.

#### **41. INFORMATION, RECORDS and REPORTS; AUDIT RIGHTS**

Contractor shall retain all books, papers, documents, accounting records and other evidence to support any cost-based billings allowable under Exhibit B (or any other provision of 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. Contractor shall also retain other books and records related to the performance, quality or management of this Contract and/or Contractor's compliance with this Contract. Records shall be retained by Contractor for a period of at least six (6) years after completion of the Work, or until any audit initiated within that six-year period has been completed (whichever is later). During this six-year period, such 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 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 the Work at any tier.

#### **42. SALES TAX EXEMPT**

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.

#### **43. REVOLVING DOOR RESTRICTIONS**

UTA Ethics Policy requires Board approval for the award or amendment of a contract with a contractor that has hired a former UTA employee or who are represented by a former employee where the former employee left UTA employment within the 12 months prior to the contract award or amendment. Approval will not be given if there is a strong appearance of an unfair competitive advantage.

#### **44. SURVIVAL**

Provisions of this Contract intended by their nature and content to survive termination of this Contract shall so survive including, but not limited to, Articles 7, 9, 10, 11, 12, 13, 15, 17, 18, 19, 21, 23, 24, 25, 30, 31, 32, and 40.

IN WITNESS WHEREOF, the parties hereto have caused the Contract to be executed by officers duly authorized to execute the same as of the date of last signature below.

**UTAH TRANSIT AUTHORITY:**

By \_\_\_\_\_

Jay Fox

Executive Director

Date

**9280-0366 Quebec Inc. dba Transit:**

DocuSigned by:

 Jake Sion  
E0C95DAD73C2427...

Jake Sion

Chief Operating Officer

Date 10/7/2024

By \_\_\_\_\_

Viola Miller

Chief Financial Officer

Date

By \_\_\_\_\_

Alisha Garrett

Chief Enterprise Strategy Officer

Date

 DocuSigned by:  
Mike Bell  
70E33A415BA44F6...

Mike Bell

UTA Legal Counsel

Date 10/7/2024

**EXHIBIT A**  
**SOFTWARE DESCRIPTION AND STATEMENT OF SERVICES**

Tasks and Description
<p><b>Phase 1: Kickoff meeting with UTA and <i>Transit</i>'s Service Delivery Project Manager (1 week)</b></p> <p>This meeting will take place as soon as possible following a notice to proceed on the contract. In this meeting, <i>Transit</i> and UTA will: Identify agency goals for the project and points of contact for the contract; Confirm the project approach and discuss deliverables in depth; Set interim deadlines for each phase; Discuss strategies and communication channels for the launch campaign</p> <p><b>Timeline:</b> within 1 week of contract execution</p>
<p><b>Phase 2: Marketing campaign (4-6 weeks)</b> In this phase, <i>Transit</i> will prepare messages and materials for renewal of <i>Transit</i>. This task includes the following activities:</p> <p>Communications and Marketing: <i>Transit</i>'s communications and marketing team will develop a marketing timeline and strategy in partnership with UTA to advertise <i>Transit</i> to its riders, as well as a general launch and press kit with template communications materials; Identify the main target audience demographics, based on UTA's existing data and rider insights; <i>Transit</i> will write key messages for UTA's approval, then develop graphics suitable for existing agency channels</p> <p>Pre-launch training and capacity building; <i>Transit</i> will provide UTA staff with training on major app features and support questions; Written training materials available on our website, as well as in the app, available in English, French and Spanish, including an FAQ.</p> <p><b>Timeline:</b> 45 days from kickoff meeting</p>
<p><b>Phase 3: Ongoing maintenance and innovation (remainder of contract)</b></p> <p>Following launch, <i>Transit</i> will continue to support and maintain the app in Salt Lake City, including the following activities: Ensuring agency staff has access to dashboards; updated training for new staff ; Rapid response from <i>Transit</i>'s user support, data, and communications teams to data outages, ticketing concerns or other emergencies. These</p>

**QA Process**

Given the nature of the development of the app, project controls and project management are tightly integrated. In our regular course of business, *Transit* releases new features and bug fixes every four weeks. Features are planned on our roadmap, with input from our leads on each agency partnership, with priority given to our strategic agency partnerships, such as this one. Bugs are prioritized based on user reports. These releases are thoroughly tested by the Quality Assurance engineering team, which performs regression testing to ensure that its release will not disrupt other functionalities of the app. *Transit* tracks modifications to the app using changelogs and release notes for the public. *Transit* has a documented bug intake process and reviews outstanding issues on a weekly basis. When required, *Transit* can release emergency updates outside of our regular update process. Given our large user base and prominent

position in the app stores, we receive priority support with a dedicated account manager at both Google and Apple.

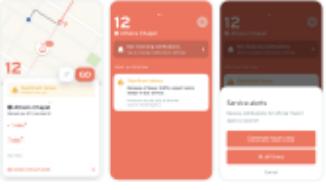
UTA will receive real-time accuracy analysis as requested, or at least once a year, including ongoing data improvements and quality control, including quarterly transit data reviews, an annual accessibility audit, automatic email alerts when we detect real-time data issues, periodic evaluation of real-time data accuracy, beta feed access for internal agency testing of new data sources, multimodal local optimization of the trip planner and unlimited GBFS integrations with local bike and scooter companies.

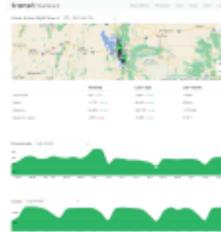
Transit's Partner Success manager will work with UTA on app customization, including on maintaining logo and agency colors, and custom agency links and phone numbers added to direct users to UTA's agency's web presence, call center, and/or social media in Transit's settings.

## Scope of Services

No.	Requirement	Yes	No	Planned Feature (Explain )	Demonstration of App Features and Functionality
1	Compliance with US Federal Americans with Disabilities Act (ADA)	Y			Not only is <i>Transit</i> compliant with the ADA, our features go above and beyond to ease use for people with visual and ambulatory impairments: GO mode provides riders context-specific directions, which is particularly useful for people who have trouble hearing and seeing, and riders' Rate-My-Ride answers update accessibility information displayed in the app.
2	Compliance with Web Content Accessibility Guidelines (WCAG)	Y			With more than 145 agency partners, we have been audited for WCAG accessibility many times, with extensive processes to test the app for any regressions as new features or bug fixes are made. <i>Transit</i> conforms to WCAG 2.0 Level A and Level AA, currently.
3	Accessibility for persons with visual disabilities including compatibility with <i>TalkBalk</i> on Android and <i>VoiceOver</i> on iPhone	Y			For blind or visually impaired users, <i>Transit</i> is compatible with screen readers like <i>VoiceOver</i> (iOS) and <i>TalkBack</i> (Android). To navigate a screen, riders can select an element, wait for it to be read aloud, then double-tap to select it. Information such as route names, stops, and trip duration are condensed into clear sentences to optimize the rider's experience.
4	Ability to display wheelchair accessibility, by stop and by trip (i.e. step free options)	Y			<i>Transit</i> has a complete step-free trip planner, and shows wheelchair accessibility for stops and trips. 

				accessibility by stop and by trip.
5	The app should be fully localized in both English and Spanish and offer complete documentation and tech support in both languages	Y		<i>Transit</i> supports 7 languages natively, being English, French, Spanish, Italian, German, Portuguese, and Dutch. Riders are served the correct language based on their OS level settings, which is fully localized.
6	The ability to plan a trip in the current time, or to plan a trip in the future	Y		
7	The ability to enter and save preferred origin/destination addresses	Y		
8	The ability for app users to compare planned trip options based on total time, waiting time, transfer time (including transfer walking distance and time) and departure/arrival time (including walking distance/time to final destination)	Y		<i>Transit's</i> Trip Planner displays a range of options with horizontal time bars for riders to compare total time, and with visual representations of all such required components by UTA. 
9	Ability to plan a trip that includes UTA On Demand (microtransit) service as a mode	Y		<i>Transit</i> integrates On Demand service in the app, either via API from On Demand software providers or GOFS/GTFS-flex.
10	Allow users to plan trips with the UTA's static GTFS data without WIFI or mobile internet access	Y		<i>Transit</i> offers offline trip planning, via its proprietary compression mechanisms, bGTFS and bOSM.

11	The ability for an individual to track and monitor their trip when on the vehicle and notify the individual of their approaching stop	Y		Notifications about a rider's trip and approaching stop are provided via GO Mode.	
12	Allow customers to subscribe to certain routes and receive service alerts in the app whenever there is an incident or disruption to their routes or selected routes	Y			
13	Ability to see deep link to providers open API/GBFS feeds in the UTA Service area, such as commercial electric bikes and scooters (Lime & Spin), Lyft, UBER and GREENbike (bike sharing)	Y		This feature is already live for UTA for GREENBike, Uber and Lyft, and can integrate commercial electric scooters as well.	
14	Capability to update vehicle locations in real time and provide predicted arrival times at stop locations	Y		<i>Transit's GO feature acts as a real-time vehicle position generator, which shares the vehicle's position with other riders down the road, and improves existing agency real-time information by providing more precise vehicle locations (e.g. up to the second, rather than per minute or more), appears much smoother visually to the user than standard real-time.</i>	
15	Ability to do push notifications or surveys to users (geo-targeted, or targeted to specific groups of users based on past app interaction behavior)	Y		<i>Transit can send push notifications or surveys to users, with specific targeting as described.</i>	

16	Ability to add custom, interactive banners to the homepage of the app	Y			<p>Banners can be targeted by rider behaviors and geography. The banners above, displayed for the NBA All-Star game, show unique custom banners that were displayed at the airport and downtown, both directing users to a UTA webpage to learn more.</p> 
17	Provision of web dashboards for UTA to view app usage trends in the UTA service area, including but not limited to, app opens (hourly, daily, weekly and monthly), unique users, downloads and use by route	Y			<p><i>Transit</i> provides web dashboards to UTA, which shows all such required usage trends.</p> 
18	Ability to push regular surveys out to gather input on the customer experience while they are actively riding UTA on a trip (i.e. on-time performance, cleanliness, crowding etc.)	Y			<p>Available via <i>Transit</i>'s customer intercept survey, Rate-My-Ride, which asks riders questions as they ride in GO mode.</p>
19	Provide access to historical service alert data	Y			<p><i>Transit</i> currently provides access to historical service alert data.</p>
20	Provide a 'gamification' feature for customers to engage with other customers in a competition to help the most riders	Y			<p><i>Transit</i>'s premium mode, Royale, provides gamified features for customers, including establishing leaderboards for each route ranking the most-helpful GO</p> 

					users, who provide more accurate travel time data, with a customizable Royale avatar and nickname that allows riders to collect points.
21	Provision of dashboard containing a real-time web map of current open apps	Y			<i>Transit</i> furnishes UTA with its Advanced Dashboard, which shows a real-time web map of current open apps.
22	Ability to push regular Customer Satisfaction Surveys out to gather input on the overall general customer experience of using UTA (i.e. operator helpfulness, safety, comfort etc.)	Y			<i>Transit</i> can send regular Customer Satisfaction surveys through its in-app banners, including with custom web pages.
23	Provide web widgets, and code that can be integrated to the UTA web site, where users can see your app on the UTA web site	Y		Using our API we have provided an option for a sub-contractor to build	<i>Transit</i> can provide a widget which shows real time information about routes near a particular location, and/or provide a web based trip planner, both of which will show the same results as the app.
24	The capability to detect unplanned detours automatically and show the new route to customers in the app	Y			In a first-to-market innovation, <i>Transit</i> detects and displays detours as they happen, integrating the new route path, and the stops along it, into our app as machine-readable data just like GTFS-RT. 
25	The ability to display vehicle crowding information in the app	Y			Crowding information is displayed where data is available, including through crowdsourced GO information.

27	Must support an SDK or API to enable purchasing of tickets through a 3rd party application	Y			<i>Transit</i> currently integrates Masabi's SDK for purchasing tickets.
26	Current or future ability to integrate shared mobility provider payments in the UTA service area, such as commercial electric bikes and scooters (Lime & Spin), Lyft, UBER and GREENbike (bike sharing)	Y			<i>Transit</i> can currently integrate shared mobility provider payments for GREENbike, and has deeplinked directly to payments (including subsidized programs) for the other providers listed.

**Exhibit B Pricing for UTA  
Contract 24-03860**

	Year 1	Year 2	Year 3	3-Year Total	Optional	Optional	
	Year 1	Year 2	Year 3	3-Year Total	Year 4	Year 5	5-Year Total
<b>Base Price</b>							
Royale for Agencies \$174,000/year	\$72,000	\$75,600	\$79,380	\$226,980	\$83,349	\$87,516	\$397,845
On-Demand integration \$24,000/year	\$21,000	\$22,050	\$23,153	\$66,203	\$24,310	\$25,526	\$116,038
<b>Bundled Discount</b>	<b>\$90,000</b>	<b>\$94,500</b>	<b>\$99,225</b>	<b>\$283,725</b>	<b>\$104,186</b>	<b>\$109,396</b>	<b>\$497,307</b>
<b>Additional Features</b>							
Historical Service Alerts \$7,200/year	\$6,600	\$6,930	\$7,277	\$20,807	\$7,640	\$8,022	\$36,469
Rider Happiness Benchmark \$18,000/year	\$16,200	\$17,010	\$17,861	\$51,071	\$18,754	\$19,691	\$89,515
Automatic Detour Detection \$75,000/year	\$72,000	\$75,600	\$79,380	\$226,980	\$83,349	\$87,516	\$397,845
<b>Bundled Discount</b>	<b>\$85,320</b>	<b>\$89,586</b>	<b>\$94,066</b>	<b>\$268,972</b>	<b>\$98,769</b>	<b>\$103,706</b>	<b>\$471,446</b>



Transit app Submission to UTA RFP #: 24-03860RW  
UPDATED: 09/04/2024

**PLEASE NOTE THE BUNDLED DISCOUNT PRICES REFLECT A LOWER PRICE WHICH HAS BEEN APPLIED TO THE HIGHER INDIVIDUAL PRICES. ROWS 3 AND REFLECT THE CONTRACT PRICE.**

**EXHIBIT C -**  
**SECURITY REQUIREMENTS FOR SaaS/Custom Developed Systems**

**1 Requirements: General**

The following requirements are a guideline for the security requirements of any Software as a Service (SaaS) cloud solution, or custom developed system(s) requested by the Utah Transit Authority “UTA” for use within its corporate or OT/ICS networks. Any proposal submitted should be compliant with industry and/or government standards that govern cybersecurity processes and controls based, at a minimum, on NIST 800-53 current revisions.

“Agency data” means non-public information or data provided by UTA to the Contractor and stored on the Contractor’s infrastructure on behalf of UTA.

“Sensitive Data” means any Agency data that involve a high risk of substantial harm if disclosed without authorization, including financial information, health information and payment card information.

“Security Incident” means an occurrence that jeopardizes the confidentiality, integrity, or availability of Agency data.

“Data Breach” means the unauthorized disclosure of Agency data originating from the Contractor.

**1.0 Disaster Recovery and Data**

The following requirements apply to the Contract:

**1.1.1 Redundancy, Data Backup and Disaster Recovery**

- 1) Unless specified otherwise in the RFP, Contractor/Supplier/Supplier shall maintain or cause to be maintained disaster avoidance procedures designed to safeguard Agency data and other confidential information, Contractor/Supplier/Supplier’s processing capability and the availability of hosted services, in each case

throughout the Contract term. Any force majeure provisions of the Contract do not limit the Contractor/Supplier's obligations under this provision.

- B. The Contractor/Supplier shall have robust contingency and disaster recovery (DR) plans in place to ensure that the services provided under the Contract will be maintained in the event of disruption to the Contractor/Supplier/sub-Contractor/Supplier's operations (including, but not limited to, disruption to information technology systems), however caused.
- C. The contingency and DR plans must be designed to ensure that services under the Contract are restored in compliance with the DR plan instructions.
- D. The Contractor/Supplier shall test the contingency/DR plans at least twice annually to identify any changes that need to be made to the plan(s) to ensure a minimum interruption of service. Coordination shall be made with the Agency to ensure limited system downtime when testing is conducted. At least one (1) annual test shall include backup media restoration and failover/fallback operations at the DR location. The Contractor/Supplier shall send the Contract Monitor a notice of completion following completion of DR testing.
- E. Such contingency and DR plans shall be available for the UTA to inspect and practically test at any reasonable time, and subject to regular updating, revising, and testing throughout the term of the Contract.

### **1.1.2 Data Export/Import**

- A. The Contractor/Supplier shall, at no additional cost or charge to the Agency, in an industry standard/non-proprietary format:
  - 1) perform a full or partial import/export of Agency data within 5 business days of a request; or
  - 2) provide to the Agency the ability to import/export data at will and provide the Agency with any access and instructions which are needed for the Agency to import or export Agency data.

B. Any import or export shall be in a secure format per the Security Requirements.

#### **1.1.3 Data Ownership and Access**

- A. Agency data is the property of the Agency. The purchasing Agency department is considered the custodian of the Agency data and shall determine the use, access, distribution, and other conditions based on appropriate Agency statutes and regulations.
- B. Public jurisdiction user accounts and public jurisdiction data shall not be accessed, except (1) in the course of data center operations, (2) in response to service or technical issues, (3) as required by the express terms of the Contract, including as necessary to perform the services hereunder or (4) at the Agency's written request.
- C. The Contractor/Supplier shall limit access to and possession of Agency data to only Contractor/Supplier Personnel whose responsibilities reasonably require such access or possession and shall train such Contractor/Supplier Personnel on the confidentiality obligations set forth herein.
- D. At no time shall any Agency data be copied, disclosed, or retained by the Contractor/Supplier or any party related to the Contractor/Supplier for subsequent use in any transaction that does not include the Agency.
- E. The Contractor/Supplier shall not use Agency data for any purpose other than fulfilling such service.

**1.1.4** Provisions in Sections 1.1.1 – 1.1.3 shall survive expiration or termination of the Contract. Additionally, the Contractor/Supplier shall flow down the provisions of **Sections 1.1.1-1.1.3** (or the substance thereof) in all subcontracts.

## **2 Security Requirements**

### **2.1.1 Information Technology**

- A. Contractor/Supplier shall comply with and adhere to the Relevant Agency IT Security policies and/or procedures and Standards.

These policies may be revised from time to time and the Contractor/Supplier shall comply with all such revisions. Updated and revised versions of the Agency IT Policy and Standards are available upon request after appropriate Non-disclosure Agreement (NDA) has been filed.

B. The Contractor/Supplier shall not connect any of its own equipment to an Agency LAN/WAN without prior written approval by the Agency. The Contractor/Supplier shall complete any necessary paperwork as directed and coordinated with the Contract Monitor to obtain approval by the Agency to connect Contractor/Supplier-owned equipment to an Agency LAN/WAN.

The Contractor/Supplier shall:

- 1) Implement administrative, physical, and technical safeguards to protect Agency data that are no less rigorous than accepted industry best practices for information security such as those listed below (see **Section 2.1.2**).
- 2) Ensure that all such safeguards, including the way Agency data is collected, accessed, used, stored, processed, disposed of and disclosed, comply with applicable data protection and privacy laws as well as the terms and conditions of the Contract; and
- 3) The Contractor/Supplier, and Contractor/Supplier Personnel, shall (i) abide by all applicable federal, Agency and local laws, rules and regulations concerning security of Information Systems and Information Technology and (ii) comply with and adhere to the Relevant Agency IT Security policies and/or procedures and Standards as each may be amended or revised from time to time.

### **2.1.2 Data Protection and Controls**

A. Contractor/Supplier shall ensure a secure environment for all Agency data and any hardware and software (including but not limited to servers, network and data components) provided or used in connection with the performance of the Contract and

shall apply or cause application of appropriate controls so as to maintain such a secure environment (“Security Best Practices”). Such Security Best Practices shall comply with an accepted industry standard, such as the National Institute of Standards and Technology (NIST) cybersecurity framework.

B. To ensure appropriate data protection safeguards are in place, the Contractor/Supplier shall always implement and maintain the following controls throughout the Term of the Contract (the Contractor/Supplier may augment this list with additional controls):

- 1) Establish separate production, test, and training environments for systems supporting the services provided under the Contract and ensure that production data is not replicated in test or training environment(s) unless it has been previously anonymized or otherwise modified to protect the confidentiality of Sensitive Data elements. The Contractor/Supplier shall ensure the appropriate separation of production and non-production environments by applying the data protection and control requirements listed in **Section 2.1.2**.
- 2) Apply hardware and software hardening procedures as recommended by Center for Internet Security (CIS) guides <https://www.cisecurity.org/> Security Technical Implementation Guides (STIG) <http://iase.disa.mil/Pages/index.aspx>, or similar industry best practices to reduce the systems’ surface of vulnerability, eliminating as many security risks as possible and documenting what is not feasible or not performed according to best practices. Any hardening practices not implemented shall be documented with a plan of action and milestones including any compensating control. These procedures may include but are not limited to removal of unnecessary software, disabling or removing unnecessary services, removal of unnecessary usernames or logins, and the deactivation of unneeded features in the Contractor/Supplier’s system configuration files.

- 3) Ensure that Agency data is not comingled with non-Agency data through the proper application of compartmentalization Security Measures.
- 4) Apply data encryption to protect Sensitive Data at all times, including in transit, at rest, and also when archived for backup purposes. Unless otherwise directed, the Contractor/Supplier is responsible for the encryption of all Sensitive Data.
- 5) For all Agency data the Contractor/Supplier manages or controls, data encryption shall be applied to such data in transit over untrusted networks.
- 6) Encryption algorithms which are utilized for encrypting data shall comply with current Federal Information Processing Standards (FIPS), "Security Requirements for Cryptographic Modules", FIPS PUB 140-2:

<http://csrc.nist.gov/publications/fips/fips140-2/fips1402.pdf>  
<http://csrc.nist.gov/groups/STM/cmvp/documents/140/1401vend.htm>

- 7) Enable appropriate logging parameters to monitor user access activities, authorized and failed access attempts, system exceptions, and critical information security events as recommended by the operating system and application manufacturers and information security standards.
- 8) Retain the aforementioned logs and review them at least daily to identify suspicious or questionable activity for investigation and documentation as to their cause and remediation, if required. The UTA shall have the right to inspect these policies and procedures and the Contractor/Supplier or Subcontractor/Supplier's performance to confirm the effectiveness of these measures for the services being provided under the Contract.
- 9) Ensure system and network environments are separated by properly configured and updated firewalls.
- 10) Restrict network connections between trusted and untrusted networks by physically or logically isolating systems from unsolicited and unauthenticated network traffic.

- 11) By default, “deny all” and only allow access by exception.
- 12) Review, at least annually, the aforementioned network connections, documenting and confirming the business justification for the use of all service, protocols, and ports allowed, including the rationale, or compensating controls implemented for those protocols considered insecure but necessary.
- 13) Perform regular vulnerability testing of operating system, application, and network devices. Such testing is expected to identify outdated software versions; missing software patches; device or software misconfigurations; and to validate compliance with or deviations from the security policies applicable to the Contract. Contractor/Supplier shall evaluate all identified vulnerabilities for potential adverse effect on security and integrity and remediate the vulnerability no later than 30 days following the earlier of vulnerability's identification or public disclosure, or document why remediation action is unnecessary or unsuitable. The UTA shall have the right to inspect the Contractor/Supplier's policies and procedures and the results of vulnerability testing to confirm the effectiveness of these measures for the services being provided under the Contract.
- 14) Enforce strong user authentication and password control measures to minimize the opportunity for unauthorized access through compromise of the user access controls. At a minimum, the implemented measures should be consistent with the most current PCI-DSS or similar standard including specific requirements for password length, complexity, history, and account lockout.
- 15) Ensure Agency data is not processed, transferred, or stored outside of the United States, Canada or European Union (“Permitted Jurisdictions”). The Contractor/Supplier shall provide its services to the Agency and the Agency's end users solely from data centers in the Permitted Jurisdictions. Unless granted an exception in writing by the Agency, the Contractor/Supplier shall not allow Contractor/Supplier

Personnel to store Agency data on portable devices, including personal computers, except for devices that are used and kept only at data centers in the Permitted Jurisdictions. *The Contractor/Supplier* shall permit its Contractor/Supplier Personnel to access Agency data remotely only as required to provide technical support.

- 16) Ensure Contractor/Supplier's Personnel shall not connect any of its own equipment to an Agency LAN/WAN without prior written approval by the Agency, which may be revoked at anytime for any reason. The Contractor/Supplier shall complete any necessary paperwork as directed and coordinated with the Contract Monitor to obtain approval by the Agency to connect Contractor/Supplier-owned equipment to a Agency LAN/WAN.
- 17) Ensure that anti-virus and anti-malware software is installed and maintained on all systems supporting the services provided under the Contract; that the anti-virus and anti-malware software is automatically updated; and that the software is configured to actively scan and detect threats to the system for remediation. The Contractor/Supplier shall perform routine vulnerability scans and take corrective actions for any findings.
- 18) Conduct regular external vulnerability testing designed to examine the service provider's security profile from the Internet without benefit of access to internal systems and networks behind the external security perimeter for any system that is within PCI Scope. Evaluate all identified vulnerabilities on Internet-facing devices for potential adverse effect on the service's security and integrity and remediate the vulnerability promptly or document why remediation action is unnecessary or unsuitable. The UTA shall have the right to inspect these policies and procedures and the performance of vulnerability testing to confirm the effectiveness of these measures for the services being provided under the Contract.

### **2.1.3 PCI Compliance**

- A. Contractor/Supplier shall at all times comply, and ensure compliance with, all applicable Payment Card Industry ("PCI") Data Security Standards ("DSS"), including any and all changes thereto. Contractor/Supplier shall provide UTA with documented evidence of current compliance to PCI DSS within 30 days of an UTA request.
- B. The Contractor/Supplier shall annually furnish to the Agency evidence of the PCI Security Standards Council's (SSC) acceptance or attestation of the Contractor/Supplier's conformance to the relevant PCI DSS requirements by a third party certified to perform compliance assessments.

