



Department of Administration
Purchasing Division
2019 Washington Street East
Post Office Box 50130
Charleston, WV 25305-0130

State of West Virginia Master Agreement

Order Date: 10-20-2021

CORRECT ORDER NUMBER MUST
APPEAR ON ALL PACKAGES, INVOICES,
AND SHIPPING PAPERS. QUESTIONS
CONCERNING THIS ORDER SHOULD BE
DIRECTED TO THE DEPARTMENT
CONTACT.

Order Number:	CMA 0805 0805 PTR2200000002 1	Procurement Folder:	923339
Document Name:	State Safety Oversight of PRT	Reason for Modification:	
Document Description:	State Safety Oversight of PRT		
Procurement Type:	Central Master Agreement		
Buyer Name:			
Telephone:			
Email:			
Shipping Method:	Best Way	Effective Start Date:	2021-11-01
Free on Board:	FOB Dest, Freight Prepaid	Effective End Date:	2022-10-31

VENDOR	DEPARTMENT CONTACT																				
Vendor Customer Code: VS0000013500 TRANSPORTATION RESOURCE ASSOCIATES INC 1608 WALNUT ST STE 1602 PHILADELPHIA PA 19103-5410 US Vendor Contact Phone: 215-279-6735 Extension: Discount Details: <table><thead><tr><th></th><th>Discount Allowed</th><th>Discount Percentage</th><th>Discount Days</th></tr></thead><tbody><tr><td>#1</td><td>No</td><td>0.0000</td><td>0</td></tr><tr><td>#2</td><td>No</td><td></td><td></td></tr><tr><td>#3</td><td>No</td><td></td><td></td></tr><tr><td>#4</td><td>No</td><td></td><td></td></tr></tbody></table>		Discount Allowed	Discount Percentage	Discount Days	#1	No	0.0000	0	#2	No			#3	No			#4	No			Requestor Name: John S Caldwell Requestor Phone: (304) 558-9578 Requestor Email: john.s.caldwell@wv.gov 22 FILE LOCATION _____
	Discount Allowed	Discount Percentage	Discount Days																		
#1	No	0.0000	0																		
#2	No																				
#3	No																				
#4	No																				

INVOICE TO	SHIP TO
ACCOUNTS PAYABLE PUBLIC TRANSIT DIVISION OF BLDG 5 RM 663 1900 KANAWHA BLVD E CHARLESTON WV 25305-0432 US	AUTHORIZED RECEIVER PUBLIC TRANSIT DIVISION OF BLDG 5 RM 663 1900 KANAWHA BLVD E CHARLESTON WV 25305-0432 US

Total Order Amount:

Open End

Purchasing Division's File Copy

ENTERED

DATE: *Linda Harper*
10/21/2021
ELECTRONIC SIGNATURE ON FILE

ATTORNEY-GENERAL APPROVAL AS TO FORM
DATE: *John D. Granger*
ELECTRONIC SIGNATURE ON FILE

ENCUMBRANCE CERTIFICATION
DATE: *10/26/2021*
ELECTRONIC SIGNATURE ON FILE

Extended Description:

Central Master Agreement (Open-End)

The Vendor, Transportation Resource Associates, Inc., of Philadelphia, PA, agrees to enter into this Open-end contract with the Agency, the West Virginia Division of Public Transit for Consultant services to provide expert technical assistance, personnel support with the future development and maintenance of the State Safety Oversight Program, as mandated by the Federal Transit Administration for the West Virginia University Personal Rapid Transit including but not limited to investigative activities, semi-annual safety audits and documentation/reporting requirements for the program per the bid requirements, specifications, terms and conditions, the information from Addendum No. 1, dated 09/17/2021,, the vendor's submitted and accepted bid dated 09/29/2021, and the attached documentation and price sheet. All incorporated herein by reference and a part of hereof.

Effective Dates of Service: 11/01/21 - 10/31/22

3 Renewals Left

Line	Commodity Code	Manufacturer	Model No	Unit	Unit Price
1	80101508				0.000000
Service From		Service To			
2021-11-01		2022-10-31			

Commodity Line Description: Professional Services for SSO Program**Extended Description:**

Professional Services in relation to the State Safety Oversight Program

SEE ATTACHED PRICING PAGES

	Document Phase	Document Description	Page 3
PTR2200000002	Draft	State Safety Oversight of PRT	

ADDITIONAL TERMS AND CONDITIONS

See attached document(s) for additional Terms and Conditions

REQUEST FOR PROPOSAL

Division of Public Transit – CRFP PTR2200000001

State Safety Oversight

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SECTION 1: GENERAL INFORMATION

1.1. Introduction:

The West Virginia Department of Administration, Purchasing Division (hereinafter referred to as the “Purchasing Division”) is issuing this solicitation as a request for proposal (“RFP”), as authorized by W. Va. Code §5A-3-10b, for the West Virginia Division of Public Transit (hereinafter referred to as the WVDPT “Agency”) to provide Consultant services to provide expert technical assistance and personnel support with the future development and maintenance of the State Safety oversight program, mandated by the Federal Transit Administration, for the West Virginia University Personal Rapid Transit including, but not limited to, investigative activities, semi-annual safety audits and documentation/reporting requirements for the program.

The RFP is a procurement method in which vendors submit proposals in response to the request for proposal published by the Purchasing Division. It requires an award to the highest scoring vendor, rather than the lowest cost vendor, based upon a technical evaluation of the vendor’s technical proposal and a cost evaluation. This is referred to as a best value procurement. Through their proposals, vendors offer a solution to the objectives, problem, or need specified in the RFP, and define how they intend to meet (or exceed) the RFP requirements.

1.2 Glossary of RFP Terms:

1.2.1 APTA - American Public Transportation Association

1.2.2 CAP - Corrective Action Plan

1.2.3 Contracting Officer - The Executive Director of the Division of Public Transit

REQUEST FOR PROPOSAL

Division of Public Transit – CRFP PTR2200000001 State Safety Oversight

- 1.2.4 DBE - Disadvantaged Business Enterprise, defined as those members of the presumptive groups shown in 49 CFR Part 26.**
- 1.2.5 FTA - Federal Transit Administration**
- 1.2.6 MAP 21 - Moving Ahead for Progress in the 21st Century (Federal Funding Legislation)**
- 1.2.7 NTSB - National Transportation Safety Board**
- 1.2.8 Other Subcontractor - Any additional subcontractor hired by either the contractor or a Subcontractor.**
- 1.2.9 PRT –Personal Rapid Transit, a fixed guideway system operated by WVU in Morgantown, WV**
- 1.2.10 PTASP – Public Agency Safety Plan**
- 1.2.11 RFGPTS – Rail Fixed Guideway Public Transit System (Public Transit System)**
- 1.2.12 Selection Committee- The Selection Committee established to review the proposals received under this solicitation.**
- 1.2.13 SEPP - Security and Emergency Preparedness Plan**
- 1.2.14 SSOA – State Safety Oversight Agency**
- 1.2.15 SSOP – State Safety Oversight Program**
- 1.2.16 SSPS - System Safety Program Standard (the State “Standard” or Oversight Plan)**
- 1.2.17 Subcontractor - Any subcontractor hired by the contractor**
- 1.2.18 WVDPT - The West Virginia Division of Public Transit**
- 1.2.19 WVU – West Virginia University, an institution of higher education that owns and operates the PRT.**

GENERAL TERMS AND CONDITIONS:

1. CONTRACTUAL AGREEMENT: Issuance of an Award Document signed by the Purchasing Division Director, or his designee, and approved as to form by the Attorney General's office constitutes acceptance by the State of this Contract made by and between the State of West Virginia and the Vendor. Vendor's signature on its bid, or on the Contract if the Contract is not the result of a bid solicitation, signifies Vendor's agreement to be bound by and accept the terms and conditions contained in this Contract.

2. DEFINITIONS: As used in this Solicitation/Contract, the following terms shall have the meanings attributed to them below. Additional definitions may be found in the specifications included with this Solicitation/Contract.

2.1. "Agency" or "Agencies" means the agency, board, commission, or other entity of the State of West Virginia that is identified on the first page of the Solicitation or any other public entity seeking to procure goods or services under this Contract.

2.2. "Bid" or "Proposal" means the vendors submitted response to this solicitation.

2.3. "Contract" means the binding agreement that is entered into between the State and the Vendor to provide the goods or services requested in the Solicitation.

2.4. "Director" means the Director of the West Virginia Department of Administration, Purchasing Division.

2.5. "Purchasing Division" means the West Virginia Department of Administration, Purchasing Division.

2.6. "Award Document" means the document signed by the Agency and the Purchasing Division, and approved as to form by the Attorney General, that identifies the Vendor as the contract holder.

2.7. "Solicitation" means the official notice of an opportunity to supply the State with goods or services that is published by the Purchasing Division.

2.8. "State" means the State of West Virginia and/or any of its agencies, commissions, boards, etc. as context requires.

2.9. "Vendor" or "Vendors" means any entity submitting a bid in response to the Solicitation, the entity that has been selected as the lowest responsible bidder, or the entity that has been awarded the Contract as context requires.

3. CONTRACT TERM; RENEWAL; EXTENSION: The term of this Contract shall be determined in accordance with the category that has been identified as applicable to this Contract below:

☒ **Term Contract**

Initial Contract Term: This Contract becomes effective on November 1, 2021 and the initial contract term extends until one (1) year.

Renewal Term: This Contract may be renewed upon the mutual written consent of the Agency, and the Vendor, with approval of the Purchasing Division and the Attorney General's office (Attorney General approval is as to form only). Any request for renewal should be delivered to the Agency and then submitted to the Purchasing Division thirty (30) days prior to the expiration date of the initial contract term or appropriate renewal term. A Contract renewal shall be in accordance with the terms and conditions of the original contract. Unless otherwise specified below, renewal of this Contract is limited to three (3) successive one (1) year periods or multiple renewal periods of less than one year, provided that the multiple renewal periods do not exceed the total number of months available in all renewal years combined. Automatic renewal of this Contract is prohibited. Renewals must be approved by the Vendor, Agency, Purchasing Division and Attorney General's office (Attorney General approval is as to form only)

☐ **Alternate Renewal Term** – This contract may be renewed for _____ successive _____ year periods or shorter periods provided that they do not exceed the total number of months contained in all available renewals. Automatic renewal of this Contract is prohibited. Renewals must be approved by the Vendor, Agency, Purchasing Division and Attorney General's office (Attorney General approval is as to form only)

Delivery Order Limitations: In the event that this contract permits delivery orders, a delivery order may only be issued during the time this Contract is in effect. Any delivery order issued within one year of the expiration of this Contract shall be effective for one year from the date the delivery order is issued. No delivery order may be extended beyond one year after this Contract has expired.

☐ **Fixed Period Contract:** This Contract becomes effective upon Vendor's receipt of the notice to proceed and must be completed within _____ days.

☐ **Fixed Period Contract with Renewals:** This Contract becomes effective upon Vendor's receipt of the notice to proceed and part of the Contract more fully described in the attached specifications must be completed within _____ days. Upon completion of the work covered by the preceding sentence, the vendor agrees that maintenance, monitoring, or warranty services will be provided for _____ year(s) thereafter.

☐ **One Time Purchase:** The term of this Contract shall run from the issuance of the Award Document until all of the goods contracted for have been delivered, but in no event will this Contract extend for more than one fiscal year.

☐ **Other:** See attached _____
Revised 07/01/2021

4. AUTHORITY TO PROCEED: Vendor is authorized to begin performance of this contract on the date of encumbrance listed on the front page of the Award Document unless either the box for "Fixed Period Contract" or "Fixed Period Contract with Renewals" has been checked in Section 3 above. If either "Fixed Period Contract" or "Fixed Period Contract with Renewals" has been checked, Vendor must not begin work until it receives a separate notice to proceed from the State. The notice to proceed will then be incorporated into the Contract via change order to memorialize the official date that work commenced.

5. QUANTITIES: The quantities required under this Contract shall be determined in accordance with the category that has been identified as applicable to this Contract below.

☒ **Open End Contract:** Quantities listed in this Solicitation/Award Document are approximations only, based on estimates supplied by the Agency. It is understood and agreed that the Contract shall cover the quantities actually ordered for delivery during the term of the Contract, whether more or less than the quantities shown.

☐ **Service:** The scope of the service to be provided will be more clearly defined in the specifications included herewith.

☒ **Combined Service and Goods:** The scope of the service and deliverable goods to be provided will be more clearly defined in the specifications included herewith.

☐ **One Time Purchase:** This Contract is for the purchase of a set quantity of goods that are identified in the specifications included herewith. Once those items have been delivered, no additional goods may be procured under this Contract without an appropriate change order approved by the Vendor, Agency, Purchasing Division, and Attorney General's office.

6. EMERGENCY PURCHASES: The Purchasing Division Director may authorize the Agency to purchase goods or services in the open market that Vendor would otherwise provide under this Contract if those goods or services are for immediate or expedited delivery in an emergency. Emergencies shall include, but are not limited to, delays in transportation or an unanticipated increase in the volume of work. An emergency purchase in the open market, approved by the Purchasing Division Director, shall not constitute a breach of this Contract and shall not entitle the Vendor to any form of compensation or damages. This provision does not excuse the State from fulfilling its obligations under a One Time Purchase contract.

7. REQUIRED DOCUMENTS: All of the items checked below must be provided to the Purchasing Division by the Vendor as specified below.

☐ **BID BOND (Construction Only):** Pursuant to the requirements contained in W. Va. Code § 5-22-1(c), All Vendors submitting a bid on a construction project shall furnish a valid bid bond in the amount of five percent (5%) of the total amount of the bid protecting the State of West Virginia. The bid bond must be submitted with the bid.

☐ **PERFORMANCE BOND:** The apparent successful Vendor shall provide a performance bond in the amount of 100% of the contract. The performance bond must be received by the Purchasing Division prior to Contract award.

☐ **LABOR/MATERIAL PAYMENT BOND:** The apparent successful Vendor shall provide a labor/material payment bond in the amount of 100% of the Contract value. The labor/material payment bond must be delivered to the Purchasing Division prior to Contract award.

In lieu of the Bid Bond, Performance Bond, and Labor/Material Payment Bond, the Vendor may provide certified checks, cashier's checks, or irrevocable letters of credit. Any certified check, cashier's check, or irrevocable letter of credit provided in lieu of a bond must be of the same amount and delivered on the same schedule as the bond it replaces. A letter of credit submitted in lieu of a performance and labor/material payment bond will only be allowed for projects under \$100,000. Personal or business checks are not acceptable. Notwithstanding the foregoing, West Virginia Code § 5-22-1 (d) mandates that a vendor provide a performance and labor/material payment bond for construction projects. Accordingly, substitutions for the performance and labor/material payment bonds for construction projects is not permitted.

☐ **MAINTENANCE BOND:** The apparent successful Vendor shall provide a two (2) year maintenance bond covering the roofing system. The maintenance bond must be issued and delivered to the Purchasing Division prior to Contract award.

☐ **LICENSE(S) / CERTIFICATIONS / PERMITS:** In addition to anything required under the Section of the General Terms and Conditions entitled Licensing, the apparent successful Vendor shall furnish proof of the following licenses, certifications, and/or permits upon request and in a form acceptable to the State. The request may be prior to or after contract award at the State's sole discretion.

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The apparent successful Vendor shall also furnish proof of any additional licenses or certifications contained in the specifications regardless of whether or not that requirement is listed above.

8. INSURANCE: The apparent successful Vendor shall furnish proof of the insurance identified by a checkmark below and must include the State as an additional insured on each policy prior to Contract award. The insurance coverages identified below must be maintained throughout the life of this contract. Thirty (30) days prior to the expiration of the insurance policies, Vendor shall provide the Agency with proof that the insurance mandated herein has been continued. Vendor must also provide Agency with immediate notice of any changes in its insurance policies, including but not limited to, policy cancelation, policy reduction, or change in insurers. The apparent successful Vendor shall also furnish proof of any additional insurance requirements contained in the specifications prior to Contract award regardless of whether that insurance requirement is listed in this section.

Vendor must maintain:

☒ **Commercial General Liability Insurance** in at least an amount of: \$1,000,000.00 per occurrence.

☒ **Automobile Liability Insurance** in at least an amount of: \$1,000,000.00 per occurrence.

☒ **Professional/Malpractice/Errors and Omission Insurance** in at least an amount of: \$1,000,000.00 per occurrence. Notwithstanding the forgoing, Vendor's are not required to list the State as an additional insured for this type of policy.

☐ **Commercial Crime and Third Party Fidelity Insurance** in an amount of: _____ per occurrence.

☐ **Cyber Liability Insurance** in an amount of: _____ per occurrence.

☐ **Builders Risk Insurance** in an amount equal to 100% of the amount of the Contract.

☐ **Pollution Insurance** in an amount of: _____ per occurrence.

☐ **Aircraft Liability** in an amount of: _____ per occurrence.

☐☐☐☐

Notwithstanding anything contained in this section to the contrary, the Director of the Purchasing Division reserves the right to waive the requirement that the State be named as an additional insured on one or more of the Vendor's insurance policies if the Director finds that doing so is in the State's best interest.

9. WORKERS' COMPENSATION INSURANCE: Vendor shall comply with laws relating to workers compensation, shall maintain workers' compensation insurance when required, and shall furnish proof of workers' compensation insurance upon request.

10. [Reserved]

11. LIQUIDATED DAMAGES: This clause shall in no way be considered exclusive and shall not limit the State or Agency's right to pursue any other available remedy. Vendor shall pay liquidated damages in the amount specified below or as described in the specifications:

☐ N/A _____ for N/A _____.

☐ Liquidated Damages Contained in the Specifications.

☐ Liquidated Damages Are Not Included in this Contract.

12. ACCEPTANCE: Vendor's signature on its bid, or on the certification and signature page, constitutes an offer to the State that cannot be unilaterally withdrawn, signifies that the product or service proposed by vendor meets the mandatory requirements contained in the Solicitation for that product or service, unless otherwise indicated, and signifies acceptance of the terms and conditions contained in the Solicitation unless otherwise indicated.

13. PRICING: The pricing set forth herein is firm for the life of the Contract, unless specified elsewhere within this Solicitation/Contract by the State. A Vendor's inclusion of price adjustment provisions in its bid, without an express authorization from the State in the Solicitation to do so, may result in bid disqualification. Notwithstanding the foregoing, Vendor must extend any publicly advertised sale price to the State and invoice at the lower of the contract price or the publicly advertised sale price.

14. PAYMENT IN ARREARS: Payments for goods/services will be made in arrears only upon receipt of a proper invoice, detailing the goods/services provided or receipt of the goods/services, whichever is later. Notwithstanding the foregoing, payments for software maintenance, licenses, or subscriptions may be paid annually in advance.

15. PAYMENT METHODS: Vendor must accept payment by electronic funds transfer and P-Card. (The State of West Virginia's Purchasing Card program, administered under contract by a banking institution, processes payment for goods and services through state designated credit cards.)

16. TAXES: The Vendor shall pay any applicable sales, use, personal property or any other taxes arising out of this Contract and the transactions contemplated thereby. The State of West Virginia is exempt from federal and state taxes and will not pay or reimburse such taxes.

17. ADDITIONAL FEES: Vendor is not permitted to charge additional fees or assess additional charges that were not either expressly provided for in the solicitation published by the State of West Virginia, included in the Contract, or included in the unit price or lump sum bid amount that Vendor is required by the solicitation to provide. Including such fees or charges as notes to the solicitation may result in rejection of vendor's bid. Requesting such fees or charges be paid after the contract has been awarded may result in cancellation of the contract.

18. FUNDING: This Contract shall continue for the term stated herein, contingent upon funds being appropriated by the Legislature or otherwise being made available. In the event funds are not appropriated or otherwise made available, this Contract becomes void and of no effect beginning on July 1 of the fiscal year for which funding has not been appropriated or otherwise made available. If that occurs, the State may notify the Vendor that an alternative source of funding has been obtained and thereby avoid the automatic termination. Non-appropriation or non-funding shall not be considered an event of default.

19. CANCELLATION: The Purchasing Division Director reserves the right to cancel this Contract immediately upon written notice to the vendor if the materials or workmanship supplied do not conform to the specifications contained in the Contract. The Purchasing Division Director may also cancel any purchase or Contract upon 30 days written notice to the Vendor in accordance with West Virginia Code of State Rules § 148-1-5.2.b.

20. TIME: Time is of the essence regarding all matters of time and performance in this Contract.

21. APPLICABLE LAW: This Contract is governed by and interpreted under West Virginia law without giving effect to its choice of law principles. Any information provided in specification manuals, or any other source, verbal or written, which contradicts or violates the West Virginia Constitution, West Virginia Code, or West Virginia Code of State Rules is void and of no effect.

22. COMPLIANCE WITH LAWS: Vendor shall comply with all applicable federal, state, and local laws, regulations and ordinances. By submitting a bid, Vendor acknowledges that it has reviewed, understands, and will comply with all applicable laws, regulations, and ordinances.

SUBCONTRACTOR COMPLIANCE: Vendor shall notify all subcontractors providing commodities or services related to this Contract that as subcontractors, they too are required to comply with all applicable laws, regulations, and ordinances. Notification under this provision must occur prior to the performance of any work under the contract by the subcontractor.

23. ARBITRATION: Any references made to arbitration contained in this Contract, Vendor's bid, or in any American Institute of Architects documents pertaining to this Contract are hereby deleted, void, and of no effect.

24. MODIFICATIONS: This writing is the parties' final expression of intent. Notwithstanding anything contained in this Contract to the contrary no modification of this Contract shall be binding without mutual written consent of the Agency, and the Vendor, with approval of the Purchasing Division and the Attorney General's office (Attorney General approval is as to form only). Any change to existing contracts that adds work or changes contract cost, and were not included in the original contract, must be approved by the Purchasing Division and the Attorney General's Office (as to form) prior to the implementation of the change or commencement of work affected by the change.

25. WAIVER: The failure of either party to insist upon a strict performance of any of the terms or provision of this Contract, or to exercise any option, right, or remedy herein contained, shall not be construed as a waiver or a relinquishment for the future of such term, provision, option, right, or remedy, but the same shall continue in full force and effect. Any waiver must be expressly stated in writing and signed by the waiving party.

26. SUBSEQUENT FORMS: The terms and conditions contained in this Contract shall supersede any and all subsequent terms and conditions which may appear on any form documents submitted by Vendor to the Agency or Purchasing Division such as price lists, order forms, invoices, sales agreements, or maintenance agreements, and includes internet websites or other electronic documents. Acceptance or use of Vendor's forms does not constitute acceptance of the terms and conditions contained thereon.

27. ASSIGNMENT: Neither this Contract nor any monies due, or to become due hereunder, may be assigned by the Vendor without the express written consent of the Agency, the Purchasing Division, the Attorney General's office (as to form only), and any other government agency or office that may be required to approve such assignments.

28. WARRANTY: The Vendor expressly warrants that the goods and/or services covered by this Contract will: (a) conform to the specifications, drawings, samples, or other description furnished or specified by the Agency; (b) be merchantable and fit for the purpose intended; and (c) be free from defect in material and workmanship.

29. STATE EMPLOYEES: State employees are not permitted to utilize this Contract for personal use and the Vendor is prohibited from permitting or facilitating the same.

30. PRIVACY, SECURITY, AND CONFIDENTIALITY: The Vendor agrees that it will not disclose to anyone, directly or indirectly, any such personally identifiable information or other confidential information gained from the Agency, unless the individual who is the subject of the information consents to the disclosure in writing or the disclosure is made pursuant to the Agency's policies, procedures, and rules. Vendor further agrees to comply with the Confidentiality Policies and Information Security Accountability Requirements, set forth in <http://www.state.wv.us/admin/purchase/privacy/default.html>.

31. YOUR SUBMISSION IS A PUBLIC DOCUMENT: Vendor's entire response to the Solicitation and the resulting Contract are public documents. As public documents, they will be disclosed to the public following the bid/proposal opening or award of the contract, as required by the competitive bidding laws of West Virginia Code §§ 5A-3-1 et seq., 5-22-1 et seq., and 5G-1-1 et seq. and the Freedom of Information Act West Virginia Code §§ 29B-1-1 et seq.

DO NOT SUBMIT MATERIAL YOU CONSIDER TO BE CONFIDENTIAL, A TRADE SECRET, OR OTHERWISE NOT SUBJECT TO PUBLIC DISCLOSURE.

Submission of any bid, proposal, or other document to the Purchasing Division constitutes your explicit consent to the subsequent public disclosure of the bid, proposal, or document. The Purchasing Division will disclose any document labeled "confidential," "proprietary," "trade secret," "private," or labeled with any other claim against public disclosure of the documents, to include any "trade secrets" as defined by West Virginia Code § 47-22-1 et seq. All submissions are subject to public disclosure without notice.

32. LICENSING: In accordance with West Virginia Code of State Rules § 148-1-6.1.e, Vendor must be licensed and in good standing in accordance with any and all state and local laws and requirements by any state or local agency of West Virginia, including, but not limited to, the West Virginia Secretary of State's Office, the West Virginia Tax Department, West Virginia Insurance Commission, or any other state agency or political subdivision. Obligations related to political subdivisions may include, but are not limited to, business licensing, business and occupation taxes, inspection compliance, permitting, etc. Upon request, the Vendor must provide all necessary releases to obtain information to enable the Purchasing Division Director or the Agency to verify that the Vendor is licensed and in good standing with the above entities.

SUBCONTRACTOR COMPLIANCE: Vendor shall notify all subcontractors providing commodities or services related to this Contract that as subcontractors, they too are required to be licensed, in good standing, and up-to-date on all state and local obligations as described in this section. Obligations related to political subdivisions may include, but are not limited to, business licensing, business and occupation taxes, inspection compliance, permitting, etc. Notification under this provision must occur prior to the performance of any work under the contract by the subcontractor.

33. ANTITRUST: In submitting a bid to, signing a contract with, or accepting a Award Document from any agency of the State of West Virginia, the Vendor agrees to convey, sell, assign, or transfer to the State of West Virginia all rights, title, and interest in and to all causes of action it may now or hereafter acquire under the antitrust laws of the United States and the State of West Virginia for price fixing and/or unreasonable restraints of trade relating to the particular commodities or services purchased or acquired by the State of West Virginia. Such assignment shall be made and become effective at the time the purchasing agency tenders the initial payment to Vendor.

34. VENDOR CERTIFICATIONS: By signing its bid or entering into this Contract, Vendor certifies (1) that its bid or offer was made without prior understanding, agreement, or connection with any corporation, firm, limited liability company, partnership, person or entity submitting a bid or offer for the same material, supplies, equipment or services; (2) that its bid or offer is in all respects fair and without collusion or fraud; (3) that this Contract is accepted or entered into without any prior understanding, agreement, or connection to any other entity that could be considered a violation of law; and (4) that it has reviewed this Solicitation in its entirety; understands the requirements, terms and conditions, and other information contained herein.

Vendor's signature on its bid or offer also affirms that neither it nor its representatives have any interest, nor shall acquire any interest, direct or indirect, which would compromise the performance of its services hereunder. Any such interests shall be promptly presented in detail to the Agency. The individual signing this bid or offer on behalf of Vendor certifies that he or she is authorized by the Vendor to execute this bid or offer or any documents related thereto on Vendor's behalf; that he or she is authorized to bind the Vendor in a contractual relationship; and that, to the best of his or her knowledge, the Vendor has properly registered with any State agency that may require registration.

35. VENDOR RELATIONSHIP: The relationship of the Vendor to the State shall be that of an independent contractor and no principal-agent relationship or employer-employee relationship is contemplated or created by this Contract. The Vendor as an independent contractor is solely liable for the acts and omissions of its employees and agents. Vendor shall be responsible for selecting, supervising, and compensating any and all individuals employed pursuant to the terms of this Solicitation and resulting contract. Neither the Vendor, nor any employees or subcontractors of the Vendor, shall be deemed to be employees of the State for any purpose whatsoever. Vendor shall be exclusively responsible for payment of employees and contractors for all wages and salaries, taxes, withholding payments, penalties, fees, fringe benefits, professional liability insurance premiums, contributions to insurance and pension, or other deferred compensation plans, including but not limited to, Workers' Compensation and Social Security obligations, licensing fees, etc. and the filing of all necessary documents, forms, and returns pertinent to all of the foregoing.

Vendor shall hold harmless the State, and shall provide the State and Agency with a defense against any and all claims including, but not limited to, the foregoing payments, withholdings, contributions, taxes, Social Security taxes, and employer income tax returns.

36. INDEMNIFICATION: The Vendor agrees to indemnify, defend, and hold harmless the State and the Agency, their officers, and employees from and against: (1) Any claims or losses for services rendered by any subcontractor, person, or firm performing or supplying services, materials, or supplies in connection with the performance of the Contract; (2) Any claims or losses resulting to any person or entity injured or damaged by the Vendor, its officers, employees, or subcontractors by the publication, translation, reproduction, delivery, performance, use, or disposition of any data used under the Contract in a manner not authorized by the Contract, or by Federal or State statutes or regulations; and (3) Any failure of the Vendor, its officers, employees, or subcontractors to observe State and Federal laws including, but not limited to, labor and wage and hour laws.

37. PURCHASING AFFIDAVIT: In accordance with West Virginia Code §§ 5A-3-10a and 5-22-1(i), the State is prohibited from awarding a contract to any bidder that owes a debt to the State or a political subdivision of the State, Vendors are required to sign, notarize, and submit the Purchasing Affidavit to the Purchasing Division affirming under oath that it is not in default on any monetary obligation owed to the state or a political subdivision of the state.

38. CONFLICT OF INTEREST: Vendor, its officers or members or employees, shall not presently have or acquire an interest, direct or indirect, which would conflict with or compromise the performance of its obligations hereunder. Vendor shall periodically inquire of its officers, members and employees to ensure that a conflict of interest does not arise. Any conflict of interest discovered shall be promptly presented in detail to the Agency.

39. REPORTS: Vendor shall provide the Agency and/or the Purchasing Division with the following reports identified by a checked box below:

☒ Such reports as the Agency and/or the Purchasing Division may request. Requested reports may include, but are not limited to, quantities purchased, agencies utilizing the contract, total contract expenditures by agency, etc.

