RHODE ISLAND PUBLIC TRANSIT AUTHORITY

705 Elmwood Avenue
Providence, RI 02907

GENERAL GUIDELINES FOR COMPLETING REQUEST FOR PROPOSAL PACKAGE

This document is intended as a guideline to assist prospective Proposers in successfully completing the necessary Proposal paperwork. You are strongly encouraged to read the Instructions for Proposers Sections very carefully. This document is NOT intended to replace the more-detailed instructions that are included in the attached Proposal Package.

- It is **EXTREMELY IMPORTANT** that all required forms be filled out completely. Federal and State Regulations mandate that these forms be filled out properly. Failure to fill out these forms may result in your Proposal being ruled non-responsive. Non Responsive Proposals **will not** be awarded the contract.
- **REMEMBER to completely fill out** all REQUIRED FORMS (see REQUIRED FORMS Checklist). The **forms that are checked off are the only ones that apply to this Proposal.**
- If a form does not apply to your business or Proposal please mark the form Not Applicable or some other similar wording at your discretion.
- DBE (Disadvantaged Business Enterprise) Obligation. RIPTA agrees to ensure that DBES as outlined in 49 CFR Part 26, as amended, have the maximum opportunity to participate in the performance of contracts. Therefore it is imperative that you read the DBE Section and complete the necessary Paperwork. All DBEs submitted must be certified by the State of Rhode Island at the time of proposal submittal.
- Make Sure the Proposal Response is received by the RIPTA Purchasing Department by the designated date and time. Late Proposals will not be accepted
- It shall be the responsibility of prospective proposers to check the State of Rhode Island, Department of Administration Division of Purchases Website for any addenda.
- Make Sure that the Proposal is returned in an Envelope or Box **CLEARLY LABELED** with the following Information: **Proposal Number and what the Proposal is for. This information should be in the lower left hand corner**. The envelope should also be labeled **Proposal DOCUMENTS ENCLOSED**
- When in doubt, contact RIPTA Contracts Manager (401) 784-9500 extension 214 for assistance.
- **Proposal must be submitted pre-punched for standard three ring binders. Spiral bound proposal submittals will not be allowed. Please note that United Parcel Service will not deliver to our address.**

Please refer to Page 79 for Scope of Work

The following label shall be affixed to the envelope or package containing the proposal response documents. It is imperative that his label be affixed to insure the proposal documents are received and routed in the proper manner:

Return Address

_____

_____

_____

PROPOSAL DOCUMENTS ENCLOSED

CONTRACTS MANAGER
Rhode Island Public Transit Authority
Purchasing Department
Room 217
705 Elmwood Avenue
Providence, RI 02907

PROPOSAL NUMBER: **15-13**

PROPOSAL FOR: **Pension Audit Services**

DUE: **March 6, 2015**

RHODE ISLAND PUBLIC TRANSIT AUTHORITY

705 Elmwood Avenue
Providence, RI 02907

REQUIRED COMPANY INFORMATION FORM

The following information is mandatory; Failure to complete this section may jeopardize your eligibility to be awarded the contract. ALL SECTIONS OF THIS FORM MUST BE FILLED OUT COMPLETELY

THIS INFORMATION IS REQUIRED IN ACCORDANCE WITH 49CFR 26.11
THIS FORM IS REQUIRED FOR ALL BIDDERS, PRIME CONTRACTORS , POTENTIAL SUBCONTRACTORS AND SUBCONTRACTORS
PLEASE PRINT OR TYPE YOUR INFORMATION

COMPANY NAME _____

COMPANY STREET ADDRESS: _____

_____

COMPANY MAILING ADDRESS: _____

_____

COMPANY REMIT TO ADDRESS: _____

_____

COMPANY CONTACT PERSON:_____

COMPANY TELEPHONE NUMBER:_____

COMPANY TELEFAX NUMBER: _____

COMPANY CONTACT EMAIL: _____

AGE OF THE FIRM (YEARS): _____

ANNUAL GROSS RECEIPTS (DOLLARS):_____

IS YOUR FIRM CERTIFIED BY THE STATE OF RHODE ISLAND AS A DISADVANTAGED BUSINESS ENTERPRISE ? _____

DUNN AND BRADSTREET NUMBER: _____

NAICS CODE: _____ **INDUSTRY** _____
NAICS Code can be found at the following website:.www.naics.com

COMPANY STATUS: ____**PRIME CONTRACTOR** _____**SUBCONTRACTOR**

RHODE ISLAND PUBLIC TRANSIT AUTHORITY
Request for Proposals Number 15-13

REQUEST FOR PROPOSALS

PROPOSAL NO:	**15-13**
DATE OF INVITATION:	**February 6, 2015**
PRE-PROPOSAL MEETING:	**Not Applicable**
PROPOSAL RECEIPT DATE:	**March 6, 2015**
FURNISHING OF:	**Pension Audit Services**

The participant shall specify the official name of his/her company in the upper left-hand corner of the Proposal Response Envelope and show **PROPOSAL NO: and Proposal Description in the lower left-hand corner and send or deliver to**:

Purchasing Department
Room 217
705 Elmwood Avenue
Providence, RI 02907

The participant shall execute the offer form enclosed herewith.

Proposals will be reviewed and evaluated; all participants will be notified as soon as approval of award is made.

The proposer shall execute the offer form enclosed herewith. The proposer shall return **Six copy(ies)** with the **original** proposal.

RIPTA RESERVES THE RIGHT TO REJECT PROPOSALS FROM PARTICIPANTS WHO HAVE NOT USED THE FORM AND PROPER PROPOSAL RESPONSE ENVELOPE FORMAT.

RIPTA RESERVES THE RIGHT TO CANCEL ANY PARTICULAR SOLICITATION, AND/OR REJECT ANY OR ALL PROPOSALS.

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RHODE ISLAND PUBLIC TRANSIT AUTHORITY
Request for Proposals Number 15-13

I. CALENDAR

A. Date of Invitation:

February 6, 2015

B. Pre-Proposal Conference:

1. **Date:** **Not Applicable**

2. **Time:** **1:00 p.m. Eastern Time**

3. **Place:** **RIPTA Board Conference Room**
269 Melrose Street, Providence, RI
Any and all appeals must be submitted in writing prior to the time and date set for the Pre-Proposal Meeting.

C. Request for Approved equals and Questions

must be submitted **ELECTRONICALLY IN MICROSOFT WORD FORMAT** to RIPTA Contracts Manager by:

1. **Date:** **February 20, 2015**

2. **Time:** **1:00 p.m. Eastern Time**

3. **Response to approved equals: 10 - 14 days prior to proposal opening.**

D. Proposal Receipt:

1. **Date:** **March 6, 2015**

2. **Time:** **1:00 p.m. Eastern Time**

II. NOTICE TO OFFERORS

A. DATE: February 6, 2015

The Rhode Island Public Transit Authority (RIPTA) is requesting proposals for the following:

Pension Audit Services

All proposals shall be submitted in the required format and quantity as set forth in the RFP. This proposal must be received by March 6, 2015 at 1:00 p.m. Eastern Time by the Purchasing Department, Room 217, 705 Elmwood Avenue Providence, Rhode Island 02907. **Please be advised that United Parcel Service does not deliver to this address.**

A Pre-Proposal Meeting will be held at the RIPTA Transportation Building Conference Room, 269 Melrose Street Providence, RI at 1:00 pm Eastern TIme on Not Applicable.. Proposers are expected to download and review the Proposal Scope of Work prior to the pre-proposal meeting.

The successful proposer shall be required to comply with all applicable Equal Opportunity and Disadvantaged Business Enterprise regulations. Proposers are encouraged to view the Rhode Island Minority Business Enterprise (RIMBE) website for a list of Disadvantaged Business Enterprise vendors that may be interested in working with your company on this proposal. All DBEs submitted must be certified by the State of Rhode Island at the time of proposal submittal.
The RIMBE Website address is: http://www.mbe.ri.gov/search.php.

The Disadvantaged Business Enterprise goal for this project is: Not Applicable.%

The successful proposer shall be required to certify that he is not on the Comptroller General's List of Ineligible Contractors.

An electronic copy of the RFP is available on the State of Rhode Island, Department of Administration, Division of Purchases Website.
The website address is: *www.purchasing.ri.gov/RIVIP/ExternalBidSearch*.asp.
RIPTA Requests for Proposals can be Public Bid Opportunities, Quasi Public Sector, listed under the Rhode Island Public Transit Authority. ***Proposers must download the proposal documents and complete the required forms.***

If you are unable to access the Internet; a printed copy of the Proposal may be obtained from RIPTA's Purchasing Department by calling Michael J. McGrane at (401) 784-9500, ext. 214.

III. CONTACT LIST

Please contact RIPTA's Contracts Manager with any questions you may have regarding this Procurement

A. Contracts Manager

Mr. Michael J. McGrane
Phone: (401) 784-9500 extension 214
mmcgrane@ripta.com

All contacts with the Authority regarding this Procurement Action shall be directed to the RIPTA Contracts Manager. The Contracts Manager will contact the appropriate RIPTA Staff as needed. The Authority does not assume responsibility for the accuracy of information obtained from other RIPTA Staff.

Failure to adhere to this procedure may result in rejection of your proposal.

IV. INSTRUCTIONS FOR PROPOSERS

A. Definition of Terms.

Whenever herein or in the proposal contract documents the following terms, pronouns or abbreviations are used, the intent and meaning shall be interpreted as follows:

1. **Procuring agency**
   Procuring Agency is defined as the Rhode Island Public Transit Authority.
2. **RIPTA**
   RIPTA shall refer to the Rhode Island Public Transit Authority.
3. **Contractor**
   Contractor shall mean the successful proposer to whom a contract is awarded.
4. **Request for Proposal (RFP)**
   Request for Proposal shall mean the complete assembly of related documents, whether attached or incorporated by reference, furnished by RIPTA for the purpose of proposing, including the Request for Proposal, the Instructions for Proposers, Supplemental Conditions, Specifications, Proposal Form, Proposal Attachments, and Addenda, if any. Proposals shall be in strict accordance with the Terms of the RFP.
5. **Authorized Signature.**
   The person who is executing this contract on behalf of the Proposer and who is authorized to bind the Proposer.
6. **Request for Proposal.**
   The advertisement of the issuance by RIPTA of a Request for Proposal, which is published, posted and sent to prospective Proposers informing interested persons of the proposed procurement.
7. **Proposal Evaluation Factors/Criteria**
   Evaluation Factors/Criteria given in the scope of work are not listed in order of priority. The order of the listing has no relationship to the relative importance of the factors.
8. **Basis of Award**
   The Contract will be awarded to the vendor that submits the proposal that is rated the overall best value to the Authority.
9. **Notice of Award.**
   The receipt of a Purchase Order or Letter of Contract issued by RIPTA shall serve as notice of the award of contract.
10. **Specifications.**
    The written description and statement of necessary requirements of the equipment/construction, supplies and/or service to be provided.
11. **Tender**
    The Proposer's documents and all attachments tendered in response to the proposal requests.

B. Form of Proposal and Signature.

The proposal shall be presented with an original and Six copies on the forms provided herewith by RIPTA and shall be enclosed in a sealed envelope marked and addressed as required on the proposal form.

Depending upon whom the proposal is made by, the following signature and instructions must be followed:

1. **Sole Owner.**
   Proposal shall be signed with his full name, and his address shall be given.
2. **General Partnership.**
   Proposal shall be signed with the partnership name by a partner who shall also sign his/her own name, and the name and address of each partner shall be given.
3. **Limited Partnership**
   Proposal shall be signed with the partnership name by a general partner who has authorization to do so who shall also sign his/her own name.
4. **Corporation.**
   Proposal shall be signed by an officer or other individual who has the full and proper authorization to do so, and the corporate seal shall be affixed to the contract, or if the corporate seal is not affixed to the contract and it is signed by a person other than an officer, there must be attached to the contract a certified copy of a resolution of the corporation authorizing such officer or person to sign written contracts for and on behalf of the corporation.

C. Proposal.

The terms of the proposal must not be changed. All blank spaces in said form shall be properly filled. Alterations by erasure or interlineation must be explained or noted in the proposal over the signature of the Proposer. If the unit price and the total amount named by a Proposer for any item, do not agree, **the unit price** alone will be considered as representing the Proposer's intention.

D. Unauthorized Conditions.

Unauthorized conditions, limitations or provisions attached to a proposal will render it informal and may cause its rejection.

E. Submission of Proposal.

Prior to the hour specified in the Request for Proposal inviting sealed proposals, all proposals shall be delivered to the Contracts Manager at the address shown in the Request for Proposal. All costs associated with preparation and submission of a Proposal shall be borne by the proposer. The Authority assumes no responsibility for these costs

Each proposal shall be in a sealed envelope properly labeled on the outside with the proposal number and description. No proposals received after said time or at any place other than the time and place as stated in the Request for

Proposal will be considered. No proposal electronically transmitted , e.g. email and fax will be considered.

F. Modification or Withdrawal of Proposal.

A proposal may be modified or withdrawn by written or telegraphic notice received in the office designated in the Request for Proposal not later than the exact time set for receiving of proposals. A telegraphic notice of modification or withdrawal of a proposal telephoned by the receiving telegraphic office no later than the set for opening of proposals will be considered if the message is confirmed by the telegraph company by sending a copy of a written telegram which formed the basis of the telephone call. A proposal may be withdrawn in person by a Proposer or his/her authorized representative provided his/her identity is made known and he signs a receipt for the proposal if the withdrawal is prior to the exact time set for receiving the proposals. Modifications of proposals and requests for withdrawal of proposals which are received in the office designated in the Request for Proposals after the exact time set for opening are "late modifications" and "late withdrawals" respectively. A late modification or late withdrawal will be subject to the rules and procedures applicable to late proposals. A late modification of an otherwise successful proposal will be opened at any time it is received. If, in the judgment of the Director of Procurement, it makes the terms of the proposal more favorable to RIPTA, it will be presented to the Contract Manager and Director of Procurement for consideration.

G. Proposer Interviews or Presentations

The Authority reserves the right, at its sole discretion, to request proposal respondents to make presentations or interviews. This may be done in person, or through electronic means (i.e. telephone or via the internet). The purpose of this presentation is to enhance the presentation, not to amend it. Proposers should prepare their proposal responses based upon the assumption that there will not be interviews, unless specifically stated in the Scope of Work. The Written Proposal should reflect their best effort.

H. Samples

Samples, when required, must be submitted within the time specified, at no expense to RIPTA. If not, destroyed or used up during testing, samples will be returned upon request at the Proposer's expense.

I. Canvass of Proposals.

At the hour specified in the Request for Proposal, a designee will receive the proposals. An award will be made or proposals rejected by RIPTA within the time specified in the specifications or proposal forms, or if not specified, within a reasonable time after proposals have been opened.

J. Rejection of Proposals.

RIPTA reserves the right to reject any and all proposals. The right is reserved to reject any or all proposals, and to waive technical defects as the interest of RIPTA may require. Each Proposer shall be notified if all proposals are rejected.

K. Sales Tax Exemption.
RIPTA confirms there are no state, local or federal taxes applicable to this purchase.

L. Delivery Charges.
Unless otherwise stated in the RFP, Proposers shall include freight and/or delivery charges in the total price of their proposals.

M. Alternative Proposal
Submissions of an alternative proposal or proposals, except as specifically called for in the Specifications or RFP, will render the proposal informal and may cause its rejection.

N. Non-Collusive Affidavit.
The Proposer represents and warrants that its proposal is genuine and not sham or collusive or made in the interest or in behalf of any person not therein named, and that the Proposer has not, directly or indirectly, induced or solicited any other Proposer to submit a sham proposal or any other person, firm or corporation to refrain from proposing, and that the Proposer has not in any manner sought by collusion to secure itself an advantage over any other Proposer.

O. Interest of RIPTA Personnel.
The Proposer represents and warrants that neither the General Manager, nor any Board Member, nor any employee of RIPTA, is in any manner interested directly or indirectly in the proposal or in the contract, which may be made under it, or in any expected profits to arise therefrom.

P. Penalty for Collusion.
If at any time it shall be found that the person, firm or corporation to whom a contract has been awarded has, in presenting any proposal or proposals, colluded with any other party or parties, then the contract so awarded shall be **voidable** by RIPTA and the Contractor and his bondsmen shall be liable to RIPTA for all loss or damage which RIPTA may suffer thereby and the RIPTA Board may advertise for a new contract for said labor, supplies, materials, equipment or service.

Q. Proposal Acceptance Period
All proposals shall remain in effect one hundred twenty (120) calendar days from the date of proposal opening. Proposals offering less than one hundred twenty (120) calendar days for acceptance by RIPTA from the date set for opening will be considered non-responsive and will be rejected.

R. Postponement.
RIPTA reserves the right to postpone, for its own convenience, the date the proposal is to be received, but any Proposer whose proposal has already been submitted to RIPTA when the decision to postpone is made shall be afforded the opportunity to revise or withdraw its proposal.

S. Amendment and/or Postponement.
RIPTA reserves the right to revise or amend the specifications up to the time set for the receiving of proposals. Such revisions and addenda, if any, shall

be announced by addenda to this solicitation. It shall be the responsibility of prospective proposers to check the State of Rhode Island, Department of Administration Division of Purchases Website for any addenda. If the revisions and addenda require changes in quantities or price proposal, or both, the date set for receiving proposals may be postponed by such number of days as in the opinion of RIPTA shall enable Proposers to revise their proposals. In any case, proposal openings shall be at least seven (7) working days after the last addendum, and the addenda shall include an announcement of the new date, if applicable.

T. Single Proposal.

1. In the event a single proposal is received, RIPTA will, at its option, either conduct a price and/or cost analysis of the proposal and make the award by negotiation or reject the proposal and re-advertise. A price analysis is the process of examining the proposal and evaluating a prospective price without evaluating the separate cost elements. Price analysis shall be performed by comparison of the price quotations submitted on other current quotations, with published price lists, or other established or competitive prices. The comparison shall be made to a purchase of similar quantity and involving similar specifications. Where a difference exists, a detailed analysis must be made of this difference and costs attached thereto.

2. Where it is impossible to obtain a valid price analysis, it may be necessary for RIPTA to conduct a cost analysis of the proposal price. Cost analysis is the review and evaluation of a contractor's cost or pricing data and of the factors applied in projecting from such data the estimated costs of performing the contract, assuming reasonable economy and efficiency.

3. The price and/or cost analysis shall be made by RIPTA's Procurement Department.

U. Qualifications for Award.

The Proposer must be a person, firm or corporation that:

1. Has in operation, or has the capability to have in operation, a manufacturing plant adequate to assure delivery of all equipment within the time specified under this contract.

2. Has adequate service personnel, or has the capability to have such personnel, to satisfy any service problems that may arise during the warranty period.

3. Has the necessary facilities and financial resources or has the capability to obtain such facilities and resources to complete the contract in a satisfactory manner within the required time.

4. The Procuring agency shall have the right to conduct a pre-award survey on each Proposer. Doubt as to the capability or technical ability, productive capacity or financial strength, which cannot be

resolved affirmatively, shall require a determination of non-responsibility by RIPTA.

V. Ineligible Proposers.

The Proposer shall be required to certify, upon request, that it is not on he U.S. Comptroller General's Consolidated List of Persons or Firms currently Debarred for Violations of Various Public Contracts Incorporating Labor Standards Provisions.

W. Disadvantaged Business Enterprise

The Rhode Island Public Transit Authority will not discriminate on the basis of race, color, national origin, or sex in the award and performance of any DOT assisted contract or in the administration of its DBE Program or the requirements of 49 CFR part 26. RIPTA will take all necessary and reasonable steps under 49 CFR part 26 to ensure nondiscrimination in the award and administration of DOT assisted contracts. The recipient's DBE Program, as required by 49 CFR part 26 and as approved by DOT, is incorporated by reference in this agreement. Implementation of this program is a legal obligation and failure to carry out its terms shall be treated as a violation of this agreement. Upon notification to the Rhode Island Public Transit Authority of its failure to carry out its approved program the Department may impose sanctions as provided for under part 26 and may, in appropriate cases, refer the matter for enforcement under 18 U.S.C. 1001 and/or the Program Fraud Civil Remedies Action of 1986 (31 U.S.C. 3801 et. Seq).

X. Addenda.

RIPTA may issue addenda containing amendments to its proposal solicitation documents. Any addendum issued less than seven (7) days prior to the receipt of proposal shall, if necessary, contain a provision postponing the date of the receipt of proposal to a date that will provide Proposers adequate time to respond to the addenda. Addenda shall be numbered sequentially.

Y. Proposer's Requests and Appeals.

1. **Appointments.**
   Proposers and suppliers may make appointments with the contact person listed in the specifications to discuss the specifications.
2. **Amending Materials.**
   Any amending material issued by RIPTA pertaining to the proposal solicitation documents (including, without limitation: clarifications, approved equals, and corrections) shall be set forth in an addendum and sent to all parties who are on record as having obtained a copy of the proposal solicitation documents.
3. **Appeal.**
   Should any Proposer or supplier choose to appeal RIPTA's decision, such appeal must be in writing and received by RIPTA not less than seven (7) calendar days before the date of receipt of proposal. RIPTA has no obligation to consider appeals received less than seven (7) calendar days before the date of the receipt of proposal.

4. **Withdrawal.**
The Proposer or supplier may withdraw its appeal at any time before RIPTA issues a final decision. There shall be no further review of the appeal after the final decision is issued.

5. **Notification.**
Should RIPTA postpone the date of the receipt of proposal owing to the appeal, RIPTA shall notify all parties who are on record as having obtained a copy of the proposal solicitation documents that an appeal has been filed and that the date of the receipt of proposal shall be postponed until RIPTA has issued its final decision. RIPTA shall issue appropriate amendments postponing the re-scheduling date of the receipt of proposal.

Z. Equal Employment Opportunity.
In connection with the execution of this contract, the Contractor shall not discriminate against any employee or applicant for employment because of race, religion, color, sex, age, handicap or national origin. The contractor shall take affirmative action to insure that applicants are employed and that employees are treated during their employment, without regard to their race, religion, color, sex, age, handicap or national origin. Such actions shall include, but not limited to, the following: employment, upgrading, demotion, transfer, recruitment or recruitment advertising, layoff, or termination, rates of pay, or other forms of compensation, and selection for training, including apprenticeship.

AA. Prohibited Interest.
No member, officer, or employee of RIPTA or of a local public body during his tenure or for one year thereafter shall have any interest, directly or indirectly, in this contract or the proceeds thereof.

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

CC. Contract Commencement Date.
The contract commencement date shall be the date of the signing of the Purchase Order or by Letter of Contract signed by an authorized RIPTA employee.

DD. Notice, Waiver and Applicable Law.
Notice given to Contractor and RIPTA shall be given to the parties in writing by certified mail at the respective addresses set forth herein. Waiver by RIPTA of a breach by Contractor of any provision of this contract shall not be deemed a waiver of future compliance therewith, and such provision as well of future provisions hereunder, shall remain in full force and effect. The rights and duties of the parties hereto shall be determined by the laws of the State of Rhode Island, and to that end this agreement shall be considered and construed as a contract made an to be performed in the State of Rhode Island.