#### **2.1.4 Security Incident Response**

- A. The Contractor/Supplier shall notify the UTA in accordance with **Section 2.1.4A-D** when any Contractor/Supplier system that may access, process, or store Agency data or Agency systems experiences a Security Incident, or a Data Breach as follows:
  - 1) notify the UTA within twenty-four (24) hours of the discovery of a Security Incident by providing notice via written or electronic correspondence to the Contract Monitor, UTA chief information officer and UTA chief information security officer;
  - 2) notify the UTA within two (2) hours if there is a threat to Contractor/Supplier's Solution as it pertains to the use, disclosure, and security of Agency data; and
  - 3) provide written notice to the UTA within one (1) Business Day after Contractor/Supplier's discovery of unauthorized use or disclosure of Agency data and thereafter all information the Agency or UTA requests concerning such unauthorized use or disclosure.
- B. Contractor/Supplier's notice shall identify:
  - 1) the nature of the unauthorized use or disclosure;
  - 2) the Agency data used or disclosed;
  - 3) who made the unauthorized use or received the unauthorized disclosure;

- 4) what the Contractor/Supplier has done or shall do to mitigate any deleterious effect of the unauthorized use or disclosure; and
- 5) what corrective action the Contractor/Supplier has taken or shall take to prevent future similar unauthorized use or disclosure.
- 6) The Contractor/Supplier shall provide such other information, including a written report, as reasonably requested by the Agency.

C. The Contractor/Supplier may need to communicate with outside parties regarding a Security Incident, which may include contacting law enforcement, fielding media inquiries and seeking external expertise as mutually agreed upon, defined by law or contained in the Contract. Discussing Security Incidents with the Agency should be handled on an urgent as-needed basis, as part of Contractor/Supplier communication and mitigation processes as mutually agreed upon, defined by law, or contained in the Contract.

D. The Contractor/Supplier shall comply with all applicable laws that require the notification of individuals in the event of unauthorized release of Agency data or other event requiring notification, and, where notification is required, assume responsibility for informing all such individuals in accordance with applicable law and to indemnify and hold harmless the UTA and its officials and employees from and against any claims, damages, and actions related to the event requiring notification.

#### **2.1.5 Data Breach Responsibilities**

A. If the Contractor/Supplier reasonably believes or has actual knowledge of a Data Breach, the Contractor/Supplier shall, unless otherwise directed:

- 1) Notify the appropriate Agency-identified contact within 24 hours by telephone in accordance with the agreed upon security plan or security procedures unless a shorter time is required by applicable law;
- 2) Cooperate with the Agency to investigate and resolve the data breach;

- 3) Promptly implement commercially reasonable remedial measures to remedy the Data Breach; and
- 4) Document responsive actions taken related to the Data Breach, including any post- incident review of events and actions taken to make changes in business practices in providing the services.

B. If a Data Breach is a direct result of the Contractor/Supplier's breach of its Contract obligation to encrypt Agency data or otherwise prevent its release, the Contractor/Supplier shall bear the costs associated with (1) the investigation and resolution of the data breach; (2) notifications to individuals, regulators or others required by Agency law; (3) a credit monitoring service required by Agency or federal law; (4) a website or a toll-free number and call center for affected individuals required by Agency law; and (5) complete all corrective actions as reasonably determined by Contractor/Supplier based on root cause; all [(1) through (5)] subject to the Contract's limitation of liability.

**2.1.6** The Agency shall, at its discretion, have the right to review and assess the Contractor/Supplier's compliance to the security requirements and standards defined in the Contract.

**2.1.7** Provisions in **Sections 2.1.1 – 2.1.6** shall survive expiration or termination of the Contract. Additionally, the Contractor/Supplier shall flow down the provisions of **Sections 2.1.1-2.1.6** (or the substance thereof) in all subcontracts.

## 2.2 SOC 2 Type 2 Audit Report

**2.2.1** A SOC 2 Type 2 Audit applies to the Contract. The applicable trust principles are: Security, Availability, Processing Integrity, Confidentiality, and Privacy.

**2.2.2** In the event the Contractor/Supplier provides services for identified critical functions, handles Sensitive Data, or hosts any related implemented system for the Agency under the Contract, the Contractor/Supplier shall have an annual audit performed by an

independent audit firm of the Contractor/Supplier's handling of Sensitive Data or the UTA's critical functions. Critical functions are identified as all aspects and functionality of the Solution including any add-on modules and shall address all areas relating to Information Technology security and operational processes. These services provided by the Contractor/Supplier that shall be covered by the audit will collectively be referred to as the "Information Functions and Processes." Such audits shall be performed in accordance with audit guidance: Reporting on Controls at a Service Organization Relevant to Security, Availability, Processing Integrity, Confidentiality, or Privacy (SOC 2) as published by the American Institute of Certified Public Accountants (AICPA) and as updated from time to time, or according to the most current audit guidance promulgated by the AICPA or similarly-recognized professional organization, as agreed to by the UTA, to assess the security of outsourced clientfunctions or data (collectively, the "Guidance") as follows:

- A. The type of audit to be performed in accordance with the Guidance is a SOC 2 Type 2 Audit(referred to as the "SOC 2 Audit" or "SOC 2 Report"). All SOC2 Audit Reports shall be submitted to the Contract Monitor as specified in Section F below. The initial SOC 2 Audit shall be completed within a timeframe to be specified by the Agency. The audit period covered by the initial SOC 2 Audit shall start with the Contract Effective Date unless otherwise agreed to in writing by the Contract Monitor. All subsequent SOC 2 Audits after this initial audit shall be performed at a minimum on an annual basis throughout the Term of Contract and shall cover a 12-month audit period or such portion of the year that the Contractor/Supplier furnished services.
- B. The SOC 2 Audit shall report on the suitability of the design and operating effectiveness of controls over the Information Functions and Processes to meet the requirements of the Contract, including the Security Requirements identified in **Section 2**, relevant to the trust principles identified in 3.9.1: as defined in the aforementioned Guidance.
- C. The audit scope of each year's SOC 2 Report may need to be adjusted (including the inclusion or omission of the relevant trust services principles of Security, Availability, Processing Integrity, Confidentiality, and Privacy) to accommodate any

changes to the environment since the last SOC 2 Report. Such changes may include but are not limited to the addition of Information Functions and Processes through modifications to the Contractor due to changes in Information Technology or the operational infrastructure. The Contractor/Supplier shall ensure that the audit scope of each year's SOC 2 Report engagement shall accommodate these changes by including in the SOC 2 Report all appropriate controls related to the current environment supporting the Information Functions and/or Processes, including those controls required by the Contract.

- D. The scope of the SOC 2 Report shall include work performed by any sub-Contractor/Suppliers that provide essential support to the Contractor/Supplier or essential support to the Information Functions and Processes provided to the UTA under the Contract. The Contractor/Supplier shall ensure the audit includes all such sub-Contractor/Suppliers operating in performance of the Contract.
- E. All SOC 2 Audits, including those of the Contractor/Supplier, shall be performed at no additional expense to the UTA.
- F. The Contractor/Supplier shall provide to the Contract Monitor, within 30 calendar days of the issuance of each SOC 2 Report, a complete copy of the final SOC 2 Report(s) and a documented corrective action plan addressing each audit finding or exception contained in the SOC 2 Report. The corrective action plan shall identify in detail the remedial action to be taken by the Contractor/Supplier along with the date(s) when each remedial action is to be implemented.
- G. If the Contractor/Supplier currently has an annual, independent information security assessment performed that includes the operations, systems, and repositories of the Information Functions and Processes being provided to the UTA under the Contract, and if that assessment generally conforms to the content and objective of the Guidance, the UTA will determine in consultation with appropriate Agency government technology and audit authorities whether the Contractor/Supplier's current information security assessments are acceptable in lieu of the SOC 2 Report(s).

- H. If the Contractor/Supplier fails during the Contract term to obtain an annual SOC 2 Report by the date specified in **Section 2.2.2F**, the UTA shall have the right to retain an independent audit firm to perform an audit engagement of a SOC 2 Report of the Information Functions and Processes utilized or provided by the Contractor/Supplier and under the Contract. The Contractor/Supplier agrees to allow the independent audit firm to access its facility/ies for purposes of conducting this audit engagement(s) and will provide the necessary support and cooperation to the independent audit firm that is required to perform the audit engagement of the SOC 2 Report. The UTA will invoice the Contractor/Supplier for the expense of the SOC 2 Report(s) or deduct the cost from future payments to the Contractor/Supplier.
- I. Provisions in **Section 2.2.1A-H** shall survive expiration or termination of the Contract. Additionally, the Contractor/Supplier and shall flow down the provisions of **Section 2.2.1A-H** (or the substance thereof) in all subcontracts



# Utah Transit Authority

669 West 200 South  
Salt Lake City, UT 84101

## MEETING MEMO

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**Board of Trustees**

**Date:** 10/23/2024

**TO:** Board of Trustees  
**THROUGH:** Jay Fox, Executive Director  
**FROM:** David Hancock, Chief Capital Service Officer  
**PRESENTER(S):** Kyle Stockley, Manager of Capital Vehicles

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**TITLE:**

**Contract: Twenty New Light Rail Vehicles (Stadler US)**

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**AGENDA ITEM TYPE:**

Procurement Contract/Change Order

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**RECOMMENDATION:**

Approve and authorize Executive Director to execute a procurement contract and associated disbursements with Stadler US in the amount of \$129,300,194 for the base order of 20 light rail vehicles. Exercise of any additional options will require future board approval.

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**BACKGROUND:**

UTA's SD100 and SD160 light rail vehicles are nearing the end of their useful life. Because of this, UTA applied for a Federal Transit Administration (FTA) rail vehicle replacement grant. In May of 2023, the FTA selected UTA for a \$60,000,000 light rail vehicle replacement grant.

UTA conducted industry workshops to collaborate with potential vendors. In December 2023, UTA released an RFP requesting proposals to procure new light rail vehicles.

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**DISCUSSION:**

UTA staff is requesting approval of a light rail vehicle procurement contract with Stadler US, totaling \$129,300,194. This request involves the procurement of the base order of 20 low floor light rail vehicles to replace 20 SD100 high floor light rail vehicles.

The light rail vehicles are part of the 2024-2028 capital plan.

UTA had included 60 options for additional vehicles for future procurements.

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#### **CONTRACT SUMMARY:**

<b>Contractor Name:</b>	Stadler US
<b>Contract Number:</b>	23-03791
<b>Base Contract Effective Dates:</b>	10/2024 thru 10/2031
<b>Extended Contract Dates:</b>	N/A
<b>Existing Contract Value:</b>	\$0.00
<b>Amendment Amount:</b>	N/A
<b>New/Total Contract Value:</b>	\$129,300,194
<b>Procurement Method:</b>	RFP - Request for Proposal
<b>Budget Authority:</b>	Approved 2024 Capital Budget

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#### **ALTERNATIVES:**

Not replace the aging high floor light rail vehicles.

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#### **FISCAL IMPACT:**

This light rail vehicle procurement is included UTA's current 2024-2028 Five Year Capital Plan. The 2024-2028 Capital Plan has the following total yearly amounts in project REV238 with a total of \$227,300,000 in it over the current five-year period:

- 2024: Total approved budget is \$500,000. Planned spend is \$300,000.
- 2025: Total approved plan amount is \$36,000,000. Total planned spend amount is \$34,400,000
- 2026: Total approved plan amount is \$36,000,000. Total planned spend amount is \$27,200,000
- 2027: Total approved plan amount is \$37,900,000. Total planned spend amount is \$36,900,000
- 2028: Total approved plan amount is \$120,000,000. Total planned spend amount is \$30,500,194.

Total Budget amount for the planned spend: \$129,300,194

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#### **ATTACHMENTS:**

- 1) Contract



## GOODS AND SERVICES SUPPLY AGREEMENT

### UTA CONTRACT #23-03791AB

#### Light Rail Vehicles

THIS GOODS AND NON-PROFESSIONAL SERVICES SUPPLY AGREEMENT ("Contract") is entered into and made effective as of the date of last signature below. ("Effective Date") by and between UTAH TRANSIT AUTHORITY, a public transit district organized under the laws of the State of Utah ("UTA"), and Stadler US, a US based Company (the "Contractor").

#### RECITALS

WHEREAS, on April 30, 2024 UTA received competitive proposals to provide Light Rail Vehicles and (as applicable) all associated hardware, software, tools, installation services, commissioning and testing services, training and documentation (the "Goods and Services") according to the terms, conditions and specifications prepared by UTA in RFP 23-03791AB (the "RFP"); and

WHEREAS, UTA wishes to procure the Goods and Services according to the terms, conditions and specifications listed in the RFP (as subsequently amended through negotiation by the parties); and

WHEREAS, the RFP response from Stadler US proposal submitted by the Contractor in response to the RFP ("Contractor's Proposal") was deemed to be the most advantageous to UTA; and

WHEREAS, Contractor is willing to furnish the Goods and Services according to the terms, conditions and specifications of the Contract.

#### AGREEMENT

NOW, THEREFORE, in accordance with the foregoing Recitals, which are incorporated herein by reference, and for and in consideration of the mutual covenants and agreements hereafter set forth, the mutual benefits to the parties to be derived here from, and for other valuable consideration, the receipt and sufficiency of which the parties acknowledge, it is hereby agreed as follows:

#### GOOD AND SERVICES TO BE PROVIDED BY CONTRACTOR

Contractor hereby agrees to furnish and deliver the Goods and/or Services in accordance with the Contract as described in Exhibit A (Statement of Work or Services) (including performing any installation, testing commissioning and other Services described in the Contract).

#### TERM

This Contract shall commence as of the Effective Date (date of last signature on contract). The Contract shall remain in full force and effect for purchases of base order of 20 vehicles with options to order 60 more, made via Notice to Proceed during a seven (7) year period expiring around October 2031. UTA may, at its sole election and in its sole discretion, accept any of the options within the Contract period not to exceed Seven (7) years. Option vehicles may be ordered in any length originally proposed by contractor and shall be priced in accordance with the schedule of prices and as outlined in SP8.2 of RFP. There shall be no minimum order quantity for any option exercised prior to the baseline scheduled delivery date of the middle car in the base order shall be subject to a minimum order quantity agreed to by the contractor and the agency/assignee. If it turns out that UTA's requirements are lower than currently expected, it may exercise or assign some or all of the options for additional light rail vehicles at its sole absolute discretion. The Agency/Assignee and the contractor will mutually establish the schedule for the options milestones payments per SP 8.3, milestone payments for optional light rail vehicles.

#### INCORPORATED DOCUMENTS

- a. The following documents hereinafter listed in chronological order, with most recent document taking Revision Date: March 2020

precedence over any conflicting provisions contained in prior documents (where applicable), are hereby incorporated into the Contract by reference and made a part hereof:

1. The terms and conditions of this Goods and Services Supply Agreement (including any exhibits and attachments hereto).
2. Contractor's Proposal including, without limitation, all federal certifications (as applicable);
3. UTA's RFP including, without limitation, all attached or incorporated terms, conditions, federal clauses (as applicable), drawings, plans, specifications and standards and other descriptions of the Goods and Services;
- b. The above-referenced documents are made as fully a part of the Contract as if hereto attached or herein repeated. The Contract (including the documents listed above) constitute the complete contract between the parties.

### **ORDER OF PRECEDENCE**

The Order of Precedence for this contract is as follows:

1. UTA Contract including all attachments
2. UTA Terms and Conditions
3. UTA Solicitation Terms
4. Contractor's Bid or Proposal including proposed terms or conditions

Any contractor proposed term or condition which is in conflict with a UTA contract or solicitation term or condition will be deemed null and void.

### **LAWS AND REGULATIONS**

Contractor and any and all Goods and/or Services furnished under the Contract will comply fully with all applicable Federal and State laws and regulations, including those related to safety and environmental protection. Contractor shall also comply with all applicable licensure and certification requirements.

### **OWNERSHIP OF DESIGNS, DRAWINGS, AND WORK PRODUCT**

Any deliverables prepared or developed pursuant to the Contract including without limitation drawings, specifications, manuals, calculations, maps, sketches, designs, tracings, notes, reports, data, computer programs, models and samples, shall become the property of UTA when prepared, and, together with any documents or information furnished to Contractor and its employees or agents by UTA hereunder, shall be delivered to UTA upon request, and, in any event, upon termination or final acceptance of the Goods and Services. UTA shall have rights and privileges to use, share, and reproduce said items as outlined in Section 7.1 of the General Terms and Conditions attached hereto.

### **INSURANCE REQUIREMENTS (Per SP 5.2 RFP section 4)**

#### **SP 5.2 Insurance**

##### **SP 5.2.1 Evidence of Coverage**

Contractor shall deliver to the Agency, within ten (10) days after receiving Notice of Award of the Contract, an ACORD form (Certificate of Liability Insurance) evidencing the required insurance coverage. A Notice to Proceed will not be issued until all required insurance documentation is in place.

##### **SP 5.2.2 Continuation or Change in Coverage:**

The Contractor shall maintain in effect during the term of the Contract, including any warranty period, at its own expense, at least the coverage and limits of insurance set forth below. Prior to the cancellation modification or expiration of any insurance during the Contract performance, the Contractor shall furnish evidence of such to the Agency's designated representative.

##### **SP 5.2.3 Endorsements**

The general liability and automobile liability policies are to contain, or be endorsed to contain, the following provisions:

1. The Agency, its subsidiaries, officials, representatives and employees are additional insureds with respects to the Contractor's operations, products and completed operations in connection with the Contract.
2. Stipulation that the Insurance is primary insurance and that no insurance or self-insurance of the Agency will be called upon to contribute to a loss. Any insurance or self-insurance maintained by the Agency shall be excess of the Contractor's insurance and shall not contribute with it.
3. Coverage applicable to Products and Completed Operations as required in this Section shall be maintained for a period of three (3) years after the completion of all Work performed under the Contract.

**Required insurance.** Statutory Workers Compensation and Employers Liability insurance and/or qualified self-insurance program in the amount of \$1,000,000.00 covering Supplier's employees while on Agency property.

**Commercial general liability insurance.** Bodily Injury and Property Damage, including Contractual Liability covering the indemnification contained herein, \$10,000,000 combined single limits per occurrence, \$10,000,000 aggregate, where applicable. The Commercial General Liability Insurance policy shall not contain "X, C and U" (explosion, collapse, and underground) exclusions.

**Product liability.** \$5,000,000 per occurrence, \$10,000,000 annual aggregate for a period of five years after acceptance of the last LRV delivered under the Contract.

**Automobile liability insurance.** Bodily Injury and Property Damage, \$1,000,000 combined single limits per occurrence.

B. ADDITIONAL INSURANCE REQUIREMENTS: The policies shall include, or be endorsed to include, the following provisions:

1. On insurance policies where the Utah Transit Authority is named as an additional insured, the Utah Transit Authority shall be an additional insured to the full limits of liability purchased by the Consultant. Insurance limits indicated in this agreement are minimum limits. Larger limits may be indicated after the consultant's assessment of the exposure for this contract; for their own protection and the protection of UTA.
2. The Contractor's insurance coverage shall be primary insurance and non-contributory with respect to all other available sources.

**NOTICE OF CANCELLATION:** Each insurance policy required by the insurance provisions of this Contract shall provide the required coverage and shall not be suspended, voided or canceled except after thirty (30) days prior written notice has been given to the Utah Transit Authority, except when cancellation is for non-payment of premium, then ten (10) days prior notice may be given. Such notice shall be sent directly to (Utah Transit Authority agency Representative's Name & Address).

**ACCEPTABILITY OF INSURERS:** Insurance is to be placed with insurers duly licensed or authorized to do business in the State and with an "A.M. Best" rating of not less than A-VII. The Utah Transit Authority in no way warrants that the above-required minimum insurer rating is sufficient to protect the Contractor from potential insurer insolvency.

**VERIFICATION OF COVERAGE:** Contractor shall furnish the Utah Transit Authority with certificates of insurance (on standard ACORD form) as required by this Contract. The certificates for each insurance policy are to be signed by a person authorized by that insurer to bind coverage on its behalf.

All certificates and any required endorsements are to be sent to [utahta@ebix.com](mailto:utahta@ebix.com) and received and approved by the Utah Transit Authority before work commences. Each insurance policy required by this Contract must be in effect at or prior to commencement of work under this Contract and remain in effect for the duration of the project. Failure to maintain the insurance policies as required by this Contract or to provide evidence of renewal is a material breach of contract.

All certificates required by this Contract shall be emailed directly to Utah Transit Authority's insurance email address at [utahta@ebix.com](mailto:utahta@ebix.com). The Utah Transit Authority project/contract number and project description shall be noted on the certificate of insurance. The Utah Transit Authority reserves the right to require complete, certified copies of all insurance policies required by this Contract at any time. DO NOT SEND

**CERTIFICATES OF INSURANCE TO THE UTAH TRANSIT AUTHORITY'S CLAIMS AND INSURANCE DEPARTMENT.**

**APPROVAL:** Any modification or variation from the insurance requirements in this Contract shall be made by Claims and Insurance Department or the UTA Legal Services, whose decision shall be final. Such action will not require a formal Contract amendment but may be made by administrative action.

**OTHER INDEMNITIES**

- a. Contractor shall protect, release, defend, indemnify and hold harmless UTA and the other Indemnitees against and from any and all claims of any kind or nature whatsoever on account of infringement relating to Contractor's performance under the Contract. If notified promptly in writing and given authority, information and assistance, Contractor shall defend, or may settle at its expense, any suit or proceeding against UTA so far as based on a claimed infringement and Contractor shall pay all damages and costs awarded therein against UTA due to such breach. In case any Good or Service is in such suit held to constitute such an infringement or an injunction is filed that interferes with UTA's rights under the Contract, Contractor shall, at its expense and through mutual agreement between UTA and Contractor, either procure for UTA any necessary intellectual property rights, or modify Contractor's Goods and Services such that the claimed infringement is eliminated.
- b. Contractor shall: (i) protect, release, defend, indemnify and hold harmless UTA and the other Indemnitees against and from any and all liens or claims made or filed against UTA on account of any Goods or Services furnished by subcontractors of any tier; and (ii) keep UTA property free and clear of all liens or claims arising in conjunction with any Goods or Services furnished under the Contract by Contractor or its subcontractors of any tier. If any lien arising out of the Contract is filed in conjunction with any Goods or Services furnished under the Contract, Contractor, within ten (10) calendar days after receiving from UTA written notice of such lien, shall obtain a release of or otherwise satisfy such lien. If Contractor fails to do so, UTA may take such steps and make such expenditures as in its discretion it deems advisable to obtain a release of or otherwise satisfy any such lien or liens, and Contractor shall upon demand reimburse UTA for all costs incurred and expenditures made by UTA in obtaining such release or satisfaction. If any non-payment claim is made directly against UTA arising out of non-payment to any subcontractor, Contractor shall assume the defense of such claim within ten (10) calendar days after receiving from UTA written notice of such claim. If Contractor fails to do so, Contractor shall upon demand reimburse UTA for all costs incurred and expenditures made by UTA to satisfy such claim.
- c. Contractor will defend, indemnify and hold UTA, its officers, agents and employees harmless from liability of any kind or nature, arising from Contractor's use of any copyrighted or un-copyrighted composition, trade secret, patented or un-patented invention, article or appliance furnished or used in the performance of the Contract.

**INDEPENDENT CONTRACTOR**

The parties agree that Contractor, in the carrying out of its duties hereunder, is an independent contractor and that neither Contractor nor any of its employees is or are agents, servants or employees of UTA. Neither Contractor nor any of Contractor's employees shall be eligible for any workers compensation insurance, pension, health coverage, or fringe benefits which apply to UTA's employees. Neither federal, state, nor local income tax nor payroll tax of any kind shall be withheld or paid by UTA on behalf of Contractor or the employees of Contractor. Contractor acknowledges that it shall be solely responsible for payment of all payrolls, income and other taxes generally applicable to independent contractors.

**STANDARD OF CARE.**

Contractor shall perform any Services to be provided under the Contract in a good and workmanlike manner, using at least that standard of care, skill and judgment which can reasonably be expected from similarly situated independent contractors (including, as applicable, professional standards of care).

**CONTRACTOR SAFETY COMPLIANCE**

Contractor, including its employees, subcontractors, authorized agents, and representatives, shall comply with all UTA and industry safety standards, NATE, OSHA, EPA and all other State and Federal regulations, rules and guidelines pertaining to safety, environmental Management and will be solely responsible for any fines, citations or penalties it may receive or cause UTA to receive pursuant to this Contract. Each employee, contractor and subcontractor working on UTA premises must be trained in UTA EMS and Safety Management principles. Contractor acknowledges that its Goods and Services might affect UTA's Environmental Management Systems obligations. A partial list of activities, products or Services deemed as have a potential EMS effect is available at the UTA website [www.rideuta.com](http://www.rideuta.com). Upon request by UTA, Contractor shall complete and return a *Contractor Activity Checklist*. If UTA determines that the Goods and/or Services under the Contract has the potential to impact the environment, UTA may require Contractor to submit additional environmental documents. Contractor shall provide one set of the appropriate safety data sheet(s) (SDS) and container label(s) upon delivery of a hazardous material to UTA

### **ENVIRONMENTAL RESPONSIBILITY**

Contractor acknowledges that its Goods and/or Services might affect UTA's ability to maintain the obligation of the EMS. A partial list of activities, products or Services deemed as have a potential EMS effect is available at the UTA website [www.rideuta.com](http://www.rideuta.com). Upon request by UTA, Contractor shall complete and return a *Contractor Activity Checklist*. If UTA determines that the Goods and/or Services under the Contract has the potential to impact the environment, UTA may require Contractor to submit additional environmental documents. Contractor shall provide one set of the appropriate safety data sheet(s) (SDS) and container label(s) upon delivery of a hazardous material to UTA.

### **PUBLIC INFORMATION.**

Contractor acknowledges that the Contract and related materials (invoices, orders, etc.) will be public documents under the Utah Government Records Access and Management Act (GRAMA). Contractor's response to the solicitation for the Contract will also be a public document subject to GRAMA, except for legitimate trade secrets, so long as such trade secrets were properly designated in accordance with terms of the solicitation.

