



METROPOLITAN TRANSIT AUTHORITY OF HARRIS COUNTY, TX (METRO)

REQUEST FOR QUALIFICATIONS (RFQ) NO. 2026000055

FOR

**Recertification DOT Medical Physicals Exams
On An 'As Needed' Basis**

METRO requests Statements of Qualifications (SOQs) from qualified consultant teams to perform the services described in this RFQ. Advanced experience in this area is mandatory.

Please contact the following Contract Administrator with any questions about this RFQ:

Judy Oliver-Royston
Contract Administrator
Email: JO05@ridemetro.org
Office: (713) 739-4887

IMPORTANT – Notice to Proposer

Submit all responses to and questions regarding this solicitation electronically through METRO's EUNA (Bonfire) at <https://www.ridemetro.org/procurement> AND one (1) hardcopy of the proposal to the address below.

There is no cost to Contractors to register to submit bids on METRO's EUNA (Bonfire).

Metropolitan Transit Authority
Procurement Division
1900 Main Street
Houston, Texas 77002

Upper Left Corner of Envelope Must Indicate:
Proposer/Contractor Name and Address
Lower Left Corner of Envelope Must Indicate:
Solicitation Number
Due Date
Due Time
Solicitation Title

The EUNA (Bonfire) submission shall take precedence over any discrepancies between the hard copy and the EUNA (Bonfire) submission. Both the electronic via EUNA (Bonfire) and hardcopy submittal **MUST** be received by the deadline specified in the solicitation. A submittal **MAY** be deemed non-responsive if both the electronic and hardcopy are not received by the deadline specified in this solicitation.

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SECTION I – STATEMENT OF QUALIFICATIONS SUBMISSION REQUIREMENTS AND INSTRUCTIONS**1 REQUEST FOR QUALIFICATIONS SUMMARY**

RFQ NO.: 2026000055

RFQ ISSUE DATE: October 5, 2026

PROJECT NAME: Recertification DOT Medical Physicals Exams on an As-Needed Basis

For: Professional Services on an 'As Needed' Basis

ISSUED BY: Metropolitan Transit Authority of Harris County (METRO)

Website: <https://www.ridemetro.org/Procurement>

All questions and bid responses to this solicitation must be submitted electronically through METRO's EUNA (Bonfire) at <https://www.ridemetro.org/procurement>. Registration on METRO's EUNA (Bonfire) is free. Additionally, submit one (1) Original hardcopy delivered in a sealed envelope to the METRO Procurement Office, 1900 Main Street, Houston, Texas 77002

CONTRACT ADMINISTRATOR: Judy Oliver-Royston
Contract Administrator
Procurement Services
1900 Main Street, 8th Floor
Houston, Texas 77002
Email: JO05@ridemetro.org
Phone: (713) 739-4887

NOTE TO RESPONDENTS: RESPONDENTS ARE RESPONSIBLE FOR ALL INFORMATION IN THIS SOLICITATION, HOWEVER, PLEASE PAY PARTICULAR ATTENTION TO INFORMATION SHADED IN GRAY.

PROPOSAL DUE DATE/TIME/LOCATION: Proposals for work described herein must be submitted through **METRO's EUNA (Bonfire)** at <https://www.ridemetro.org/procurement> and **received by 2:00 PM (CST) on Wednesday, November 4, 2026**. Additionally, submit one (1) Original hardcopy delivered in a sealed envelope bearing the name and address of the Responder and the identification 'Request for Proposals No. 2026000055 to the METRO Procurement Office Plan 8th Floor, 1900 Main Street, Houston, Texas 77002. Digital signatures accepted.

Both the electronic via EUNA (Bonfire) and hardcopy submittal **MUST** be received by the deadline specified in the solicitation. A submittal **MAY** be deemed non-responsive if both the electronic and hardcopy are not received by the deadline specified in this solicitation. Proposals received will not be opened publicly. (See additional submission requirements in Section 2 below.)

A PRE-SUBMITTAL BRIEFING will be held **at 1:00 p.m. CST on Wednesday, October 14, 2026**. (See access information below.) In-person participation is not offered for this briefing.

The purpose of the briefing is to explain the solicitation requirements and answer any questions prospective bidders may have regarding the solicitation. All questions pertaining to this solicitation shall be presented **IN WRITING** through EUNA (Bonfire). **All interested firms are strongly encouraged to attend and have a copy of this RFP readily accessible during the briefing.**

MS Teams Link: [Join Microsoft Teams Meeting](#)
Dial-In Telephone No.: [+1 281-925-7469](tel:+12819257469)
Conference ID: 739 699 666#

PERFORMANCE PERIOD: The period of performance under this Contract shall be for a period of Three (3) years, and shall have Two (2) One (1) option period(s). (See Contract Article 'Period of Performance' in Section III). Services thereunder will be utilized on an 'as needed' basis.

OBLIGATION: This Request for Qualifications does not obligate the Metropolitan Transit Authority to award a contract, or to pay any costs incurred in the preparation or submittal of any response.

REGISTRATION ON PROCUREMENT WEBSITE: All Responders ***MUST*** register on METRO's procurement website at <https://www.ridemetro.org/VendorRegistration> to ensure that they receive the latest solicitations and updates via their registered e-mail address.

REPRODUCTION: All forms contained in this solicitation may be reproduced if more space is needed due to the number of subcontractors or suppliers to be submitted with the SOQ or for any other reason.

SMALL BUSINESS PARTICIPATION GOAL: METRO has adopted a Small Business Enterprise Program to encourage the participation

of Small Business enterprises in contracting activities through race-gender neutral means. METRO sets Small Business Participation goals on its contracts. Small Business Participation goals can be satisfied by METRO-certified Small Businesses (SBE), federally-certified Disadvantaged Business Enterprises (DBE), or a combination of both. All references to Small Businesses in this document include Disadvantaged Business Enterprises. Copies of METRO's Small Business and Disadvantaged Business Enterprise Programs can be obtained upon request.

The link to the METRO SBE directory is <https://ridemetro.sbdbbe.com/> The link to the Texas Unified Certification Program (TUCP) DBE directory is <https://txdot.txdotcms.com/>.

This solicitation has a **N/A%** Small Business Participation goal.

BIDDERS WHO FAIL TO COMMIT TO THE SMALL BUSINESS CONTRACT GOAL WILL BE DEEMED NONRESPONSIVE AND NO FURTHER CONSIDERATION WILL BE GIVEN TO THEIR BID.

METRO ENCOURAGES SMALL BUSINESS PARTICIPATION EVEN IF NO SMALL BUSINESS CONTRACT GOAL HAS BEEN ESTABLISHED.

METRO encourages Contractors to use financial institutions owned and controlled by socially and economically disadvantaged individuals. A listing of such institutions may be found at <https://www.fdic.gov/regulations/resources/minority/mdi.html>

Veteran and Disability-Owned Business Enterprise Programs: METRO has also adopted a Veteran-Owned Business Enterprise (VOBE) Program and a Disability-Owned Business Enterprise (DOBE) Program and encourages the participation of veteran and disability owned firms. Copies of METRO's VOB and DOBE programs can be found at <https://www.ridemetro.org/BusinessOpportunityPrograms>.

WRITTEN QUESTIONS: Written questions will be accepted until **3:00 p.m., Friday, October 16, 2026**. Submit questions via EUNA (Bonfire).