EE. Protest.

1. General.

Protests will be accepted from prospective proposers or Offerors whose direct economic interest would be affected by the award of a Contract or by failure to award a contract. The RIPTA Director of Purchasing will consider all protests or objections filed in a timely manner regarding the award of a contract, whether submitted before or after award. If the protest is oral and the matter cannot be otherwise resolved, written confirmation of the protest will be requested. Protest submissions should be concise, logically arranged, and clearly state the grounds for the protest. Protests must include at least the following information:

a. Name, address and telephone number of protester.

b. Identification of the solicitation or Contract number.

c. A detailed statement of the legal and factual grounds of protest, including copies of relevant documents

d. A statement as to what relief is requested.

e. Protest should be sent to:

Director of Procurement
RI Public Transit Authority
Room 217
705 Elmwood Avenue
Providence, RI 02907

f. Protests must be filed with the RIPTA in accordance with our procedures and time requirements. The protest to RIPTA must be complete and contain all the issues that the protester believes relevant. RIPTA will respond to each substantive issue raised in the protest. Failure to include an issue in the protest eliminates that issue from further consideration. All protest decisions entered by RIPTA are final in accordance with FTA "Third Party Contract" Regulation.

g. On occasion, when considered appropriate, an informal conference on the merits of the protest with all interested parties may be held.

FF. Protests Before Award

1. Solicitation Phase.

Protests concerning the solicitation must be submitted in writing five (5) working days prior to proposal opening or closing date for receipt of proposals. If the written protest is not received by the time specified, award may be made in the normal manner unless the Director of Purchasing, upon investigation, finds that remedial action is required. Oral protests not followed up by a written protest will be disregarded.

Notice of a protest and the basis therefore will be given to all potential proposers or Offerors.

2. Pre-Award Phase.

When a protest against the making of an award is received after receipt of proposals but prior to award, the Director of Purchasing may determine to withhold the award pending disposition of the protest. The proposers or proposers whose proposals might become eligible for award should be requested, before expiration of the time for acceptance of their proposals, to extend the time for acceptance (with consent of sureties, if any) to avoid the need for readvertising. RIPTA will provide a written response to each material issue raised in the written protest.

Where a written protest against the making of an award is received in the time specified, award will not be made prior to five (5) working days after resolution of the protest or, if a protest has been filed with FTA during the pendency of that protest, unless RIPTA determines that:

a. The items to be procured are urgently required;

b. Delivery or performance will be unduly delayed by failure to make award promptly; or,

c. Failure to make award will otherwise cause undue harm to RIPTA or the Federal Government.

If award is made, the Director of Procurement will document the file to explain the need for an award, and will give written notice of the decision to proceed with the award to the protester and, as appropriate, to others concerned.

GG. Protests After Award.

A protest received not later than 10 (ten) working days after award shall be reviewed by the Director of Purchasing. The Contractor will, in any event, be furnished with the notice of protest and the basis therefore. When it appears likely that an award may be invalidated and a delay in receiving the supplies or services is not prejudicial to the Authority's interest, the Director of Purchasing should consider a mutual agreement with the Contractor to suspend performance on a no-cost basis.

HH. Source Selection and Contract Award

The contract shall be awarded with reasonable promptness by written notice to the responsive and responsible Proposer whose proposal will be evaluated using a best value approach. The ultimate selection of an offeror will be on the basis of overall best value to the Authority.

II. Title VI Assurances

Contractors and subcontractors will be required to comply with all requirements imposed by Title VI of the Civil Rights Act of 1964 (49 U>S>C 2000d), and the Assurances by RIPTA pursuant thereto.

JJ. Energy Conservation Requirements:

The Contractor agrees to comply with mandatory standards and policies relating to energy efficiency, which are contained in the State of Rhode Island Energy Conservation Plan issued in compliance with the Energy Policy and Conservation Act.

KK. Program Fraud

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

LL. No Government Obligation to Third Parties:

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

MM. Veteran's Employment

The Contractor shall ensure that contractors working this project shall give a hiring preference, to the extent practicable, to veterans (as defined in Section 2108 of title 5) who have the requisite skills and abilities to perform the work required under the contract. This shall not be understood, construed or enforced in any manner that would require an employer to give a preference to any veteran over any equally qualified applicant who is a member of any racial or ethnic minority, female, an individual with a disability, or a former employee.

V. GENERAL PROVISIONS

A. Definitions:

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

1. Authority

Authority means Rhode Island Public Transit Authority (RIPTA).

2. Contracting Manager

the person executing this Contract on behalf of the Authority, and his or her successor, and the term includes, except as otherwise provided in this Contract, the authorized representative of a Contracting Officer acting within the limits of his authority.

3. Directed, Ordered, designated or prescribed

Wherever in the scope of the work the words directed, ordered, designated, prescribed, or words of like importance are used, it shall be understood that the direction, requirement, order, designation, or prescription of the Contracting Manager is intended and similarly the words approved, acceptable, satisfactory, or words of like importance shall mean approved by, or acceptable to, satisfactory to the Contracting Officer, unless expressly stated.

B. Changes:

The Contracting Officer may at any time, by a written order, and without notice to the sureties, make changes within the general scope of this Contract. If any such changes causes an increase or decrease in the cost of, or the time required for, the performance of any part of the work under this Contract, whether changed or not changed by the order, the Contracting officer shall make an equitable adjustment in the Contract price, the delivery schedule, or both, and shall modify the Contract.

The Contractor must assert its right to an adjustment under this article within 30 days from the date of receipt of the written order. Failure to agree to any adjustment shall be a dispute under the Disputes article. However, nothing in this article shall excuse the Contractor from proceeding with the contract as changed.

C. Extras:

Except as otherwise provided in this Contract, no payment for extras shall be made unless such extras and the price therefore have been authorized in writing in advance by the Contracting Officer.

D. Inspection:

All supplies, which term throughout this article includes without limitation raw materials, components, intermediate assemblies, and end products, shall be subject to inspection and test by the Authority, to the extent practicable at all times and places including the period of manufacture, and in any event prior to acceptance.

In case any supplies or lots of supplies are defective in material or workmanship or otherwise not in conformity within the requirements of this Contract, the Authority shall have the right either to reject them or require their correction. If any inspection or test is made by the Authority on the premises of the Contractor or a subcontractor, the Contractor without additional charge shall provide all reasonable facilities and assistance for the safety and convenience of the Authority inspectors in the performance of their duties. All inspections and test by the Authority shall be performed in such a manner as not to unduly delay this work. The Authority reserves the right to charge to the Contractor any additional cost of Authority inspection and test when supplies are not ready at the time such inspection and test is requested by the Contractor or when re-inspection or retest is necessitated by prior rejection. Acceptance or rejection of the supplies shall be made as promptly as practicable after delivery, except as otherwise provided in this Contract; but failure to inspect and accept or reject supplies shall neither relieve the Contractor from responsibility for such supplies as are not in accordance with the contract requirements nor impose liability on the Authority therefore. The inspection and test by the Authority of any supplies or lots thereof does not relieve the Contractor from any responsibility regarding defects or other failures to meet the Contract requirements, which may be discovered prior to acceptance. Except as otherwise provided in this Contract, acceptance shall be conclusive except as regard latent defects, fraud, or such gross mistakes as amount to fraud. The Contractor shall provide and maintain an inspection system acceptable to the Authority covering the supplies hereunder. Records of all inspection work by the Contractor shall be kept complete and available to the Authority during the performance of this Contract and for such longer period as may be specified elsewhere in this Contract.

E. Responsible:

Notwithstanding the requirements for any Authority inspection and test contained in Specifications applicable to this Contract, except where specialized inspections or tests are specified for performance solely by the Authority, the Contractor shall perform or have performed the inspections and tests required to substantiate that the supplies and services provided under the contract conform to the Drawing, Specifications and Contract requirements.

F. Title and Risk of Loss

Unless this Contract specifically provides for earlier passage of title, title to supplies covered by this Contract shall pass to the Authority upon formal acceptance. Unless this Contract specifically provides otherwise, risk of loss

of or damage to supplies covered by this Contract shall remain with the Contractor, until acceptance by the Authority.

Notwithstanding the above, the risk of loss of or damage to supplies which so fail to conform to the Contract as to give a right of rejection shall remain with the Contractor until cure or acceptance, at which time the above shall apply.

G. Payments

The Contractor shall be paid, upon the submission of proper invoices or vouchers, the prices stipulated herein for supplies delivered and accepted or services rendered and accepted, less deductions, if any, as specified. The failure to perform may result in partial or full suspension of payment and/or process payment. The Authority's payment terms are 60 days after approval of an invoice unless otherwise negotiated.

H. Stop Work Order

The Contracting Manager may, at any time, by written order to the Contractor, require the Contractor to stop all, or part of the work called for by this Contract. Any such order shall be specifically identified as a STOP WORK ORDER issued pursuant to this article. Upon receipt of such an order, the Contractor shall forthwith comply with its terms and take all reasonable steps to minimize the incurrence of costs allocable to the work covered by the order during the period of work stoppage.

I. Disputes

1. Except as otherwise provided in this Contract, any dispute concerning a question of fact arising under this Contract which is not disposed of by agreement shall be decided by the Contracting Officer, who shall reduce his decision to writing and mail or otherwise furnish a copy thereof to the Contractor. The decision of the Contracting Officer shall be final and conclusive unless, within 30 days from the date of receipt of such copy, the Contractor mails or otherwise furnishes to the Contracting Officer a written appeal addressed to the General Manager. The decision of the General Manager or his/her duly authorized representative for the determination of such appeals shall be final and conclusive unless determined by a court of competent jurisdiction to have been fraudulent, or capricious, or arbitrary, or so grossly erroneous as necessarily to imply bad faith, or is not supported by substantial evidence. In connection with any appeal proceeding under this article, the Contractor shall be awarded an opportunity to be heard and to offer evidence in support of his appeal. Pending final decision of a dispute hereunder, the Contractor shall proceed diligently with the performance of the contract and in accordance with the Contracting Officer's decision.

2 This **DISPUTES** article does not preclude consideration of questions of law in connection with decisions provided for in paragraph a. above. Nothing in this Contract, however, shall be construed as making the final decisions of the General Manger of his/her representative on a question of law.

J. Default

1. The Authority may, subject to the provisions of paragraph b. below, by written notice of default to the Contractor, terminate the whole or any part of this Contract in any one of the following circumstances:
   a. If the Contractor fails to make delivery of the supplies or to satisfactorily perform the services within the time specified herein or any extension thereof; or
   b. If the Contractor fails to perform any of the other provisions of this Contractor, or so fails to make its terms, and in either of these two circumstances does not cure such failure within a period of 10 days (or such longer period of as the Contracting Officer may authorize in writing) after receipt of notice from the Contracting Officer specifying such failure

2. Default without the fault or negligence of the Contractor. Such causes may include, but are restricted to, acts of God or of the public enemy, acts of the Government in its sovereign capacity or the Authority in its contractual capacity, fires, floods, epidemics, quarantine restrictions, strikes, freight embargoes, and unusually severe weather; but in every case the failure to perform must be beyond the control and without the fault or negligence of the Contractor.

3. If the Contractor fails to deliver the supplies or satisfactorily perform the services within the time specified in this Contract, or any extension thereof, the actual damage to the Authority for the delay will be difficult or impossible to determine. Therefore in lieu of actual damages, the Contractor shall pay to the Authority as fixed, agreed and liquidated damages for each calendar day of delay, the amount set forth elsewhere in this Contract. The Contractor shall not be charged with liquidated damages when the delay arises out of causes beyond the control and without the fault or negligence of the Contractor, and in such event, subject to this DISPUTES article, the Contracting Officer shall ascertain the facts and extent of the delay and shall extend the time for performance of the contract when in his judgment the findings of fact justify an extension.

4. The rights and remedies of the Authority provided in this article shall not be exclusive and are in addition to any other rights and remedies provided by law or under this Contract.

K. Termination for Convenience of the Authority

The performance of work under this Contract may be terminated by the Authority in accordance with this article in whole, or from time to time in part, whenever the Contracting Officer shall determine that such termination is in the best interest of the Authority. Any such termination shall be effected 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, the Contractor shall submit to the Contracting Officer his termination claim, in the form and with certification prescribed by the Contracting Officer. Such claims shall be submitted promptly by in no event later than one year from the effective date of

termination. Upon failure of the Contractor to submit his termination claim within the time allowed, the Contracting Officer may, subject to any review required by the contracting agency's procedures in effect as of the date of execution of this Contract, determine, on the basis of information available to him, the amount, if any, due the Contractor by reason of the termination and shall thereupon pay to the Contractor the amount so determined.

In the event of the failure of the Contractor and the Contracting Officer to agree upon the whole amount to be paid the Contractor by reason of the termination of work pursuant to this article, the Contracting Officer shall, subject to any review by the contracting agency's procedures in effect as of the date of execution of this Contract, determine, on the basis of information available to him, the amount if any, due the Contractor by reason of the termination.

Costs claimed, agreed to , or determined pursuant to this paragraph shall be in accordance with the applicable with the applicable contract cost principles and procedures of the Federal Acquisition Regulations (48 CFR 31.1) in effect on the date of this Contract. The Contractor shall have the right to appeal, under the DISPUTES article of this Contract from any determination made by the Contracting Officer, except that, if the Contractor has failed to submit his claim within the time provided above and has failed t request extension of such time, he shall have no such right of appeal. Unless otherwise provided for in this Contract, or by applicable statue, the Contractor, from the effective date of termination and for a period of three years after final settlement under this Contract, shall preserve and make available to the Authority at all reasonable times at the office of the Contractor but without direct charge to the Authority, all his books, records, documents, and other evidence bearing on the costs and expenses of the Contractor under this Contract and relating to the work terminated hereunder, or, to the extent approved by the Contracting Officer, photographs, micro photographs, or other authentic reproductions thereof.

L. Federal, State and Local Taxes

Except as may be otherwise provided in this Contract, the Contract price includes all applicable Federal, State, and Local taxed and duties. The Authority upon the request of the Contractor shall, without further liability, furnish evidence appropriate to establish exemption from any Federal, State, or Local tax.

M. Walsh-Healey Public Contracts Act

If this contract is for the manufacture or furnishing of materials, supplies articles, or equipment in an amount which exceeds or may exceeds or exceed $10,000 and is otherwise subject to the Walsh-Healey Public Contract Act, as amended (41 U.S.C. 34-35), there are hereby incorporated by reference all representations and stipulations required by said Act and regulations issued thereunder by the Secretary of Labor, such representations of the Secretary of Labor which are now or may hereafter be in effect.

N. Officials Not to Benefit

No member, officer, or employee of the Authority during his tenure or one year thereafter shall have any interest, direct or indirect, in this Contract or the proceeds thereof.

O. Covenant against Contingent Fees

The Contractor warrants that no person or selling agency has been employed or retained to solicit or secure this Contract upon an agreement or understanding for a commission, percentage, brokerage, or contingent fee, excepting bona fide employees or bona fide established commercial or selling agencies maintained by the Contractor for the purpose of securing business. For breach or violation of this warranty, the Authority shall have the right to annul this Contract without liability or in its discretion, to full amount of such commission, percentage, brokerage, or contingent fee.

P. Notice to the Authority of Labor Disputes

Whenever the Contractor has knowledge that any or potential labor disputes is delaying or threatens to delay the timely performance of this Contract, the Contractor shall immediately give notice thereof, including all relevant information with respect thereto, to the Contracting Officer. The Contractor agrees to insert the substance of this clause, in any subcontract hereunder as to which a labor dispute may delay the timely performance of this Contract; except that each such subcontract shall provide that in the event its timely performance is delayed or threatened by delay by any actual or potential labor dispute, the subcontractor shall immediately notify his next higher tier subcontractor, or the Contractor, as the case may be, of all relevant information with respect to such dispute.

Q. Patent Indemnity

1. If the amount of this Contract is in excess of $10,000, the Contractor shall indemnify the Authority and its officers, agents, and employees against liability, including costs, for infringement of any United States letters patent arising out of the manufacture or delivery of supplies under this Contract.
2. In addition, if specifically requested by the Contracting Officer prior to execution of the Contract, a copy of the current license agreement and identification of applicable claims of specific patents shall be furnished.

R. Use of Trade Names

Any trade names used in this document are merely used for a point of reference. The Authority will consider submission of approved equals on any or all products specified. Use of trade names by the Authority bears no actual or implicit approval for the violation of any current or pending patents or copyrights.

S. Rights in Technical Data

1. The Authority shall have the right to use, duplicate or disclose technical data, which includes computer software, in whole or in part, in any manner and for any purpose whatsoever, and to have or permit others to do so:
   a. Any manuals, instructional materials prepared for installation, operation, maintenance or training purposes;
   b. Technical data pertaining to end items, components or processes which were prepared for the purpose of identifying

sources, size, configuration, mating and attachment characteristics, functional characteristics and performance requirements ("for, fit and function: data; e/g/ specification control drawing, catalog sheets, outline drawing; except that for computer software it means data identifying source, functional characteristics, and performance requirements but specifically excludes the source code, algorithm, process, formulae, and flow charts of the software);

c. Other technical data which has been, or is normally furnished without restriction by the Contractor or subcontractor;

d. Other specifically described technical data, which the parties have agreed will be furnished without restriction.

2. The Authority shall have the right to use, duplicate, or disclose technical data other than that defined in paragraph a. in whole or in part, with the express limitation that such technical data shall not, without the written permission of the party furnishing such technical data, be

   a. released or disclosed in part by the Authority for manufacture, or

   b. used in whole or in part by the Authority for manufacture, or

   c. used by a party other than the Authority except for emergency repair or overhaul work only, by or for the Authority where the item or process concerned is not otherwise reasonably available to enable timely performance of the work; provided, that the release or disclosure thereof outside the Authority shall be made subject to a prohibition against further use, release or disclosure.

3. Technical data provided in accordance with the provisions of paragraph b. shall be identified by a legend, which suitably recites the aforesaid limitation. Nothing herein shall impair the right of the Authority to use similar or identical data acquired from other sources.

4. The term <u>technical data</u> as used in this article means technical writing, computer software, sound recording, pictorial reproductions, drawings, or other representations and works of a technical nature, whether or not copyrighted, which are specified to be delivered pursuant to this Contract. The term does not include financial reports, cost analysis, and other information incidental to Contract administration. Computer software as used in this article means computer programs, computer databases, and documentation.

5. Material covered by copyright:

   a. The Contractor agrees to and does hereby grant to the Authority, and to its officers, agents and employees acting within the scope of their official duties, a royalty-free, nonexclusive and irrevocable license throughout the world for Authority purposes to publish, translate, reproduce, deliver, perform, dispose of, and to authorize others to do so, all technical data now or hereafter covered by copyright.

   b. No such copyright matter shall be included in technical data furnished hereunder without the written permission of the copyright owner for the Authority (or higher-tier contractor) promptly and in reasonable written detail each notice or claim

of copyright infringement received by the Contractor with respect to any technical data delivered hereunder.

6. Relation to patents: Nothing contained in this article shall imply a license to the Authority under any patent, or be construed as affecting the scope of any license or other right otherwise granted to the Authority under any patent.
7. Any dispute under this article shall be subject to the Disputes article of this contract

T. Audit and Inspection of Records

The Contractor shall maintain records, and the Contracting Officer, the State of Rhode Island, the U.S. Department of Transportation, and the Comptroller General of the United States or any of their duly authorized representatives shall, until the expiration of three years after final payment under this Contract, have access to and the right to examine any directly pertinent books, documents, papers and records of such contractor, involving transactions related to the Contract, for the purpose of making audit, examination, excerpts and transactions.

The Contractor further agrees to include in all his subcontracts hereunder a provision to the effect that the subcontractor agrees that the Contracting Officer, the State of Rhode Island, the U.S. Department of Transportation and the Comptroller General of the United States or any of their Duly authorized representatives shall, until the expiration of three years after final payment under the Contract, have access to and the right to examine any directly pertinent books, documents, papers and records of such subcontractor, involving transactions related to the subcontract, for the purpose of making audit, examination, excerpts and transcription.

U. Gratuities

In connection with performance of work required under this Contract, or any changes or modifications relative thereto, the giving of or offering to give gratuities (in the form of entertainment, gifts or otherwise) by the Contractor, or any agent, representative or other person deemed to be acting on behalf of the Contractor, or any supplier or subcontractor furnishing material to or performing work under this Contract, or agent, representative or other person deemed to be acting on behalf of such supplier or subcontractor, to any Director, Officer or employee of the Authority; or to any Director, employee or agent of any of the Authority's agents, consultants, representatives or other persons deemed to be acting for or on behalf of the Authority with a view toward securing a contract or securing favorable treatment with respect to the awarding to the awarding or amending, or the making of any determinations with respect to the performing of such contract is expressly forbidden. The terms of this GRATUITIES article shall be strictly construed and enforced in the event of violations hereto.

V. Limitation on Withholding Payments

If more than one article or schedule provision of this Contract authorized the temporary withholding of amounts otherwise payable to the Contractor for supplies delivered or services performed, the total of the amounts so withheld at any one time shall not exceed the greatest amount which may be withheld under any one such article or schedule provision at that time; provided, that this limitation shall not apply to:

1. Withholdings pursuant to any clause relating to wages or hours of employees;
2. Withholdings not specifically provided for by this Contract; and
3. The recovery of overpayment.

W. New Material

The Contractor represents that the supplies and components to be provided under this Contract are new (not used or reconditioned, and not of such age or so deteriorated as to impair their usefulness or safety).

X. Order of Precedence

In the event of an inconsistency in the Contract, unless otherwise provided herein, the inconsistency shall be resolved by giving precedence in the following order:

1. The Proposal Schedule;
2. Special Conditions;
3. General Provisions;
4. The other provisions of the Contract, whether incorporated by reference or otherwise;
5. The Specifications; and
6. Drawings.

Y. Correction of Deficiencies

1. Definitions:

As used in this article:

a. Deficiency means any condition or characteristics in any supplies (which term shall include related technical data) or services furnished hereunder, which is not in compliance with the requirements of this Contract.
b. Correction means any and all actions necessary to eliminate any and all deficiencies.
c. Supplies mean the end item(s) furnished by the Contractor and related services required under this Contract.

2. General:

a. The rights and remedies of the Authority shall not be affected in any way by any other provisions under this Contract concerning the conclusiveness of inspection and acceptance.
b. The Contractor shall not be responsible under this article for the correction of deficiencies caused by the Authority. These shall be no extension in time for performance; no increase in contract price for the correction of deficiencies that are the responsibility of the Contractor, his suppliers, and/or subcontractors.

3. Deficiencies in accepted supplies or services:

If the Contracting Officer determines that a deficiency exists in any of the supplies or services accepted by the Authority under this Contract, he shall promptly notify the Contractor of the deficiency, in writing, within 30 days. Upon timely notification of the existence of such a deficiency, or if the Contractor independently discovers a deficiency in

accepted supplies or services, the Contractor shall promptly submit to the Contracting Officer his recommendation for corrective actions, together with supporting information in sufficient detail for the Contracting Officer to determine what corrective action, if any, shall be undertaken.

