



WASHINGTON METROPOLITAN AREA TRANSIT AUTHORITY
600 Fifth Street, NW, Washington, DC 20001-2651

AMENDMENT OF SOLICITATION / MODIFICATION OF CONTRACT

1. AMENDMENT/MODIFICATION AM002		2. EFFECTIVE DATE March 9, 2017	
3. ISSUED BY PURCHASING SECTION William Walters Jr., PM PRMT – 3 RD FLOOR Office of Procurement & Materials		4. ADMINISTERED BY (If other than block 3) Carlos Proctor, Quality Manager QICO – 5G Jackson Graham Building	
5. CONTRACTOR NAME AND ADDRESS <small>(Street, city, county, state, and Zip Code)</small>		6. FORM TYPE (Check only one) <input checked="" type="checkbox"/> AMENDMENT OF SOLICITATION NO. <u>CQ17099/CDS</u> DATE <u>February 14, 2017</u> (See block 7) <input type="checkbox"/> MODIFICATION OF CONTRACT/ORDER NO. _____ DATE _____ (See block 9)	
7. THIS BLOCK APPLIES ONLY TO AMENDMENTS OF SOLICITATIONS <input checked="" type="checkbox"/> The above numbered solicitation is amended as set forth in block 10. The hour and date specified for receipt of Offers <input checked="" type="checkbox"/> is extended, <input type="checkbox"/> is not extended. Offerors must acknowledge receipt of this amendment prior to the hour and date specified in the solicitation, or as amended, by one of the following methods; (a) By signing and returning <u>1</u> copies of this amendment; (b) by acknowledging receipt of this amendment on each copy of the offer submitted; or (c) by separate letter or telegram which includes a reference to the solicitation and amendment numbers. FAILURE OF YOUR ACKNOWLEDGMENT TO BE RECEIVED AT THE ISSUING OFFICE PRIOR TO THE HOUR AND DATE SPECIFIED MAY RESULT IN REJECTION OF YOUR OFFER. If, by virtue of this amendment you desire to change an offer already submitted, such change may be made by telegram or letter, provided such telegram makes reference to the solicitation and this amendment, and is received prior to the opening hour and date specified.			
8. ACCOUNTING AND APPROPRIATION DATA (If required)			
9. THIS BLOCK APPLIES ONLY TO MODIFICATIONS OF CONTRACTS/ORDERS (a) <input type="checkbox"/> This Change Order is issued pursuant to _____ The Changes set forth in block 10 are made to the above numbered contract/order. (b) <input type="checkbox"/> The above numbered contract/order is modified to reflect the administrative changes (such as changes in paying office, appropriation data, etc.) set forth in block 10. (c) <input type="checkbox"/> This Supplemental Agreement is entered into pursuant to authority of _____ It modifies the above numbered contract as set forth in block 10.			
10. DESCRIPTION OF AMENDMENT/MODIFICATION Please find attached revised SOW, which reflect changes in Section 01 – Overview; 2.1 Task 1; 2.2 Task 2; 4.0 Deliverables item C; and Item J. Questions must be submitted by 2:00pm, March 14, 2017. Due date has been extended to March 28, 2017 on or before 2:00pm EST. Except as provided herein, all terms and conditions of the document referenced in block 6, as heretofore changed, remain unchanged and in full force and effect. <small>Except as provided herein, all terms and conditions of the document referenced in block 6, as heretofore changed, remain unchanged and in full force and effect.</small>			
11. <input checked="" type="checkbox"/> CONTRACTOR/OFFEROR IS REQUIRED TO SIGN THIS MODIFICATION AND RETURN _____ COPIES TO ISSUING OFFICE.		<input type="checkbox"/> CONTRACTOR/OFFEROR IS NOT REQUIRED TO SIGN THIS DOCUMENT	
NAME OF CONTRACTOR/OFFICE BY _____ <small>(Signature of person authorized to sign)</small>		15. WASHINGTON METROPOLITAN AREA TRANSIT AUTHORITY BY  <small>(Signature of Contracting Officer)</small>	
13. NAME AND TITLE OF SIGNER (Type or print)	14. DATE SIGNED	16. NAME OF CONTRACTING OFFICER (Type or print)	17. DATE SIGNED
		William Walters Jr.	3/9/17

WASHINGTON METROPOLITAN AREA TRANSIT AUTHORITY
600 Fifth Street, NW, Washington, DC 20001-2651
AMENDMENT OF SOLICITATION / MODIFICATION OF CONTRACT