2 STATEMENT OF QUALIFICATIONS (SOQ) REQUIREMENTS

- A. Respondents wishing to be considered for award of Recertification DOT Medical Physicals Exams as set forth in this RFQ, must submit an original hardcopy and one PDF electronic file of the RFQ response as described herein. The SOQ portion of the RFP response is not to exceed five (5) double-sided typewritten pages, using no smaller than 9-point, Arial font, describing the Responder's interest and the qualifications of the team and key personnel. Do not include a cover letter with the SOQ.
- B. To be submitted with each copy of the SOQ: A copy of a single Standard Form 330 - Part I for the prime, as well as copies of a Standard Form 330 - Part II for every firm identified as a team participant in the SOQ (not counted in the five double-sided pages). Firms listed as small businesses must have certification documentation attached (not counted in the five double-sided pages) that demonstrates their certification status.
- C. Please read the Standard Form 330 Instructions (pages 1-8) carefully.
- D. In Section E of the Form 330, resumes shall be grouped by firm name, starting with the prime, then by subcontractor firm names in alphabetical order. Please order the resumes included within a firm alphabetically by last name. Please format the resumes as indicated in the SF 330 instructions.
- E. In Section F, please select projects where multiple team members (firms) worked together. Use your best judgment in selecting projects that showcase a broad span of work similar to what may be required by a contract resulting from this solicitation. Present 10 projects and complete one Section F for each project. Subconsultant projects can be included in the ten projects selected.
- F. In Section G, list the names of key personnel and the role they will play in work described in THIS solicitation in the same order as in Section E. Link to Standard Form 330: <https://www.gsa.gov/forms-library/architect-engineer-qualifications> .
- G. Required information that is **NOT INCLUDED** in the 5-double-sided-SOQ page count:
 1. METRO forms to be submitted that are included as Exhibits herein
 2. A copy of a single Standard Form 330, Part I for the prime, as well as copies of a Standard Form 330, Part II for each firm identified as a team participant in the SOQ
 3. Certification documentation that demonstrates all small business team members' current SBE/DBE status
 4. The organization chart required as part of the SF 330 Part I documentation. The organization chart must identify all team participants and all proposed subconsultants and/or subcontractors, and their responsibilities.
 5. Table of Contents and Tabs (although neither are required).

6. If references are requested for key personnel in the evaluation criteria in section 3 below, the references may be submitted with all information requested in either list or matrix formats. Reference letters on a company's letterhead are not required. Unless specifically noted, references for prime or subcontractor entities are not required.
7. A CIQ form must be submitted if a prime vendor has a relationship that must be reported. Please refer to paragraph C, 'Conflicts Disclosure' under Section 6 'Instructions to SOQ Responders' on page 9. It is not necessary to complete CIQ forms for subcontractors.

3 EVALUATION CRITERIA

- A. The SOQ shall address the following METRO criteria and shall be supported by the Standard Form 330. A Responder's Submittal will be evaluated on both technical and Small Business Program criteria for a possible total score of up to 100 points.
- B. Technical evaluation criteria are identified with relative weights adding up to a maximum of 100 points.
- C. Submittals should be organized under the following headings and should address each topic to demonstrate the Respondent's qualifications and ability to perform the Work.

	CRITERIA	MAXIMUM POINTS AVAILABLE
1	DOT Regulatory Compliance - Adherence to DOT/FMCSA exam standards 1. Vendor's adherence to DOT/Federal Motor Carrier Safety Administration (FMCSA) medical exam standards and guidelines. 2. Certifications of medical examiners authorized to perform DOT physicals. 3. Understanding and compliance with the DOT National Registry requirements.	25 Points
2	Medical Examiner Qualifications - Certified medical examiners and expertise 1. Credentials and experience of the medical personnel (e.g., certified medical examiners listed on the FMCSA National Registry). 2. Training and continuing education practices related to DOT physical exams.	25 Points
3	Service Capability and Availability - Timeliness, geographic scope, hours of operation 1. Ability to provide timely appointments and accommodate urgent or mobile exams. 2. Geographic coverage and accessibility for employees/drivers. 3. Hours of operation that suit the organization's needs (including off-hours or onsite services if applicable).	20 Points
4	Quality Assurance, Reporting, Customer Service and Support - Accuracy, confidentiality, electronic reporting; Responsiveness and support 1. Procedures to ensure accuracy and completeness of medical examination reports. 2. Confidentiality and data security measures for handling medical records. 3. Use of electronic medical certification or reporting systems compatible with DOT requirements. 4. Responsiveness to inquiries and issues. 5. Support services, including education or resources for employees regarding DOT requirements	20 Points
5	Experience and Reputation 1. Track record with similar contracts, preferably with transportation or logistics companies. 2. References or testimonials from prior clients related to DOT physicals.	10 Points

4 EVALUATION / SOURCE SELECTION

- A. Selection of a firm to provide the services required herein will be made by an Evaluation Committee. The Evaluation Committee will determine the most qualified firm(s) through validation of factors in described above and oral presentations, if necessary. If the decision is made to conduct oral presentations, oral presentations will be made accordingly.

- B. The evaluation process may include the participation of an Oral Presentation Committee; an Executive Selection Committee, or a Board Selection Committee. The participation of the Executive Selection Committee or the Board Selection Committee may occur at the beginning of the evaluation process, foregoing an Evaluation Committee of staff members all together, or to become involved after the Evaluation Committee has made an initial shortlist. Board members may elect to participate as scoring members or non-scoring observers in any of these committees.
- C. Following the evaluation of qualification submittals for Recertification DOT Medical Physicals Exams, METRO may, at its sole discretion:
1. Invite a short list of qualified Respondents to participate in oral interviews;
 2. Take no further action; or
 3. Modify (expand or reduce) the Scope of Services, Attachment A, and issue a Request for Submittal based upon the modified scope.

5 INSTRUCTIONS TO SOQ RESPONDERS

A. APPROVAL OF CONTRACT

If required by the METRO Procurement Manual, award of a Contract evolving from this solicitation shall be contingent upon the prior receipt of written approval from the METRO Board of Directors or the President and CEO Representative(s). No contractual agreement shall be binding on METRO until this approval has been obtained. It shall be the responsibility of firms responding to this solicitation to monitor Board award decisions. All persons and/or entities responding to this Solicitation hereby acknowledge the contract award requirement enumerated in this Paragraph. Anticipated Board Items are posted on METRO's web site at: <https://www.ridemetro.org/Pages/BoardMeetingsAndNotices.aspx>

Public Notice of Solicitation Results

The anticipated METRO Board meeting month for approval of a contract resulting from this solicitation will be forthcoming. It is the responsibility of the respondent to check METRO's website for notices on the specific dates for METRO Board meetings. All respondents of this Solicitation and METRO hereby agree that this provision shall serve as the minimum required action by the respondent toward exercising due diligence in obtaining the results of this Solicitation. The requirement of approval by the METRO Board of Directors or the President and CEO Representative(s) for any particular solicitation is dependent upon several factors. However, all respondents shall be required to check the METRO web site regarding whether or not the solicitation associated with their proposal requires approval by the METRO Board of Directors or the President and CEO Representative(s). All persons and/or entities responding to this Solicitation hereby acknowledge the Public Notice of Solicitation Results enumerated in the Paragraph. METRO Board meeting notices are posted on METRO's web site at: <https://www.ridemetro.org/Pages/BoardMeetingsAndNotices.aspx>

Unsuccessful respondents can request a debriefing by contacting the Contract Administrator named in this solicitation.

B. CERTIFICATION

By submitting a SOQ in response to this announcement, a Respondent certifies that neither its firm nor any of its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or excluded from participation in this procurement process by any federal department or agency. Further, if any of the aforementioned situations occurs during the course of the procurement, the Respondent is required to inform METRO thereof. See Section II, Exhibit C, 'Debarment and Suspension Form.'

C. CONFLICTS DISCLOSURE

Vendors doing business with METRO or seeking to do business with METRO are required to file a completed questionnaire (FORM CIQ) disclosing the vendor's affiliations or business relationship with any Board Member, local government officer (or his or her family member). Form CIQ is available on METRO's web site at <https://www.ridemetro.org/Pages/ConflictsDisclosure.aspx>.