4. **Correction of Deficiencies by Contractor:**
The Contractor shall promptly comply with any timely written direction by the Contracting Officer to correct or partially correct a deficiency, at no increase in the Contract price. The Contractor shall also prepare and furnish to the Authority data and reports applicable to any correction required under this article (including revision and updating of all other affected data called for under this Contract) at no increase in the Contract price.

5. **Deficiencies in supplies or services not yet accepted:**
If the Contractor becomes aware at any time before acceptance by the Authority (whether before or after tender to the Authority) that a deficiency exists in any supplies or services, he shall promptly correct the deficiency or, if he elects to invoke the procedures in paragraph c. above he shall promptly communicate information concerning the deficiency to the Contracting Officer, in writing, together with his detailed recommendation for corrective action.

6. **Extensions or Delays**
In no event shall the Authority be responsible for extension or delays in the scheduled deliveries or periods of performance under this Contract as a result of the Contractor's obligations to correct deficiencies, nor shall there be any adjustment of delivery schedule or period of performance as a result of corrections of deficiencies, except as may be agreed to by the Authority in a supplemental agreement with adequate consideration.

7. **Contract Price**
It is hereby specifically recognized and agreed by the parties hereto that this article shall not be construed as obligating the Authority to increase the Contract price of this Contract.

8. **Failure to correct:**
If the Contractor fails or refuses to promptly rectify the deficiency the Contracting Officer shall give the Contractor written notice specifying the failure or refusal and setting a period after receipt of the notice within which it must be cured. If the failure or refusal is not cured within the specified period, the Contracting Officer may, by contract or otherwise, as required:
   a. Obtain detailed recommendations for corrective action;
   b. Correct the supplies or services, or
   c. Replace the supplies or services; and if the Contractor fails to furnish timely disposition instructions, the Contracting Officer may dispose of nonconforming supplies for the Contractor's account in a reasonable manner, in which case the Authority is entitled to reimbursement from the Contractor or from the proceeds for the reasonable expenses of case and disposition, as well as for excess costs incurred or to be incurred; and
   d. Obtain applicable data and reports; and charge to the Contractor the cost occasioned the Authority thereby.

e. Impose Liquidated Damages in accordance the terms of this document

f. Terminate the contract. Termination of contract by RIPTA does not relieve the contractor of any liquidated damages imposed by the Authority.

Z. Assignment

1. The Contractor shall not transfer the rights and obligations of the Contract to third parties without the prior written approval of the Authority's Contracting Officer. After review of facts and circumstances without exception the assignment shall not be approved unless the surety, in writing, agrees to that assignment and accepts the assignee as the Contractor and principal on the payment and/or performance bonds.
2. If this Contract provides for payments aggregating $1,000 or more, claims for monies due or to become due the Contractor from the Authority under this Contract may be assigned to a bank, trust company, or other financing institution, including any Federal lending agency, any may thereafter by further assigned and reassigned to any institution. (Notice of such assignment shall be made to the Authority.) Any such assignment or reassignment shall cover all amounts payable under this Contract and not already paid, and shall not be made to more than one party, except that any such assignment or reassignment or reassignment may be made to one party as agent or trustee for two or more parties participating in such financing. It is the Authority's intent to recognize only bona fide lending institutions, therefore, assignment to any private corporation, business or individual, which does not qualify as such, is specifically prohibited.
3. Any attempt to transfer by assignment not authorized by this article shall constitute a breach of the Contract and the Authority may for such cause terminate the right of the Contractor to proceed as provided in the DEFAULT article of these General Provisions, and the Contractor and his sureties shall be liable to the Authority for any excess costs incurred by the Authority.
4. The Rhode Island Public Transit Authority may assign some or all of its rights to purchase the items specified in this contract to one or more third parties, provided, however, that nay such assignment shall not relieve RIPTA of its obligations under this contract unless otherwise agreed to by Contractor in writing.

AA. Certificates of Current Cost or Pricing Data

The Contractor shall provide a Certificate of Current Cost or Pricing Data as required in Subpart 15.804 of the Federal Acquisition Regulations (48 CFR 15.804) in support of any negotiated contract expected to exceed $100,000 any modification to a formally advertised or negotiated contract on which the aggregate of the increase and decrease in cost are expected to exceed $100,000; the Contracting Officer at his discretion may request cost or pricing data for modifications on which cost are $100,000 or less and an attendant certificate of current cost or pricing data.

BB. Cargo Preference

Use of United States Flag Vessels

Pursuant to Pub. L 664 (56 U.S.C. 1241 (b)):
"Cargo Preference-Use of United States-Flag Vessels
The Contractor agrees

1. To utilize privately owned United States-flag commercial vessels to ship at least 50 percent of the gross tonnage (computed separately for dry bulk cargo liners, and tankers) involved, whenever shipping any equipment, materials, or commodities pursuant to this Contract, to the extent such vessels are available at fair and reasonable rates for United States-flag commercial vessels.
2. To furnish within 20 days following the date of loading for shipments originating within the United States, or within 30 working days following the date of loading for shipments originating outside the United States, a legible copy of a rated, "on-board" commercial ocean bill-of-lading in English for each shipment of cargo described in paragraph (1) above to the Grantee (through the prime Contractor in the care of subcontractor bills-of lading) and to the Division of National Cargo, Officer of Market Development, Maritime Administration, Washington, D.C. 20230, marked with appropriate identification of the Project.
3. To insert the substance of the provisions of this clause in all subcontracts issued pursuant to this Contract.

CC. Buy America Act

The Contractor agrees to comply with 49 U.S.C. §533(j), and its implementing regulations at 49 C.F.R. Part 661, any amendments thereto, and any implementing guidelines issued by FTA.

DD. Equal Opportunity

1. Race, Color, Creed, National Origin, Sex.

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

2. Age

In accordance with section 4 of the Age Discrimination in Employment Act of 1967, as amended, 29, U.S.C. § 623 and Federal Transit Law at

49 U.S.C. § 5332, the Contractor agrees to refrain from discrimination against present and prospective employees for reason of age. In addition, the Contractor agrees to comply with any implementing requirements FTA may issue.

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

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

EE. Nondiscrimination under Federal Grants

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

FF. Rights in Data and Copyrights-FTA (June 1996)

The term "subject data" used in this section means recorded information, whether or not copyrighted, that is delivered or specified to be delivered under this contract. The term includes graphic or pictorial delineation in media such as drawings or photographs; text in specifications or related performance or design-type documents; machine forms such as punched cards, magnetic tape, or computer memory printouts; and information retained in computer memory. Example include, but are not limited to: computer software, engineering drawings and associated lists, specifications, standards, process sheets, manuals, technical reports, catalog item identifications, and related information. The term "subject data" does not include financial reports, cost analyses, and similar information incidental to Project administration.

When the Federal Transit Administration (FTA) provides financial assistance for a planning, research, development, or a demonstration project, it is FTA's general intention to increase mass transportation knowledge, rather than limit the benefits of the Project to participants in the Project. Therefore, unless FTA determines otherwise, the Contractor agrees that FTA may make available to any FTA recipient, subrecipient, third party contractor, or third party subcontractor, either FTA's license in the copyright to the subject data derived under this contract or a copy of the subject data as defined in subsection a. of this clause and shall be delivered as the Government may direct. Unless prohibited by state law, the Contractor agrees to indemnify, save, and hold

harmless RIPTA and the Government, their officers, agents, and employees acting within the scope of their official duties against any liability, including costs and expenses, resulting from any willful or intentional violation by the contractor of proprietary rights, copyrights, or right of privacy, arising out of the publication, translation, reproduction, delivery, use, or disposition of any data furnished under this Contract. The Contractor shall not be required to indemnify RIPTA and the Government for any such liability arising out of the wrongful acts of employees or agents of RIPTA and the Government.

GG. Davis-Bacon Act

40 USC &167; 276a -276a-5 (1998) 29 CFR § 5 (1999)

1. Minimum wages

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

Contributions made or costs reasonably anticipated for bona fide fringe benefits under section 1(b)(2) of the Davis-Bacon Act on behalf of laborers or mechanics are considered wages paid to such laborers or mechanics, subject to the provisions of paragraph (1)(iv) of this section; also, regular contributions made or costs incurred for more than a weekly period (but not less often than quarterly) under plans, funds, or programs which cover the particular weekly period, are deemed to be constructively made or incurred during such weekly period. Such laborers and mechanics shall be paid the appropriate wage rate and fringe benefits on the wage determination for the classification of work actually performed, without regard to skill, except as provided in 29 CFR Part 5.5(a)(4). Laborers or mechanics performing work in more than one classification may be compensated at the rate specified for each classification for the time actually worked therein: Provided, That the employer's payroll records accurately set forth the time spent in each classification in which work is performed. The wage determination and the Davis-Bacon poster (WH-1321) shall be posted at all times by the contractor and its subcontractors at the site of the work in a prominent and accessible place where it can be easily seen by the workers.

b. The contracting officer shall require that any class of laborers or mechanics, including helpers, which is not listed in the wage determination and which is to be employed under the contract

shall be classified in conformance with the wage determination. The contracting officer shall approve an additional classification and wage rate and fringe benefits therefore only when the following criteria have been met:

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

ii. The classification is utilized in the area by the construction industry; and

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

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

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

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

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

f. Whenever the minimum wage rate prescribed in the contract for a class of laborers or mechanics includes a fringe benefit which is not expressed as an hourly rate, the contractor shall either pay the benefit as stated in the wage determination or shall pay

another bona fide fringe benefit or an hourly cash equivalent thereof.

g. If the contractor does not make payments to a trustee or other third person, the contractor may consider as part of the wages of any laborer or mechanic the amount of any costs reasonably anticipated in providing bona fide fringe benefits under a plan or program, Provided, That the Secretary of Labor has found, upon the written request of the contractor, that the applicable standards of the Davis-Bacon Act have been met. The Secretary of Labor may require the contractor to set aside in a separate account assets for the meeting of obligations under the plan or program.

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

   i. The work to be performed by the classification requested is not performed by a classification in the wage determination; and
   ii. The classification is utilized in the area by the construction industry; and
   iii. The proposed wage rate, including any bona fide fringe benefits, bears a reasonable relationship to the wage rates contained in the wage determination.

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

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

notify the contracting officer within the 30-day period that additional time is necessary.

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

2. Withholding

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

3. Payrolls and basic records

a. Payrolls and basic records relating thereto shall be maintained by the contractor during the course of the work and preserved for a period of three years thereafter for all laborers and mechanics working at the site of the work (or under the United States Housing Act of 1937, or under the Housing Act of 1949, in the construction or development of the project). Such records shall contain the name, address, and social security number of each such worker, his or her correct classification, hourly rates of wages paid (including rates of contributions or costs anticipated for bona fide fringe benefits or cash equivalents thereof of the types described in section 1(b)(2)(B) of the Davis-Bacon Act), daily and weekly number of hours worked, deductions made and actual wages paid. Whenever the Secretary of Labor has found under 29 CFR 5.5(a)(1)(iv) that the wages of any laborer or mechanic include the amount of any costs reasonably anticipated in providing benefits under a plan or program described in section 1(b)(2)(B) of the Davis-Bacon Act, the contractor shall maintain records which show that the commitment to provide such benefits is enforceable, that the plan or program is financially responsible, and that the plan or program has been communicated in writing to the laborers or mechanics affected, and records which show the

costs anticipated or the actual cost incurred in providing such benefits. Contractors employing apprentices or trainees under approved programs shall maintain written evidence of the registration of apprenticeship programs and certification of trainee programs, the registration of the apprentices and trainees, and the ratios and wage rates prescribed in the applicable programs.

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

ii. Each payroll submitted shall be accompanied by a "Statement of Compliance," signed by the contractor or subcontractor or his or her agent who pays or supervises the payment of the persons employed under the contract and shall certify the following:
(1) That the payroll for the payroll period contains the information required to be maintained under 29 CFR part 5 and that such information is correct and complete;
(2) That each laborer or mechanic (including each helper, apprentice, and trainee) employed on the contract during the payroll period has been paid the full weekly wages earned, without rebate, either directly or indirectly, and that no deductions have been made either directly or indirectly from the full wages earned, other than permissible deductions as set forth in Regulations, 29 CFR part 3;
(3) That each laborer or mechanic has been paid not less than the applicable wage rates and fringe benefits or cash equivalents for the classification of work performed, as specified in the applicable wage determination incorporated into the contract.

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

d. The falsification of any of the above certifications may subject the contractor or subcontractor to civil or criminal prosecution

under section 1001 of title 18 and section 231 of title 31 of the United States Code.

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

4. Apprentices and trainees

a. Apprentices - Apprentices will be permitted to work at less than the predetermined rate for the work they performed when they are employed pursuant to and individually registered in a bona fide apprenticeship program registered with the U.S. Department of Labor, Employment and Training Administration, Bureau of Apprenticeship and Training, or with a State Apprenticeship Agency recognized by the Bureau, or if a person is employed in his or her first 90 days of probationary employment as an apprentice in such an apprenticeship program, who is not individually registered in the program, but who has been certified by the Bureau of Apprenticeship and Training or a State Apprenticeship Agency (where appropriate) to be eligible for probationary employment as an apprentice. The allowable ratio of apprentices to journeymen on the job site in any craft classification shall not be greater than the ratio permitted to the contractor as to the entire work force under the registered program. Any worker listed on a payroll at an apprentice wage rate, who is not registered or otherwise employed as stated above, shall be paid not less than the applicable wage rate on the wage determination for the classification of work actually performed. In addition, any apprentice performing work on the job site in excess of the ratio permitted under the registered program shall be paid not less than the applicable wage rate on the wage determination for the work actually performed. Where a contractor is performing construction on a project in a locality other than that in which its program is registered, the ratios and wage rates (expressed in percentages of the journeyman's hourly rate) specified in the contractor's or subcontractor's registered program shall be observed. Every apprentice must be paid at not less than the rate specified in the registered program for the apprentice's level of progress, expressed as a percentage of the journeymen hourly rate specified in the applicable wage

determination. Apprentices shall be paid fringe benefits in accordance with the provisions of the apprenticeship program. If the apprenticeship program does not specify fringe benefits, apprentices must be paid the full amount of fringe benefits listed on the wage determination for the applicable classification. If the Administrator of the Wage and Hour Division of the U.S. Department of Labor determines that a different practice prevails for the applicable apprentice classification, fringes shall be paid in accordance with that determination. In the event the Bureau of Apprenticeship and Training, or a State Apprenticeship Agency recognized by the Bureau, withdraws approval of an apprenticeship program, the contractor will no longer be permitted to utilize apprentices at less than the applicable predetermined rate for the work performed until an acceptable program is approved.

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

c. Equal employment opportunity - The utilization of apprentices, trainees and journeymen under this part shall be in conformity

with the equal employment opportunity requirements of Executive Order 11246, as amended, and 29 CFR part 30.

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

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

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

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

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

10. **Certification of eligibility.**
    a. By entering into this contract, the contractor certifies that neither it (nor he or she) nor any person or firm who has an interest in the contractor's firm is a person or firm ineligible to be awarded Government contracts by virtue of section 3(a) of the Davis-Bacon Act or 29 CFR 5.12(a)(1).
    b. No part of this contract shall be subcontracted to any person or firm ineligible for award of a Government contract by virtue of section 3(a) of the Davis-Bacon Act or 29 CFR 5.12(a)(1).
    c. The penalty for making false statements is prescribed in the U.S. Criminal Code, 18 U.S.C. 1001

HH. Contract Work Hours and Safety Standards Act

40 U.S.C. 327-333 (1995) 29C.F.R. 5 (1995) 29 C.F.R. 1926 (1995)

1. **Overtime requirements**
No contractor or subcontractor contracting for any part of the contract work which may require or involve the employment of laborers or mechanics shall require or permit any such laborer or mechanic in any

workweek in which he or she is employed on such to work in excess of forty hours in such workweek unless such laborers or mechanics receive compensation at a rate not less than one and one-half times the basic rate of pay for all hours worked in excess of forty hours in such workweek.

2. Violation; liability unpaid wages; liquidated damages

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

3. Withholding for unpaid wages; liquidated damages

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

4. Subcontracts

The contractor or subcontractor shall insert in any subcontracts the clauses set forth in this section and also a clause requiring the subcontractors to include these clauses in any lower tier subcontracts. The prime contractor shall be responsible for compliance by any subcontractor or lower tier subcontractor with the clauses set forth in this section. (Section 102 nonconstruction contracts should also have the following provision:)

5. Payrolls and basic records

Payrolls and basic records relating theretoshall be maintained by the contractor during the course of the work and preserved for a period of three years thereafter for all laborers and mechanics working at the site of the work (or under the United States Housing Act of 1937, or under the Housing Act of 1949, in the construction or development of the project). Such records shall contain the nams, address, and social security number of each worker, his or her correct classification, hourly rates of wages paid (including rates of contributions or costs anticipated for bona fide fringe benefits or cash equivalents thereof of the types described in section 1(b)(2)(B) of the Davis-Beacon Act), daily and weekly number of hours worked, deductions. Whenever the made and actual wages paid Secreary iof labor has found under 29 CFR 5.5 (a)(1)(iv) that the wages of any laborer or mechanic included

the amount of any costs reasonably anticipated in providing benefits under a plan or program described in section 1(b)(2)(B) of the Davis-Beacon Act, the contractor shall maintain records which show that the commitment to provide such benefits is enforceable, that the plan or program is financially responsible, and that the plan or program has been communicated in writing to the laborers or mechanics affected, and records which show the costs anticipated or the actual cost incurred in providing such benefits. Contractors employing apprentices or trainees under approved programs shall maintain written evidence of the regisration of apprenticeship programs and certification of trainee programs, the registration of the apprentices and trainees, and the ratios and wage rates prescribed in the applicable programs.

6. Contract Work Hours and Safety Standards Act

The contractor agrees to comply with section 107 of the Contract Work Hours and Safety Standards Act, 40 U.S.C. section 333, and applicable DOL regulations, "Safety and Health Regulations for Construction" 29 C.F.R. Part 1926. Among other things, the Contractor agrees that it will not require any laborer of mechanic to work in unsanitary, hazardous, or dangerous surroundings or working conditions.

7. Subcontracts

The Contractor also agrees to include the requirements of the section in each. The term "subcontract" under this section is considered to refer to a person who agrees to perform any part of the labor or material requirements of a contract for construction, alteration or repair. A person who undertakes to perform a portion of a contract involving the furnishing of supplies or materials will be considered a "subcontractor" under this section if the work in question involves the performance of construction work and is to be performed: (1) directly on or near the construction site, or (2) by the employer for the specific project on a customized basis. Thus, a supplier of materials, which will become an integral part of the construction is a "subcontractor" if the supplier fabricates or assembles the goods or materials in question specifically for the construction project and the work involved may said to be construction activity. If goods or materials in question are ordinarily sold to other customers from regular inventory, the supplier is not a "subcontractor." The requirements of this section do not apply to contracts or subcontracts for the purchase of supplies or materials or articles normally available on the open market.

II. Seismic Safety Requirements

42 U.S.C. 7701 et seq. 49 CFR Part 41

The contractor agrees that any new building or addition to an existing building will be designed and constructed in accordance with the standards for Seismic Safety required in Department of Transportation Seismic Safety Regulations 49 CFR Part 41 and will certify to compliance to the extent required by the regulation. The contractor also agrees to ensure that all work performed under this contract including work performed by a subcontractor is in compliance with the standards required by the Seismic Safety Regulations and the certification of compliance issued on the project.

JJ. Energy Conservation Requirements

42 U.S.C. 6321 et seq. 49 CFR Part 18

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

KK. Clean Air

42 U.S.C. 7401 et Seq 40 CFR 15.61 49 CFR Part 18

1 The Contractor agrees to comply with all applicable standards, orders or regulations issued pursuant to the Clean Air Act, as amended, 42 U.S.C. §§ 7401 et Seq . The Contractor agrees to report each violation to the Purchaser and understands and agrees that the Purchaser will, in turn, report each violation as required to assure notification to FTA and the appropriate EPA Regional Office.

2. The Contractor also agrees to include these requirements in each subcontract exceeding $100,000 financed in whole or in part with Federal assistance provided by FTA.

LL. Clean Water

1 The Contractor agrees to comply with all applicable standards, orders or regulations issued pursuant to the Federal Water Pollution Control Act, as amended, 33 U.S.C. 1251 et Seq . The Contractor agrees to report each violation to the Purchaser and understands and agrees that the Purchaser will, in turn, report each violation as required to assure notification to FTA and the appropriate EPA Regional Office.

2 The Contractor also agrees to include these requirements in each subcontract exceeding $100,000 financed in whole or in part with Federal assistance provided by FTA.

MM. Recovered Materials

The contractor agrees to comply with all the requirements of Section 6002 of the Resource Conservation and Recovery Act (RCRA), as amended (42 U.S.C. 6962), including but not limited to the regulatory provisions of 40 CFR Part 247, and Executive Order 12873, as they apply to the procurement of the items designated in Subpart B of 40 CFR Part 247.

NN. Fly America Requirements

The Contractor agrees to comply with 49 U.S.C. 40118 (the “Fly America” Act) in accordance with the General Services Administration’s regulations at 41 CFR Part 301-10, which provide that recipients and subrecipients of Federal funds and their contractors are required to use U.S. Flag air carriers for U.S Government-financed international air travel and transportation of their personal effects or property, to the extent such service is available, unless travel by foreign air carrier is a matter of necessity, as defined by the Fly America Act. The Contractor shall submit, if a foreign air carrier was used, an appropriate certification or memorandum adequately explaining why service by a U.S. flag air carrier was not available or why it was necessary to use a foreign air carrier and shall, in any event, provide a certificate of compliance with the Fly America requirements. The Contractor agrees to include the

requirements of this section in all subcontracts that may involve international air transportation.

OO. National Intelligent Transportation Systems Architecture and Standards

The Contractor agrees to conform, to the extent applicable, to the National Intelligent Transportation Systems (ITS) Architecture and Standards as required by section 5206(e) of TEA-21, 23 U.S.C. § 502 note, and comply with FTA Notice, "FTA National ITS Architecture Policy on Transit Projects" 66 Fed. Reg. 1455 *et seq*., January 8, 2001, and other Federal requirements that may be issued

PP. Federal Changes

Contractor shall at all times comply with all applicable FTA regulations, policies, procedures and directives, including without limitation those listed directly or by reference in the Agreement (Form FTA MA (9) dated October, 2002) between Purchaser and FTA , as they may be amended or promulgated from time to time during the term of this contract. Contractor's failure to so comply shall constitute a material breach of this contract.

QQ. Incorporation of Federal Transit Administration (FTA) Terms

The preceding provisions include, in part, certain Standard Terms and Conditions required by DOT, whether or not expressly set forth in the preceding contract provisions. All contractual provisions required by DOT, as set forth in FTA Circular 4220.1F, dated November 1, 2008 are hereby incorporated by reference. Anything to the contrary herein notwithstanding, all FTA mandated terms shall be deemed to control in the event of a conflict with other provisions contained in this Agreement. The Contractor shall not perform any act, fail to perform any act, or refuse to comply with any (name of grantee) requests, which would cause (name of grantee) to be in violation of the FTA terms and conditions.