☐ Quarterly reports detailing the total quantity of purchases in units and dollars, along with a listing of purchases by agency. Quarterly reports should be delivered to the Purchasing Division via email at purchasing.division@wv.gov.

40. BACKGROUND CHECK: In accordance with W. Va. Code § 15-2D-3, the State reserves the right to prohibit a service provider's employees from accessing sensitive or critical information or to be present at the Capitol complex based upon results addressed from a criminal background check. Service providers should contact the West Virginia Division of Protective Services by phone at (304) 558-9911 for more information.

41. PREFERENCE FOR USE OF DOMESTIC STEEL PRODUCTS: Except when authorized by the Director of the Purchasing Division pursuant to W. Va. Code § 5A-3-56, no contractor may use or supply steel products for a State Contract Project other than those steel products made in the United States. A contractor who uses steel products in violation of this section may be subject to civil penalties pursuant to W. Va. Code § 5A-3-56. As used in this section:

- a. "State Contract Project" means any erection or construction of, or any addition to, alteration of or other improvement to any building or structure, including, but not limited to, roads or highways, or the installation of any heating or cooling or ventilating plants or other equipment, or the supply of and materials for such projects, pursuant to a contract with the State of West Virginia for which bids were solicited on or after June 6, 2001.
- b. "Steel Products" means products rolled, formed, shaped, drawn, extruded, forged, cast, fabricated or otherwise similarly processed, or processed by a combination of two or more or such operations, from steel made by the open hearth, basic oxygen, electric furnace, Bessemer or other steel making process.
- c. The Purchasing Division Director may, in writing, authorize the use of foreign steel products if:

1. The cost for each contract item used does not exceed one tenth of one percent (.1%) of the total contract cost or two thousand five hundred dollars (\$2,500.00), whichever is greater. For the purposes of this section, the cost is the value of the steel product as delivered to the project; or
2. The Director of the Purchasing Division determines that specified steel materials are not produced in the United States in sufficient quantity or otherwise are not reasonably available to meet contract requirements.

42. PREFERENCE FOR USE OF DOMESTIC ALUMINUM, GLASS, AND STEEL: In Accordance with W. Va. Code § 5-19-1 et seq., and W. Va. CSR § 148-10-1 et seq., for every contract or subcontract, subject to the limitations contained herein, for the construction, reconstruction, alteration, repair, improvement or maintenance of public works or for the purchase of any item of machinery or equipment to be used at sites of public works, only domestic aluminum, glass or steel products shall be supplied unless the spending officer determines, in writing, after the receipt of offers or bids, (1) that the cost of domestic aluminum, glass or steel products is unreasonable or inconsistent with the public interest of the State of West Virginia, (2) that domestic aluminum, glass or steel products are not produced in sufficient quantities to meet the contract requirements, or (3) the available domestic aluminum, glass, or steel do not meet the contract specifications. This provision only applies to public works contracts awarded in an amount more than fifty thousand dollars (\$50,000) or public works contracts that require more than ten thousand pounds of steel products.

The cost of domestic aluminum, glass, or steel products may be unreasonable if the cost is more than twenty percent (20%) of the bid or offered price for foreign made aluminum, glass, or steel products. If the domestic aluminum, glass or steel products to be supplied or produced in a "substantial labor surplus area", as defined by the United States Department of Labor, the cost of domestic aluminum, glass, or steel products may be unreasonable if the cost is more than thirty percent (30%) of the bid or offered price for foreign made aluminum, glass, or steel products. This preference shall be applied to an item of machinery or equipment, as indicated above, when the item is a single unit of equipment or machinery manufactured primarily of aluminum, glass or steel, is part of a public works contract and has the sole purpose or of being a permanent part of a single public works project. This provision does not apply to equipment or machinery purchased by a spending unit for use by that spending unit and not as part of a single public works project.

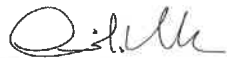
All bids and offers including domestic aluminum, glass or steel products that exceed bid or offer prices including foreign aluminum, glass or steel products after application of the preferences provided in this provision may be reduced to a price equal to or lower than the lowest bid or offer price for foreign aluminum, glass or steel products plus the applicable preference. If the reduced bid or offer prices are made in writing and supersede the prior bid or offer prices, all bids or offers, including the reduced bid or offer prices, will be reevaluated in accordance with this rule.

43. INTERESTED PARTY SUPPLEMENTAL DISCLOSURE: W. Va. Code § 6D-1-2 requires that for contracts with an actual or estimated value of at least \$1 million, the vendor must submit to the Agency a supplemental disclosure of interested parties reflecting any new or differing interested parties to the contract, which were not included in the original pre-award interested party disclosure, within 30 days following the completion or termination of the contract. A copy of that form is included with this solicitation or can be obtained from the WV Ethics Commission. This requirement does not apply to publicly traded companies listed on a national or international stock exchange. A more detailed definition of interested parties can be obtained from the form referenced above.

44. PROHIBITION AGAINST USED OR REFURBISHED: Unless expressly permitted in the solicitation published by the State, Vendor must provide new, unused commodities, and is prohibited from supplying used or refurbished commodities, in fulfilling its responsibilities under this Contract.

45. VOID CONTRACT CLAUSES – This Contract is subject to the provisions of West Virginia Code § 5A-3-62, which automatically voids certain contract clauses that violate State law.

DESIGNATED CONTACT: Vendor appoints the individual identified in this Section as the Contract Administrator and the initial point of contact for matters relating to this Contract.



| Vice President

(Name, Title)

Daniel Hauber, WSO-CSE, TSSP, PMP | Vice President

(Printed Name and Title)

1608 Walnut Street, Suite 1602, Philadelphia, PA 19103

(Address)

P: (215) 279-6811 | F: (215) 279-6812

(Phone Number) / (Fax Number)

daniel.hauber@traonline.com

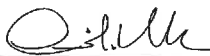
(email address)

CERTIFICATION AND SIGNATURE: By signing below, or submitting documentation through wvOASIS, I certify that: I have reviewed this Solicitation in its entirety; that I understand the requirements, terms and conditions, and other information contained herein; that this bid, offer or proposal constitutes an offer to the State that cannot be unilaterally withdrawn; that the product or service proposed meets the mandatory requirements contained in the Solicitation for that product or service, unless otherwise stated herein; that the Vendor accepts the terms and conditions contained in the Solicitation, unless otherwise stated herein; that I am submitting this bid, offer or proposal for review and consideration; that I am authorized by the vendor to execute and submit this bid, offer, or proposal, or any documents related thereto on vendor's behalf; that I am authorized to bind the vendor in a contractual relationship; and that to the best of my knowledge, the vendor has properly registered with any State agency that may require registration.

By signing below, I further certify that I understand this Contract is subject to the provisions of West Virginia Code § 5A-3-62, which automatically voids certain contract clauses that violate State law.

Transportation Resource Associates, Inc.

(Company)



| Daniel Hauber, WSO-CSE, TSSP, PMP | Vice President

(Authorized Signature) (Representative Name, Title)

Daniel Hauber, WSO-CSE, TSSP, PMP | Vice President

(Printed Name and Title of Authorized Representative)

September 30, 2021

(Date)

P: (215) 279-6811 | F: (215) 279-6812

(Phone Number) (Fax Number)

ADDENDUM ACKNOWLEDGEMENT FORM
SOLICITATION NO.: CRFP PTR2200000001

Instructions: Please acknowledge receipt of all addenda issued with this solicitation by completing this addendum acknowledgment form. Check the box next to each addendum received and sign below. Failure to acknowledge addenda may result in bid disqualification.

Acknowledgment: I hereby acknowledge receipt of the following addenda and have made the necessary revisions to my proposal, plans and/or specification, etc.

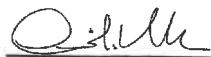
Addendum Numbers Received:
(Check the box next to each addendum received)

- | | |
|--|--|
| <input checked="" type="checkbox"/> Addendum No. 1 | <input type="checkbox"/> Addendum No. 6 |
| <input type="checkbox"/> Addendum No. 2 | <input type="checkbox"/> Addendum No. 7 |
| <input type="checkbox"/> Addendum No. 3 | <input type="checkbox"/> Addendum No. 8 |
| <input type="checkbox"/> Addendum No. 4 | <input type="checkbox"/> Addendum No. 9 |
| <input type="checkbox"/> Addendum No. 5 | <input type="checkbox"/> Addendum No. 10 |

I understand that failure to confirm the receipt of addenda may be cause for rejection of this bid. I further understand that any verbal representation made or assumed to be made during any oral discussion held between Vendor's representatives and any state personnel is not binding. Only the information issued in writing and added to the specifications by an official addendum is binding.

Transportation Resource Associates, Inc.

Company



Authorized Signature

September 30, 2021

Date

NOTE: This addendum acknowledgement should be submitted with the bid to expedite document processing.

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SECTION 4: PROJECT SPECIFICATIONS

- 4.1 Background and Current Operating Environment:** The WVDPT located at 1900 Kanawha Blvd East, building 5, Room 663, Charleston WV 25305, is currently designated by FTA as the State Safety and Security Oversight Agency (SSOA) of RFGPTS and maintains the mandated State Safety Oversight Program (SSOP) in compliance with FTA guidelines and 49 CFR, Part 674 (i.e., the “FTA Rule”). WVDPT is requesting proposals to assist the State of West Virginia with maintaining compliance with all matters relating to the SSOP.

The SSOP requires the continuous maintenance and updating of the WV SSPS - System Safety Program Standard (the “Standard” or Oversight Plan) which is the foundational document for the program and subsequent compliance.

The Personal Rapid Transit (PRT), operated by WVU in Morgantown, WV, is the only RFGPTS in WVDPT’s jurisdiction at this time. This system is under the jurisdiction of the Federal Transit Administration (FTA) and is mandated to adhere to SSOP.

The WVDPT is issuing a Request for Proposal (RFP) with the objective of retaining a consultant to provide WVDPT with the technical assistance and additional personnel to ensure compliance with FTA for the life of the proposed contract.

Work products may include, but are not limited to: site inspections, procedural audits, technical assistance to WVU (subject to approval by WVDPT) and WVDPT, accident investigations, and providing required information and/or documentation to the FTA and West Virginia State Government.

- 4.2 Project Goals and Mandatory Requirements:** Maintenance of a System Safety Program Standard (SSPS) for WVDPT and a Agency Safety Plan (ASP) or WVU PRT.

Vendor should describe its approach and methodology to providing the service or solving the problem described by meet the goals/objectives identified below. It is Agency’s desire to meet or exceed the project goals. Vendor’s response should include any information about how the proposed approach is superior or inferior to other possible approaches.

- 4.2.1 Goals and Objectives –** The project goals and objectives are listed below.

4.2.1.1 The Vendor should demonstrate expertise in conducting audits, investigations, standard/plan development, reviews, studies, and analysis. The Vendor should also be familiar with the submitting of general, rail fixed guideway public transportation system, and State Safety Oversight Agency documentation and/or checklists to the Federal Transit Administration.

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4.2.1.2 This documentation should be regularly reviewed and be edited to reflect changes within the organization, reassignment of organizational responsibilities, changes in operating conditions or physical facilities, audit report results, on-site inspections, changing trends in accident or security data, or other reasons. This administrative evolution shall provide compliance with the requirements of FTA planning mandates and provide direction and methodologies for compliance under the other provisions of MAP-21 (site inspections, levels of WVU/WVDPT alerts/responses, etc.)

4.2.1.3 Investigation of Accidents and Unacceptable Hazardous Conditions

4.2.1.3.1 The successful Vendor shall assist the WVDPT in coordinating with the PRT to continuously review safety, incident, and accident records to monitor accident and hazard notification thresholds that address key areas of concern.

4.2.1.3.2 The successful Vendor will conduct and/or assist the WVDPT in the investigation of accidents and hazardous conditions that occur or exist at PRT rail facilities.

4.2.1.3.3 The successful Vendor will be required to respond to such on demand services as outlined.: Receive and review accident reports and gather any data and information necessary to analyze any reported accident (i.e., investigate) and provide a briefing to the WVDPT in accordance with the accident reporting procedures established in the Standard: Activities may include, but are not limited to the following:

4.2.1.3.3.1 Accidents: Receive and review accident reports and gather any data and information necessary to analyze any reported accident (i.e., investigate) and provide a briefing to the WVDPT in accordance with the accident reporting procedures established in the Standard:

4.2.1.3.3.1.1 Monitor and review accident investigation activities conducted by PRT.

4.2.1.3.3.1.2 Conduct actual on-site accident investigation activities [i.e., perform physical inspections, review relevant data and records, interview individual(s) involved in or witnesses to the accident, etc.].

4.2.1.3.3.1.3 Participate as a member of an NTSB subgroup or as a technical advisor in the event of an NTSB investigation.

4.2.1.3.3.1.4 Prepare both interim accident investigation status reports and final accident investigation reports.

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4.2.1.3.3.1.5 Work with the PRT to develop and adopt accident and hazard investigation procedures

4.2.1.3.3.1.6 Provide additional assistance as directed by the WVDPT, to fulfill accident investigation requirements outlined in the Standard.

**Assume 15 days of accident support annually for proposal purposes.*

4.2.1.3.3.2 Unacceptable Hazardous Conditions: Maintain, with WVDPT's assistance, a Hazard Management Program to ensure the PRT identifies, analyzes, mitigates, and tracks hazards before they lead to an event. Provide additional assistance, as directed by the WVDPT, to fulfill the investigation requirements for real or potentially hazardous conditions, as outlined in the Standard. Receive and review reports of unacceptable hazardous conditions, gather data and information necessary to analyze any reported conditions and provide briefings to the WVDPT, according to the procedures established in the WVDPT Standard for reporting unacceptable hazardous conditions:

4.2.1.3.3.2.1 Monitor and review unacceptable hazardous condition investigation activities conducted by PRT and identify any recurring trends.

4.2.1.3.3.2.2 Conduct actual on-site unacceptable hazardous condition investigation activities [i.e., perform physical inspections, review relevant data and records, interview individual(s) responsible for reporting unacceptable hazardous conditions, etc.]

4.2.1.3.3.2.3 Prepare both interim investigation status reports and final unacceptable hazardous conditions investigation report.

4.2.1.3.3.2.4 Provide additional assistance as directed by the PRT, to fulfill the unacceptable hazardous conditions requirements in the Standard.

** Assume 40 days of Hazardous Conditions support annually, for proposal purposes.*

4.2.1.3.4 Within 24 hours of being notified by the WVDPT State Safety Oversight Manager (or his/her designee) to proceed with either an on-site investigation of an accident or unacceptable hazardous condition, the successful Vendor must provide the WVDPT the necessary personnel and resources for the investigation.

4.2.1.3.5 As stated, within 24 hours or less of notification of the need of the Vendor's services, unless otherwise specified by the WVDPT SSO Manager (or his/her designee), the successful Vendor would be expected to be on scene conducting or assisting in the investigation. Waivers to these time requirements for "on-demand" service will be

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considered by the WVDPT on a case-by-case basis depending on the nature of the accident or unacceptable hazardous condition or weather conditions, travel constraints, etc. Consideration will be given if the proposed waiver provides significant economic savings. If agreement cannot be reached on the provision of these on-call services, the WVDPT reserves the right, at its sole discretion, to secure other Vendor assistance, as necessary.

4.2.1.3.6 Corrective Action Plans: The FTA Rule requires transit agencies to prepare and submit Corrective Action Plans (CAP) to minimize, control, correct, or eliminate any safety deficiencies or unacceptable hazardous conditions which contribute to or cause an accident. During its review of accidents and unacceptable hazardous conditions, the successful Vendor would be responsible for recommending approval of, and monitoring the implementation of, the recommended corrective actions submitted by the PRT. The WVDPT's procedures for accident investigations, unacceptable hazardous condition investigations and corrective actions are described in the Standard.

4.2.1.3.6.1 Additionally, in fulfilling the requirements for investigating accidents and unacceptable hazardous conditions and monitoring corrective actions, the successful Vendor will be required to meet jointly with the WVDPT and PRT at offices to be designated to review any open investigations, corrective action activities, other open or unresolved issues and any additional assistance as directed by the WVDPT to fulfill the requirement in the Standard.

4.2.1.3.7 Capital Project Safety Oversight: Serve as the lead role in assisting and monitoring the WVU Safety and Security Certification Plan (SSCP) for all major capital projects. Activities may include, but not limited to:

4.2.1.3.7.1 Review of PRT drawings, specifications regarding modifications or extensions to the system.

4.2.1.3.7.2 Inspect PTR Facilities & Systems during construction and/or installation.

4.2.1.3.7.3 During construction, attend project review & problem resolution meetings at PRT.

4.2.1.3.7.4 Observe Safety related testing during start-up of new extensions, facilities and new equipment.

4.2.1.3.7.5 Review records of all kinds during all phases from system design and construction through operations and maintenance.

** For proposal purposes, assume 20 days of Corrective Action Plan support*

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4.2.1.3.8 Oversight Activities: The successful Vendor will provide general support for maintenance of the program, including, but not limited to:

4.2.1.3.8.1 Responding to inquiries referred by WVDPT about the program.

4.2.1.3.8.2 Evaluating, reviewing and commenting upon, as requested, technical documents from WVU, as well as other external agencies and stakeholders.

4.2.1.3.8.3 Meeting with WVDPT and WVU on an established on-site meeting schedule, as directed by the WVDPT and FTA. The Vendor shall be available for conference calls in lieu of on-site meetings or to address other matters.

4.2.1.3.8.4 Preparing briefing materials, publications, and reports.

4.2.1.3.8.5 Assist the WVDPT in conducting announced and unannounced safety inspections of the PRT each year. The successful Vendor shall prepare the results and follow-up items after each review by the WVDPT. The successful Vendor shall assist WVU, if requested, with technical assistance in addressing any findings resulting from the inspections.

** The Vendor should, for purpose of this contract, assume six (6) such inspections in a calendar year.*

4.2.1.3.8.6 Analyzing accident and incident data, assessing hazards and conducting trend analysis as directed by the WVDPT.

4.2.1.3.8.7 Providing technical expertise and programmatic support to significant WVDPT accident/incident investigations, on an on-call basis.

4.2.1.3.8.8 Administrative support (i.e. preparation of communication materials, correspondence, meeting minutes, databases, etc.)

4.2.1.3.8.9 The Vendor shall assist the WVDPT with development and maintenance of an annual calendar of upcoming events listing critical dates for report preparation, reporting due dates, scheduled on-sites reviews, meetings, trainings, and other items with a set due date.

4.2.1.3.9 Reporting Requirements: The WVDPT must submit to FTA an Annual Report, on a calendar year basis, and status reports upon request. The Annual Report is due before March 15 each year. The report summarizes the WVDPT's oversight and investigation activities for the preceding year.

4.2.1.3.9.1 Periodic status reports on accidents, hazardous conditions and corrective action plans must be submitted to FTA upon request. The successful Vendor will

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prepare and assist with the development of these reports, as directed by the WVDPT, in the format required by FTA.

4.2.1.3.9.2 The successful Vendor shall assist in the completion of any additional required FTA reports.

** Assume two such status reports per year, for proposal purposes.*

4.2.1.3.10 WVDPT Triennial On-Site Safety & Security Review of PRT, including a Final Report of Findings & Recommendations: WVDPT must, at least once every three (3) years, conduct an on-site review of the PRT's implementation of its safety and security plans. The main objective of the triennial review is to ensure that the PRT remains in compliance with the WVDPT's System Safety Program Standard (SSPS) – by execution of the PRT PTASP in their daily operations, their maintenance practices, and safety and security measures. It is the Agency's expectation that the vendor will conduct the triennial review using previously developed and approved checklists and procedures. A draft report by the Vendor will be submitted to WVDPT for review and approval before the Final Report is issued.

4.2.1.3.11 PRT FTA Audits: The Vendor shall assist the WVDPT in responding to any FTA audits of the WVU PRT system ensuring that the responses or periodic updates are submitted to FTA within the established deadlines and that they address all FTA recommendation/findings or periodic updates are submitted to FTA within the established deadlines and that they address all FTA recommendation/findings generated through the audit process.

4.2.1.3.12 General Administration: The Vendor Shall assist the WVDPT in completing the necessary program documentation and submitting it to the FTA for programmatic approval.

4.2.1.3.12.1 The Vendor will provide all products in a format that can be used to either post the documents or report on the website or be compatible with the WVDPT's current format for printing. Reports or information contained therein shall not be released to any other party, unless authorized by the WVDPT.

4.2.1.3.12.2 During the final year of the contract the Vendor shall prepare transition knowledge should a new Vendor be selected. The Vendor would be responsible for providing a maximum ninety (90) day knowledge transfer and transition to the new Vendor.

4.2.2 Qualifications and Experience Information: Vendor should provide information and documentation regarding its qualifications and experience in providing services or solving problems similar to those requested in this RFP. Information and documentation should include, but is not limited to, copies of any staff certifications or degrees applicable to this project, proposed staffing

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plans, descriptions of past projects completed (descriptions should include the location of the project, project manager name and contact information, type of project, and what the project goals and objectives were and how they were met.), references for prior projects, and any other information that vendor deems relevant to the items identified as desirable.

4.2.3 The successful Vendor should demonstrate a thorough understanding and experience in the FTA Final Rule (March 16, 2016) and the respective roles and responsibilities of all parties. Under the direction of the WV/WVDPT (SSOA), the successful Vendor will be responsible for oversight activities, investigation of accidents, unacceptable hazardous conditions, audit/safety investigations and preparation of reports/documentation for FTA and other relevant federal agencies.

4.2.4 The Vendor should demonstrate expertise in conducting audits, investigations, standard/plan development, reviews, studies, and analysis. The Vendor should also be familiar with the submitting of general, rail fixed guideway public transportation system, and State Safety Oversight Agency documentation and/or checklists to the Federal Transit Administration

4.2.5 Mandatory Qualifications Requirements – The following mandatory requirements relate to the goals and objectives and must be met or exceeded by the Vendor as a part of its submitted proposal. Vendor should describe how it will comply with the mandatory requirements and include any areas where its proposed solution exceeds the mandatory requirement. Failure to comply with mandatory requirements will lead to disqualification, but the approach/methodology that the vendor uses to comply, and areas where the mandatory requirements are exceeded, will be included in technical scores where appropriate. The mandatory project requirements are listed below.

4.2.5.1 Vendor must have a demonstrable history of being under contract to a state government agency to provide 49 CFR Part 674 Administration compliant planning, inspection, and investigation services for Rail Fixed Guideway Public Transit Systems in accordance with MAP 21 and FAST Act legislation.

4.2.5.1.1 A general description of a minimum of three (3), such contracts must be Included for evaluation and must show how such contracts supports the Vendor's abilities in rail state safety oversight. For each such contract, the Proposer must provide the name and telephone number of a contact person for the referenced contract party. Beginning and ending dates must also be given for each contract. shall provide planning, compliance, and monitoring services for the DOTD's

4.2.5.1.2 The Vendor must be fluent in completing and submitting Federal Transit Administration required documentation including, but not limited to mandated reports and audits. The vendor should demonstrate how they accomplish this.

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4.2.5.2 Vendor must have the capability to respond to emergency situations in Morgantown, West Virginia within twenty-four (24) hours of receiving an alert of emergency conditions as well as being present for all meetings, demonstrations etc. as determined by the contractor.

4.2.5.3 Vendor must have a demonstrable history of successful interaction with the Federal Transit Administration concerning 49 CFR Part 674.

4.2.5.4 Vendor must maintain adequate and qualified staffing to fulfill work elements within the RFP in a timely manner. Vendor staffing should include qualified personnel that understand the following systems, policies, and procedures:

4.2.5.4.1 Characteristics of the Safety Management Systems Approach (SMS)

4.2.5.4.2 Hazard Management practices and procedures

4.2.5.4.3 Transit rail investigative practices and procedures

4.2.5.4.4 Rail fixed guideway transportation system operations and Infrastructure

4.2.5.4.5 Preparation and writing of professional detailed plans and reports, communication of complex ideas and information clearly and concisely, analyzation and organize technical data, and the ability to plan, coordinate, and handle multiple tasks to meet short and long term deadlines.

4.2.5.4.6 Communication both written and oral, and customer service skills both internal and external.

4.3 Oral Presentations (Agency Option): The WVDPT has the option of requiring oral presentations of all Vendors participating in the RFP process. If this option is exercised, points will be allocated in Section 6.2 below at the time the RFP is issued, or via addendum prior to technical bid opening. During oral presentations, Vendors may not alter or add to their submitted proposal, but only clarify information. A description of the materials and information to be presented is provided below:

Materials and Information Requested at Oral Presentation:

4.4.1. Vendors should provide information regarding their firms experience in completing similar projects; staffing plan; descriptions of past projects completed entailing the location of the project; type of project, and what the project goals and objectives were.

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4.4.1.1 Selected firms should be prepared to conduct an approximately thirty-minute interview question-and-answer session, with the Division of Public Transit, with allowance to the firm for the first quarter hour to make a presentation.

SECTION 5: VENDOR PROPOSAL

- 5.1. Economy of Preparation:** Proposals should be prepared simply and economically providing a concise description of the items requested in Section 4. Emphasis should be placed on completeness and clarity of the content.
- 5.2. Incurring Cost:** Neither the State nor any of its employees or officers shall be held liable for any expenses incurred by any Vendor responding to this RFP, including but not limited to preparation, delivery, or travel.
- 5.3. Proposal Format:** Vendors should provide responses in the format listed below:
 - 5.3.1. Two-Part Submission:** Vendors must submit proposals in two distinct parts: technical and cost. Technical proposals must not contain any cost information relating to the project. Cost proposal must contain all cost information and must be sealed in a **separate** envelope from the technical proposal to facilitate a secondary cost proposal opening.
 - 5.3.2. Title Page:** State the RFP subject, number, Vendor's name, business address, telephone number, fax number, name of contact person, e-mail address, and Vendor signature and date.
 - 5.3.3. Table of Contents:** Clearly identify the material by section and page number.
 - 5.3.4. Response Reference:** Vendor's response should clearly reference how the information provided applies to the RFP request. For example, listing the RFP number and restating the RFP request as a header in the proposal would be considered a clear reference.

Proposal Submission: All proposals (both technical and cost) must be submitted to the Purchasing Division **prior** to the date and time listed in Section 2, Instructions to Vendors Submitting Bids as the bid opening date and time.

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SECTION 6: EVALUATION AND AWARD

- 6.1. Evaluation Process:** Proposals will be evaluated in two parts by a committee of three (3) or more individuals. The first evaluation will be of the technical proposal and the second is an evaluation of the cost proposal. The Vendor who demonstrates that it meets all of the mandatory specifications required, attains the minimum acceptable score and attains the highest overall point score of all Vendors shall be awarded the contract.
- 6.2. Evaluation Criteria:** Proposals will be evaluated based on criteria set forth in the solicitation and information contained in the proposals submitted in response to the solicitation. The technical evaluation will be based upon the point allocations designated below for a total of 70 of the 100 points. Cost represents 30 of the 100 total points.

Evaluation Point Allocation:

Project Goals and Proposed Approach (§ 4.2)

- Approach & Methodology to Goals/Objectives (§ 4.2.1) (15) Points Possible
- Approach & Methodology to Compliance with
Mandatory Project Requirements (§ 4.2.2) (15) Points Possible

Qualifications and experience (§ 4.3)

- Qualifications and Experience Generally (§ 4.3.1) (15) Points Possible
- Exceeding Mandatory Qualification/Experience
Requirements (§ 4.3.2) (15) Points Possible

(Oral interview, if applicable) (§ 4.4) (10) Points Possible

Total Technical Score: 70 Points Possible

Total Cost Score: 30 Points Possible

Total Proposal Score: 100 Points Possible

- 6.3. Technical Bid Opening:** At the technical bid opening, the Purchasing Division will open and announce the technical proposals received prior to the bid opening deadline. Once opened, the technical proposals will be provided to the Agency evaluation committee for technical evaluation.

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6.4. Technical Evaluation: The Agency evaluation committee will review the technical proposals, assign points where appropriate, and make a final written recommendation to the Purchasing Division.

6.5. Proposal Disqualification:

6.5.1. Minimum Acceptable Score (“MAS”): Vendors must score a minimum of 70% (49 points) of the total technical points possible in order to move past the technical evaluation and have their cost proposal evaluated. All vendor proposals not attaining the MAS will be disqualified.

6.5.2. Failure to Meet Mandatory Requirement: Vendors must meet or exceed all mandatory requirements in order to move past the technical evaluation and have their cost proposals evaluated. Proposals failing to meet one or more mandatory requirements of the RFP will be disqualified.

6.6. Cost Bid Opening: The Purchasing Division will schedule a date and time to publicly open and announce cost proposals after technical evaluation has been completed and the Purchasing Division has approved the technical recommendation of the evaluation committee. All cost bids received will be opened. Cost bids for disqualified proposals will be opened for record keeping purposes only and will not be evaluated or considered. Once opened, the cost proposals will be provided to the Agency evaluation committee for cost evaluation.

The Purchasing Division reserves the right to disqualify a proposal based upon deficiencies in the technical proposal even after the cost evaluation.

6.7. Cost Evaluation: The Agency evaluation committee will review the cost proposals, assign points in accordance with the cost evaluation formula contained herein and make a final recommendation to the Purchasing Division.

Cost Evaluation Formula: Each cost proposal will have points assigned using the following formula for all Vendors not disqualified during the technical evaluation. The lowest cost of all proposals is divided by the cost of the proposal being evaluated to generate a cost score percentage. That percentage is then multiplied by the points attributable to the cost proposal to determine the number of points allocated to the cost proposal being evaluated.