### **PROJECT MANAGER**

UTA's Project Manager for the Contract is Sharanjit Saini, or designee. All questions and correspondence relating to the technical aspects of the Contract should be directed to UTA's Project Manager at UTA offices located at 669 West 200 South, Salt Lake City, Utah 84101, office phone (801) 287-1955.

### **CONTRACT ADMINISTRATOR**

UTA's Contract Administrator for the Contract is Amanda Burton, or designee. All questions and correspondence relating to the contractual aspects of the Contract should be directed to UTA's Grants & Contracts Administrator at UTA offices located at 669 West 200 South, Salt Lake City, Utah 84101, office phone (801) 287-3320.

### **NOTICES OR DEMANDS**

a. Any and all notices, demands or other communications required hereunder to be given by one party to the other shall be given in writing and may be electronically delivered, personally delivered, mailed by US Mail, postage prepaid, or sent by overnight courier service and addressed to such party as follows:

#### If to UTA:

Utah Transit Authority  
ATTN: Amanda Burton  
669 West 200 South  
Salt Lake City, UT 84101  
[aburton@rideuta.com](mailto:aburton@rideuta.com)

#### If to Contractor:

Stadler US  
ATTN: Marc Voser  
[Marc.Voser@stadlerrail.com](mailto:Marc.Voser@stadlerrail.com)  
5880 West 150 South  
Salt Lake City UT 84104

b. 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.

## **COSTS AND ATTORNEY FEES.**

If any party to this Agreement brings an action to enforce or defend its rights or obligations hereunder, the prevailing party shall be entitled to recover its costs and expenses, including mediation, arbitration, litigation, court costs and attorneys' fees, if any, incurred in connection with such suit, including on appeal

**ENTIRE AGREEMENT**

This Contract shall constitute the entire agreement and understanding of the parties with respect to the subject matter hereof, and shall supersede all offers, negotiations and other agreements with respect thereto.

## **SURVIVAL**

Provisions of this Contract intended by their nature and content to survive termination of this Contract shall so survive including, but not limited to, Articles 7, 9, 10, 11, 12, 13, 15, 17, 18, 19, 21, 23, 24, 25, 30, 31, 32, and 40.

IN WITNESS WHEREOF, the parties hereto have caused the Contract to be executed by officers duly authorized to execute the same as of the date of last signature below.

## UTAH TRANSIT AUTHORITY:

By

**CONTRACTOR:**

DocuSigned by:

10/11/2024

By  87F033FC30EE486...  
Martin Ritter

Name \_\_\_\_\_

Title CEO

By \_\_\_\_\_

DocuSigned by:

lucy Andre

— A9D68AB7A602436...

chief of staff

Stadler US, Inc.

## **Exhibit A**

### **Scope of Work**

The Work shall include the designing, manufacturing, testing, furnishing, delivery and performance testing of light rail vehicles (LRVs) and sub-systems, as defined in Section IP 1 of the RFP, "Description of Work" and Section 6 "Technical Specifications" found at this link.

<https://rideuta.sharepoint.com/sites/SupplyChain/Shared%20Documents/Forms/AllItems.aspx?as=json&id=%2Fsite%2FSupplyChain%2FShared%20Documents%2FSECTION%2B6%2BTECHNICAL%2BSPECIFICATIONS%2D23%2D03791AB%2D20240326%2Epdf&viewid=9c203d83%2D94e4%2D4507%2D94e1%2Dcad0039927d6&parent=%2Fsites%2FSupplyChain%2FShared%20Documents> .

The Work shall also include delivery of data, manuals, drawings, training and support services, spare parts, special tools, and test equipment, which shall be delivered as specified in the Contract Documents. The Contractor is responsible for the design and integration of all vehicle systems such that all specified requirements are achieved without conflict or error within or between systems. It shall be the Contractor's responsibility that all managers, engineers, designers, suppliers and subcontractors are informed of all specified requirements and that appropriate engineering management tools are utilized so that coordination and communication occurs between the designers of interrelated systems.

The Contractor is responsible for the selection, application and integration of equipment and materials as necessary to conform to the specified requirements. All equipment provided under the Contract shall be new. Rebuilt or refurbished equipment is prohibited. New equipment damaged during execution of the Contract may be restored to new condition only where approved by the Agency on a case-by-case basis, and all restorations shall be performed by the original equipment manufacturer. The Manufacturer shall produce, assemble, furnish, deliver, inspect, and test the LRVs according to the requirements of the Contract Documents. The Manufacturer shall assume responsibility for the proper integration and interoperability of all components, systems, subsystems, major assemblies, subassemblies, products, parts, apparatuses, articles, and other Materials.

The Manufacturer shall provide and pay for all supervision, labor, Materials, tools, plants, equipment, machinery, testing apparatuses, delivery, training, technical support, licenses of software and other proprietary technology, and any other costs necessary to furnish the LRVs. The Manufacturer shall be solely responsible for planning and implementing the means, methods, techniques, sequences, and procedures necessary to provide the LRVs. The Manufacturer shall perform all Work, other than professional services, in a good and workmanlike manner or in accordance with such higher standards of skill and care, such as industry best practices. All professional services must be performed at a minimum with that degree of skill and care normally exercised by reasonably prudent professionals in that discipline under the same or similar circumstances.

The General Conditions, Technical Specifications, Proposal, and other Contract Documents are essential to the Contract. All are intended to be complementary and to provide for LRVs suitable for their intended uses. A requirement occurring in one Contract Document is as binding as though occurring in all such Contract Documents.

**Exhibit B**  
**Price Sheet**

Tables CER 6 83.5 and 111ft, Show the Contracted Amount available per Stadlers price quote. Base Order Notice to Proceed" shows the actual price UTA will pay for the base contract scope (vehicles and features) of 20 vehicles.

**BASE ORDER NOTICE TO PROCEED**

<b>Base Order</b>				
<b>No.</b>	<b>Quantity</b>	<b>Description</b>	<b>Each</b>	<b>Total</b>
1.	20	Base order 20 ea 83.5 Ft low floor Light Rail Vehicles, associated goods and services as described in RFP and Contract. (92% of total cost for base order)	\$5,550,000.00	\$111,000,000.00
2.	1	83.5 ft Spare Parts, special tool, diagnostic equipment as described in RFP/Contract (8% of the total cost of base order)		\$9,652,174.00
5.	1	LRV Operation Training Simulator	\$829,400.00	\$829,400.00
8.	20	Automatic Train Protection (ATP)	\$390,931.00	\$7,818,620.00
<b>Total Base Contract</b>				<b>\$129,300,194.00</b>

UTAH TRANSIT AUTHORITY

RFP# 23-03791AB

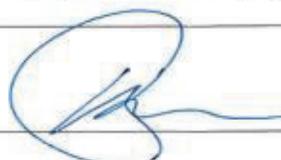
**CER 6: Pricing Schedules****Note:** The Contractor shall submit a separate Pricing Schedule for each vehicle length proposed.

Vehicle Length: 83,5ft

Base Contract					
Utah Transit Authority					
23-03791AB – Light Rail Vehicles					
All prices are to be in U.S. dollars.					
No.	Quantity	Item	Unit Price	Extended Price	
1.	20	A base quantity of 20 Low Floor Light Rail Vehicles and associated goods and services such as training materials and parts and maintenance manuals, as described in the Contract: (92% of the Total Cost for Base Order)	5,550,000	111,000,000	
2.	1	Spare parts, special tools and diagnostic equipment as described in the Contract: (8% of the Total Cost for the Base Order)		9,652,174	
				<b>TOTAL BASE CONTRACT</b>	<b>120,652,174</b>

Options					
Utah Transit Authority					
23-03791AB – Light Rail Vehicles					
All prices are to be in U.S. dollars.					
No.	Quantity	Item	Unit Price	Extended Price	
1.	60	Additional LRVs (92% of the Total Cost for the Options Order)	5,550,000	333,000,000	
2.	1	Spare parts, special tools and diagnostic equipment as described in the Contract: (8% of the Total Cost for the Options Order)		28,956,522	
3.	20	On-Board Energy Storage System (OESS) Ready	34,118	682,360	
4.	60	On-Board Energy Storage System (OESS) Ready	390	23,400	
5.	1	LRV Operation Training Simulator	829,400	829,400	
6.	20	Automatic Train Stop (ATS)	296,179	5,923,580	
7.	60	Automatic Train Stop (ATS)	96,097	5,765,820	
8.	20	Automatic Train Protection (ATP)	390,931	7,818,620	
9.	60	Automatic Train Protection (ATP)	42,976	2,578,560	
				<b>TOTAL OPTIONS</b>	<b>385,578,262</b>

Signature


09/30/2024  
Date

Should UTA execute a different vehicle length, than the exercised base order, an additional 15.9Mio USD in NRC's are applicable to the new vehicle length base contract. It has been assumed, that a minimum order quantity of 15 vehicles will be ordered and based on an ongoing production. The option pricing is based on a 30% aggregate overall liability cap.

SECTION 9: CERTIFICATIONS-20240326



Cynthia Vigil

UTAH TRANSIT AUTHORITY

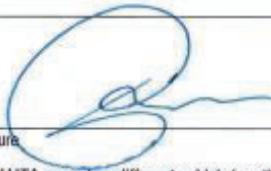
RFPI 23-03791AB

**CER 6: Pricing Schedules****Note:** The Contractor shall submit a separate Pricing Schedule for each vehicle length proposed.Vehicle Length: 111ft

<b>Base Contract</b>				
Utah Transit Authority				
23-03791AB – Light Rail Vehicles				
All prices are to be in U.S. dollars.				
No.	Quantity	Item	Unit Price	Extended Price
1.	15	A base quantity of 15 Low Floor Light Rail Vehicles and associated goods and services such as training materials and parts and maintenance manuals, as described in the Contract: (92% of the Total Cost for Base Order)	6,970,000	104,550,000
2.	1	Spare parts, special tools and diagnostic equipment as described in the Contract: (8% of the Total Cost for the Base Order)		9,091,304
TOTAL BASE CONTRACT				113,641,304

<b>Options</b>				
Utah Transit Authority				
23-03791AB – Light Rail Vehicles				
All prices are to be in U.S. dollars.				
No.	Quantity	Item	Unit Price	Extended Price
1.	45	Additional LRVs (92% of the Total Cost for the Options Order)	6,725,000	302,625,000
2.	1	Spare parts, special tools and diagnostic equipment as described in the Contract: (8% of the Total Cost for the Options Order)		26,315,217
3.	15	On-Board Energy Storage System (OESS) Ready	47,090	706,350
4.	45	On-Board Energy Storage System (OESS) Ready	390	17,550
5.	1	LRV Operation Training Simulator	829,400	829,400
6.	15	Automatic Train Stop (ATS)	375,592	5,633,880
7.	45	Automatic Train Stop (ATS)	98,619	4,437,855
8.	15	Automatic Train Protection (ATP)	528,446	7,926,690
9.	45	Automatic Train Protection (ATP)	46,759	2,104,155
TOTAL OPTIONS				350,596,097

Signature



09/30/2024

Date

Should UTA execute a different vehicle length, than the exercised base order, an additional 15.9Mio USD in NRC's are applicable to the new vehicle length base contract. It has been assumed, that a minimum order quantity of 15 vehicles will be ordered and based on an ongoing production. The option pricing is based on a 30% aggregate overall liability cap.

SECTION 9: CERTIFICATIONS-20240326




**Exhibit C**  
**Terms and Conditions and Special Provisions**

**GC 1. Definitions, Interpretation Conventions, And Other Miscellaneous Matters**

**GC 1.1 Definitions**

The following are definitions of special terms used in this document:

**Addenda/Addendum:** Written modifications issued by the Agency to the Request for Proposals that modify the Contract Documents.

**Advertisement:** The public announcement in the form of the public notice inviting prospective Proposers to obtain an RFP and submit a letter of interest. The Advertisement included a brief description of the work proposed to be the subject of the procurement with an announcement where the RFP may be obtained, and such other matters as UTA deemed advisable to include therein.

**Agency:** Utah Transit Authority or UTA

**Agency Furnished Equipment:** Material furnished by the Agency to the Contractor for use under the Contract.

**Approved Equal or Equivalent:** An item, material or method offered as a substitute for that designated in the Contract Documents, for which approval in writing has been obtained from the Agency. The burden of proof that a substitute is in fact equal shall rest with the Contractor.

**Authorized Representative:** The person or firm authorized or empowered to act for, or on behalf of, the Agency. The authority of any Authorized Representative may be limited as provided in the Contract or in any notice designating the Authorized Representative. For the Contractor, this party may be referred to as the Contractor's Representative.

**Authorized Signer:** The person who is executing the Contract on behalf of the Contractor and who is authorized to bind the Contractor.

**Award:** Notification to the Contractor of acceptance by the Agency of its Proposal.

**Best and Final Offer (BAFO):** The last Proposal made by a Proposer. If a BAFO is not specifically requested by the Agency, or if the Proposer does not promptly respond to a request for BAFO, then the most recent, current Proposal is the BAFO.

**Change:** Any alteration in the Contract Documents or the Work modifying the scope of work, price, equipment, materials, facilities, services, site, performance, schedule or other material provision of the Contract.

**Change Order:** A written document that alters the scope of the Work to be performed by the Contractor, changes the schedule of performance of the Work, increases or decreases the Contract Price, increases or decreases the Contract Time, or makes any other change to the Contract.

**Change Request:** A document submitted by the Contractor to the Agency requesting that a Change Order be issued.

**Claim:** A written demand by the Contractor seeking (1) the payment of money in a sum certain; (2) an extension of Contract Time; (3) an adjustment of Contract terms; and/or (4) other relief arising under or relating to the Contract.

**Component:** Any component of any LRV or any other Equipment to be delivered under the Contract. May also be referred to in the Contract as a unit, part, product, module, subcomponent, system, subsystem, assembly, subassembly, software, firmware, structure or other term indicating a part or portion of the Equipment.

**Conditional Acceptance:** A written certificate issued by the Agency to a completely assembled LRV, located at the Agency or its vehicle acceptance facility, that has successfully completed tests outlined in accordance with Section 6: Technical Specifications, and is ready to run in revenue service except for minor Defects that require corrective action but that will not materially affect Safety and or revenue service operations. Conditional Acceptance requires that all documentation for the LRV, including the Car History Book, per Section 6: Technical Specifications, has been delivered to and accepted by the Agency.

**Contract:** Written agreement executed by the Agency and the Contractor that sets forth the rights and obligations of the parties in connection with the Work, and which includes the Contract Documents, all incorporated attachments, exhibits and all provisions required by law to be inserted in the Contract whether actually inserted or not. Whenever separate publications are referenced in the Contract, it is understood to mean the publications, as amended, which are current on the Proposal due date, unless otherwise noted.

**Contract Administrator:** The Agency's Authorized Representative who is authorized and empowered to execute Contracts, Change Orders, Amendments and other agreements and documents on behalf of the Agency. The Contracting Administrator may delegate authority in writing to one or more Authorized Representatives.

**Contract Documents:** All documents included in the Contract and made a part hereof, including Attachments and Exhibits incorporated either by attachment or by reference.

**Contract Time:** The number of days, or portion thereof, allowed for completion of the Work, including all authorized time extensions. The date specified in the Notice to Proceed shall be the date on which the Contract Time begins, and the Scheduled Completion Date shall be the date the Contract Time ends.

**Contractor:** The successful Proposer to whom a Contract is awarded.

**Contractor's Project Manager:** The Manufacturer's Project Manager who will oversee and be responsible for all Work, or his or her duly authorized designee.

**Contractor's Representative:** The person designated by the Contractor to act on its behalf.

**Critical path method (CPM) schedule:** A schedule that includes the planned sequence of activities that comprise the Project, including a breakdown of all of the elements of the Work into individual tasks, the number of days required to perform each task and their logical relationship. The CPM schedule includes the entire Contract Time from Notice to Proceed to the Scheduled Completion Date.

**Cure Notice:** Written notice from the Agency to the Contractor to cure a default or Deficiency or to correct Work performed not in conformance with the Contract.

**Days:** Calendar days unless otherwise indicated.

**Delivery:** The time when an LRV is turned over to the Agency at its vehicle acceptance facility, having completed all pre-delivery inspections and tests and ready for acceptance testing.

**Defect/Defective:** The condition of any part of the Work that does not meet the Contract Document requirements; causes a vehicle or a portion of the Work to cease operating or to operate in a degraded mode; or inflicts damage or harm on any other portion of a vehicle or the Work, prior to Final Acceptance of the Equipment or during the period of any Warranty.

**Disadvantaged Business Enterprise or “DBE”:** A disadvantaged business enterprise, as such term is defined in 49 Code of Federal Regulations (CFR) Part 26.

**Disadvantaged Business Enterprise Program or “DBE Program”:** the Agency’s Disadvantaged Business Enterprise Statement created pursuant to 49 CFR Part 26.

**Dispute:** A disagreement between the parties as to the merits, amount or remedy arising out of a Claim or asserted default.

**Drawings:** All drawings necessary or required for the prosecution of the Work.

**Due Date:** The time by which any document must be received by the Agency or Contractor, as applicable.

**Equipment:** Any and all machinery, vehicles, systems, assemblies, subassemblies, products, material fittings, devices, appliances, fixtures, apparatus, supplies and parts used by the Contractor or provided by the Contractor to the Agency pursuant to the Contract.

**Execution of the Contract:** The signing of the Contract by the Agency’s Authorized Representative and the Authorized Signer or Contractor’s Representative.

**Extended Warranty:** A warranty that extends beyond the general warranty period for Components listed in Section 7: Warranty.

**Federal Railroad Administration or “FRA”:** The Federal Railroad Administration, a part of U.S. Department of Transportation concerned with intermodal transportation.

**Federal Transit Administration or “FTA”:** The Federal Transit Administration, a modal administration of the United States Department of Transportation (US DOT) and the federal agency providing funding for a portion of the Contract.

**Final Acceptance of an LRV:** A written certification issued by the Agency acknowledging that the LRV has been completed in full accordance with the Technical Specifications, including all testing, approved engineering submittals, and Change Orders; all corrective actions identified at the Conditionally Accepted stage have been completed, and all required documentation for the LRV has been received and approved by the Agency.

**Final Completion:** The Final Acceptance of all LRVs and the fulfillment and completion of all the Manufacturer’s obligations under the Contract Documents as further defined in Section SP 4.7.

**Final Payment:** Payment made to the Contractor within 30 days of presentation of the Contactor’s final invoice and issuance of Notice of Final Completion by the Agency.

**First Article Inspection (FAI):** The comprehensive inspection and testing of the first production model of any component, system, subsystem, major assembly, subassembly, product, part, apparatus, article and other Material before it is assembled into a vehicle as well as the comprehensive inspection and testing of the first completed LRV.

**Fleet:** A collection of light rail vehicles that are identical in configuration.

**Fleet Defect:** Cumulative failures of ten (10) percent of the same components in the same or similar applications with a minimum of three (3) failures of the same component where such items are covered by warranty.

**Government:** Any federal, state or local government and any political subdivision or any governmental, quasi-governmental, judicial, public or statutory instrumentality, administrative agency, authority, body or entity other than the Agency.

**Joint:** Involving mutually the Contractor and the Agency.

**Light Rail Vehicle (LRV):** The rail vehicle(s) which the Manufacturer is to provide in accordance with the Contract Documents and further described in **Vehicle** and **Vehicle, Low Floor Light Rail**.

**Major Subsystem:** Any system on mutually agree upon list of major subsystems.

**Manufacturer:** The person, persons, partnership, Joint Venture (JV), company, or corporation entering into the Contract to perform the Work.

**Notice:** Communication in writing, unless otherwise specified, to provide or issue any information, warning, announcement, instruction, consent, approval, certificate or determination by any party to the Contract.

**Notice of Intent to Claim:** A written notice of a potential claim submitted by the Contractor to the Agency within the time limits and under the circumstances specified in the Contract Documents.

**Notice to Proceed (NTP):** Written authorization from the Agency to the Contractor that establishes the date that the Contractor is to start work and the Period of Performance begins.

**Notice of Termination:** A written notice delivered by the Agency to the Contractor terminating the Contract, either for convenience or for cause as further described in GC 9.6

**Open Items Report:** A description of all defects, shipping damage and missing parts upon LRV arrival delivery at the Agency's property.

**Pass-Through Warranty:** A warranty provided by the Contractor but administered directly with the component supplier.

**Payment Schedule:** The schedule of events and deliverables triggering periodic payments under the Contract Documents.

**Period of Performance:** The total time period as set forth in the schedule for the Contractor to complete all or a designated portion of the Work under the Contract.

**Project Manager:** The individual designated by the Agency or the Contractor to manage the Contract on a day-to-day basis.

**Proposer:** The legal entity that responds to the Agency's Request for Proposal.

**Proposal:** An offer submitted to the Agency in response to the Agency's Request for Proposal (including any Best and Final Offers).

**Request for Proposal (RFP):** The Document issued by the Agency and soliciting proposals with respect to the Work to be performed under the Contract Documents.

**Schedule:** The schedule prepared by the Manufacturer, as reviewed and accepted by the Utah Transit Authority's Project Manager (PM), which schedule sets forth the logical sequence of activities required for the Manufacturer's orderly performance and completion of the Work in accordance with the Contract Documents, including the satisfaction of designated milestone dates.

**Specifications:** All things described, stated or referenced in the Contract Documents entitled Technical Specifications, Statement of Work, Scope of Work, or any other description of the Work.

**Subcontractor:** Any person, firm, partnership, corporation or other entity, other than employees of the Contractor, that are hired by the Contractor to perform work and/or furnish labor, or labor and materials, directly on the LRV under the Contract.

**Subsupplier:** Any manufacturer, company, or agency, providing components or parts to a Supplier for inclusion on the LRV.

**Submittal:** Any document or sample prepared by or for the Contractor that is required by the Contract Documents to be submitted to the Agency by the Contractor and as further described in TS 1.2.2.

**Superior Warranty:** A warranty still in effect after all contractually required warranties have expired and administered directly between the Supplier and the Agency.

**Supplier:** Any individual, partnership, firm, corporation, joint venture, or any combination thereof, who provides material or equipment, but not labor or services other than delivery, to the contractor and who is responsible to the contractor by virtue of an agreement with the Contractor.

**Total Contract Price:** The total amount payable to the Contractor plus the price of any options exercised, and/or Change Orders during the Contract period of performance.

**UTA:** Utah Transit Authority, a public transit district under the laws of the State of Utah, the Agency

**Utah Transit Authority's Project Manager" or UTA's PM:** the Agency's Project Manager who will oversee and be responsible for all Work, or his or her duly authorized designee

#### **GC 1.2 Explanations, Omissions, And Mis-Descriptions**

The Contractor shall not take advantage of any apparent error or omission in the Contract Documents. Should it appear that the Work or any of the matters relative thereto is not sufficiently detailed or explained in the Contract Documents, the Contractor shall apply to the Agency in writing for such further written explanations as may be necessary and shall conform to the explanation provided. The Contractor shall promptly notify the Agency of all errors, omissions, inconsistencies, or other defects (including inaccuracies) which it may discover in the Contract Documents and shall obtain specific instructions in writing regarding any such error, omission, inconsistency, or defect before proceeding with the Work affected thereby. The fact that the Contract Documents omit or misdescribe any details of any Work which is necessary to carry out the intent of the Contract Documents, or which is customarily performed, will not relieve the Contractor from performing such omitted Work (no matter how

extensive) or misdescribed details of the Work, and it must be performed as if fully and correctly set forth and described in the Contract Documents.

### **GC 1.3 Federal Requirements**

Notwithstanding anything to the contrary contained herein, in the event of any conflict between any federal requirements and the other requirements of the Contract Documents, the federal requirements will prevail, take precedence, and be in force over and against any such conflicting provisions. The Contractor shall comply with the requirements of the FTA, set forth in Section 5 – Federal Clauses.

### **GC 2. Materials and Workmanship**

The Contractor shall be responsible for all materials and workmanship in the construction of the LRV and all accessories used, whether the same are manufactured by the Contractor, Subcontractor or purchased from a Supplier. This provision excludes any equipment leased or supplied by the Agency, except insofar as such equipment is damaged by the failure of a part or component for which the Contractor is responsible, or except insofar as the damage to such equipment is caused by the Contractor during the manufacture of the vehicles. Unless specifically provided for in the Technical Specification, all Materials and parts furnished by the Contractor shall be new and free from Defects. Used, damaged, re-worked, obsolete, or demonstrator models of any equipment will not be acceptable. All equipment, parts, and components used for the same function or purpose must be interchangeable and identical in construction.

The Agency shall have the right to reject any material and workmanship that is not in conformance with the Contract specifications or accepted industry practices. Repeated rejections of material or workmanship by the Agency shall be considered a failure of the Contractor's QA Program which, at the Agency's discretion, may be cause for stopping all work until corrective measures have been implemented to the Agency's satisfaction. Any Agency furnished Materials that are contemplated by the Contract Documents will be delivered to the Contractor as agreed between the parties. All unloading, transportation, handling, storage, protection, or installation from the agreed delivery point must be the responsibility of the Contractor. The Contractor shall inspect Agency furnished Materials and shall immediately notify the Agency's PM, in writing, of any lost, missing, inferior, defective, inappropriate, or damaged Materials. If any Agency furnished Materials are lost or damaged from any cause after receipt by the Contractor, the Contractor shall be liable to the Agency for the cost of replacing or repairing such Agency furnished Materials and the cost thereof may be deducted from monies due, or to become due, to the Contractor. All loss or damage arising from any unforeseen obstruction or difficulties, either natural or artificial, which may be encountered in the prosecution of the work or the furnishing of the work or supplies, materials, or equipment, or from any act or omission not authorized by the Contract on the part of the Contractor or any agent or person employed by it, will be the responsibility of the Contractor.

Any material or equipment found to be damaged or defective at the time of delivery must be repaired, replaced, or corrected by the Contractor hereunder without additional cost to the Agency.

If the Contractor fails to comply promptly with the Contract, the Agency will, upon written notice to the Contractor, deduct the cost of non-conforming work from any compensation due or to become due to the Contractor.