RR. Force Majeure

Neither Party shall be liable to the other Party for failure of or delay in performance of any obligation under this Agreement, directly or indirectly, owing to war, acts of terrorism, acts of God, embargoes, riots, strike and other events beyond its reasonable control, the effect of which, by the exercise of reasonable diligence, the non-performing party could not avoid. In the event that such failure or delay occurs, the affected Party shall notify the other Party of the occurrence thereof as soon as possible and the Parties shall discuss the best way to resolve the event of force majeure.

Neither party shall, however, be excused from performance if nonperformance is due to forces which are preventable, removable, or remediable and which the non-performing party could have, with the exercise of reasonable diligence, prevented, removed, or remedied with reasonable dispatch. The non-performing party shall within a reasonable time of being prevented or delayed from performance by an uncontrollable force, give written notice to the other party describing the circumstances and uncontrollable forces preventing continued performance of the obligations of this Agreement. “

SS. Governing Law

The Contract shall be interpreted under and its performance governed by the laws of the State of Rhode Island."

TT. Indemnification

Proposers shall indemnify and hold harmless, the State of Rhode Island, all departments and division thereof and the Rhode Island Public Transit Authority from all liability, and said indemnification shall cover and include any and all aspects of liability arising from any lawsuit pertaining to the execution of this contract.

UU. Policy Concerning Federal and Stated False Claim Laws

As required by 42 U.S.C. §1396a(a)(68), the Rhode Island Public Transit Authority ("RIPTA") publishes the following information to all employees, contractors and agents about federal and state False Claims laws and RIPTA's policies to detect and prevent fraud, waste and abuse.

1. Prohibitions Against False Claims

Federal False Claims Act

The federal False Claims Act, among other things, applies to the submission of claims for payment by Medicare, Medicaid and other federal and state programs. The False Claims Act is the federal government's primary civil remedy for improper or fraudulent claims. It applies to all federal programs, including welfare and health care benefits.

2. Prohibitions of the Federal False Claims Act

The False Claims Act prohibits, among other things:

a knowingly presenting or causing to be presented to the federal government a false or fraudulent claim for payment or approval;

b knowingly making or using, or causing to be made or used, a false record or statement in order to have a false or fraudulent claim paid or approved by the government;

c conspiring to defraud the government by getting a false or fraudulent claim allowed or paid; and

d knowingly making or using, or causing to be made or used, a false record or statement to conceal, avoid, or decrease an obligation to pay or transmit money or property to the government.

"Knowingly" means that a person, with respect to information: (1) has actual knowledge of the information; (2) acts in deliberate ignorance of the truth or falsity of the information; or (3) acts in reckless disregard of the truth or falsity of the information, and no proof of specific intent to defraud is required.

3. Enforcement

The United States Attorney General may bring civil actions for violations of the False Claims Act. As with most other civil actions, the government must establish its case by presenting only a preponderance of the evidence rather than by meeting the higher burden of proof that applies in criminal cases.

The False Claims Act allows private individuals to bring "qui tam" actions for violations of the Act.

VV. American with Disabilities Act

All products, equipment or construction provided in accordance with this contract shall comply with the current version of the Americans with Disabilities Act of 1990 - 42 U.S.C. 12101, et seq. at the time of the solicitation.

WW. Expense Reimbursement Professional Services Contracts

The following methods of Reimbursement of Expenses directly related to the performance of this contract shall be utilized. Any expenses incurred must be approved in writing by the RIPTA Project Manager before they occur. The vendor is responsible to submit sufficient documentation to allow the Authority to verify the expenses.

1. **Automobile mileage**

   Travel mileage will be reimbursed at the rate approved by the Internal Revenue Service at the time the travel is incurred.

2. **Per Diem Expenses**

   Meals will be reimbursed at the rates established by the General Services administration for the City of Providence or Newport, which is applicable to the RIPTA Project. The applicable Per Diem rates can be found at the following website: **www.gsa.gov** .
   A copy of the print out of the GSA website documenting the applicable per diem rate must be attached to the invoice.

3. **Lodging**

   Lodging will be reimbursed at the rates established by the General Services administration for the City of Providence or Newport, which is applicable to the RIPTA Project. The applicable Per Diem rates can be found at the following website: **www.gsa.gov** .
   A copy of the print out of the GSA website documenting the applicable per diem rate must be attached to the invoice

4. **Miscellaneous Expenses**

   Materials used in conjunctions with this contract shall be provided at cost plus the following (applicable) fee for Overhead, Pickup and Delivery. No additional charges will be acceptable

Material Cost	Overhead Fee
$0-500	No Fee
$501-750	$75.00
$751-1000	$100.00
$1001-1500	$125.00
$1501-$2500	$180.00
$2501-5000	$300.00
$5001-7500	$450.00
Over 7501.	$525.00

   Copies of Receipts must be submitted to verify Miscellaneous Expenses

5. **Estimated Expenses**

   Proposers are required to submit an accurate list of projected expenses that may be necessary to properly execute the Scope of Services of this Contract. This must be submitted with the Proposal submittal.

XX. Background Check

Employees of the Successful Vendor that in the course of performance of this contract will be on any of RIPTA's Properties may be subject to a Criminal Background Check.

VI. REQUEST FOR APPROVED EQUAL FORM

This form must be submitted electronically IN MICROSOFT WORD FORMAT TO RIPTA CONTRACTS MANAGER

REQUEST FOR APPROVAL EQUAL QUALIFICATION OR CLARIFICATION

Page:_____ **Ref: RFP NO. 15-13**
Project No._____

To: Rhode Island Public Transit Authority

From: _____

Page & Reference:_____

Request Description

Use Additional Sheet If More Space Is Required

Accepted:_____ Rejected:_____ See Addendum #_____

Explanation:_____

VII. REQUIRED PROPOSAL SUBMISSIONS

The following items marked with an "X" must be submitted with Response
Failure to submit forms may result in Proposal being deemed non-responsive

Required Company Information Form **Must be completed by Prime and All Subcontractors**	X
Solicitation	X
Offer	X
Statement of Eligibility	X
Affidavit of Non-Collusion	X
Certification of Restrictions on Lobbying	X
Buy America Certificate **FORM MUST BE SUBMITTED WITH PROPOSAL, IF CHECKED, OR PROPOSAL WILL BE CONSIDERED NON RESPONSIVE**	
Disadvantaged Business Enterprise	X
General Contract Compliance Certificate Agreement (EEO)	X
Certification of Primary Participant Debarment	X
Certification of a Subcontractor (Debarment) **Each Subcontractor and potential subcontractor must fill in and sign**	X
Non-Resident Contractor (if applicable)	X
Davis Bacon Act Compliance Applicable Type: (**X**)Building ( ) Highway Wage Determination Number: **RI130001 08/30/2013 MOD 15**	
Drug & Alcohol Testing	
Proposal Guarantee (Surety)	
IRS W-9 Form (Copy Attached)	X

The following items marked with an "X" must be submitted AFTER AWARD of the Contract

Performance and Payment Bonds	
Certificate of Insurance- (as required in Section XX and the Scope of Work)	X

NOTE:
ITEMS WITHOUT AN "X" AND THEIR RESPECTIVE TERMS AND CONDITIONS ARE NOT REQUIRED IN THIS PROPOSAL

VIII. SOLICITATION FORM

COMPANY NAME _____

PROPOSAL NO. OR PROJECT NO. 15-13

DESCRIPTION Pension Audit Services

A. PROPOSAL REQUIREMENTS

Sealed proposals in original and Six copy(ies) will be received at the offices of the Rhode Island Public Transit Authority, 705 Elmwood Avenue Providence, Rhode Island 02907, at the proposal date and hour set forth on the Request for Proposal or anytime prior to the date and hour. Late proposals will not be accepted.

B. CONTRACT DOCUMENTS

By executing the offer form enclosed herewith, the proposer agrees to provide all services set forth on the specifications attached hereto upon the terms and conditions set forth in paragraphs A, B, C and D.

C. PAYMENT SCHEDULE

Payment will not be made until receipt and installation of merchandise is accepted by the Transit Authority.

D. COST FOR SERVICE

Please complete necessary cost information as outlined in the Proposal Scope of Work.

IX. OFFER FORM

Proposer understands that any condition other than stated in the specifications, clarification made to the above, or information submitted on or with this form, other than that requested, may render the proposal non-responsive.

By execution below, proposer hereby offers to furnish services in accordance with the contract documents that are a part of the specifications, and agrees to fully comply with the contract documents.

PROPOSAL NO 15-13

PROPOSER _____

EMPLOYER IDENTIFICATION NO. _____

NAME_____

ADDRESS_____

CITY/STATE/ZIP_____

TYPE OF BUSINESS ENTITY: (Please check one)

Sole Proprietor _____
Partnership _____
Corporation _____

PROPOSER'S CONTRACTING OFFICER

_____
Name *(Please Print)*

_____
Authorized Signature

_____
Title

X. STATEMENT OF ELIGIBILITY FORM

The _____hereby certifies that he/she
(Name of Proposer)
is/is not (underscore one) included on the Comptroller General's Lists of Persons or Firms Currently Barred for Violations of Various Public Contracts Incorporating Labor Standards Provisions.

_____
Name of Firm

_____
Address

_____
City, State, Zip

_____
Signature of Authorized Person

_____
Date Authorized

XI. AFFIDAVIT OF NON-COLLUSION FORM

I hereby swear (or affirm) under penalty for perjury:

1. that I am the Proposer (if the proposer is an individual), a partner of the Proposer (if the proposer is partnership), or an officer or employee of the proposing corporation having authority to sign on its behalf (if the Proposer is a corporation).

2. that the attached proposal has been arrived at by the Proposer independently, and has been submitted without collusion with, and without agreement, understanding, or planned common course of action with, any other vendor of materials, supplies, equipment, services described in Invitation for Proposals, designed to limit independent bidding or competition.

3. that the contents of the proposal has not been communicated by the Proposer or its employees or agents, to any person not an employee or agent of the Proposer or its surety on any bond furnished with the proposal, and will not be communicated to any such person prior to the official opening of the proposal; and

4. that I have fully informed myself regarding the accuracy of the statement made on this affidavit.

_____
Name

_____
Address

_____
City, State, Zip

_____
Signature of Authorized Official

_____
Date Authorized

Subscribed and sworn before me this _____ day of _____,20____

Notary Public

My commission expires _____

XII. CERTIFICATION OF RESTRICTIONS ON LOBBYING FORM

I,_____, hereby certify on
(Name/title of Proposer Authorized Official)

behalf of: _____that:
(Name of Proposer)

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

2) If any funds other than Federal appropriated funds have been paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, or an employee of a member of Congress in connection with this Federal contract, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, “Disclosure Form to Report Lobbying”, in accordance with its instructions.

3) The undersigned shall require that the language of this certification be included in the award documents for all sub-awards at all tiers (including subcontracts, sub-grants, and contracts under grants, loans, and cooperative agreements) and that all sub-recipients shall certify and disclosure accordingly.

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

Executed this _____ day of _____, 20_____.

By _____
(Signature of Authorized Official)

XIII. BUY AMERICA CERTIFICATION REQUIREMENTS I FOR PROCUREMENT OF STEEL OR MANUFACTURED PRODUCTS

49 U.S.C. 5323(j) and 49 CFR 661 provide that no Federal funds may not be obligated for mass transportation projects unless steel and manufactured products used in these projects are produced in the United States.

If steel or manufactured products are being procured, the appropriate certificate as set forth below shall be completed and submitted by each proposer.

Certificate of Compliance-The Proposer hereby certifies that it will comply with the requirements of 49 U.S.C. 5323 (j)(1) and the Applicable regulations on 49 CFR Part 661.

COMPANY NAME _____

SIGNATURE _____

TITLE _____

DATE _____

Certification of Non-Compliance-The Proposer hereby certifies that it cannot comply with the requirements of 49 U.S.C. 5323 (j)(1).

COMPANY NAME _____

SIGNATURE _____

TITLE _____

DATE _____

FORM MUST BE SIGNED AND SUBMITTED WITH PROPOSAL OR PROPOSAL WILL BE CONSIDERED TO BE NON-RESPONSIVE.

XIV. BUY AMERICA CERTIFICATION REQUIREMENTS II OF PROCUREMENT OF BUSES, OTHER ROLLING STOCK AND ASSOCIATED EQUIPMENT

49 U.S.C. 5323 (j) and 49 CFR 661 provide that no Federal funds be obligated for procurement of buses, other rolling stock and associated equipment unless the following conditions are met:

1. The cost of components which are produced in the United States is more that 60 per centum (60%) of the cost of all components of the vehicle or equipment described in this paragraph; and
2. Final assembly of the vehicle or equipment described in this paragraph has taken place in the United States.

If buses or other rolling stock (including train control, communication and traction power equipment) are being procured, the appropriate certificate as set forth below shall be completed and submitted by each proposer in accordance with the requirements.

Certificate of Compliance-The proposer hereby certifies that it **will comply** with the requirements of the 49 U.S.C. 5323 (j)(2)(c) and CFR Part 661.

COMPANY NAME _____

SIGNATURE _____

TITLE _____

DATE _____

Certificate of non-Compliance-The proposer hereby certifies that it **cannot comply** with the requirements of the Surface Transportation Assistance Act of 1982, as amended, but may qualify for an exception to the requirements.

COMPANY NAME _____

SIGNATURE _____

TITLE _____

DATE _____

FORM MUST BE SIGNED AND SUBMITTED WITH PROPOSAL OR PROPOSAL WILL BE CONSIDERED TO BE NON-RESPONSIVE.

XV. BUY AMERICA PRE-AWARD AND POST-DELIVERY AUDITS:

A. Prior to Contract award,

The apparent successful offeror shall provide to the Authority's auditors the cost of the components and subcomponents to be used in the manufacturing of the rolling stock, their country of origin, the location of final assembly, the activities that will take place at the location and pertinent supporting documentation for the purpose of RIPTA performing the cited Pre-Award Audit of Buy-America requirements.

B. After delivery and acceptance of the vehicles,

The Contractor shall provide to the Authority's auditors the cost of the components and subcomponents used in the manufacture of the rolling stock, their country of origin, the location of final assembly, the activities that took place at the location and pertinent supporting documentation to enable RIPTA to perform the cited Post-Delivery Audit of Buy America Requirements.

C. Authority Review

The contractor shall facilitate the reviews by the Authority's auditors by providing the supporting documentation for the above information in a timely fashion.

XVI. DISADVANTAGED BUSINESS ENTERPRISES PROGRAM

Proposers are strongly encouraged to have Disadvantage Business Enterprise Participation/Small Business, regardless of the DBE Goal in this Proposal.

Disadvantaged Business Enterprise (DBE) Special Provisions

A firm's DBE Participation and/or demonstration of a "Good Faith Effort" will be considered when reviewing submittals for responsiveness. This will be considered when evaluating Proposal Responses

A. Policy

1. It is the policy of Department of Transportation (DOT) that the DBE requirements in 49 CFR Part 26, as amended, shall have the maximum opportunity to participate in the performance of contracts financed in whole or in part with Federal funds under this agreement. Consequently, the DBE requirements of 49 CFR Part 26, as amended apply to this agreement.
2. DBE Obligation – RIPTA or its contractor agrees to ensure that DBE's as designed in 49 CFR Part 26, as amended, have the maximum opportunity to participate in the performance of contracts and subcontracts financed in whole or in part with Federal funds provided under this agreement. In this regard, RIPTA or its contractors shall take all necessary and reasonable steps in accordance with 49 CFR Part 26, as amended, to ensure that DBE's have the maximum opportunity to compete for and perform contracts. RIPTA and its contractors shall not discriminate on the basis of race, color, religion, national origin, age or sex in the award and performance of DOT assisted contracts.
3 Contractor Obligation – Contractors and subcontractors failing to carry out the requirement set forth in 1 and 2 above, shall constitute a breach of contract and, after the notification to the Department (DOT), may result in termination of the agreement or contract by RIPTA or such remedy as RIPTA deems appropriate.

B. DBE Utilization

1. DBE Utilization

The Contractor agrees to provide for full and fair utilization of Disadvantaged Business Enterprises (DBEs) by complying with the requirements of this clause. Included in these requirements is the achievement of the stated goal for the utilization of DBEs in the performance of work under this contract. Nothing in this clause shall be construed to require the utilization of any DBEs, which is either not qualified or unavailable. . ***All DBEs submitted must be certified by the State of Rhode Island at the time of proposal submittal. A copy of the DBE Certification Letter from the State of Rhode Island Office of Civil Rights must accompany the proposal submittal***

2. Utilization Goal

For the purpose of this contract, the goal for utilization of DBEs shall be as follows: Not Applicable DBE percent of the Contract Dollar Amount.

C. Definitions.

The terms used in these special provisions shall be defined as follows:

2. Joint Venture

an association of two or more persons to carry out a single business enterprise for profit, for which purpose they combine their property, money, efforts, skills and knowledge.

3. Disadvantaged Business

means a small business concern in which is, at least, 51 percent owned by one or more socially and economically disadvantaged individuals, or, in the case of any publicly owned business, at least 51 percent of the stock of which is owned by one or more socially and economically, disadvantaged individuals who own it.

4. Small Business Concern

a small business as defined pursuant to Section 3 of the Small Business Act and relevant regulations promulgated pursuant thereto.

5. Socially and Economically Disadvantaged Individuals

means those individuals who are citizens of the United Stated (or lawfully admitted permanent residents) and who are women, Black Americans, Hispanic Americans, Native Americans, Asian-Pacific Americans, or Asian-Indian Americans and any other minorities of individuals found to be disadvantaged by the Small Business Administration pursuant to Section 8 (a) of the Small Business Act, RIPTA shall make a rebuttal presumption the individuals in the following groups are socially and economically disadvantaged. RIPTA may also determine, on a case-by-case basis, that individuals who are not a member of one of the following groups are socially and economically disadvantaged:

a. **Black Americans**, which includes persons having origins in any of the Black racial groups of Africa;
b. **Hispanic Americans**, which includes persons of Mexican, Puerto Rican, Cuban, Central or South America, or other Spanish culture or Portuguese culture, regardless of race;
c. **Native Americans**, which includes persons who are American Indian, Eskimo, Aleuts,or Native Hawaiians;
d. **Asian-Pacific Americans**, which includes persons whose origins are Japan, China, Taiwan, Korea, Vietnam, Laos, Cambodia, the Philippines, Samoa, Guam, the U.S. Trust Territories of the Pacific, and the Northern Marianas; and
e. **Asian-Indian Americ**ans, which includes persons whose origins are from India, Pakistan, and Bangladesh.
f. **Disadvantaged Business Enterprise (DBE) Liaison Officer** – the individual designated by the Authority to monitor compliance with these Special Provisions and to assist in their implementation.
g. **Proposer** – any individual, partnership, joint venture, corporation or firm submitting a proposal for the contract.

6. Recognition of DBE Commitment

Each proposer shall recognize RIPTA's commitment to insure that DBE's be afforded full opportunity to participate in contracts awarded by RIPTA and will not be discriminated against on the grounds of race, religion, color, national origin, handicap, age or sex.

7. Submissions

all proposers shall submit the following information with the proposal by using the Schedule of DBE Participation (Attachment A);

1. The Name and address of each DBE firm that will participate in the contract;
2. A description of the work each named DBE firm will perform; and
3. The dollar amount of participation by each named DBE firm.

The Authority encourages firms located in the United States that are currently certified as DBEs and SBAs by Federal, State and Local agencies to apply for certification in the State of Rhode Island.

If a minority business would like to be certified by the State of Rhode Island contact: Mr. Charles Newton, Department of Administration, 1 Capital Hill, Providence, Rhode Island, 02908, Telephone (401) 222-6253.

If the apparent successful competitor's submissions does not satisfy the goal, RIPTA shall determine whether the apparent successful competitor has made good faith efforts to obtain DBE participation in accordance with the guidelines stated in Paragraph F, Sub-paragraph 1, below.

Unsuccessful efforts in gaining DBE participation must be documented on the "DBE Unavailability Certification" attached hereto as Attachment D. Meeting the DBE contract goals or making good faith efforts to meet the goals is a condition of receiving a Federal Transit Administration assisted contract for which contract goals have been established by RIPTA.

The legitimacy of each DBE or disadvantaged-majority joint venture shall be determined by RIPTA, based on the information submitted in the affidavits attached hereto as Attachments C and D. RIPTA will require all prime contractors to make good faith efforts to replace a DBE subcontractor that is unable to perform successfully with another DBE. RIPTA shall approve all substitutions of subcontractors **before** award of contract and **during** contract performance, in order that substitute firms are eligible DBE's.

8. Procedure Prior to Contact Award

a. Guidance Concerning Good Faith Efforts to Meet DBE Contract Goals.

RIPTA may decide that a competitor that has failed to meet DBE contract goals may receive the contract upon determining that the efforts the competitor made to obtain DBE participation were "good

faith efforts" to meet the goal. RIPTA shall not consider efforts that are merely pro forma to be good faith efforts to meet the goals, even if they are sincerely motivated, if, given all relevant circumstances, they could not reasonably be expected to produce a level of DBE participation sufficient to meet the goals. In order to award a contract to a competitor that has failed to meet DBE contract goals, RIPTA must determine that the competitor's efforts were those that, given all relevant circumstances, a competitor, actively and aggressively seeking to meet the goals would make.

Following is a list of the kinds of efforts RIPTA may consider. The list is not exclusive or exhaustive and in appropriate cases RIPTA shall consider other relevant factors or types of efforts. RIPTA shall consider not only the different kinds of efforts the contractor has made, but also the quantity and intensity of those efforts. All information must be in writing and copies of all ads, written notices, follow-up letters and/or all other correspondence must be presented whenever a waiver is asked for.

RIPTA will consider the following efforts:

i. whether the contractor attended any pre-solicitation or pre-proposal meetings that were scheduled by RIPTA to inform DBEs of contracting opportunities;
ii. whether the contractor advertised in general circulation, trade association, and disadvantaged focus media concerning the sub-contracting opportunities;
iii. whether the contractor 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. whether the contractor followed up initial solicitation of interest by contracting DBEs to determine with certainty whether the DBEs were interested;
v. whether the contractor 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. whether the contractor provided interested DBEs with adequate information about the plans, specifications and requirements of the contract;

vii. whether the contractor negotiated in good faith with interested DBEs, not rejecting DBEs as unqualified without sound reasons based on a thorough investigation of their capabilities;
viii. whether the contractor made efforts to assist interested DBEs in obtaining bonding lines of credit, or insurance required by RIPTA or contractor; and
ix. whether the contractor effectively used the services of available disadvantaged community organizations, disadvantaged contractor's groups, Local, State and Federal disadvantaged

business assistance offices, and other organizations that provide assistance in the recruitment and place of DBEs.