Step 1: $\text{Lowest Cost of All Proposals} / \text{Cost of Proposal Being Evaluated} = \text{Cost Score Percentage}$

Step 2: $\text{Cost Score Percentage} \times \text{Points Allocated to Cost Proposal} = \text{Total Cost Score}$

Example:

Proposal 1 Cost is \$1,000,000

Proposal 2 Cost is \$1,100,000

Points Allocated to Cost Proposal is 30

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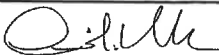
Proposal 1: Step 1 – $\$1,000,000 / \$1,000,000 = \text{Cost Score Percentage of } 1 (100\%)$
Step 2 – $1 \times 30 = \text{Total Cost Score of } 30$

Proposal 2: Step 1 – $\$1,000,000 / \$1,100,000 = \text{Cost Score Percentage of } 0.909091 (90.9091\%)$
Step 2 – $0.909091 \times 30 = \text{Total Cost Score of } 27.27273$

- 6.8. Availability of Information:** Proposal submissions become public and are available for review immediately after opening pursuant to West Virginia Code §5A-3-11(h). All other information associated with the RFP, including but not limited to, technical scores and reasons for disqualification, will not be available until after the contract has been awarded pursuant to West Virginia Code of State Rules §148-1-6.3.d.

By signing below, I certify that I have reviewed this Request for Proposal in its entirety; understand the requirements, terms and conditions, and other information contained herein; that I am submitting this proposal for review and consideration; that I am authorized by the bidder to execute this bid or any documents related thereto on bidder's behalf; that I am authorized to bind the bidder in a contractual relationship; and that, to the best of my knowledge, the bidder has properly registered with any State agency that may require registration.

Transportation Resource Associates, Inc.

(Company) 

Daniel Hauber, WSO-CSE, TSSP, PMP | Vice President
(Representative Name, Title)

P: (215) 279-6811 | F: (215) 279-6812
(Contact Phone/Fax Number)

September 30, 2021
(Date)

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Section 7: Federal Required Clauses:

7.1 Federal Transit Administration (FTA) Terms and Conditions and Certifications:

Current FTA Terms and Conditions are included in this specification and must be met. Certifications for Debarred Bidders and Restrictions on Lobbying are provided on **Bid Forms 1 and 2**. **All bid forms provided shall be properly completed and furnished by the Vendor as part of the bid. Failure to submit any of these forms shall disqualify the bid.**

7.2 No Federal Government Obligations to Third Parties:

(1) The WV Division of Public Transit and Vendor 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 WV Division of Public Transit, Vendor, or any other party (whether or not a party to that contract) pertaining to any matter resulting from the underlying contract.

(2) The Vendor agrees to include the above clause in each subcontract financed in whole or in part with Federal assistance provided by the Federal Transit Administration. It is further agreed that the clause shall not be modified, except to identify the subcontractor who will be subject to its provisions.

7.3 Program Fraud and False or Fraudulent Statements or Related Acts:

(1) The Vendor 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. DOT 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 Vendor 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 (FTA) assisted project for which this contract work is being performed. In addition to other penalties that may be applicable, the Vendor further acknowledges that if it makes, or causes to be made, a false, fictitious, or fraudulent claim, statement, submission, or certification, the Federal Government reserves the right to impose the penalties of the Program Fraud Civil Remedies Act of 1986 on the Vendor to the extent the Federal Government deems appropriate.

(2) The Vendor also acknowledges that if it makes, or causes to be made, a false, fictitious, or fraudulent claim, statement, submission, or certification to the Federal Government under a contract connected with a project that is financed in whole or in part with Federal assistance originally awarded by FTA under the authority of 49 U.S.C. § 5307, the Government reserves

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the right to impose the penalties of 18 U.S.C. § 1001 and 49 U.S.C. § 5307(n)(1) on the Vendor, to the extent the Federal Government deems appropriate.

(3) The Vendor 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.

7.4 Exclusionary or Discriminatory Specifications: The Vendor agrees that it will comply with the requirements of 49 U.S.C. § 5325(h) by refraining from using any Federal assistance awarded by the WV Division of Public Transit to support procurements using exclusionary or discriminatory specifications.

7.5 Access to Records, Audit and Inspection: The Vendor must permit the WV Division of Public Transit, the Secretary of the United States Department of Transportation and the Comptroller General of the United States, or their authorized representatives, to inspect all Contract work, materials, payrolls, and other data and records with regard to the Contract. The Vendor must permit an audit of the books, records, and accounts of the Vendor and its subcontractors.

7.6 Disadvantaged Business Enterprise (DBE): The Vendor shall not discriminate on the basis of race, color, national origin, or sex in the performance of this Contract. The requirements of 49 C.F.R. Part 26 and the WV Department of Transportation's (WVDOT) U.S. Department of Transportation (USDOT) approved Disadvantaged Business Enterprise (DBE) Program are incorporated in the Contract by reference. The Vendor agrees to take all necessary and reasonable steps under the requirements of 49 C.F.R. Part 26 and the USDOT approved Disadvantaged Business Enterprise (DBE) Program (where required) to ensure that eligible DBEs have the maximum feasible opportunity to participate in USDOT approved Contracts. Failure by the Vendor to carry out these requirements is a material breach of the Contract, which may result in the termination of this Contract or such other remedy as the WV Division of Public Transit deems appropriate.

7.7 Civil Rights: In connection with the execution of this contract, the following requirements will apply:

A. **Nondiscrimination.** In accordance with Title VI of the Civil Rights Act of 1964, as amended, 42 U.S.C. § 2000d, *et seq.*, Age Discrimination Act of 1975, as amended, 42 U.S.C. § 6101, *et seq.*, Americans with Disabilities Act of 1990, as amended, 42 U.S.C. § 12101, *et seq.*, and Federal transit law at 49 U.S.C. § 5332, as amended, the Vendor agrees that it will not discriminate against any employee or applicant for employment on the basis of race, color, religion, national origin, sex, age or disability. In addition, the Vendor agrees to comply with any other applicable Federal statutes that may be signed into law or regulations that may be promulgated.

B. **Equal Employment Opportunity.** The following equal employment opportunity requirements apply to the underlying contract:

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1) Race, Color, Religion, National Origin, Sex, Disability, Age, Sexual Orientation, Gender Identity or Status as a Parent. In accordance with Title VI of the Civil Rights Act of 1964, as amended, 42 U.S.C. § 2000e, *et seq.*, and Federal transit laws at 49 U.S.C. § 5332, the Vendor agrees to comply with all applicable equal employment opportunity requirements of the U.S. Department of Labor (US DOL) regulations, “Office of Federal Contract Compliance Programs, Equal Employment Opportunity, Department of Labor,” 41 C.F.R. Parts 60 *et seq.*, (which implement Executive Order Number 11246, “Equal Employment Opportunity”, as amended by Executive Order Number 11375, “Amending Executive Order 11246 Relating to Equal Employment Opportunity,” 42 U.S.C. § 2000e note), and with any applicable Federal statutes, executive orders, regulations, and Federal policies that may in the future affect construction activities undertaken in the course of the Project. The Vendor agrees to take affirmative action to ensure that applicants are employed, and that employees are treated during their employment, without regard to their race, color, religion, national origin, sex, disability, age, sexual orientation, gender identity or status as a parent. 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 or compensation; and selection for training, including apprenticeship. In addition, the Vendor agrees to comply with any implementing requirements FTA may issue.

C. The Vendor 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.

7.8 Energy Conservation: The Vendor agrees to comply with, and obtain the compliance of its subcontractors, with mandatory standards and policies relating to energy efficiency contained in applicable state energy conservation plans issued in compliance with the Energy Policy and Conservation Act, 42 U.S.C. §§ 6321 *et seq.*

7.9 Application of Federal, State and Local Laws and Regulations: To achieve compliance with changing federal, state and local requirements, the Vendor shall note that federal, state and local requirements may change, and the changed requirements will apply to this Contract as required. If said changes affect the tasks or implementation, a formal change order will be issued.

7.10 Prohibited Interest: No employee, officer, board member, agent or their family members of the WV Division of Public Transit may participate in the selection, award, or administration of a Contract supported by Federal funds if a real or apparent conflict of interest is involved. Such a conflict could arise when any of the parties mentioned above have a financial or other interest in the Vendor selected for the Contract.

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5.15 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 provision. All contractual provisions required by DOT, as set forth in FTA Circular 4220.1F, dated November 1, 2008, and 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 Contract. The Vendor shall not perform any act, fail to perform any act, or refuse to comply with any WV Division of Public Transit requests that would cause the WV Division of Public Transit to be in violation of the FTA terms and conditions.

7.11 Debarment and Suspension: Vendor agrees to comply, and assures the compliance of any other participant at any tier of the project, with Executive Orders Nos. 12549 and 12689, "Debarment and Suspension," 31 U.S.C. § 6101 note, and U.S. DOT regulations, "Non-procurement Suspension and Debarment," 2 CFR Part 1200, which adopts and supplements the provisions of U.S. Office of Management and Budget (U.S. OMB) "Guidelines to Agencies on Government-wide Debarment and Suspension (Non-procurement)," 2 CFR Part 180. The vendor agrees to and assures that any other participant at any tier of the project will review the U.S. GSA's Debarment and Suspension information available at <https://www.sam.gov>), before entering into any other arrangement in connection with the project.

The certification in this clause is a material representation of fact relied upon by the WV Division of Public Transit. If it is later determined that the Vendor/bidder knowingly rendered an erroneous certification, in addition to remedies available to the WV Division of Public Transit, the Federal Government may pursue available remedies, including but not limited to suspension and/or debarment. The Vendor/bidder agrees to comply with the requirements of 2 CFR Part 1200, while this offer is valid and throughout the period of any contract that may arise from this offer. The Vendor/bidder further agrees to include a provision requiring such compliance in its lower tier covered transactions. All Vendors shall be required to certify that they are not on the Comptroller General's list of ineligible contractors at bid submission and on **Bid Form #1**.

7.12 Restrictions on Lobbying: Every Vendor who applies or bids for an award of \$100,000 or more shall file the certification at bid submission and on **Bid Form #2** required by 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 the registrant under the Lobbying Disclosure Act of 1995 who has made lobbying contacts on its behalf with non-Federal funds with respect to that Federal contract, grant or award covered by 31 U.S.C. 1352. Such disclosures are forwarded from tier to tier up to the WV Division of Public Transit.

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7.13 Federal Regulation Changes: Vendor 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 FTA Master Agreement (FTA MA (23) dated October 1, 2016) between the WV Department of Transportation, Division of Public Transit and FTA, as they may be amended or promulgated from time to time during the term of this Contract. Vendor's failure to so comply shall constitute a material breach of this contract.

7.14 Electronic and Information Technology: The Vendor agrees to provide any reports or information for distribution to FTA, among others, using electronic or information technology capable of assuring that the reports or information, when provided to FTA, will meet the applicable accessibility standards of Section 508 of the Rehabilitation Act of 1973, as amended, 29 U.S.C. § 794d, and U.S. ATBCB regulations, "Electronic and Information Technology Accessibility Standards," 36 CFR Part 1194.

7.15 Clean Air: The Vendor agrees to comply with all applicable standards, orders or regulations issued pursuant to the Clean Air Act, as amended, 42 U.S.C. § 7414 and other applicable provisions of the Clean Air Act, as amended, 42 U.S.C. §§ 7401 *et seq.* The Vendor agrees to report each violation to the WV Division of Public Transit and understands and agrees that the WV Division of Public Transit will, in turn, report each violation as required to assure notification to FTA and the appropriate EPA Regional Office.

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

7.16 Clean Water: The Vendor agrees to comply with all applicable standards, orders or regulations issued pursuant to Section 508 of the Federal Water Pollution Control Act, as amended, 33 U.S.C. § 1368, and other provisions of the Federal Water Pollution Act, as amended, U.S.C. §§ 1251, *et seq.* The Vendor agrees to report each violation to the WV Division of Public Transit and understands and agrees that the WV Division of Public Transit will, in turn, report each violation as required to assure notification to FTA and the appropriate EPA Regional Office.

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

7.17 Bid Protest Procedures: Vendors have the option of protesting certain decisions made by the Purchasing Division. Please refer to the following link for Vendor Protest Procedures under Section 6.8.

<http://www.state.wv.us/admin/purchase/vrc/vpg/VendorProcurementGuide.pdf>

7.18 Appeals to the Federal Transit Administration: Under the Federal Transit Administration's Circular 4220.1F, the Federal Transit Administration's (FTA's) appeals process for reviewing protests of a recipient's procurement decisions are:

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A. Requirements for the Protester. The protester must:

Qualify as an “Interested Party.” Only an “interested party” qualifies for FTA review of its appeal. An “interested party” is a party that is an actual or prospective bidder or Vendor whose direct economic interest would be affected by the award or failure to award the contract at issue.

1. Subcontractors. A subcontractor does not qualify as an “interested party” because it does not have a direct economic interest in the results of the procurement.
2. Consortia/Joint Ventures/Partnerships/Teams. An established consortium, joint venture, partnership, or team that is an actual bidder or Vendor and is acting in its entirety, would qualify as an “interested party” because it has a direct economic interest in the results of the procurement. An individual member of a consortium, joint venture, partnership, or team, acting solely in its individual capacity, does not qualify as an “interested party” because it does not have a direct economic interest in the results of the procurement.
3. Associations or Organizations. An association or organization that does not perform contracts does not qualify as an “interested party,” because it does not have a direct economic interest in the results of the procurement.
 - a) Exhaust Administrative Remedies. The protester must exhaust its administrative remedies by pursuing the WV Division of Public Transit’s protest procedures to completion before appealing the WV Division of Public Transit’s decision to FTA.
 - b) Appeal Within Five Days. The protester must deliver its appeal to the FTA Regional Administrator, Region III, 1760 Market Street, Suite 500, Philadelphia, PA 19103-4124 within five (5) working days of the date when the protester has received actual or constructive notice of the WV Division of Public Transit’s final decision. Likewise, the protester must provide its appeal to the same address within five (5) working days of the date when the protester has identified other grounds for appeal to FTA. For example, other grounds for appeal include the WV Division of Public Transit’s failure to have or failure to comply with its protest procedures or failure to review the protest.

B. Extent of FTA Review. FTA limits its review of protests to:

- a) Failure of the Division of Public Transit to have or adhere to its written bid protest procedures, or failure of the Division of Public Transit to review a complaint or protest.

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- b) Alleged violations on other grounds are under the jurisdiction of the appropriate State or local administrative authorities.
- c) Alleged violations of a specific Federal Law or regulation that provides an applicable complaint procedure shall be submitted and processed in accordance with that Federal Law or regulation. See, e.g., Buy America Requirements, 49 C.F.R. Part 661 (Section 661.15); Participation by Minority Business Enterprise in Department of Transportation Programs, 49 C.F.R. Section 26.89.

FTA will exercise discretionary jurisdiction over those appeals involving issues important to FTA's overall public transportation program. FTA will refer violations of Federal law for which it does not have primary jurisdiction to the Federal authority having proper jurisdiction.

- C. FTA Determinations to Decline Protest Reviews. FTA's determination to decline jurisdiction over a protest does not mean that FTA approves of or agrees with the Division of Public Transit's decision or that FTA has determined the contract is eligible for Federal participation. FTA's determination means only that FTA does not consider the issues presented to be sufficiently important to FTA's overall program that FTA considers a review to be required.

7.19 § 674.41 Conflicts of interest

- (a) An SSOA must be financially and legally independent from any rail fixed guideway public transportation system under the oversight of the SSOA, unless the Administrator has issued a waiver of this requirement in accordance with § 674.13(b).
- (b) An SSOA may not employ any individual who provides services to a rail fixed guideway public transportation system under the oversight of the SSOA, unless the Administrator has issued a waiver of this requirement in accordance with § 674.13(b).
- (c) A contractor may not provide services to both an SSOA and a rail fixed guideway public transportation system under the oversight of that SSOA, unless the Administrator has issued a waiver of this prohibition.

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Bid Form #1

**CERTIFICATION OF PRIMARY PARTICIPANT REGARDING
DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS**

The Primary Participant (applicant for an FTA grant or cooperative agreement, or potential contractor for a major third-party contract),

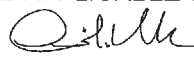
Transportation Resource Associates, Inc. (COMPANY NAME) certifies to the best of its knowledge and belief, that it and its principals:

1. Are not presently debarred, suspended, proposed for debarment, declared ineligible, 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 of records, making false statements, or receiving stolen property.
3. Are not presently indicted for or otherwise criminally or civilly charged by a governmental 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.

If the primary participant (applicant for an FTA grant, or cooperative agreement, or potential third party contractor) is unable to certify to any of the statements in this certification, the participant shall attach an explanation to this certification.)

THE PRIMARY PARTICIPANT (APPLICANT FOR AN FTA GRANT OR COOPERATIVE AGREEMENT, OR POTENTIAL CONTRACTOR FOR A MAJOR THIRD-PARTY CONTRACT),

Transportation Resource Associates, Inc., 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.

 | Daniel Hauber, WSO-CSE, TSSP, PMP | Vice President
Signature and Title of Authorized Official

REQUEST FOR PROPOSAL
Division of Public Transit – CRFP PTR2200000001
State Safety Oversight

Bid Form #2

CERTIFICATION OF RESTRICTIONS ON LOBBYING

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

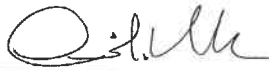
1. No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
2. If any funds other than Federal appropriated funds have been paid or will be paid to any person for making lobbying contacts to an officer or employee of any agency, a Member of Congress, an officer, or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions. [as amended by "Government Wide Guidance for New Restrictions on Lobbying," 61 Fed. Reg. 1413 (1/19/96). Note: Language in paragraph (2) herein has been modified in accordance with Section 10 of the Lobbying Disclosure Act of 1995 (P.L. 104-65, to be codified at 2 U.S.C. 1601, et seq.)]
3. The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering this transaction imposed by 31 U.S.C. § 1352 (as amended by the Lobbying Disclosure Act of 1995). Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure. [Note: Pursuant to 31 U.S.C. § 1352(c)(1)-(2)(A), any person who makes a prohibited expenditure or fails to file or amend a required certification or disclosure form shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such expenditure or failure.]

The Vendor, Transportation Resource Associates, Inc., certifies or affirms the truthfulness and accuracy of each statement of its certification and disclosure, if any. In addition, the Vendor understands and agrees that the provisions of 31 U.S.C. § 3801, et seq., apply to this certification and disclosure, if any.

September 30, 2021

Date



Authorized Signature

Vice President

Title

Technical Proposal

State of West Virginia, Division of Public Transit

State Safety Oversight

CRFP PTR22000000001

09/29/21 10:06:27
WV Purchasing Division
09/29/21 10:06:30
WV Purchasing Division

September 30, 2021

Submitted to:

Mr. Toby L. Welch

Bid Clerk

State of West Virginia, Department of Administration

Division of Public Transit - Purchasing Division

2019 Washington Street, East

Charleston, WV 25305



Submitted by:

Transportation Resource Associates, Inc.

1608 Walnut Street, Suite 1602, Philadelphia, PA 19103

P: (215) 279-6811 | F: (215) 279-6812



Point-of-Contact:

Daniel Hauber, WSO-CSE, TSSP, PMP | Vice President

(609) 320-8111 | daniel.hauber@traonline.com

Vendor Signature:

A handwritten signature in black ink, appearing to read "D. Hauber".

9/30/21

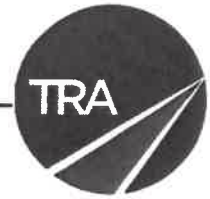
Daniel Hauber, WSO-CSE, TSSP, PMP

Date

Pragmatic Approaches for Complex Operations, Safety, and Security Challenges

Transportation Resource Associates, Inc.

1608 Walnut Street, Suite 1602 | Philadelphia, PA 19103
P: (215) 279-6811 | F: 215-546-9120 | www.traonline.com



September 30, 2021

Mr. Toby L. Welch
Bid Clerk
State of West Virginia, Department of Administration
Division of Public Transit - Purchasing Division
2019 Washington Street, East
Charleston, WV 25305

**Re: State of West Virginia, Division of Public Transit | State Safety Oversight | CRFP PTR2200000001
TECHNICAL PROPOSAL**

Dear Mr. Welch:

Transportation Resource Associates, Inc. (TRA), is pleased to submit this proposal to the West Virginia Department of Administration, Purchasing Division (Purchasing Division) as authorized on behalf of the West Virginia Division of Public Transit (WVDPT) to provide State Safety Oversight (SSO) for the West Virginia Personal Rapid Transit (PRT). Through past experience with the PRT and other SSO agencies, TRA has gained invaluable insight into the mission, vision, goals, and objectives of the WVDPT. TRA is prepared to continue working seamlessly with the WVDPT as an innovative, effective, and proactive partner.

TRA is widely recognized as a national leader in the provision of technical and management consulting services in safety, security, emergency preparedness, operations and maintenance program planning, resiliency, and other areas that are critical to the efficient operation of complex transportation and infrastructure systems. Founded in 1990, TRA's team is comprised of subject matter experts with multi-disciplinary backgrounds and multimodal transit experience. The firm has worked with more than 60 transit systems, over 20 state DOTs, and many federal agencies. As you evaluate our experience, please consider these points:

- ✓ With more than 30 years in the transportation industry, we have come to understand the expectations of clients and the need to present SAFE, creative, and cost-effective solutions while maintaining interactive communication.
- ✓ Every assignment is unique and has its own individual challenges. How TRA solves and manages those challenges sets us apart from the competition. Our client-centered focus has helped us build our stellar reputation for pragmatic solutions.
- ✓ We have created a focused team of qualified professionals to work with the WVDPT on this contract. Each member was selected based on his/her level of specialized expertise and will be accessible to WVPT staff – to respond to questions, attend meetings, collect input, and share ideas.
- ✓ The team's efforts will be guided by a well-defined process and set of protocols designed to maximize project management, quality control and assurance, and document control.

TRA is eager to continue working the State of West Virginia, its Purchasing Division, the WVDPT, and the PRT. We look forward to exceeding your expectations for service. Should questions arise, please contact me at (609) 320-8111 | daniel.hauber@traonline.com. Thank you for the opportunity to share our proposal.

Sincerely,

Transportation Resource Associates, Inc.

Daniel Hauber, WSO-CSE, TSSP, PMP
Vice President

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PROPOSAL TRANSMITTAL RECEIPT

Date:	September 28, 2021
To:	Toby L. Welch Bid Clerk State of West Virginia, Department of Administration Division of Public Transit - Purchasing Division 2019 Washington Street, East Charleston, WV 25305
From:	Patti Gibson Director, Business Development Transportation Resource Associates, Inc. (TRA) 1608 Walnut Street, Suite 1602 Philadelphia, PA 19103
Via:	Federal Express - Overnight
Reference:	State of West Virginia Division of Public Transit – CRFP PTR2200000001 State Safety Oversight
Dept. Code:	Proposal / P21-026

SEALED BID: WVDPT State Safety Oversight
BUYER: Toby L. Welch
SOLICITATION NO.: CRFP PTR2200000001
BID OPENING DATE: Thursday, September 30, 2021
BID OPENING TIME: 1:30 PM
FAX NUMBER: 304-558-3970

ENCLOSED:

- 1) State of West Virginia, Division of Public Transit | State Safety Oversight
CRFP PTR2200000001 | TECHNICAL PROPOSAL
3 COPIES
(Sealed Envelope)

- 2) State of West Virginia, Division of Public Transit | State Safety Oversight
CRFP PTR2200000001 | COST PROPOSAL
3 COPIES
(Sealed Envelope)

Section 1

BID TITLE PAGES



Department of Administration
Purchasing Division
2019 Washington Street East
Post Office Box 50130
Charleston, WV 25305-0130

State of West Virginia
Centralized Request for Proposals
Service - Prof

Proc Folder: 923339			Reason for Modification:
Doc Description: RFP for State Safety Oversight of PRT			
Proc Type: Central Master Agreement			
Date Issued	Solicitation Closes	Solicitation No	Version
2021-08-30	2021-09-30 13:30	CRFP 0805 PTR2200000001	1

BID RECEIVING LOCATION

BID CLERK
DEPARTMENT OF ADMINISTRATION
PURCHASING DIVISION
2019 WASHINGTON ST E
CHARLESTON WV 25305
US

VENDOR

Vendor Customer Code: 541614
Vendor Name : Transportation Resource Associated, Inc. (TRA)
Address :
Street : 1608 Walnut Street, Suite 1602
City : Philadelphia
State : PA **Country :** USA **Zip :** 19103
Principal Contact : Daniel Hauber, WSO-CSE, TSSP, PMP
Vendor Contact Phone: (609) 320-8111 **Extension:** N/A

FOR INFORMATION CONTACT THE BUYER

Toby L Welch
(304) 558-8802
toby.l.welch@wv.gov

Vendor
Signature X

FEIN# 23-2622338

DATE September 30, 2021

All offers subject to all terms and conditions contained in this solicitation

ADDITIONAL INFORMATION**Request for Proposal (CRFP)**

As Authorized by W.V. Code 5A-3-10b, The West Virginia Purchasing Division is soliciting proposals for the agency, the West Virginia Division of Public Transit, to provide Professional Consulting Services and expert technical assistance for the State Safety Oversight Program. Including, but not limited to Investigative activities, safety audits, and documenting and reporting as per the attached documentation.

Online bidding has been prohibited for this solicitation.

INVOICE TO	SHIP TO
PUBLIC TRANSIT DIVISION OF BLDG 5 RM 663 1900 KANAWHA BLVD E CHARLESTON WV 25305-0432 US	PUBLIC TRANSIT DIVISION OF BLDG 5 RM 663 1900 KANAWHA BLVD E CHARLESTON WV 25305-0432 US

Line	Comm Ln Desc	Qty	Unit of Measure	Unit Price	Total Price
1	Professional Services SSO				

Comm Code	Manufacturer	Specification	Model #
80101508			

Extended Description:

Vendors must fill out Cost Sheet included as an attachment. Online responses prohibited.

SEE ATTACHED PRICING PAGES

SCHEDULE OF EVENTS

Line	Event	Event Date
1	Questions are due by 4:00 p.m.	2021-09-16

	Document Phase	Document Description	Page 3
PTR2200000001	Draft	RFP for State Safety Oversight of PRT	

ADDITIONAL TERMS AND CONDITIONS

See attached document(s) for additional Terms and Conditions

Section 2

**UNDERSTANDING,
EXPERIENCE, AND APPROACH**

SECTION 2 – UNDERSTANDING, EXPERIENCE AND APPROACH

TRA's overall goals in supporting the State of West Virginia (WV) and its State Safety Oversight (SSO) Program will focus on the following:

1. Working at the direction of WV's SSO program manager, maintaining ongoing and close communications to ensure every action we take is in step with the state's requirements and approach.
2. Providing ongoing support, including a designated project manager, a project engineer, and a team of technical experts who are intimately familiar with both WVDPT's requirements and the FTA's SSO rules overall.
3. Drawing on nationwide SSO experience to proactively identify issues, successfully address problems, and collaboratively improve rail transit safety in West Virginia.

The TRA team, and especially TRA's proposed project manager and its project principal, have nearly four years of experience with the West Virginia State Safety Oversight (SSO) program, as planned, administered, and operated by the West Virginia Division of Public Transit (WVDPT). As part of our work with the WV SSO manager and the WVDPT team, TRA has helped transition the SSO program from the original (49 CFR Part 659) FTA SSO rule to the current requirements under 49 CFR Parts 673 and 674, including helping to revise and reissue the state's Program Standard and associated procedures. We are hopeful that our close working relationship with WVDPT means that we appreciate and can help fully implement the state's SSO priorities in a way that is seamlessly consistent with its preferred approaches and methodologies.

In addition to helping to revise the Program Standard and implement its requirements, the entire TRA team has experience across several other SSO contracts and projects. Further, our team members either have their FTA-required Transit Safety and Security Professional (TSSP) and Public Transit Safety Certification Training Program (PTSCTP) credentials, or are actively working to complete those credentials. With this project experience and these training credentials, the TRA team has a deep working knowledge of FTA SSO requirements and practices and can help WVDPT work to implement these with West Virginia University (WVU).

The TRA team is also very familiar with the organization and operation of the WVU Personal Rapid Transit (PRT) system, including its recent history and system upgrades. This project experience is an especially important part of TRA's project understanding. The PRT's revamped organization, with some changes in operations and safety leadership, but with largely consistent personnel, will need to work closely with WV's SSO program, its leadership, and through it, its contractor staff. There are several areas requiring ongoing attention and coordination, including further development of corrective action plans (CAP), hazard/safety risk management programs, safety data analysis, and safety promotion, as well as other Safety Management System (SMS) elements.

Perhaps one of the most important aspects of SMS overall, and specifically its implementation by WVU and oversight by WVDPT's SSO program, is *safety culture*. While safety culture is somewhat difficult to define exactly, it can be generally described by the SMS requirements from FTA and the WVDPT Program Standard, as well as holding safety to be of paramount importance in all aspects of a transportation organization's operations, maintenance, and administration. The TRA team will work with the SSO program manager to evaluate not only specific instances of WVU compliance with the Program

Standard, but also the university's consistent and ongoing approach to improving safety, learning from past events and analyses, and taking active steps that increase passenger safety in the future.

We are hopeful that our positive and cooperative working relationship with WVDPT, and through it with WVU, and our overall appreciation of WVDPT's project goals and approach, will allow TRA to continue to build on the state's success and continue to elevate transit safety for the PRT. The remainder of this proposal document spells out the specifics of the proposed project approach, our understanding of WVDPT's preferred SSO program approach, and our team's ability to meet the state's project needs.

Approach & Methodology to Goals/Objectives

TRA will assist WVDPT annually (at a minimum, per the WV Program Standard) in reviewing and updating the Program Standard to reflect the latest in FTA guidance, audit findings, and best practices. In each contract year, TRA will actively identify and note potential updates to the Program Standard that may help clarify WV SSO program operations, enhance WVU implementation of WV requirements, and/or address issues identified through audits, investigations, organizational changes, or safety risk analyses. While the Program Standard typically is updated at least once a year, when necessary, TRA will identify more urgent Program Standard updates, and help WVDPT's SSO Manager determine if more urgent, interim updates are required.

The WV SSO Program Standard dictates ongoing program operations and procedures, as well as WVU Agency Safety Plan minimum content. TRA, working with WVDPT, will utilize the Program Standard for critical SSO program functions including the following:

1. Evaluating and recommending for approval the WVU Agency Safety Plan (ASP).
2. Evaluating the components of WVU's SMS, including safety management policy, safety risk management, safety assurance, and safety promotion.
3. Evaluating key SMS activities as required in the Program Standard, including WVU CAPs, safety risk assessments, and event investigations.
4. Conducting WVDPT-led event investigations, external audits, and ongoing oversight activities.