I. Proposal Due Date: All proposals are due on or before **2:00pm DST, March 28, 2017.**

Proposals shall consist of Volume I, II and II and shall be separately marked and addressed to:
WASHINGTON METROPOLITAN AREA TRANSIT AUTHORITY
600 5th Street, N.W.
Washington, DC 20001
Room 301-F
Attn: Cindy Smith – Contract Administrator

II. Scope of Work Changes; Attached is a revised SOW with changes highlighted.

III. Clarification to Question:

As a smaller minority firm, we can provide staff augmentation for all the above positions, but we are not equipped to provide all the staffing that may be required under this contract. Is it still acceptable for us to bid on this project? Is it WMATA's intent to award this IDIQ contract to multiple qualified firms? Should we bid this as a prime, or would you recommend us partnering with larger firms as a subcontractor? If yes, can you provide us any leads to interested firms and points of contact so we may pursue this as a teaming opportunity? Response: ~~The Authority may award to multiple firms.~~ The Authority intends to award on a single firm per the Contract Award, Section 22 of RFP Solicitation Instructions. Offerors may propose subcontractors. The Authority cannot advise firms on the firm should partner for this project. The Authority intends to award one contract for this requirement. The contractor may have subcontracts.

IV. Addition to Special Provision- Section 11. Contractor Personnel:

11. Contractor Personnel: WMATA reserve the right to review and approve resumes for all contract personnel recommended by the Contractor to work on WMATA tasks.

- (a) The Contractor shall replace employees who the Authority judges to be incompetent careless, unsuitable or otherwise objectionable or whose continued use is deemed contrary to the best interest of the program. The reason for replacement will be discussed between the Contractor and the Authority before a replacement request is issued. Upon receipt of a written request from the Authority, the Contractor shall proceed with the replacement unless the Contractor is able to demonstrate that the Authority's request is unreasonable. The replacement request will include the desired replacement date and the reason for the request. The Contractor shall effect the replacement in a manner that does not impact quality, cost or schedule.

V. Question Period Extended: Questions are due by 2:00pm, March 14, 2017. Offeror shall email questions to Cindy Smith at cdsmith1@wmata.com.

ATTACHMENTS
Revised SOW



Washington
Metropolitan
Area
Transit
Authority

SCOPE OF WORK

QICO Support Contract

Prepared by
Quality Assurance, Internal Compliance & Oversight (QICO)

March 6, 2017



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1.0 Overview

Task Order Description

The Washington Metropolitan Area Transit Authority's (WMATA), department of Internal Compliance (INCP), is a centralized compliance function intended to promote agency-wide adherence to internal policies and procedures, external laws, regulations and directives while adding greater accountability and transparency to internal audit and control efforts. INCP is composed of two major functional groups, each responsible for monitoring compliance with regulatory requirements and performing centralized audit management and oversight according to defined auditable areas.

The office of Quality Assurance, Internal Compliance & Oversight (QICO), one of INCP's two functional groups, performs oversight of the following WMATA auditable areas (or business functions):

- **Engineering** – encompasses all WMATA departments and offices performing tasks that support the process of using knowledge and principles to design, build, and analyze or construct WMATA's assets
- **Maintenance** – encompasses all WMATA departments and offices performing tasks to conserve the original condition of an asset or resource while compensating for normal wear and tear
- **Operations** – encompasses all WMATA departments and offices performing tasks related to the transportation of the riding public in revenue service vehicles (i.e. train, bus and paratransit) from one point to another
- **Safety and Security** – encompasses all WMATA departments and offices performing tasks to achieve the highest level of safety and security for all modes of transit in order to protect passengers, employees, revenues and property

QICO plays a vital role in the independent review of these areas to ensure compliance with all applicable standards and regulations with the objective of safeguarding the mission success of the agency. To ensure the necessary resources are available to support this critical function, WMATA seeks to obtain the professional expertise of a Contractor to provide on-call staffing and consulting for Engineering and Quality Assurance (QA) services.

The Contractor will deliver quality assurance and compliance audit and inspections services, develop quality program documentation, and supply trainers to develop curriculum and provide quality assurance training and technical training to WMATA staff.

The work to be performed under this agreement shall be under the direct supervision of WMATA's Managing Director of QICO or his designee.

Task 1: QA and Compliance Audit and Inspection Services

Ensure WMATA has subject matter experts at its disposal to support QA and compliance audits and inspections of transit engineering, maintenance, operations, and safety and security functions to identify systemic underlying issues and recommend preventive and corrective actions.



Task 2: Develop Quality Program Documentation

Build a corporate Quality Management System that provides framework and policy to coordinate and direct WMATA activities to meet customer expectation and regulatory requirements.