D. DEBARMENT AND SUSPENSION

1. This Contract is a covered transaction for purposes of 49 Part 29. As such, the Contractor is required to verify that none of the Contractor's principals, as defined at 49 C.F.R. § 29.995, or affiliates, as defined at 49 C.F.R. § 29.905, are excluded or disqualified as defined at 49 C.F.R. § 29.940 and § 29.945.
2. The Contractor is required to comply with 49 C.F.R. § 29, Subpart C and must include the requirement to comply with 49 C.F.R. § 29, Subpart C in any lower tier covered transaction it enters into.
3. The Contractor must sign and submit the 'Debarment and Suspension Certification,' included herein as Exhibit C. The certification in this Clause is a material representation of fact relied upon by METRO. If it is later determined that the

respondent knowingly rendered an erroneous certification, in addition to remedies available to METRO, the federal government may pursue available remedies, including but not limited to suspension and/or debarment. The respondent agrees to comply with the requirements of 49 C.F.R. § 29, Subpart C while this offer is valid and throughout the period of any contract that may arise from this offer. The respondent further agrees to include a provision requiring such compliance in its lower tier covered transactions. **See Section II, Exhibit C, 'Debarment and Suspension Form.'**

E. ELIGIBILITY FOR AWARD

1. Each respondent shall complete, and submit the applicable forms contained in this document. If the respondent is a joint venture, each joint venturer shall prepare and submit separate forms.
2. In order for a respondent to be eligible to be awarded the contract, a proposal must be responsive to the Request for Proposals, show the respondent's technical competency, and METRO must be able to determine that the respondent is responsible to perform the contract satisfactorily.
3. A responsive proposal complies with all material aspects of the solicitation. Proposals that do not comply with all the terms and conditions of this solicitation will be rejected as nonresponsive.
4. Responsible respondents as a minimum must:
 - a. Have financial resources adequate to perform the contract, or ability to obtain such resources as required during the performance of the contract;
 - b. Have the necessary technical equipment, material and capability, including qualified supervision and skilled workforce, adequate to perform the contract, or the ability to obtain such resources as are required during the course of the contract;
 - c. Have a satisfactory record of business integrity and ethics;
 - d. Have a satisfactory record of current and/or past performance in behalf of METRO and/or other owners, including the areas of scheduling, submittals; record keeping, reporting, qualified supervision, skilled workforce, safety, quality of equipment, materials and workmanship, timely performance, warranties and guarantees;
 - e. If applicable, have a satisfactory record as a Contractor of achieving Small Business Participation goals in past METRO projects, as well as providing evidence satisfactory to METRO that the respondent will comply with Small Business Program requirements and any Small Business Participation goal contained herein.
 - f. Certify that it is not on the U.S. General Services Administration's 'Lists of Parties Excluded from Federal Procurement or Non-Procurement Programs.' Signing and submitting the proposal is so certifying;
 - g. Be otherwise qualified and eligible to receive an award under applicable laws and regulations.
5. A respondent may be requested to submit written evidence verifying that it meets the minimum criteria necessary to be determined a responsible respondent. Refusal to provide requested information will result in the respondent being declared non-responsive, and the proposal will be rejected.

F. PREPARATION OF STATEMENTS OF QUALIFICATIONS (SOQs)

In an effort to promote greater use of recycled and environmentally preferable products and to minimize waste, all Submittals should comply with the following:

1. All Submittals and copies should be printed on recycled paper with a minimum post-consumer content of thirty percent (30%) or on tree-free paper (i.e., paper made from raw materials other than trees, such as kenaf).
2. Unless absolutely necessary, all Submittals and copies should minimize or eliminate the use of non-recyclable or non-reusable materials, such as plastic report covers, plastic dividers, vinyl sleeves and bindings.
3. To further reduce the use of materials not essential to Submittals, METRO encourages Responders to forgo the use of three-ringed binders or glued materials when assembling the originals and copies of the SOQ, Standard Form 330 Parts I and II, and other required information. Instead, METRO prefers and appreciates the use of paper clips, binder clips, staples, rubber bands, and other materials containing recycled content, such as folders, paper clips, discs or thumb drives, envelopes, boxes, etc. METRO also appreciates receiving submittals assembled in formats that allow for easy removal and recycling of paper and other materials.
4. Unnecessary samples, attachments or documents not specifically asked for should not be submitted with a Submittal.

5. SOQs may be submitted on 11" x 17" fold out pages, but each double-sided 11" x 17" page will count as two (2) double-sided 8.5" x 11" pages.

G. PROHIBITION ON LOBBYING

No Responder shall, directly or indirectly, engage in any conduct (other than the submission of the SOQ or other prescribed submissions and/or presentations before the Evaluation or Selection Committees) to influence any employee of METRO or any member of the Metropolitan Transit Authority Board of Directors or the President and CEO Representative(s) concerning the award of a contract as a result of this Solicitation. Violation of this prohibition may result in disqualification of the Bidder or Respondent from further participation in the solicitation for the services or goods sought herein or from participation in future METRO solicitations or contracts. The communication blackout period shall commence from the issue of a solicitation through contract award. The Contract Administrator is the only METRO representative authorized to communicate with firms or their representatives during the blackout period.

H. PROTESTS

1. Any protest of the Request for Qualifications shall be submitted for resolution to the Chief Procurement Officer. Such protest shall be in writing and shall be supported by the information set forth in Chapter 12 of METRO's Procurement Manual to enable the protest to be considered. A protest will not be considered if it is insufficiently supported or it is not received within the time limits specified herein.
2. A protest based upon terms, conditions or form of a proposed procurement action prior to submission of qualifications, shall be submitted so that it is received by the Chief Procurement Officer no later than five (5) calendar days prior to the specified date for submission of qualifications.
3. For a protest concerning award decision, including evaluations, the initial protest must be received by the Chief Procurement Officer not later than five (5) calendar days after the interested party knows, or through exercise of reasonable diligence should have known, whichever is earlier, of the grounds for the protest.
4. Each protest will be processed in accordance with METRO's Protest Procedures located in Chapter 12 of METRO's Procurement Manual. A copy of the procedures will be provided to the protester upon written request to METRO's Chief Procurement Officer.
5. A written final determination on any protest will be rendered by METRO's President & Chief Executive Officer and will be provided to the protester as soon as practicable.
6. The protestor must exhaust its administrative remedies by pursuing METRO's protest procedures to completion prior to appealing METRO's decision to the FTA.
7. Federal Transit Administration (FTA) Circular 4220.1F, Paragraph 7L, addresses bid protests. A copy of this Paragraph will be provided to the protester upon written request to METRO. Review of a protest by FTA will be limited to a grantee's failure to have or follow its written protest procedures or its failure to review a complaint or protest or violation of federal law or regulation. An appeal to FTA must be received by the cognizant FTA regional or Headquarters Office within five (5) working days of the date the protester learned or should have learned of any adverse decision by METRO, or other basis of appeal to the FTA. Violations of a specific federal law or regulation will be handled by the complaint process stated with that law or regulation. Alleged violations on other grounds are under the jurisdiction of the appropriate state or local administrative or judicial authorities.

I. RESTRICTIONS ON LOBBYING

Contractors who apply or propose for an award of \$100,000 or more shall file the certification required by 49 C.F.R. part 20, 'New Restrictions on Lobbying.' Each tier certifies to the tier above that it will not and has not used federal appropriated funds to pay any person or organization for influencing or attempting to influence an officer or employee of any agency, a member of Congress, officer or employee of Congress, or an employee of a member of Congress in connection with obtaining any federal contract, grant or any other award covered by 31 U.S.C. 1352. Each tier shall also disclose the name of any registrant under the Lobbying Disclosure Act of 1995 who has made lobbying contracts on its behalf with non-federal funds with respect to that federal contract, grant or award covered by 31 U.S.C. 1352. Such disclosures are forwarded from tier to tier, up to the recipient.' **See Section II, Exhibit B, 'Certification of Restrictions on Lobbying.'**

6 SMALL BUSINESS AND DISADVANTAGED BUSINESS ENTERPRISE PROGRAMS

- A. The Metropolitan Transit Authority of Harris County, Texas (METRO) has implemented a Small Business Enterprise Program, hereinafter referred to as the Program, for small businesses attempting to provide goods and/or services as prime Contractors to METRO or as subcontractors to other prime Contractors to METRO. It is the policy of METRO to promote equal opportunity and non-discrimination in all of its procurement matters in accordance with state and federal law. The Program seeks to provide METRO-certified Small Businesses (SBE) and federally-certified Disadvantaged Businesses Enterprises (DBE) a full and fair opportunity to participate in METRO projects through race-gender neutral means. The Small Business Enterprise Program shall

not be used to discriminate against any person or company or group of persons or companies because of race, color, national origin, sex (including gender identity and sexual orientation), disability, or age. Each bidder, respondent, Contractor and subcontractor shall comply with this non-discrimination requirement.