The implementation of several of these functions is discussed in additional tasks below.

To proactively and consistently address possible Program Standard changes, TRA's project manager will maintain a log of potential issues, changes, and improvements that may affect that document. He will review these issues regularly with WVDPT's SSO manager and cooperatively identify those issues that require immediate attention and those that may be better addressed during annual updates.

While Program Standard updates typically dictate changes to the narrative of the document, TRA will also actively identify other tools, such as checklists and diagrams that may clarify either the state's requirements or how WVU may most effectively address them.

Approach & Methodology to Compliance to Mandatory Project Requirements (RFP §4.2)

Investigation of Accidents and Unacceptable Hazardous Conditions (RFP § 4.2.1.3)

TRA can provide WVDPT with a complete spectrum of investigative options, on demand, to address potential WVU issues. These options include quick response, a deep technical expertise, and expertise in investigations led by SSO agencies, by transit agencies, and by the National Transportation Safety Board (NTSB). TRA's team and especially its project manager will work cooperatively with WVDPT to ensure that investigation-related information is shared in a timely and transparent way, including between potential field teams, the FTA, and WVU, all as directed by the state.

Accidents (RFP § 4.2.1.3.1)

WVU must report accidents, as defined by the WVDPT SSO Program Standard, to the state within two hours. Unacceptable safety risks must be reported as soon as practical as required by Program Standard Section 7, and other safety risks/hazards must be reported on an ongoing, monthly basis. TRA's project manager will actively work with the SSO program manager to evaluate reported issues, and to formulate an appropriate investigative response and team.

TRA will assist WVDPT's SSO program with the following investigation scenarios, ordered by likelihood:

1. WVU-led investigation, overseen, reviewed, and accepted by WVDPT: WVU will lead most investigations, including those of accidents, incidents, and hazards. WVU must submit its investigation procedures to WVDPT's SSO program at least annually, and as updated throughout the year, for review and approval. The SSO program will review, monitor, and as appropriate, approve and adopt WVU investigations, ensuring that they are conducted objectively and in accordance with both WVU's established programs and consistent with WVDPT and FTA requirements. TRA will assist WVDPT in both reviewing individual investigations, as well as ensuring that investigation programs are consistent with WVU's ongoing SMS programs.
2. WVU-led investigation, with active WVDPT SSO involvement directing additional investigative activities and follow-up as needed: Depending on the specifics of the investigation, WVDPT will often require WVU to address specific investigative concerns, including providing additional on-site information, analyses, and follow-up (the latter often connected with WVU's CAP processes).
3. WVU-WVDPT joint investigation: In some cases, WV's SSO program may require a joint investigation, where both university and state personnel actively engage in on-site and/or follow-up activities. Such investigations may involve collaboration on field investigation, interviews, records reviews, or technical analyses. Depending on the specifics of the investigation, the state may require WVU to lead the investigation report development, the state may lead report development, or the two agencies may agree to share equally in report development.
4. WVDPT-led investigation, independent of WVU: The state may identify a need for an independent investigation, either because of the specifics of the event or hazard being investigated, or because of possible issues with the completeness or objectivity of the university's

investigation. In such cases, the state will inform the university of its intent, and require WVU to incorporate state findings and develop appropriate corrective action plans.

5. National Transportation Safety Board (NTSB) investigation: If the NTSB declares its intent to investigate a PRT accident, the state and WVU typically will both act independently, coordinating with the NTSB, as part of its investigation party system.

In all cases, TRA will provide technical expertise attuned specifically to both the urgency and the technical nature of the issue at hand. The TRA team provides WVDPT with several options for on-site investigation teams and can effectively and quickly conduct investigations of events (including accidents, incidents, and occurrences), hazards/safety risks, and other urgent circumstances at the PRT. The TRA team includes personnel in Pittsburgh, just 1.5 hours' drive from Morgantown, as well as personnel from TRA's Northern Virginia and Philadelphia offices who can be on site in Morgantown within hours. (It is also important to note that TRA's team has been involved in several NTSB investigations, and is very familiar with the NTSB's process, requirements, and approach.) Depending on the specifics of the investigation, TRA can deploy investigative personnel to address issues related to operations, maintenance, human factors, technology, and other areas of interest. TRA's project manager will work closely with the SSO manager to formulate an investigative team, including both on-site and support personnel as needed, to address the specifics of each investigation.

TRA's project manager will work at the SSO program manager's direction to evaluate reported accidents and hazards, and to choose the appropriate response as described above. Frequently this response will involve oversight of university investigations, and active input into those investigations to ensure completeness and objectivity. TRA will work with the SSO program manager to evaluate WVU investigative processes, written reports, and associated follow-up and corrective actions to ensure they address the issue at hand, and that they are part of an ongoing, proactive WVU approach to SMS and safety. Frequently this oversight process includes both evaluating WVU-submitted materials and also objectively assessing steps or procedures that may be missing or incomplete and requiring the university to amend investigations as needed.

There have been several recent examples of accidents, incidents, and hazardous conditions where the SSO program has required the university to provide additional investigative information, to conduct broader analyses, or to amend corrective actions or other responses to address either the issues at hand or overall SMS requirements. TRA's project manager and its technical personnel will work closely with the SSO program manager to identify not only individual investigation steps that the university may need to enhance, but also areas where its investigative or follow-up processes need to be enhanced to improve overall PRT safety.

Corrective Action Plans (RFP §4.2.1.3.6)

Corrective action plans (CAPs), are a cornerstone of SSO programs, as well as an area of special attention for the FTA in its oversight and auditing of SSO operations. TRA will assist WVDPT in oversight of CAPs at several levels, including the following:

1. Ensuring that WVU develops, maintains, fulfills, and closes out CAPs to address all key issues, including event (accident and incident) investigation findings, hazard and safety risk management analyses, internal audit findings, and external audit findings.
2. Ensuring that WVU CAPs address the root cause or core element of each identified safety issue, and that CAPs are clear, achievable, and measurable.

3. Ensuring that WVU tracks and manages its CAPs within the context of its safety management system, including utilizing safety data, safety performance targets and indicators, and SMS process improvements to successfully and systematically address the core of each CAP safety issue.
4. Independently, as part of WVDPT's SSO program, evaluating and tracking each CAP, and verifying ongoing status, interim updates, and final closeout of each CAP by WVU.

The FTA has paid special attention to CAPs in recent years, both as part of its periodic SSO program audits, and as part of ongoing monitoring meetings. TRA will work with WV's SSO manager to ensure that both state and university activities related to CAP programs are clear, well-documented, appropriate to the issue at hand, updated on an ongoing basis, and associated with clear milestones. This will help to not only ensure compliance with FTA requirements, but also to advance SMS implementation and safety compliance overall at WVU.

Capital Project Safety Oversight (RFP §4.2.1.3.7)

TRA will actively work with the SSO program manager to monitor potential WVU capital projects, and to assess what level of safety management from WVU and safety oversight from WVDPT is necessary. Based on that determination and ongoing updates, TRA will recommend specific approaches to capital project safety oversight, which may include:

1. Oversight of WVU safety certification programs.
2. Oversight of WVU safety and change management efforts.
3. Integration of new capital projects and improvements into ongoing PRT operations and maintenance.
4. Analysis of WVU capital projects for possible changes to WVDPT SSO's Program Standard or its day-to-day operations.

Some WVU capital projects may require intensive safety certification efforts (as did the automatic train control and fare collection systems upgrades in recent years). Such larger projects, as well as some smaller projects, may impact WVU's operating procedures, maintenance processes, training, or other ongoing programs. TRA will evaluate university capital programs and formulate recommended approaches to address safety oversight, governed by both the Program Standard and the approved WVU ASP. Based on the specifics of each project, TRA's project manager will recommend ongoing project tracking; focused reviews and evaluations of technical plans, documents, or field installations; and/or evaluation of WVU operations, maintenance, training, or safety program updates as dictated by project scope.

TRA will work with the SSO program manager to maintain a flexible, safety-focused approach to capital project oversight, and will scale that approach to meet such projects as potential PRT vehicle overhauls, ongoing station and structural improvements, and system extensions.

Oversight Activities (RFP §4.2.1.3.8)

Much of the hard work of transit safety oversight occurs on a day-to-day basis, behind the scenes, in reviewing and monitoring CAP updates, ensuring thorough and objective investigations, responding to

FTA inquiries and requirements, and managing the overall SSO project. TRA provides a suite of support options for WVDPT, including a single, designated project manager; a local engineer who has dedicated a significant portion of her time specifically to WVDPT support; and a team of technical experts with deep experience in FTA's SSO requirements, SSO project resumes spanning the United States, and vast technical expertise applicable to the PRT. In addition to helping WVDPT with the tasks identified in its request for proposals, TRA can assist in other oversight activities such as updating FTA-required Technical Training Plans (in accordance with 49 CFR Part 672) and workload assessments, preparing presentations and briefings as needed, and coordinating with other potential stakeholders such as first responders (for emergency preparedness oversight) or metropolitan planning organization personnel (for safety planning oversight) and providing technical assistance and guidance to WVU, such as the recently-completed SMS gap analysis and workshop.

Reporting Requirements (RFP §4.2.1.3.9)

1. TRA's project manager and its project engineer will work with WVDPT's SSO manager to complete required reports, including the following:
2. Ongoing and periodic updates to WVDPT SSO logs, such as CAP and accident tracking logs, correspondence logs, and findings logs.
3. Required periodic and as-needed reports to the FTA, such as through its State Safety Oversight Reporting (SSOR) Tool website, which is integrated with the National Transit Database.
4. Periodic reconciliation of SSO and WVU records, such as between the SSO event logs and the SSOR Tool.
5. Required and periodic reports from the SSO program, including reports to the state's governor, briefings and updates to the West Virginia Secretary of Transportation and WVU Board of Governors, and reports to PRT management.
6. As-needed analyses for the FTA, such as requests for information, CAP updates, accident updates, and capital program oversight updates.
7. Periodic and as-needed analyses of WVDPT records and logs versus those of WVU, in areas such as accidents, CAPs, and findings, and update and issuance of WVDPT logs as needed.

Depending on the specifics of ongoing SSO program operations, TRA will identify and review with the WVDPT SSO manager any recommendations for specialized reporting tools. Such tools might include databases, specialized spreadsheets, training materials, SMS evaluation tools, or implementation schedules. In all cases, these recommendations will be focused on elevating rail transit safety and SSO program compliance within the state and will be developed within the framework of the WVDPT's Program Standard (e.g., utilizing existing requirements for CAP reporting fields or accident investigation data).

Triennial Safety & Security Review (RFP §4.2.1.3.10)

TRA will provide a strong team of technical auditors and robust project management to ensure the continued success of WVDPT's external safety and security audit program. The TRA team will conduct all audit activities in accordance with the procedures, requirements, and timelines in WVDPT's program

standard. Further, we will strive to maintain the high levels of professionalism and cooperation (within an oversight relationship) that characterize the WV SSO program and its audits.

In accordance with the Program Standard, TRA proposes to continue to conduct triennial safety and security audits on an ongoing basis over the three-year period. While this approach meets FTA requirements of auditing the entire PTASP every three years, it is superior in some ways, including distributing the audit effort for both WVDPT and WVU personnel, and providing an ongoing and more sustained engagement with the overseen transit agency (the PRT). The overall process includes the following general steps:

- Planning the overall audit calendar for the triennial period.
- Providing 60-day notice to the PRT of upcoming audit dates.
- Formulating document requests and audit checklists.
- Conducting entrance and exit briefings, on-site auditing, and document and evidence review
- Authoring draft and final reports for each audit area.
- Ensuring that WVU appropriately incorporates audit findings into its CAP process and its SMS overall.

The SSO audit process will focus on WVU's compliance with its PTASP. As noted above, TRA's work (and triennial audits conducted) will focus especially on SMS implementation and safety culture, and specifically how WVU identifies, addresses, and learns from safety issues in a proactive and cohesive manner. Safety auditing under the old FTA final rule (49 CFR Part 659) was a somewhat easier affair, revolving around 21 key audit elements such as drug and alcohol testing, facilities maintenance programs, operating rules and procedures, and safety goals and objectives. While these 21 elements are still represented in various ways under the PTASP structure and SMS practices, SSO auditing has changed. WVDPT's SSO program is just starting a new triennial audit cycle, with a focus on the four SMS elements (safety management policy, safety assurance, safety risk management, and safety promotion). Challenges include whether to audit each SMS element across different departments, or to audit each department and function for all four SMS elements at the same time. At the same time, WVU is still in somewhat early stages of implementing its SMS, which means that some audit findings may need to account for future safety improvements or milestones. As WVDPT refines its approach to external safety audits, the TRA team will help the state's SSO manager to evaluate these and other issues, and to make the SSO audit process as thorough and productive as possible.

PRT FTA Audits (RFP §4.2.3.11)

The FTA may choose to audit the PRT and WVU's safety organization, reviewing such requirements as drug and alcohol testing programs, SSO compliance, or overall safety implementation. Perhaps equally likely, the FTA may (and recently did) audit WVDPT's SSO program implementation and regulatory compliance. In either case, TRA's project team stands ready to help WVDPT prepare for, participate in, and respond to FTA audits.

Depending on the specifics of the audit, TRA's support may include helping to update and/or gather background information and data, submitting information to FTA, providing analysis or context to FTA, analyzing FTA's written audit reports, and formulating corrective actions to address FTA findings. As with all of TRA's activities, we will utilize both our nationwide SSO expertise and our West Virginia-specific experience to recommend the best response to FTA. While we will always work to ensure transparent and accurate communication with FTA, we will also help WVDPT ensure that its ongoing project approach and overall SSO program intentions are clear and well-represented in any communications with FTA.

As with other areas of this project, FTA findings often dictate changes to state SSO program standards. In other cases, findings may also impact how the state interacts with its covered transit agencies. TRA will ensure, wherever possible, that FTA audit findings and associated corrective actions are used to help improve WVDPT's SSO operations, and that CAPs focus on specific, actionable changes such as Program Standard updates or more effective implementation of that standard.

General Administration (RFP §4.2.3.12)

In all of TRA's SSO contracting experience, our focus is on improving rail transit safety through the increasing and continued success of our SSO clients. Ensuring comprehensive project documentation, collaborative approaches, and proactive sharing of knowledge between the TRA team and WVDPT's SSO program manager is a key part of achieving these goals. As such, TRA's project manager, on an ongoing basis, will ensure our work is well-documented, that all communications and files are routed through WVDPT as it directs, and that all information received, developed, or maintained by TRA is shared with the state. We very well understand that our potential work under this contract is at West Virginia's direction, is the state's property, and is key to its continued safety oversight efforts. As directed by the SSO program manager, TRA will provide periodic and as-needed transfers of electronic files. We will ensure that work products, wherever possible, are in a format that is reusable and modifiable by WVDPT. We will proactively obtain approval from WVDPT where it is preferable or necessary to utilize special deliverable formats (e.g., for a global information system analysis or a special, safety-related database). Throughout the project, when TRA develops tools such as project calendars, checklists, or databases, we will do so with an eye toward the smooth, ongoing, and successful operation of WVDPT's SSO program.

TRA understands that the ongoing administration of WVDPT's SSO program is critical to its success. While logs, databases, and reports may sometimes not be as spectacular as on-site investigations or large capital projects, they are the resources that ensure the consistency and success of the SSO program. With this in mind, TRA offers ready access to its project manager, its project engineer, its project analysts, and all of its technical team to help the WVDPT creatively and efficiently address SSO program needs, and to ensure the program's continued smooth operation.

Section 3

PROJECT EXPERIENCE

SECTION 3 – PROJECT EXPERIENCE

Qualifications & Experience (RFP §4.2.2)

TRA has a unique combination of nationwide rail state safety oversight experience spanning 15 current projects and 30 years of experience. The firm's portfolio of projects includes automated rail systems, automated people movers (APMs), work with legacy transit systems, and success in overcoming the unique challenges they sometimes present. TRA has a high level of familiarity with WVDPT's SSO management, the WVU PRT organization and its key personnel, and the key issues facing both agencies.

Below are some examples of the firm's relevant project experience:

PROJECT ONE	
CLIENT:	Florida Department of Transportation (FDOT)
PROJECT NAME:	Rail Fixed Guideway State Safety Oversight Program (SSO)
PROJECT LOCATION:	Miami Tampa Jacksonville Orlando Tallahassee, FL
BRIEF NARRATIVE	
<p>Since 2005, TRA has served as the ongoing safety and security contractor to FDOT in its oversight of transit systems in Miami, Jacksonville, and Tampa. In addition to conducting triennial reviews of the Miami-Dade Department of Transportation and Public Works Metrorail and Metromover, the Jacksonville Transit Authority Skyway, and the TECO Line Streetcar, TRA plays a continuing role in safety and security document review; accident/incident investigations; hazard management processes; corrective action plan (CAP) tracking and review; and overall oversight support for FDOT at each of these systems. Both the JTA Skyway and DTPW Metromover are driverless APMs.</p> <p>TRA supported FDOT and the agencies it oversees through their transition to compliance with Title 49 of the United States Code of Federal Regulations (CFR) Parts 672, 673, and 674 by supporting the update of FDOT procedures, reviewing PTASPs, and adapting FDOT's triennial audit approach to best review agency safety management systems. TRA supports FDOT's robust inspection program, which includes quarterly site visits to each covered agency, at a minimum, and conducts targeted risk-based reviews of identified challenges and hazards at the agencies as needed. TRA supports FDOT's development and submittal of annual reports to the FTA, develops monthly activity reports for FDOT, and leads monthly calls with each agency. Under separate contracts for FDOT, TRA also provides safety oversight for the driverless APMs at Orlando International and Miami International airports.</p>	
GOALS & OBJECTIVES:	
<p>TRA and FDOT's goal for this project is to provide comprehensive safety and security oversight in accordance with 49 CFR Parts 670, 672, 673, and 674 requirements, as well as FDOT's expanded requirements under 14-15.017, Florida Administrative Code. FDOT's primary goal is to leverage TRA's subject matter expertise and program management skills to administer a program that helps DTPW, HART, and JTA to mitigate and manage safety risk, develop and administer programs across each agency to assure safety in all work that is done, and develop and administer programs to promote safety both internally within the agency and among its employees, as well as externally to passengers and the public at large. TRA and FDOT's objectives are to provide cooperative technical assistance to each of the covered rail transit agencies (RTAs) as the SSO program core activities are carried out.</p>	

Core activities of the SSO program include, but are not limited to, triennial safety and security audits; CAP monitoring; accident, incident, and occurrence investigation; safety risk and hazard management; Federal Transit Administration (FTA) reporting; and ongoing RTA document and data reviews and analysis. FDOT and TRA meet on a monthly basis to review safety and security performance in accordance with all FDOT SSO Program Standard and RTA PTASP requirements, and FDOT and TRA provide minimum quarterly scheduled site visits, as well as additional unannounced visits to perform visual inspections, interviews, data reviews, and other in-person assessment activities to verify the successful administration of rail safety and security program activities.

ACHIEVEMENTS:

While TRA has supported the FDOT SSO Program since 2005 in the performance of triennial audits, TRA helped FDOT to centralize the SSO program in 2012, at which time TRA expanded its oversight role to include the rail systems in Jacksonville and Tampa. At that same time, TRA helped FDOT to develop a more engaged program that included the activities described above and the more integrated presence with each of the covered RTAs. TRA worked with FDOT to anticipate safety management system (SMS) changes that were forthcoming from the FTA, and helped FDOT to establish close, cooperative working relationships with each of the covered RTAs during this time, thereby easing the transition into the requirements of 49 CFR Parts 670, 672, 673, and 674. TRA and FDOT continue to evaluate the effectiveness of the SSO program in relation to the safety performance at each of the RTAs and uses the results to develop new methods for requesting and analyzing safety-related data and developing risk-based audit activities. TRA's success in supporting the statewide SSO program that oversees the FTA-funded RTAs has resulted in FDOT's District Offices in Orlando and Miami engagement of TRA to provide ongoing safety oversight support services for FDOT-regulated automated people mover systems at Miami International Airport and Orlando International Airport.

A key achievement of this project has been comprehending safety requirements as they relate to the driverless systems at DTPW, JTA, and the two airports, all of which have APM systems. TRA has helped each system to develop more robust roadway worker protection program requirements and other changes related to the unique operating environments of these systems. TRA has investigated accidents and hazardous conditions involving each of covered APM systems and monitored the development and administration of CAPs and hazard mitigations.

PROJECT DATA

Principal-in-Charge	Christopher Wallgren, WSO-CSE, TSSP
Project Manager	Christopher Wallgren, WSO-CSE, TSSP
- <i>Phone</i>	(917) 520-2153
- <i>Email</i>	Christopher.Wallgren@traonline.com
Type of Project	State Safety and Security Oversight
Start End Dates	2005 Current

REFERENCE INFORMATION

Agency Entity	Florida Department of Transportation
Name	Ashley Porter
- <i>Title</i>	Transit Safety Programs Manager
- <i>Phone</i>	(850) 414-4070
- <i>Email</i>	Ashley.L.Porter@dot.state.fl.us

PROJECT TWO	
CLIENT:	Hawaii Department of Transportation (HDOT)
PROJECT NAME:	State Safety Oversight Program for Honolulu Rail Transportation Project (H RTP)
PROJECT LOCATION:	Honolulu, HI
BRIEF NARRATIVE	
<p>TRA provides technical support for the HDOT SSO program, and works to identify, analyze, and address issues related to both overall program structure and the H RTP system in particular. HART's rail project is in the construction phase, and HDOT and TRA are actively reviewing issues related to safety certification, testing, and agency safety structure ahead of the revenue service start date. As a part of this, HDOT and TRA have worked with numerous project stakeholders including the Honolulu Authority for Rapid Transit (HART), The Honolulu Department of Transportation Services (DTS), and the supporting operations and maintenance provider.</p>	
GOALS & OBJECTIVES:	
<p>TRA and HDOT's goal for this project is to initially provide oversight and subject matter expertise to the H RTP stakeholders ahead of the revenue service date for interim opening section one. Following the initiation of revenue service interim opening section one, HDOT will begin the ongoing state safety oversight process including: triennial safety and security audits; corrective action plan (CAP) monitoring; accident investigations; hazard management oversight; FTA reporting; and ongoing document reviews and approvals. During this time, HDOT and TRA will simultaneously maintain the pre-revenue service oversight for the subsequent interim and final segments of the rail project.</p>	
ACHIEVEMENTS:	
<p>TRA has been integrally involved in overseeing Honolulu's rail project currently under construction, and through its auditing has gained much insight into design, construction, and safety and security certification through working on behalf of HDOT. During this time, TRA has performed an initial review and approval of the H RTP Agency Safety Plan and Security Plan; analyzed and monitoring pre-revenue service CAPs; conducted reviews of safety and security</p>	
PROJECT DATA	
Principal-in-Charge	Daniel Hauber, WSO-CSE, TSSP, PMP Vice President
Project Manager	Amelija Sorg-Taylor, WSO-CSS, TSSP
- Phone	(215) 646-9131
- Email	Amelija.Sorgtaylor@traonline.COM
Type of Project	State Safety and Security Oversight
Start End Dates	2017 - Current
REFERENCE INFORMATION	
Agency Entity	Hawaii Department of Transportation
Name	Brandon Eshenour
- Title	State Safety Oversight Project Manager
- Phone	(808) 587-2136
- Email	Brandon.J.Eshenour@hawaii.gov

PROJECT THREE

CLIENT:	Port Authority of New York and New Jersey (PANYNJ)
PROJECT NAME:	AirTrain Safety Oversight Board (ATSOB)
PROJECT LOCATION:	Newark, NJ New York, NY

BRIEF NARRATIVE

In 2004, TRA worked with PANYNJ to establish the AirTrain Safety Oversight Board (ATSOB), an internal board charged with providing safety and security oversight of the AirTrain systems at Newark Liberty International (EWR) and John F. Kennedy International (JFK) airports. The ATSOB is modeled on the federal rail transit state safety and security oversight program codified 49 CFR Parts 673 and 674, even though the systems are not formally subject to the regulations. TRA provided the ATSOB with technical assistance in reviewing safety and security-related issues. Other involvement consisted of the 2004 Pre-revenue baseline safety/security review, the 2007 Triennial Review, the 2011 Triennial Review, the 2014 Triennial Review, and the 2019 Triennial Review for AirTrain JFK, as well as the 2004 Initial baseline safety/security review, the 2008 Triennial Review, the 2011-12 Triennial Review, the 2015 Triennial Review, and the 2019 Triennial Review for AirTrain Newark.

GOALS & OBJECTIVES:

The goal – for both the PANYNJ and TRA – is to administer a comprehensive, independent safety and security oversight program for the AirTrain JFK and AirTrain Newark automated people mover systems that operate between terminals, parking facilities, and external commuter rail and rail transit systems. Together, these systems carry over 100,000 passengers daily, without state or federal regulations covering the systems. The intent is to carry out oversight that meets/exceeds current rail transit safety and security oversight requirements established under 49 CFR Parts 670, 672, 673, and 674. TRA's subject matter expertise and program management skills to administer a program that helps the AirTrain systems mitigate and manage safety risk, to assure safety in all work that is done, and to promote safety both internally within the agency and among its employees, as well as externally to passengers and the public at large. The objectives are to provide cooperative technical assistance to each system as the ATSOB program core activities are carried out. Core activities of the ATSOB program include, but are not limited to: triennial safety and security audits; corrective action plan (CAP) monitoring; accident, incident, and occurrence investigation; safety risk and hazard management; internal safety data reporting; and ongoing AirTrain system document and data reviews and analysis. PANYNJ and TRA meet on a monthly basis to review safety and security performance in accordance with ATSOB Program Standard and AirTrain Agency Safety Plan requirements. The PANYNJ and ATSOB provide monthly scheduled site visits, as well as additional unannounced visits, to perform visual inspections, interviews, data reviews, and other in-person assessment activities to verify the successful administration of rail safety and security program activities. Other supporting objectives relate to the development of safety certification programs for major capital projects, including the replacement of the legacy AirTrain Newark system, the development of a first-ever, new AirTrain system for LaGuardia International Airport, and the expansion of the AirTrain JFK system.

ACHIEVEMENTS:

A primary achievement of the ATSOB program has been its original development in 2004 and the successful ongoing administration of the program over nearly two decades since. TRA has helped PANYNJ establish a robust safety oversight program through the ATSOB that establishes comprehensive and in-depth safety and security reporting and analysis that exceeds that which is typically in place for airport people mover systems in North America. TRA has worked with PANYNJ

to establish detailed safety requirements on the contract operators of the systems and is presently clarifying those requirements for the procurement of the new and expanded AirTrain activities across the three airports. TRA has helped PANYNJ to stay abreast of changes to federal regulations to enhance safety management, while providing critical, ongoing oversight needed to manage and mitigate safety risk, confirm that safety is assured throughout all aspects of the operations and maintenance of the AirTrain system, and promote safety both internally and externally.

PROJECT DATA

Principal-in-Charge	Christopher Wallgren, WSO-CSE, TSSP
Project Manager	Christopher Kozub
- <i>Phone</i>	(732) 261-4170
- <i>Email</i>	Christopher.Kozub@traonline.com
Type of Project	State Safety and Security Oversight
Start End Dates	2004 Current

REFERENCE INFORMATION

Agency Entity	Port Authority of New York & New Jersey
Name	James Keane
- <i>Title</i>	General Manager, Operations Safety
- <i>Phone</i>	(201) 216-2821
- <i>Email</i>	jkeane@panynj.gov

PROJECT FOUR

CLIENT:	Pennsylvania Department of Transportation (PennDOT)
PROJECT NAME:	Rail Transit Safety Review Program (RTSRP)
PROJECT LOCATION:	Southeastern Pennsylvania Transportation Authority (SEPTA) Philadelphia, PA; Port Authority of Allegheny County (PAAC) Pittsburgh, PA; Cambria County Transit Authority (CamTran) Johnstown, PA

BRIEF NARRATIVE

For 29 years, TRA has led the PennDOT RTSRP contractor team in ongoing safety and security oversight. The RTSRP oversees SEPTA, PAAC, and CamTran, and TRA has helped PennDOT build and maintain one of the nation's strongest SSO programs. TRA's success with the PennDOT RTSRP has served as a model program by the FTA and for other SSOAs nationwide. This comprehensive program utilizes an ongoing, detailed review of light rail, heavy rail, and fixed guideway operations. TRA has primary responsibility for all parts of the program, including developing program standards and reviewing agencies' PTASPs and security plans; conducting numerous triennial audits as well as other safety and security reviews and investigations; monitoring agency SMS implementation; tracking hazards and CAPs; and managing project meetings, records, and reports. TRA has supported PennDOT during multiple audits of the RTSRP conducted by the FTA, most recently in 2021.

GOALS & OBJECTIVES:

The PennDOT RTSRP establishes minimum safety standards for all three covered systems; performs audits; and oversees corrective action plans and internal safety reviews; reviews public transportation agencies safety plans and security and emergency preparedness plans; and performs and delegates event investigations.

State of West Virginia, Division of Public Transit | State Safety Oversight
CRFP PTR2200000001

ACHIEVEMENTS:

TRA assisted the PennDOT RTSRP achieve certification of its SSO program in conformance with 49 U.S.C. 5329(e) and 49 CFR Part 674 in April 2018 (one year in advance of the federal deadline). Since 2018, TRA has supported PennDOT in the development of Standard Operating Procedures, as well as Safety Standards for roadway worker protection.