### **GC 3. Conformance with Specifications and Drawings**

Materials furnished and Work performed by the Contractor shall conform to the requirements of the Technical Specifications and other Contract Documents. Notwithstanding the provision of drawings, technical specifications or other data by the Agency, the Contractor shall have the responsibility of supplying all parts and designs required to make the LRV complete and ready for service even though such details may not be specifically mentioned in the drawings and specifications. Items that are installed by the Agency shall not be the responsibility of the Contractor unless they are included in the Contract.

### **GC 4. Inspection and Testing**

#### **GC 4.1 General**

**GC 4.1.1** The Contractor has the sole responsibility under the Contract Documents for inspecting all Work provided and all Materials furnished. The Agency may perform additional inspections at its discretion to verify the sufficiency of the Contractor's Quality Control (QC) or for any other purpose. Any inspections performed by Agency are solely for Agency's benefit and inspection by Agency does not relieve the Agency of its responsibility to perform the Work in accordance with the Contract Documents. The Agency reserves the right to reject Materials or workmanship on the basis of Agency-instituted inspections. The Agency may inspect all or any part of the Work at any reasonable time. The Contractor shall give Agency's PM, Agency's inspectors, and any other person designated by Agency access to the LRVs at any place or stage of their manufacture, preparation, shipment, or delivery.

**GC 4.1.2** The Agency's right to make inspections includes the right to order the Contractor to uncover concealed portions of the Work. This right to order the Contractor to uncover concealed portions of the Work includes the removal of panels, plates, components, or other aspects of finished Work that prevent the inspection of additional portions of the Work. Should the Work exposed or examined as the result of this Section prove to be in accordance with the Contract Documents, the inspection will be treated as additional Work requested by the Agency, and the Agency will issue a Change Order compensating the Contractor for its incremental costs (including any duplicative Work) required as the result of the inspection. Should the Work exposed or examined as the result of this Section prove not to be in accordance with the Contract Documents, the Contractor shall bear all costs related to both the inspection and all required corrective work, and no Change Order will be issued.

**GC 4.1.3** The Agency's Representative shall at all times have access to the Work, the Contractor and, through the Contractor, its Suppliers. The Contractor and its Suppliers shall furnish every reasonable facility for ascertaining that the materials and the workmanship are in accordance with the requirements of the Contract Documents. All Work done shall be subject to the Agency Representative's inspection and approval in accordance with the approved Work products developed as a result of the Contract Documents.

The Contractor shall, at no additional expense to the Agency, provide the Agency with private offices for the use of Agency's PM, the Agency's inspectors, and other field staff designated by Agency from time to time. The Contractor shall provide offices at the following locations:

1. The Contractor's engineering and design facility;
2. The Contractor's manufacturing facility; and
3. The Contractor's assembly facility.

The office space must include the use of a desk, telephone, and personal computer. The office space must also include access to an internet connection, color printers, file cabinets, copying machines, and other facilities necessary for the conduct of business.

**GC 4.1.4** The Contractor shall inspect all materials, supplies and equipment that are to be used, or incorporated in the Work. In addition, Contractor shall conduct a continuous program satisfactory to the Agency's Representative of quality control for all Work performed under the Contract. The Contractor shall have the primary responsibility for inspecting the Work. The Agency Representative's inspection is conducted to verify that the Contractor has performed its inspections properly. Any observation, verification, inspection, or approval of the Work by the Agency shall not relieve the Contractor of any of its obligations to perform the Contract as prescribed. If, in the opinion of the Agency's Representative, the Contractor fails to execute its responsibility for quality control and inspection on any part of the Work, then the Agency may, at its option, conduct quality control and inspection activities in lieu of the Contractor at the Contractor's expense. Such inspection shall not relieve the Contractor of its liability for defective or unsuitable Work, as described in GC 4.2, Non-Conforming Work. Work not meeting the requirements of the Contract shall be made acceptable, and unsuitable Work may be rejected, notwithstanding that payment for such Work may have been previously authorized and included in a progress payment. A deduction may

be made from subsequent progress payments and withheld until such time as the correction of such unsuitable Work. The amount of the deduction will be set by the Agency Representative and the amount should be in proportion to the value of the non-conforming work.

**GC 4.1.5** All components, systems, subsystems, major assemblies, subassemblies, products, parts, apparatuses, articles, and other Materials to be incorporated into the Work will be subject to the testing requirements set forth in the Technical Specifications and other Contract Documents, and none of the foregoing will be incorporated into the LRVs unless the same has successfully passed the applicable test(s). The Contractor shall prepare a test plan for the LRVs as specified in Section 6. The test plan must include, without limitation, the following information:

1. Each and every test point and its location in the manufacturing cycle; and
2. The test procedures and the forms to be used at each test point.

**GC 4.1.6** The test plan must include not only the testing to be performed by the Contractor, but also all testing to be performed by Subcontractors and Suppliers. The test plan must be furnished to the Agency's PM for review and acceptance. The test plan, as reviewed and accepted by the Agency, will become part of the Contract Documents and the Contractor shall be required to perform in accordance with the test plan. The test plan may be revised and updated by the parties throughout the continuation of the Work. The Agency's PM must be apprised of all such tests in advance to be able to witness any testing at his discretion. The Contractor shall be responsible for any necessary corrective action and retesting until the applicable certified test results have been approved by Agency's PM. All testing must be performed by and at the expense of the Contractor and the Contractor shall furnish the necessary testing instruments and apparatuses.

## **GC 4.2 Non-Conforming Work**

Materials furnished and Work performed by the Contractor must conform to the requirements of the Technical Specifications and other Contract Documents. Materials furnished or Work performed which does not comply with such requirements will be considered non-conforming. Non-conformance includes, but is not limited to, the following:

1. Work performed or Materials furnished contrary to the Utah Transit Authority's instructions;
2. Work added, deleted, or changed to or from the requirements of the Contract Documents without the written authorization of the Agency;
3. Work which includes the incorporation of unapproved substitutions or unapproved Materials; or
4. Work performed or Materials furnished without the required testing, inspection, or other conformance documentation or without required warranties.

If the Agency determines that materials, equipment or workmanship proposed for or incorporated in the Work is non-conforming, then the Agency shall have the right to reject such Work by giving the Contractor written notice that such Work is non-conforming. The Agency, at its option, shall require the Contractor, within a designated time period as set forth by the Agency, to either (1) promptly repair, replace or correct all Work not performed in accordance with the Contract at no cost to the Agency; or (2) provide a suitable corrective action plan at no cost to the Agency. Once accepted by the Agency, the Contractor shall implement the corrective action plan at no cost to the Agency. If the corrective action plan as accepted by the Agency does not remedy the defective or non-conforming Work, then the Contractor shall remain responsible for remedying the non-conforming Work to the Agency's satisfaction and at no additional cost to the Agency. The Contractor shall also be responsible for repairing all property and work damaged by the Contractor at no cost to the Agency. Under no circumstances shall the Contractor be entitled to additional time or money for the correction of defective or non-conforming work, or for the repair of damaged property.

The Agency's inspection of the Work or right to reject non-conforming Work shall not relieve the Contractor of its full responsibility for performing the Work in full conformance with the Contract Documents. No failure or

forbearance of the Agency in notifying the Contractor of non-conforming Work shall relieve the Contractor of its Contract responsibility to ensure that the Work is performed in accordance with the Contract Documents.

#### **GC 4.3 Risk of Loss**

From the receipt of the NTP until Conditional Acceptance, the Contractor shall assume the risk of loss or damage to the LRVs to the fullest extent permitted by law. The Contractor shall bear the risk of loss irrespective of whether such loss or damage arises from the acts or omissions of the Contractor, the Agency, third parties, or from any other cause whatsoever (excepting loss or damage arising from the negligent acts or omissions of the Agency, to the extent that such loss or damage was caused by the negligent acts or omissions of the Agency, which will be borne by the Agency). The risk of loss or damage to the LRVs will transfer to the Agency at Conditional Acceptance, at which time the Agency shall assume responsibility for the care, protection, and ordinary upkeep for the LRVs. Nothing provided in this Section GC 4.3 will relieve the Contractor from the performance of open items work or warranty work after Conditional Acceptance. From and after Conditional Acceptance, the Contractor shall also continue to bear the risk of any losses caused by the Contractor's negligent or willful acts.

#### **GC 5. Title and Warranty of Title**

Title to each vehicle shall vest in the Agency upon Conditional Acceptance. The title received by the Agency shall be considered full legal title with rights to unconditional possession and ownership. The Contractor, shall, within five (5) days after receipt of the notice of Conditional Acceptance with respect to any vehicle, deliver to the Agency a bill of sale or other instrument and shall be evidence that the Agency has acquired full title to such vehicle free and clear of all liens, claims, security interests or encumbrances of any kind.

#### **GC 6. Intellectual Property**

##### **GC 6.1 Intellectual Property Indemnification**

The Contractor shall indemnify, defend and hold harmless the Agency (and its officers, directors, agents or employees) to the maximum extent permitted by law from and against any and all claims, liabilities, losses, damages or expenses (including attorneys' fees and related costs, whether or not litigation has commenced), whether direct or indirect, arising out of, relating to or in connection with any claim or allegation that the ownership, possession or use of any software, materials, equipment, devices, processes or other materials provided by the Contractor under this Agreement infringe or violate the patent, copyright, trade-secret or other intellectual-property or proprietary rights of any third party. In case any such software, materials, equipment, devices, processes or other materials are held to constitute an infringement and their use enjoined, then the Contractor, at the Contractor's sole cost and expense, shall do one of the following:

- Secure for the Agency the right to continue using the software, materials, equipment, devices or processes by suspension of the injunction or by procuring a royalty-free license, or licenses.
- Replace such software, materials, equipment, devices or processes with non-infringing software, materials, equipment, devices or processes.
- Modify them so that they become non-infringing.
- Remove the enjoined software materials, equipment, devices or processes and refund the sums paid for them without prejudice to any other rights of the Agency.

If the amount of time necessary to proceed with one of these options is deemed excessive by the Agency, then the Agency may direct the Contractor to select another option or risk default.

The Agency shall advise the Contractor of any pending patent suit related to the Contract against the Agency and provide all information available. The Contractor's obligations under this section are discharged and the Agency shall hold the Contractor harmless with respect to the equipment or part if it was specified by the Agency and all requests for substitutes were rejected, and the Contractor advised the Agency under IP 6, Questions, Clarifications and Omissions, of a potential infringement, in which case the Contractor shall be held harmless.

### **GC 6.2 Intellectual Property Warranty**

The Contractor represents and warrants that any use of the Work, or any part thereof, by the Agency (or its officers, directors, agents, employees or transit users) will not infringe or violate the patent, copyright, trade-secret or other intellectual-property or proprietary rights of any third party.

The Contractor further represents and warrants that it has or will have all appropriate licenses, agreements or ownership rights pertaining to all patent, copyright, trade-secret or other intellectual-property or proprietary rights needed for the performance of its obligations under the Contract — including without limitation that it will have all necessary rights to use patentable or copyrightable materials, equipment, devices or processes not furnished by the Agency used on or incorporated in the Work under the Contract. The Contractor assumes all risks arising from the use of any such patented or copyrighted materials, equipment, devices or processes.

The Contractor shall grant to the Agency, on the Contractor's behalf, and on behalf of all Subcontractors and Suppliers, an irrevocable, perpetual, royalty-free, nonexclusive license to use all software and other patented, copyrighted, or otherwise protected technology and processes that the Contractor incorporates into the LRVs. The Contractor shall bear all licensing fees and other costs arising from the use of software and other patented, copyrighted, or otherwise protected technology and processes. The Contractor warrants that the LRVs will be delivered free and clear of any rightful claim of infringement

by any party. The Contractor shall, to the full extent permitted by law, assume, protect, defend, indemnify, and hold the Agency and its officers, employees, and agents, harmless from and with respect to any and all liabilities, damages, claims, demands, liens, encumbrances, judgments, awards, losses, costs, or expenses (including, reasonable expenses, costs, and attorneys' fees incurred by the indemnified parties in the defense, settlement, or satisfaction of any suits, actions, or proceedings) relating to injuries, death, loss, or damage to persons or property of any kind whatsoever, arising out of or resulting from the Contractor's breach of the intellectual property warranty set forth in this Section GC 6.2. The Agency and the Contractor will promptly notify each other in writing of the notice or assertion of any infringement claim or other claim related to the Contractor's alleged breach of the intellectual property warranty provided in this Section GC 6.2. Upon receipt of notice and if given authority, the Contractor shall settle at its expense or undertake at its own expense the defense of any such suit, action, or proceeding, including appeals, against the Agency and its officers, employees, and agents relating to the Contractor's alleged breach of the warranty provided in this Section GC 6.2. If it is established that the LRVs contain technology or processes that constitute an infringement, or if an injunction is obtained ordering the Agency to discontinue use of infringing technology or processes, the Contractor shall, at its own expense, take the following actions:

1. Secure for the Agency the right to continue using said Materials or processes by lifting the injunction or by procuring a license or licenses;
2. Replace the infringing Materials or processes with non-infringing Materials or processes; or
3. Modify the Materials or processes so that they become non-infringing.

### **GC 6.3 Tooling Rights**

The Contractor, its Subcontractors, Suppliers and Manufacturers shall not sell, destroy or otherwise dispose of their rights to the use of, the unique castings, patterns and forming or extrusion dies after their use in the production of the vehicles without first offering them to Agency, with reasonable costs associated with the transfer to be borne by the Agency, or, in the case of a proposed sale to another, without first offering them for sale to Agency at a fair market price. The Contractor shall be liable to the Agency to the extent that the failure of the Contractor, its Subcontractor, Supplier or Manufacturer to comply with SP 12.1, Parts Availability Guarantee, causes the Agency to incur costs to have the tooling replicated.

For purposes of SP 12.1 the terms "sell" and "sale" shall not include transfer of these assets to a successor corporation or other entity that assumes the business and obligations of any Contractor, Subcontractor, Supplier or Manufacturer herein, including obligations arising under the Contract.

Upon Contractor's offer of any of the materials described above and the Agency's refusal, the Contractor's obligation under SP 12.1, Parts Availability Guarantee, as it relates to the specific materials offered and refused, shall cease.

## **GC 7. Data Rights**

### **GC 7.1 Proprietary Rights/Rights in Data**

The Contractor hereby grants to the Agency on the Contractor's behalf, and on behalf of its Subcontractors, Suppliers and Manufacturers (as to whom the Contractor represents and warrants that it has the power and authority to grant such sublicense), an irrevocable, perpetual, royalty-free, nonexclusive license and sublicense ("Technology License") to use, itself or through its agents, provided the subcontractor or sublicensee has a written obligation to protect the information, for the approved purposes described in GC 7.1.1, Uses, without recourse to the original Contractor, Subcontractor, Supplier or Manufacturer all patented, copyrighted and unpatented technology, know-how, trade secrets and other proprietary rights, and documentation thereof (except manufacturing detailed drawings and software, which is separately defined at and licensed pursuant to Paragraph 2 below), which is included in the Material and/or Equipment, including but not limited to all systems, subsystems, assemblies, subassemblies, components and interface systems and controls which are necessary for the operation, maintenance and repair, overhaul of the Material and/or Equipment, and for the manufacture of parts which are unavailable for purchase, as defined below, all of which shall be designated the "Licensed Technology."

#### **GC 7.1.1 Uses**

The Agency's rights under this Technology License shall be limited to its use for the following:

1. Evaluation and qualification for the purposes of future Material and/or Equipment procurements of systems, subsystems and components of subsystems on the Material and/or Equipment to be delivered under the Contract;
2. Preparation of specifications for future LRV RFPs employing some or all of the Licensed Technology;
3. Modifying or upgrading the Light Rail Vehicles;
4. Maintenance and repair of the Material and/or Equipment;
5. Overhaul of the Material and/or Equipment;
6. Manufacture of parts for the Material and/or Equipment that become unavailable for purchase. The term "unavailable for purchase" means that a part is no longer being manufactured; or an inventory of the part in sufficient quantities to meet the Agency's needs is not available for purchase; or no Supplier will sell a part to the Agency or cannot supply the part according to a delivery schedule that meets the Agency's operational needs; or that no Supplier will offer the part at a commercially reasonable price.

#### **GC 7.1.2 Limits**

The Agency shall not have the right under this Technology License either to use the Licensed Technology to manufacture itself, or to have manufactured for it by a third party as a sub-licensee of the Agency, either the Material and/or Equipment, systems, subsystems or components thereof, except as specified in Paragraph 5 above. The purposes described in the foregoing subparagraphs 1 through 5 as limited by the immediately preceding sentence are referred to in this Article as the "Approved Purposes."

## **GC 7.2 Software Escrow Account**

This Section details Agency's rights to access software code or other confidential data of the Contractor, Subcontractor and/or Suppliers under situations such as bankruptcy of the Contractor or material breach of the Contract.

Prior to Conditional Acceptance of the first LRV, the Contractor shall provide the Agency a list of all software comprising proprietary works ("Proprietary Software"). Source code for the Proprietary Software and all related documentation required for the use and modification thereof, and any revisions or derivative works based on the Proprietary Software developed pursuant to the Contractor's performance of the Contract (collectively, "Escrow

Materials") shall be deposited in an escrow account with a third party, as set forth in Section 10, Appendix H III: Example of a Software Escrow Agreement. The Contractor shall pay all initial and future costs related to the escrow account for a period of five years following the completion of warranty of the last vehicle, as long as Contractor has full ability to choose the escrow agent; otherwise the escrow cost shall be borne by the Agency. Nevertheless, the Agency shall have the right to review and approve both the escrow agent and the escrow agreement. If the Agency wishes to continue the escrow beyond the five year period, it may do so at its own cost. The escrow materials shall immediately be obtainable and usable by the Agency in the event that Contractor fails to support the continued use of the Proprietary Software by the Agency, or in case the item becomes obsolete, or upon termination or expiration of the term of the escrow. Escrow Materials shall be released in accordance with the explicit terms for release set forth in an Escrow Agreement negotiated and entered into by the Parties no later than six months prior to Final Acceptance of the first vehicle.

### **GC 8. Changes**

Any Change Orders issued on a cost reimbursement basis must, at a minimum, comply with the federal cost principles set forth in 48 CFR Part 31. In addition to the general rights to audit and inspect records as set forth in the Contract Documents, the Agency will have the specific right to audit all expenditures, payrolls, audited overhead, and other records related to a Change Order issued on a cost reimbursement basis. The Manufacturer shall use its best efforts to facilitate any such audit of cost records.

Nothing in this provision shall be deemed to require a Change Order when the Manufacturer performs additional Work as the result of its own estimating, contracting, or engineering error.

In no event shall the Manufacturer be entitled to compensation for loss of anticipated profits resulting from deletions to the Work.

#### **GC 8.1 Contractor Changes**

The Contractor may submit to the Agency's PM written Change Requests proposing changes to the Contract Documents. If the Contractor chooses to propose changed Work, then the Contractor must submit a notice of proposed change to the Agency for its prior written approval. The notice should describe the proposed change, identifying the Work that it proposes to change and stating the reasons for the change, including relevant circumstances, impacts on the schedule and estimated cost impacts.

Upon receipt of the Proposed Change Notice, the Agency may choose to either reject the notice or to request Contractor to submit a detailed Proposal within a specified time period. The denial by Agency of a Change Request to the Contract Documents as set forth in this provision will not be the basis for any Contractor Claims.

If the Agency accepts the Proposed Change Notice, it may issue an Interim Change Notice specifying the Proposed Change and action that the Contractor should undertake. The Interim Change Notice may include a not-to-exceed amount for the Change based upon the Contractor's estimate. If the Agency requests a Proposal, then the Contractor's Proposal shall set forth any changes to the Total Contract Price, Contract Delivery Schedule or any technical requirements of the Contract.

Any Interim Change Notice issued by the Agency must be formalized in a written Change Order approved by the Agency. Oral Change Orders are not permitted.

The Contractor shall be liable for all costs resulting from, and/or for satisfactorily correcting, any specification change not properly ordered by written modification to the Contract and signed by the Agency's Authorized Representative.

Changes to the Contract Documents may only be made pursuant to a duly issued written instruction executed by the Agency's PM. Except as specifically provided in this Section GC 8, Changes directed in any other manner will not form the basis for any additional compensation or Schedule relief. The Contractor shall promptly notify Agency, by a written Change Request, when the Contractor receives any direction, instruction, comment, interpretation, or determination from any source which the Contractor believes to constitute a change to the Contract Documents. A Change Request provided under this Section GC 8.1 must state the following information:

1. The date, circumstances, and source of the direction, instruction, comment, interpretation, or determination; and

2. That the Contractor regards the direction, instruction, comment, interpretation, or determination as a change to the Contract Documents. Such notice must be given to the Agency before the Contractor acts on said direction, instruction, comment, interpretation, or determination, and within ten calendar days after the Contractor becomes aware of the asserted change. The Contractor may request additional time, additional compensation, or both, through a Change Request issued under this Section GC 8.1. For any Change Request which the Agency agrees to have merit, the Agency will make an equitable adjustment and modify the Contract Documents by written Change Order. The execution of a Change Order by both parties will be deemed as an accord and satisfaction of all potential Claims of any nature arising from or relating to the asserted change. In the event that the Contractor and the Agency are unable to agree on an adjustment to the Total Contract Price or Schedule, the Agency may order the Contractor to proceed with the performance of the Work as directed. The Contractor, when so ordered, shall proceed with the Work and submit a Claim as set forth in Section GC 9.10 of the General Conditions. The submission of a timely Change Request complying with the requirements of this Section GC 8.1 is a condition precedent to the Contractor's right to submit a Claim based on the direction, instruction, comment, interpretation, or determination alleged to change the Contract Documents. The failure to timely submit a Change Request as described in this Section GC 8.1 will affirmatively bar and estop the Contractor from pursuing a Claim based on the constructive change alleged by the Contractor.

### **GC 8.2 Agency Changes**

The Agency may, at any time and without notice to sureties, order additions, deletions, or revisions to the Work. Prior to ordering an addition, deletion, or revision, Agency's PM may request that the Contractor submit a proposal for the change. The Contractor shall submit a proposal for the change within 30 calendar days after receipt of Agency's PM's request or such shorter reasonable time as Agency's PM may set forth in his request. The Contractor's proposal for change must provide Agency with an itemized breakdown of any effects to the Total Contract Price including, without limitation effects to the following aspects of the Total Contract Price:

1. Engineering Cost;
2. Labor Cost;
3. Equipment Cost;
4. Overhead and profit; and
5. Material quantities and unit prices.

The Contractor's proposal for the change must also identify any changes to the Schedule that result from the proposed modification. If the Agency orders the Contractor to proceed with the modification, the Agency will issue a Change Order modifying the Total Contract Price, the Schedule, and/or other aspects of the Contract Documents. Disagreements that cannot be resolved within negotiations shall be resolved in accordance with GC 9.11, Disputes. Regardless of any disputes, the Contractor shall proceed with the Work ordered.

Oral Change Orders are not permitted.

## **GC 9. Legal Clauses**

### **GC 9.1 Indemnification**

Contractor shall indemnify, hold harmless and defend the agency, its officers, trustees, agents, and employees (hereinafter collectively referred to as "Indemnitees") from and against all liabilities, claims, actions, damages, losses, and expenses including without limitation reasonable attorneys' fees and costs (hereinafter referred to collectively as "claims") related to bodily injury, including death, or loss or damage to tangible or intangible property caused, or alleged to be caused, in whole or in part, by the acts or omissions of Contractor or any of its owners, officers, directors, agents, employees or subcontractors. This indemnity includes any claim or amount arising out of the failure of such Contractor to conform to federal, state, and local laws and regulations. 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 brings a claim against UTA or another Indemnitee, Contractor's indemnity

obligation set forth above will not be limited by any limitation on the amount of damages, compensation or benefits payable under any employee benefit acts, including workers' compensation or disability acts. The indemnity obligations of Contractor shall not apply to the extent that claims arise out of the sole negligence of UTA or the Indemnitees.

#### **GC 9.1.1 Limitation of Liability**

Notwithstanding anything to the contrary contained in the Contract, the aggregate liability for all direct damages including liquidated damages for late delivery and excess weight, arising in connection with the Work and/or termination of the Work, in whole or in part, for any reason, shall not exceed the Total Contract Price.

#### **GC 9.2 Indemnitee Negligence**

The obligations of the Contractor under the above paragraph shall not extend to circumstances in which the injury, death or damages are caused solely by the negligent acts, errors or omissions of the Indemnitees, including, without limitation, negligence in: (1) the preparation of the Contract Documents, or (2) the giving of directions or instructions with respect to the requirements of the Contract by written order. The obligations of the Contractor shall not extend to circumstances where the injury, death or damages are caused, in whole or in part, by the negligence of any third-party operator, not including an assignee or Subcontractor of the Contractor, subject to the right of contribution as provided in GC 9.2.1, Joint or Concurrent Negligence.

#### **GC 9.2.1 Joint or Concurrent Negligence**

In case of joint or concurrent negligence of the parties giving rise to a claim or loss against either one or both, each shall have full rights of contribution from the other.

#### **GC 9.3 Suspension of Work**

The Agency may at any time and for any reason within its sole discretion issue a written order to the Contractor suspending, delaying or interrupting all or any part of the Work for a specified period of time.

The Contractor shall comply immediately with any such written order and take all reasonable steps to minimize costs allocable to the Work covered by the suspension during the period of Work stoppage. Contractor shall continue the Work that is not included in the suspension and shall continue such ancillary activities as are not suspended. The Contractor shall resume performance of the suspended Work upon expiration of the notice of suspension, or upon written direction from the Agency's Authorized Representative.

The Contractor shall be allowed an equitable adjustment in the Contract price (excluding profit) and/or an extension of the Contract time, to the extent that cost or delays are shown by the Contractor to be directly attributable to any suspension. However, no adjustment shall be made under this section for any suspension, delay or interruption due to the fault or negligence of the Contractor. As soon as reasonably possible after receipt of the written Suspension of Work notice, the Contractor shall submit to the Agency's Authorized Representative a detailed price and schedule Proposal for the suspension, delay or interruption.