9. Proposal, Execution & Compliance with Subcontracts

Prior to the execution of a contract between RIPTA and the successful proposer, the proposer shall present, for RIPTA's approval, DBE subcontracts corresponding in all respects to the proposed agreements. Upon approval by RIPTA, the successful proposer shall enter into each such approved DBE sub-contract and shall thereafter neither terminate such DBE nor reduce the scope of the work to be performed by, or decrease the price to be paid to, the DBE and the disadvantaged non-disadvantaged joint venture thereunder without in each instance the prior written approval of RIPTA.

10. Substitution of Subcontractors

RIPTA shall review for its approval all substitutions of subcontractors in order to determine if the percentage goal will be decreased by substitution of a disadvantaged contract/supplier with a non-disadvantaged contractor/supplier.

Where RIPTA has approved termination of a sub-contract held by an DBE or disadvantaged non-disadvantaged joint venture, the successful proposer shall make every reasonable effort to propose and enter into an alternative sub-contract or subcontracts for the same work to be performed by another qualified DBE for a contract price or prices totaling not less than the contract price of the terminated sub-contract. Satisfactory evidence of reasonable efforts shall be timely furnished by RIPTA.

11. Program Compliance

At all times, discrimination on the basis of race, color, religion, national origin, handicap, age or sex will not be tolerated. RIPTA will monitor the schedule for participation by disadvantaged contractors in an effort to isolate those prime contractors who do not adhere to the non-discriminatory policies of RIPTA. If such contractor fails to respond to counseling with respect to the disposition of subcontracts pertaining to RIPTA funds, RIPTA reserves the right to terminate the contract and to consider future proposals of such contractor to be non-responsive in the absence of written assurance from it of the full opportunity for DBEs to participate in its awards of subcontracts, together with the follow-up to verify such participation.

12. Maintenance of Records

All records relating to the contract shall be maintained by the contractor for a period of three (3) years after project completion.

13. Contract Assurance

The contractor or subcontractor shall not discriminate on the basis of race, color, national origin, or sex in the performance of the contract. The contractor shall carry out applicable requirements of 49 CFR part 26 in the award and administration of DOT assisted contracts. Failure by the contractor to carry out these requirements is a material breach of contract, which may result in the termination of this contract or such other remedy, as the recipient deems appropriate.

14. Prompt Payment

The prime contractor agrees to pay each subcontractor under this prime contract for satisfactory performance of its contract no later than

30 days from the receipt of each payment the prime contractor receives from the Rhode Island Public Transit Authority. The prime contractor agrees further to return retainage payments to each subcontractor within 30 days after the subcontractor's work is satisfactorily completed. Any delay or postponement of payment from the above reference time frame may occur only for good cause following written approval of the Rhode Island Public Transit Authority. This clause applies to both DBE and non-DBE subcontractors. RIPTA reserves the right to hold payments to the Contractor if payments verification logs are not submitted within 30 days of payments. Failure to submit payments to DBE subcontractors within 30 days will result in action by RIPTA up to and including disqualification from any future RIPTA Procurements.

15. Monitoring Payments to DBEs

RIPTA requires that prime contractors to maintain records and documents of payments to DBEs following the completion of the contract. These records will be made available for inspection upon request by any authorized representative of RIPTA or United States Department of Transportation. This requirement also extends to any DBE Subcontractor. Reports of payments to DBE Subcontractors shall be provided to the RIPTA DBE Liaison Officer on a monthly basis. Failure to submit these reports on a timely basis may result in delay of payments.

XVII. DISADVANTAGED BUSINESS ENTERPRISE REQUIRED FORMS

Attachment A: Schedule of DBE Participation
Submitted if DBE firm or firms will be participating in the Proposal.

Attachment B: DBE Application Agreement
Submitted if DBE firm or firms will be participating in the Proposal.

Attachment C: Letter of Intent to Perform as a Subcontractor
Submitted if DBE firm or firms will be participating in the Proposal

Attachment D: DBE Unavailability Summary Sheet
Submitted if DBE firm or firms you have contacted cannot participate. This form is used to document good faith effort. This form only needs to be completed when there is a DBE Participation Goal.

Attachment E: Narrative Explanation for Lack of DBE Participation
Submitted by the Prime Contractor to explain lack of DBE/SBA participation.

Attachment F: Documentation of DBE Utilization
To be filled in by the DBE firm and the prime contractor once the DBE Subcontractor has been paid.
Please Note: Final payment to the Prime Contractor will be held until this form or forms are received for each DBE Subcontractor.

DBE FIRMS PROPOSING AS A PRIME CONTRACTOR: the following forms must be filled in, signed and submitted with the Proposal

Attachment A, Attachment B
Please state, on these forms, that you are proposing as a prime contractor.

CERTIFICATION LETTER OR NOTIFICATION MUST BE INCLUDED FOR EACH DBE FROM THE STATE OF RHODE ISLAND.

Please record by letter (using the list below) under the DBE Category Column found on Attachment A: Schedule of DBE Participation Form on the following page

a. "Black Americans", which includes persons having origins in any of the Black racial groups of Africa;

b. "Hispanic Americans", which includes persons of Mexicans, Puerto Rican, Cuban, Central or South America, or other Spanish culture or Portuguese or origin, regardless of race;

c. "Native Americans", which include persons who are American Indian, Eskimos, Aleuts, or Native Hawaiians:

d. "Asia-Pacific Americans", which includes persons whose origins are from Japan, China, Taiwan, Korea, Vietnam, Laos, Cambodia, the Philippines, Samoa, Guam, the U.S. Trust Territories of the Pacific, and the Northern Marianas;

e. "Asian-Indian Americans", which includes persons whose origins are from India, Pakistan, and Bangladesh; and

f. any other minorities or individuals found to be disadvantaged by the Small Business Administration pursuant to Section 8 (a) of the Small Business Act.

SCHEDULE OF DBE PARTICIPATION

A. Attachment A

Company Name: _____

Project Number: **15-13** **Project:** **Pension Audit Services**

*Please provide copy of DBE Certification Letter for each DBE firm listed from the Rhode Island Office of Civil Rights. **DBE Vendors must be certified in the State of Rhode Island at the time of Proposal Submittal to be considered. A full, up to date list of Rhode Island DBEs can be obtained at the following website: www.mbe.ri.gov/**

DBE Firm Name	DBE Firm Address	DBE Category	Phone Number	Contact Name	Work to be Performed	Estimated Value Dollars	Estimated Value Percent of Proposal

The undersigned will enter into a formal agreement with Disadvantaged Business Enterprise firms for work listed in this schedule conditioned upon execution of a contract with the Rhode Island Public Transit Authority.

Authorized Signature of Proposer Official_____

Each DBE Firm listed in the Section must also complete the Required Company Information Form and the Certification of Subcontractor Form (Page 74)*Use additional forms as needed.

DBE APPLICATION AGREEMENT

B. Attachment B

Project Number: **15-13**

Project Name: **Pension Audit Services**

With respect to the above numbered project, I hereby certify that I am the
_____ and duly authorized representative of _____
(Title) (Firm)
Address is _____, _____, _____
(Street) (State) (Zip Code)

I do hereby certify that it is the intention of the above organization to affirmatively seek out and consider Disadvantaged Business Enterprises to participate in this contract as contractors, Subcontractors and/or suppliers of requirements of the U.S. Department of Transportation's regulation 49 CFR Part 26.

I understand and agree that any and all contracting in connection with this contract, whether undertaken prior to or subsequently to award of contract, will be in accordance with this provision.

The utilization of Disadvantaged Business Enterprise is in addition to all other equal opportunity requirements of this contract.

_____
Authorized Signature

_____
Title

LETTER OF INTENT TO PERFORM AS A SUBCONTRACTOR

C. Attachment C

To: _____
(Name of Prime or General Proposer)

The undersigned intends to perform work in connection with the above project as (check one):

___ an individual ___ a corporation

___ a partnership ___ a joint venture

The undersigned is prepared to perform the following described work in connection with the above project (specify in detail particular work items or parts thereof to be performed).

_____
_____
_____
_____
_____
_____
_____
_____
_____
_____

for the following compensation: _____

_____
(Name of DBE Contractor)

DBE GOOD FAITH EFFORT SUMMARY SHEET

D. Attachment D

RIPTA requires a listing of DBE firms contacted; but not able to perform work. Use additional pages as needed. The DBE Goal for this project is Not Applicable percent. **. A full, up to date list of Rhode Island DBEs can be obtained at the following website: www.mbe.ri.gov/**

DBE Firm Name	DBE Firm Address	DBE Category	Phone Number Email Address	Contact Name	Reason Unable to Perform Work

Project Name: Pension Audit Services **Project Number: 15-13**

Form completed by: _____ Date: _____

NARRATIVE EXPLANATION FOR LACK OF DBE PARTICIPATION
E. Attachment E

Company Name: _____

Project Number: **15-13**

Project Name: **Pension Audit Services**

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_____
(Authorized Signature of Prime Contractor)

TO BE FILLED IN BY THE PRIME CONTRACTOR TO EXPLAIN LACK OF DBE PARTICIPATION.

DOCUMENTATION OF DBE UTILIZATION

F. Attachment F

RIPTA Contract Number: 15-13

Prime Contractor: _____

DBE Name: _____

Starting Date: _____ **Completion Date:** _____

This is to verify the following:

- I was the approved DBE on the above contract.
- I performed the items of work Subcontracted.
- I actually received $_____ for my work.
- I received payment of retainage on _____
  (date)

_____ _____
(Signature & Title of DBE) (Date)

_____ _____
(Signature & Title of Prime Contractor) (Date)

This form is to be filled in by the DBE firm and the prime contractor once the DBE Subcontractor has been paid.

Retainage payments will be made to each subcontractor within 30 days after the subcontractor's work is satisfactorily completed

Please Note: Final payment to the Prime Contractor will be held until this form or forms are received for each DBE Subcontractor.

XVIII. PERFORMANCE AND PAYMENT BOND INFORMATION

The selected Proposer shall furnish, within twenty (20) calendar days (if required) after the date of notice of award of contract by RIPTA, Performance and Payment Bonds in the amount of 100% of the proposal amount covering the faithful performance of the contract.

The Performance Bond is to be secured through an insurance company or companies which is licensed in the State of Rhode Island or which is approved by the Authority.

The Bond will remain in effect throughout the warranty period.

XIX. PROPOSAL GUARANTEE (SURETY)

A Proposal Guarantee (if required) shall be submitted with the proposal response. This guarantee shall be equivalent to five (5) percent of the proposal price. The "proposal guaranty shall consist of a firm commitment such a bid bond, certified check, or other negotiable instrument accompanying a proposal as assurance that the proposer will, upon will, upon acceptance of its proposer, execute such contractual documents as may be required within twenty (20) calendar days after the date of notice of award of contract by RIPTA.

XX. REQUIRED INSURANCE

The Bidder will be required to secure and maintain the following insurance coverages:

A. Minimum limits

1. Commercial comprehensive general liability insurance, with limits of $3,000,000.00 per accident and $5,000,000.00 aggregate.
1. Workers' Compensation Coverage in accordance with RI Statutory requirements.
2. The Rhode Island Public Transit Authority shall be named as additional insured under said policies.
3. Automotive Liability Insurance
   - $1,000,000.00 per accident and $3,000,000.00 aggregate: bodily injury.
   - $1,000,000.00 property damage
4. All insurance coverage must provided under an occurrence policy. Claims made policies are not acceptable.

B. Certificate Requirements

1. Each bidder must provide RIPTA a Certificate of Insurance upon award of the contract. Coverage indicated on certificate must be kept in effect at all times during the contract period

1. The General Liability Coverage shall include Contractual Liability and Completed Operations Coverages. The General Liability coverage, certificates must name: RIPTA and its respective directors, officers, employees, and affiliates as additional insureds. Reference should be made to project or job number and location.
2. A Waiver of Subrogation in favor of RIPTA must apply to the General Liability, Employers Liability, and Excess Liability / Umbrella policies.
3. Automobile Liability must cover any owed, rented, hired or borrowed vehicles.
4. The Excess or Umbrella coverage must provide the required
   Liability limit over the General Liability, Automobile Liability, Employers Liability s, Professional Liability and Environmental
   Liability policies (if required).
5. If bidder is to use any subcontractor during the course of the project, the subcontractor must maintain the same limits and terms as the bidder. Certificates of Insurance for subcontractors must be provided to RIPTA with the Bidder's Submittal after award of the Contract.
6. All certificates of insurance must indicate the carrier policy cancellation terms.
7. All bidders must utilize insurance companies with a "Best" Rating of no less than A-, Size VIII.

C. Special Coverages

1 Contractor must maintain Environmental Pollution coverage with limits no less than $1,000,000 if contractors work includes the transport, delivery, storage, handling or disposal of any pollutants or other hazardous materials. This insurance is also required for all contracts involving any work on RIPTA's storage tanks, and fluid distribution systems

2 Installation Floater Insurance is required for all construction projects equal to the value of the project.

3 Professional Liability/Errors and Omission coverage shall be included in all Professional Services Contracts

Bidder shall provide to RIPTA Contracts Manager a Certificate of Insurance upon award of contract. This Certificate shall be kept in effect at all times. Current copies shall be provided to the Contracts Manager

XXI. GENERAL CONTRACT COMPLIANCE CERTIFICATE AND AGREEMENT

RHODE ISLAND STATE EQUAL OPPORTUNITY OFFICE

The undersigned Contractor agrees and certifies, unless otherwise exempt, that it is in compliance with the applicable requirements of Federal Executive order No. 11246, as amended, Rhode Island General Law 28-5.1-10, and other regulations as issued by the Rhode Island Public Transit Authority, as set forth below, or will take steps to comply with such requirements prior to acceptance of any order from us. This agreement and certificate shall form a part of, and be deemed incorporated in, each order submitted to you for supplies or services exceeding $10,000. Failure to comply will be considered a substantial breach of the contract.

A. Equal Opportunity Clause

During the performance of this contract, the Contractor agrees as follows:

1. The Contractor will not discriminate against any employee or applicant for employment because of race, color, religion, sex, or natural origin. The Contractor will take affirmative action to ensure that applicants are employed, and that employees are treated during employment, without regard to their race, color, religion, sex, or national origin. Such action shall include, but not be limited to, the following: employment, upgrading, or transfer, recruitment or recruitment advertising, layoff or termination, rates of pay or other forms of compensation, and selection for training, including apprenticeship. The Contractor agrees to post in conspicuous places, available to employees and applicants for employment, notices to be provided by the contracting officer setting forth the provisions of the non-discrimination clause.
2. The Contractor will, in all solicitations or advertisements for placed by or on behalf of the contractor, state that all qualified applicants will receive consideration for employment without regard to race, color, religion, sex, or national origin.
3. The Contractor will send to each labor union or representative of workers with which he/she has collective bargaining agreement or other contract or understanding a notice, advising the labor union or worker's representative of the Contractor's commitments under Section 202 of Federal Executive order No. 11246, as amended, Rhode Island Law 28-5.1-10, and other regulations and relevant orders of the Secretary of Labor.
4. The Contractor will comply with all provisions of Federal Executive Order No. 11246, as amended, Rhode Island General Law 28-5.1-10, and other regulations and relevant orders of the Secretary of Labor.
5. The Contractor will furnish all information and reports required by Executive Order No. 11246, as amended, Rhode Island General Law 28-5.1-10 and other regulations as issued by the State of Rhode Island, and by the rules, regulations, and orders of the Secretary of Labor, or pursuant thereto, and will permit access to his/her books, records and accounts by the State Equal

Opportunity Office and the Secretary of Labor for purposes of investigation to ascertain compliance with such rules, regulations and orders.

6. In the event of the Contractor's non-compliance with the non-compliance with the non-discrimination clauses of this contract or with any of such rules, regulations, or orders, this contract may be cancelled, terminated or suspended in whole or part, and the Contractor may be declared ineligible for further State contracts in accordance with procedures authorized in Federal Executive Order No. 11246, as amended, Rhode Island General Law 28-5.1-10 , and other regulations as issued by the State of Rhode Island, and such other sanctions may be imposed and remedies invoked as provided in Federal Executive Order No. 11246, as amended; Rhode Island Public Transit Authority, or by rule, regulation, or order of the Secretary of Labor, or as otherwise provided by law, or the State of Rhode Island and Providence Plantations.
7. The Contractor will include the provisions of paragraphs (1) through (7) in every sub-contract or purchase order unless exempted by rules, regulations, or orders of the Secretary of Labor issued pursuant to Section 204 of Federal Executive Order No. 11246, as amended, Rhode Island General Law 28-5.1-10, and other regulations as issued by the Rhode Island Public Transit Authority, so that such provisions will be binding upon each subcontractor or vendor. The Contractor will take such action with respect to any sub-contract of purchase order as the contracting agency may direct as a means of enforcing such provisions including sanctions for non-compliance; provided, however, that in the event the Contractor becomes involved in, or is threatened with litigation with a subcontractor or vendor as a result of such direction by the contracting agency, the Contractor may request the United States and the State of Rhode Island to enter into such litigation to protect the interest of the United States and the State of Rhode Island.

B. Age Discrimination

Pursuant to Federal Executive Order No. 11246, as amended, the Contractor will not, in connection with the employment, advancement or discharge of employees, or in connection with the terms, conditions, or privileges of their employment, discriminate against persons because of their age except upon the basis of a bona fide occupational qualification, retirement plan or statutory requirement, nor will the Contractor specify, in solicitations or advertisements for employees, a maximum age limit for employment unless the specified maximum age limit is based upon a bona fide occupational qualification, retirement plan or statutory requirement.

C. Employment of the Handicapped

1. Contractor will not discriminate against any employee or applicant for employment because of physical or mental handicap in regard to any position for which the employee or applicant for employment is qualified. Contractor agrees to take affirmative action to employ, advance in employment, and otherwise treat

qualified handicapped individuals without discrimination based upon their physical or mental handicap in all employment practices such at the following employment, upgrading, demotion or transfer, recruitment or recruitment advertising; layoff or termination, rates of selection for training, including apprenticeship.

2. Contractor agrees that if a handicapped individual files a complaint with him/her that he/she is not complying with the requirements of the Rehabilitation Act of 1973, he/she will (1) investigate the complaint and take appropriate action consistent with requirements of 41 CFR Part 60-741.29 and (2) maintain on file for three years, the record regarding the complaint and the actions taken.
3. Contractor agrees that if a handicapped individual files a complaint with the Department of Labor that he/she has not complied with the requirements of the act, (1) he/she will cooperate with the Department in its investigation of the complaint, and (2) he/she will provide all pertinent information regarding his/her employment practices with respect to the handicapped.
4. Contractor agrees to comply with the rules and regulations of Section 503 of the Rehabilitation Act of 1973 as interpreted in 41 CFR Part 60-741.29.
5. in the event of Contractor's noncompliance with the requirements of this clause contract may be terminated or suspended in whole or in part.
6. This clause shall be included in all subcontracts. In the event that this contract exceeds $10,000 but is less than $500,000 and provides for performance in 90 days or more, Contractor further agrees as follows:
7. Contractor agrees (1) to establish an affirmative action program, appropriate procedures consistent with the guidelines and the rules of the Secretary of Labor, will provide the affirmative action regarding employment and advancement of the handicapped required by P.L. 93-516, (2) to publish the program in the employees or personnel handbook or otherwise distribute a copy to all personnel, (3) to review the program each year and to make such changes as may be appropriate, and (4) to designate one of the principal officials to be responsible for the establishment and operation of the program.
8. Contractor agrees to permit the examination by appropriate contracting agency officials or the Assistant Secretary for Employment Standards or the designee, of pertinent books, documents, papers and records concerning employment and advancement of the handicapped.
9. Contractor agrees to post in conspicuous places, available to employees and applicants for employment, notices in a form to be prescribed by the Assistant Secretary for Employment Standards, provided by the contracting officer, stating Contractor's obligation under the law to take affirmative action to employ and advance in employment qualified handicapped employees and applicants for employment and the rights and remedies available.

10. Contractor will notify each labor union or representative of workers with which he/she has a collective bargaining agreement or other contract understanding, that he/she is bound by the terms of Section 503 of the Rehabilitation Act, and is committed to take affirmative action to employ and advance in employment, physically and mentally handicapped individuals.
    In the event this contract exceeds $100,000 and provides for performance in 90 days or more, Contractor further agrees as follows:
11. Contractor agrees to submit a copy of his/her affirmative action program to the State Equal Opportunity Office within 30 days after the award of a contract or sub-contract.
12. Contractor agrees to submit a summary report to the State of Rhode Island and Providence Plantations Equal Opportunity Office by March 31 of each year during performance of the contract and by March 31 of the year following completion of the contract, in the form prescribed by State Equal Opportunity Office covering employment and complaint experience accommodations made and all steps taken to effectuate and carry out the commitments set forth in the affirmative action program.

XXII. CERTIFICATE OF NON-SEGREGATED FACILITIES

Contractor certifies that he/she does not maintain or provide for his/her Employees any segregated facilities at any of his/her establishments, and that he/she does not permit his/her employees to perform their services at any such location, under his/her control, where segregated facilities are maintained. He/she certifies further that he/she will not permit his/her employees to perform their services at any location, under his/her control, where segregated facilities are maintained. Contractor agrees that a breach of this certification is a violation of the Equal Opportunity Clause in this contract. As used in this certification, the term “Segregated Facilities” means any waiting room, work areas, rest rooms, and wash rooms, restaurants and other eating areas, parking lots, drinking fountains, recreation or entertainment areas, transportation, and housing facilities provided for employees which are segregated by explicit directive or are, in fact, segregated on the basis of race, creed, color, or national origin, because of habit, local custom, or otherwise. He/she further agrees that (except where he/she has obtained identical certifications from proposed subcontractors for specific time periods), he/she will obtain identical certifications from proposed subcontractors prior to the award of subcontracts exceeding $10,000, which are not exempt from the provisions of the Equal Opportunity Clause; that he/she will forward the following notice to proposed subcontractors (except where the proposed subcontractors have submitted identical certifications for specific time periods).

XXIII. NOTICE OF PROSPECTIVE SUBCONTRACTORS OF REQUIREMENT FOR CERTIFICATION OF NONSEGREGATED FACILITIES

A Certificate of Nonsegregated Facilities must be submitted prior to the award of a sub-contract exceeding $10,000 which is not exempt from the provisions of the Equal Opportunity Clause. The certification may be submitted either for each sub-contract or for all subcontracts during a period (i.e. quarterly, semi-annually, or annually).

NOTE: The penalty for making false statements in offers is prescribed in 18 USA 1001.

A. Affirmative Action Compliance Program

Contractor agrees to develop a written Affirmative Action Compliance Program for each of its establishments as required by Section 60-1.40 of Title 41 of the Code of Federal Regulations.

B. Employer's Information Report (EE)-1) Form 100

Contractor agrees to file in duplicate, Standard Form 100, entitled, **"Equal Employment Opportunity Employer Information Report EEO-1"** as required by Section 60-1.7 of Title 41 of the Code of Federal Regulations.