- B. The Small Business Enterprise Program is a separate program from METRO's Disadvantaged Business Enterprise (DBE) Program which is administered by the federal government and applies to federally funded projects. METRO's Small Business and Disadvantaged Business Enterprise Programs can be found at <https://metro.resourcespace.com/pages/search.php?search=%21collection327536>
- C. Nothing in the Small Business or Disadvantaged Business Enterprise Programs should be construed to give a bidder or respondent a property interest in a proposal, bid or contract prior to the Board of Directors' or the President and CEO Representative(s) award of the contract and compliance with all statutory and legal requirements.
- D. **The Small Business Participation goal METRO established for this solicitation is N/A%.** The Small Business Participation goal may be satisfied by utilizing a METRO-certified Small Business Enterprises (SBE), a federally-certified Disadvantaged Business Enterprises (DBE) or a combination of both. These certification types are hereafter referred to as "certified". All references to Small Businesses include Disadvantaged Businesses.

RESPONDENTS WHO FAIL TO COMMIT TO THE SMALL BUSINESS CONTRACT GOAL WILL BE DEEMED NONRESPONSIVE AND NO FURTHER CONSIDERATION WILL BE GIVEN TO THEIR BID.

- E. All certified and non-certified primes must self-perform a minimum of thirty percent (30%) of the contract value, regardless of the Small Business Participation goal percentage.
- F. Below are the requirements to satisfy the minimum Small Business Participation goal and the Small Business Enterprise (SBE) Program:

1. A non-certified prime:

- a) must self-perform a minimum of thirty percent (30%) of the contract value;
- b) cannot self-perform one hundred percent (100%) of the contract value;
- c) must subcontract, at a minimum, the Small Business Participation goal percentage to one or more certified firms;
- d) cannot submit a Good Faith Effort (GFE) response. The names of all subcontractors and suppliers must be listed on the required Contractor Utilization Plan (CUP) form;
- e) is **prohibited from multiple submissions** of submittals, i.e. Submitting as a prime contractor in one submission and as a subcontractor in another submission for the same project. Such multiple submissions may result in the disqualification of all submissions where the respondent is listed.

Note: If any one of the above requirements (a thru d) is not met, your proposal WILL BE DEEMED NONRESPONSIVE.

2. A certified SBE/DBE prime:

- a) must self-perform a minimum of thirty percent (30%) of the contract value;
- b) cannot self-perform one hundred percent (100%) of the contract value;
- c) must subcontract, at a minimum, the Small Business Participation goal percentage;
- d) must subcontract, at a minimum, fifty percent (50%) of the Small Business Participation goal to one or more certified small or disadvantaged subcontractor(s);
(e.g. If the SB goal is 35%, then the certified SBE/DBE prime must subcontract at least 35% of the contract value; of which, at least half of the subcontracted 35% (which equates to 17.5%) must go to one or more certified SBE/DBE firms. The remaining 17.5% can go to one or more certified or non-certified firms.)
- e) cannot submit a Good Faith Effort (GFE) response. The names of all subcontractors and suppliers must be listed on the required Contractor Utilization Plan (CUP) form;
- f) participation will count towards the Small Business Participation goal;
- g) may submit as a prime in one submission and as a subcontractor in **only one (1)** other submission for the same project.

Note: If any one of the above requirements (a thru e) is not met, your proposal WILL BE DEEMED NONRESPONSIVE.

3. Certified SBE/DBE subcontractors, not submitting as a prime are limited to submitting as subcontractors on **up to four (4)** proposal submissions for the same project. Failure to adhere to this four (4) proposal limit may result in the disqualification of the offending certified subcontractor from all submittals.
4. A Joint Venture (JV) can participate on a METRO project as a prime contractor or as a subcontractor. METRO views a JV as one legal entity and is subject to the same rules and requirements as other primes and subcontractors. For example (but not limited to):
 - a) The JV-prime must self-perform a minimum of thirty percent (30%) of the total contract value.
 - b) The JV-prime cannot self-perform 100% of the total contract value.
 - c) The JV-prime must demonstrate a commitment to the small business goal. Failure to commit to the SB goal will deem the JV Prime non-responsive and will not be considered for contract award.
 - d) If one (or more) of the firms that make up the JV partnership is a certified small or disadvantaged business, then the portion of the work performed by the certified firm(s) will be counted towards the small business goal.
 - e) The JV-prime must subcontract at a minimum, the small business goal percentage.
 - f) JV primes with a certified small or disadvantaged partner(s) are viewed the same as certified SBE/DBE primes, and therefore must subcontract, at a minimum, fifty percent (50%) of the Small Business Participation goal to a small or disadvantaged subcontractor(s).
 - g) The certified small or disadvantaged firm(s) that is part of a JV-prime partnership, can also be listed as a subcontractor(s) on one other team.
 - h) A JV-prime, without certified small or disadvantaged partners, is prohibited from submitting as a prime and as a subcontractor on the same submission.
 - i) A JV-subcontractor, with a certified small or disadvantaged partner(s), is limited to submitting as subcontractor(s) on only four (4) proposal submissions for the same project. Only the portion of the work performed by the certified firm(s) will be counted towards the small business goal. Failure to adhere to this four (4) proposal limit may result in the disqualification of the offending JV-subcontractor on all submittals.
5. Agreements between a respondent and a certified SBE/DBE subcontractor in which the certified subcontractor promises not to provide subcontracting quotations to other respondents shall be prohibited.

G. Required Small Business Documents

Note: The 'Contractor's Utilization Plan,' 'Business Assurance Statement,' 'Subcontractor/Supplier Letter of Intent,' and 'Contractor Utilization Plan Pledge' forms constitute the Contractor's commitment to subcontract to certified businesses. Submission of these documents is a condition to be met by the primes to be deemed responsive.

Note: All Small Business forms are to be submitted together under a single tab in proposal submissions. If no Small Business Participation goal has been established, only the Contractor Utilization Plan Form must be submitted.

6. Contractor Utilization Plan See Exhibit D, Form 1

- a) **IT IS MANDATORY that every bidder or respondent submit a Contractor's Utilization Plan (the 'Plan') when submitting a bid or proposal or response to request for qualifications, whether or not a Small Business Participation goal has been established.**
- b) The respondent must use this form to identify all subcontractors with whom the respondent intends to contract, specifying the agreed price and/or percentage to be paid each subcontractor for such work, and certifying the contract items and parts thereof to be performed by each subcontractor. Only percentages of Contract Work Effort are to be indicated when responding to RFQ/RFP submissions, as pricing is determined later in the procurement process. The METRO SBE program does not accept a Good Faith Effort (GFE) response to its solicitations. All respondents must list each certified and non-certified firm on the Contractor Utilization Plan (CUP) form that it plans to utilize to satisfy the requirements of the scope of work.
- c) If applicable, the Plan should set forth how the Small Business Participation goal for the proposed project is to be met. The Plan will be used by METRO as a factor in evaluating whether a respondent has complied with the requirements of the Program to satisfy the Small Business Participation goal.

- d) **If the Small Business participation submitted by the respondent does not meet an established Small Business Participation goal, if any, the respondent will be deemed non-responsive and will not be considered for contract award.**
- e) **Failure to submit a complete Plan for a contract with a Small Business Participation goal will result in bid/proposal being deemed non-responsive and will not be considered for contract award.**
- f) When a Small Business Participation goal has been established, the Contractor shall adhere to the Plan submitted unless a waiver is received from the Office of Economic Business Opportunity. Any changes in the Plan regarding the proposed use of certified subcontractors in discharging the contract duties must be approved by the Office of Economic Business Opportunity. The approval of the Office of Economic Business Opportunity will not be unreasonably withheld upon a showing of good cause to make the change.
- g) When adding a certified subcontractor to the Plan with a Small Business Participation goal, the Contractor must submit a copy of the subcontract agreement to the Office of Economic Business Opportunity within fifteen (15) days of receiving approval from the Office of Economic Business Opportunity.
- h) The Contractor Utilization Plan must include the following:
- 1) A simple, straight-forward statement outlining subcontractor participation regardless of certification, inclusive of scope, responsibilities and percentage of work.
 - 2) Materials and supplies shall be counted towards the small business goal as follows:
 - i. One hundred percent of the cost of materials or supplies purchased from a small business manufacturer can be applied towards the Small Business Participation goal of a Contract. A manufacturer is defined as a firm that operates or maintains a factory or establishment that produces, on the premises, the materials, supplies, articles, or equipment of the general character described by the scope and/or specifications of the contract.
 - ii. Sixty percent of the cost of materials or supplies purchased from a small business regular dealer can be applied towards the Small Business Participation goal of a Contract. A regular dealer is defined as a firm that owns, operates, or maintains a store, warehouse, or other establishment in which the materials, supplies, articles or equipment of the general character described by the scope and/or specifications of the contract are bought, kept in stock, and regularly sold or leased to the public in the usual course of business.
 - 3) Copies of documents demonstrating that each Small Business team member is acceptably certified as either a METRO-certified Small Business Enterprise (SBE) or TUCP-certified Disadvantaged Business Enterprise (DBE) and verifying that such certification is current as of the date of submission.
 - i. **METRO accepts** the following certifications:
 - SBE - Metropolitan Transit Authority of Harris County (METRO)
 - DBE - City of Houston/Texas Unified Certification Program (TUCP)
 - DBE - City of Austin
 - DBE - Corpus Christi Regional Transportation Authority
 - DBE - North Central Texas Regional Certification Agency
 - DBE - South Central Texas Regional Certification Agency
 - Department of Transportation (DOT) approved DBE certification (from any state)
 - Small Business Administration (SBA) 8a
 - ii. **METRO does not count the participation of any other small business type certification toward the Small Business Participation goal, such as (but not limited to):**
 - State of Texas Historically Underutilized Business (HUB)
 - Minority Business Enterprise (MBE)
 - Women Business Enterprise (WBE)
 - Small Business Enterprise (SBE) from any other certifying entity
 - Self-certifying declarations (of any type)
 - iii. The link to the METRO SBE directory is <https://ridemetro.sbdbbe.com/> The link to the TUCP DBE directory is <https://txdot.txdotcms.com/>
- Important: While any certified or non-certified firm may participate on a METRO project, only the participation of firms with any one of above certifications will count towards the Small Business Participation goal.**