#### **GC 9.4 Notice of Labor Dispute**

Whenever the Contractor or Agency has knowledge that any actual or potential labor dispute is delaying or threatens to delay the timely performance of the Contract, they shall immediately give written notice thereof to the other party, including all relevant information.

In addition, the Contractor agrees to insert the substance of this clause in any subcontract in which a labor dispute may delay the timely performance of the Contract.

#### **GC 9.5 Force Majeure**

If the Contractor is delayed at any time during the progress of the Work by the neglect or failure of the Agency or by a cause as described below, then the time for completion and/or affected delivery date(s) shall be extended by the Agency subject to the following cumulative conditions:

1. The cause of the delay arises after the Notice of Award and neither was nor could have been anticipated by the Contractor by reasonable investigation before such award. Such cause may also include force majeure events such as any event or circumstance beyond the reasonable control of the Contractor, including but not limited to acts of God; earthquake, flood and any other natural disaster; civil disturbance, strikes and labor disputes; fires and explosions; war and other hostilities; embargo; or failure of third parties, including Suppliers or Subcontractors, to perform their obligations to the Contractor due to a force Majeure event described above;
2. The Contractor demonstrates that the completion of the Work and/or any affected deliveries will be actually and necessarily delayed;
3. The Contractor has taken measures to avoid and/or mitigate the delay by the exercise of all reasonable precautions, efforts and measures, whether before or after the occurrence of the cause of delay; and
4. The Contractor makes written request and provides other information to the Agency as described below.

None of the above shall relieve the Contractor of any liability for the payment of any liquidated damages owing from a failure to complete the Work by the time for completion that the Contractor is required to pay pursuant to SP 3.3.1, Liquidated Damages for Late Delivery, for delays occurring prior to, or subsequent to the occurrence of an excusable delay.

The Agency reserves the right to rescind or shorten any extension previously granted, if subsequently the Agency determines that any information provided by Contractor in support of a request for an extension of time was erroneous; provided, however, that such information or facts, if known, would have resulted in a denial of the request for an excusable delay. Notwithstanding the above, the Agency will not rescind or shorten any extension previously granted if the Contractor acted in reliance upon the granting of such extension and such extension was based on information which, although later found to have been erroneous, was submitted in good faith by the Contractor.

No extension or adjustment of time shall be granted unless: (1) written notice of the delay is filed with the Agency within 14 calendar days after the commencement of the delay, and (2) a written application therefore, stating in reasonable detail the causes, the effect to date and the probable future effect on the performance of the Contractor under the Contract, and the portion or portions of the Work affected, is filed by the Contractor with the Agency within thirty (30) calendar days after the commencement of the delay. No such extension or adjustment shall be deemed a waiver of the rights of either party under the Contract. The Agency shall make its determination within thirty (30) calendar days after receipt of the application.

## **GC 9.6 Termination**

### **GC 9.6.1 Termination for Convenience**

The performance of Work under the Contract may be terminated by the Agency in accordance with this clause in whole, or in part, whenever the Agency shall determine that such termination is in the best interest of the Agency. Any such termination shall be affected by delivery to the Contractor of a notice of termination specifying the extent to which performance of Work under the Contract is terminated, and the date upon which such termination becomes effective.

After receipt of a notice of termination, and except as otherwise directed by the Agency, the Contractor shall do the following:

- Stop Work under the Contract on the date and to the extent specified in the notice of termination.
- Place no further orders or subcontracts for materials, services or facilities, except as may be necessary for completion of such portion of the Work under the Contract as is not terminated.
- Terminate all orders and subcontracts to the extent that they relate to the performance of Work terminated by the notice of termination; assign to the Agency in the manner, at the times, and to the extent directed by the Agency, all

of the right, title and interest of the Contractor under the orders and subcontracts so terminated, in which case the Agency shall have the right, in its discretion, to settle or pay any or all claims arising out of the termination of such orders and subcontracts.

- Settle all outstanding liabilities and all claims arising out of such termination of orders and subcontracts, with the approval or ratification of the Agency, to the extent it may require, which approval or ratification shall be final for all the purposes of this clause.
- Transfer title to the Agency and deliver in the manner, at the times and to the extent, if any, directed by the Agency the fabricated or unfabricated parts, Work in process, completed Work, supplies and other material produced as part of, or acquired in connection with the performance of, the Work terminated.
- Use its best efforts to sell, in the manner, at the times, to the extent, and at the price(s) directed or authorized by the Agency, any property of the types referred to above, provided, however, that the Contractor shall not be required to extend credit to any purchaser, and may acquire any such property under the conditions prescribed by and at a price(s) approved by the Agency, and provided further that the proceeds of any such transfer or disposition shall be applied in reduction of any payments to be made by the Agency to the Contractor under the Contract or shall otherwise be credited to the price or cost of the Work covered by the Contract or paid in such other manner as the Agency's Authorized Representative may direct.
- Complete performance of the part of the Work not terminated by the notice of termination.
- Take such action as may be necessary, or as the Agency may direct, for the protection or preservation of the property related to the Contract that is in the possession of the Contractor and in which the Agency has or may acquire an interest.

The Contractor shall be paid its costs, including Contract closeout costs, and profit on Work performed and/or in progress up to the time of termination, along with any unbilled non-recurring costs. The Contractor shall promptly submit its termination claim to Agency to be paid the Contractor (including profits). Settlement of claims by the Contractor under this termination for convenience clause shall be in accordance with the provisions set forth in Part 49 of the Federal Acquisition Regulations (48 CFR 49) except that wherever the word "Government" appears, it shall be deleted and the word "Agency" shall be substituted in lieu thereof.

#### **GC 9.6.2 Termination for Default**

If Contractor (a) becomes insolvent; (b) files a petition under any chapter of the bankruptcy laws or is the subject of an involuntary petition; (c) makes a general assignment for the benefit of its creditors; (d) has a receiver appointed; (e) should fail to make prompt payment of any undisputed amounts to any subcontractors or suppliers; or (f) fails to comply with any of its material obligations under the Contract, UTA may, in its discretion, after first giving Contractor thirty (30) days written notice to cure such default:

1. Terminate the Contract (in whole or in part) for default;
2. Pursue other remedies available under the Contract (regardless of whether the termination remedy is invoked); and/or

Except to the extent limited by the Contract, pursue other remedies available at law. However, notwithstanding the foregoing, no termination due to delay in delivery shall be effective unless the liquidated damages cap is reached.

- a. **CONTRACTOR'S POST TERMINATION OBLIGATIONS :** Upon receipt of a termination notice as provided above, Contractor shall (i) immediately discontinue all work affected (unless the notice directs otherwise). Contractor shall also remit a final invoice for all services performed and expenses incurred in full accordance with the terms and conditions of the Contract up to the effective date of termination. UTA shall calculate termination damages payable under the Contract, shall offset such damages against Contractor's final invoice, and shall invoice Contractor for any additional amounts payable by Contractor (to the extent termination damages exceed the invoice). All rights and remedies provided in this Article are cumulative and not exclusive. If UTA terminates the Contract for any reason, Contractor 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 Goods and Services furnished by Contractor prior to termination.

If, after notice of termination of the Contract under the provisions of this clause, it is determined for any reason that the Contractor was not in default under the provisions of this clause, or that the default was excusable under the provisions of this clause, the rights and obligations of the parties shall be the same as if the notice of termination had been issued pursuant to termination for convenience of the Agency. Any amounts charged or not paid to the Contractor shall be subject to a reasonable interest rate.

The rights and remedies of the Agency under this Section GC 9.6 are not exclusive and are in addition to any other rights and remedies provided by law and/or under the Contract Documents.

#### **GC 9.7 Compliance with Laws and Regulations**

The Contractor shall at all times comply with all applicable laws, regulations and, if federally funded, FTA regulations, policies, procedures and directives, including those listed directly or by reference in the agreement between the Agency and FTA that funds any part of the Contract, 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.

Prior to commencing any Work requiring a permit or similar authorization, the Contractor shall secure and pay for all necessary licenses, fees, inspections, permits and similar authorizations from governmental authorities required to fulfill the Contract requirements and the Contractor's obligations. All such fees and charges shall be paid for by the Contractor.

#### **GC 9.8 Changes of Law**

Changes of law that become effective after the Proposal Due Date may result in changes that affect price. If a price adjustment is indicated, either upward or downward, then it shall be negotiated between the Agency and the Contractor, and the final Contract price will be adjusted upward or downward to reflect such changes in law. Such price adjustment may be audited, where required.

#### **GC 9.9 Governing Law and Choice of Forum**

The Contract shall be governed by the laws of the State of Utah without regard to conflict of law rules. The Contractor consents to the jurisdiction of the identified State, County of Salt Lake.

#### **GC 9.10 Claims**

##### **GC 9.10.1 Notice of Intent to Claim**

The Contractor shall give to the Agency a written Notice of Intent to Claim within fifteen (15) calendar days after the parties have been unable to negotiate a pending change related to any act or event for which it intends to seek adjustment in the Contract Price, Contract Time, terms or schedule. The notice shall set forth the basis of the Claim and an estimate of any costs and time impacts involved.

The written Notice of Intent to Claim shall set forth the following:

1. The reasons the Contractor believes additional compensation and/or allowance of additional time may be due;
2. The nature of the costs involved or time needed;
3. The Contractor's plan for mitigating such cost and delay; and
4. The Contractor's best estimate of the amount of potential claim and time extension, and basic facts supporting the amount and time claimed.

##### **GC 9.10.2 Claim Submittal**

The Contractor shall submit its Claim within 30 calendar days after submitting the Notice of Intent to Claim. The following must be provided with the Claim:

1. Detailed factual statement of the Claim, with all necessary facts, events, locations and affected Work.
2. Date of the event giving rise to the Claim; if there are continuing or multiple events, provide all dates necessary to support the Claim.
3. Names of all persons who made any statements with respect to, or are knowledgeable of the facts and events giving rise to the Claim.
4. Specific provisions of the Contract supporting the Claim, with a statement of supporting rationale.
5. Identification of all documents including meeting minutes, transcriptions of oral communications, photographs, videos, tapes and other evidence supporting the Claim.
6. Detailed analysis of a request for an extension of item.
7. Detailed breakdown of request for additional compensation.

Failure to submit sufficient detail to permit the Agency to conduct a review of the Claim may result in rejection of the Claim.

Each Claim the Contractor submits for an adjustment that is related to a delay for any cause shall include the following:

1. A time impact analysis and a revised schedule demonstrating how the delay is incorporated into the schedule; and
2. Alternative proposal(s) and a revised schedule that demonstrate how the delay will be eliminated or mitigated.

The Contractor shall maintain cost records of all Work, which is the basis of any Claim, in the same manner as is required for Changed Work in GC 8, Changes.

#### **GC 9.10.3 Claims Process**

a. "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 20. Claims must be made by written notice. The responsibility to substantiate claims rests with the party making the claim.

b. 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.

c. The parties shall attempt to informally resolve all claims, counterclaims and other disputes through the escalation process described below. No party may bring a legal action to enforce any term of this Contract without first having exhausted such process.

d. The time schedule for escalation of disputes, including disputed requests for change order, shall be as follows:

##### **Level of Authority**

The Agency's PM and the Contractor's PM  
The Agency's Capital Vehicle Manager and the Contractor's Equivalent  
The Agency's Chief Officer and the Contractors; Equivalent

##### **Time Limit**

Five calendar days  
Five calendar days  
Five calendar days

Unless otherwise directed by UTA's Project Manager, Contractor shall diligently continue performance under this Contract while matters in dispute are being resolved.

If the dispute cannot be resolved informally in accordance with the escalation procedures set forth above, than either party may commence formal mediation under the Juris Arbitration and Mediation (JAMS) process using a mutually

agreed upon JAMS mediator. If resolution does not occur through Mediation, then legal action may be commenced in accordance the venue and governing law provisions of this contract.

#### **GC 9.10.4 No Claims After Final Payment**

In no event shall any claims be made after Final Payment. Failure by the Contractor to submit claims in a timely manner shall result in a waiver by the Contractor as to such claims.

#### **GC 9.11 Disputes**

Except as otherwise provided in the Contract, any dispute concerning a question of fact arising under or related to the Contract that is not disposed of by agreement shall be decided in accordance with the following steps. However, by mutual agreement the matter may be taken immediately to any higher step in the dispute resolution process, or mutually agreed-to alternative dispute resolution process (which may include structured negotiations, mediation or arbitration) or litigation. Pending final resolution of a dispute hereunder, the Contractor shall proceed diligently with the performance of the Contract and in accordance with the Agency's Authorized Representative or Executive Officer's decision, as the case may be.

1. **Notice of dispute.** All disputes shall be initiated through a written dispute notice submitted by either party to the other party within fourteen (14) calendar days of the determination of the dispute.

2. **Negotiation between authorized representatives.** The parties shall attempt in good faith to resolve any dispute arising out of or relating to the Contract promptly by negotiation and using the principles of project partnering by engaging in the following order:

Level One - The Agency's PM and the Contractor's PM;

Level Two - The Agency's Capital Vehicle Manager and the Contractor's Equivalent

Level Three- The Agency's Chief Officer and the Contractors; Equivalent.

Any party may give the other party written notice of any dispute not resolved in the normal course of business as provided in Paragraph 1 above. Within fourteen (14) calendar days after delivery of the dispute notice, the receiving party shall submit to the other party a written response. The dispute notice and written response shall include: (1) a statement of the party's position and a summary of the arguments supporting that position; (2) any evidence supporting the party's position; and (3) the name of the individual who will represent that party and of any others who will accompany the executive in negotiations. Within twenty-eight (28) calendar days after delivery of the dispute notice, the Authorized Representatives of both parties shall meet at a mutually acceptable time and place, and thereafter as they reasonably deem necessary, to attempt to resolve the dispute. All reasonable requests for information by one party to the other shall be honored.

#### **GC 9.12 Maintenance of Records; Access by Agency; Right to Audit Records**

The Contractor shall permit the Agency, FTA, the Comptroller General of the United States, the Secretary of the U.S. Department of Transportation, the State of Utah or any of their duly authorized representatives access to any books, documents, papers and records payroll and other data that are directly pertinent to or relate to the Contract, Contract modifications or Change Orders for the Contract for the purpose of making audits, examinations, excerpts and transcriptions and conducting audits and inspections.

Contractor shall retain all books, papers, documents, accounting records and other evidence to support any cost-based billings allowable under Price Proposal (or any other provision of the 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. Contractor shall also retain other books and records related to the performance, quality or management of the Contract and/or Contractor's compliance with the Contract. 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 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 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 the Contract at any tier.

The requirements of this section are in addition to other audit, inspection and record-keeping provisions specified elsewhere in the Contract Documents.

#### **GC 9.13 Confidential Information**

Access to government records is governed by the State of Utah. Except as otherwise required by the State of Utah, the Agency will exempt from disclosure proprietary information, trade secrets and confidential commercial and financial information submitted or disclosed during the Contract period. Any such proprietary information, trade secrets or confidential commercial and financial information that a Contractor believes should be exempted from disclosure shall be specifically identified and marked as such. Blanket-type identification by designating whole pages or sections as containing proprietary information, trade secrets or confidential commercial and financial information will not ensure confidentiality. The specific proprietary information, trade secrets or confidential commercial and financial information must be clearly identified as such. Upon a request for records from a third party regarding the Contract, the Agency will notify the Contractor in writing. The Contractor must respond within twenty (20) days with the identification of any and all "proprietary, trade secret or confidential commercial or financial" information, and the Contractor shall indemnify the Agency's defense costs associated with its refusal to produce such identified information; otherwise, the requested information may be released.

The Agency shall employ sound business practices no less diligent than those used for the Agency's own confidential information to protect the confidence of all licensed technology, software, documentation, drawings, schematics, manuals, data and other information and material provided by the Contractor pursuant to the Contract that contain confidential commercial or financial information, trade secrets or proprietary information as defined in or pursuant to the State of Utah against disclosure of such information and material to third parties except as permitted by the Contract. The Contractor shall be responsible for ensuring that confidential commercial or financial information, trade secrets or proprietary information, with such determinations to be made by the Agency at its sole discretion, bears appropriate notices relating to its confidential character.

During the performance of the Work under the Contract, it may be necessary for either party (the "Discloser") to make confidential information available to the other party (the "Recipient"). The Recipient agrees to use all such information solely for the performance of the Work under the Contract and to hold all such information in confidence and not to disclose same to any third party without the prior written consent of the Discloser. Likewise, the Recipient agrees that all information developed in connection with the Work under the Contract shall be used solely for the performance of the Work under the Contract, and shall be held in confidence and not disclosed to any third party without the prior written consent of the Discloser.

This Confidentiality section shall survive the termination or expiration of the Contract.

#### **GC 9.14 Conflicts of Interest; Gratuities**

The Contractor is prohibited from engaging in any practice that may be considered as a conflict of interest under existing Agency policies and/or state law, and to refrain from participating in any gifts, favors or other forms of compensation that may be viewed as a gratuity in accordance with existing policies and laws.

The Contractor shall take all reasonable measures to preclude the existence or development of an organizational conflict of interest in connection with Work performed under the Contract. An organizational conflict of interest occurs when, due to other activities, relationships or contracts, a firm or person is unable, or potentially unable, to render impartial assistance or advice to the Agency; a firm or person's objectivity in performing the Contract Work is or might be impaired; or a firm or person has an unfair competitive advantage in proposing for award of a Contract as a result of information gained in performance of the Contract.

### **GC 9.15 General Nondiscrimination Clause**

In connection with the performance of Work provided for under the Contract, the Contractor agrees that it will not, on the grounds of race, religious creed, color, national origin, ancestry, physical disability, medical condition, marital status, sex, sexual orientation or age, discriminate or permit discrimination against any person or group of people in any manner prohibited by federal, state or local laws.

### **GC 9.16 Amendment and Waiver**

#### **GC 9.16.1 Amendment**

Any modification or amendment of any provisions of any of the Contract Documents shall be effective only if in writing, signed by Authorized Representatives of both the Agency and Contractor, and specifically referencing the Contract.

#### **GC 9.16.2 Waiver**

In the event that either party elects to waive its remedies for any breach by the other party of any covenant, term or condition of the Contract, such waiver shall not limit the waiving party's remedies for any succeeding breach of that or of any other term, covenant or condition of the Contract.

### **GC 9.17 Remedies Not Exclusive**

The rights and remedies of the Agency provided herein shall not be exclusive and are in addition to any other rights and remedies provided by law or under the Contract.

### **GC 9.18 Counterparts**

The Contract may be executed in any number of counterparts. All such counterparts shall be deemed to constitute one and the same instrument, and each of said counterparts shall be deemed an original thereof.

### **GC 9.19 Severability**

Whenever possible, each provision of the Contract shall be interpreted in a manner as to be effective and valid under applicable law. However, if any provision, or part of any provision, should be prohibited or invalid under applicable law, such provision, or part of such provision, shall be ineffective to the extent of such prohibition or invalidity without invalidating the remainder of such provision or the remaining provisions of the Contract.

### **GC 9.20 Third-Party Beneficiaries**

No provisions of the Contract shall in any way inure to the benefit of any third party, including the public at large, so as to constitute such person a third-party beneficiary of the Contract or of any one or more of the terms and conditions of the Contract or otherwise give rise to any cause of action in any person not a party to the Contract, except as expressly provided elsewhere in the Contract.

### **GC 9.21 Assignment of Contract**

Neither party will assign nor subcontract its rights or obligations under the Contract without prior written permission of the other party, which permission shall not be unreasonably withheld, and no such assignment or subcontract will be effective until approved in writing by the other party.

### **GC 9.22 Independent Parties**

The Contractor is an independent contractor with respect to the performance of all Work hereunder, retaining control over the detail of its own operations, and the Contractor shall not be considered the agent, employee, partner, fiduciary or trustee of the Agency.

### **GC 9.23 Survival**

The following sections shall survive the nominal expiration or discharge of other Contract obligations, and the Agency may obtain any remedy under law, Contract or equity to enforce the obligations of the Contractor that survive the manufacturing, warranty and final payment periods:

- GC 6.2, Intellectual Property Warranty
- GC 7, Data Rights
- GC 9.1, Indemnification
- GC 9.9, Governing Law and Choice of Forum
- GC 9.11, Disputes
- GC 9.12, Maintenance of Records; Access by Agency; Right to Audit Records
- GC 9.13, Confidential Information
- SP 10.1, Contractor Safety Training
- SP 12.1, Parts Availability Guarantee

#### **GC 10. Understanding of Operating Conditions and Environment**

The Manufacturer shall carefully examine and become familiar with all Contract Documents, the local operating conditions applicable to the LRVs, the operating characteristics and specifications of any existing fleet, the Agency's current practices in the Operation and Maintenance (O&M) of its rail vehicle fleet, and other characteristics, conditions, and environments applicable to the Work. The Manufacturer acknowledges that it has taken all steps reasonably necessary to ascertain the nature of the Work, and that it has investigated and satisfied itself that it can comply with the Technical Specifications and all other requirements set forth in the Contract Documents. The Utah Transit Authority assumes no responsibility for any conclusions or interpretations made by the Manufacturer. Nor does the Agency assume responsibility for any understanding reached, unless that understanding, or representation is expressly stated in the Contract Documents or in a written clarification issued by the Agency.

#### **GC 11. Examination of Proposal and Contract Documents**

The submission of a Proposal constitutes an acknowledgment upon which the Agency may rely that the Proposer has thoroughly examined and is familiar with the RFP, including any work site identified in the RFP, and has reviewed and inspected all applicable statutes, regulations, ordinances, and resolutions addressing or relating to the goods and services to be provided hereunder and any third party contracts relating to this Project. The failure or neglect of a Proposer to receive or examine such documents, work sites, statutes, regulations, ordinances, or resolutions will in no way relieve the Proposer from any obligations with respect to the Proposer's Proposal or to any Contract awarded pursuant to this RFP. No reduction or modification in the Contractor's obligations will be allowed based upon a lack of knowledge or misunderstanding of this RFP, work sites, statutes, regulations, ordinances, or resolutions.

#### **SP 1. General**

##### **SP 1.1 Interpretation**

In the Contract Documents, where appropriate, the singular includes the plural, and vice versa.

References to statutes or regulations include all statutory or regulatory provisions consolidating, amending, or replacing the statute or regulation referred to.

The words "including," "includes," and "include" are to be deemed to be followed by the words "without limitation." Words such as "herein," "hereof," and "hereunder" refer to the entire document in which they are contained and not to any particular provision or section. Words not otherwise defined which have well-known technical or industry meanings are used in accordance with such recognized meanings. Words of any gender used herein include each other gender where appropriate.

References to persons include their respective permitted successors and assigns and, in the case of governmental persons, persons succeeding to their respective functions and capacities. Unless otherwise specified, lists contained in the Contract Documents defining the Project or the Work are not to be deemed all-inclusive.

**SP 1.2 Use of English**

All documents delivered by the Contractor shall be in English.

**SP 1.3 Computations of Periods**

References to “days” contained in the Contract Documents means calendar days unless otherwise specified, provided that if the date to perform any act or give any notice specified in the Contract Documents (including the last date for performance or provision of notice “within” a specified time period) falls on a non-working day, such act or notice may be timely performed on the next succeeding day which is a working day. Notwithstanding the foregoing, requirements contained in the Contract Documents relating to actions to be taken in the event of an emergency and other requirements for which it is clear that performance is intended to occur on a non-working day will be required to be performed as specified, even though the date in question may fall on a non-working day.

**SP 2. Sustainability**

The Agency recognizes that being sustainable (environmentally, economically and socially responsible) involves everyone, both internal and external to the Agency. The Agency expects its contractors to have their own sustainability policies and programs in place and to provide services in line with the principles established therein. Implementation of sustainable practices may include maximizing the use of environmentally and socially responsible materials and services, utilizing energy-efficient and non-polluting vehicles, equipment and processes, and ensuring employee awareness of sustainability initiatives.

**SP 3. Schedule****SP 3.1 Period of Performance and Delivery Schedule****SP 3.1.1 Period of Performance**

The period of performance, excluding warranty, is from the date of Notice to Proceed through Notice of Completion (as defined in SP 4.7, Final Completion). Time is of the essence in the Contract.

**Light Rail Vehicle Procurement: Schedule and  
Mandatory Milestones Milestone**

	<b>Dates</b>
Conditional acceptance of first car	No later than 09/17/2027
Conditional acceptance of cars one (1) to four (4)	At a nominal rate of two cars per month, no later than 11/15/2027
Conditional acceptance of the last (20th) (40th) car	No later than <b>06/26/2028 03/16/2029</b>
Contractual delivery of one-half of all spare parts	No later than 12/18/2026
Contractual delivery of remaining Spare Parts	No later than Conditional acceptance of first car
Completion of contractual training	No later than 28 months from NTP
Delivery of final draft of all manuals	No later than 05/14/2027
Contractual delivery of completed manuals	No later than 11/29/2027
Contractual delivery of special tools and test equipment	No later than Conditional acceptance of first car
Contractual delivery of all as-built drawings	No later than 12/04/2026

**SP 3.2 Progress Schedule and Progress Reports**

Within 90 days after Notice to Proceed (NTP), the Contractor shall furnish to the Agency for the Agency’s approval a detailed written progress schedule. During the entire term of Contract performance, the Contractor shall report to the Agency in writing at least monthly on the progress of performance. If any of the Contractor’s monthly reports indicates any potential delay in any of the critically dependent events identified on the schedule, the Contractor shall submit a detailed statement of action it intends to take to avoid the delay.

### **SP 3.2.1 Progress Schedule**

The progress schedule shall include a narrative introduction describing the approach to the project and schedule, fabrication, manufacturing and assembly plants and methods, shipping method, coding structure, other schedule systems used by the project and their relations to the critical path method (CPM) schedule. Activities shall be discrete items of Work that must be accomplished under the Contract and that when complete, produce definable, recognizable entities or stages within the project. The project schedule shall have all critical paths indicated, showing all major Work tasks, including but not limited to the following:

- Payment milestones
- Contractor and Subcontractor/Supplier submittals including review cycles
- Design review meetings
- Drawing packages requiring approval
- Major on-site and off-site inspections and acceptance tests
- Major steps of carbody fabrication
- Major subsystem deliveries
- Assembly milestones
- All progress payments
- Deliveries of the LRVs
- Conditional Acceptance and Final Acceptance of LRVs

The schedule shall show the project milestones in calendar days, with the NTP as the starting date and project activities with duration shown in working days. The project milestones and activities shall be logically connected with NTP as a start date and Final Completion as an end date. The CPM schedule report shall be time scaled, have a clearly marked critical path and include the following: activity identification number, activity description, original duration, remaining duration, percent complete, early and late start, total float, and activity area with bars.