Send original copy to Federal authorities, duplicate copy to the State Equal Opportunity Office, 1 Capitol Hill, Providence, Rhode Island 02908-5865.

C. Notice to All Vendors

If it should be determined by the State Equal Opportunity Office that any company doing business with the State is guilty of non-compliance with the provisions of this document, said company will be given two (2) written warnings. If the said company does not comply immediately after the second written notice, then the State Equal Opportunity Office will notify the Rhode Island Public Transit Authority, who shall have the authority to have the contract **revoked** and all contractual obligations of the State dealing with the contract in question will be **null** and **void.**

D. Post Award Conference

Post Award Conference for the Implementation of Affirmative Action prior to Signing of Contract.

C. Signature Required

Failure to provide a signature prior to Award to successful Proposer shall be cause for Rejection of proposal.

XXIV. GENERAL CONTRACT COMPLIANCE CERTIFICATE & AGREEMENT FORM

(Equal Employment Opportunity)

Authorized Signature: _____

Print Name: _____

Title: _____

Company Name: _____

Date: _____

Indicate Job Location Address: _____

PROPOSAL NO. 15-13

XXV. DAVIS BACON ACT COMPLIANCE

I certify that I will comply with the Provisions of the Davis-Bacon Act for this project. I certify that I will pay the applicable Prevailing Wages as listed at the following web address:
http://www.access.gpo.gov/davisbacon/ri.html

Authorized Signature: _____

Print Name: _____

Title: _____

Company Name: _____

Date: _____

Indicate Job Location Address: _____

XXVI. CERTIFICATION OF PRIMARY PARTICIPANT FORM

Request for Proposal Number: 15-13
Project Pension Audit Services

The primary participant _____, certifies to the best of its knowledge and belief, that it and its principals:

1) Are not presently debarred, suspended, proposed for debarment, declared eligible, or voluntarily excluded from covered transactions by any Federal Department or Agency;
2) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or Local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction or records, making false statements, or receiving stolen property;
3) Are not presently indicted for or otherwise criminally or civilly charged by a government entity (Federal, State, or Local) with commission of any of the offenses enumerated in paragraph (2) of this certification; and
4) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State, or Local) terminated for cause or default.
5) The Primary Participant also certifies that, if it later becomes aware of any information contradicting the statements of Paragraphs 1-4 above, it will promptly notify RIPTA.

The primary participant _____, certifies or affirms the truthfulness and accuracy of the contents of the statements submitted on or with this certification and understands that the provisions of 31 U.S.C Sections 3801 **ET SEQ**. are applicable thereto.

_____ _____
Signature/Title of Authorized Official Date

XXVII. DEBARMENT CERTIFICATION

CERTIFICATION REQUIREMENTS FOR RECIPIENTS OF GRANTS
AND
COOPERATIVE AGREEMENTS
REGARDING DEBARMENT AND SUSPENSIONS

The purpose of the attached certifications is to exclude entities and individuals that the Federal Government has either debarred or suspended from obtaining Federal assistance funds through grants, cooperative agreements or third party contracts.

To assure that such entities and individuals are not involved in projects financed with Federal Transit Administration (FTA) assistance, FTA requires its applicants to complete the certificates.

The primary participant must sign the "**Certification of Primary Participant**" and, if there is a subcontractor, they must sign **the "Certification of a Subcontractor"** (If there is more than one subcontractor, they must all sign one of these forms.).

XXVIII. CERTIFICATION OF A SUBCONTRACTOR FORM

Request for Proposal Number: 15-13

Project **Pension Audit Services**

The potential Subcontractor, _____
Certifies, by submission of this certification, that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal Department or agency.

The Subcontractor, _____ certifies or affirms the truthfulness and accuracy of the contents of the statements submitted on or with this certification and understands that the provisions of 31 U.S.C. Sections 3801 **ET SEQ**. are applicable thereto.

_____
Signature/Title of Authorized Official

_____ _____
Print Signature Date

XXIX. NON-RESIDENT CONTRACTOR INFORMATION

From: Department of Administration
Division of Taxation
289 Promenade Street
Providence, RI 02908

Notice: "To All Persons Engaging Non-Resident Contractors"
Regulation Re: Contractors and Subcontractors - "Regulation C"
Article III, Non-Resident Contractors
Any individual, partnership, joint venture, corporation, state, municipal government or exempt organization awarding a construction contract in Rhode Island to a non-resident contractor (as hereinafter defined) is required, pursuant to Section 44-1-6 of the General Laws, as last amended, to withhold 3% of the contract price to secure payment of any sales and use tax or income tax withheld, or both, that may be due to the State of Rhode Island in carrying out the contract.

Upon completion of the contract, the non-resident contractor is required to notify the Tax Administration shall, within 30 days after receipt of the request, audit the records and provide by certified mail to the person holding the funds and to the non-resident contractor, either a certificate of no tax due or a notice of taxes due.

The person holding the funds is required to pay to the Tax Administrator the amount set forth in the notice of taxed due, including interest and penalties, but not in excess of 3% of the contract price. Monies withheld in excess of taxes due the Tax Administrator may be paid to the non-resident contractor.
If the Tax Administrator does not furnish a certificate of no tax due or a notice of taxes due within 30 days after receipt of the request for the making of the audit, the person holding the funds may remit the full amount due to the non-resident contractor. The Tax Administrator shall not have any claim against such funds in the hand of the person holding the funds.

DEFINITION OF NON-RESIDENT CONTRACTOR

"A non-resident contractor is one who does not maintain a regular place of business in this state. A regular place of business shall be deemed to mean and include any bona fide office (other than a statutory office), factory, warehouse or other space in this state at which the taxpayer is doing business in its own name in a regular and systematic manner and which is continuously maintained, occupied and used by the taxpayer in carrying on its business through its regular employees regularly in attendance. A temporary office at the site of construction shall not constitute a regular place of business".
In order to effectively implement this legislative change which became effective on passage, non-resident contractors shall forward such notice of completion by certified or registered mail (in duplicate) to the Division of Taxation.
R. Gary Clark
Tax Administrator

XXX. DRUG & ALCOHOL TESTING PROGRAM

In accordance with the Federal Transit Administration Rules 49 CFR 40, 653, and 654, pertaining to prohibited drug use and Contract Service Providers who perform safety-sensitive functions as follows:

- Operation of Revenue Service Vehicles In and Out of Service.
- Dispatch or Control Movement of Revenue Service Vehicles.
- Maintain, Repair and Inspect Revenue Service Vehicle.

The standards they must meet are:

1. Provide each employee performing a RIPTA safety-sensitive function a copy of RIPTA's Prohibited Drug Use and Alcohol Misuse Policy and Procedures. Each Employee must sign and return to RIPTA "Confirmation of Receipt" form.
2. Provide RIPTA with documentation that all employees, both full and part-time, participate in a prohibited drug use testing program in compliance with 49 CFR 653 and an alcohol misuse testing program in compliance with 49 CFR 654. Documentation must be provided which insures that all testing is performed in compliance with 49 CFR 40.
3. Provide to RIPTA's, by February 1st, following each calendar year, annual Management Information Systems (MIS) reports for submission to the FTA. The MIS form used must be that which is contained in 49 CFR 653 and 654.
4. Identify a contact person responsible for handling all 49 CFR 40, 653 and 654 regulation compliance.

XXXI. DRUG AND ALCOHOL POLICY ACKNOWLEDGEMENT

CONTRACT SERVICE PROVIDER
ACKNOWLEDGEMENT AND CONFIRMATION OF RECEIPT

Employee Name:_____

Company Name: _____

I have received a copy of Rhode Island Public Transit Authority's Prohibited Drug Use and Alcohol Misuse Policy and Procedures.

Employee
Signature: _____ Date: _____

Return To: Drug and Alcohol Test Coordinator
Department of Human Resources
Rhode Island Public Transit Authority
Room 217
705 Elmwood Avenue
Providence, Rhode Island 02907

Form **W-9**
(Rev. August 2013)
Department of the Treasury
Internal Revenue Service

Request for Taxpayer Identification Number and Certification

Give Form to the requester. Do not send to the IRS.

Print or type
See Specific Instructions on page 2.

Name (as shown on your income tax return)

Business name/disregarded entity name, if different from above

Check appropriate box for federal tax classification:
☐ Individual/sole proprietor ☐ C Corporation ☐ S Corporation ☐ Partnership ☐ Trust/estate

☐ Limited liability company. Enter the tax classification (C=C corporation, S=S corporation, P=partnership) ▸

☐ Other (see instructions) ▸

Exemptions (see instructions):
Exempt payee code (if any)
Exemption from FATCA reporting code (if any)

Address (number, street, and apt. or suite no.)

Requester's name and address (optional)
Rhode Island Public Transit Authority
705 Elmwood Avenue
Providence, RI 02907

City, state, and ZIP code

List account number(s) here (optional)

Part I Taxpayer Identification Number (TIN)

Enter your TIN in the appropriate box. The TIN provided must match the name given on the "Name" line to avoid backup withholding. For individuals, this is your social security number (SSN). However, for a resident alien, sole proprietor, or disregarded entity, see the Part I instructions on page 3. For other entities, it is your employer identification number (EIN). If you do not have a number, see *How to get a TIN* on page 3.

Note. If the account is in more than one name, see the chart on page 4 for guidelines on whose number to enter.

Social security number
☐☐☐ – ☐☐ – ☐☐☐☐

Employer identification number
☐☐ – ☐☐☐☐☐☐☐

Part II Certification

Under penalties of perjury, I certify that:

1. The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me), and
2. I am not subject to backup withholding because: (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding, and
3. I am a U.S. citizen or other U.S. person (defined below), and
4. The FATCA code(s) entered on this form (if any) indicating that I am exempt from FATCA reporting is correct.

Certification instructions. You must cross out item 2 above if you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return. For real estate transactions, item 2 does not apply. For mortgage interest paid, acquisition or abandonment of secured property, cancellation of debt, contributions to an individual retirement arrangement (IRA), and generally, payments other than interest and dividends, you are not required to sign the certification, but you must provide your correct TIN. See the instructions on page 3.

Sign Here **Signature of U.S. person ▸** **Date ▸**

General Instructions

Section references are to the Internal Revenue Code unless otherwise noted.

Future developments. The IRS has created a page on IRS.gov for information about Form W-9, at *www.irs.gov/w9*. Information about any future developments affecting Form W-9 (such as legislation enacted after we release it) will be posted on that page.

Purpose of Form

A person who is required to file an information return with the IRS must obtain your correct taxpayer identification number (TIN) to report, for example, income paid to you, payments made to you in settlement of payment card and third party network transactions, real estate transactions, mortgage interest you paid, acquisition or abandonment of secured property, cancellation of debt, or contributions you made to an IRA.

Use Form W-9 only if you are a U.S. person (including a resident alien), to provide your correct TIN to the person requesting it (the requester) and, when applicable, to:

1. Certify that the TIN you are giving is correct (or you are waiting for a number to be issued),
2. Certify that you are not subject to backup withholding, or
3. Claim exemption from backup withholding if you are a U.S. exempt payee. If applicable, you are also certifying that as a U.S. person, your allocable share of any partnership income from a U.S. trade or business is not subject to the withholding tax on foreign partners' share of effectively connected income, and
4. Certify that FATCA code(s) entered on this form (if any) indicating that you are exempt from the FATCA reporting, is correct.

Note. If you are a U.S. person and a requester gives you a form other than Form W-9 to request your TIN, you must use the requester's form if it is substantially similar to this Form W-9.

Definition of a U.S. person. For federal tax purposes, you are considered a U.S. person if you are:

- An individual who is a U.S. citizen or U.S. resident alien,
- A partnership, corporation, company, or association created or organized in the United States or under the laws of the United States,
- An estate (other than a foreign estate), or
- A domestic trust (as defined in Regulations section 301.7701-7).

Special rules for partnerships. Partnerships that conduct a trade or business in the United States are generally required to pay a withholding tax under section 1446 on any foreign partners' share of effectively connected taxable income from such business. Further, in certain cases where a Form W-9 has not been received, the rules under section 1446 require a partnership to presume that a partner is a foreign person, and pay the section 1446 withholding tax. Therefore, if you are a U.S. person that is a partner in a partnership conducting a trade or business in the United States, provide Form W-9 to the partnership to establish your U.S. status and avoid section 1446 withholding on your share of partnership income.

Rhode Island Public Transit Authority plans to engage a firm of certified public accountants to audit the financial statements of its Defined Benefit Pension Plans for the fiscal year ended June 30, 2014 and the fiscal year ending June 30, 2015. The pension plan financial statements are prepared in accordance with generally accepted accounting principles for governmental entities as prescribed by the Governmental Accounting Standards Board (GASB); specifically GASB Statement No. 67- *Financial Reporting for Pension Plans*.

The audit shall be completed and audit reports shall be delivered to the agency by June 5, 2015 for the FY 2014 audit and by September 14, 2015 for the FY 2015 audit.

The selected audit firm shall transmit **one copy** of the audit report (inclusive of all audit communications) to the State Controller, **one copy** to the Director of Administration and **two copies** to the Auditor General.

XXXIII. DESCRIPTION OF PENSION PLANS

RIPTA has two single-employer defined benefit pension plans covering its employees. The first is for hourly employees (the "Hourly Plan"), who are union members of ATU Division 618 and ATU Division 618A. The second plan is for salaried employees (the "Salaried Plan"), who are non-unionized management staff and union members of the Laborers' International Union (LIU), Local 808. As of January 1, 2014, there were a total of 1301 employees in both plans with plan assets totaling $99,571,877. The union portion of both plans is subject to collective bargaining. Both plans are considered a governmental plans not subject to ERISA.

The plans are governed by the Joint Pension Board (the "JPB"), which is comprised of union, management, and members of RIPTA's Board of Directors. The JPB serves as the Plan Administrator, the named fiduciary, the Trustee of both plans, has final authority to approve pension benefits, and oversees the plans' investments. A third party custodian, Prudential Retirement, has provided record-keeping services (benefit payments) and investment management of the plans' assets since January 1, 2007. Additionally, RIPTA has an annual actuarial valuation of both plans, currently performed by The Angell Pension Group. RIPTA's Human Resource Department calculates the retiree's benefit in accordance with the Pension Plan Documents.

A. Plan Benefits

The basic benefit formula for retirements after July 1, 2009 is as follows:

For service after December 31, 1986 - retirees receive 2.0% of the average sixty months worked pay times years of service.

For service before January 1, 1987 – retirees receive 1.6% of final 5-year average pay times years of service.

B. Plan Assets

The following are the assets of each plan as of January 1, 2014

General Account (Salaried)	$29,331,468 (Hourly)	$ 7,738,244
Separate Account	$53,770,771	$ 8,731,394
Total	$83,102,239	$16,469,638
Active Lives	707	83
Terminated	53	7
Retired Lives	372	79
Total Lives	1,132	169
Present Value of Accrued Benefit (PVAB) (at 7.5%)	$113,017,297 (at 7.5%)	$19,334,413
Employer Contributions	$ 6,683,450	$ 962,445
Employee Contributions	$ 930,217	$ 157,492
Benefit Paid	$ 4,768,447	$ 1,144,550
Net Investment Income	$11,919,482	$ 2,481,952

Additional information about the Plans is provided in the two attached actuarial valuations for January 1, 2014.

RIPTA has an annual audit of its financial statements; however, its defined benefit pension plans have not been separately audited. RIPTA is seeking a separate audit of its defined benefit plan financial statements, in part, to meet the new employer accounting and financial reporting requirements of GASB Statement No. 68 which RIPTA will apply in its FY 2015 financial statements. RIPTA's

current actuary, The Angell Pension Group has been engaged to provide GASB 67 disclosure information for inclusion in RIPTA's Pension Plan financial statements. The Pension Plan financial statement data will be derived from the monthly and annual plan statements from the third party custodian, Prudential Retirement. A separate Trial Balance will be created from these statements and the annual actuarial valuation for FY 2014. Once created, the monthly and annual transactions will be posted to the general ledger for FY 2015 and beyond.

Upon award of these services, the auditor will complete the FY 2014 pension plan financial statement draft by May 26, 2015 and deliver the final pension plan financial statement no later than June 5, 2015 for presentation and approval at the Authority and Joint Pension Board monthly Board meetings on June 15, 2015.

The FY 2015 pension plan financial statement draft should be received by September 4, 2015 with the final delivery date no later than September 14, 2015. Presentation and approval will take place at the September 28, 2015 Authority and Joint Pension Board meetings.

C. Qualifications of Auditor

The firm selected for the audit shall be a firm of certified public accountants holding a valid certification in the State of Rhode Island or from another state having equal professional standards.

The auditor must meet the independence requirements of the American Institute of Certified Public Accountants including the provisions of Interpretation of Rule 101 of the AICPA Code of Professional Ethics and the independence requirements of Government Auditing Standards.

The senior accountant in charge of fieldwork shall be a certified public accountant.

The audit organization and individuals responsible for planning, directing, conducting substantial portions of the fieldwork, or reporting on government audits shall meet the continuing educational requirements of the *Government Auditing Standards* issued by the Comptroller General of the United States.
The audit organization shall have an appropriate internal quality control system in place and participate in an external quality control review program as required by *Government Auditing Standards.*

The Authority requests a copy of the auditing firm's most recent external quality control review report.

D. Audit Contract

The audit contract shall be for fiscal years ending June 30, 2014 and June 30, 2015. RIPTA is electing to align the defined benefit pension plan audit with its annual financial audit timeframe and may further elect to combine the two in future years.

The all inclusive audit fee for the pension audit shall be the audit fee and all related expenses.

E. Audit Standards

The firm accepting the engagement shall conduct its audit in accordance with generally accepted auditing standards established by the American Institute of Certified Public Accountants, the standards for financial audits contained in the *Government Auditing Standards* issued by the Comptroller General of the United States.

F. Audit Scope

The scope of the audit shall include:

1 Basic Financial Statements, i.e. Statement of Fiduciary Net Position and Statement of Changes in Fiduciary Net Position; and notes to the financial statements

RIPTA is opting to not complete a Management's Discussion and Analysis for this initial two year pension audit.

2 Required Supplementary Information as follows:
- Schedule of Changes in the Net Pension Liability
- Schedule of Net Pension Liability
- Schedule of RIPTA Contributions
- Schedule of Investment Returns

G. Audit Reports

1- Draft copies of all audit reports and the management letter shall be submitted to Authority and to the Auditor General prior to the exit conference so that there will be adequate time to review.

2- The auditors shall submit reports on:

a Basic financial statements based on an audit performed in accordance with Generally Accepted Auditing Standards and *Government Auditing Standards.*

b Required Supplementary Information

Compliance and on internal control based on an audit of the financial statements performed in accordance with *Government Auditing Standards*.

XXXIV. MANAGEMENT LETTER

The auditors shall submit a management letter upon completion of the pension audit to the Board of Directors and Joint Pension Board. Copies of the management letter are to be distributed by the Authority to the Director of Administration and the Auditor General.

The management letter should include comments and/or recommendations beyond those included in the reports previously described on such matters as:

A. Policies, procedures and practices employed by the Authority/Joint Pension Board.

B. Immaterial weaknesses in internal controls that are not "significant deficiencies".

C. Use of resources to provide a governmental service in a reasonable, judicious economical and efficient manner.

D. Compliance with state laws pertaining to the Authority/pension plans and with rules and regulations established by the Authority/Joint Pension Board.

XXXV. REQUIRED INFORMATION

A. Current status of the professional license of the firm, partner-in-charge, and senior accountant in charge of fieldwork

B. Staffing information including firm size, number of staff allocated to the pension audit job, qualifications and experience of each person assigned to the pension audit job, amount and type of professional liability insurance

C. Statement of relevant experience including list of governmental defined benefit pension audits performed in the last five years

D. List of 4 references, including contact name, address, and current phone number from government defined benefit pension audits performed in the last years.

E. Understanding of work to be performed, including planned audit procedures, process to gain an understanding of internal control sufficient to plan the audit, estimated hours and other pertinent information, and

F. Understanding regarding data to be provided and completed by entity that is needed for the audit.

XXXVI. COORDINATION BETWEEN THE AUDITOR OF THE AUTHORITY AND THE AUDITOR GENERAL

Specific inquiries and procedures to assure such coordination include:

A. A statement that there exist no client conflicts which would inhibit the ability to perform the audit in accordance with professional standards.

B Written representation that the private auditor is independent under the requirements of the American Institute of Certified Public Accountants including those in Interpretation 10 of Rule 101 of the AICPA Code of Professional Ethics and *Government Auditing Standards*.

C A written representation that the private auditor of a component unit meets the continuing educational requirements of the *Government Auditing Standards*.

C. A written representation that the private auditor has an appropriate internal quality control system in place and has participated in an external quality control review program as required by *Government Auditing Standards*. The private auditor will provide the Auditor General with a copy of his most recent external quality control review report.

D. A written representation that the private auditor is familiar with general accepted accounting principles for state and local government units and with the generally accepted auditing standards promulgated by the American Institute of Certified Public Accountants; *Government Auditing Standards* issued by the Comptroller General of the United States, and will conduct the audit and report in accordance with those standards.

E. Attendance of the Auditor General at the entrance, exit and other conferences between the private auditor and the Authority/Joint Pension Board.

F. Submission of all "draft" copies of the pension audit report(s) and management letter before the exit conference.

G. Prompt notification to the Auditor General and the Director of Administration by the private auditor if he becomes aware of fraud, abuse or illegal acts or indications of such acts affecting the agency.

H. Prompt notification to the Auditor General and the Director of Administration by the private auditor if he encounters any significant accounting or auditing problems, or any situations that could delay completion of the audit.

I. In accordance with Chapter 27 of Title 17 of the Rhode Island General Laws, we have filed or will file upon execution of this contract if required, an affidavit with the State Board of Elections concerning reportable political contributions.

J. We certify that no Rhode Island "Major State decision maker", or spouse or dependent child or such person as defined by RIGL Sec 42-6-1 holds either a ten percent or greater equity interest or a five thousand dollar or greater cash interest in the business.

XXXVII. ACCESS TO AUDIT INFORMATION AND WORKPAPERS

Audit work papers of the private auditors shall be made available upon request of the Director of Administration and/or the Auditor General upon request. The request for such information by the Auditor General shall be

responded to promptly. Failure to provide this information shall constitute a breach of contract, and the contract shall give the Auditor General standing in a court of competent jurisdiction to enforce this provision.

XXXVIII. SPECIAL PROJECTS

Proposers shall submit hourly rates for the staff that may be assigned to special Projects. This rate will be used for all special projects required by the Authority/ Joint Pension Board.