- iv. If a respondent/bidder submits plans to add a firm as part of its small business participation that is not yet certified as referenced above, that firm must be either METRO Small Business- or federal Disadvantaged Business Enterprise-certified **prior** to the proposal submittal date. Firms certified after the proposal submittal date will not be counted towards the commitment. Additional Small Business certification information and forms may be found at METRO's website: www.ridemetro.org under Small Business.
- 4) When requested, a timeline for performance by subcontractors.
- 5) Signature of the respondent.
- 7. Business Assurance Statement (BAS) See Exhibit D, Form 2
 - a) Respondents are **required to submit an executed Business Assurance Statement form with their proposal when a Small Business Participation goal has been established.**
 - b) Respondents must enter their Small Business Participation goal commitment. This includes the SBE/DBE prime's participation if applicable.
 - c) Respondents must enter into agreements with the subcontractors listed on the Plan
 - d) Respondents must include the BAS Clauses in their subcontractor agreements
- 8. Letter of Intent (LOI) See Exhibit D, Form 3
 - a) Respondents are **required to submit a Letter of Intent form for all subcontractors when a Small Business Participation goal has been established.**
 - b) The Letters of Intent must be executed by the prime and the subcontractor
- 9. Contractor Utilization Plan Pledge (Pledge) Exhibit D, Form 4
 - a) Respondents are **required to submit an executed Pledge form with their bid or proposal when a Small Business Participation goal has been established.**
 - b) Respondents must pledge prompt payment to **ALL** subcontractors
 - c) Respondents must pledge to notify **ALL** subcontractors of disputed invoices.
 - d) Respondents must affirm adherence to METRO's Non-discrimination Mandate.
 - e) When applicable, respondents must pledge prompt payment of retainage
 - f) Respondents must include the Pledge Clauses in their subcontractor agreements

H. Incentives Utilizing Small Businesses

- 1. Fees for Solicitation Documents. Submitters making a valid bid and participating in the Program will receive a refund for up to seven (7) sets of documents purchased from METRO.
- 2. Bid Security/Bond. A bid security will no longer be required except for federally funded construction solicitations exceeding \$100,000.
- 3. METRO's Incentives. METRO may utilize other incentives, as set forth in the bid specifications or request for proposal, as it determines appropriate.

- I. METRO encourages Contractors to use financial institutions owned and controlled by socially and economically disadvantaged individuals. A listing of such institutions may be found at <https://www.fdic.gov/regulations/resources/minority/mdi.html>

7 STATEMENT OF QUALIFICATIONS (SOQ) FORMS SUBMISSION CHECKLIST

Insert requested information and sign and date where indicated.

SUBMIT WITH COMPLETED SUBMITTAL

- | | |
|--|-----------------------|
| ☐ Statement of Qualifications, responses to Evaluation Criteria | Section I, No. 2 A |
| ☐ Organization Chart | Section I, No. 2 D |
| ☐ Standard Form 330, Part I (prime) and Part II
(For each subconsultant/subcontractor) | Section I, No. 2 C |
| ☐ 'Certification of Restrictions on Lobbying' form | Section II, Exhibit B |

- | | |
|---|-------------------------------|
| ☐ 'Debarment and Suspension Certification' form | Section II, Exhibit C |
| ☐ 'Contractor's Utilization Plan' form | Section II, Exhibit D, Form 1 |
| ☐ SIGNED copy of all Amendments issued (if any) to acknowledge receipt | |

SUBMIT IF A SMALL BUSINESS GOAL IS ESTABLISHED

- | | |
|---|-------------------------------|
| ☐ 'Business Assurance Statement' form | Section II, Exhibit D, Form 2 |
| ☐ 'Subcontractor/Supplier Letter of Intent' form | Section II, Exhibit D, Form 3 |
| ☐ 'Contractor's Utilization Plan Pledge' form | Section II, Exhibit D, Form 4 |
| ☐ Acceptable certification documentation | |

SUBMIT ONLY IF APPLICABLE

- ☐ Evidence of attainment of proper license or permit, if special licensing or permitting is required by federal, state or local law or ordinance.

METRO SBE Program Checklist (Applicable Only for Solicitations with a SB Goal)

The following SBE Program items are **MANDATORY TO BE DEEMED RESPONSIVE** to this solicitation, which has a Small Business Participation goal. Respondents that fail to meet these requirements, will be deemed non-responsive and no further consideration will be given to their proposal.

- ☐ All certified and non-certified primes must self-perform a minimum of thirty percent (30%) of the contract value, regardless of the Small Business Participation goal percentage.
- ☐ A certified or non-certified prime cannot self-perform 100% of their proposal value.
- ☐ All certified and non-certified primes must, at a minimum, meet the small business participation goal percentage. (A certified prime's participation counts towards the SB goal percentage.)
- ☐ All certified and non-certified primes must subcontract, at a minimum, the Small Business Participation goal percentage.
- ☐ **ALL CERTIFIED PRIMES** must subcontract, at a minimum, fifty percent (50%) of the Small Business Participation goal to one or more certified firms.

Special Notes:

1. For a firm's participation (prime/subcontractor/supplier) to be counted towards the Small Business Participation goal percentage, the firm must be certified as a METRO certified Small Business Enterprise (SBE), a Disadvantaged Business Enterprise (DBE) and/or an SBA (8a).
2. The METRO SBE program does not accept a Good Faith Effort (GFE) response to its solicitations. All respondents must list each certified and non-certified firm on the Contractor Utilization Plan (CUP) form that it plans to utilize to satisfy the requirements of the scope of work.

8 INSURANCE ARTICLES

The articles contained herein are for informational purposes and shall be applicable to and included in the Contract(s) resulting from this solicitation. After Contract award, the Contractor is required to provide insurance documentation acceptable to METRO and compliant with the requirements specified below.

9 CONTRACTOR'S INSURANCE

- A. The Contractor shall purchase and maintain in effect during the entire period of this contract, including any maintenance period thereof, insurance of the types and with minimum limits of liability as stated below. Such insurance shall protect Contractor from claims which may arise out of or result from Contractor's operations whether such operations are performed by Contractor or by any subcontractor or by anyone for whose acts any of them may be liable.

PROFESSIONAL LIABILITY covering acts, error or omissions arising out of the rendering of or failure to render professional services, whether committed or alleged to have been committed by the Contractor or by its employees, subcontractors, consultants or other to whom the Contractor is legally responsible. The limit of liability shall not be less than:

\$1,000,000 Each Occurrence

Contractor shall maintain Professional Liability insurance for not less than five years following completion of services performed under this contract and shall so evidence by Certificate of Insurance each year.

The following provisions apply with respect to all insurance coverages required above:

The insurance coverages required in this section shall not limit the Contractor's liability or limit the indemnification provisions set forth herein.