PROJECT DATA

Principal-in-Charge	Daniel Hauber, WSO-CSE, TSSP, PMP Vice President
Project Manager	Stephen Frazier, WSO-CSSD
- <i>Phone</i>	(267) 442-8454
- <i>Email</i>	Stephen.Frazier@traonline.com
Type of Project	State Safety and Security Oversight
Start End Dates	1992 - Current

REFERENCE INFORMATION

Agency Entity	Pennsylvania Department of Transportation (PENNDOT)
Name	Elizabeth Bonini
- <i>Title</i>	Rail Transit Safety Review Program Division Chief
- <i>Phone</i>	(717) 787-1207
- <i>Email</i>	ebonini@pa.gov

Section 4

TEAM ORGANIZATION

SECTION 4 – TEAM ORGANIZATION

Staffing Plan

TRA's proposed team to support West Virginia's State Safety Oversight Program offers:

- Years of experience with West Virginia's SSO program and decades of SSO experience nationwide.
- Personnel certified in FTA's (49 CFR Part 672) required Transit Safety and Security Professional (TSSP) Program as well as its Public Transit Safety Certification Training Program (PTSCTP).
- Broad expertise in the areas key to WVDPT's SSO program, including safety, operations, maintenance, emergency preparedness, investigations, audits, and SSO program management.
- An exceedingly efficient project approach, whether for ongoing tasks, as-needed work, or emergency investigations, utilizing the right people at the right time to provide West Virginia with the highest levels of both expertise and efficiency in achieving its project goals.

TRA pledges to work closely with WVDPT's SSO manager, and to ensure that all work is performed at his direction and in close communication with him or his designees. We believe strongly that an efficient, effective project team is both technically adept and totally transparent in its work. These will be among our most important guiding principles throughout our work for the state.

TRA's team structure includes:

- A project manager who, in addition to providing technical expertise in SSO, FTA requirements, and transit safety, will provide WVDPT with a primary contact for all project tasks and concerns
- A project engineer who is located in close proximity to both Morgantown and Charleston, and can assist the rest of the team with day-to-day site meetings and inspections, and guide deliverables, FTA compliance, and SSO program operations
- Subject matter experts who can provide deep expertise for audits, investigations, and review of technical concerns and documents.
- Project analysts who can efficiently and effectively complete project operation and administration tasks including developing and maintaining project calendars, formulating and formatting deliverables, coordinating reporting and technical documents, and assisting the SSO manager and contract personnel with field activities.

We are hopeful that our positive and cooperative working relationship with WVDPT, and through it with WVU, and our overall appreciation of WVDPT's project goals and approach, will allow TRA to continue to build on the state's success and continue to elevate transit safety for the PRT. The remainder of this proposal document spells out the specifics of the proposed project approach, our understanding of WVDPT's preferred SSO program approach, and our team's ability to meet the state's project needs.

Key Personnel and Organization Structure

Project Manager

TRA's proposed project manager, **Joshu Shih, WSO-CSM, TSSP**, has worked closely with WVDPT for nearly four years, and is very familiar with both the state's SSO program and with the WVU's PRT. Mr. Shih also brings SSO experience from several other states, including as contract project manager for SSO

programs in Texas and Washington, DC. TRA anticipates the following responsibilities for its project manager:

- Serving as a primary interface with WVDPT's SSO manager.
- Working at WVDPT's direction to track and update ongoing issues such as WVU CAPs, investigations, internal audits, and overall SMS implementation; FTA regular and as-needed submissions such as technical training plans, annual reports, workload assessments, and ad hoc requests for information; and WVDPT's own, internal tracking logs, scheduling, and program administration.
- Assessing ongoing and day-to-day project needs, as well as planned and unplanned tasks, and assigning TRA team members with appropriate skills and capacity to address those issues.
- Ensuring ongoing contract compliance, recording, and reporting.

TRA's project manager is located in Northern Virginia, and can be on site in Charleston or Morgantown in just a few hours as needed.

Project Engineer

TRA's proposed project engineer, April Dorcak, TSSP, PTSCPT, has nearly three years of experience with the WV SSO program, and is located in Pittsburgh, just 90 minutes from Morgantown. Ms. Dorcak can also serve, at the WVDPT SSO program manager's direction, as a primary interface between the SSO program and WVU. She has provided integral support to the WVDPT SSO program manager by maintaining certain project schedules and documentation, leading SMS workshops, attending WVU and WVDPT audits and safety meetings, and interfacing with WVU PRT management. She has a background in process engineering and organizational management, and in addition to her WV SSO work, has provided extensive consulting services to the state in developing PTASPs and SMS programs for eight small urban bus providers.

Project Principal

Daniel Hauber, WSO-CSE, TSSP, PMP, is TRA's proposed project principal, and has acted as the WV SSO contract project manager during the early phases of TRA's work with the state. He has nearly a quarter century of experience working on SSO programs and projects, and has worked closely with both WVDPT and WVU managers and stakeholders. Mr. Hauber is located in TRA's Philadelphia office, and can be on site in Morgantown or Charleston in just a few hours.

Subject Matter Experts

In addition to its project management team., TRA is proposing a team of highly-qualified and experienced subject matter experts (SMEs) to support the WVDPT SSO program. This team (along with the project manager, project engineer, and project principal noted above) offers expertise in overseeing, auditing, and investigating the following areas:

- Accident, incident, and hazard/safety risk investigations
- Safety risk assessments and analyses
- SMS assessments and gap analyses
- SSO Program Activities (data tracking, reports, etc.)
- Passenger vehicles
- Traction power
- Train control, signal systems, and communications

- Guideway, stations, structures, and vertical transportation (elevators and escalators)
- Automated, fixed-guideway transit operations
- Transit-specific emergency preparedness
- Safety certification, system modification, and configuration management

TRA's project manager, working with WVDPT's SSO manager, will establish the overall project activities and monitor adherence to program requirements and timelines. Subject matter experts will work at the direction of the project manager to develop specific work plans such as developing plans, schedules, and materials for triennial audits, hazard analyses, or on-site spot checks.

TRA seeks to utilize the right personnel at the right time. WVDPT will have access to TRA's project management team, its subject matter experts, and its analyst staff throughout the project, but will not be required to have those personnel assigned to the project when they are not needed. If an investigation, safety risk analysis, audit, or investigation must be completed, WVDPT will have access to a wide array of experts, but is not required to keep each person on a task for the entirety of the project.

Project Analysts

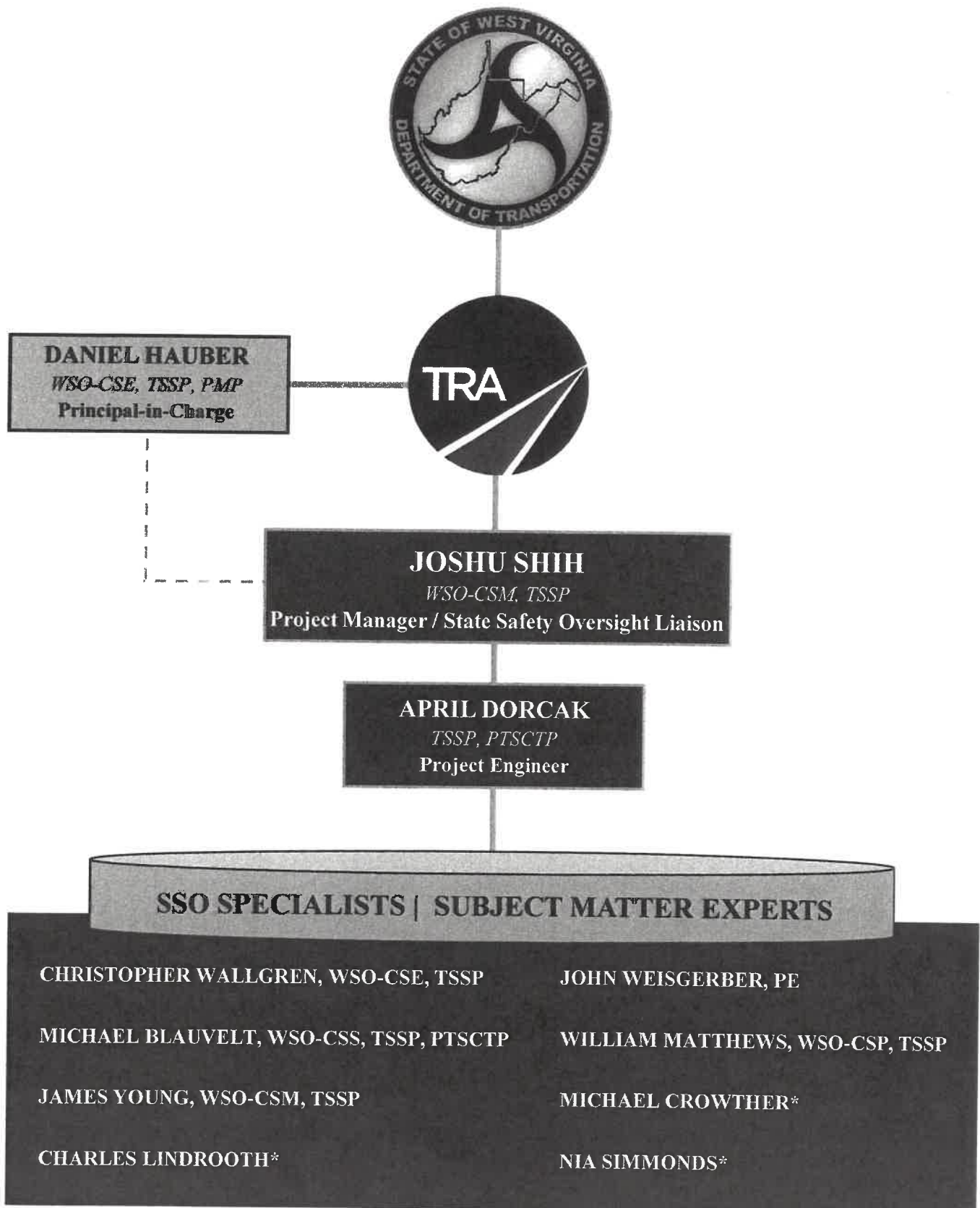
TRA's project analysts possess subject matter knowledge in a broad range of areas and are actively engaged in SSO auditing, oversight, and even management activities nationwide. Analysts provide critical support for on-site and off-site activities, including developing program documentation and reports associated with program administration (e.g., audit reports, periodic project updates, annual reports, etc.). TRA's analysts efficiently provide in-depth analyses and program support, while freeing up SMEs to support the more detailed audit, interview, and review activities.

Team Responsiveness

TRA has a history of responsiveness and attentiveness to client needs, including being on-site for accident investigations quickly and for as long as needed. As noted above, TRA's project engineer is located just 90 minutes from Morgantown, and its project manager and project principal both have a history of responding quickly to West Virginia project needs. TRA staff have both responded to accident sites within hours (sometimes minutes) of occurrence, and, in some cases, have remained on site for as long as a week. TRA has responded within hours from its Philadelphia headquarters to incidents in Washington, DC; Salt Lake City; Newark; New York City; Pittsburgh; and other locations. We are prepared to help WVDPT in this same way and ensure the same high level of responsiveness.

Also, note that, for some of our SSO clients, much of our on-site response has been for hazards and safety risks rather than defined accidents. These clients have recognized hazards as a precursor to potential accidents, and have tried to monitor these areas closely to prevent worse situations. TRA is prepared to bring this same level of responsiveness to serious PRT hazards that may arise, at WVDPT's direction. Likewise, as part of our work with WVDPT under ongoing program monitoring, TRA personnel will help WVDPT analyze incidents and hazards for potential investigation, and to be as proactive as possible in addressing them.

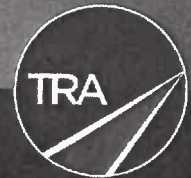
Team Organization Chart



* TSSP certification in progress.

CAPABILITIES MATRIX

SERVICES	J. Shih	D. Hauber	A. Dorcak	C. Wallgren	J. Weisgerber	W. Matthews	M. Crowther	M. Blauvelt	J. Young	C. Lindrooth	N. Simmonds
State Safety Oversight	●	●	●	●	●	●	●	●	●	●	●
SSO Program Standards and Procedures	●	●	●	●	●	●	●	●	●	●	●
Public Transportation Agency Safety Plans (PTASPs)	●	●	●	●	●	●	●	●	●	●	●
Safety Management Systems (SMS)	●	●	●	●	●	●	●	●	●	●	●
Rail Fixed Guideway Public Transportation Systems (RFGPTS)	●	●	●	●	●	●	●	●	●	●	●
Automated Transportation Systems	●	●	●	●	●	●	●	●	●	●	●
Triennial On-Site Safety and Security Reviews	●	●	●	●	●	●	●	●	●	●	●
Safety, Incident, and Accident Records Review	●	●	●	●	●	●	●	●	●	●	●
Accidents and Hazards	●	●	●	●	●	●	●	●	●	●	●
- Analyses and Assessments	●	●	●	●	●	●	●	●	●	●	●
- Data Gathering	●	●	●	●	●	●	●	●	●	●	●
- Investigation	●	●	●	●	●	●	●	●	●	●	●
- Mitigation	●	●	●	●	●	●	●	●	●	●	●
- Notification Thresholds	●	●	●	●	●	●	●	●	●	●	●
Monitor and Review Accident Investigation Activities	●	●	●	●	●	●	●	●	●	●	●
Corrective Action Plans	●	●	●	●	●	●	●	●	●	●	●
Data Gathering and Analysis	●	●	●	●	●	●	●	●	●	●	●
Trend Analysis	●	●	●	●	●	●	●	●	●	●	●
Rail Facilities, Systems, and Vehicles	●	●	●	●	●	●	●	●	●	●	●
Physical Inspections	●	●	●	●	●	●	●	●	●	●	●
Systems Design, Construction, Operations, and Maintenance	●	●	●	●	●	●	●	●	●	●	●
Safety Certification	●	●	●	●	●	●	●	●	●	●	●
Emergency Response/Preparedness	●	●	●	●	●	●	●	●	●	●	●
Federal Transit Administration (FTA) Coordination	●	●	●	●	●	●	●	●	●	●	●
FTA Annual Reports	●	●	●	●	●	●	●	●	●	●	●
National Transportation Safety Board (NTSB) Coordination	●	●	●	●	●	●	●	●	●	●	●
Schedule Development/Milestone Tracking	●	●	●	●	●	●	●	●	●	●	●
SSO Program Administration	●	●	●	●	●	●	●	●	●	●	●



JOSHU SHIH, WSO-CSM, TSSP

Project Manager

Mr. Shih is a transit operations expert who manages and participates in numerous TRA reviews of public transportation operations, maintenance, safety, and security across North America. He has served in a variety of roles - project manager, project analyst, subject matter expert – in relation to transit operations, operations training, and facilities maintenance. Mr. Shih directly manages several SSO project teams, and serves as the main point-of-contact to those clients.

EDUCATION

- MCP, City and Regional Planning, University of Pennsylvania
- BA, Psychology and Finance, Washington University

YEARS OF EXPERIENCE

- Total: 17
- With TRA: 11

LICENSES/CERTIFICATIONS

- World Safety Organization, Certified Safety Manager, May 2021
- Transit Safety & Security Program Certificate, USDOT, Transportation Safety Institute, 2016

AREAS OF EXPERTISE

- Operations, Maintenance, Safety, Security
- Project Management
- Rules Compliance and Auditing
- Analysis and Inspection

EXPERIENCE

West Virginia Department of Transportation Division of Public Transit, State Safety Oversight Program, Morgantown, WV: Served as the project manager for the State Safety Oversight Program, covering the Morgantown Personal Rapid Transit (MPRT) System at West Virginia University. Evaluated WVDOT and MPRT plans, policies, and procedures for compliance with Federal regulations, including 49 CFR Parts 659 and 674. Led a WVDOT-DPT triennial audit of the MPRT's rules compliance, operations training, maintenance training, and drug and alcohol testing programs. Supported WVDOT in achieving MAP-21 certification from FTA, as well as WVDOT's oversight of WVU's safety certification of communications-based train control upgrades.

Virginia Department of Rail and Public Transportation, Statewide Public Transportation Agency Safety Plan, Multiple Locations: Served as a rail operations and drug and alcohol testing program subject matter expert for the DRPT triennial audit of rail operations, rail operations training, and the drug and alcohol testing program at the Hampton Roads Transit (HRT) Tide light rail system. Inspected HRT vehicles and signals maintenance. Interviewed HRT personnel; reviewed documents and records; and made field observations related to its control center, grade crossings, and maintenance-of-way facilities. Observed personnel performing preventive maintenance of rail vehicles.

Virginia Department of Rail and Public Transportation, Statewide Bus Public Transportation Agency Safety Plan, VA: Wrote the Statewide Bus Public Transportation Agency Safety Plan on behalf of the DRPT, covering bus agencies with up to 100 revenue vehicles in peak service. Interviewed bus agency personnel and reviewed agency documentation to learn about current safety, operations, and maintenance practices. Wrote several sections of the Statewide Bus PTASP to document the safety practices of individual agencies.

Maryland Department of Transportation, Rail Safety and Security Oversight Program, Baltimore, MD: Served as a subject matter expert for MDOT in variety of reviews of the Maryland Transit Administration, including a



JOSHU SHIH, WSO-CSM, TSSP

Project Manager

Triennial Review and the MTA Light Rail and Metro operations training. Interviewed MTA personnel and performed field evaluations. Supported MDOT in its execution of the FTA Right-of-Way Worker Protection Safety Advisory and the FTA Tunnel Ventilation Systems Safety Advisory. Interviewed MTA personnel, reviewed MTA plans, policies, and procedures, and evaluated MTA practices in the field.

Washington Metrorail Safety Commission, State Safety Oversight Program of WMATA, Washington, DC: Served as Project Manager for the State Safety Oversight Agency covering WMATA's Metrorail system. Coordinated with WMSC's Chief Operating Officer to facilitate requests for TRA team subject matter experts for task orders, managing the overall contract and team.

Tri-State Oversight Committee, State Safety & Security Oversight Program of WMATA, Washington, DC: Managed team as related to technical assistance and support of the review and analysis of WMATA accident/incident investigations, corrective action plans, and hazard reports. Reviewed safety and security certification of WMATA capital projects, including Phases 1 and 2 of the Metrorail Silver Line and the 7000-Series Railcar Procurement. Participated in numerous TOC triennial safety and security audits and field inspection of Metrorail. Performed field inspections of WMATA vehicles, infrastructure, and facilities; reviewed WMATA documents; and interviewed WMATA personnel. Served as a subject matter expert in the TOC audits of WMATA stations maintenance and rail operations and operations training. Supported the TOC in its coordination with FTA WMATA Safety Oversight in FWSO's safety oversight duties over WMATA.

Pennsylvania Department of Transportation, Pennsylvania Rail Transit Safety Review Program, Philadelphia, Pittsburgh, and Johnstown, PA: Performed a variety of operational safety reviews in the field for SEPTA and the Port Authority of Allegheny County. Maintained the RTSRP accident/incident database and met regularly with system safety personnel to discuss open accident/incident investigations. Performed a variety of RTSRP reviews, including: subway emergency egress and equipment; subway tunnel inspections; operations and operations training; operations control center; procurement; traction power; rule compliance; vehicle inspections; station safety and maintenance; shop safety inspections; and roadway worker protection.

Oregon Department of Transportation, State Safety and Security Oversight Program, Portland, OR: Managed the Oregon Rail Transit SSO program. Facilitated a mock audit of the SSO Program. Supported multiple Triennial Audits of TriMet and Portland Streetcar, Pre-Revenue Reviews of TriMet's Orange Line extension, and Portland Streetcar's "Complete the Loop" extension. Served as the subject matter expert for rail operations and operations training, drug and alcohol testing program, stations maintenance, and station-pedestrian interface. Also managed enhancements to the SSO program to achieve MAP-21 compliance. Developed a new Program Standard compliant with 49 CFR Part 674, procedures for Accident Investigation and Corrective Action Plan, and a Conflict-of-Interest Policy.

Texas Department of Transportation, State Safety and Security Oversight Program, Dallas and Houston, TX: Supported TXDOT in its oversight of the Dallas Area Rapid Transit (DART) light rail system, the Dallas Streetcar (DSC), and the McKinney Avenue Transit Authority (MATA) trolley system. Also led oversight of the Metropolitan Transit Authority of Harris County (Houston METRO) light rail system. Oversaw day-to-day support on such activities as accident investigation, Corrective Action Plan (CAP) reviews and approvals, monthly teleconferences, quarterly site visits, and RFI/safety advisory responses. Managed past Triennial State Safety Oversight (SSOA) Audits of Houston METRO, DART, and MATA. Reviewed, approved, and verified Corrective Action Plans (CAPs). Coordinated with METRO, DART, and MATA to fulfill TxDOT's document requests and to set each respective review's on-site schedule. Reviewed the drug and alcohol testing program, contractor safety training and requirements, hazardous materials; stations and shop safety; and rail operations; and operations training.

Metropolitan Atlanta Rapid Transit Authority, Comprehensive Assessment of Safety-Critical Systems, Atlanta, GA: Performed a comprehensive assessment of MARTA's Safety Critical Systems. Evaluated rail vehicles and rail vehicle maintenance. Contributed to the findings of the final project report, which resulted in recommendations for improvements to rail and bus maintenance practices and procedures.

New Jersey Transit, Rail System Field Operations Safety Review, Newark, NJ: Led technical audits of NJ Transit's compliance with FRA regulations. Was responsible for blue signal protection, signals/train control testing and inspections, stations inspections, and structures inspections. Also contributed to audits related to operations and train handling, safety functions, and personal protective equipment use.



DANIEL HAUBER, WSO-CSE, TSSP, PMP

Vice President/Principal-in-Charge

Mr. Hauber specializes in the operations, maintenance, safety, and security of transportation and new start projects. He works with transportation authorities and government agencies to formulate integrative, management-focused approaches. Mr. Hauber plans and implements independent, comprehensive assessments focused on key business process elements, such as procedures and rules structures. As integral leader of the firm's state safety oversight technical and management teams, Mr. Hauber has helped plan, develop, program, and implement state safety oversight programs. He has also helped existing programs achieve better safety and security outcomes. He has been a technical auditor for rail transit safety oversight in 19 states and jurisdictions, examining all aspects of transit agency safety, security, operations, maintenance, and supporting functions. He has helped states with both triennial reviews and ongoing safety oversight programs, and has been a key part of accident investigation teams.

EDUCATION

- Masters Certificate, Project Management, Villanova University
- MBA, Business Administration, Temple University
- BA, Urban Studies, University of Pennsylvania

YEARS OF EXPERIENCE

- Total: 24
- With TRA: 23

LICENSES/CERTIFICATIONS

- Transit Safety & Security Professional, Transit Safety Institute, February 2018
- Public Transportation Safety Certification Training Program, September 2021
- Project Management Professional, Certificate No. 1681000, Project Management International, December 2022

SPECIALIZED TRAINING

- ICS-100, Introduction to Incident Command System, Emergency Management Institute, March 2019
- ICS-200, Basic Incident Command System for Initial Response, Emergency Management Institute, May 2019
- NIMS-700, Introduction to the National Incident Management System, Emergency Management Institute, May 2019
- NIMS-800, National Response Framework Introduction, Emergency Management Institute, May 2019

AREAS OF EXPERTISE

- State Safety Oversight
- Project Management
- Technical Auditing
- Operations and Maintenance

EXPERIENCE

West Virginia Department of Transportation, State Safety Oversight Program, Morgantown, WV: Served as project principal. Assisted in finalizing West Virginia's Part 659-compliant SSO program, and in obtaining the state's SSO certification under MAP-21 and Part 674 requirements. Coordinated with the Personal Rapid Transit system at West Virginia University to apply the FTA's SSO requirements, as well as other FTA-compliant processes, including hazard management, accident investigation, safety and security audits, and others.



DANIEL HAUBER, WSO-CSE, TSSP, PMP
Vice President/Principal-in-Charge

Pennsylvania Department of Transportation, Rail Transit Safety Review Program, Philadelphia/Pittsburgh/Johnstown, PA: Served as project principal and primary technical auditor in several areas, including safety (accident investigation, safety certification, corrective action plans, internal audit oversight, and hazard management), training, maintenance and infrastructure, and operations. Provided accident investigations, system safety and security plan review and approval, corrective action plan monitoring, internal and external reporting, and overall state safety oversight program direction.

Hawaii Department of Transportation, State Safety Oversight Program, Honolulu, HI: Directed TRA's project team to identify, analyze, and address issues related to the overall program structure and the Honolulu Rail Transportation Project (H RTP) system. Audited the safety and security certification, testing, and safety programs of HART's rail project, as well as the safety and oversight capacity of HDOT Services (responsible for operations and maintenance once the line opens). Participated in field audits, meetings, and conference calls associated with project startup and safety.

Tennessee Department of Transportation, State Safety Oversight Program, Memphis and Chattanooga, TN: Served as system safety subject matter expert during audits of the Chattanooga Area Regional Transportation Authority's (CARTA) Lookout Mountain Inclined Railway. Facilitated and led a hazard management and safety management systems (SMS) training class and seminar for CARTA managers.

Minnesota Department of Public Safety, Rail Safety Oversight Program, Minneapolis and St. Paul, MN: Served as the principal-in-charge for Minnesota rail safety oversight. Worked with the Minnesota State Patrol to formulate and implement its state safety oversight program, while ensuring compliance with MAP-21 requirements. Performed technical and field audits related to safety (accident investigation, safety certification, corrective action plans, internal audit oversight, and hazard management), security, operations, training, maintenance, and new/capital projects (including three substantial light rail extensions).

Illinois Department of Transportation, State Safety Oversight Program, Chicago and St. Clair County, IL: Assisted the agency meet FTA and MAP-21 requirements. Performed technical audits as part of IDOT's triennial on-site reviews. Completed similar program-level and auditing work for the RTA SSO program, which oversaw the CTA from 2001-2016, and the St. Clair County SSO program, which was previously responsible for Bi-State/Metro oversight. Audited CTA and Bi-State topics, including operations, safety, training, roadway worker protection, and maintenance of track, structures, signals, traction power, and rail vehicles.

Maryland Department of Transportation, State Safety Oversight Program, Baltimore, MD: Performed on-site audits and reviews of Baltimore MTA rail operations, maintenance, and related topics, including training, rule compliance, signals maintenance, traction power maintenance, track maintenance, roadway worker protection, and safety management. Served on five on-site triennial audits within a 20-year span of working with this client.

Florida Department of Transportation, Rail Fixed Guideway Transit Safety and Security Oversight Program, Jacksonville/Miami/Tampa/Fort Lauderdale, FL: Served as a technical audit responsible for reviewing maintenance, operations, and safety topics for Miami Metro Rail (metro/heavy rail mode), Miami Metro Mover (automated people mover), Jacksonville Skyway (automated people mover), Miami Airport (automated people movers), and Miami-Dade Transit (transit bus). Audited Miami-Dade Transit safety related to the maintenance of track, bridges and structures, train control, facilities, traction power, and passenger vehicles. Also served as the primary auditor for roadway worker protection, operations, and system safety.

Oregon Department of Transportation, State Safety and Security Oversight Program, Portland, OR: Organized and implemented several triennial audits and pre-revenue service reviews. Performed technical audits related to track, signals, vehicles, structures, and traction power maintenance, operations and supervision, training, and safety functions for the TriMet light rail system and the Portland Streetcar.

Washington State Department of Transportation, State Safety and Security Oversight Program, Seattle and Tacoma, WA: Planned and implemented several triennial reviews of the Seattle Waterfront Streetcar, Seattle Monorail, Tacoma Link, Central Link, and South Lake Union Streetcar. Conducted pre-revenue service assessments of the two Link light rail systems. Led audits related to operations, system safety functions (including accident investigation, safety certification, corrective action plans, internal audit oversight, and hazard management), infrastructure maintenance (including track, signals, traction power, stations, and structures), and training. Also contributed to several security-related audits.



DANIEL HAUBER, WSO-CSE, TSSP, PMP
Vice President/Principal-in-Charge

Texas Department of Transportation, State Safety and Security Oversight Program, Dallas and Houston, TX: Led technical audits related to track, signals, traction power, elevator/escalator maintenance, emergency equipment, operations, and training. Performed six total triennial audits - three at DART and three at Houston Metro.

Port Authority of New York and New Jersey, AirTrain Safety Oversight Board, Newark, NJ and New York, NY: Performed triennial audits for the Airtrain automated fixed guideway systems at Newark-Liberty International and JFK International airports. Was responsible for technical audits in areas of: track and guideway maintenance, train control, traction power, passenger stations, elevator/escalator maintenance, training, and operations control centers. Also performed technical audits in system safety areas, including configuration management, safety certification, hazard management, and accident investigation. Led and participated in several on-site incident and hazard investigations involving operational events, engineering and maintenance issues, and organizational safety issues.

West Virginia Department of Transportation, Development of Public Transportation Agency Safety Plans, Charleston, WV: Developed PTASPs for eight small urban bus transit systems. The project included detailed interviews and listening sessions with the transit agencies, information gathering and analysis, authoring of new PTASP sections and content, and provision of PTASP and safety management system (SMS) training for transit agency personnel. Served as the project principal. Ensured consistency and quality across tasks and between transit agencies. Developed SMS training programs directed at managers, administrative personnel, and front-line workers.

Sound Transit, Safety and Security Certification Program Audits, Seattle, WA: Planned, programmed, and executed independent audits of the agency's safety and security certification programs. Elements taken into consideration included: physical construction, training, operating and maintenance procedures, and other critical project elements. Served as project principal, subject matter expert, and audit lead. Also performed an assessment of Sound Transit's light rail vehicle (LRV) procurement and related safety and security certification programs.

Southwest Ohio Regional Transit Authority, Cincinnati Streetcar Operations & Maintenance Consulting, Cincinnati, OH: When the City of Cincinnati assumed direct control over Cincinnati Streetcar's operations and maintenance, performed an assessment of the safety and security plans, processes, organizational structure, operations contractor procedures, and other key Streetcar elements. Liaised between the city and the local transit agency.

San Francisco Bay Area Rapid Transit District, Transportation Department Budget Efficiency Assessment, San Francisco, CA: Reviewed BART's overtime usage, tracking, and budget and contract implications. Identified leading drivers and factors associated with overtime use, as well as how to address these in future contract negotiations. Helped to better structure the overtime budget based on actual expenses and reasonable forecasts. Identified key performance indicators, management controls, and other processes to monitor and control overtime expenditures.