XXXIX. EVALUATION OF PROPOSAL

Proposals will be evaluated using the following scoring weights resulting in a maximum score of 100 points:

	Maximum points
Overall qualifications and experience of the firm and the specific engagement personnel to be assigned focusing on experiences with governmental entities and the specific line of business or services provided by the entity to be audited.	40
Overall audit approach and audit strategy described/outlined in the proposal and firm capacity to perform the engagement within the specified timeframe (prior experience of the firm in meeting timelines should be factored in here)	30
Audit fees - See formula for points awarded for audit fees (*)	30
Maximum evaluation points	100

A. * Evaluation technique – audit fees

Audit fee score = (lowest bid/bid for firm being evaluated) X 30 points

Example: Assuming 3 bids received were: (firm A) - $40,000, (firm B) - $46,000, (firm C) - $50,000

Firm A (the lowest bidder) awarded 30 points $40,000/$40,000 X 30 points = 30
Firm B awarded 26 points $40,000/$46,000 X 30 points = 26
Firm C awarded 24 points $40,000/$50,000 X 30 points = 24

XL. PERFORMANCE REQUIRMENTS

The auditing firm will be responsible to deliver a total of 15 copies of the audit report and a PDF of the of the audit report to the Finance Department. Additionally, the audit firm shall transmit **one copy** of the audit report (inclusive of all audit communications) to the State Controller, **one copy** to the Director of Administration and **two copies** to the Auditor General.

The audit shall be completed and audit reports shall be delivered to the agency by June 5, 2015 for the FY 2014 pension audit and by September 14, 2015 for the FY 2015 pension audit.

XLI. PAYMENT REQUIRMENTS

Invoices are to be directed to the Finance Department and shall include description of services and a log of hours billed for that invoice by the accounting firm. Payment for services will be made from the assets of the Pension Plan.

Rhode Island Public Transit Authority
Employees' Pension Plan
(Portion covering 618 Employees)

Actuarial Valuation as of January 1, 2014

For the Plan Year Beginning January 1, 2014

and Ending December 31, 2014

Prepared By:

The Angell Pension Group, Inc.
88 Boyd Avenue
East Providence, RI 02914
Telephone (401) 438-9250

April 2014

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I. INTRODUCTION

This report presents the results of the actuarial valuation as of January 1, 2014 of the portion of the Rhode Island Public Transit Authority Employees' Pension Plan covering "618 Employees". The purpose of the report is to illustrate the current position of the plan and present information which will assist the plan sponsor in determining the appropriate contribution for the funding period beginning January 1, 2014 and ending December 31, 2014.

Effective January 1, 2002, the Rhode Island Public Transit Authority Salaried Employees' Pension Plan (the "Salaried Plan") and the Rhode Island Public Transit Authority Hourly Employees' Pension Plan (the "Hourly Plan") were consolidated into a single plan, the Rhode Island Public Transit Authority Employees' Pension Plan, for the benefit of all employees of the Employer. This valuation is based on the plan provisions in effect as of January 1, 2014 under the consolidated plan, but it includes only those participants and plan assets attributable to the Hourly Plan as it existed on and after December 31, 2001. The liabilities and plan assets attributable to the former Salaried Plan have been included in a separate valuation.

Section II of this report illustrates the recommended contribution.

The major provisions of the plan upon which this valuation is based are illustrated in Section III.

This valuation was prepared on the basis of information submitted to The Angell Pension Group, Inc. in the form of payroll and asset data, as well as ancillary material pertaining to the plan and the plan sponsor, and was prepared in accordance with the Employee Retirement Income Security Act of 1974 (ERISA). We have not independently verified, nor do we make any representations as to, the accuracy of such information.

The undersigned meet the Qualification Standards of the American Academy of Actuaries to render the actuarial opinions contained herein. There is no relationship between the Rhode Island Public Transit Authority and The Angell Pension Group, Inc. that impacts our objectivity.

David Pratt Ward

David Pratt Ward, A.S.A., E.A., M.A.A.A.
Director of Actuarial Services

April 23, 2014
Date

Jeffrey C. Liter, Ph.D., E.A., M.A.A.A.
Enrolled Actuary

II. REPORT SUMMARY

This report summarizes the results of the January 1, 2014 actuarial valuation for the portion of the Rhode Island Public Transit Authority Employees' Pension Plan covering "618 Employees". This section of the report shows the principal results of the valuation and other financial information for the funding period ending December 31, 2014 and provides a comparison with the results of the prior valuation. The figures in parentheses represent the contribution as percentages of Compensation, #5 below.

	Prior Valuation	Current Valuation
1. Recommended Contribution		
a. Assuming payment at beginning of plan year	$ 6,302,976 (20.5%)	$ 6,102,967 (20.1%)
b. Assuming payment at end of each month	$ 6,554,787 (21.3%)	$ 6,346,787 (20.9%)
2. Normal Cost (with expense load)	3,396,249 (11.1%)	2,674,794 (8.8%)
3. Unfunded Actuarial Accrued Liability	32,600,259	39,047,694
4. Assets		
a. Preliminary Actuarial Value	68,380,341	83,102,239
b. Due and Accrued Contribution	1,767,360	1,638,697
c. Benefits Payable	0	(28,755)
d. Actuarial Value	70,147,701	84,712,181
5. Compensation of Active Participants under Assumed Retirement Age	30,729,721	30,378,508
6. Actuarial Present Value of Accrued Benefits (as of valuation date)		
a. Vested	91,640,040	106,730,688
b. Non-Vested	8,120,891	6,286,609
c. Total	99,760,931	113,017,297
7. Number of Participants		
a. Active	714	700
b. Transferred	11	7
c. Terminated with Vested Benefits	56	53
d. Retired and Beneficiaries	344	372
e. Total	1,125	1,132

III. SUMMARY OF PLAN PROVISIONS

Provisions for 618 Employees

Plan Effective Date:	January 1, 1974
Eligibility Requirements:	Age: None Service: None Other: Customary employment must be for 1,000 or more hours per year. Effective with the July 1, 2000 valuation, part-time and flexible service employees hired after January 1, 1997, and working more than 1,000 hours per year will be included in the pension plan. Effective with the July 1, 2000 valuation, current full-time employees (hired prior to January 1, 1997) who have served as part-time employees will be credited with part-time service effective two years following date of hire. Effective with the January 1, 2014 valuation, current full-time employees who have served as part-time employees will be credited with part-time service from their dates of hire.
Plan Entry Date:	An eligible employee will enter the plan on the day he has met the eligibility requirements.
Normal Retirement Date:	First day of the month coincident with or next following a participant's 62nd Birthday. Effective January 1, 2006, the first day of the month coincident with or next following the later of a participant's 62nd Birthday and the completion of 5 years of service.
Compensation:	Basic compensation
Average Compensation:	Compensation averaged over the last 60 months worked.
Normal Retirement Benefit:	Effective for retirements on and after July 1, 2009: A monthly pension equal to 1.6% of Average Compensation for each Year of Service prior to January 1, 1987, plus 2% of Average Compensation for each Year of Service after December 31, 1986.

Normal Form of Benefit: Life Annuity

Accrued Benefit: The Normal Retirement Benefit based on Average Compensation and Years of Service to date.

Early Retirement: A participant who has attained age 55 with 10 Years of Continuous Service may retire and receive an Early Retirement Benefit. The amount of the Early Retirement Benefit equals the Accrued Benefit, reduced by 5/9% for each full month by which the benefit commencement date precedes the Normal Retirement Date.

Late Retirement: Participants who continue employment after their Normal Retirement Date are eligible for a Late Retirement Benefit equal to the greater of (a) the benefit calculated under the plan formula at the Late Retirement Date, or (b) the benefit calculated at Normal Retirement Date multiplied by the plan's Late Retirement Factor. Beginning April 1 of the calendar year following the year a Participant attains age 70.5, an active Participant's benefit will be increased actuarially each year, and the Participant will earn benefit accruals under the plan formula.

Death Benefit: The spouse of a participant who dies after completing 10 Years of Vesting Service will be eligible to receive a Pre-Retirement Surviving Spouse Benefit, if the participant has elected the Pre-Retirement Spouse Benefit.

Partial Disability: A percentage of the unreduced Accrued Benefit based on Years of Service, subject to the following schedule:

Years of Service	Percentage
Less than 20 years	0%
20 years or more	100%

Total and Permanent Disability: A percentage of the unreduced Accrued Benefit based on Years of Service, subject to the following schedule:

Years of Service	Percentage
Less than 15 years	0%
15 years but less than 20	75%
20 years or more	100%

Vesting: Based on Years of Service, subject to the following schedule:

Years of Service	Percentage
Less than 10 years	0%
10 years or more	100%

Notwithstanding the above vesting schedule, a participant will become 100% vested upon reaching the Normal Retirement Date.

Employee Contribution Rate:

Percentage of Base Salary:	
July 1 - December 31, 1997	1%
January 1, 1998	2%
January 1, 1999 and after	3%

Changes in Plan Provisions since Prior Valuation

The following changes were made to benefits of participants covered by ATU 618:

1) All pensioners as of July 1, 2013 received an additional $15 a month benefit, surviving spouses $7.50.
2) All pensioners as of July 1, 2014 will receive an additional $15 a month benefit, surviving spouses $7.50.
3) All pensioners as of July 1, 2015 will receive an additional $15 a month benefit, surviving spouses $7.50.
4) All 618 employees that had part time service in which they were not given Pension credit for in the past are now eligible to receive pension credit back to their individual date of hire.

The effects of items 1 and 4 are included in this valuation as of January 1, 2014. The effects of items 2 and 3 will be reflected in the January 1, 2015 and January 1, 2016 valuations, respectively.

IV. ACTUARIAL COST METHODS

A. Actuarial Cost Method

Costs have been computed in accordance with the Frozen Attained Age Actuarial Cost Method (also referred to as the Attained Age Normal with Frozen Initial Liability Cost method).

The normal cost is computed in the aggregate equal to the actuarial present value of future benefits less assets less present value of projected employee contributions less unfunded liability divided by a temporary annuity. The temporary annuity equals the actuarial present value of future compensation divided by the current compensation for those active participants who have not reached their assumed retirement age.

The unfunded actuarial accrued liability for the current year equals (a) the unfunded actuarial accrued liability for the prior year plus the normal cost for the prior year plus the expected expenses for the prior year, minus (b) the expected contributions for the prior year, where (a) and (b) are adjusted with interest to the date as of which the unfunded actuarial accrued liability is determined.

Changes in plan provisions and actuarial assumptions give rise to changes in the unfunded liability. The new layer(s) created each year is(are) amortized over a closed 30 year period on a level dollar basis.

Actuarial gains and losses are not separately amortized under this method. Rather, the impact is spread through the normal cost component over the future working lifetime of the participant.

B. Asset Valuation Method

The actuarial value of the plan assets used in determining plan costs is equal to the value reported by the insurance companies, plus due and accrued contributions.

C. Changes in Actuarial Methods

No changes in actuarial methods have occurred since the prior valuation date.

V. ACTUARIAL ASSUMPTIONS

A. Assumptions Used For The Current Plan Year

Actuarial assumptions are estimates as to the occurrence of future events affecting the costs of the plan such as mortality rates, withdrawal rates, changes in compensation level, retirement ages, rates of investment earnings, expenses, etc. The assumptions have been chosen to anticipate the long-range experience of the plan.

Investment Return: 7.50% per annum

Mortality: IRS 2014 Annuitant and Nonannuitant (Male/Female); no mortality improvement is assumed.

Withdrawal Rate: Sarason Table W-70. Illustrative annual rates of withdrawal are as follows:

Age	Rate
25	6.55%
40	3.09%
55	0.00%

Disability Rate: Two times Railroad Retirement Rates. Illustrative annual rates of disablement are as follows:

Age	Rate
25	0.10%
40	0.18%
55	1.70%

Salary Scale: 3.00% per annum

Assumed Retirement Age: Active employees and participants who terminate after December 31, 2001 are assumed to retire at the later of age 62 or the completion of 10 years of service. Participants who terminated prior to January 1, 2002 are assumed to retire at age 60.

Expenses: Prior year's actual expenses, rounded to nearest $100.

B. Changes In Actuarial Assumptions

The mortality tables were changed from the RP-2000 Combined Healthy (Male/Female) tables to the IRS 2014 Annuitant and Nonannuitant (Male/Female) tables.

VI. ASSET ALLOCATION AS OF DECEMBER 31, 2013

1. Prudential Account #17249

Dryden S&P 500 Index Fund	$ 8,100,117
Large Cap Growth / J.P. Morgan	6,877,046
Large Cap Value / LSV Asset Mgmt	8,159,309
Mid Cap Growth / Times Square	2,423,782
Mid Cap Value / Robeco Fund	2,221,363
Small Cap Growth / RBC	6,763,715
International Growth / Artisan	4,483,058
International Value / LSV	3,822,444
Core Plus Bond / PIMCO Fund	8,700,593
Guaranteed Deposit Account	29,331,468
Cohen & Steers Realty Income	2,219,344
Total Prudential Account #17249	$ 83,102,239

VII. RECONCILIATION OF PLAN ASSETS

	Account #17249
1. Market Value of Assets as of December 31, 2012	$68,380,341
2. Employer Contributions	6,683,450
3. Employee Contributions	930,217
4. Net Investment Income	11,919,482
5. Benefit Payments	(4,768,447)
6. Administrative Expenses	(42,804)
7. Market Value of Assets as of December 31, 2013 [(1) + (2) + (3) + (4) + (5) + (6)]	$83,102,239
8. Due and Accrued Contribution for 2013[1]	1,638,697
9. Benefits Payable for 2013[2]	(28,755)
10. Total Plan Assets [(7) + (8) + (9)]	$84,712,181
11. Actuarial Value of Assets	$84,712,181

[1]According to contribution information supplied by the Rhode Island Public Transit Authority.

[2]Monthly benefits were increased $15.00 for retirees and $7.50 for beneficiaries effective 7/1/2013. The increased benefits were scheduled to be paid beginning February, 2014 with a one-time make-up payment covering the increased benefits retroactive to 7/1/2013.

VIII. ACTUARIAL PRESENT VALUE OF ACCUMULATED PLAN BENEFITS

A. Present Values as of January 1, 2014

	Number of Lives	Vested Benefits	Non-Vested Benefits	Total Present Value
Active Lives, Leave of Absence and Transfers to other than 618 Employee Status:	707	$58,900,429	$6,286,609	$65,187,038
Vested Terminations:	53	2,554,532	0	2,554,532
Retired Lives and Beneficiaries:	372	45,275,727	0	45,275,727
Totals:	1,132	$106,730,688	$6,286,609	$113,017,297

B. Basis of Determination

The actuarial assumptions used in calculating the Actuarial Present Value of Accumulated Plan Benefits are as shown in Section V with the exception that no expenses are assumed.

IX. DEVELOPMENT OF NORMAL COST FOR JANUARY 1, 2014

1.	Present Value of Benefits		
	Active Participants, Leave of Absence, and Transferred:	102,375,680	
	Retired and Beneficiaries:	45,275,727	
	Terminated:	2,554,532	
	TOTAL		$ 150,205,939
2.	Actuarial Present Value of Future Compensation		226,740,484
3.	Projected Employee Contributions [3% x (2)]		6,802,215
4.	Net Present Value of Benefits [(1) - (3)]		143,403,724
5.	Actuarial Value of Assets		84,712,181
6.	Unfunded Actuarial Accrued Liability		39,047,694
7.	Actuarial Present Value of Future Normal Costs [(4) - (5) - (6)]		19,643,849
8.	Normal Cost Accrual Rate [(7) / (2)]		8.664%
9.	Covered Compensation of Active Participants below the Assumed Retirement Age		30,378,508
10.	Normal Cost [(8) x (9)]		2,631,994

X. DEVELOPMENT OF RECOMMENDED CONTRIBUTION

1.	Normal Cost for January 1, 2014	$2,631,994
2.	Amortization Payments	3,428,173
3.	Expected Expenses	42,800
4.	Total Contribution Payable January 1, 2014 [(1) + (2) + (3)]	6,102,967
5.	Total Contribution Payable Monthly	$ 6,346,787

504,040.67/mthly

XI. RECONCILIATION OF UNFUNDED ACTUARIAL ACCRUED LIABILITY

1. Unfunded Actuarial Accrued Liability as of January 1, 2013	$32,600,259
2. Normal Cost for 2013	3,396,249
3. Expected Expenses for 2013	36,800
4. Expected Contributions for 2013	(6,554,787)
5. Net Interest on (1), (2), (3) and (4)	2,481,586
6. Assumption Change as of January 1, 2014	5,885,440
7. Plan Change as of January 1, 2014	1,202,147
8. Unfunded Actuarial Accrued Liability as of January 1, 2014 [(1) + (2) + (3) + (4) + (5) + (6) + (7)]	$39,047,694

XII. SUMMARY OF AMORTIZATION BASES

Date Established	Source	Unfunded as of January 1, 2014	Amortization Payment	Years Left
July 1, 1997	Fresh Start	$ 7,695,638	$ 770,772	16.5
July 1, 1997	Due and Accrued Contributions	974,084	97,561	16.5
July 1, 1997	Benefit Change	48,449	4,852	16.5
July 1, 1998	Benefit Change	145,088	14,531	16.5
July 1, 1999	Benefit Change	463,699	46,442	16.5
July 1, 2000	Benefit Change	179,333	17,962	16.5
January 1, 2002	Accrual Period Change	559,084	55,997	16.5
January 1, 2002	Benefit Change	2,536,337	243,085	18.0
January 1, 2004	Benefit Change	1,580,413	144,210	20.0
January 1, 2005	COLA Increase	416,576	37,212	21.0
January 1, 2007	618A Transfer	274,918	23,665	23.0
January 1, 2008	Assumption Change	5,837,638	494,434	24.0
January 1, 2009	Assumption Change	3,876,725	323,519	25.0
January 1, 2011	Benefit Change	4,174,115	339,373	27.0
January 1, 2012	Benefit Change	1,207,464	97,052	28.0
January 1, 2012	Benefit Change	1,120,185	90,037	28.0
January 1, 2013	Benefit Change	870,361	69,223	29.0
January 1, 2014	Benefit Change	717,546	56,517	30.0
January 1, 2014	COLA Increase	484,601	38,169	30.0
January 1, 2014	Assumption Change	5,885,440	463,560	30.0
TOTAL		$39,047,694	$ 3,428,173	

XIII. SCHEDULE OF FUNDING PROGRESS IN ACCORDANCE WITH PARAGRAPH 37 OF GASB NO. 25

Valuation Date	Actuarial Accrued Assets (AVA) (1)	Actuarial Accrued Liability (AAL) (2)	Unfunded AAL (UAAL) [(2) - (1)] (3)	AVA as a Percent of AAL [(1)/(2)] (4)	Covered Payroll for Active Participants (5)	UAAL as a Percent of Covered Payroll [(3)/(5)] (6)
January 1, 2014	84,712,181	123,759,875	39,047,694	68.45%	30,378,508	128.54%
January 1, 2013	70,147,701	102,747,960	32,600,259	68.27%	30,729,721	106.09%
January 1, 2012	59,562,995	91,871,976	32,308,981	64.83%	30,653,198	105.40%
January 1, 2011	54,778,816	85,237,701	30,458,885	64.27%	30,242,652	100.71%
January 1, 2010	45,904,451	72,503,693	26,599,242	63.31%	30,270,456	87.87%
January 1, 2009	34,390,148	61,408,539	27,018,391	56.00%	30,223,316	89.40%
January 1, 2008	38,102,478	61,341,381	23,238,903	62.12%	30,204,278	76.94%
January 1, 2007	33,041,123	50,260,359	17,219,234	65.74%	29,210,919	58.95%
January 1, 2006	26,329,994	43,480,559	17,150,565	60.56%	24,091,280	71.19%
January 1, 2005	22,854,889	40,219,586	17,364,697	56.83%	23,706,541	73.25%
January 1, 2004	18,496,569	35,584,946	17,088,377	51.98%	24,010,191	71.17%
January 1, 2003	13,557,300	28,988,352	15,431,052	46.77%	21,206,502	72.77%
January 1, 2002	12,668,565	28,252,509	15,583,944	44.84%	21,276,554	73.24%
July 1, 2001	13,040,965	24,910,283	11,869,318	52.35%	20,347,877	58.33%

Additional disclosures for Frozen Attained Age Funding Method:
- allocation is based on earnings; aggregation is used in the calculation process
- there are no other methods used to value benefits under the plan

Actuarial Assumption for current valuation:

Investment return:	7.50% per annum
Mortality:	IRS 2014 Annuitant and Nonannuitant (Male/Female)
Withdrawal rate:	Sarason Table W-70
Disability rate:	Two times Railroad Retirement Rates
Salary scale:	3.00% per annum
Assumed retirement age:	Active Participants and Participants who terminated after 2001 are assumed to retire at the later of age 62 or the completion of 10 years of service. Participants who terminated prior to 2002 are assumed to retire at age 60.
Expenses:	Prior year's actual expenses, rounded to nearest $100
Actuarial cost method:	Attained Age Normal with Frozen Initial Liability
Asset valuation method:	Value reported by Prudential, plus accrued contributions

Values for years prior to July 1, 1997 were based on the Entry Age Normal method, taking into account the benefit structure in effect on the valuation dates shown. Values for years prior to January 1, 2008 were based on the 1971 Group Annuity Mortality table for Males, set back 6 years for females. Values for years from January 1, 2008 to January 1, 2013 were based on the RP-2000 Combined Healthy (Male/Female) mortality tables. Values for years prior to January 1, 2009 were based on an assumed investment return of 8.0%.

XIV. PARTICIPANT DATA

A. Reconciliation of Participant Data

	Actives	*Transferred with Vested Benefits*	*Terminated with Vested Benefits*	*Retirees & Beneficiaries*	*Total*
Total as of January 1, 2013	714	11	56	344	1,125
New Entrants	30	0	0	0	30
Rehires	1	0	(1)	0	0
Terminated vested	(3)	0	3	0	0
Terminated nonvested	(7)	0	0	0	(7)
Lump sum cashout	0	0	0	0	0
Active deaths	(5)	0	0	2	(3)
Terminated vested deaths	0	0	(1)	0	(1)
New retirees	(30)	(4)	(2)	36	0
New beneficiaries	0	0	0	0	0
Retiree/beneficiary deaths	0	0	0	(10)	(10)
Dropped coverage	0	0	0	0	0
Data adjustments	0	0	(2)	0	(2)
Total as of January 1, 2014	700	7	53	372	1,132

B. Age and Service Distribution of Actives and Transfers

Complete Years of Service as of January 1, 2014

Attained Age	*0-4*	*5-9*	*10-14*	*15-19*	*20-24*	*25-29*	*30+*	*Total*
Under 30	6	1	0	0	0	0	0	7
30-34	12	11	5	0	0	0	0	28
35-39	15	7	13	2	0	0	0	37
40-44	32	12	23	10	5	2	0	84
45-49	36	22	28	20	6	5	0	117
50-54	15	17	49	24	12	13	0	130
55-59	23	19	41	18	3	12	24	140
60-61	5	5	23	5	3	3	12	56
62-64	4	7	18	5	1	2	19	56
65-69	3	7	14	1	0	2	14	41
70+	0	1	4	3	2	0	1	11
Total	151	109	218	88	32	39	70	707

C. Age Distribution of Inactives

Age as of January 1, 2014

Attained Age	*Terminated with Vested Benefits*	*Retirees*	*Beneficiaries*	*Total*
Under 60	37	24	5	66
60-64	6	63	5	74
65-69	6	107	6	119
70-74	2	75	11	88
75-79	2	44	3	49
80+	0	22	7	29
Total	53	335	37	425

D. Participant Statistics

	January 1, 2013	January 1, 2014
Actives & Transfers		
Number vested	423	468
Number nonvested	302	239
Total number of actives	725	707
Average age	52.28	52.44
Average years of service	13.75	13.80
Average future service	10.49	10.38
Terminated with Vested Benefits		
Number of participants	56	53
Average age	56.59	55.93
Retirees & Beneficiaries		
Retirees under age 62	36	40
Retirees age 62 & above	274	295
Beneficiaries	34	37
Total retirees and beneficiaries	344	372
Average age	69.48	69.61

XV. PROJECTION OF BENEFIT PAYMENTS

For Plan Year Beginning in:	Payments
2014	$ 7,134,279
2015	7,622,354
2016	8,150,432
2017	8,643,717
2018	9,196,696
2019	9,861,411
2020	10,285,206
2021	10,749,932
2022	11,208,235
2023	11,722,869
2024	12,233,809
2025	12,664,305
2026	13,060,929
2027	13,481,885
2028	13,769,899

Rhode Island Public Transit Authority
Employees' Pension Plan
(Portion covering other than 618 Employees)

Actuarial Valuation as of January 1, 2014

For the Plan Year Beginning January 1, 2014

and Ending December 31, 2014

Prepared By:

The Angell Pension Group, Inc.
88 Boyd Avenue
East Providence, RI 02914
Telephone (401) 438-9250

April 2014

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I. INTRODUCTION

This report presents the results of the actuarial valuation as of January 1, 2014 of the portion of the Rhode Island Public Transit Authority Employees' Pension Plan covering other than "618 Employees". The purpose of the report is to illustrate the current position of the plan and present information which will assist the plan sponsor in determining the appropriate contribution for the funding period beginning January 1, 2014 and ending December 31, 2014.