If the Contractor maintains higher limit than the minimums shown above, METRO requires and shall be entitled to coverage for the higher limits maintained by the Contractor. Any available insurance proceeds in excess of the specific minimum limits of insurance and coverage shall be available to METRO.

The limits of liability as required above may be provided by a single policy of insurance or by a combination of primary, excess or umbrella policies. But in no event shall the total limits of liability available for any one occurrence or accident be less than the amount required above.

All policies of insurance presented as proof of compliance with the above requirements shall be on forms and with insurance companies approved by METRO. All such insurance policies shall be provided by insurance companies having Best's ratings of A- or greater and VI or greater (A-/VI) as shown in the most current issue of Best's Key Rating Guide. Policies of insurance issued by insurance companies not rated by Best's or having Best's ratings lower than A-VI will not be accepted as complying with the insurance requirements of the contract unless such insurance companies were approved in writing prior to award of contract.

- B. Contractor agrees to waive all rights of subrogation or recovery against METRO arising out of any claims for injury(ies) or damages resulting from the work performed by or on behalf of Contractor under this agreement and/or the use of any METRO premises or equipment in the performance of this agreement.
- C. Proof of compliance with these insurance requirements shall be furnished to METRO in the form of an original certificate of insurance including the endorsements mentioned in section A. above, or copies of the applicable policy language effecting required coverage signed by an authorized representative or agent of the insurance company(ies), within fourteen (14) days of notice of award of contract and before any work under this contract will be allowed to commence. Certificates will be unacceptable unless they clearly show that all of the above stipulated requirements have been met. Renewal or replacement certificates shall be furnished METRO not less than seven (7) days prior to the expiration or termination date of the applicable policy(ies). Otherwise, METRO may halt all work under this contract upon expiration or other termination of any required coverage, and work will not be allowed to resume until a satisfactory renewal certificate is received.
- D. The Certificate Holder shall read as follows on the Certificate of Insurance:

**Metropolitan Transit Authority of Harris County, TX (METRO)
1900 Main St
Houston, TX 77002**

- E. Contractor shall require any and all subcontractors performing work under this contract to obtain and maintain the insurance coverage specified in this section. In the event a subcontractor is unable to furnish insurance in the limits required under this contract, the Contractor shall endorse the subcontractor as an Additional Insured on its General Liability and Automobile Liability policies. Any request to deviate from the stipulated insurance limits required of subcontractor must be approved by METRO. Contractor shall obtain and make available for inspection by METRO upon request current certificates of insurance evidencing insurance coverages carried by subcontractor.

10 INDEMNIFICATION AGREEMENT

- A. **THE CONTRACTOR AGREES TO AND SHALL INDEMNIFY AND HOLD HARMLESS METRO, ITS DIRECTORS AND EMPLOYEES FROM AND AGAINST ANY AND ALL CLAIMS, LOSSES, DAMAGES, CAUSES OF ACTION, SUITS AND LIABILITY OF EVERY KIND, INCLUDING ALL EXPENSES OF LITIGATION, COURT COSTS AND ATTORNEY'S FEES, FOR BODILY INJURY, SICKNESS, DISEASE OR DEATH OF ANY PERSON, OR FOR DAMAGES TO ANY PROPERTY, INCLUDING CONSEQUENTIAL DAMAGES OR LOSS OF USE THEREOF, BROUGHT OR RECOVERABLE BY THIRD PARTIES AGAINST METRO, ITS DIRECTORS AND/OR EMPLOYEES AND ARISING OUT OF OR RESULTING FROM ANY NEGLIGENT ACT OR OMISSION BY THE CONTRACTOR IN THE PERFORMANCE OF THIS CONTRACT. THE CONTRACTOR AGREES TO PROVIDE ACKNOWLEDGEMENT OF INDEMNIFICATION WITHIN TEN DAYS FROM RECEIPT OF DEMAND FOR INDEMNIFICATION FROM METRO.**
- B. **THE INDEMNITY PROVIDED FOR IN THIS ARTICLE SHALL HAVE NO APPLICATION TO ANY CLAIM, LOSS OR DAMAGE, CAUSE OF ACTION, SUIT OR LIABILITY BROUGHT OR RECOVERABLE AGAINST METRO, ITS DIRECTORS AND/OR EMPLOYEES TO THE EXTENT THE INJURY, DEATH OR DAMAGE RESULTS SOLELY FROM A GROSS NEGLIGENT ACT OR WILLFUL BEHAVIOR BY METRO.**

SECTION II – EXHIBITS

1 EXHIBIT A: SCOPE OF SERVICES

MANDATORY RECERTIFICATION DOT MEDICAL PHYSICAL EXAMINATION SERVICES FOR SAFETY-SENSITIVE EMPLOYEES

1. SCOPE

This scope defines the requirements for the Contractor to provide Occupational Medical Services for mandatory physical examinations in accordance with the Department of Transportation (DOT) and Federal Motor Carrier Safety Administration (FMCSA) regulations. These services are related to DOT Medical Recertification and/or Fitness for Duty Examinations for METRO employees who are designated as safety sensitive.

2. REQUIREMENTS

- The Contractor shall provide all necessary materials, equipment, facilities, supplies, and qualified, licensed personnel licensed by the State of Texas and authorized by relevant federal programs to conduct DOT Medical Physical Examinations.
 - The Contractor must implement an electronic record management system to efficiently manage medical records and report DOT Physical Exam activities to METRO promptly.
 - The system used must be compatible with METRO's existing technologies to ensure seamless data integration and reporting.
-

3. METRO DOT MEDICAL EXAMINATION REQUIREMENTS

METRO adheres to DOT and FMCSA regulations per 49 CFR 391.41, which set forth standards for physical examinations of commercial vehicle operators. All employees classified as safety-sensitive must undergo these medical physical examinations to certify fitness for duty and ensure safety in assigned job functions.

4. DOT MEDICAL EXAMINATION ELEMENTS

A DOT physical evaluates multiple aspects of a driver's health to meet Federal Motor Carrier Safety Administration (FMCSA) standards. The exam typically includes:

Medical History Review: The examiner asks detailed questions about your past and current medical conditions, medications, surgeries, and family health history to identify any issues that could affect driving safety

- **Vital Signs and Measurements:** blood pressure, pulse, height, weight, and body mass index (BMI) are measured to assess cardiovascular and overall health
 - **Vision and Hearing Tests:** Drivers must have at least **20/40 vision** in each eye (with or without correction) and adequate peripheral vision. Hearing is tested using a **whisper test** or similar method to ensure you can perceive sounds critical for safe driving.
 - **Physical Examination:** A hands-on assessment includes checking the **heart, lungs, abdomen, extremities, musculoskeletal system, and neurological function**. The examiner may listen to your heart and lungs with a stethoscope, check reflexes, observe your gait, and assess joint mobility.
 - **Urinalysis:** A urine sample is tested for **protein, blood, sugar, and specific gravity**, which can indicate kidney issues, diabetes, or other medical conditions.
 - **Additional Tests (if needed):** Depending on your medical history or symptoms, the examiner may order further tests, such as a **sleep apnea evaluation** for drivers with risk factors like obesity or loud snoring.
 - **Certification:** When an exam is passed, individual will receive a DOT Medical Card to be carried with their Driver's License.
-

5. DOT MEDICAL EXAMINATION SERVICE FREQUENCY

Medical Examiner's Certificate (MEC), also known as a DOT medical card, which is generally valid for **two years** unless a medical condition requires more frequent monitoring.

**** METRO will only pay the expense on one DOT Medical Physical per year. Employees requiring more than one DOT medical exam per year, will be required to pay out of pocket.**

6. CONTRACTOR QUALIFICATIONS & SERVICE REQUIREMENTS

Qualification & Experience of Staff

- All DOT Medical Physical providers must be listed on the **FMCSA National Registry**.
- Provide qualified and experienced medical personnel at all clinical locations capable of managing METRO's examination volume.
- Medical personnel with good communication skills to perform DOT Medical Certification Cards and or provide verbal and written detailed medical hold explanations to METRO employees and Drug & Alcohol Program staff.
- Provide at least two references with a minimum of 1,500 employees.
- Demonstrate a minimum of five (5) years of experience serving DOT clientele on a large scale (3K plus employees).