San Francisco Bay Area Rapid Transit District, Maintenance and Service Options Study, San Francisco, CA: Served as a senior advisor and technical consultant. Interpreted and analyzed BART materials, findings, and input; and in placing them in context in the transit industry and in transportation in general. Mr. Hauber provided high-level direction and review of the final report, analyses, recommendations, and findings.

Santa Clara Valley Transportation Authority/San Francisco Bay Area Rapid Transit District, Peer Review of Silicon Valley BART Extension Tunnel Options, San Francisco, CA: Facilitated a peer review of tunnel options for Phase II of the Silicon Valley BART Extension. Examined single-bore and twin-bore options. Evaluated issues related to fire/life safety, operations, and maintenance. Moderated presentations and discussions. Helped the peer review group organize questions, information requests, and its final presentation. Presented findings to board of directors. Collaborated with VTA and BART representatives.

Metropolitan Atlanta Rapid Transit Authority, Atlanta Streetcar Operations & Maintenance Consulting, Atlanta, GA: Served as project principal. Helped transition Atlanta Streetcar operations and maintenance from the city to MARTA. Managed overall project direction. Provided technical input and accuracy. Evaluated operations and maintenance practices and plans. Formulated a transition plan for the change in operating authorities.



APRIL DORCAK, TSSP, PTSCTP

Project Engineer

Ms. Dorcak provides state safety oversight (SSO) consulting services for various clients. Her responsibilities include coordinating with rail transit agency personnel, performing on-site safety and security audits, managing corrective action plans, participating in internal audits, conducting field reviews, identifying opportunities for improvement, and monitoring safety-related projects, initiatives, and hazards. Ms. Dorcak develops Public Transportation Agency Safety Plans (PTASPs), and is involved in training agency personnel on safety management systems (SMS) and PTASP implementation. Her experience in project coordination and oversight, process improvement, data analysis, and change management enables her to identify operational efficiencies and continuous improvement opportunities related to the development of best practices, processes, and procedures.

EDUCATION

- MBA, Business Administration, Duquesne University
- BS, Industrial Engineering, Pennsylvania State University
- AS, Environmental Studies, Columbia College
- Graduate Certificate, Railroad Engineering, University of Illinois Urbana-Champaign

YEARS OF EXPERIENCE

- Total: 14
- With TRA: 3

LICENSES/CERTIFICATIONS

- Public Transportation Safety Certification Training Program - Initial Certification November 2020
- Rail Transit Safety and Security Program (TSSP) Certification - U.S. Department of Transportation, Transportation Safety Institute (TSI) - November 2020

SPECIALIZED TRAINING

- National Incident Management System Incident Command System Training, ICS-100, ICS-200, ICS-700, ICS-800), 2019
- University of Wisconsin Fundamentals of Train Control and Signaling, 2019
- Rail Transit Agency Training
- Right of Way Certification - PAAC, SEPTA
- PAAC First Responder Familiarization Training
- PAAC Crisis Awareness Training
- PAAC Active Shooter Training
- PAAC First Observer Training
- Six Sigma Yellow Belt Certified
- Six Sigma Green Belt Trained

AREAS OF EXPERTISE

- State Safety Oversight
 - Public Transportation Agency Safety Plans
 - Corrective Action Plans
 - Hazard Mitigation
-

APRIL DORCAK, TSSP, PTSCTP

Project Engineer



EXPERIENCE

West Virginia Department of Transportation, Division of Public Transit, State Safety Oversight Program, Morgantown, WV: Served as the on-site safety oversight representative for the WVDOT-DPT at the West Virginia University's Personal Rapid Transit (WVU PRT). Worked closely with the SSO Program Manager to provide ongoing reviews of program safety plans, program standard development, and internal and external audit coordination and execution. Participated in safety audits. Monitored CAPs, events and hazards, and worked with WVU's Director of Transportation and the PRT's Chief Safety Officer to ensure safety of the RTA and compliance with SSO requirements. Also developed and led an SMS training and implementation workshop at the WVU PRT.

West Virginia Department of Transportation, Division of Public Transit, Development of Public Transportation Agency Safety Plans (PTASPs), Charleston, WV: Collaborated with the WVDOT-DPT to enhance the operations for eight bus agencies in WV. Developed PTASPs, the tasks of which involved reviewing documentation, conducting on-site interviews with key personnel, developing safety plans for the agencies, documenting compliance gaps, and ensuring that agency PTASPs were approved. Assisted with the development of training materials, and provided training to the bus agencies on SMS and PTASP implementation.

Pennsylvania Department of Transportation, Rail Transit Safety Review Program, Pittsburgh, Johnstown, and Philadelphia, PA: Served as the on-site state safety oversight representative in Pittsburgh and Johnstown. Coordinates and participated in triennial safety and security audits at both the Port Authority of Allegheny County (PAAC) and the Cambria County Transit Authority (CamTran). Performed operations and station evaluations. Reviewed policies and procedures. Conducted field observations and assessments. Participated in tabletop and functional emergency exercises. Worked incident scenes and participated in after-action reviews. Collaborated closely with PAAC and CamTran staff, including system safety, emergency responders, and other RTA management and personnel to manage oversight activities, develop and monitor corrective action plans, and ensure safety at the RTAs. Directed preparation and led quarterly safety and security update meetings with PAAC and CamTran. Attended RTA-led safety and security meetings. Supported SEPTA in the development of program standard and standard operating procedure revisions, monthly reporting, and annual reporting.

Illinois Department of Transportation, State Safety Oversight Program, Chicago, IL/St. Louis, MO: Provided program-level support to the IDOT SSO Program, including providing assistance with the program standard, monthly and annual reporting, and the development of a triennial audit schedule for the CTA. Coordinated with the IDOT SSOA to ensure joint oversight of Metrolink, which serves both Missouri and Illinois in the St. Louis region.

The Bank of New York Mellon, Various Roles, Pittsburgh, PA: Functioned as a business analyst and a client implementation specialist. As a business analyst, streamlined operations and continually improved processes across multiple operations in the US, Europe, and Asia. Assisted in the development of a global operating model with recognized best practices. Delivered operational impact analysis in the form of workflow documentation and FTE analysis. Facilitated discussions between multiple business partners during new process or technology implementations. Created and delivered a project tracking dashboard for the Global Fund Accounting program, and ensured that all initiatives aligned with the global operating model. As a client implementation specialist, achieved the build-out of an offshore operations site. Produced training and transition plans. Developed goals, objectives, and success measures for a subject matter expert visit. Generated an operational clock and deliverable tracker. Introduced a resource allocation model to position the project and operations teams across three locations for new requests and to manage resources based on priorities. Generated an efficient product-based quality assurance checklist. Wrote operating procedures. Led testing, operational readiness, and production parallel efforts. Liaised with consultants and clients. Delivered a standard client onboarding model across three regions and six products in order to scale the technology platform. Collected inventory for a multi-phased implementation approach. Produced artifacts to support the business model.

Bayer Corporation, Internal Auditor, Pittsburgh, PA: Examined operational and financial data and management reports in detail to verify their accuracy. Eliminated fraud and waste through the review of management practices and internal controls, as well as verified operations' consistency with corporate objectives and policies, laws, and regulations. Developed recommendations based on audit findings and produced audit reports to deliver findings to management, executives, and other key personnel.

CHRISTOPHER WALLGREN, WSO-CSE, TSSP Vice President



Mr. Wallgren is a transit industry leader in the development, support, and performance of state safety oversight (SSO) services. He has supported the development and audit of SSO program standards and procedures for state safety oversight agencies (SSOAs) and independent safety oversight boards for non-FTA fixed guideway systems. He understands the complex management, operations, and maintenance needs of multimodal systems. He has served as principal, manager, and researcher on bus and rail operations and maintenance needs assessments, and he has identified improved business processes that support safe, reliable, and functional transportation options. Mr. Wallgren is adept at working with all types of employees involved in Operations and Maintenance, from front-line operators and maintainers to senior management and board members. He understands the complex systems and how to optimize their performance. In addition, Mr. Wallgren develops security and emergency preparedness plans, concepts of operations plans (COOPs), and threat and vulnerability assessments. He recognizes that the open environment of the transit/rail industries pose unique challenges that must carefully considered.

EDUCATION

- MSE, Urban Transportation Systems Engineering, University of Pennsylvania
- BSE, Urban Transportation Civil Engineering Systems, University of Pennsylvania

YEARS OF EXPERIENCE

- Total: 22
With TRA: 21

LICENSES/CERTIFICATIONS

- Transit Safety & Security Professional, Transportation Safety Institute, September 2018
- Public Transportation Safety Certification Training Program, October 2021
- World Safety Organization, Certified Safety Executive, October 2021

AREAS OF EXPERTISE

- State Safety Oversight
- Automated People Movers
- Standards and Practices
- Operations and Maintenance

EXPERIENCE

Port Authority of New York and New Jersey, AirTrain Safety Oversight Board, Newark, NJ/New York, NY: Helped developed the ATSOB, an independent internal safety oversight body modeled on the requirements of Federal rail transit state safety oversight regulations. The ATSOB oversees the AirTrain automated people mover systems at JFK International and Newark-Liberty International airports. Served as the principal-in-charge over project activities. Monitored corrective action plan responses, accident/incident reporting, and tracking of other safety and security critical items. Led Triennial Audits for both AirTrain systems. Performed audits of the operations control centers and system safety functions. Led independent incident investigations, and assisted in oversight and monitoring of various

CHRISTOPHER WALLGREN, WSO-CSE, TSSP

Vice President



training programs. Worked with the PANYNJ to transition the ATSOB into a program that complies with the requirements for State Safety Oversight established under 49 CFR Parts 673 and 674. Developed a safety certification program for the new AirTrain systems being planned for LaGuardia and Newark-Liberty International airports.

Illinois Department of Transportation, State Safety Oversight Program Triennial Audit of Chicago Transit Authority, Chicago, IL: Served as an auditor on the team for multiple triennial reviews for the IDOT SSO Program and its predecessor under IL-RTA. Led audits of all system safety department functions, including accident investigation, safety inspections, safety training, and hazard management. Also audited rail operations control, rail supervision and audit, and rail operations training, in addition to safety data analysis, hazard management, safety management systems, safety training, drug and alcohol program compliance, and shop and industrial safety. Provided advice on SSO best practices nationwide for consideration of applicability to the IDOT program.

Florida Department of Transportation, Rail Fixed Guideway Transit Safety and Security Oversight Program, Jacksonville/Miami/Tampa, FL: Established and administered a comprehensive, statewide SSO program. Performed five triennial audits of Miami-Dade Metrorail & Metromover, three triennial audits of the Jacksonville Transportation Authority Skyway, and three triennial audits of the Hillsborough Area Regional Transit TECO Line Streetcar in Tampa. Led safety compliance audits in all areas of transit agency operation and maintenance. Developed specialized FDOT familiarization and guidance on hazard assessment, roadway worker protection, and other topics. Directed TRA team in the performance of hazard analyses, rule compliance audits, safety certification, hazard and risk management, safety promotion, and incident investigation. Worked with FDOT to implement a significantly expanded SMS-based audit program statewide. Monitored the incorporation of safety certification of the Miami-Dade Metrorail fleet replacement.

Texas Department of Transportation, State Safety Oversight, Statewide TX: Served as principal-in-charge. Expanded the TxDOT SSO program into a more comprehensive and engaged effort at Dallas Area Rapid Transit (DART), McKinney Avenue Transit Authority (MATA), the Dallas Streetcar, and Galveston Island Transit (GIT). Led audit efforts at Houston METRO. Performed the Three-Year Safety and Security Reviews of DART and METRO light rail systems. Led detailed topic audits in rail operations, training, system safety, employee health and safety, and facilities and infrastructure inspection and maintenance. Worked with TxDOT officials to evaluate DART and METRO corrective action plans and resulting corrective actions. Advised TxDOT on implications associated with changes in State Safety Oversight legislation. Performed targeted audit of MATA in response to reportable events involving the historic streetcar operations. Directed the team's efforts related to the Triennial Audit of Houston METRO. Oversaw GIT's safety certification and reopening of historic trolley service after several years of closure. Oversaw MATA, DART, DSC, and GIT PTASP and SMS implementation.

Hawaii Department of Transportation, State Safety Oversight Program, Honolulu, HI: Served as an operations and safety expert on the oversight of Honolulu Rail Transportation Project. Audited safety certification, testing, and safety programs, as well as the safety and oversight capacity of Honolulu's Department of Transportation Services. Audited operations and staffing plans, as well as SMS and emergency preparedness and response documentation.

Florida Department of Transportation-District 6, Miami International Airport Automated People Mover Safety Oversight, Miami, FL: Served as the principal-in-charge responsible for supporting safety oversight of the MIA APMs. Led a safety certification oversight program for the construction and opening of a new, upgraded APM system in Terminal E. Managed ongoing safety oversight assistance for the SkyTrain, MIA APMs, and the Terminal E train. Reviewed safety certification checklists, operating rules and procedures, the system safety program plan, and other related documents. Performed on-site reviews. Led operations, rule compliance, safety, and fitness for duty audits related to the Triennial Audit of MIA's APMs' compliance with 14-15.017 F.A.C. Also directed an independent investigation of a SkyTrain derailment.

Florida Department of Transportation-District 5, SunRail System Safety Program Plan Review and Triennial Audit, Orlando, FL: Conducted annual reviews of the safety plan that governs safety activities of the SunRail commuter rail line. Evaluated the plan's compliance with FDOT-mandated requirements for the safety program. Established plans in compliance with FDOT requirements for contractors related to train operation and maintenance. Conducted the first on-site Triennial Audit of the SunRail system.

CHRISTOPHER WALLGREN, WSO-CSE, TSSP

Vice President



Florida Department of Transportation-District 5, Orlando International Airport APM Review of Operational Safety and Triennial Audit, Orlando, FL: Performed detailed reviews of the plan that governs safety activities of the APM systems. Evaluated safety plan compliance with FDOT-mandated requirements. Established plans, policies, and procedures, compliant with FDOT regulations, to protect contractors. Conducted an emergency review of one of the new APM systems plagued with in-service breakdowns. Led the first-ever Triennial Audit of the APM systems.

Oregon Department of Transportation, State Safety and Security Oversight Program, Portland, OR: Served as an auditor on the triennial review team for multiple Triennial Reviews performed for Tri-Met and Portland Streetcar. Assisted in performing a pre-revenue service assessment for a Portland Streetcar extension. He focused reviews on system safety functions, including accident investigation, safety inspections and training, emergency preparedness, and hazard management.

Massachusetts Bay Transportation Authority, Safety Management System Consulting Services, Boston, MA: Provided support to the MBTA's Safety Department as it introduces an advanced safety management system. Established new safety data gathering. Aligned safety data with SMS goals and objectives. Gathered and assessed existing data and migrated it into the new SMS to ensure the usefulness and accuracy of the safety data. Provided technical support related to internal audit performance and corrective action plan management.

Sound Transit, Safety Certification Independent Verification, Seattle, WA: Served as a subject matter expert. Conducted the independent review, audit, and verification of the extensive Safety Certification Program. Scope involved auditing safety certification records, including confirming that final designs referenced mitigations identified in hazard analyses and threat and vulnerability assessments, NFPA standards, and local building codes.

Metropolitan Atlanta Rapid Transit Authority, Assessment of TrackSafe Roadway Worker Protection Technology, Atlanta, GA: Served as an independent safety assessor to MARTA in Phase 2 of the TrackSafe Roadway Worker Protection Technology pilot project. TrackSafe is a roadway worker protection secondary warning device intended to supplement existing roadway worker protection rules and enhance worker safety while working in live track environments. Worked with the Project Manager to establish the audit scope and schedule. Developed questionnaires for participant interviews. Led reviews of MARTA Integrated Operations Center and its use of and for TrackSafe. Developed an independent assessment report for MARTA and FTA regarding the feasibility and safety of wayside alert technologies based on the findings from data analysis and onsite interviews/observations.

Bay Area Rapid Transit District, Safety Programs and Training Needs Assessment and Agency Safety Plan Development, Oakland, CA: Led a team responsible for assessing the safety programs and training. Developed questionnaires related to safety training and the integration of safety into operations and maintenance training programs. Established criteria for interviews with safety, operations, maintenance, training, and other agency personnel to determine their current engagement with the safety department and their understanding of internal safety activities. Gauged requirements established by the state and the FTA. Developed a 49 CFR Part 673-compliant Public Transportation Agency Safety Plan that integrated the three separate safety plans in place for BART's existing BART heavy rail line, the eBART diesel multiple unit service, and the Oakland Airport Connector APM. Developed a four-hour management safety training module related to PTASP and SMS efforts.

Bay Area Rapid Transit District, Maintenance and Service Options Study, Oakland, CA: Performed an in-depth assessment of options for BART related to whether to incorporate extensive new maintenance protocols system-wide, while balancing increased ridership levels and requests for more service. Approved a comprehensive overview of needs and demands with options for seeking the most appropriate balance of service and maintenance. The goal was to deliver high levels of service while upgrading and maintaining infrastructure. Presented findings to Board of Directors. Conveyed critical need to coordinate extensive maintenance and capital project plans to maintain and improve operating reliability and performance.

American Public Transportation Association, Rail Transit Standards Operating Practices Working Group, Washington, DC: Managed APTA's Rail Operating Practices Working Group in its development of rail transit standards. Served as a liaison between APTA and the members of the Committee, which include transit agency managers from nearly every rail transit system in the U.S. The Working Group has developed 27 operations and safety standards on important subjects from accident investigation to rulebook introduction and authority to hours-of-service requirements. His expertise in transit operations offered an additional perspective in the drafting of the industry's first rail transit operations standards so that they offer clear and useful guidance to the industry.



JOHN WEISGERBER, PE

Senior Director – Engineering

Mr. Weisgerber's career spans more than 40 years during which he has been involved with the infrastructure and rolling stock of railroads and transit agencies. He has worked closely with Class 1 railroads, short lines, international lines, and maintenance and engineering departments. Mr. Weisgerber provides safety oversight support for a number of SSO programs, including triennial audits of track, structures, traction power, train control, and vehicle maintenance programs.

EDUCATION

- BEE, Electrical Engineering, Georgia Institute of Technology

YEARS OF EXPERIENCE

- Total: 42
- With TRA: 6

LICENSES/CERTIFICATIONS

- Registered Professional Engineer, PE-052235-E, Pennsylvania, 1997

SPECIALIZED TRAINING

- ICS-100, Introduction to Incident Command System, Emergency Management Institute, 2019
- ICS-200, Basic Incident Command System for Initial Response, Emergency Management Institute, 2019
- ICS-700, Introduction to the National Incident Management System, Emergency Management Institute, 2019
- ICS-800, National Response Framework Introduction, Emergency Management Institute, 2019
- FTA SMS Awareness, 2019
- Derailment Investigation and Prevention Seminar, 2015

AREAS OF EXPERTISE

- State Safety Oversight
- Track Maintenance
- Rail Vehicles – Revenue and Non-Revenue
- Elevated Structures

EXPERIENCE

West Virginia Department of Transportation, State Safety and Security Oversight Program, Morgantown, WV: Participated in the SSO Triennial Safety and Security Audit of the West Virginia University Personal Rapid Transit (PRT). Reviewed the safety programs, including drug/alcohol, training, security and emergency management, accident and incident response and investigation, hazard management, and hazardous materials management. Also reviewed the PRT structures inspection procedures and reports as part of the routine inspection visits.

Virginia Department of Rail and Public Transportation, SS and Security Oversight Program, Hampton Roads, VA: Participated in the SSO Triennial Safety and Security Three-Year Reviews of the Hampton Roads Transit Light Rail maintenance. Reviewed the inspection and maintenance practices. Provided technical training for track, systems, structures, and facilities. Provided ongoing oversight with regular visits to review inspection and maintenance practices and documentation. Reviewed incident and hazard reports submitted to VADOT as required by the FTA.

Maryland Department of Transportation, Rail Safety and Security Oversight Program, Baltimore, Montgomery, and Prince Georges, MD: Participated in two MDOT SSO Triennial Safety and Security Audits of track inspection/ maintenance practices of heavy and light rail. Reviewed inspection/maintenance practices of the non-revenue maintenance vehicles of both modes, including the technical training, maintenance facilities, and reporting practices. Supported MDOT during the unscheduled shutdown of Baltimore Heavy Rail due to rail wear issues.

JOHN WEISGERBER, PE

Senior Director – Engineering



Participated in a special MDOT audit/review of MTA's Roadway Worker Protection procedures. Provided ongoing reviews of incidents and hazards reports for thoroughness and technical accuracy of the causes and responses to events.

Pennsylvania Department of Transportation, Pennsylvania Rail Transit Safety Review Program, Philadelphia, Pittsburgh, and Johnstown, PA: Participated in the Triennial Safety and Security Audit of: SEPTA's structures, technical training, track maintenance, signals, vertical transportation, and non-revenue vehicles; PAAC's structures, signals, and station maintenance; and the CamTran structures. These included the NTSB investigations of a SEPTA Market-Frankford accident at 69th Street Yard, the SEPTA Norristown High-Speed Line accident at 69th Street Transportation Center, the SEPTA Broad Street Line passenger fatality, and the SEPTA Broad Street Line employee fatality. Provided expertise for the: recovery program of the SEPTA M4 Body Bolster failures and repairs; the SEPTA M4 Grounding Brushes failures; the investigations of the PAAC Library Line flooding incident and Station Square closure due to the Norfolk Southern derailment. Reviewed agency reports of hazards and incidents for thoroughness and technical accuracy related to the causes and responses of these events.

Florida Department of Transportation, Rail Fixed Guideway Transit Safety and Security Oversight Program, Jacksonville, Miami, Tampa, and Fort Lauderdale, FL: Provided oversight to Miami DTPW track, structures, traction power, train control, and vehicle maintenance for Metrorail and Metromover. Supplied technical support for the Track and Guideway Department, inspection, and maintenance operations. Participated in two SSO Triennial Safety and Security Audits of Metrorail and Metromover. Reviewed inspection/maintenance practices of the track, traction power, and train control departments. Was involved in two SSO Triennial Safety and Security Audits of the TECO Line Streetcar Track Department. Reviewed inspection/maintenance practices, procedures, and reports. On two SSO Triennial Safety and Security Audits of the JTA Skyway, reviewed the guideway and structures maintenance and inspections, the train control system, and the traction power. Assessed the Roadway Worker Protection Program and General Employee/Contractor Safety procedures. Provided ongoing oversight of these three RTAs with regular visits to review inspection and maintenance practices, documentation, and incident and hazard reports.

Texas Department of Transportation, State Safety Oversight Program, Dallas/Houston, TX: Participated in the TxDOT Triennial Safety and Security Audit of the Houston Metrorail light rail track and vehicles departments. Reviewed the maintenance and inspection practices and procedures, assessed its current condition, and analyzed the reporting practices of the track and the revenue vehicles departments. Also participated in the TxDOT Triennial Safety and Security Audit of the McKinney Avenue Transit Authority (MATA) trolley track and vehicle departments. Reviewed the maintenance and inspection practices and procedures, assessed its current state, and analyzed the reporting practices of the track and the revenue vehicles departments. Investigated the causes and lessons learned from incidents related to the shutdown of the MATA Trolley Barn. Reviewed maintenance documents and engineering drawings of the system. Inspected the track, the vehicles and the overhead catenary system. Participated in the TxDOT Triennial Safety and Security Audit of the Dallas Streetcar (DSC) track and technical training departments. Reviewed maintenance and inspection practices and procedures, assessed its current state, and analyzed the reporting practices of the track department. Performed a review of the technical training procedures and requirements. Provided ongoing reviews of the agency reports for thoroughness and technical accuracy of the causes and the responses to the events. Performed a restart review of the Galveston Island Streetcar. Was responsible for reviewing the inspection and maintenance procedures, as well as the readiness of the system infrastructure after the system's shutdown due to damage from Hurricane Ike in 2008.

Missouri Department of Transportation, Rail Safety and Security Oversight Program, St. Louis/Kansas City, MO: Participated in the MoDOT PRSR activities for St. Louis Loop Trolley. Provided oversight of Loop Trolley in pre-revenue activities and recently during start-up/revenue activities. Performed ongoing reviews of the Kansas City Streetcar and St. Louis Metrolink. Analyzed incident and hazard reports for thoroughness and technical accuracy of the causes and the responses to the events.

Illinois Department of Transportation, State Safety Oversight Program, Chicago, IL: Performed two IDOT SSO Triennial Safety and Security Audits of the Chicago Transit Authority. Reviewed inspection and maintenance practices as related to track inspection and maintenance and structure inspection and maintenance. Provided technical review of hazard/incident reports to IDOT SSO. Participated in a special IDOT audits/reviews of CTA's grade crossing protection and of ultrasonic rail testing practices.

JOHN WEISGERBER, PE
Senior Director – Engineering



Hawaii Department of Transportation, State Safety Oversight Program, Honolulu, HI: Supported the SSO program for the HART startup. Reviewed the documentation (SOPs and maintenance practices) under development by Hitachi Rail Honolulu, as well as hazard mitigations and incident reports.

Washington Metrorail Safety Commission, State Safety Oversight Program of WMATA, Washington, DC: Served as Technical Program Specialist in the WMSC SSO Triennial Safety and Security Audit of: inspection/maintenance of elevated structures; non-revenue maintenance vehicles; and revenue vehicles. Reviewed WMATA technical documentation for triennial audits, providing comments to WMSC audit staff. Advised on technical issues identified in triennial audits. Evaluated proposed corrective action plans in response to triennial audits and advised on WMSC's follow-up actions. Reviewed revised WMATA-1000 track standards document and provided comments to WMSC track maintenance subject matter expert with identified issues and recommendations.

Metropolitan Atlanta Rapid Transit Authority, Safety Review of Bombardier's TrackSafe System, Atlanta, GA: Participated in the final review of Bombardier's TrackSafe roadway worker protection secondary warning system. The review included operations and effectiveness of the technology in providing a safe working environment for on-track workers.

Bay Area Rapid Transit, Evaluation of Service Planning, Customer Communications, and Maintenance Planning Options, San Francisco, CA: Conducted an operations and maintenance review of BART. The project entailed site visits, interviews, and research assessing the current state of operations, along with recommendations for improvements. Focused largely on interviews and field observations related to maintenance practices and roadway worker protection.



WILLIAM MATTHEWS, WSO-CSP, TSSP

Senior Consultant

Mr. Matthews is a transportation subject matter expert specializing in system operations and maintenance. He provides technical guidance and system regulatory compliance as related to operations, system maintenance, and safety certification processes. His areas of expertise include commuter railroad and intercity transit operations, system equipment maintenance, accident/incident investigations, fire/life safety equipment, and occupational health and safety.

EDUCATION

- MS, Public Safety Management, Saint Joseph's University, Philadelphia, PA
- BS, Technical and Industrial Administration, Widener University, Chester, PA

YEARS OF EXPERIENCE

- Total: 38
- With TRA: 10

LICENSES/CERTIFICATIONS

- Transportation Safety and Security Program Certificate (TSSP), December 2010
- Certified Safety and Security Director, World Safety Organization

SPECIALIZED TRAINING

- National Incident Emergency Management (NIMS 100, 200, 700 & 800)
- OSHA 30 Hour General Industry Safety and Health.
- National Professional Qualifications Standard - Fire Inspector I, Fire Fighter I, Fire Fighter II, Fire Instructor I, Fire Instructor II
- Transportation Safety Institute, Advanced Transit Rail Incident Investigation, September 2018

AREAS OF EXPERTISE

- Safety and Security Compliance
- System Operations and Maintenance
- Regulatory Compliance
- Fire/Life Safety

EXPERIENCE

West Virginia Department of Transportation, Division of Public Transit, State Safety Oversight Program, Morgantown, WV: Provided technical support to the SSO Program Manager. Responsible for safety oversight and security regulatory compliance related to the Personal Rapid Transit, an automated people mover system operating within West Virginia University. Participates in triannual safety and security compliance auditing for vehicles, communications, signals, fire/life safety, and occupational health and safety processes, including accident/incident investigations and hazard management corrective actions.

Maryland Department of Transportation, Rail Safety and Security Oversight Program, Baltimore, MD: Provided technical support for MDOT's SSO program, which oversees the MTA's Light Rail and Metro heavy rail systems. Supported the SSO with triannual safety and security compliance audits for transit system equipment and maintenance processes, vehicle maintenance processes, communications and tunnel, fire/ life safety equipment maintenance, and inspection processes. Participated in the safety certification process for new rail cars and communication-based train control signal system upgrade. Reviewed tunnel ventilation and fire life safety systems, including equipment maintenance, training and inspection processes, and associated emergency procedures.

WILLIAM MATTHEWS, WSO-CSP, TSSP Senior Consultant



Pennsylvania Department of Transportation, Rail Transit Safety Review Program, Philadelphia/Pittsburgh/Johnstown, PA: Performed technical audits in system operations, maintenance, and fire/life safety equipment maintenance processes, including PA's Funicular Transit Systems. safety and security auditing, regulatory safety compliance reviews, Corrective Action Plan activity, accident/incident/hazardous condition investigations, standard operating procedures, and security reviews. Participated in NTSB investigations.

Illinois Department of Transportation, State Safety Oversight Program, Chicago and St. Clair County, IL: Provided state safety oversight for the Chicago Transit Authority (CTA). Performed technical safety reviews of CTA's accident investigation reporting, system preventive maintenance, and inspection processes for traction power distribution, rail vehicles, elevators and escalators, tunnel ventilation equipment and emergency egress and fire and life safety systems.

Florida Department of Transportation, Rail Fixed Guideway Transit Safety and Security Oversight Program, Jacksonville/Miami/Tampa, FL: Provided oversight support to transit agencies in Tampa, Jacksonville and Miami, such as regulatory safety compliance reviews, Corrective Action Plans, accident/incident/hazardous condition investigations, standard operating procedure review, infrastructure and vehicle maintenance processes, and security reviews to ensure compliance with FDOT-mandated Safety Program.

Florida Department of Transportation-District 6, Miami International Airport, State Safety Oversight of MIA Mover, Sky Train, and E Terminal Train, Miami, FL: Audited the elements of System Safety Program Plan that covers all three Automated People Mover lines. Power distribution, communication and signals, vehicles, fire/life safety systems, and the operating infrastructure were assessed. Also participated in investigation of the MIA Mover train derailment.