Task 3: Quality Assurance Training and Technical Training

Deliver needed training to WMATA quality assurance staff responsible for independent audits and inspections as determined through needs assessment on-site.

Task 4: Data Analysis and Regulatory Compliance

Provide analytical support to WMATA to review statistical data, interpret/communicate legal requirements, policy, laws and regulations.

Period of Performance

The term of this contract shall commence from start of Award (Notice of Award) to June 30, 2018 with 4 one-year option periods.

2.0 Statement of Work

The Contractor shall make available a minimum of 24 on-call staff with the requisite expertise necessary for the requirements of the task order. On-call staff area of expertise and experience shall include: Rail Systems Engineering; Rail Transit Operations and Maintenance; Quality Management System development and implementation; and Quality Assurance training and technical training. The scope of work to be performed shall include the following:

2.1 Task 1 – QA and Compliance Audit and Inspection Services

The Contractor shall be required to perform QA and compliance audits and inspections, on an as-needed, on-call basis. An audit as defined herein is an independent and objective appraisal to evaluate, analyze or review: conformance to standards for a service, process, product or system; compliance with internal policies and procedures; and compliance with laws and regulations. Audits may include inspection of documentation and information management systems, inquiries, site visits, and desk reviews. An inspection as defined herein (derived from ISO 2859) is the measuring, examining, testing or gauging of one or more characteristics of a work process, product or service, and comparing the results with specified requirements in order to establish whether conformity is achieved.

Specific tasks shall include but are not limited to:

- A. Perform risk assessment to determine audit scope and prioritization of audit activities
- B. Develop audit plans to include description of scope, objectives, methodology (detailing the audit approach in the planning, conduct and reporting phases of an audit), schedule and criteria or checklist items



- C. Audit processes for compliance to established standards (internal or external) and workmanship (the degree or skill with which a product is made or a job done) requirements
- D. Thorough review of documents provided by an audited department, maintenance records, technical specifications, drawings and general records management practices
- E. Audit outside material suppliers and manufacturers as needed
- F. Conduct interviews with WMATA departmental employees regarding the subject area of an audit
- G. Visually inspect in-progress or completed maintenance work, equipment, materials or structures
- H. Brief WMATA employees on audit and inspection findings
- I. Prepare audit and inspection reports summarizing the review activities, resulting findings and recommendations
- J. Review audited department proposed corrective action plans and provide written feedback
- K. Monitor implementation of corrective action plans
- L. Conduct follow-up audits to assess the effectiveness of implemented corrective actions

2.2 Task 2 - QA Program Implementation

The Contractor shall be required to develop or revise quality program documentation (procedures, policies, plan, etc.) and make recommendations for modifying existing quality management approaches and processes.

Specific tasks shall include but are not limited to:

- A. Revise the WMATA Quality Management System (QMS) Manual, to comply with the most current release of the Federal Transit Administration's (FTA)' Quality Management System Guidelines.
- B. Develop standard operating procedures, quality management plans and processes to support the implementation of the QMS.
- C. Identify, through audit and inspection, quality concerns associated with WMATA compliance to the FTA fifteen elements of a quality program found in the FTA Quality Management System Guidelines, FTA-PA-27-5194-12.1 (or most current revision). Prepare reports and present audit findings to WMATA at the close of each audit.
- D. Conduct periodic QA field assessments, including auditing of quality control processes and quality of record keeping. Prepare reports of findings and recommended actions to address non-compliance.



2.3 Task 3 – QA Training & Technical Training

The contractor shall perform an on-site training needs assessment within 90 days of contract award, present results of the assessment to WMATA and conduct training based on curriculum pre-approved by WMATA.

Specific tasks shall include but are not limited to:

- A. Identify training needs via a gap analysis and provide recommended training course alternatives to address existing knowledge gaps.
- B. Develop training curriculum, course outlines, presentation materials, course exercises and a tests to assess learning. Selected vendor will provide material, tests and required training aids as agreed upon.
- C. Conduct classroom training at WMATA provided facility space using approved curriculum, visual and other aids.

2.4 Task 4 – Data Analysis and Regulatory Compliance

The contractor shall be required to provide accurate and detailed analysis as required on areas of focus in support of QICO efforts and activities.

Specific tasks shall include but are not limited to:

- A. Provide analysis of statistical, qualitative and quantitative data such as historical ratios of Corrective Action Plans (CAPS) and recommendations from regulatory agencies.
- B. Review and provide interpretation and guidance on regulatory requirements and internal policy documents. Provide support for monitoring and tracking compliance with internal and external regulations, rules and requirements.
- C. Develop documentation of policies, processes and implementation methods for tasks identified by QICO.