The Contractor shall provide supplementary written information sufficient to describe the methods to be used and the resource constraints applied.

The Contractor shall revise and resubmit the precedence network diagram and Master Schedule when any of the following conditions occur:

- a. A change or delay significantly affects any specified intermediate milestone date or completion date or the sequence of activities by more than one month.
- b. The Contractor elects to change any sequence of activities affecting the critical path or to significantly change the previously approved work plan.
- c. It is the Agency's opinion that the status of the Work is such that the detailed network diagram and supporting analysis are no longer representative for planning and evaluation of the work.

### **SP 3.2.2 Monthly Progress Report**

The Contractor shall prepare a progress report each month for the Agency, starting with the first full month after NTP. The schedule update shall be due on the 10th of the following month. At the kickoff meeting, the Contractor shall present for the Agency approval a monthly progress report format. The Monthly Progress Report shall be based upon actual progress of the Work and shall include at a minimum:

- A summary of Work accomplished during the month, including actual completion dates and start dates;
- Description of any late schedule activities and workarounds needed to recoup schedule losses;
- Major Work activities planned for the following month, including estimated remaining durations for activities in progress and estimated start dates;
- Date and location for the forthcoming inspection and testing activities for the next three months, with the updates, if there are any, easily identifiable;
- An updated engineering change status report and description of any delays due to changes;
- Status of all Contractor and Subcontractor drawings;

- An updated project schedule;
- Status of correspondence; and
- Updated status on required Contract deliverables.

### **SP 3.3 Liquidated Damages (LDs)**

The Agency will sustain significant damages as a result of the Contractor's failure to complete the Contract Milestones listed within the time period stated in SP 3.1, Period of Performance and Delivery Schedule. These damages may include, but are not necessarily limited to, the following:

- Delays in completion and operation of the Agency's transit system.
- Increased costs of Contract Administration.
- Cost resulting from delays to interfacing Contractors
- Loss of revenue
- Loss of reputation and goodwill

The total amount for liquidated damages in this Section shall not exceed ten (10) percent of the Total Contract Price. The Agency may deduct the sum of liquidated damages from retention, progress payments due or to become due under the Contract.

The parties agree that liquidated damages shall be the sole and exclusive remedy for the issue they address.

#### **SP 3.3.1 Liquidated Damages for Late Delivery**

Because the actual amount of these damages is and will be difficult to accurately determine, the parties agree to the liquidated damages specified below.

##### **Milestones Amount Per Day**

LD1: Conditional acceptance of cars one (1) to four (4) no later than 11/15/2027, or as amended by approved schedule: \$4,000 per day per LRV.

LD2: Contractual Delivery of each production cars five (5) to twenty (20) forty (40) no later than 06/26/2028, or as amended by approved schedule: \$2,000 per day per LRV.

The Agency reserves the right to waive the liquidated damages for late completion where circumstances causing the late completion are clearly beyond the control of the Contractor or where it is in the interest of the Agency to do so. In addition, the Agency reserves the right to waive Liquidated Damages due to delays caused by damages in transit which are of a significant enough nature to preclude a car from either Conditional Acceptance or Final Acceptance. If the damage sustained is through no fault of the Contractor, then the Agency may waive the LDs for a reasonable period of time to enable the Contractor to undertake the repairs.

#### **SP 3.3.2 Liquidated Damages: Warranty**

The same payment for damages shall apply in the event that vehicles previously accepted by the Agency are out of service due to contractor-caused delays as described in WR 1.1.5, Extension of Warranty.

#### **SP 3.3.3 Excusable Delay**

The Contractor will not be assessed liquidated damages for late delivery and/or completion if the delay arises out of:

1. Failure to timely meet any of the requirements in SP 9.2 (Use of Agency Facilities)  
Suggested revised language, continued:
2. Failure to conditionally accept vehicle within a reasonable time when the Contractor has met the requirements for Conditional Acceptance listed in SP 6.7.1
3. Failure to release any vehicle for shipment within 7 calendar days of Contractor's shipment authorization
4. Failure to conduct a post-shipment inspection for shipping damages within 7 calendar days of arrival of vehicle at the designated delivery place

5. Delays caused by damages in transit that are of a significant enough nature to preclude a car from either Conditional Acceptance or Final Acceptance. If the damage sustained is through no fault of the Contractor, then the Agency shall waive the LDs for a reasonable period of time to enable the Contractor to undertake the repairs.
6. Causes that were beyond the control and without the fault or negligence of the Contractor, and that could not have been avoided by exercise of due diligence and care by the Contractor. Such causes may include but are not restricted to Force Majeure events as outlined in General Conditions Section 9.5.

In the event of a delay by the Agency or its Authorized Representative of more than 30 days, the Contractor is entitled to request an equitable adjustment of the Contract Price.

## **SP 4. Payment**

### **SP 4.1 Payment Terms/Procedures**

#### **SP 4.1.1 General**

The Agency shall pay and the Contractor shall accept the amounts set forth in the price schedule as full compensation for all costs and expenses of completing the Work in accordance with the Contract, including but not limited to all labor, equipment and material required, supplies, training, technical support, Special tools, spare parts, overhead, duties, expenses, storage and shipping, risks and obligations, taxes (as applicable), fees and profit, and any unforeseen costs.

The Contractor shall submit invoices to the Agency according to the milestone payment schedule set forth in SP 4.2, Milestone Payment Schedule. The Contractor shall not submit more than one invoice in any 30-calendar day period and each invoice may include any number and combination of milestone payments that are payable that period. Invoices need not be based on sequential milestones.

#### **Invoice Format**

In order to process the submitted invoices in timely manner, each invoice shall be in a format approved by the Agency, and shall include the following information:

1. Contractor Name
2. Contract number
3. Invoice Number
4. Invoice Date
5. Milestone(s) invoiced
6. Total invoice amount
7. The Contractor shall certify on each invoice that the total costs invoiced do not exceed the total milestone payment allowed.

#### **Invoicing and Payment Procedures**

The Agency will make payments to the Contractor for Work satisfactorily completed as set forth in the Contract Documents. To be considered for payment, an invoice must be in a form approved by the Agency's PM. Each invoice must set forth a specific description of the Work performed, deliverable(s) provided or other event(s) triggering entitlement to payment pursuant to the Payments Schedule. Each invoice must provide supporting documentation demonstrating the Contractor's entitlement to payment As described above.

All invoices must be approved by the Agency's PM.

Invoices meeting the requirements set forth in this Section SP 4.1.1 shall then be submitted to Accounts Payable at ap@rideuta.com for processing and payment.

The determination of whether the invoice is accurate and correct will be made solely by the Agency.

The Agency shall have the right to disapprove specific elements of each invoice provided that the Agency will not withhold its approval unreasonably. The Agency shall also have the right to offset (against payments) amounts reasonably reflecting the value of any claim which the Agency has against Contractor under the Contract. The Agency will provide the Contractor's Project Manager with notice of the reasons for which payment for any portions of the invoice was withheld.

No payment will constitute an acceptance of any Work that fails to comply with the Contract Documents.

#### **SP 4.1.2 Advance Payment**

The advance payments are not allowed by the Agency.

#### **SP 4.2 Milestone Payment Schedule**

Title to material included in any milestone payment request shall pass to the Agency upon payment by the Agency. Said title shall be free of all encumbrances. However, such transfer of title shall not relieve the Contractor of its responsibility for the furnishing, installation, fabrication or inclusion of said materials as a deliverable element of LRVs procured in accordance with the requirements of the Contract.

Contract Milestone Payments: Management, Engineering, Tooling, Testing and Mock-ups1

Milestone	Payment	Milestone Description
1	5%	Prove of Insurance and Bond
2	5%	Approval of Project schedule
3	10%	QPMP / PMP / Safety
4	3%	Approval of CDR
5	10%	Purchase of Raw Material
6	10%	Purchase of Subcontractors (14 mayor systems)
7	3%	Approval PDR
8	3%	Approval FDR
9	3%	Approval of FAI car-shell
10	10%	Authorization to ship welded car-shell (Prorated)
11	10%	Start commissioning (Prorated)
11	5%	Completion of vehicle qualification test
12	2%	Approval of Manuals & Training (1% each)
13	3%	One half of spare parts
14	3%	Contractual delivery of remaining spare parts
15	3%	Successful System Compatibility testing
16	5%	Conditional acceptance (Prorated)
17	5%	Final acceptance (Prorated)
18	2%	Successful Completion of Reliability Demonstration (RD) from 2 months after the acceptance of the first production LRV to the end of the warranty period for the final accepted LRC of the vehicle base order

1. Payment is expressed in percentage of individual LRV unit price. "Successful completion" means specific written approval for that Milestone by the Agency.

#### **SP 4.3 Prompt Payments**

##### **SP 4.3.1 Agency Prompt Payment**

The Agency will pay all undisputed amounts of each correct invoice within thirty (30) calendar days after receipt by the Accounts Payable (AP).

#### **SP 4.3.2 Subcontractor Prompt Payment**

The Contractor shall pay any Subcontractor approved by the Agency for Work that has been satisfactorily performed no later than ten (30) days from the date of the Contractor's receipt of milestone payments by the Agency.

The Contractor or Subcontractor shall return all monies withheld in retention from all Subcontractors within twenty (20) days after receiving payment for Work satisfactorily completed and accepted including incremental acceptances of portions of the Contract Work by the Agency. Any delay or postponement of payment may take place only for good cause and with the Agency's prior written approval. This clause applies to both DBE and non-DBE Subcontractors.

In the event the Contractor does not make progress payments or release retentions to the Subcontractors in accordance with the time periods in this section, the Contractor may be subject to other penalties as outlined in the Contract.

#### **SP 4.4 Units of Currency/Currency Adjustment**

All Contractor invoices for payment shall be accounted in U.S. dollars, and all Agency payments to the Contractor shall be in U.S. dollars.

There shall be no adjustments to Contract price for currency fluctuations through the term of the Contract, except for option car orders as described in SP 8.2, Prices of Optional Light Rail Vehicles (Including Escalation).

#### **SP 4.5 Economic Price Adjustment (Reserved)**

#### **SP 4.6 Payment of Taxes**

Price Proposals are to be quoted exclusive of federal excise taxes and Utah sales, use and transaction taxes. The Agency will furnish a federal excise tax exemption certificate, if applicable, and pay applicable Utah sales, use and transaction taxes.

All non-taxable charges, including all labor and shipping costs, shall be clearly separated from other charges on all invoices presented by the Contractor for payment.

#### **SP 4.7 Final Completion**

The Contractor shall complete and shall deliver to the Agency all designated portions of the Work and all parts and requirements within the number of days set forth in the Contract milestones as defined in SP 3.1.1, Period of Performance. When all the Work has been performed and delivered in the quantities designated, the Work will be inspected by the Agency's designated representative.

If the Agency's representative finds that the Work has been completed in all aspects, in accordance with the Contract milestones as defined in SP 3.1.1, and the Contract Documents including but not limited to the following, then the Agency will issue a Notice of Completion and make payment in accordance with the payment provisions.

1. Correction of all fleet defects;
2. Completion of previously identified warranty work;
3. Delivered written release of liens from all Subcontractors and Suppliers; and
4. Provided all training, technical support, spare parts, Special Tools, car history books, manuals, and other items required under the Contract Documents.

#### **SP 4.8 Final Payment and Claims**

Before applying for final payment, the Contractor shall complete all Work, and shall correct any deficiencies in the Work and any Work rejected by the Agency as described in Section SP 4.7. The invoice for final payment must be subject to the review and concurrence of the Agency's PM.

Within thirty (30) days after the date of Notice of Completion issued by the Agency, the Contractor shall prepare and present to the Agency's Representative a Proposed Final Invoice in writing. The Proposed Final Invoice shall show the proposed total amount of compensation under the Contract, including therein an itemization of said amount segregated as to Contract item quantities, and other bases for payment. It shall also show all deductions made or to

be made for prior payments and amounts to be kept or retained under the Acceptance of the final payment by the Contractor will constitute a full and complete release of all obligations of the Agency under the Contract Documents, excepting only Claims by the Contractor that have been previously made in writing and identified in the final invoice (and accepted by the Agency's PM and noted in the final payment correspondence) as unsettled at the time of Final Completion.

## **SP 5. Performance Security/Insurance**

### **SP 5.1 Performance Security Requirements**

The Contractor shall furnish, at its own expense, a performance guarantee in the form of one of the following:

1. A letter of credit in the amount of 30 percent of the total Contract amount in a form approved by the Agency. The security should be an irrevocable letter of credit issued by a bank with an underlying rating of AA- or better by Standard & Poor's or Aa3 or better by Moody's Investor Service.
2. A performance bond from a surety duly licensed to do business in the State of Utah having a financial rating from A.M. Best Company of "A VIII" or better, which shall increase and decrease as each of the following milestones are met:

- a. 1% of the Total Contract Price at Notice to Proceed
- b. Increase to 25% of the Total Contract Price at Preliminary Design Review
- c. Increase to 30% of the Total Contract Price at Final Design Review
- d. Decrease by 2% of Total Contract Price as each LRV reaches Conditional Acceptance for LRVs 1-12
- e. Decrease by 1% of Total Contract Price as each LRV reaches Conditional Acceptance for LRV 13
- f. Decrease to 0% of Total Contract Price after completion of warranty phase for all LRVs

When options in the Contract are exercised the Agency will require a Performance Security which follows the above schedule in half the values listed (increasing to a total of 25 percent of the total option Contract price). The Performance Security shall be reduced pro rata according to the schedule above.

In the case that a security guarantor becomes insolvent, its license is revoked or suspended, or its rating is downgraded, the Contractor shall notify the Agency promptly and shall substitute other and sufficient performance security. If the Contractor fails to do so, such failure may be an event of default at the sole discretion of the Agency. The Contractor shall deliver the performance bond or Letter of Credit to the Agency within ten (10) days after it has been notified by the Agency of award. The corresponding increase or decrease in bond shall also be accomplished within 10 days of approval of each milestone listed.

## **SP 5.2 Insurance**

### **SP 5.2.1 Evidence of Coverage**

Contractor shall deliver to the Agency, within ten (10) days after receiving Notice of Award of the Contract, an ACORD form (Certificate of Liability Insurance) evidencing the required insurance coverage. A Notice to Proceed will not be issued until all required insurance documentation is in place.

### **SP 5.2.2 Continuation or Change in Coverage:**

The Contractor shall maintain in effect during the term of the Contract, including any warranty period, at its own expense, at least the coverage and limits of insurance set forth below. Prior to the cancellation, modification or expiration of any insurance during the Contract performance, the Contractor shall furnish evidence of such to the Agency's designated representative.

### **SP 5.2.3 Endorsements**

The general liability and automobile liability policies are to contain, or be endorsed to contain, the following provisions:

1. The Agency, its subsidiaries, officials, representatives and employees are additional insureds with respects to the Contractor's operations, products and completed operations in connection with the Contract.
2. provisions of the Contract, together with any and all potential claims that have not yet been resolved or a statement that no claims will be filed. All prior invoices and payments shall be subject to correction in the Proposed Final Invoice. No claim for which a Notice of Potential Claim is required will be considered unless the Contractor has strictly complied with the notice provisions in GC 9.10.1, Notice of Intent to Claim.
3. Stipulation that the Insurance is primary insurance and that no insurance or self-insurance of the Agency will be called upon to contribute to a loss. Any insurance or self-insurance maintained by the Agency shall be excess of the Contractor's insurance and shall not contribute with it.
3. Coverage applicable to Products and Completed Operations as required in this Section shall be maintained for a period of three (3) years after the completion of all Work performed under the Contract.

**Required insurance.** Statutory Workers Compensation and Employers Liability insurance and/or qualified self-insurance program in the amount of \$1,000,000.00 covering Supplier's employees while on Agency property.

**Commercial general liability insurance.** Bodily Injury and Property Damage, including Contractual Liability covering the indemnification contained herein, \$10,000,000 combined single limits per occurrence, \$10,000,000 aggregate, where applicable. The Commercial General Liability Insurance policy shall not contain "X, C and U" (explosion, collapse, and underground) exclusions.

**Product liability.** \$5,000,000 per occurrence, \$10,000,000 annual aggregate for a period of five years after acceptance of the last LRV delivered under the Contract.

**Automobile liability insurance.** Bodily Injury and Property Damage, \$1,000,000 combined single limits per occurrence.

## **SP 6. Shipping, Delivery and Acceptance**

### **SP 6.1 Shipment Authorization**

Each car shipped from the Contractor's plant to the Agency shall be complete and in compliance with all provisions of the Contract, except as may be noted below. Prior to shipment of each car, the Contractor shall obtain a shipping release (see Section 10, Appendix F) signed by the Agency's Representative or designee. The shipping release shall certify that the car is complete, has passed all pre-shipment tests described in the Technical Specification and complies with approved Contractor's drawings, samples, is accompanied by an up-to-date Car History Book, and other agreed-upon conditions for shipping. To accommodate any and all tests that may be necessary, the Contractor shall provide a minimum of ten (10) days' notice to the Agency's Representative prior to each shipment. The Parties may mutually agree to permit shipment of a car with minor Defects or open items approved by the Agency's Representative that will not affect testing and can easily be corrected after shipment. All known Defects and open items shall be submitted by the Contractor with the request for shipping release. The shipping release shall not be construed nor inferred to constitute car acceptance by the Agency.

### **SP 6.2 Shipment**

All shipments shall be packaged and packed in a manner to ensure the integrity of product during transportation, handling and temporary storage. Due regard shall be given to protection from loss and pilferage, physical damage, and the effect of the elements and environmental conditions. The Agency reserves the right to review and approve a shipping plan.

If shipped by sea, every effort will be made to provide below-deck shipping and storage for all cars or car components to provide enclosed protection against damage from handling and from exposure to the marine environment and adjacent shipments.

During shipment, each car shall be equipped with an impact recorder provided by the Contractor and approved by the Agency. The recorder shall record all handling impacts. All records shall become the property of the Agency and shall be appended to the Car History Book. The Contractor shall require shippers to log and record any incidents of damage or potential damage to the LRVs and LRV components, and of interruption of shipments. The Contractor shall report such shipment incidents to the Agency promptly upon the Contractor's receipt of such information, describing the nature of the shipment damage, potential damage or interruption, and the actions taken and to be taken to complete the shipment and repair any damage.

The Contractor shall assume full responsibility for determining the haul routes to be utilized and confirming that the jurisdiction through which its haul routes will pass will permit the hauling operations with respect to laden weights, type of vehicle, frequency and dimension of loads, required traffic control, and hours of operation. All necessary permits, licenses or bonds shall be obtained and paid for by the Contractor.

#### **SP 6.3 Evidence of Delivery and Shipping Destination (FOB point)**

Delivery of the LRVs shall be freight on board (FOB) destination. Contractor is responsible for all delivery costs, including risk of loss, to the Agency's final destination on board the carrier's conveyance to the Agency's location specified below.

A receipt signed by the Agency's Representative upon delivery of the car does not constitute the Agency's acceptance of either the condition of the car or its conformance with the terms of the Contract. Risk of Loss and Title to material shall not pass to the Agency until delivery, inspection, and written acceptance have occurred.

Delivery of all other Contract deliverables shall be FOB destination. Contractor is responsible for all delivery costs, including risk of loss, to the Agency's final destination on board the carrier's conveyance to the location specified below.

Delivery shall be evidenced by signed receipt by the Agency's designated Representative, at the following point of delivery:

Jordan Rail Service Center  
2264 South 900 West  
Salt Lake City, UT 84119  
Midvale Rail Service Center  
613 West 6960 South  
Midvale, UT 84047

#### **SP 6.4 Unloading**

The Contractor shall be responsible for the unloading of cars, test equipment and spare parts at the designated delivery point as instructed by the Agency.

After arrival at the Agency's facility, each car shall be examined jointly by Representatives of the Agency and the Contractor for shipping damage. The Agency then will issue a receiving notice to the Contractor, which will acknowledge receipt of the car and describe any missing parts or visible damage that may have occurred during shipment.

#### **SP 6.5 Acceptance Testing**

The Agency will conduct acceptance tests on each delivered LRV. These tests shall be completed within fifteen (15) days after delivery and shall be conducted in accordance with approved written Test Plans consistent with the Technical Specifications. The purpose of these tests is to identify Defects that have

become apparent between the time of LRV release and delivery to the Agency. The acceptance tests shall include visual inspection and car operations. No acceptance test shall apply criteria that are different from the criteria consistent with the Technical Specifications.

The Agency shall record details of all Defects on the appropriate test forms and shall notify the Contractor of acceptance or non-acceptance of each car after completion of the tests. The Defects detected during these tests shall be repaired according to procedures defined in SP 6.7.3, Non-Acceptance and Repairs after Non-Acceptance.

## **SP 6.6 Delivery of Special Tools, Diagnostic Equipment, Spare Parts and Manuals**

Spare parts shall be of production configuration and successfully tested. Delivery shall be completed in accordance with the Milestone Schedule.

Acceptance of spare parts will be deemed to have occurred after delivery, successful completion of Agency receiving inspection, relevant functional testing, and written notification of Acceptance by the Agency Representative.

Delivery of special tools and diagnostic equipment shall be completed in accordance with the Milestone Schedule. Delivery of manuals shall be made in two stages with interim deliverables likely to be required to ensure that manuals remain up to date with vehicle production and delivery. The initial delivery of draft manuals is shown in the milestone schedule and shall consist of full sets of all manuals in the quantities indicated. The final delivery shall consist of the complete updated manuals and the electronic media in the quantities indicated. Acceptance of the manuals will be deemed to have occurred after delivery of the final manuals in the quantities indicated and upon written notification of acceptance by the Agency Representative.

The Agency reserves the right to refuse delivery of cars if spare parts, special tools, test equipment or manuals are not delivered in accordance with the Milestone Schedule.

## **SP 6.7 Conditional Acceptance, Final Acceptance and Non-Acceptance**

### **SP 6.7.1 Conditional Acceptance**

Conditional Acceptance of a vehicle is defined as a completely assembled car on the Agency property subject to the provisions outlined below. The vehicle shall have all requirements successfully verified consistent with TS 21, Requirements Management, Design Validation and Verification, and be ready to run in revenue service except for minor Defects that require corrective action but will not materially affect revenue service operations. Conditional Acceptance requires that all documentation for the vehicle, including the Car History Book, per TS 23.3.3, has been delivered to and accepted by the Agency.

The Contractor shall submit a corrective action program and schedule for each Conditionally Accepted vehicle for the Agency's approval. If the Contractor fails to complete the program in accordance with the approved schedule, then repairs to the cars may be made in accordance with the procedures outlined in WR 2, Repair Procedures.

The Agency will issue a Vehicle Conditional Acceptance and Inspection form to the Contractor for each vehicle when the vehicle meets the conditions specified in this section. (See Section 10, Appendix F, Form 4 for a sample.)

### **SP 6.7.2 Final Acceptance**

The Agency will issue a Vehicle Final Acceptance and Certificate of Title to the Contractor for each vehicle when the following have been achieved (see Section 10, Appendix F, Form 5 for a sample):

1. The car has been completed in full accordance to the Technical Specifications, including all testing, approved engineering submittals and Change Orders.
2. The car has had all items of corrective action identified at the Conditionally Accepted stage completed.
3. All required documentation for the car has been received and approved by the Agency.

### **SP 6.7.3 Non-Acceptance and Repairs after Non-Acceptance**

If a car fails any inspection or test, the Agency shall provide the Contractor with Notice of Non-Acceptance. Such notice shall be effective until Contractor corrects the Deficiencies, and the Agency accepts the car after retest and inspection. The Agency, at its option, may require the Contractor to return the LRV to the Contractor's production or assembly plant for corrective work necessary for the LRV to conform to the Contract Documents.

**1. Responsibility:** The Contractor, or its Authorized Representative, shall at all times be responsible for correction of the Deficiencies.

**2. Work by the Agency:** The Contractor may request the Agency to perform limited Work related to correction of Deficiencies. Such Work shall be subject to full reimbursement of the Agency's costs by the Contractor. Even if the

Agency agrees to perform such limited Work, it shall remain the sole obligation of the Contractor to ensure proper correction of the Deficiencies. The Agency's responsibility will be strictly limited to competently performing the limited Work designated by the Contractor in accordance with the Contractor's instructions.

**3. Time for correction:** If a car is delivered but not Accepted because of a Deficiency, then the Agency shall issue a Notice of Non-Acceptance, and the Contractor shall have two days to correct the Deficiency or to request, in writing, a request for an extension of time including a definition of the problem, solution and a time line to correct the Deficiency.

## **SP 7. Project Management**

### **SP 7.1 Contractor's Personnel**

#### **SP 7.1.1 Contractor's Project Manager**

During performance of the Contract, the Contractor shall assign a competent Project Manager who shall have full authority to act on behalf of the Contractor and all of the Contractor's Subcontractors at all tiers in all matters within the scope of the Contract. The Contractor shall furnish the Agency with a written confirmation of its Project Manager's authority to act for the Contractor. The Contractor's Project Manager shall have experience acceptable to the Agency. The Project Manager must be thoroughly familiar with all procedures involved in LRV production. With Notice to Proceed, the candidate submitted with the Proposer's Offer shall become the Contractor's Project Manager. If for any reason, and at any time, the candidate submitted by the Contractor is not acceptable to the Agency, or becomes unacceptable, the issue will be referred to the Contractor's senior management. If the Contractor wishes to replace its Project Manager at any time during the performance of the Contract, it first shall submit the résumé of its new candidate to the Agency for Agency approval and shall not make the substitution without Agency approval.