Effective January 1, 2002, the Rhode Island Public Transit Authority Salaried Employees' Pension Plan (the "Salaried Plan") and the Rhode Island Public Transit Authority Hourly Employees' Pension Plan (the "Hourly Plan") were consolidated into a single plan, the Rhode Island Public Transit Authority Employees' Pension Plan, for the benefit of all employees of the Employer. This valuation is based on the plan provisions in effect as of January 1, 2014 under the consolidated plan, but it includes only those participants and plan assets attributable to those participants who are other than "618 Employees". The liabilities and plan assets attributable to the former Hourly Plan have been included in a separate valuation.

Section II of this report illustrates the recommended contribution.

The major provisions of the plan upon which this valuation is based are illustrated in Section III.

Effective January 1, 2004, the benefit multiplier for years after December 31, 1986 increased from 1.8% to 2.0% for all participants.

This valuation was prepared on the basis of information submitted to The Angell Pension Group, Inc. in the form of payroll and asset data, as well as ancillary material pertaining to the plan and the plan sponsor, and was prepared in accordance with the Employee Retirement Income Security Act of 1974 (ERISA). We have not independently verified, nor do we make any representations as to, the accuracy of such information.

The undersigned meet the Qualification Standards of the American Academy of Actuaries to render the actuarial opinions contained herein. There is no relationship between the Rhode Island Public Transit Authority and The Angell Pension Group, Inc. that impacts our objectivity.

David Pratt Ward, A.S.A., E.A., M.A.A.A.
Director of Actuarial Services

April 23, 2014
Date

Jeffrey C. Liter, Ph.D., E.A., M.A.A.A.
Enrolled Actuary

II. REPORT SUMMARY

This report summarizes the results of the January 1, 2014 actuarial valuation for the portion of the Rhode Island Public Transit Authority Employees' Pension Plan covering other than "618 Employees". This section of the report shows the principal results of the valuation and other financial information for the plan year beginning January 1, 2014 and provides a comparison with the results of the prior valuation. The figures in parentheses represent the contribution as percentages of Compensation, #5 below.

	Prior Valuation	Current Valuation
1. Recommended Contribution		
a. Assuming payment at beginning of plan year	$ 913,041 (18.9%)	$ 775,064 (18.2%)
b. Assuming payment at end of each month	$ 949,518 (19.7%)	$ 806,029 (18.9%)
2. Normal Cost (with expense load)	451,563 (9.4%)	247,934 (5.8%)
3. Unfunded Actuarial Accrued Liability	4,395,932	5,063,071
4. Assets		
a. Preliminary Actuarial Value	14,021,607	16,469,638
b. Due and Accrued Contribution	333,739	237,380
c. Actuarial Value	14,355,346	16,707,018
5. Compensation of Active Participants under Assumed Retirement Age	4,828,950	4,257,513
6. Actuarial Present Value of Accrued Benefits as of the valuation date		
a. Vested	17,127,088	18,784,708
b. Non-Vested	566,797	549,704
c. Total	17,693,885	19,334,412
7. Number of Participants		
a. Active	86	81
b. Transferred	3	3
c. Terminated with Vested Benefits	7	7
d. Retired and Beneficiaries	75	79
e. Total	171	169

III. SUMMARY OF PLAN PROVISIONS

Provisions for other than 618 Employees

Plan Effective Date:	January 1, 1971
Eligibility Requirements:	Age: None Service: None Other: Customary employment must be for 1,000 or more hours per year.
Plan Entry Date:	An eligible employee will enter the plan on the day he has met the eligibility requirements.
Normal Retirement Date:	First day of the month coincident with or next following a participant's 62nd Birthday. Effective January 1, 2006, the first day of the month coincident with or next following the later of a participant's 62nd Birthday and the completion of 5 years of service.
Compensation:	Basic compensation
Average Compensation:	Compensation averaged over the last 60 months worked
Normal Retirement Benefit:	Effective January 1, 2004, the product of (a) times (b) plus the product of (c) times (d): (a) 1.6% of Average Compensation as of actual date of termination (b) Years of Service prior to January 1, 1987 (c) 2.0% of Average Compensation as of actual date of termination (d) Years of Service after December 31, 1986
Normal Form of Benefit:	Life Annuity
Accrued Benefit:	The Normal Retirement Benefit based on Average Compensation and Years of Service to date

Early Retirement: A participant who has attained age 52 with 10 Years of Service (including 3 years of participation in the plan) may retire and receive an Early Retirement Benefit. The amount of the Early Retirement Benefit equals the Accrued Benefit, reduced actuarially for payment prior to Normal Retirement Date.

Late Retirement: Participants who continue employment after their Normal Retirement Date are eligible for a Late Retirement Benefit equal to the greater of (a) the benefit calculated under the plan formula at the Late Retirement Date, or (b) the benefit calculated at Normal Retirement Date multiplied by the plan's Late Retirement factor. Beginning April 1 of the calendar year following the year a Participant attains age 70.5, an active Participant's benefit will be increased actuarially each year, and the Participant will earn benefit accruals under the plan formula.

Optional Pre-Retirement Spouse Benefit: The spouse of a participant who dies after becoming eligible for an Early Retirement benefit will be eligible to receive a Pre-Retirement Surviving Spouse Benefit, if the participant has elected the Pre-Retirement Spouse Benefit. Benefits are reduced 0.04% for each month the coverage is in effect.

Lump Sum Death Benefit: $100 for each year of service completed after January 1, 1971

Disability Benefit: Unreduced Accrued Benefit provided the participant has met the eligibility requirement of age 55 and the completion of 15 Years of Service.

Vesting: Based on Years of Service, subject to the following schedule:

Years of Service	Percentage
Less than 10 years	0%
10 years or more	100%

Notwithstanding the above vesting schedule, a participant will become 100% vested upon reaching the Normal Retirement Date.

Mandatory Participant Contributions: Effective January 1, 2002, participants must contribute 3% of compensation.

IV. ACTUARIAL COST METHODS

Costs have been computed in accordance with the following methods.

A. Actuarial Cost Method

Costs have been computed in accordance with the Frozen Attained Age Actuarial Cost Method (also referred to as the Attained Age Normal with Frozen Initial Liability Cost method).

The normal cost is computed in the aggregate equal to the actuarial present value of future benefits less assets less present value of projected employee contributions less unfunded liability divided by a temporary annuity. The temporary annuity equals the actuarial present value of future compensation divided by the current compensation for those active participants who have not reached their assumed retirement age.

The unfunded actuarial accrued liability for the current year equals (a) the unfunded actuarial accrued liability for the prior year plus the normal cost for the prior year plus the expected expenses for the prior year, minus (b) the expected contributions for the prior year, where (a) and (b) are adjusted with interest to the date as of which the unfunded actuarial accrued liability is determined. The unfunded actuarial accrued liability was changed effective January 1, 2008 to reflect the change in funding method. The change was equal to the difference between he Entry Age Normal accrued liability as of January 1, 2008 and the Projected Unit Credit accrued liability as of January 1, 2008.

Changes in plan provisions and actuarial assumptions give rise to changes in the unfunded liability. The new layer(s) created each year is(are) amortized over a closed 30 year period on a level dollar basis.

Actuarial gains and losses are not separately amortized under this method. Rather, the impact is spread through the normal cost component over the future working lifetime of the participant.

B. Asset Valuation Method

The actuarial value of the plan assets used in determining plan costs is equal to the value reported by Prudential, plus any due and accrued contributions. Assets in the Guaranteed Deposit Account are valued at contract (book) value. Assets in Separate Accounts are valued at market value.

C. Changes in Actuarial Methods

There were no changes in actuarial methods since the prior valuation date.

V. ACTUARIAL ASSUMPTIONS

A. Assumptions Used For The Current Plan Year

Actuarial assumptions are estimates as to the occurrence of future events affecting the costs of the plan such as mortality rates, withdrawal rates, changes in compensation level, retirement ages, rates of investment earnings, expenses, etc. The assumptions have been chosen to anticipate the long-range experience of the plan.

Investment Return: 7.50% per annum

Mortality: IRS 2014 Annuitant and Nonannuitant (Male/Female); no mortality improvement is assumed.

Withdrawal Rate: Crocker-Sarason-Straight Table T-1. Illustrative annual rates of withdrawal are as follows:

Age	Rate
25	4.9%
40	1.1%
55	0.0%

Salary Scale: 3.00% per annum

Assumed Retirement Age: The later of Normal Retirement Age under the plan, or the completion of 10 years of service

Disability Rate: Railroad Retirement Rates. Illustrative annual rates of disablement are as follows:

Age	Rate
25	0.05%
40	0.09%
55	0.85%

Expenses: Prior year's actual expenses, rounded to nearest $100

B. Changes In Actuarial Assumptions

The mortality tables were changed from the RP-2000 Combined Healthy (Male/Female) tables to the IRS 2014 Annuitant and Nonannuitant (Male/Female) tables.

VI. ASSET ALLOCATION AS OF DECEMBER 31, 2013

1. Prudential Account #16672

Dryden S&P 500 Index Fund	$ 1,551,247
Large Cap Growth / Jennison	1,469,109
Large Cap Value / AJO	1,407,013
Mid Cap Growth / Times Square	437,577
Mid Cap Value / Robeco Fund	433,814
Small Cap Growth / Times Square	1,308,452
International Growth / Artisan	851,888
International Blend / AQR	851,253
Guaranteed Deposit Account	7,377,020
Prudential Short-Term	1,004
CIGNA Open-End Real Estate	7
Cohen & Steers Realty Income	420,030
Total Prudential Account #16672	$ 16,108,414

2. Prudential Account #1808

Guaranteed Deposit Account	$ 361,224
Total Prudential Account #1808	$ 361,224

VII. RECONCILIATION OF PLAN ASSETS

	Account #16672	Account #1808	Total
1. Market Value of Assets as of December 31, 2012	$13,670,321	$351,286	$14,021,607
2. Employer Contributions	962,442	0	962,442
3. Employee Contributions	157,492	0	157,492
4. Net Investment Income	2,471,414	10,538	2,481,952
5. Benefit Payments	(1,144,550)	0	(1,144,550)
6. Administrative Expenses	(8,705)	(600)	(9,305)
7. Market Value of Assets as of December 31, 2013 [(1) + (2) + (3) + (4) + (5) + (6)]	$16,108,414	$361,224	$16,469,638
8. Due and Accrued Contribution for 2013[1]	$ 237,380	$ 0	$ 237,380
9. Total Plan Assets [(7) + (8)]	$16,345,794	$361,224	$16,707,018
10. Actuarial Value of Assets			$16,707,018

[1]According to contribution information supplied by the Rhode Island Public Transit Authority.

VIII. ACTUARIAL PRESENT VALUE OF ACCUMULATED PLAN BENEFITS

A. Present Values as of January 1, 2014

	Number of Lives	Vested Benefits	Non-Vested Benefits	Total Present Value
Active Lives, Leave of Absence and Transfers to 618 Employee Status:	83	$7,590,606	$549,704	$8,140,310
Vested Terminations:	7	433,924	0	433,924
Retired Lives and Beneficiaries:	79	10,760,178	0	10,760,178
Totals:	169	$18,784,708	$549,704	$19,334,412

B. Basis of Determination

The actuarial assumptions used in calculating the Actuarial Present Value of Accumulated Plan Benefits are as shown in Section V with the exception that no expenses are assumed.

IX. DEVELOPMENT OF NORMAL COST FOR JANUARY 1, 2014

1. Present Value of Benefits		
Active Participants, Leave of Absence, and Transferred:	13,698,555	
Retired and Beneficiaries:	10,760,178	
Terminated:	433,924	
TOTAL		$ 24,892,657
2. Actuarial Present Value of Future Compensation		36,287,583
3. Projected Employee Contributions [3% x (2)]		1,088,627
4. Net Present Value of Benefits [(1) - (3)]		23,804,030
5. Actuarial Value of Assets		16,707,018
6. Unfunded Actuarial Accrued Liability		5,063,071
7. Actuarial Present Value of Future Normal Costs [(4) - (5) - (6)]		2,033,941
8. Normal Cost Accrual Rate [(7) / (2)]		5.605%
9. Covered Compensation of Active Participants below the Assumed Retirement Age		4,257,513
10. Normal Cost [(8) x (9)]		238,634

X. DEVELOPMENT OF RECOMMENDED CONTRIBUTION

1.	Normal Cost for January 1, 2014	$ 238,634
2.	Amortization Payments	527,130
3.	Expected Expenses	9,300
4.	Total Contribution Payable January 1, 2014 [(1) + (2) + (3)]	775,064
5.	Total Contribution Payable Monthly	$ 806,029

67,169.08/mth

XI. RECONCILIATION OF UNFUNDED ACTUARIAL ACCRUED LIABILITY

1. Unfunded Actuarial Accrued Liability as of January 1, 2013	$ 4,395,932
2. Normal Cost for 2013	442,863
3. Expected Expenses for 2013	8,700
4. Expected Contributions for 2013	(949,518)
5. Net Interest on (1), (2), (3) and (4)	331,561
6. Assumption Change as of January 1, 2014	833,533
7. Plan Change as of January 1, 2014	0
8. Unfunded Actuarial Accrued Liability as of January 1, 2014 [(1) + (2) + (3) + (4) + (5) + (6) + (7)]	$ 5,063,071

XII. SUMMARY OF AMORTIZATION BASES

Charges:	Date Established	Initial Amount	Remaining Amount	Years	Annual Payment
Fresh Start	01/01/98	$4,489,882	$3,187,692	14	$349,304
Actuarial Loss	01/01/00	121,472	93,115	16	9,475
Actuarial Loss	01/01/01	441,310	349,537	17	34,466
Actuarial Loss	01/01/02	504,443	411,557	18	39,444
Benefit Change	01/01/02	665,713	543,130	18	52,054
Actuarial Loss	01/01/03	840,453	704,392	19	65,794
Benefit Increase (Local 808)	01/01/04	761,797	654,293	20	59,703
Actuarial Loss	01/01/04	46,732	40,135	20	3,662
Actuarial Loss	01/01/05	412,523	362,307	21	32,365
Actuarial Loss	01/01/06	432,644	387,815	22	33,979
Actuarial Loss	01/01/07	143,277	130,852	23	11,264
Actuarial Loss	01/01/08	233,101	216,570	24	18,343
Assumption Change	01/01/08	1,305,349	1,212,780	24	102,719
Assumption Change	01/01/14	833,533	833,533	30	65,652
TOTAL CHARGES:			$9,127,708		$878,224

Credits:	Date Established	Initial Amount	Remaining Amount	Years	Annual Payment
Actuarial Gain	01/01/99	$346,525	$256,163	15	$26,995
618A Transfer	01/01/07	2,027,884	1,852,051	23	159,423
Method Change	01/01/08	1,217,945	1,131,574	24	95,841
Assumption Change	01/01/09	873,941	824,849	25	68,835
TOTAL CREDITS:			$4,064,637		$351,094
GRAND TOTAL:			$5,063,071		$527,130

XIII. SCHEDULE OF FUNDING PROGRESS IN ACCORDANCE WITH PARAGRAPH 37 OF GASB NO. 25

Valuation Date	Actuarial Value of Assets (AVA) (1)	Actuarial Accrued Liability (AAL) (2)	Unfunded AAL (UAAL) [(2) - (1)] (3)	AVA as a Percent of AAL [(1)/(2)] (4)	Covered Payroll for Active Participants (5)	UAAL as a Percent of Covered Payroll [(3)/(5)] (6)
January 1, 2014	16,707,018	21,770,089	5,063,071	76.74%	4,257,513	118.92%
January 1, 2013	14,355,346	18,751,278	4,395,932	76.56%	4,828,950	91.03%
January 1, 2012	12,738,093	17,288,810	4,550,717	73.68%	4,853,103	93.77%
January 1, 2011	12,399,340	17,094,043	4,694,703	72.54%	5,088,131	92.27%
January 1, 2010	11,016,648	15,845,292	4,828,644	69.53%	5,068,303	95.27%
January 1, 2009	9,341,618	14,294,858	4,953,240	65.35%	5,260,992	94.15%
January 1, 2008	9,225,518	15,184,097	5,958,579	60.76%	5,507,617	108.19%
January 1, 2007	8,584,242	14,341,947	5,757,705	59.85%	4,914,984	117.15%
January 1, 2006	9,075,277	16,848,040	7,772,763	53.87%	7,068,218	109.97%
January 1, 2005	8,230,659	15,688,414	7,457,755	52.46%	6,897,584	108.12%
January 1, 2004	7,442,204	14,050,162	6,607,958	52.97%	6,604,025	100.06%
January 1, 2003	6,622,670	13,056,167	6,433,497	50.72%	6,437,735	99.93%
January 1, 2002	6,446,196	12,115,911	5,669,715	53.20%	5,522,334	102.67%
January 1, 2001	6,288,035	10,847,671	4,559,636	57.97%	4,481,180	101.75%

Additional disclosures for Frozen Attained Age Funding Method:
- allocation is based on earnings; aggregation is used in the calculation process
- there are no other methods used to value benefits under the plan

Actuarial Assumptions for current valuation:

Investment return:	7.50% per annum
Mortality:	IRS 2014 Annuitant and Nonannuitant (Male/Female)
Withdrawal rate:	Crocker-Sarason-Straight Table T-1
Funding eligibility:	Prior to January 1, 2000, 3 years of service for funding eligibility. Effective January 1, 2000 funding eligibility begins on Date of Hire.
Salary scale:	3.00% per annum
Assumed retirement age:	Later of Normal Retirement Date under the Plan, or completion of 10 years of service
Expenses:	Prior year's actual expenses, rounded to nearest $100
Actuarial cost method:	Attained Age Normal with Frozen Initial Liability
Asset valuation method:	Value reported by Prudential plus due and accrued contributions

Values for years prior to January 1, 2008 were based on the Entry Age Normal (Aggregated Level Compensation) Method and the 1971 Group Annuity Mortality table for Males, set back 6 years for females.

Values for years from January 1, 2008 to January 1, 2013 were based on the RP-2000 Combined Healthy (Male/Female) mortality tables.

Values for years prior to January 1, 2009 were based on an assumed investment return of 7.0%

XIV. PARTICIPANT DATA

A. Reconciliation of Participant Data

	Actives	*Transferred with Vested Benefits*	*Terminated with Vested Benefits*	*Retirees & Beneficiaries*	*Total*
Total as of January 1, 2013	86	3	7	75	171
New Entrants	6	0	0	0	6
Rehires	0	0	0	0	0
Terminated vested	(2)	0	2	0	0
Terminated nonvested	(3)	0	0	0	(3)
Active deaths	0	0	0	0	0
Terminated vested deaths	0	0	0	0	0
New retirees	(6)	0	(1)	7	0
New beneficiaries	0	0	0	0	0
Retiree/beneficiary deaths	0	0	0	(4)	(4)
Transferred to Hourly plan	0	(1)	0	0	(1)
Transferred from Hourly plan	0	0	0	1	1
Data adjustments	0	0	(1)	0	(1)
Total as of January 1, 2014	81	2	7	79	169

B. Age and Service Distribution of Actives and Transfers

Complete Years of Service as of January 1, 2014

Attained Age	*0-4*	*5-9*	*10-14*	*15-19*	*20-24*	*25-29*	*30+*	*Total*
Under 30	1	2	0	0	0	0	0	3
30-34	1	4	0	0	0	0	0	5
35-39	1	3	5	1	0	0	0	10
40-44	1	2	6	1	1	0	0	11
45-49	2	1	2	4	1	0	0	10
50-54	1	1	3	3	0	1	0	9
55-59	3	1	5	1	2	1	4	17
60-61	0	1	1	2	0	0	2	6
62-64	1	0	3	0	0	0	2	6
65-69	0	3	2	1	0	0	0	6
70+	0	0	0	0	0	0	0	0
Total	11	18	27	13	4	2	8	83

C. Age Distribution of Inactives

Age as of January 1, 2014

Attained Age	*Terminated with Vested Benefits*	*Retirees*	*Beneficiaries*	*Total*
Under 60	7	6	0	13
60-64	0	13	0	13
65-69	0	21	1	22
70-74	0	17	0	17
75-79	0	6	1	7
80+	0	10	4	14
Total	7	73	6	86

D. Participant Statistics

	January 1, 2013	January 1, 2014
Active & Transfers		
Number vested	64	58
Number nonvested	25	25
Total number of actives	89	83
Average age	49.66	50.14
Average years of service	14.70	13.71
Average future service	12.79	12.60
Terminated with Vested Benefits		
Number of participants	7	7
Average age	56.73	51.57
Retirees & Beneficiaries		
Retirees under age 62	6	11
Retirees age 62 & above	63	62
Beneficiaries	6	6
Total retirees and beneficiaries	75	79
Average age	71.58	70.90

XV. PROJECTION OF BENEFIT PAYMENTS

For Plan Year Beginning In:	Payments
2014	$ 1,420,091
2015	1,478,325
2016	1,505,980
2017	1,542,014
2018	1,638,849
2019	1,688,202
2020	1,714,505
2021	1,861,577
2022	1,845,834
2023	1,919,404
2024	1,921,218
2025	1,927,202
2026	1,931,645
2027	1,879,584
2028	1,962,905