3.0 Contractor Requirements

3.1 General

The Contractor shall have a minimum of ten (10) years of experience working with rail transit agencies and suitable staff to perform the type of work outlined in this SOW. The Contractor should be proficient in the areas as described in Section 2.0. The Contractor shall demonstrate, through similar tasks, the experience to provide on-call support as required. The Contractor shall have performed work of similar scope and scale for a minimum of the last five (5) years. The Contractor should have a clearly established and proven record in the tasks described in Section 2.0.

WMATA will select the most qualified contractor based upon comparison of the received Statement of Qualifications (SOQ).



3.2 Statement of Qualifications

The Contractor shall include the firm's SOQs in the Technical Volume II per Section 10 Proposal Format Instruction/Requirement & Section 14 Evaluation Criteria. The SOQ should include at a minimum the following:

- A. A summary of the contractor's comprehension of the SOW requirements overall and the specialized capabilities to fulfill the services required.
- B. The contractor's relevant experience and history in performing work in rail transit. Include references of persons, companies, or agencies that WMATA may contact to verify the experience of the contractor.
- C. A statement of qualifications and experience for each person expected to perform work. The Contractor must be able to staff projects with qualified people who shall be dedicated to tasks from start to finish.
- D. Company organization chart
- E. SOQs shall remain effective for one-hundred and eighty (180) days beyond the submittal date. After such time WMATA may request a re-submission of the Contractor's current SOQ.

3.3 Evaluation Criteria

SOQs received by WMATA will be assessed by an Evaluation Team, which will make the final selection recommendation based on the following criteria:

- A. BEST VALUE:
Proposals will be evaluated based upon application of the following Evaluation Criteria:
 - (a) Technical Approach:
 - i. Contractor must explain how the company will meet the requirements as outlined in the SOW/Deliverable.
 - ii. Contractor must demonstrate the ability to provide Quality Assurance and Quality Assurance training requirement of the RFP by providing a detailed project plan to include at a minimum the following:
 - 1. Quality Program Implementation Plan to include at a minimum detailed schedule of dates for milestones and significant completion of each area within the program.
 - 2. Quality Assurance Training and Technical Training Plan to include at a minimum of a proposed training class curriculum and course structure (utilizing previously created training program data as a reference).



3. Data Analysis and Regulatory Compliance support plan to include at a minimum detailed framework addressing the mitigation of regulatory risk and details and demonstrate a data structure that facilitates management and implementation of a comprehensive compliance program.

(b) Qualification: Contractor's experience and in providing on-call staffing and consulting services for Engineering and Quality Assurance services for transit industry. The contractor must provide a statement of qualification to included years of experience, education, and qualifications/certifications.

i. Contractor must provide on-call candidate who meet the following requirements:

1. Project Manager (PM): Minimum of a Bachelor's Degree in Business Administration, Engineering, Project Management or related field from an accredited University. Possess Project Management Professional (PMP) certification from the Project Management Institute. A Minimum of 5+ years of task and project management experience with at least 3-5 years' experience in Quality Assurance or related fields.
2. Admin Support: Minimum of a Bachelor's Degree in Business Management or related field from an accredited University. Minimum of 4 years of experience performing non-routine assignments of substantial variety and complexity based upon objectives and technical advice from supervisor.
3. Senior Inspector/Engineer: Minimum of a Bachelor's Degree in Engineering or related field from an accredited University and a 10 years program management experience in quality program/infrastructure programs. In lieu of a Bachelor's degree, a high school diploma and fifteen (15) years of progressively responsible engineering experience in a Quality Assurance quality, industrial, or manufacturing engineering environment will be considered.
4. Junior Inspector/Engineer: Minimum of a Bachelor's Degree in Engineering or related field from an accredited University and a Minimum 5 years of experience in quality assurance/quality control and/or infrastructure projects. In lieu of a Bachelor's degree, a high school diploma and eight (8) years of progressively responsible engineering experience in a Quality Assurance quality, industrial, or manufacturing engineering environment will be considered.
5. Quality Assurance Specialist/Engineer: Minimum of a Bachelor's Degree in Engineering, Quality Assurance, Project Management or related field from an accredited University. Minimum 5 years of experience in quality assurance/quality control and/or infrastructure projects. In lieu of a Bachelor's degree, a high school diploma and eight (8) years of progressively responsible engineering experience in a Quality Assurance quality, industrial, or manufacturing engineering environment will be considered.
6. CAP Leader/Coordinator: Minimum of a Bachelor's Degree in Business Administration, Engineering or related field from an accredited University. Minimum 3 experience performing root cause analysis, problem solving, process evaluation and/or program scheduling and coordination.