#### **SP 7.1.2 Other Key Personnel**

The Agency may also identify during performance of the Contract other key personnel, who will be subject to the same requirements and restrictions as set forth above for the Project Manager.

### **SP 7.2 Subcontractors and Suppliers**

The Contractor shall be fully responsible and liable for the products and actions of all Subcontractors and Suppliers at any tier.

No subcontract will relieve the Contractor of any of the Contractor's obligations or liabilities under the Contract Documents. The Contractor shall be fully responsible and liable for the acts or omissions of all Subcontractors and Suppliers. The Contractor shall have sole responsibility for managing and coordinating the operations of its Subcontractors and Suppliers, including the settlement of disputes with or among them.

The Contractor shall submit to the Agency a list of all proposed Subcontractors and Suppliers with whom the Contractor has entered or will enter a subcontract for a Major Subsystem (including those identified in the Proposal forms, and hereafter referred to as "Major Subsystem Suppliers"). The list must identify the name of each Major Subcontractor or Supplier and the portion of the Work to be performed by each Major Subcontractor or Supplier. All Work performed for the Contractor by any Major Subsystem Supplier must be executed pursuant to an appropriate agreement between the Contractor and the Subcontractor or Supplier (or between Subcontractors and Suppliers and lower tier Subcontractors and Suppliers). Each such subcontract must contain the following language:

1. Provisions that preserve, protect, and guarantee the rights of the Agency under the Contract Documents with respect to the Work to be performed by the Subcontractor or Supplier;
2. Provisions that require that such portions of the Work be performed in accordance with the requirements of the Contract Documents;

3. Provisions that require that all requests for extensions of time, additional compensation for changed work, or otherwise be submitted to the Contractor in a manner consistent with the Contractor's corresponding obligations to the Agency;
4. A payment clause that obligates the Subcontractor or Supplier to pay any lower tier Subcontractor or Supplier for satisfactory performance under its subcontract within 30 calendar days of the Subcontractor or Supplier's receipt of payments attributable to a lower tier Subcontractor's work; and
5. Provisions that ensure that the required federal clauses (as set forth in Section 5 Federal Clauses) are included.

Any new, additional or substituted major subsystem Suppliers proposed to be used by the Contractor after the award shall be subject to Agency's prior written approval. Any proposed change involving a DBE Subcontractor or Supplier must conform to the requirements of the Agency's DBE Program. No increase in the Contract Price(s) shall be allowed for any such substitution.

The Contractor shall not make any substitution for any major subsystem Supplier or for any person or for any organization that has been previously accepted by the Agency as part of the Contract unless and until requested to do so by the Agency and/or unless such substitution is expressly approved by the Agency in writing. A major subsystem Supplier is defined as an individual or organization that supplies the

### **SP 7.3 Agency's Personnel**

#### **SP 7.3.1 Agency Project Manager**

The Agency will designate a Project Manager to be the Agency's representative for the Work from the Notice to Proceed (NTP) until the expiration of all warranties. The Agency's Project Manager (the Agency's PM) shall be the formal contact between the Agency and the Contractor. The Agency's PM shall be responsible for, on behalf of the Agency, all matters relating to the Contract, except changes to the Contract that involve price or time. The Contractor shall not rely on representations or orders of any other Agency representative, unless so authorized by the Project Manager.

The Agency's PM will act on behalf of the Agency to the extent provided in the Contract Documents. The Agency's PM will, when required by the progress of the Work, render such interpretations as are necessary for the proper execution of the Work. The Agency's PM will review, comment upon, accept, and/or reject all Contractor Submittals as set forth in the Contract Documents. Any review, acceptance, or approval by the Agency's PM must be construed merely to mean that the Agency's PM was unaware of any reason, at the time of review, to object to the Contractor Submittal. No acceptance by the Agency's PM of any deliverable will relieve the Contractor of the Contractor's responsibilities under the Contract Documents or impose any duty or liability on the Agency's PM or the Agency.

The Agency's Project Manager is hereby designated to be Sharanjit Saini (ssaini@rideuta.com).

#### **SP 7.3.2 Agency's Inspectors**

In addition to the Agency's PM, the Agency will designate and utilize one or more inspectors who will be representatives of the Agency and who will have access to the Work at all times. The Agency's inspectors must be granted ongoing access to the Contractor's engineering and design facility, the Contractor's manufacturing facility, and the Contractor's assembly facility as necessary to monitor the performance of the Work. At the Contractor's facility, the Agency's inspectors shall be provided with a desk, phone, filing cabinet and a connection to the internet, together with access to a copy and fax machine. The Agency shall provide its inspectors with a personal computer, printer and internet service, at the Agency's cost. Contractor will provide the Agency and its inspectors copies of any and all documentation, plans, "as-built" drawings and control documentation, and other information related to the Work. The Agency's inspectors will be utilized solely for the Agency's benefit and are not intended as a source of advice for the Contractor. The Agency's inspectors have the authority to reject Work that is not in conformance

with the Contract Documents. The Agency's inspectors do not have authority to authorize any Change Orders, to waive provisions of the Contract, or to order extra Work.

#### **SP 7.4 Project Meetings**

The Agency's Project Manager will schedule and preside over pre-production, periodic and special meetings throughout the progress of the Work. Agendas for the meetings may include, but are not necessarily limited to, discussions of in-plant observations, problems, conflicts, production schedules, delivery schedules, Supplier fabrication, quality standards, design review, Contract modifications, and any other topics that the Agency's Project Manager determines to be relevant to the project. The location for project meetings will be mutually agreed upon by the Agency and Contractor. o Subcontractor or Supplier will be recognized as having contractual privity with the Agency. A dispute between the Contractor and any Subcontractor or Supplier relating to the amount or entitlement of a Subcontractor or Supplier to a payment does not constitute a dispute to which the Agency is a party. The Agency will not be included as a party in any administrative or judicial proceeding involving such a dispute.

#### **SP 7.5 Pre-Award and Post-Delivery Buy America Certification**

The Agency is required by 49 CFR 663 to certify to FTA that a pre-award and post-delivery audit has been performed and that compliance with Buy America requirements has been verified. The post-delivery review must be completed before a rail vehicle title is transferred to the Agency, or before a rail vehicle is placed into revenue service, whichever is first. The review period begins when the Agency signs a formal Contract with the Contractor and ends before title transfer or use in service.

The Contractor shall provide cost information of sufficient detail to allow an auditor to determine that federal Buy America requirements are met. The cost information shall be submitted by the Contractor and by the Contractor's subcontractors directly to a representative designated by the Agency. The cost information, subject to state law, will be kept confidential to the greatest extent possible.

#### **SP 7.6 Ownership and Use of Agency Documents**

All drawings, specifications, and copies thereof furnished by the Agency shall remain the property of the Agency. They are to be used only with respect to the Contract. With the exception of one Contract set for each party to the Contract, those documents are to be returned (or suitably accounted for) to the Agency upon request at the completion of the Work.

#### **SP 7.7 Review of Drawings, Data and Designs**

The Contractor shall submit for review and acceptance by the Agency's PM, all Contractor Submittals required by the Contract Documents and such other Contractor Submittals as may be requested by the Agency's PM from time to time. The Contractor Submittals must be sufficiently detailed to enable Agency's PM to determine with a high degree of confidence that the Contractor will be able to furnish the LRVs in the following manner:

1. In compliance with the Contract Documents and all applicable legal requirements and industry standards;
2. Suitably for the Agency's operations, maintenance, and safety practices; and
3. Suitably for the Agency's operating environment.

The review of Contractor Submittals by the Agency does not relieve the Contractor of responsibility for the quality and conformance of the Work with the requirements of the Contract Documents.

Contractor Submittals delivered by the Contractor for review which contain variations, exceptions, or other changes to the requirements of the Contract Documents must be accompanied by an explanation detailing the justification for the variation, exception, or other change and further accompanied by a Change Request. Contractor Submittals by themselves will not be recognized by the Agency's PM as valid instruments for request and acceptance of changes to the Contract Documents.

The Agency's PM will return submitted Contractor Submittals to the Contractor within the time periods and with the notations contemplated in the Technical Specifications.

Engineering conferences may be conducted for the purpose of reviewing designs, establishing baseline configurations, and answering questions raised by the Contractor, Subcontractors, or Suppliers. Engineering conferences will be conducted at facilities suitable for the purpose (including Subcontractor and Supplier plants) as recommended by the Contractor and agreed by the Agency's PM. All reviews of drawings, data and designs outlined in Section 6 Technical Specifications shall be completed by the Contractor and the Agency within thirty (30) days, as described in the Contract.

## **SP 7.8 Partnering**

### **SP 7.8.1 Agency Partnering Policy**

The Agency doesn't currently have a Partnering Policy but Contractor is encouraged to work with Agency as a partner,

- To avoid confrontation and litigation among parties;
- To reach a mutual understanding on how the Work is to be conducted; and
- To establish an atmosphere of trust and communication.

### **SP 7.8.2 Partnering Goals (Reserved)**

### **SP 7.8.3 Contract Rights (Reserved)**

### **SP 7.8.4 Allowance (Reserved)**

### **SP 7.8.5 Subsupplier Participation in Partnering (Reserved)**

## **SP 7.9 Value Engineering**

The Contractor is encouraged to develop, prepare and submit value engineering change proposals (VECPs) voluntarily. Provided the VECP is accepted by UTA as being innovative, independent, and useful, the Contractor shall share equally in any instant net Contract savings realized from accepted VECPs.

Accepted VECPs will be incorporated into the Contract as Change Orders.

## **SP 8. Options**

### **SP 8.1 Options for Additional Light Rail Vehicles**

The Contractor hereby grants the Agency and any permissible assignee options ("Options") to purchase up to **60** additional vehicles ("Option Vehicles"). The Options shall be valid for a period of seven years from the effective date of the Contract. Option vehicles may be ordered in any length originally proposed by Contractor, and shall be priced in accordance with the Schedule of Prices and as outlined in SP 8.2 below. There shall be no minimum order quantity for any option exercised prior to the baseline scheduled delivery date of the middle car in the base order. Any option exercised after the baseline scheduled delivery date of the middle car in the base order shall be subject to a minimum order quantity agreed to by the Contractor and the Agency/Assignee. The Agency may exercise or assign some or all of the options for additional light rail vehicles at its sole and absolute discretion. The Agency/Assignee and the Contractor will mutually establish the schedule for the options milestone payments per SP 8.3, Milestone Payments for Optional Light Rail Vehicles. Absent a mutual agreement of such schedule within 30 days, the Agency will establish the schedule within sixty (60) days.

### **SP 8.2 Prices of Optional Light Rail Vehicles (Including Escalation)**

The price for the option items listed in the Schedule of Prices shall be subject to a one-time adjustment (either up or down) at the time the option is awarded due to two price factors: Manufacturing Escalation (70 percent) and

Currency Exchange Rate (30 percent). No adjustment will be made if the option is exercised within one year of Contract award. The base index period shall be the date of Contract award. For all adjustments, the percentage change shall be rounded to the nearest hundredth of a percentage point and the line item prices shall be rounded to the nearest dollar.

### **SP 8.2.1 Manufacturing Escalation**

Seventy (70) percent of the price for the option item shall be adjusted due to percentage adjustment in the applicable Producer Price Index (PPI) as described below.

1. Manufacturing escalation adjustment index data source: United States Department of Labor, Bureau of Labor Statistics Producer Price Index Industry, Data Series ID: PCU 336510 Industry: Railroad Rolling Stock Manufacturing, Product: Railroad Rolling Stock Manufacturing.

Should PCU 336510, Railroad Rolling Stock Manufacturing, be discontinued, then the following index shall be used: United States Department of Labor, Bureau of Labor Statistics Producer Price Index Industry, Data Series ID: PCUOMFG-OMFG, Industry: Total Manufacturing Industries, Product: Total Manufacturing Industries.

The BLS PPI may be found at <http://www.bls.gov/ppi/>. Under PPI Databases, click on the “One Screen Data Search” for Industry Data, and a new browser window will open (make sure your browser’s pop-up blocker is disabled). Find the appropriate higher-level code number in Block 1. Click on the appropriate code and the code, and lower hierarchical codes should be listed in Block 2. Click on the correct code in Block 2, then on “Add to Your Selection” in Block 3. Then click on “GET DATA” in Block 3, and a new window should open with the index table. (“OMFG” is the second from the bottom of the list).

The final index data shall be used for the final price adjustment; however, preliminary index data (P) may be used for interim partial progress payment purposes. All indexes shall not be seasonally adjusted if applicable. The calculations of price adjustments shall always use the latest version of the applicable index.

The percentage change is calculated as follows: The final index value of the PPI for the option month period minus the PPI index value for the award period, divided by the PPI index value for the award period, times 100 (for more information see “Frequently Asked Questions” and “How is an index interpreted?” on the BLS/PPI website). The following is for illustrative purposes only:

For example, if the award date = December 2004, index = 144.2

If the option date = December 2006, index = 163.0

$163.0 - 144.2 = 18.8$

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$18.8/144.2 = 0.1303744$

$0.1303744 \times 100 = 13.04$  percent

### **SP 8.2.2 Currency Exchange Rate**

Thirty (30) percent of the option price shall be adjusted due to the change in the currency exchange rate of the U.S. dollar to the currency of the LRV Contractor. The daily closing prices shall be used.

1. The currency exchange rate data source shall be The Wall Street Journal.

The percentage change is calculated as follows: The average of the exchange rate for the month preceding the option month minus the average exchange rate for the award month, divided by the average exchange rate for the award month, times 100. The following is for illustrative purposes only:

For example if the award date = December 2004, average dollar exchange = 1.1234

If the option date = December 2006, average dollar exchange = 1.2345

$1.2345 - 1.1234 = 0.1111$

$$0.1111/1.1234 = 0.0988962$$

$$0.0988962 \times 100 = 9.89 \text{ percent}$$

### SP 8.3 Milestone Payments for Optional Light Rail Vehicles

Milestone payments for the option rail vehicles and associated deliverables will be made upon satisfactory completion and acceptance of each milestone in accordance with the milestone allocation percentages listed below:

Option for **60** additional cars

Payment	Milestone Description
30.00%	Placement of Subcontracts 14 vehicle systems
30.00%	Raw Materials Purchase
15.00% (Prorated)	Release for shipment from manufacturer's facility
20.00% (Prorated)	Conditional acceptance of each LRV
5% (Prorated)	Final Acceptance of Each Vehicle

1. Payment is expressed in percentage of individual LRV unit price. "Successful completion" means specific written approval for that Milestone by the Agency.

### SP 8.4 Options for Additional Spare Parts, Tools and Materials

At the option of the Agency, the Contractor shall provide additional spare parts, special tools, diagnostic test equipment and manuals, drawings, training and training materials, illustrated parts catalog and publications to be used for the base LRV order. The pricing for the additional spare parts, special tools, diagnostic test equipment and manuals, drawings, training and training materials, illustrated parts catalog and publications shall be as set forth in the Schedule of Prices. Additional spare parts, special tools and diagnostic test equipment may be identified during the design of the LRV. The Contractor shall provide a listing of the additional recommended spare parts, special tools and diagnostic test equipment when the design of the first LRV is completed.

The Agency shall order additional quantities of these items by written notice to the Contractor. An option to order additional items to be delivered with the base LRV order may be exercised at any time by the Agency up to the date of delivery of the last car purchased under the Contract. The notice shall specify the quantity of additional materials being ordered. The Agency may place one or more such orders for additional materials, or none.

Additional items ordered under this provision shall be delivered not more than eighteen (18) months after exercising of any option order.

Delivery schedule for the additional spare parts, special tools and diagnostic test equipment being ordered as a part of the base LRV Contract or as a part of an option order for LRVs shall be as mutually agreed upon by the Contractor and the Agency. An Assignee shall have the same rights as specified above for the items described.

### SP 8.5 Prices for Additional Spare Parts, Tools and Materials

Prices of any option additional spare parts, special tools, diagnostic test equipment and manuals, drawings, training and training materials, illustrated parts catalog and publications shall be at the prices set forth in the Schedule of Prices and such prices will be in subject to provisions set forth in Section 8.2, Prices of Optional Light Rail Vehicles.

### SP 8.6 Milestone Payments for Additional Spare Parts, Tools and Materials

Payments for optional additional spare parts, special tools, diagnostic test equipment and manuals, drawings, training and training materials, illustrated parts catalog and publications shall be made in accordance with the milestone payment terms in the base order.

### SP 8.7 Assignability of Options

If the Agency does not exercise all the option(s) as listed in SP 8.1, Options for Additional Light Rail Vehicles, then the Agency reserves the right to assign the option(s) to other public transportation agencies.

## **SP 9. Testing**

### **SP 9.1 General**

The Contractor shall prepare an Inspection and Test Plan (“Test Plan”) consistent with Section 6: Technical Specifications for review by the Project Manager. The Test Plan shall be forwarded to the Project Manager as soon as practicable. Such review of the Test Plan by the Project Manager does not in any way relieve the Contractor of responsibility for the adequacy of the inspection and testing of the Work in accordance with the Contract Documents.

### **SP 9.2 Use of Agency Facilities**

With the exception of the items listed below, the Contractor is responsible for providing all necessary personnel, supplies, and tools for the commissioning of LRVs at the Agency's facilities. Additionally, the Contractor must supply all equipment and fulfill other pre-delivery requirements for the cars that are not provided by the Agency. However, any fixtures, including cranes, pits, etc. at the Agency's facilities will be available for Contractor's use

The Agency shall make car operating personnel and access to yard and mainline tracks of the Agency's light rail system available for the Contractor's post-shipment car testing as specified in the Test Plan and the Technical Specifications. In addition, the Agency will provide the following:

- Office space for 3 people,
- 500 square feet of tool storage,
- 1000 square feet of material storage,
- Parking for a minimum of three vehicles,
- High speed Wi-Fi, and
- 40 hours per week test track access for type testing

Failure to meet, or delay in meeting, the site and track requirements of Contractor set forth above and in the Test Plan and Technical Specifications will result in an excusable delay of any testing-related or testing-dependent Milestones, and no liquidated damages shall attach. In addition, in the event of a delay by the Agency or its Authorized Representative of more than 30 days, the Contractor is entitled to request an equitable adjustment of the Contract Price. The Contractor shall provide the Agency's Project Manager with a minimum of three (3) days' notice of the scheduled date and time of each car post-shipment test, so that the Agency's Project Manager or designee may witness each such test.

The Contractor shall cooperate with the Agency in scheduling and coordinating the Contractor's Work on the Agency's property with the Work and operations of the Agency.

### **SP 9.2.1 Care of Premises**

At all times the Contractor shall maintain its premises on the Agency property in a neat and orderly condition. Upon completion of the entire project, the Contractor shall remove all temporary buildings, structures, fences, scaffolding, surplus materials and rubbish of every kind from the site of the Contractor's Work on the Agency's property.

## **SP 10. Safety and Security Requirements**

### **SP 10.1 Contractor Safety Training**

All Contractor and Subcontractor personnel and/or their technical representatives or assistants performing onsite Work, inspection or testing shall have successfully completed all required safety training courses administered by the Agency.

### **SP 10.2 Safety Compliance**

The Contractor shall be responsible for ensuring compliance with the most stringent provisions of the applicable statutes and regulations of the Utah Occupational Safety and Health (UOSH), Utah Department of Environmental Quality (UDEQ), and the UDOT SSO Program Standard as well as the Agency's Transit Agency Safety Plan (TASP). The Contractor shall flow down all these requirements to any Sub supplier performing Work under the Contract. Should charges of violation of any of the above be issued to the Contractor in the course of the Work, a copy of each charge shall be immediately forwarded to the Agency Representative along with a plan to correct the violation.

The Contractor shall follow the Agency's Construction Safety and Security Program Manual, and the Roadway Worker Protection Program Manual.

Upon the failure of the Contractor to comply with any of these requirements, the Agency's Representative shall have the authority to stop any and all operations of the Contractor affected by such failure until such failure is remedied. No part of the time lost due to any such stop orders shall be made subject to a claim or extension of time or increase in compensation.

### **SP 10.3 Pre-Employment Background Requirements**

The Contractor is responsible for following the Agency's policies and procedures including but not limited to background check requirements for accessing the Agency's facilities.

### **SP 11. Disadvantaged Business Enterprises**

Utah Transit Authority (Authority) shall not discriminate in the administration of its Disadvantaged Business Enterprise Program, or the requirements of 49 CFR Part 26. The Authority will take all necessary and reasonable steps under 49 CFR Part 26 to ensure nondiscrimination in the award and administration of Department of Transportation (DOT) assisted contracts. The Authority's DBE program, as required by 49 CFR Part 26 and as approved by DOT, is incorporated by reference in this agreement.

It is the responsibility of each Bidder / Proposer to read, understand and comply with the Authority's DBE program and 49 CFR Part 26. The Authority's DBE Liaison Officer is available to help answer questions concerning the Authority's DBE program.

Implementation of the DBE program is a legal obligation and failure to carry out its terms will be treated as a violation of this agreement. Failure by the Authority to carry out the Authority's approved program may result in DOT-imposed sanctions as provided for under Part 26 and may, in appropriate cases, result in enforcement actions under 18 U.S.C. 1001 and/or the Program Fraud Civil Remedies Act of 1986 (31 U.S.C. 3801 et seq.) Bidders/ Proposers agree to indemnify the Authority for any such sanctions received as a result of the actions and omissions of Contractor or its subcontractors. **INSTRUCTIONS TO BIDDERS/ PROPOSERS**

Bidders/ Proposers are required to complete and return Attachments A, A-1, A-2, A-3, and A-4 which obligates the Bidders/ Proposers to assert a good faith effort to attain the specified goal for DBE participation. A Bidder may satisfy the requirements of this section by having DBE status, by subcontracting portions of the work to DBEs, by entering into a joint venture with DBEs, or by submitting adequate documentation that a good faith effort to meet the goal was explored.

The attachments are defined as follows.

**Attachment A – Equal Employment Opportunity and Disadvantaged Business Enterprise Statement a.**  
**Attachment A-1 – Disadvantaged Business Enterprise Participation Form**

**b. Attachment A-2 – Sample Letter of Intent to Subcontract with a DBE Firm**

**c. Attachment A-3 – Good Faith Efforts Documentation form - Note:** Good Faith Efforts Documentation Form is not required when a bidder / proposer certifies that there exists no opportunity for subcontracting, when a DBE is the prime contractor, or the procurement is race neutral

**d. Attachment A-4 – Employment Practices / Equal Employment Opportunity Plan**

**e. DBE CONTRACT GOAL – Not Applicable**

## **REQUIREMENTS, TERMS, AND CONDITIONS**

A Disadvantaged Business Enterprise is a firm that has been certified by the Utah Uniform Certification Program (UUCP) to meet the criteria in 49 CFR Part 26. Only firms certified by the UUCP can receive DBE credit on federally assisted projects in the State of Utah. Firms must be certified as a DBE prior to the contract award for UTA to receive credit for a DBE firm's participation on a contract.

Bidders/ Proposers who fail or refuse to complete and return the applicable certifications to this RFP shall be deemed non-responsive and will not be awarded a contract.

Where bidders/proposers intend to attain their goal for DBE participation by subcontracting or use of a joint venture, they must **complete and submit** the following certifications as applicable. **Attachments A, A-1, A-2, A-3, and A-4** with your bid.

All Bidders/ Proposers are required to submit written assurance of meeting contract goals in their bids/proposals and will submit: (1) names of DBE subcontractors; (2) a description of the work they are to perform; and (3) the dollar value of each proposed DBE subcontract. In order to be a responsive Bidder / Proposer, a Bidder/ Proposer must meet the specified DBE contract goal or demonstrate sufficient good faith efforts to do so. Meeting the contract goal or making sufficient good faith efforts to do so is no less than meeting technical specifications or complying with bid or proposal procedures, is a necessary condition of responsiveness.

The Contractors goal stated in the **ATTACHMENT A-1 – DISADVANTAGED BUSINESS ENTERPRISE PARTICIPATION FORM**, shall express the commitment on part of Contractor to the percentage of DBE utilization during the term of the contract.

The commitment of the Contractor to a specific goal is to meet DBE objectives and is not intended to be used and shall not be used, to discriminate against any qualified company or group of companies.

The Bidders/ Proposers must actively and aggressively seek to meet the specific contract goal for the project or the overall goal if an individual contract goal has not been set. In determining whether a Bidder/ Proposer has made good faith efforts to ensure DBE participation if awarded the contract, the Authority may consider, and the Bidder/ Proposer must be able to provide, evidence regarding the good faith efforts. This information is provided on **ATTACHMENT A-3, GOOD FAITH EFFORTS DOCUMENTATION FORM**. Good Faith Efforts Documentation Form A-3 is not required when a bidder / proposer certifies that there exists no opportunity for subcontracting, when a DBE is the prime contractor, or the procurement is race neutral.

The Authority will award a contract only to a Bidder / Proposer who makes good faith efforts to meet the established goal. A Bidder / Proposer has made good faith efforts if the Bidder / Proposer does either of the following:

Documents that it has obtained enough DBE participation to meet the goal; or

Documents that it has made adequate good faith efforts to meet the goal, including assurances that the Bidder/ Proposer has done the following:

- i. Attended any pre-solicitation or pre-bid meetings that were scheduled by the Authority to inform DBEs of contracting and subcontracting opportunities.

- ii. Advertised information concerning the subcontracting opportunities in general circulation, trade association, and minority-focused media.

- iii. Provided written notice to a reasonable number of specific DBEs that their interest in the contract was being solicited, in sufficient time to allow the DBEs to participate effectively.

- iv. Followed up initial solicitations of interest by contacting DBEs to determine with certainty whether the DBEs were interested.

- v. Selected portions of the work to be performed by DBEs in order to increase the likelihood of meeting the DBE goals (including, where appropriate, breaking down contracts into economically feasible units to facilitate DBE participation).

- vi. Provided interested DBEs with adequate information about the plans, specifications, and requirements of the contract.

- vii. Negotiated in good faith with interested DBEs, not rejecting DBEs as unqualified without sound reasons based on a thorough investigation of their capabilities.

- viii. Assisted interested DBEs in obtaining bonding, lines of credit, or insurance required by the Authority or the Bidders/ Proposers, and.