Florida Department of Transportation-District 6, Miami-Dade Bus Safety and Security Oversight Program, Miami, FL: Participated in two triannual safety and security compliance audit reviews based on the system safety plan of the Miami Metrobus fleet. The review included an assessment of system operations, fleet maintenance, maintenance shop conditions and security at Central, Coral Way and Northeast maintenance facilities. The audit also ensure compliance with FDOT-mandated Safety Program.

Florida Department of Transportation-District 5, Greater Orlando Airport Authority, Automated People Mover System, Orlando, FL: Performed a triannual compliance audit review of the system safety program plan for the APM system. Assessed vehicles, power distribution, communications, and signals systems maintenance processes. Also included an assessment of fire/life safety systems and emergency management processes. Evaluated System Safety Program Plan for compliance with FDOT's safety program mandates.

Minnesota Department of Public Safety, Rail Safety Oversight Program, Minneapolis and St. Paul, MN: Conducted safety and regulatory compliance audits for St. Paul's Metro Transit's Three-Year Safety and Security Reviews of traction power, vehicle, and facilities maintenance.

District of Columbia Fire and Emergency Medical Services, DC Streetcar State Safety and Security Oversight Program, Washington, DC: Provided technical subject matter expertise related to system operations and maintenance, as well as system safety certification. Reviewed design, construction, and operational verification for system certification. Also reviewed system safety program plan, related sub-plans, key safety-related elements, system expansion plans, and new vehicle procurement designs.

Port Authority of New York and New Jersey, AirTrain Safety Oversight Board, Newark, NJ/New York, NY: Provides technical guidance and support to the ATSOB as related to the Automated People Movers at JFK International and Newark-Liberty International airports. Conducted system operation and maintenance reviews, including accident/incident/hazard investigations, root cause analysis, and Corrective Action Plan acceptance.

Missouri Department of Transportation, Rail Safety and Security Oversight Program, St. Louis and Kansas City, MO: Provided technical support for the Kansas City Streetcar and the St. Louis MetroLink Light Rail System on Three Year Safety and Security Reviews. Conducted safety and regulatory compliance audits for transit system equipment and maintenance processes, vehicle maintenance processes, communications and tunnel equipment, and fire/life safety equipment maintenance and inspection processes.

Utah Department of Transportation, State Safety and Security Oversight Program, Salt Lake City, UT: Assisted the UDOT state safety oversight staff with operations and maintenance technical support for the Utah Transit



WILLIAM MATTHEWS, WSO-CSP, TSSP

Senior Consultant

Authority (UTA) and the TRAX system. Conducted reviews of signal system equipment maintenance records, per FRA standards, including vehicle maintenance and facility maintenance requirements to ensure FTA, APTA and OSHA compliance.

Hawaii Department of Transportation, State Safety Oversight Program, Honolulu, HI: Worked closely with the state Program Manager to identify and analyze issues related to the program startup and asset management of the Honolulu Authority Rapid Transportation rail project. Reviewed issues related to safety certification, fire life safety requirements, and system integrated testing.

Southwest Ohio Regional Transit Authority, Cincinnati Streetcar Operations & Maintenance Consulting, Cincinnati, OH: Managed the system safety certification for the Cincinnati Streetcar. Collaborated with the agency and other stakeholders. Conducted vehicle and system design and construction verification audits and updates, asset management, planning, and preliminary development for system safety program plan and other related sub-plans. Also reviewed key safety-related elements.

Massachusetts Bay Transportation Authority, Safety Department Consulting, Boston, MA: Provided technical assistance to MBTA for the development of an organization-wide Fire/Life Safety and Emergency Egress Plan. The task provided research and a comparison of fire/life safety regulatory requirements in relationship to MBTA operating and maintenance practices.

Denver Regional Transportation District, Internal Safety Assessment, Denver, CO: Conducted a safety assessment of the RTA's regional railroad contractor, Denver Transit Operators (DTO). Managed staff. Reviewed DTO Safety Department procedures and associated processes within railroad operations, maintenance, safety and training departments, as related to compliance with FRA, FTA and NFPA.

North County Transit District, Development of Standard Operating Procedures, Oceanside, CA: Conducted a safety assessment of the NCTD modal contractor rail operations and maintenance. Reviewed bus and rail maintenance practices, operations control center safety procedures, asset management processes, and occupational safety training. Led an operations and maintenance technical review of NCTD's Standard Operating Procedures related to CA PUC, FRA, FTA, OSHA, and APTA regulations.

SEPTA, Various Positions, Philadelphia, PA: Held various technical and senior level management positions responsible for rolling stock operations and system maintenance within SEPTA's Commuter Railroad, Subway, Light Rail, and System Safety Department. Provide safe regional transportation equipment all while ensuring regulatory compliance with the FRA, FTA, APTA, OSHA and PA State PUC. Participated in various accident investigations, including by the NTSB, serving as a System Safety Officer.



MICHAEL CROWTHER

Senior Director - Security

Mr. Crowther is a retired police sergeant with more than 30 years of law enforcement experience. He serves as a project manager and subject matter expert in transportation security, emergency preparedness, and training. His area of expertise include: management and implementation of transit policing; development and implementation of security and emergency preparedness programs; security program training; force protection; and drills and exercise programs. Mr. Crowther is also a veteran of the United States Army.

EDUCATION

- Camden County College, Police Academy
- Northwestern University, Traffic Institute School of Staff and Command
- Federal Bureau of Investigation, Investigators School, Gloucester County Police Academy
- Temple University, Criminal Justice Center Police Academy
- United States Army Military Police Academy

YEARS OF EXPERIENCE

- Total: 37
- With TRA: 10

SPECIALIZED TRAINING

- Homicide/Crime Scene Investigations, Philadelphia Police Department
- Drug Enforcement Agency Investigators School, Gloucester County Police Academy
- Methods of Instruction, Camden County Police Academy
- Advanced Interview & Interrogation Training, Federal Bureau of Investigation, Burlington County Police Academy
- Supervision School, Gloucester County Police Academy
- Hostage/Crisis Negotiations, Federal Bureau of Investigation/SEPTA Police Department
- Threat Assessment for Law Enforcement Professionals, Camden County Police Academy
- Critical Incident Management, Public Agency Training Council
- Explosive Devices & Weapons of Mass Destruction, Rutgers University
- Explosives & Improvised Explosive Device Familiarization, Bureau of Alcohol, Tobacco and Firearms
- Weapons of Mass Destruction, Train-the-Trainer, Louisiana State University
- Drill Instruction, Gloucester County Police Academy
- Domestic Terrorism, Thomas Jefferson University
- Contemporary & Islamic Fundamentalist Terrorism, CTS Associates
- Chemical, Biological, Radiological, Nuclear, Explosives & Hazardous Materials Awareness, NJ State Police
- First Responders Awareness to Terroristic Threats for Bridges and Tunnels, Federal Transit Administration
- Basic Counter Anti-Terrorism Training Program, SEPTA Police Department/Kroll Associates
- Land Transportation Anti-Terrorism Training Program, United States Department of Homeland Security
- Internal Affairs, Camden County Police Academy
- PATRIOT Training, Federal Transit Administration
- Information Sharing Planning, Mind-Alliance/Philadelphia Area Regional Transit Security Working Group
- Counter Terrorism & Intel Analysis, Philadelphia Area Regional Transit Security Working Group/Treliator
- Urban Area Security Initiative, Intelligence Lead Policing, NJ Regional Intelligence Academy/NJ State Police/Department of Homeland Security
- ICS-100, Introduction to Incident Command System, Emergency Management Institute
- ICS-200, Basic Incident Command System for Initial Response, Emergency Management Institute
- NIMS-700, Introduction to the National Incident Management System, Emergency Management Institute



MICHAEL CROWTHER

Senior Director – Security

- NIMS-800, National Response Framework Introduction, Emergency Management Institute
- ICS 300: Intermediate Incident Command System for Expanding Incidents - Texas A & M University
- Transit Security, Transit Safety Institute

AREAS OF EXPERTISE

- Transit Security and Safety
- Emergency Preparedness
- Incident Management
- Threat Assessment
- Elevated Structures

EXPERIENCE

West Virginia Department of Transportation Division of Public Transit, State Safety Oversight Program, Morgantown, WV: Evaluated the Morgantown Personal Rapid Transit (MPRT) System at West Virginia University, including its plans, policies, and procedures for compliance with Federal regulations (49 CFR Parts 659 and 674). Reviewed emergency preparedness and management measures for the triennial audit of the MPRT as related to rules compliance, operations training, maintenance training, and drug and alcohol testing programs. Supported WVDOT in achieving MAP-21 certification from FTA, as well as WVDOT's oversight of WVU's safety certification of communications-based train control upgrades.

Utah Department of Transportation, State Safety and Security Oversight Program, Salt Lake City, UT: Provided support and subject matter expertise related to the review and oversight of the Utah Transit Authority's TRAX light rail system. Assisted with a Pre-Revenue Service assessment for the Airport Line extension. Participated extensively two Triennial Safety and Security Reviews. Provided project support in response to the most recent FTA audit of the SSO program's security and emergency preparedness planning.

Pennsylvania Department of Transportation, Rail Transit Safety Review Program, Philadelphia/Pittsburgh/Johnstown, PA: Coordinated with security personnel at the state's covered transit systems - SEPTA, Port Authority of Allegheny County (PAAC), and Cambria County Transit Authority to review pertinent data and trends related to security and emergency preparedness. Conducted reviews relating to each agency's security plans, emergency management plans, continuity of operation plans and policies, handling of sensitive security information, and the planning/execution of emergency exercises. Investigated the Norfolk Southern (NS) freight train derailed near the Port Authority of Allegheny County (PAAC) Panhandle Bridge. Provided technical assistance following Homeland Security Exercise & Evaluation Program (HSEEP) standards for PAAC to conduct an After-Action Report (AAR) regarding this incident to improve response and communications with NS, the FTA, the FRA, and local emergency responders. Devised an Improvement Plan to improve PAAC response in the future.

Virginia Department of Rail and Public Transit, State Safety and Security Oversight Program, Norfolk, VA: Served as a subject matter expert for the DRPT, which provides State Safety and Security Oversight of the Hampton Roads Transit (HRT) TIDE light rail system. Provided oversight of safety and security operations and emergency preparedness. Participated in the review and evaluation of HRT's security and emergency preparedness programs.

Illinois Department of Transportation, State Safety and Security Oversight Program, Chicago, IL: Served as a subject matter expert, providing State Safety and Security Oversight for the Chicago Transportation Authority (CTA) rail system. Conducted triennial audit. Also participated in the Special Study of Trespassing on the Chicago Transit Authority Rail System commissioned by IDOT.

Missouri Department of Transportation, Rail Safety and Security Oversight Program, St. Louis and Kansas City, MO: Served as a subject matter expert responsible for providing technical assistance for oversight of the safety and security program at the Kansas City Streetcar and the St. Louis Metrolink System as related to safety and security operations and emergency preparedness. Conducted tabletop and full-scale exercises, in addition to triennial reviews.

Minnesota Department of Public Safety, Rail Safety Oversight Program, Minneapolis and St. Paul, MN: Provided technical assistance for oversight of the safety and security program. Served as a security and emergency preparedness technical consultant.

MICHAEL CROWTHER

Senior Director – Security



Oregon Department of Transportation, State Safety and Security Oversight Program, Portland, OR: Evaluated the security and emergency preparedness levels of the Portland Streetcar. Assessed compliance with state and federal standards, including evaluation of the security plan, security deployment strategies/practices, training, safety and security outreach programs, risk management, and threat and vulnerability issues. Performed triennial audit, pre-revenue service reviews, and regulatory compliance audits.

Texas Department of Transportation, State Safety and Security Oversight Program, Dallas, TX: Conducted triennial safety and security reviews of DART's light rail operations. Reviewed Security and Emergency Management Program Plan, as well as related policies and procedures. Performed a pre-revenue review of the Galveston Island Transit (GIT) system and provided technical assistance to the McKinney Avenue Transit Authority (MATA) regarding their Emergency Preparedness activities related to Homeland Security Exercise and Evaluation Program (HSEEP) compliant exercise objectives.

Port Authority of New York and New Jersey, AirTrain Safety Oversight Board, Newark, NJ/New York, NY: Served as a subject matter expert for the security review team. Conducted on-site reviews and provided security and emergency management oversight of the automated people movers at JFK International and Newark-Liberty International airports. Collaborated with the Port Authority Police Department to assist in developing security and emergency management plans compliant with the Safety and Security Oversight standards developed by TRA.

Washington State Department of Transportation, State Safety and Security Oversight Program, Seattle, WA: Conducted assessments of the System Security and Emergency Preparedness Plans for Sound Transit's Central Link and Tacoma Link light rail systems, as well as the Seattle Monorail. Responsibilities included interviewing personnel, assessment of procedures, records and documents, observation of practices and conditions, and development of a formal report and findings identifying security and emergency preparedness deficiencies. Assessments were based on compliance with transit agency procedures and standards, as well as APTA Standards. Also conducted the Pre-Revenue Service Assessment for the University Station extension to Central Link. This task determined the readiness for revenue service and compliance with safety and security certification requirements of FTA Part 659.

District of Columbia Fire and Emergency Medical Services, State Safety and Security Oversight Program, Washington, DC: Reviewed and edited drafts of the Security Plan, Emergency Preparedness Plan, and System Safety Program Plan. Reviewed and provided suggested revisions to Standard Operating Procedures and numerous pre-revenue operations documents, including the Threat & Vulnerability Plan, Car Barn & Control Center Emergency Evacuation Plan, Continuity of Operations Procedure, SSO Accident/Incident/Hazard tracking matrix, and the Opening Events Plan. Contributed to the triennial review and provided technical subject matter expertise.

North County Transit District, Threat and Vulnerability Assessment, Oceanside, CA: Assessed and evaluated potential threats and vulnerabilities caused by human-initiated and natural hazard events. Recommended countermeasures for potential impacts on NCTD facilities. Specific emphasis was placed on those assets or systems which would constitute a single-point-of-failure for any segment of NCTD operations. Recommendations were made for risk reduction and updates were made to NCTD's security plans. Also provided Train-the Trainer education for NCTD personnel.

Amtrak; Transit Risk Assessment Module (TRAM) Refresh, Various Locations: Served as a subject matter expert and lead project coordinator for a TRAM refresh. Evaluated threats and vulnerabilities of critical assets and services, the consequences of a myriad list of emergency events, and possible mitigations/responses to those events resulting in an overall level of system risk.

Philadelphia Area Regional Transit Security Working Group (PARTSWG), Emergency Operation Plan (EOP) Updates, Camden, NJ: Updated, revised, and amended the EOP for this working group which is comprised of four rail/transit systems identified by the Department of Homeland Security as a Tier 1 System. These include: SEPTA, the Delaware River Port Authority/Port Authority Transit Corporation, New Jersey Transit, and the Delaware Transit Corporation. Amtrak also partners with this group due to its connectivity to the Northeast Corridor. Ensured scope of work, level of effort, and budget mandates were maintained. Provided training in relation to the updates for PARTSWG members. Developed and facilitated a Tabletop Exercise in accordance with Homeland Security Exercise and Evaluation Program (HSEEP) guidelines to test the PARTSWG member agency's integration with the updated EOP.



MICHAEL BLAUVELT, WSO-CSS, TSSP, PTSCTP

Subject Matter Expert – SSO Management

Mr. Blauvelt leads safety and security assessments at rail transit agencies throughout the country. He provides ongoing support in the development and audit of safety and security-related program standards and procedures for automated people mover systems, heavy rail systems, modern light rail and streetcar systems, and historic trolley operations. His safety-related assessments focus on enhancing transit agency operations and maintenance.

EDUCATION

- MUPP, Transportation Planning, University of Illinois-Chicago – 2014
- BS, Environmental Economics and Policy – University of Illinois-Urbana-Champaign – 2011

YEARS OF EXPERIENCE

- Total: 7
- With TRA: 6

LICENSES/CERTIFICATIONS

- Transit Safety and Security Program (TSSP) Certificate, USDOT Transportation Safety Institute, 2017
- Public Transportation Safety Certification Training Program, Initial Certification, 2018
- World Safety Organization (WSO), Certified Safety Specialist (CSS), 2019
- Certificate in Project Management, Cornell University
- Certificate of Geospatial Analysis and Visualization (GSAV), Urban Data Visualization Lab, University of Illinois-Chicago, 2014

SPECIALIZED TRAINING

- Occupational Safety and Health Administration (OSHA) – 30-hour General Industry Safety and Health
- Transit Industrial Safety Management, USDOT Transportation Safety Institute
- National Incident Management System, Incident Command System Training - ICS-100, ICS-200, ICS-700, ICS-800
- Select Rail Transit Agency Training
- Rail Accident/Incident Investigation, SEPTA
- State Rail Vehicle Maintenance and Inspection Training – Port Authority of Allegheny County
- Employee Drug and Alcohol/Reasonable Suspicion Training, Port Authority of Allegheny County
- Operator Crisis Awareness Training, Port Authority of Allegheny County
- Light Rail Transit Operations Training, Port Authority of Allegheny County
- First Responder Familiarization Training, Port Authority of Allegheny County (CamTran)
- Right of Way Certification, Various Transit Agencies (SEPTA, PAAC, CTA, MetroLink, KC Streetcar)
- Rail Signaling, National Transit Institute

AREAS OF EXPERTISE

- State Safety Oversight
- Operations and Maintenance
- Audits and Assessments
- Accident/Incident Program

EXPERIENCE

West Virginia Department of Transportation, State Safety Oversight Program, Morgantown, WV: Provided coordination and management support. Contributed to safety and security-related program enhancements, including

MICHAEL BLAUVELT, WSO-CSS, TSSP, PTSCTP

Subject Matter Expert – SSO Management



Program Standard development and compliance with MAP-21. Reviewed program safety and security plans. Provided internal and external audit coordination at the West Virginia University related to its Personal Rapid Transit.

Pennsylvania Department of Transportation, Rail Transit Safety Review Program, Philadelphia/Pittsburgh/Johnstown, PA: Provided coordination and management support. Performed reviews of program safety and security plans, program standard development, and internal and external audit coordination and execution. Worked with transit agencies to ensure Corrective Action Plans were developed and implemented. Assisted with FTA-mandated rules compliance, reporting, and program support. Participated in working groups of four NTSB investigations.

Illinois Department of Transportation, State Safety Oversight Program, Chicago and St. Clair County, IL: Directed TRA's team for IDOT's SSO program, providing ongoing program support and management to review transit agency safety plans and compliance with federal and state requirements. Directed the accident/incident program. Developed tools and procedures to ensure accurate data for trend analysis. Participated in the triennial audits. Supported on-site reviews of vehicle maintenance, maintenance training, facilities, power, track, elevator/escalator maintenance, hazardous materials, communications, system modification, safety certification, configuration management, procurement, and drug/alcohol programs.

Missouri Department of Transportation, Rail Safety and Security Oversight Program, St. Louis and Kansas City, MO: Provided coordination and management of tasks in support of the Missouri SSO Program. Directed safety and security certification oversight activities for the Kansas City Streetcar, including coordination with regional and national FTA representatives. Conducted an Hours of Service compliance review at MetroLink. Also supported safety efforts and monitoring for the St. Louis Delmar Loop Trolley. Provided guidance and document development in support of federal compliance, including drafting revisions to the Program Standard and to rail-related state regulations. Coordinated with the IDOT SSOA to ensure joint oversight of Metrolink, which serves both Missouri and Illinois in the St. Louis region.

Michigan Department of Transportation, State Safety and Security Oversight Program, Detroit, MI: Served as the lead analyst and project manager for the coordination of tasks in support of the Michigan SSO Program. Coordinated triennial safety and security audit. Participated in quarterly meetings. Performed site visits and inspections. Developed and updated program documents.

Delaware River Port Authority/Port Authority Transit Corporation, Safety & Security Internal Audit Program, Camden, NJ: Provided technical assistance to the PATCO System Safety Department. Conducted safety assessments of system maintenance, as well as the drug and alcohol program. Audits included interviews with key personnel, field inspections, and detailed records review. Assisted with report development and coordination.

Santa Clara Valley Transportation Authority, Comprehensive Assessment of System Safety, San Jose, CA: Performed a comprehensive assessment of operations, maintenance, and safety functions. Reviewed operational and maintenance practices, policies and procedures. Developed recommendations for improvements based on industry best practices.

San Francisco Bay Area Rapid Transit District, Maintenance and Service Options Study, San Francisco, CA: Develop alternative options for maintenance operations. Performed a peer review to determine industry practices and how operations, maintenance, and service planning activities might be optimized.

San Francisco Bay Area Rapid Transit District, Transportation Efficiency Study, San Francisco, CA: Examined the BART Transportation Department's use, budgeting, charging, and reporting of overtime. Conducted on-site and telephone interviews with BART personnel. Analyzed data. Utilized BART-authored data analyses. Examined reports and statistics. Observed overtime-related processes, such as coding and record-keeping. Analyzed the Amalgamated Transit Union, Local 1555 (ATU) Collective Bargaining Agreement (CBA) provisions related to overtime.



JAMES YOUNG, WSO-CSM, TSSP

Subject Matter Expert – SSO Management

As a Project Manager and subject matter expert for Triennial Safety Audits and Pre-Revenue Service Reviews, Mr. Young routinely works with State Safety Oversight (SSO) Program Managers to develop plans, materials, and reports related to audits. He is highly skilled at identifying strengths and weaknesses of programs and policies, as well as in assessing compliance with procedures and regulations – particularly in the areas of accident investigation, rules compliance, fitness for duty, and other system safety topics. Mr. Young also specializes in assessing potential improvements to the vehicular and pedestrian interface with new rail lines under construction. He works closely with clients to create strategies to enhance operations and gathers input and support from stakeholders.

EDUCATION

- MCP, City and Regional Planning, University of Pennsylvania
- BA, Journalism, Pennsylvania State University

YEARS OF EXPERIENCE

- Total: 15
- With TRA: 11

LICENSES/CERTIFICATIONS

- Transit Safety & Security Program (TSSP) Certificate, U.S. Department of Transportation, Transportation Safety Institute (TSI), Transit Rail Program, 2017
- Public Transportation Safety Certification Training Program, 2019
- World Safety Organization, Certified Safety Manager

SPECIALIZED TRAINING

- National Incident Management System (NIMS) Incident Command System (ICS) ICS-100, ICS-200, ICS-700, ICS-800 – April 2019
- Occupational Safety and Health Administration 30-hour training for General Industry Safety and Health, 2012

AREAS OF EXPERTISE

- State Safety Oversight
- Document Reviews
- Hazard Management
- Training and Testing

EXPERIENCE

West Virginia Department of Transportation, State Safety Oversight Program, Morgantown, WV: Led WVDOT's 2019 triennial safety audit of the West Virginia University Personal Rapid Transit (PRT) system's compliance with hazard management, safety data, and accident investigation processes. Reviewed records and interviewed WVU management responsible for each area under audit. Worked with WVU on the refinement of its proposed Corrective Action Plans in response to findings outlined in the audit report.

West Virginia Department of Transportation, Development of Public Transportation Agency Safety Plans, Morgantown, WV: Managed the team that created PTASPs and Safety Management System Gap Analyses for eight bus agencies. Managed the team's work on schedule, quality control, and refinement of product development.



JAMES YOUNG, WSO-CSM, TSSP

Subject Matter Expert – SSO Management

Interviewed transit agency personnel. Developed processes for the agencies to meet the new requirements of 49 CFR Part 673. Also established a self-assessment mechanism for the transit agencies.

Maryland Department of Transportation, Rail Safety and Security Oversight Program, Baltimore, MD: Provided oversight of the Maryland Transit Administration's (MTA) heavy and light rail systems. Set the overall direction and management of the oversight program. Analyzed accident investigations. Reviewed Corrective Action Plans. Conducted inspections and other activities. Instituted an inspection program for MDOT and assisted the agency gain its certification as a Part 674-compliant State Safety Oversight Program. Led a special study of hours of service/fatigue management of the MTA's heavy and light rail systems and audited the topic areas of facilities maintenance and industrial safety for MDOT's Triennial Safety and Security Audits. Also directed the review of the MTA's drug and alcohol testing program and its 2019 Triennial Safety and Security Audits. Provided support for internal safety and security audits. Updated the Program Standard and Procedures. Assisted with multiple State Safety Oversight program audits conducted by the FTA.

Pennsylvania Department of Transportation, Rail Transit Safety Review Program, Philadelphia/Pittsburgh/Johnstown, PA: Served as a subject matter auditor for the state's three transit agencies: SEPTA, Port Authority of Allegheny County, and Cambria County Transit Authority. Completed audits related to operations rule compliance, training, roadway worker protection programs, hazard management, event investigation, and drug and alcohol testing programs. Managed accident/incident investigation adoption process. Monitored the completeness of investigations and appropriateness corrective actions. Conducted field observations of employee rule compliance, reviewed agency System Safety and Security Program Plans, and other daily tasks. Managed revenue assessment and safety certification oversight for the North Shore Connector light rail extension in Pittsburgh. Participated in committee meetings for rail activation, safety certification, and federal oversight, and arranged focused state reviews of all system elements.

Utah Department of Transportation, State Safety and Security Oversight Program, Salt Lake City, UT: Provided safety and security oversight of the Utah Transit Authority (UTA) for TRAX light rail system. Worked with UDOT to enhance and transition its program to a Part 674-compliant State Safety Oversight Agency – making UDOT only the third agency to gain that certification. Managed UDOT's 2012, 2015, 2018, and 2021 Three-Year Safety Audits. This included scheduling, document requests, on-site presentations, report production, and project completion. Performed audits of rail operations, grade crossings, station area, accident/incident prevention, training, drug and alcohol testing, facility and equipment maintenance, and industrial safety of maintenance facilities. Also conducted on-site Pre-Revenue Service Reviews of the Airport Line, the Draper Extension, the Sugar House Streetcar, and the Mid-Jordan and West Valley extensions. Conducted FRA-required audits of UTA's compliance with hours of service procedures, as well as special assessments of roadway worker protection, and grade crossing/intersection design for accident prevention. Updated SSO Program Standard and Procedures. Conducted annual reviews of UTA SSPPs. Evaluated internal audit report submissions. Reviewed investigation reports. Verified Corrective Action Plan completion. Assisted UDOT with FTA audits of the SSO program.

Tennessee Department of Transportation, State Safety and Security Oversight Program, Memphis and Chattanooga, TN: Supported TDOT's safety oversight for resumption of service of the Memphis Area Transit Authority's (MATA) Trolley heritage streetcar system and the Chattanooga Area Regional Transportation Authority's (CARTA) Lookout Mountain Incline Railway. Participated in safety certification oversight of the MATA Trolley. Coordinated a team member assessment of operations and maintenance readiness. Conducted site inspections of both systems, focusing on operations, maintenance records, facility conditions, and safety programs. Managed 2018 triennial safety and security audits.

Washington State Department of Transportation, State Safety and Security Oversight Program, Seattle and Tacoma, WA: Led four comprehensive Triennial Safety and Security Audits, along with two simultaneous Pre-Revenue Service Reviews. Organized the audits in conjunction with the WSDOT SSO Program Manager for the Central Link, Tacoma Link, Seattle Monorail, and Seattle Streetcar systems. Served as a subject matter expert for audits in operations, grade crossings/modal interface design, facility safety, facility maintenance, and drug and alcohol testing programs. Conducted all reviews successfully within an intensive six-week span.

Oregon Department of Transportation, State Safety and Security Oversight Program, Portland, OR: Conducted a mock audit of the ODOT oversight program in preparation of the state's triennial audit by the FTA. Managed ODOT's Pre-Revenue Service Assessment of a six-mile Portland Streetcar extension. Was responsible for scheduling,



JAMES YOUNG, WSO-CSM, TSSP

Subject Matter Expert – SSO Management

document requests, delivering on-site presentations, report production, and project completion. Coordinated between the state and the FTA. Conducted final reviews of the new alignment's interface with pedestrians, bicycles, and vehicles. Also participated in the Triennial Safety and Security Audit of TriMet's MAX light rail system. Conducted reviews of station maintenance and industrial safety of maintenance facilities. Assisted with reviews of System Safety Program Plan topic implementation.

Minnesota Department of Public Safety, Rail Safety Oversight Program, Minneapolis and St. Paul, MN:

Assisted MnDPS as a subject matter expert for several Triennial Safety and Security Audits of System Safety topic areas. Led the ongoing DPS monitoring and reviews of Metro Transit's Green Line in the two years leading up to passenger service. Participated in construction project teleconferences, document reviews, and audits with recommendations focused on safety and security certification completion, operations rules updates and training, and the appropriateness of signage, markings, visibility, and traffic control signals.

Illinois Department of Transportation, State Safety Oversight Program, Chicago and St. Clair County, IL: Led triennial safety audits of CTA's accident investigation process, operations rules compliance, and operations training, as well as system safety program elements, fatigue management, and drug and alcohol testing. Reviewed records and interviewed CTA management responsible for each area under audit. Developed findings and recommendations for improvement. Conducted an internal audit of IDOT's combined program with the Missouri Department of Transportation that oversees the Metrolink system in advance of the FTA's audit. Also reviewed CTA's accident investigation procedures prior to approval by IDOT.

District of Columbia Fire and Emergency Medical Services, State Safety and Security Oversight Program for the DC Streetcar System, Washington, DC: Conducted interviews and records reviews of drug and alcohol testing, medical testing, and hours of service during the Triennial Safety Audit. Evaluated compliance with federal regulations and transit agency policies.

Port Authority of New York and New Jersey, AirTrain Safety Oversight Board, Newark, NJ/ New York, NY: Performed audits of stations/facility maintenance, industrial safety, internal audits, and drug and alcohol testing for the 2019, 2016, and 2012 Triennial Safety and Security Reviews of Newark Liberty International Airport's automated people mover (APM) system. Also audited the topic areas of drug and alcohol testing, facilities maintenance, hazardous materials, and maintenance facility industrial safety for the 2019 and 2014 Triennial Safety and Security Reviews of the APM at JFK International Airport. Assisted with overall review coordination and report production for the 2014 and 2011 Triennial Safety and Security Reviews.