Technology, Equipment & Quality Assurance

- Ensure technology systems are compatible with FMCSA/DOT and METRO infrastructure.
- Implement advanced technology platforms for medical record management and report directly to Federal Motor Carriers Administration via FMCA technology platform.
- Ensure quality data entry of METRO employees' driver's license information to ensure error free issuance of DOT Medical Card.
- Maintain all medical equipment per manufacturer specifications and industry standards; provide annual equipment certification reports upon request.
- Ensure ongoing equipment calibration, maintenance, and sanitation compliance (including infection control and biohazard handling).
- Follow robust policies to protect confidentiality and data integrity of medical records.

Facilities & Hours of Operation

- Operate a minimum of six (5) clinic locations in the Houston Metropolitan area.
- Maintain flexible hours Monday to Friday: opening no later than 9:00 a.m., closing no earlier than 8:00 p.m., with some clinics operating on weekends and holidays.
- Allow both scheduled appointments and walk-ins.
- Ensure average wait times do not exceed thirty (30) minutes for appointments and sixty (60) minutes for walk-ins.

Customer Service

- Deliver responsive and consistent professional customer service throughout the contract period.
- Participate or provide documents required for audits or contractors' reviews.
- Conduct quarterly performance review meetings and provide progress updates to METRO.

7. METRO DOT MEDICAL EXAMINATION PROCEDURES

- METRO Drug and Alcohol Program issues DOT Medical Examination Notification Letters to employees.
- Employees report to any authorized clinic location, presenting their ID, current certification card, driver's license, and notification letter as validation.
- Employees placed on medical hold must receive clearance from the original examining physician/clinic before returning to duty.
- If additional medical testing is required, employees are referred to their personal healthcare providers.
- Any additional testing or services must be pre-approved by the authorized METRO official; approval will be documented on Form #649-F (6045).

Failure to Pass Examination:

- Contractor must notify METRO Drug and Alcohol Program Coordinator/Specialist/Assistant within three (3) hours of an employee failing the examination.
- Employees failing the exam will be placed on medical leave of absence following METRO's policies and procedures until cleared for duty by the original clinic or examiner.

8. SPECIALIZED & ADDITIONAL TESTING

- Referral to personal physicians or specialists for additional testing is required when indicated by exam findings.
- Contractor shall communicate reasons for DOT Medical Holds to employees, allowing appropriate follow-up with their primary care provider or specialist to obtain a DOT Medical Recertification Card.
- Contractor shall coordinate any specialist referrals requested by METRO, including clarifying evaluation scope, payment responsibilities, and reporting requirements.

9. FORMS, REPORTS & REPORTING

- The **DOT Form 649-F** is a **Medical Examination Report for Commercial Driver Fitness Determination**. It is used to assess the medical fitness of commercial drivers and includes information obtained from the driver's examination

and medical report Physician shall document findings and sign off on reports, considering the physical and mental demands of the employee's role.

- Retain copies of all medical records by regulatory requirements; submit originals electronically.
 - **Provide employees with copy of updated DOT Medical Certification Card upon the successful completion of the exam.**
 - Notify (e-mail or call) METRO's Drug and Alcohol Program Coordinator/Specialist/Assistant immediately of any failed examinations or medical holds (same-day notification required).
 - Notify (e-mail or call) METRO Drug and Alcohol Program Coordinator/Specialist/Assistant immediately when an employee is released from a DOT Medical Hold.
 - Submit all federally mandated reports to DOT/FMCSA National Registry as required by regulations within appropriate timeframes.
-

10. BILLING

- All Recertification DOT Medical Physical examinations shall be billed monthly to the METRO Drug and Alcohol Program account.
 - Invoices shall be addressed to: METRO's Drug and Alcohol Program and sent electronically via email to the Drug and Alcohol Program Specialist or Assistant at the first of each month for the previous months service.
 - **NOTE:** Once invoice is received and sent to METRO's accounting department, allow 45 business days for invoice to be paid.
-

11. ESTIMATED VOLUME

- Average annual volume of DOT Recertification Medical Physical Examinations per year: 2,000.

2 EXHIBIT B: CERTIFICATION OF RESTRICTIONS ON LOBBYING

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

- A. No federal appropriated funds have been or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an office or employee of any agency, a member of Congress, an officer or employee of Congress in connection with the awarding of any federal contract, the making of any federal grant, the making of any federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any federal contract, grant, loan, or cooperative agreement.
- B. If any funds other than federal appropriated funds have been paid or will be paid 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 this federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, 'Disclosure Form to Report Lobbying,' in accordance with its instructions. After a Contract is awarded by METRO, if applicable, the undersigned is also required to submit to METRO's Contracting Officer a signed copy of the Form-LLL, 'Disclosure Form to Report Lobbying,' for all sub-awards at all tiers in excess of \$100,000.00.
- C. 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 disclose accordingly. Once a Contract is awarded by METRO, the undersigned is also required to submit to METRO's Contracting Officer a signed copy of the certificate for all sub-contracts at all tiers in excess of \$100,000.00.

This certification is a material representation of fact upon which reliance is placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by 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____

Company Name: _____

By: _____
(Signature of Company Official)

(Title of Company Official)

3 EXHIBIT C: DEBARMENT AND SUSPENSION FORM

The undersigned certifies, by submission of this certification, that neither the respondent's/contractor's company 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.

If the company is unable to certify to any of the statements in this certification, the company shall attach an explanation to this certification.

I hereby certify that I am authorized to execute this certification on behalf of the company and certify the truthfulness and accuracy of the contents herein or attached hereto to the best of my belief. The company does/does not (strike one) have in-house legal counsel.

Company Name: _____

By: _____
Signature of Company Official Date

Title of Company Official

The following shall also be completed if the Company has in-house legal counsel:

The undersigned legal counsel for _____ hereby certifies that
_____ has authority under state and local law to comply with the subject assurances and that the
certification above has been legally made.

Signature of Company's Attorney Date

4 EXHIBIT D: SMALL BUSINESS FORMS

Form 1: CONTRACTOR UTILIZATION PLAN (CUP)

Instructions For Completing CUP Form

The Contractor Utilization Plan (CUP) form identifies the bidder's/proposer's team of certified and non-certified subcontractors and suppliers that are planned to be used to fulfil the scope of work. **All vendors must be listed on the form regardless of certification status.** The METRO SBE Program does not accept a Good Faith Effort (GFE) response to its solicitations. This form is also used to determine the total percent (%) of Small Business (SB) participation on the team. Make additional copies of the appropriate Section(s) of the form, if needed, to include all team members.

Information applicable to all members of the team in Sections 1, 2, 3 & 4 of the CUP:

- Name, tax identification number, business address, telephone number, contact name & title, email address, contracted by and avg. gross receipts information of the Prime. **Specify the "Avg. Gross Receipts" over the past three (3) years for prime listed on the CUP form. The Avg. Gross Receipts can be noted using the following ranges:**

- \$0 - \$500K
- \$500K - \$1M
- \$1M - \$3M
- \$3M - \$5M
- Over \$5M

Only fill in the "Contracted By:" information if the subcontractor or supplier is a lower tier to another subcontractor. This information is used to identify and track lower tier subcontractors and suppliers.

- Brief description of work to be performed by Prime or subcontractors; or products to be provided by the suppliers.
- Certification status of Prime, subcontractor(s) and supplier(s). Include a copy of the METRO SBE certificate or DBE certificate for any applicable members of the team. **Be sure to reference the solicitation for more details on the types of certifications METRO accepts and does not accept.**
- Percentages of the total contract value to be performed by the Prime and each subcontractor and supplier. **(Note: The total of work performed by all team members (including the Prime) must equal 100%.)**
- Price is **REQUIRED** on this form when responding to "Invitations for Bid" (IFB) solicitations. Price is only required on the **FINAL CUP** for "Requests for Qualifications" (RFQ) or "Requests for Proposals" (RFP) solicitations.

	Type of Work to be Performed or Materials Supplied	Indicate if METRO SBE or DBE (Y/N)		Percent of Contract Effort	Price (IFB ONLY)
		SBE	DBE		
Name of Business					
Tax ID No.					
Business Address					
Telephone No.					
Contact Name/Title					
Email Address					
Avg. Annual Gross Receipts	\$ _____				
Contracted By:					

Section 1 – Prime Contractor: This Section is only for the bidder's/proposer's information.