- ix. Used the services of available minority community organizations; minority contractor's groups; local, state, and Federal minority business assistance offices and other organizations that provide assistance in the recruitment and placement of DBEs.

For further guidance and additional steps to take concerning good faith efforts, see 49 CFR Part 26. A copy is included in the Authority's DBE Plan. The Authority's DBE Plan is available from the Authority upon request.

If the Authority determines that the apparent successful Bidder/ Proposer has failed to meet the foregoing requirements, before awarding the contract the Authority will provide the Bidder/ Proposer an opportunity for administrative reconsideration. As part of this reconsideration, the Bidder/ Proposer will have the opportunity to provide written documentation or argument concerning the issue of whether it met the goal or made adequate good faith efforts to do so. The Authority's decision on reconsideration will be made by a DBE Administrative Hearing Officer. The Bidders/ Proposers will be given the opportunity to meet in person with the Authority's reconsideration official to discuss the issue of whether it met the goal or made adequate good faith efforts to do so. The Authority will send the Bidders/ Proposers a written decision on reconsideration, explaining the basis for finding that the Bidders/ Proposers did or did not meet the goal or make adequate good faith efforts to do so. The result of this reconsideration process is not administratively appealable to DOT.

## **SP 12. Service and Parts**

### **SP 12.1 Parts Availability Guarantee**

Contractor will support UTA by providing engineering, supply chain sourcing, and obsolescence parts support through the life of the vehicle at a fair and reasonable price. If Stadler is unable to provide timely part support, they will provide UTA with any detail to have the parts manufactured, including but not limited to drawings, manufacturer/supplier information, design, material information, and proprietary documentation to maintain the

fleet. An offer for complete assembly, system, or sub-system replacement may be offered in addition to but will not be accepted in lieu of the previously described parts support.

### **SP 12.2 Interchangeability**

Unless otherwise agreed, all units and components procured under the Contract, whether provided by Suppliers or manufactured by the Contractor, shall be duplicates in design, manufacture and installation to ensure interchangeability among vehicles in this procurement.

In the event that the Contractor is unable to comply with the interchangeability requirement, the Contractor must notify the Agency and obtain the Agency's prior written approval, including any change in pricing.

The Agency shall review proposed product changes on a case-by-case basis and shall have the right to require extended warranties to ensure that product changes perform at least as well as the originally supplied products.

### **SP 12.3 Agency-Furnished Equipment**

In the event that equipment or other goods or materials are specified in the Technical Specifications to be furnished by the Agency to the Contractor for incorporation in the Work, the following provisions shall apply:

As more fully described in TS 23, Agency-Furnished Equipment, the Agency shall furnish the equipment, goods or materials in a timely manner so as not to delay Contract delivery or performance dates. If Agency-furnished property is received in a condition not suitable for the intended use, then the Contractor shall promptly notify the Agency, detailing the facts, and at the Agency's expense repair, modify, return or take such other action as directed by the Agency. The parties may conduct a joint inspection of the property before the Contractor takes possession to document its condition.

The Agency retains title to all Agency-furnished equipment. Upon receipt of the Agency-furnished equipment, the Contractor assumes the charge and care of the Agency and bears the risk of loss or damage due to action of the elements or from any other cause. The Contractor shall provide appropriate protection for all such equipment during the progress of the Work. Should any Agency-furnished equipment or materials be damaged, such equipment shall be repaired or replaced at the Contractor's expense to the satisfaction of the Agency. No extension of time will be allowed for repair or replacement of such damaged items. Should the Contractor not repair or replace such damaged items, the Agency shall have the right to take corrective measures itself and deduct the cost from any sums owed to the Contractor.

In the event that the Agency's equipment or actions cause subsequent damage to the LRV or the Contractor, the Contractor shall not be responsible for the delay or damages caused by the Agency's provision of the equipment. The Agency's provision of any equipment pursuant to this section shall not limit the Contractor's obligation to provide vehicles in compliance with all Contract specifications. Nor shall Agency's provision of any equipment indicate acceptance of any vehicle in whole or in part.

Warranty administration and enforcement for Agency-furnished equipment are the responsibility of the Agency, unless the parties agree to transfer warranty responsibility to the Contractor.

### **SP 13. Agency-Specific Provisions (Reserved)**

**Exhibit D**  
**Warranty**

**WR 1. Basic Warranty Provisions**

**WR 1.1 Warranty Requirements**

**WR 1.1.1 Contractor Warranty**

The Contractor guarantees and warranties that all labor performed, and Materials furnished shall meet the following requirements:

1. Conform to the Technical Specifications and other requirements of the Contract Documents;
2. Fulfill their design function and be fit for both their ordinary and intended purposes;
3. Be free of all patents;
4. Be free from all latent defects;
5. Perform satisfactorily; and
6. Be of the quality specified in the Contract Documents, or if no quality is specified in the Contract Documents, be of the best grade and in conformance with the Contractor Submittals reviewed and accepted by the Agency.

If the Agency detects a defect with respect to any LRV within the applicable warranty period, the Agency will notify the Contractor within a reasonable time after detection. Within seven calendar days of notification, the Contractor's Project Manager and the Agency's PM will meet to determine the most appropriate course for the corrective Work and the exact scope of the corrective Work to be performed under the warranty. The Contractor shall redesign, repair, or replace the defect or malfunction in a manner satisfactory to the Agency's PM as soon as reasonably possible. The Contractor shall also perform such tests as the Agency may require to verify that such redesign, repair, or replacement complies with the requirements of the Contract Documents. In addition to other warranties that may be in effect, the Contractor warrants the redesigned, repaired, or replaced Work for a period of one year after the acceptance of the completed corrective Work by the Agency. All costs incidental to such corrective Work will be borne by the Contractor.

To the extent practicable, the Agency will allow the Contractor or its designated representative to perform the repair work. All repair work must be performed at a vehicle maintenance facility designated by the Agency. At its discretion, the Agency may perform warranty Work if the Agency determines the need to do so based on transit needs or other requirements. Any work so performed by the Agency must be reimbursed by the Contractor, including the cost of any force account labor supplied by the Agency. If the Agency performs the warranty-covered repairs, it may correct or repair the defect and any related defects utilizing parts supplied by the Contractor. At its discretion, the Agency may also use parts available from the Agency's stock-on-hand if deemed in the Agency's best interest. Reports of all repairs performed by the Agency and covered by the warranty must be submitted to the Contractor for reimbursement and replacement of parts on a periodic basis determined by the Agency.

The Contractor shall obtain all Subcontractors', Suppliers', or other sub-contractors' warranties in the name of the Agency and shall deliver the same to the Agency; provided, however, that the delivery of such Subcontractors', Suppliers', or other sub-manufacturer' warranties will in no respect relieve the Contractor of its obligations under the warranty provisions listed in Section 7. Unless expressly waived in writing by the Agency's PM, no Subcontractors', Suppliers', or other sub-manufacturers' warranty will expire prior to the date of expiration of the warranty provided by the Contractor for such item under the Contract Documents. Nor will any Subcontractors', Suppliers', or other sub-manufacturers' warranty contain terms substantially different than as required under this Section 7. The Agency, by accepting the Subcontractors', Suppliers', or other sub-manufacturers' warranties provided by the Contractor, in no respect waives any rights against the Contractor and, should there be a failure of the applicable Subcontractor, Supplier, or sub-manufacturer to honor the guarantee or warranty, the Agency may, in its discretion, enforce any such rights against the Contractor.

The Agency will not be required to perform unusual or extraordinary maintenance or overhauls to keep the warranties in effect. The Agency will not be required to purchase spare parts or other replacement Materials from a sole source if such Materials are otherwise available from equal or superior sources.

Nothing in the preceding provisions intends or implies that the Contractor shall be required to warranty items that do not perform satisfactorily because of abuse or lack of routine maintenance by the Agency or from vandalism or accidents. However, failures resulting from want of routine maintenance which, in turn, result from a want of training, technical support, parts delivery, manuals, catalogues and schemata, Special Tools, and other product support required and requested from the Contractor, will be the responsibility of the Contractor and must be eligible for repair under the provisions of the warranty.

Warranties in this document are in addition to any statutory remedies or warranties imposed on the Contractor. Consistent with this requirement, the Contractor warrants and guarantees to the original procuring Agency each complete LRV and specific subsystems and components as follows.

#### **WR 1.1.2 General Warranty**

The complete LRV shall be warranted to be free from Defects and Related Defects for two years unless the longer warranty period is specified elsewhere in this document. The warranty period with respect to each LRV shall begin with Conditional Acceptance except for the components, systems, subsystems, major assemblies, subassemblies, products, parts, apparatus, articles, other materials with the open items on the vehicle, and open items identified during the Conditional Acceptance inspection that require corrective action, or for which the Fleet Defects have been identified, the warranty period on such items will not commence until the Final Acceptance or at the remedy of the defect, whichever comes later. The Contractor's warranties and guarantees will apply regardless of any lesser period of warranty provided by the Contractor or Materials.

Any Conditional Acceptance for revenue service does not relieve the Contractor of the liability to correct Defects as required by the Contract. The warranty is based on regular operation of the LRV under the operating conditions prevailing in the procuring Agency's locale.

#### **WR 1.1.3 Carbody Structure**

The carbody structure as defined in TS 3, Carbody, is warranted to be free from Defects and Related Defects for five years.

#### **WR 1.1.4 Major Subsystems**

The following major subsystems shall be warranted to be free from Defects and Related Defects for the period shown below and all others are covered by the General Warranty provision:

- Truck structural parts (frame and bolster): five years
- Axles: five years
- Drive train (including traction motors, gear box and high- and low-speed couplings): five years

#### **WR 1.1.5 Extension of Warranty**

If, during the warranty period, repairs or modifications on any LRV are made necessary by defective design, materials or workmanship, written notice must be given to the Contractor. If repairs are not completed within 10 days of the notice, the warranty period will be suspended until such time that the repairs are fully completed and the warranty will be extended for that component on a day-for-day basis. If the repairs are not completed within 60 days, resulting in the LRV being unavailable for revenue

service, liquidated damages will commence in accordance with SP 3.3.2, Liquidated Damages: Warranty, and will accrue on a day-for-day basis starting at Day 61 that the LRV is unavailable.

#### **WR 1.2 Voiding of Warranty**

The warranty shall not apply to the failure of any part or component of the LRV that directly results from misuse, negligence, accident or repairs not conducted in accordance with the Contractor-provided maintenance manuals and with workmanship performed by adequately trained personnel in accordance with recognized standards of the industry. The warranty also shall be void if the Agency fails to conduct normal inspections and scheduled preventive maintenance procedures as recommended in the Contractor's maintenance manuals and if that omission caused the part or component failure. The Agency shall maintain documentation, auditable by the Contractor, verifying service activities in conformance with the Contractor's maintenance manuals.

#### **WR 1.3 Exceptions and Additions to Warranty**

The warranty shall not apply to the following items:

- Scheduled maintenance items;
- Items furnished by the Agency; and
- Interior and exterior finishes, hoses, fittings and fabric due to normal wear and tear.

#### **WR 1.3.1 Pass-Through Warranty (Reserved)**

#### **WR 1.3.2 Superior Warranty**

The Contractor shall pass on to the Agency any warranty offered by a Supplier that is superior to that required herein. The Contractor shall provide a list to the Agency noting the conditions and limitations of the superior warranty not later than the start of production. The Contractor shall not be required to administer the superior warranty except through mutual agreement between the parties.

#### **WR 1.3.3 Extended Warranty**

The Agency requires the following subsystems to be warranted to be free from Defects and Related Defects for the number of years specified below:

- As listed in WR 1.1.3 Carbody Structure
- As listed in WR 1.1.4 Major Subsystems

### **WR 1.4 Fleet Defects**

#### **WR 1.4.1 Occurrence and Remedy**

A Fleet Defect is defined as cumulative failures of ten (10) percent or more, of the same component, system, subsystem, major assembly, subassembly, product, part, apparatus, article, or other Material in the same or similar applications where such items are covered by warranty. The 100% of such item identified under Fleet Defects, including those with expired warranty, will be deemed to require an approved redesign, replacement, or adjustment under this warranty. A Fleet Defect shall apply only to the warranty period in WR 1.1.2, General Warranty, WR 1.1.3, Carbody Structure, WR 1.1.4, Major Subsystems, and WR 1.1.5, Extension of Warranty. When a Fleet Defect is declared, the remaining warranty on that component stops. The warranty period does not restart until the Fleet Defect is corrected.

For the purpose of Fleet Defects, each option order shall be treated as a separate LRV fleet. In addition, should there be a change in a major component within either the base order or an option order, the LRVs containing the new major component shall become a separate LRV fleet for the purposes of Fleet Defects.

The Contractor shall correct a Fleet Defect under the warranty provisions defined in WR 2, Repair Procedures. After correcting the Defect, the Agency and the Contractor shall mutually agree to and the Contractor shall promptly undertake and complete a Work program reasonably designed to prevent the occurrence of the same Defect in all other LRVs including those with expired warranty, and spare parts purchased under the Contract. Where the specific Defect can be solely attributed to particular identifiable part(s), the Work program shall include redesign and/or replacement of only the defectively designed and/or manufactured part(s). In all other cases, the Work program shall include inspection and/or correction of all of the LRVs in the fleet via a mutually agreed-to arrangement.

Defects classified as Fleet Defects shall be cured only by a Field Modification Instruction (FMI) approved by the Agency's PM. The FMI program must be organized to maximize configuration control, quality, safety, and speed of completion. The FMI program must also ensure that sufficient industrial engineering and Materials planning is available for each and every FMI to minimize downtime of the LRVs. The components, systems, subsystems, major assemblies, subassemblies, products, parts, apparatuses, articles, or other Materials affected by the FMI must have their warranty extended by one year from the date of completion of the FMI Work, or until the expiration of the previously effective warranty period, whichever is longer. Spare parts and Materials must be included in any FMI. A Fleet Defect may be declared by the Agency in the event of a safety-critical defect on as few as one LRV.

#### **WR 1.5 Warranty of Spare Parts**

For any spare parts delivered to the Agency in accordance with the Contract, the Contractor warrants the spare parts to be free of defects in material and workmanship for 12 months from acceptance of the spare part. In the event of defect or failure of the spare part, the Contractor shall make and implement any modifications, repairs, adjustments and/or replacements determined to be necessary by the Contractor to correct the defective part. In the event of such modifications, repairs, adjustments and/or replacements of a part by the Contractor only, the remaining warranty period shall apply.

#### **WR 2. Repair Procedures**

##### **WR 2.1 Repair Performance**

The Contractor is responsible for all warranty-covered repair Work. Under normal circumstances, the Agency will allow the Contractor or its designated representative to perform such Work. Contractor may waive its right to make repairs and allow the Agency to complete the repairs. Such Work shall be reimbursed by the Contractor.

##### **WR 2.2 Repairs by the Contractor**

If the Agency detects a Defect within the warranty periods, it shall, within five (5) days, notify the Contractor's designated representative. The Contractor or its designated representative shall, if requested, begin Work on warranty-covered repairs within five days after receiving notification of a Defect from the Agency. The Agency shall make the LRV available to the Contractor to complete repairs. If the Contractor fails or refuses to initiate the repairs within five (5) working days of the Agency's notice of rejection, The Agency may elect to perform the repairs during the warranty period. Any repairs conducted by the Agency or designees without Contractor's express approval or prior to expiration of the deadlines for commencement or completion of repairs shall be considered unauthorized work and may operate to void the warranty on any affected parts, cars, or trainsets. Any Contractor requirements regarding repairs

in this section made by the Agency or its designee are subject to this understanding. Contractor will only reimburse the Agency for labor on repairs that are the obligation of Contractor to perform. The Contractor shall provide at its own expense all spare parts and tools required to complete warranty repairs.

##### **WR 2.3 Repairs by the Agency**

#### **WR 2.3.1 Parts Used**

If the Agency performs the warranty-covered repairs, it shall correct or repair the Defect and any Related Defects utilizing parts supplied by the Contractor specifically for this repair. At its discretion, the Agency may use Contractor-specified parts available from its own stock if deemed in its best interests.

#### **WR 2.3.2 Contractor-Supplied Parts**

The Agency may require that the Contractor supply parts for warranty-covered repairs being performed by the Agency. Those parts may be remanufactured but shall have the same form, fit, function and warranty. The parts shall be shipped prepaid to the Agency from any source selected by the Contractor within ten (10) days of receipt of the request for said parts and shall not be subject to an Agency handling charge.

#### **WR 2.3.3 Defective Component Return**

The Contractor may request that parts covered by the warranty be returned to the manufacturing plant. The freight costs for this action shall be paid by the Contractor. Materials should be returned in accordance with the procedures outlined in WR 2.4.1, Warranty Processing Procedures.

#### **WR 2.3.4 Failure Analysis**

The Contractor shall provide a failure analysis of Fleet Defect- or safety-related parts, or major components, removed from LRVs under the terms of the warranty, that could affect fleet operation. Such reports shall be delivered within thirty (30) days of the receipt of failed parts.

#### **WR 2.3.5 Reimbursement for Labor and Other Related Costs**

The Agency shall be reimbursed by the Contractor for labor. The amount shall be determined by the Agency for a qualified mechanic at a wage rate of \$104.84 per hour, which includes fringe benefits and overhead adjusted for the Agency's most recently published rate in effect at the time the Work is performed, plus the cost of retrieving the LRV if such action was necessary. These wage and fringe benefit rates shall not exceed the rates in effect in the Agency's maintenance facility at the time the Defect correction is made.

#### **WR 2.3.6 Reimbursement for Part**

The Agency shall be reimbursed by the Contractor for defective parts and for parts that must be replaced to correct the Defect. The reimbursement shall be at the current price at the time of repair and shall include taxes where applicable, plus fifteen (15) percent handling costs. Handling costs shall not be paid if part is supplied by Contractor and shipped to Agency.

#### **WR 2.3.7 Reimbursement Requirements**

The Contractor shall respond to the Agency's request for warranty reimbursement with an accept/reject decision including necessary failure analysis no later than thirty (30) days after the Agency submits the request and defective part(s), when requested. Reimbursement for all accepted requests shall occur no later than sixty (60) days from the date of acceptance of a valid request. The Agency may dispute rejected requests or requests for which the Contractor did not reimburse the full amount. The parties agree to review disputed warranty requests during the following ninety (90) day period to reach an equitable decision to permit the disputed request to be resolved and closed. The parties also agree to review all requests at least once every ninety (90) days throughout the entire warranty period to ensure that open requests are being tracked and properly dispositioned.

#### **WR 2.4 Warranty After Replacement/Repairs**

If any component, unit or subsystem is repaired, rebuilt or replaced by the Contractor, or by the Agency with the concurrence of the Contractor, then the component, unit or subsystem shall have the longer of a one-time one year additional warranty from the replacement or repair of the component, unit or subsystem, or the remainder of the unexpired warranty period of the original item. Repairs shall not be warranted if the Contractor-provided or

authorized parts are not used for the repair, unless the Contractor has failed to respond within five (5) days, in accordance with WR 2.2, Repairs by the Contractor.

If an item is declared to be a Fleet Defect, then the warranty stops with the declaration of the Fleet Defect. Once the Fleet Defect is corrected, the item(s) shall have the longer of one year or the remaining time of the original warranty. This remaining warranty period shall begin on the repair/replacement date for corrected items on each LRV if the repairs are completed by the Contractor or on the date the Contractor provides all parts to the Agency.

#### **WR 2.4.1 Warranty Processing Procedures**

The following list represents requirements by the Contractor to the Agency for processing requests for warranty reimbursement. One failure per LRV per request is allowed.

- LRV vehicle number;
- Section of car (A, B or C section);
- Vehicle mileage at time of repair;
- Date of failure/repair;
- Acceptance/in-service date;
- Repair order number;
- Contractor part number and description;
- Component serial number ;
- Description of failure; and
- All costs associated with each failure/repair (invoices may be required for third-party costs):
- LRV retrieval;
- Road calls;
- Labor;
- Materials;
- Rented equipment;
- Parts;
- Handling; and
- Troubleshooting time.

#### **WR 2.5 Forms**

The Agency's forms will be accepted by the Contractor if all of the above information is included. Electronic submittal may be used if available between the Contractor and Agency.

#### **WR 2.6 Return of Parts**

When returning defective parts to the Contractor, the Agency shall tag each part with the following:

- LRV vehicle number;
- Section of car (A, B or C section);
- Date of failure/repair;
- Repair order number;
- Return material authorization number (RMA);
- Part number; and
- Part serial number (if available).

#### **WR 2.7 Timeframe**

Each warranty reimbursement request must be submitted no more than thirty (30) days from the date of failure and/or repair, whichever is later. All defective parts must be returned to the Contractor, when requested, not more than 45 days from date of repair.

**WR 2.8 Warranty Reimbursement**

Reimbursements are to be transmitted to the following address:

FLHQ  
669 West 200 South,  
Salt Lake City, UT 84101



# Utah Transit Authority

669 West 200 South  
Salt Lake City, UT 84101

## MEETING MEMO

Board of Trustees

Date: 10/23/2024

**TO:** Board of Trustees  
**THROUGH:** Jay Fox, Executive Director  
**FROM:** Viola Miller, CFO  
**PRESENTER(S):** Rob Lamph, Comptroller  
Mary Ann Schwalbendorf, Payroll Manager

**TITLE:**

Disbursement: Employee Appreciation Holiday Gift

**AGENDA ITEM TYPE:**

Disbursement

**RECOMMENDATION:**

Approve the disbursement of the Holiday Appreciation Bonus to all employees.

**BACKGROUND:**

Historically UTA has given employees a grocery store gift card around the Thanksgiving holiday in appreciation for their hard work.

**DISCUSSION:**

We are proposing a change from a physical gift card to a disbursement through the employee's paycheck to make the distribution more effective and efficient. When done by hand, the procurement, payroll, and office staffs spend many hours getting these cards out to our employees. Also, the cards must be purchased in advance, through a procurement resulting in purchasing more cards than required to ensure we have an adequate number of cards for our employee count on the day of distribution. By changing to acknowledgment through paycheck, UTA saves countless work hours and ensures all active employees on the day of disbursement receive the payment. Payment will be made via direct deposit or paper check depending on the employee's current payroll selection. Disbursement will occur on a non-pay week to provide a distinct record of the gift. Disbursement is planned for November 21, 2024.

**ALTERNATIVES:**

Either continue to provide a physical card or not provide the Holiday Appreciation gift.

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**FISCAL IMPACT:**

The cost for an estimate of 2900 employees is \$597,255.00. This includes a gross up for taxes, so each employee receives a full \$150 dollars. The final cost will depend on the number of active employees at time of disbursement.

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**ATTACHMENTS:**

N/A



# Utah Transit Authority

669 West 200 South  
Salt Lake City, UT 84101

## MEETING MEMO

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**Board of Trustees**

**Date:** 10/23/2024

**TO:** Board of Trustees  
**THROUGH:** Jay Fox, Executive Director  
**FROM:** Dave Hancock, Chief Capital Services Officer  
**PRESENTER(S):** Dave Hancock, Chief Capital Services Officer  
Carlie Torres- Project Manager  
Jake Wouden- Rail Infrastructure Project Manager

**TITLE:**

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**Capital Program Report - Third Quarter 2024**

**AGENDA ITEM TYPE:**

Report

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**RECOMMENDATION:**

Informational report for discussion.

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**BACKGROUND:**

The UTA Board of Trustees approves UTA capital projects, the capital budget, and the Five-Year Capital Plan annually. The Board has requested regular (at least quarterly) reports on the status of the agency's capital program.

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**DISCUSSION:**

UTA Capital Services staff will update the Board of Trustees on progress of the 2024 Capital Program through quarter 3. Updates will include overviews of the 2024 capital budget and spending, anticipated budget activities needed in quarter 4, as well as highlight progress on two capital projects to date.

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**ALTERNATIVES:**

N/A

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**FISCAL IMPACT:**

N/A

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**ATTACHMENTS:**

N/A



# Utah Transit Authority

669 West 200 South  
Salt Lake City, UT 84101

## MEETING MEMO

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**Board of Trustees**

**Date:** 10/23/2024

**TO:** Board of Trustees  
**THROUGH:** Jay Fox, Executive Director  
**FROM:** Viola Miller, Chief Financial Officer  
**PRESENTER(S):** Viola Miller, Chief Financial Officer

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**TITLE:**

UTA Tentative to Final 2025 Budget Change Overview

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**AGENDA ITEM TYPE:**

Discussion

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**RECOMMENDATION:**

Informational report for discussion

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**BACKGROUND:**

Each year, and in compliance with state statute, the Board establishes a tentative budget for the next year and then considers any additional changes that may be required before the final budget for the next year is approved.

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**DISCUSSION:**

UTA's Chief Financial Officer will give a brief overview of the proposed changes to the approved Tentative 2025 Budget known to date, as we work to arrive at a Final 2025 budget submission for discussion on November 13, 2024.

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**ALTERNATIVES:**

n/a

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**FISCAL IMPACT:**

n/a

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**ATTACHMENTS:**

n/a



# Utah Transit Authority

669 West 200 South  
Salt Lake City, UT 84101

## MEETING MEMO

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**Board of Trustees**

**Date:** 10/23/2024

**TO:** Board of Trustees  
**THROUGH:** Jay Fox, Executive Director  
**FROM:** Jay Fox, Executive Director  
**PRESENTER(S):** Carlton Christensen, Chair of Board of Trustees

**TITLE:**

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**Strategy Session to Discuss the Purchase, Exchange, or Lease of Real Property AND Collective Bargaining**

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**AGENDA ITEM TYPE:**

Closed Session

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**RECOMMENDATION:**

Approve moving to closed session for discussion of the purchase, exchange, or lease of real property and collective bargaining.

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**BACKGROUND:**

Utah Open and Public Meetings Act allows for the Board of Trustees to meet in a session closed to the public for various specific purposes.

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**DISCUSSION:**

The purpose for this closed session is:

- Strategy Session to Discuss the Purchase, Exchange, or Lease of Real Property
- Strategy Session to Discuss Collective Bargaining