Florida Department of Transportation, Rail Fixed Guideway Transit Safety and Security Oversight Program, Jacksonville/Miami/Tampa/Fort Lauderdale, FL: Participated in the 2011, 2014, 2018, and 2021 Triennial Safety and Security Reviews of Miami-Dade Transit's heavy rail and automatic people mover systems. Performed audits of operations practices, rule compliance, operations training, drug and alcohol testing, facility industrial safety, and maintenance areas.

San Francisco Bay Area Rapid Transit District, Reevaluation of Current Safety Training Programs and Planning, San Francisco, CA: Conducted an assessment of the safety culture and safety training practices at BART through interviews with department managers and reviews of BART documentation. Reviewed training programs direct and indirectly related to safety requirements with a goal of determining how the training fit into the bigger needs of an effective Safety Management System (SMS). Drafted a report on safety culture at the management level, with recommendations for objectives, processes, and responsibilities needed for SMS implementation. Developed BART's Public Transportation Agency Safety Plan (PTASP) compliant with 49 CFR Part 673.

Sound Transit, Safety and Security Certification Program Audits, Seattle, WA: Conducted audits of the agency's safety and security certification documentation collected during the design and construction of several major capital projects. Created audit procedures. Performed audits of hazard analyses and conformance documentation at all stages of the certification process before capital projects enter revenue service.



CHARLES LINDROOTH

Project Analyst

Mr. Lindrooth works extensively with and for government agencies. His areas of expertise include regulatory compliance, stakeholder coordination, emergency management, safety and security plan review, and safety monitoring. He develops Public Transportation Safety Plan (PTASP) and train material for state safety oversight programs.

EDUCATION

- JD, Rutgers University School of Law
- BA, Political Science, Temple University

YEARS OF EXPERIENCE

- Total: 2
- With TRA: 2

AREAS OF EXPERTISE

- State Safety Oversight
- Hazard Management
- Accident/Incident Management
- Regulatory Compliance

EXPERIENCE

West Virginia Department of Transportation, Development of Public Transportation Agency Safety Plans, Morgantown, WV: Collaborated with WVDOT in order to enhance the operations for eight bus agencies. Assisted with the development of PTASPs for the agencies. Reviewed documentation. Developed safety plans. Creating training materials. Participated in live familiarization trainings.

Virginia Department of Rail and Public Transportation, State Safety and Security Oversight Program, Norfolk, VA: Supported on-site triennial audits and hazard management activities. Managed hazard logs and monitored agency progress on Corrective Action Plans (CAPs).

Illinois Department of Transportation, State Safety Oversight Program, Chicago and St. Clair County, IL: Supported oversight of the Bi-State MetroLink system. Prepared documentation for and assisted in conducting rolling triennial audits. Wrote reports for all safety and security audit elements at Chicago Transit Authority (CTA), including system safety, hazard management, and data collection. Conducted a special study on CTA's grade crossing by reviewing documentation. Also researched legal and regulatory issues. Coordinated with Missouri DOT.

District of Columbia Fire and Emergency Medical Services, State Safety and Security Oversight Program, Washington, DC: Supported safety and security oversight activities for the DC Streetcar as technical contractor. DCFEMS is the authorized SSO agency (SSOA) for the DC Streetcar by order of the Mayor of DC. While the SSOA is housed within DCFEMS' structure, its activities are independent from the day-to-day fire and emergency medical services for the District. Provided operational, mechanical, and legal support services. Coordinated daily with the internal program manager and other staff.

Missouri Department of Transportation, Rail Safety and Security Oversight Program, St. Louis and Kansas City, MO: Provided state safety oversight for the Delmar Loop Trolley and Kansas City Streetcar system, as well as bi-state safety oversight for MetroLink in St. Louis. Supported the MoDOT review of the PTASPs submitted by Kansas City Streetcar and Loop Trolley. Worked with the individual agencies to ensure that their SMS was



CHARLES LINDROOTH

Project Analyst

implemented in an effective and timely manner. Attended meetings and reviewed materials. Supported the development and completion of CAPs.

Texas Department of Transportation, State Safety and Security Oversight Program, Dallas and Houston, TX: Served as an analyst for the Texas Safety Oversight Program. Supported tasks related to the Houston Metro, Dallas Area Rapid Transit (DART) and the McKinney Avenue Transit Authority (MATA). Attended meetings. Reviewed safety and security plans. Monitored CAPs and conducted internal safety reviews.

Port Authority of New York and New Jersey, AirTrain Safety Oversight Board, Newark, NJ and New York, NY: Provided safety and security consulting services for the AirTrain Automated People Mover (APM) System at Newark-Liberty International Airport. While not a SSOA under the FTA's jurisdiction, the ATSOB mirrors all Federal requirements for transit agency safety and security. Supported the hazard management and accident/incident investigation programs through document review and research related to pertinent safety concerns.

Santa Clara Valley Transportation Authority, Development of Public Transportation Agency Safety Plan, San Jose, CA: Developed a PTASP compliant with 49 C.F.R. 673. Reviewed data. Identified and documented compliance gaps.

Wilmington & Western Railroad, Assistant Trainman and Shop Assistant, Wilmington, DE: Worked as an Assistant Trainman. Gained knowledge of the railroad's operational rule book, as well as a general familiarity with the NORAC Operating Rules. Implemented and enforced safe practices in yard and shop environments, including safe switching practices, fouling avoidance, blue flag rules, and lockout-tagout procedures. Employed accepted maintenance practices and requirements for steam locomotives, diesel locomotives, and passenger equipment. Assisted in the locomotive and car shop.

NIA SIMMONDS

Project Analyst



Ms. Simmonds provides State Safety Oversight consulting services. Her areas of expertise include safety plan reviews, operations and maintenance reviews, engineering reviews, external audits system audits, incident/hazard analysis, and policy development. In addition, Ms. Simmonds assists clients on operations and maintenance specific projects, specializing in quality and continuous improvement to help streamline processes related to maintenance and inspection.

EDUCATION

- MEM, Engineering Management, Case Western Reserve University
- BSE, Electrical Engineering, Case Western Reserve University

YEARS OF EXPERIENCE

- Total: 3
- With TRA: 2

SPECIALIZED TRAINING

- Six Sigma and Quality Management, Greenbelt – Weatherhead School of Management, Case Western Reserve University
- Classes towards TSSP
- SMS Principles for Transit
- Transit System Security

AREAS OF EXPERTISE

- Operations, Maintenance, Safety, Security
- Corrective Action Plans
- Document and Record Reviews
- Rules Compliance and Auditing

EXPERIENCE

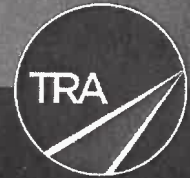
Maryland Department of Transportation, Rail Safety and Security Oversight Program, Baltimore, MD: Served as a project analyst in support of the oversight of the Maryland Transit Administration (MTA) heavy and light rail systems. Reviewed and tracked corrective action plans (CAP) stemming from internal audits, external audits, and inspections. Maintained the SSOA's CAP and analyzed associated key performance indicators. Collaborated with the SSO team and agency to improve CAP processes and procedures. Developed annual reports to governor (or equivalent authority) and other officials. Assisted with various administrative duties, operations reviews, and inspections.

Florida Department of Transportation-Central Office, Rail Fixed Guideway Transit Safety and Security Oversight Program, Jacksonville/Miami/Tampa, FL: Assisted in FDOT's provision of safety and security oversight services for the Miami-Dade County Department of Transportation and Public Work (DTPW), the Jacksonville Transportation Authority (JTA) Skyway, and the Hillsboro Area Regional Transit (HART) Authority TECO Line Streetcar. Conducted bi-monthly oversight teleconferences and site visits with agencies. Tracked progress on agency issues and efforts for improvement. Performed document and record reviews, as well as data analysis. Participated in rules compliance audit activities. Assisted with engineering reviews, operations and maintenance reviews, and audits.

Port Authority of New York and New Jersey, AirTrain Safety Oversight Board, Newark, NJ/New York, NY: Performed safety and security consulting services for the AirTrain Automated People Mover (APM) Systems at Newark Liberty International and John F. Kennedy International airports. Assisted with operations reviews and

NIA SIMMONDS

Project Analyst



continuous improvement. The APM systems at both airports are overseen by an independent body of PANYNJ, the AirTrain Safety Oversight Board. The ATSOB is not a recognized SSOA by the Federal government, but it mirrors all Federal requirements for transit agency safety and security.

Texas Department of Transportation, State Safety and Security Oversight Program, Dallas and Houston, TX: Supported oversight tasks of the Dallas Area Rapid Transit (DART) and the McKinney Avenue Transit Authority (MATA). Participated in meetings, onsite reviews, safety and security plans reviews, safety event reviews, and CAP tracking. Assisted with internal safety review observation and safety hazard review. Reviewed DART's Public Transportation Agency Safety Plan (PTASP) for light rail and streetcar.

Hawaii Department of Transportation, State Safety Oversight Program for the Hawaii Area Rapid Transit (HART), Honolulu, HI: Performed audits related to the rail project's safety certification, testing, and safety programs. Also audited the safety and oversight capacity of Honolulu's Department of Transportation Services regarding operations and maintenance. Provided ad-hoc support, such as standards and procedure review.

District of Columbia Fire and Emergency Medical Services, State Safety and Security Oversight Program, Washington, DC: Served as lead analyst in support of safety and security oversight activities of the DC Streetcar. Worked extensively to cooperatively improve SMS-related processes within DCFEMS and DC Streetcar. Assisted the DCFEMS Program Manager with operational and mechanical support services. Conducted oversight teleconferences, site visits (onsite and virtual), document and record reviews, and data analysis. Participated in rules compliance audit activities. Also assisted with reviews of safety and security plans.

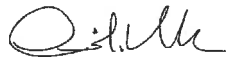
Washington Metrorail Safety Commission, State Safety Oversight Program, Washington, DC: Performed standards and procedures reviews. Coordinated with the client to facilitate TRA's subject matter expertise in support of various task orders related to the execution of the State Safety Oversight program over WMATA.

City of Cincinnati, Cincinnati Streetcar Management Transition, Cincinnati, OH: Supported the transitioning of operations responsibility from Southwest Ohio Regional Transit Authority to the City of Cincinnati. Provided expertise related to compliance requirements for operations, maintenance, safety, and security. Created a project plan to ensure the deadlines and other milestones were met. Provided status updates to the client and management teams.

Greater Cleveland Regional Transit Authority, Maintenance Workforce Efficiency and Planning, Cleveland, OH: Evaluated the railcar inspection process at the GCRTA warehouse. Assisted in identifying idle waste. Developed a new inspection process across multiple shifts that would save the agency over a half million dollars annually. The new process also lowered the risk in railcar shortages at the initial time of service.

Section 5
FORMS

DESIGNATED CONTACT: Vendor appoints the individual identified in this Section as the Contract Administrator and the initial point of contact for matters relating to this Contract.



| Vice President

(Name, Title)

Daniel Hauber, WSO-CSE, TSSP, PMP | Vice President

(Printed Name and Title)

1608 Walnut Street, Suite 1602, Philadelphia, PA 19103

(Address)

P: (215) 279-6811 | F: (215) 279-6812

(Phone Number) / (Fax Number)

daniel.hauber@traonline.com

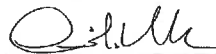
(email address)

CERTIFICATION AND SIGNATURE: By signing below, or submitting documentation through wvOASIS, I certify that: I have reviewed this Solicitation in its entirety; that I understand the requirements, terms and conditions, and other information contained herein; that this bid, offer or proposal constitutes an offer to the State that cannot be unilaterally withdrawn; that the product or service proposed meets the mandatory requirements contained in the Solicitation for that product or service, unless otherwise stated herein; that the Vendor accepts the terms and conditions contained in the Solicitation, unless otherwise stated herein; that I am submitting this bid, offer or proposal for review and consideration; that I am authorized by the vendor to execute and submit this bid, offer, or proposal, or any documents related thereto on vendor's behalf; that I am authorized to bind the vendor in a contractual relationship; and that to the best of my knowledge, the vendor has properly registered with any State agency that may require registration.

By signing below, I further certify that I understand this Contract is subject to the provisions of West Virginia Code § 5A-3-62, which automatically voids certain contract clauses that violate State law.

Transportation Resource Associates, Inc.

(Company)



| Daniel Hauber, WSO-CSE, TSSP, PMP | Vice President

(Authorized Signature) (Representative Name, Title)

Daniel Hauber, WSO-CSE, TSSP, PMP | Vice President

(Printed Name and Title of Authorized Representative)

September 30, 2021

(Date)

P: (215) 279-6811 | F: (215) 279-6812

(Phone Number) (Fax Number)

ADDENDUM ACKNOWLEDGEMENT FORM

SOLICITATION NO.: CRFP PTR2200000001

Instructions: Please acknowledge receipt of all addenda issued with this solicitation by completing this addendum acknowledgment form. Check the box next to each addendum received and sign below. Failure to acknowledge addenda may result in bid disqualification.

Acknowledgment: I hereby acknowledge receipt of the following addenda and have made the necessary revisions to my proposal, plans and/or specification, etc.

Addendum Numbers Received:

(Check the box next to each addendum received)

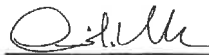
- ☒ Addendum No. 1
- ☐ Addendum No. 2
- ☐ Addendum No. 3
- ☐ Addendum No. 4
- ☐ Addendum No. 5

- ☐ Addendum No. 6
- ☐ Addendum No. 7
- ☐ Addendum No. 8
- ☐ Addendum No. 9
- ☐ Addendum No. 10

I understand that failure to confirm the receipt of addenda may be cause for rejection of this bid. I further understand that any verbal representation made or assumed to be made during any oral discussion held between Vendor's representatives and any state personnel is not binding. Only the information issued in writing and added to the specifications by an official addendum is binding.

Transportation Resource Associates, Inc.

Company



Authorized Signature

September 30, 2021

Date

NOTE: This addendum acknowledgement should be submitted with the bid to expedite document processing.

REQUEST FOR PROPOSAL

Division of Public Transit – CRFP PTR2200000001

State Safety Oversight

SECTION 6: EVALUATION AND AWARD

- 6.1. Evaluation Process:** Proposals will be evaluated in two parts by a committee of three (3) or more individuals. The first evaluation will be of the technical proposal and the second is an evaluation of the cost proposal. The Vendor who demonstrates that it meets all of the mandatory specifications required, attains the minimum acceptable score and attains the highest overall point score of all Vendors shall be awarded the contract.
- 6.2. Evaluation Criteria:** Proposals will be evaluated based on criteria set forth in the solicitation and information contained in the proposals submitted in response to the solicitation. The technical evaluation will be based upon the point allocations designated below for a total of 70 of the 100 points. Cost represents 30 of the 100 total points.

Evaluation Point Allocation:

Project Goals and Proposed Approach (§ 4.2)

- Approach & Methodology to Goals/Objectives (§ 4.2.1) (15) Points Possible
- Approach & Methodology to Compliance with Mandatory Project Requirements (§ 4.2.2) (15) Points Possible

Qualifications and experience (§ 4.3)

- Qualifications and Experience Generally (§ 4.3.1) (15) Points Possible
- Exceeding Mandatory Qualification/Experience Requirements (§ 4.3.2) (15) Points Possible

(Oral interview, if applicable) (§ 4.4) (10) Points Possible

Total Technical Score: 70 Points Possible

Total Cost Score: 30 Points Possible

Total Proposal Score: 100 Points Possible

- 6.3. Technical Bid Opening:** At the technical bid opening, the Purchasing Division will open and announce the technical proposals received prior to the bid opening deadline. Once opened, the technical proposals will be provided to the Agency evaluation committee for technical evaluation.

REQUEST FOR PROPOSAL

Division of Public Transit – CRFP PTR2200000001

State Safety Oversight

6.4. Technical Evaluation: The Agency evaluation committee will review the technical proposals, assign points where appropriate, and make a final written recommendation to the Purchasing Division.

6.5. Proposal Disqualification:

6.5.1. Minimum Acceptable Score (“MAS”): Vendors must score a minimum of 70% (49 points) of the total technical points possible in order to move past the technical evaluation and have their cost proposal evaluated. All vendor proposals not attaining the MAS will be disqualified.

6.5.2. Failure to Meet Mandatory Requirement: Vendors must meet or exceed all mandatory requirements in order to move past the technical evaluation and have their cost proposals evaluated. Proposals failing to meet one or more mandatory requirements of the RFP will be disqualified.

6.6. Cost Bid Opening: The Purchasing Division will schedule a date and time to publicly open and announce cost proposals after technical evaluation has been completed and the Purchasing Division has approved the technical recommendation of the evaluation committee. All cost bids received will be opened. Cost bids for disqualified proposals will be opened for record keeping purposes only and will not be evaluated or considered. Once opened, the cost proposals will be provided to the Agency evaluation committee for cost evaluation.

The Purchasing Division reserves the right to disqualify a proposal based upon deficiencies in the technical proposal even after the cost evaluation.

6.7. Cost Evaluation: The Agency evaluation committee will review the cost proposals, assign points in accordance with the cost evaluation formula contained herein and make a final recommendation to the Purchasing Division.

Cost Evaluation Formula: Each cost proposal will have points assigned using the following formula for all Vendors not disqualified during the technical evaluation. The lowest cost of all proposals is divided by the cost of the proposal being evaluated to generate a cost score percentage. That percentage is then multiplied by the points attributable to the cost proposal to determine the number of points allocated to the cost proposal being evaluated.

Step 1: $\text{Lowest Cost of All Proposals} / \text{Cost of Proposal Being Evaluated} = \text{Cost Score Percentage}$

Step 2: $\text{Cost Score Percentage} \times \text{Points Allocated to Cost Proposal} = \text{Total Cost Score}$

Example:

Proposal 1 Cost is \$1,000,000

Proposal 2 Cost is \$1,100,000

Points Allocated to Cost Proposal is 30

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Division of Public Transit – CRFP PTR2200000001
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Proposal 1: Step 1 – $\$1,000,000 / \$1,000,000 = \text{Cost Score Percentage of } 1 (100\%)$
Step 2 – $1 \times 30 = \text{Total Cost Score of } 30$

Proposal 2: Step 1 – $\$1,000,000 / \$1,100,000 = \text{Cost Score Percentage of } 0.909091 (90.9091\%)$
Step 2 – $0.909091 \times 30 = \text{Total Cost Score of } 27.27273$

- 6.8. Availability of Information:** Proposal submissions become public and are available for review immediately after opening pursuant to West Virginia Code §5A-3-11(h). All other information associated with the RFP, including but not limited to, technical scores and reasons for disqualification, will not be available until after the contract has been awarded pursuant to West Virginia Code of State Rules §148-1-6.3.d.

By signing below, I certify that I have reviewed this Request for Proposal in its entirety; understand the requirements, terms and conditions, and other information contained herein; that I am submitting this proposal for review and consideration; that I am authorized by the bidder to execute this bid or any documents related thereto on bidder's behalf; that I am authorized to bind the bidder in a contractual relationship; and that, to the best of my knowledge, the bidder has properly registered with any State agency that may require registration.

Transportation Resource Associates, Inc.

(Company) 

Daniel Hauber, WSO-CSE, TSSP, PMP | Vice President

(Representative Name, Title)

P: (215) 279-6811 | F: (215) 279-6812

(Contact Phone/Fax Number)

September 30, 2021

(Date)

REQUEST FOR PROPOSAL
Division of Public Transit – CRFP PTR2200000001
State Safety Oversight

Bid Form #1

**CERTIFICATION OF PRIMARY PARTICIPANT REGARDING
DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS**

The Primary Participant (applicant for an FTA grant or cooperative agreement, or potential contractor for a major third-party contract),

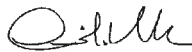
Transportation Resource Associates, Inc. (COMPANY NAME) certifies to the best of its knowledge and belief, that it and its principals:

1. Are not presently debarred, suspended, proposed for debarment, declared ineligible, 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 of records, making false statements, or receiving stolen property.
3. Are not presently indicted for or otherwise criminally or civilly charged by a governmental 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.

If the primary participant (applicant for an FTA grant, or cooperative agreement, or potential third party contractor) is unable to certify to any of the statements in this certification, the participant shall attach an explanation to this certification.)

THE PRIMARY PARTICIPANT (APPLICANT FOR AN FTA GRANT OR COOPERATIVE AGREEMENT, OR POTENTIAL CONTRACTOR FOR A MAJOR THIRD-PARTY CONTRACT),

Transportation Resource Associates, Inc., 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.

 | Daniel Hauber, WSO-CSE, TSSP, PMP | Vice President
Signature and Title of Authorized Official

REQUEST FOR PROPOSAL
Division of Public Transit – CRFP PTR2200000001
State Safety Oversight

Bid Form #2

CERTIFICATION OF RESTRICTIONS ON LOBBYING

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

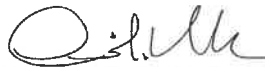
1. No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
2. If any funds other than Federal appropriated funds have been paid or will be paid to any person for making lobbying contacts to an officer or employee of any agency, a Member of Congress, an officer, or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions. [as amended by "Government Wide Guidance for New Restrictions on Lobbying," 61 Fed. Reg. 1413 (1/19/96). Note: Language in paragraph (2) herein has been modified in accordance with Section 10 of the Lobbying Disclosure Act of 1995 (P.L. 104-65, to be codified at 2 U.S.C. 1601, et seq.)]
3. The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering this transaction imposed by 31 U.S.C. § 1352 (as amended by the Lobbying Disclosure Act of 1995). Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure. [Note: Pursuant to 31 U.S.C. § 1352(c)(1)-(2)(A), any person who makes a prohibited expenditure or fails to file or amend a required certification or disclosure form shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such expenditure or failure.]

The Vendor, Transportation Resource Associates, Inc., certifies or affirms the truthfulness and accuracy of each statement of its certification and disclosure, if any. In addition, the Vendor understands and agrees that the provisions of 31 U.S.C. § 3801, et seq., apply to this certification and disclosure, if any.

September 30, 2021

Date



Authorized Signature

Vice President

Title

STATE OF WEST VIRGINIA
Purchasing Division
PURCHASING AFFIDAVIT

CONSTRUCTION CONTRACTS: Under W. Va. Code § 5-22-1(i), the contracting public entity shall not award a construction contract to any bidder that is known to be in default on any monetary obligation owed to the state or a political subdivision of the state, including, but not limited to, obligations related to payroll taxes, property taxes, sales and use taxes, fire service fees, or other fines or fees.

ALL CONTRACTS: Under W. Va. Code §5A-3-10a, no contract or renewal of any contract may be awarded by the state or any of its political subdivisions to any vendor or prospective vendor when the vendor or prospective vendor or a related party to the vendor or prospective vendor is a debtor and: (1) the debt owed is an amount greater than one thousand dollars in the aggregate; or (2) the debtor is in employer default.

EXCEPTION: The prohibition listed above does not apply where a vendor has contested any tax administered pursuant to chapter eleven of the W. Va. Code, workers' compensation premium, permit fee or environmental fee or assessment and the matter has not become final or where the vendor has entered into a payment plan or agreement and the vendor is not in default of any of the provisions of such plan or agreement.

DEFINITIONS:

"Debt" means any assessment, premium, penalty, fine, tax or other amount of money owed to the state or any of its political subdivisions because of a judgment, fine, permit violation, license assessment, defaulted workers' compensation premium, penalty or other assessment presently delinquent or due and required to be paid to the state or any of its political subdivisions, including any interest or additional penalties accrued thereon.

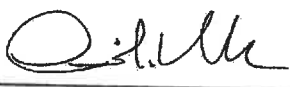
"Employer default" means having an outstanding balance or liability to the old fund or to the uninsured employers' fund or being in policy default, as defined in W. Va. Code § 23-2c-2, failure to maintain mandatory workers' compensation coverage, or failure to fully meet its obligations as a workers' compensation self-insured employer. An employer is not in employer default if it has entered into a repayment agreement with the Insurance Commissioner and remains in compliance with the obligations under the repayment agreement.

"Related party" means a party, whether an individual, corporation, partnership, association, limited liability company or any other form or business association or other entity whatsoever, related to any vendor by blood, marriage, ownership or contract through which the party has a relationship of ownership or other interest with the vendor so that the party will actually or by effect receive or control a portion of the benefit, profit or other consideration from performance of a vendor contract with the party receiving an amount that meets or exceeds five percent of the total contract amount.

AFFIRMATION: By signing this form, the vendor's authorized signer affirms and acknowledges under penalty of law for false swearing (W. Va. Code §61-5-3) that: (1) for construction contracts, the vendor is not in default on any monetary obligation owed to the state or a political subdivision of the state, and (2) for all other contracts, that neither vendor nor any related party owe a debt as defined above and that neither vendor nor any related party are in employer default as defined above, unless the debt or employer default is permitted under the exception above.

WITNESS THE FOLLOWING SIGNATURE:

Vendor's Name: Transportation Resource Associates, Inc.

Authorized Signature: 

Date: September 27, 2021

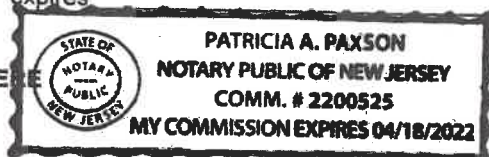
State of New Jersey

County of Atlantic, to-wit:

Taken, subscribed, and sworn to before me this 27th day of September, 2021.

My Commission expires _____ 20__.

AFFIX SEAL HERE



NOTARY PUBLIC



58

Cost Proposal

09/29/21 10:06:23
WV Purchasing Division

State of West Virginia, Division of Public Transit

State Safety Oversight

CRFP PTR2200000001

September 30, 2021

Submitted to:

Mr. Toby L. Welch

Bid Clerk

State of West Virginia, Department of Administration

Division of Public Transit - Purchasing Division

2019 Washington Street, East

Charleston, WV 25305



Submitted by:

Transportation Resource Associates, Inc.

1608 Walnut Street, Suite 1602, Philadelphia, PA 19103

P: (215) 279-6811 | F: (215) 279-6812



Point-of-Contact:

Daniel Hauber, WSO-CSE, TSSP, PMP | Vice President

(609) 320-8111 | daniel.hauber@traonline.com

Vendor Signature:

A handwritten signature in black ink, appearing to read "D. Hauber".

9/30/21

Daniel Hauber, WSO-CSE, TSSP, PMP

Date

Pragmatic Approaches for Complex Operations, Safety, and Security Challenges

Transportation Resource Associates, Inc.

1608 Walnut Street, Suite 1602 | Philadelphia, PA 19103
P: (215) 279-6811 | F: 215-546-9120 | www.traonline.com



September 30, 2021

Mr. Toby L. Welch
Bid Clerk
State of West Virginia, Department of Administration
Division of Public Transit - Purchasing Division
2019 Washington Street, East
Charleston, WV 25305

**Re: State of West Virginia, Division of Public Transit | State Safety Oversight | CRFP PTR2200000001
COST PROPOSAL**

Dear Mr. Welch:

Please find the enclosed Cost proposal for your review and consideration. Per the instructions of the RFP, this second part of our proposal was submitted in a sealed envelope, separate from our technical proposal.

TRA is eager to continue working the State of West Virginia, its Purchasing Division, the WVDPT, and the PRT. We look forward to exceeding your expectations for service. Should questions arise, please contact me at (609) 320-8111 | daniel.hauber@traonline.com. Thank you for the opportunity to share our proposal.

Sincerely,
Transportation Resource Associates, Inc.

Daniel Hauber, WSO-CSE, TSSP, PMP
Vice President



Department of Administration
Purchasing Division
2019 Washington Street East
Post Office Box 50130
Charleston, WV 25305-0130

State of West Virginia
Centralized Request for Proposals
Service - Prof

Proc Folder: 923339			Reason for Modification:
Doc Description: RFP for State Safety Oversight of PRT			
Proc Type: Central Master Agreement			
Date Issued	Solicitation Closes	Solicitation No	Version
2021-08-30	2021-09-30 13:30	CRFP 0805 PTR2200000001	1

BID RECEIVING LOCATION

BID CLERK
DEPARTMENT OF ADMINISTRATION
PURCHASING DIVISION
2019 WASHINGTON ST E
CHARLESTON WV 25305
US

VENDOR

Vendor Customer Code: 541614
Vendor Name : Transportation Resource Associated, Inc. (TRA)
Address :
Street : 1608 Walnut Street, Suite 1602
City : Philadelphia
State : PA **Country :** USA **Zip :** 19103
Principal Contact : Daniel Hauber, WSO-CSE, TSSP, PMP
Vendor Contact Phone: (609) 320-8111 **Extension:** N/A

FOR INFORMATION CONTACT THE BUYER

Toby L Welch
(304) 558-8802
toby.l.welch@wv.gov

Vendor
Signature X

FEIN# 23-2622338

DATE September 30, 2021

All offers subject to all terms and conditions contained in this solicitation

ADDITIONAL INFORMATION**Request for Proposal (CRFP)**

As Authorized by W.V. Code 5A-3-10b, The West Virginia Purchasing Division is soliciting proposals for the agency, the West Virginia Division of Public Transit, to provide Professional Consulting Services and expert technical assistance for the State Safety Oversight Program. Including, but not limited to Investigative activities, safety audits, and documenting and reporting as per the attached documentation.

Online bidding has been prohibited for this solicitation.

INVOICE TO	SHIP TO
PUBLIC TRANSIT DIVISION OF BLDG 5 RM 663 1900 KANAWHA BLVD E CHARLESTON WV 25305-0432 US	PUBLIC TRANSIT DIVISION OF BLDG 5 RM 663 1900 KANAWHA BLVD E CHARLESTON WV 25305-0432 US

Line	Comm Ln Desc	Qty	Unit of Measure	Unit Price	Total Price
1	Professional Services SSO				

Comm Code	Manufacturer	Specification	Model #
80101508			

Extended Description:

Vendors must fill out Cost Sheet included as an attachment. Online responses prohibited.

SEE ATTACHED PRICING PAGES

SCHEDULE OF EVENTS

Line	Event	Event Date
1	Questions are due by 4:00 p.m.	2021-09-16