Section 2 – Subcontractors: This Section is used to list ALL certified and non-certified subcontractors on all tiers.

Section 3 – Suppliers – Manufacturers (100%): In this section, list all certified and non-certified suppliers that manufacture or produce the product they are providing in support of the scope of work. If the supplier is certified, then 100% of the value of their contract will count towards the SB Participation goal.

Section 4 – Suppliers – Dealers (60%): In this section, list all certified suppliers that resell the products purchased from a wholesaler in support of the scope of work.

- For a non-certified Prime Contractor or subcontractor, only 60% of each certified supplier's contract value (or Percent or Work Effort) counts toward the Small Business Participation goal.
- Note that the "Percent of Contract Effort" in Section 4 is divided into 2 parts: "100%" and "60%". **BOTH PERCENTAGES MUST BE SPECIFIED IF A SUPPLIER IS CERTIFIED.**

Example: The "100%" represents the total value of the P.O. (or Contract) as a percentage of the total value of the bid. If the total bid is \$1,000,000 and the P.O. value is \$100,000, then the **100% value = 10%** and the **60% value = 6%**. In this example, only 6% (\$60,000) will be counted towards the Small Business Participation goal. See example below:

Percent of Contract Effort		Price (IFB ONLY)
100%	60%	
100% Value (%): 10%		100% Value (\$): \$100,000
60% Value (%): 6%		60% Value (\$): \$60,000

- Certified Prime Contractors and subcontractors that utilize certified and non-certified suppliers (manufacturers or dealers) can count 100% of their participation towards the Small Business Participation goal.
- Reminder: In the case of an RFP or RFQ, only specify the percentages and not the price.

Calculating Totals & %SBE/DBE Participation

- In this section, under "**TOTAL AMOUNT OF PROPOSAL**", specify the dollar amounts and the corresponding percentages relative to the total bid amount from Sections 1, 2, 3, & 4. (**Important:** The total dollars must match your bid amount and the corresponding % of Contract Effort must total to 100%.)
- Under "**% SBE/DBE Participation**" calculate the total percentage of the contract value that is to be performed by certified firms only, which includes the Prime (if applicable), subcontractors and suppliers. See IFB example below:

EXAMPLE ONLY SCENARIO: The Prime is not certified, and all the subcontractors and suppliers are certified firms. The Small Business goal is 35%.

TOTAL AMOUNT OF PROPOSAL	
	% of Contract Effort
PRIME: \$ <u>500,000</u>	<u>50</u> %
SUBCONTRACTORS: \$ <u>300,000</u>	<u>30</u> %
SUPPLIER-MANUFACTURERS (M): \$ <u>100,000</u>	<u>10</u> %
SUPPLIERS-DEALERS (D): \$ <u>100,000</u>	<u>10</u> %
TOTAL PROPOSAL AMOUNT: \$ <u>1,000,000</u>	<u>100</u> %

(Note: If the solicitation is an RFP or RFQ, only specify the percentages.)

% SBE/DBE PARTICIPATION	
Prime: <u>0</u> %	
Subcontractors: <u>30</u> %	
Suppliers (M): <u>10</u> %	
Suppliers (D): <u>6</u> %	
Total: <u>46</u> %	

Complete the blank form below and remember to submit all sections , and sign and date the form.

Proposer presents the following participants in this solicitation and any resulting contract.

Section 1 – PRIME CONTRACTOR		Type of Work to be Performed or Materials Supplied	Indicate if METRO SBE or DBE (Y/N)		Percent of Contract Effort	Price (IFB ONLY)
			SBE	DBE		
Name of Business _____ Tax ID No. _____ Business Address _____ Telephone No. _____ Contact Name/Title _____ Email Address _____ Avg. Gross Receipts _____						
Section 2 – SUBCONTRACTORS		Type of Work to be Performed or Materials Supplied	Indicate if METRO SBE or DBE (Y/N)		Percent of Contract Effort	Price (IFB ONLY)
			SBE	DBE		
Name of Business _____ Tax ID No. _____ Business Address _____ Telephone No. _____ Contact Name/Title _____ Email Address _____ Contracted By: _____						
Name of Business _____ Tax ID No. _____ Business Address _____ Telephone No. _____ Contact Name/Title _____ Email Address _____ Contracted By: _____						

Proposer presents the following participants in this solicitation and any resulting contract.

Section 3 – SUPPLIERS – MANUFACTURERS 100%		Counts for 100% toward small business goal when purchased from small business manufacturer (see Instructions).				
		Type of Work to be Performed or Materials Supplied	Indicate if METRO SBE or DBE (Y/N)		Percent of Contract Effort (100%)	Price (IFB ONLY)
			SBE	DBE		
Name of Business	_____					
Tax ID No.	_____					
Business Address	_____					
Telephone No.	_____					
Contact Name/Title	_____					
Email Address	_____					
Contracted By:	_____					
Name of Business	_____					
Tax ID No.	_____					
Business Address	_____					
Telephone No.	_____					
Contact Name/Title	_____					
Email Address	_____					
Contracted By:	_____					
Name of Business	_____					
Tax ID No.	_____					
Business Address	_____					
Telephone No.	_____					
Contact Name/Title	_____					
Email Address	_____					
Contracted By:	_____					

Proposer presents the following participants in this solicitation and any resulting contract.

Section 4 – SUPPLIERS – DEALERS 60%		Counts for 60% toward small business goal when purchased from small business regular dealer (see Instructions).					
		Type of Work to be Performed or Materials Supplied	Indicate if METRO SBE or DBE (Y/N)		Percent of Contract Effort		Price (IFB ONLY)
			SBE	DBE	100%	60%	
Name of Business	_____				100% Value (%):		100% Value (\$):
Tax ID No.	_____						
Business Address	_____						
Telephone No.	_____				60% Value (%):		60% Value (\$):
Contact Name/Title	_____						
Email Address	_____						
Contracted By:	_____						
Name of Business	_____				100% Value (%):		100% Value (\$):
Tax ID No.	_____						
Business Address	_____						
Telephone No.	_____				60% Value (%):		60% Value (\$):
Contact Name/Title	_____						
Email Address	_____						
Contracted By:	_____						

TOTAL AMOUNT OF PROPOSAL

		% of Contract Effort
PRIME: \$	_____	_____ %
SUBCONTRACTORS: \$	_____	_____ %
SUPPLIERS-MANUFACTURERS (M): \$	_____	_____ %
SUPPLIERS-DEALERS (D): \$	_____	_____ %
TOTAL PROPOSAL AMOUNT: \$	_____	_____ %

% SBE/DBE PARTICIPATION (Calculation)

Prime:	_____ %
Subcontractors:	_____ %
Suppliers (M):	_____ %
Suppliers (D):	_____ %
Total:	_____ %

The Contractor agrees to adhere to this Plan submitted unless a waiver is received from the Office of Economic Business Opportunity. Any changes in the Plan regarding the proposed use of certified subcontractors in discharging the contract duties must be approved by the Office of Economic Business Opportunity. The approval of the Office of Economic Business Opportunity will not be unreasonably withheld upon a showing of good cause to make the change.

Submitted By: _____
Signature of Owner/Officer of Business (Date)

Business Name: _____

Address: _____

Telephone/Email: _____

5 EXHIBIT E: CODE OF ETHICS OF THE METROPOLITAN TRANSIT AUTHORITY

Please refer to the current versions of METRO's Codes of Ethics for METRO Employees and for the METRO Board of Directors at <https://www.ridemetro.org/Pages/ConflictsDisclosure.aspx>

6 EXHIBIT F: METRO'S ETHICS AND SAFETY HOTLINE

METRO'S ETHICS AND SAFETY HOTLINE is a reporting system, administered by a third-party vendor, by which employees, Contractors, and others may report concerns or complaints they may have about improper conduct or safety conditions at METRO. Employees and Contractors may report confidentially and anonymously if desired, free of any retaliation. This reporting mechanism satisfies the Federal Transit Administration's Employee Safety Reporting Program Rule requirements (49 CFR 673.23(b), 673.27 (b) and 673.29 (b)). Employees and Contractors may submit a report to the Hotline through one of the following methods: Toll-Free: 1-888-60-REPORT (888-607-37678); Fax: 215-689-3885; Website: www.Lighthouse-services.com/ridemetro; E-Mail: reports@lighthouse-services.com.