(c) Past Performance:

- i. Contractor must demonstrate past performance on similar requirements within the last 10 years. The Contractor must provide a list of a minimum of 3 references of over the past 5 years. The reference of past performance must include the following: (1) the title of the contract, (2)



procuring organization, (3) current Point of Contact name, phone number and email address, (4) contract award date, (5) contract completed date and (6) contract value.

4.0 Deliverables

- A. **Revise WMATA Quality Management System (QMS) Manual** – manual must establish WMATA-wide quality policy, responsibilities and objectives, and meet the minimum criteria set forth in the current revision of the FTA QMS Guidelines. Successfully awarded vendor shall supply the revised final copy of the WMATA Quality Management System Manual within 60 days of receiving The Authority’s Manual. Final deliverable will be in an electronic version and bound copy.
- B. **Develop QA Program Implementation Procedures** – procedures must be developed to support the revised WMATA QMS Manual described in Deliverable (A)
- C. **Create Audit Plan and Schedule** – audits must be scheduled, planned and conducted at least once annually to ensure that the elements of the WMATA QMS are functioning as intended at a minimum the following elements outlined in the FTA Quality Management System Guidelines must be audited:
- Element 1: Management Responsibility
 - Element 2: Documented QMS
 - Element 3: Design Control
 - Element 4: Document Control
 - Element 5: Purchasing
 - Element 6: Production Identification and Traceability
 - Element 7: Process Control
 - Element 8: Inspection and Testing
 - Element 9: Inspection, Measuring, and Test Equipment
 - Element 10: Inspection and Test Status
 - Element 11: Nonconformance
 - Element 12: Corrective Action
 - Element 13: Quality Records
 - Element 14: Quality Audits
 - Element 15: Training

An audit plan and schedule must be submitted to WMATA for approval 60 days prior to proposed implementation date. The audit plan must define at a minimum the audit objectives, audit scope, audit methodology, audit schedule and audit checklist template.

- D. **Perform Quality Audits** – Perform audits described in Deliverable (C).



Audit reports must include a summary, findings and recommendations; and must be submitted within 7 days of the audit closing meeting unless otherwise specified by WMATA

- E. **QA Field Assessment Reports** – must conduct at a minimum quarterly field assessments with WMATA Quality personnel to monitor the effectiveness of QA/QC programs; must prepare reports to include findings and recommendations
- F. **QA/QC Records Audit Reports** – must conduct at a minimum quarterly records reviews to ensure proper maintenance of quality records (e.g. inspection reports, calibration records, training records, test date, etc.); must prepare reports to include findings and recommendations
- G. **Training Needs Assessment Report** – assessment must include a review of QICO personnel knowledge, skills and experience to identify gaps or areas of need; assessment data will be collected via one-on-one interview of personnel and direct observation of their work performance for up to 60 QICO staff.
- H. **Training Course Syllabus and Curriculum** – training outline and course materials must be developed based on the results of the needs assessment described in Deliverable (G)
- I. **Conduct Training** – Perform training outlined in Deliverable (H)
- J. **Inspection Reports** – must summarize examination results from visual inspection, measurement, testing and gauging activities. The results shall include notation of products or work processes that don't conform to established standard; photos depicting non-conformances; and recommended or required corrective action.
- K. **Weekly Corrective Action Plans Status Reports**- Provide weekly reports detailing the progress and status of Corrective Action Plans.
- L. **Policy Documents**- Perform reviews, analysis and interpretation of internal policy, regulatory and legal documents as well as the resulting process implementation.
- M. **Analysis Reports**- Perform detailed analysis on data as requested by QICO to support the Authority's efforts.

SPECIAL PROVISION:

Contractor Right of Way Training: All Contractor and Sub-Contractor personnel and/or their technical representatives or assistants performing on-site work, inspection or testing involving access to the Authority's right of way shall have successfully completed a Right-of-Way (ROW) training course administered by the Authority.



Contractor's personnel required to work on WMATA property must obtain a WMATA vendors badge and successfully complete the mandatory safety training which must be renewed yearly. To obtain a vendors badge a signed waiver to perform a background check will be required.

The Contractor shall follow all appropriate RAIL Operational Rules, OAPs, SOPs and General and Safety Special Orders while on the operational railroad and all Start-Up Rules and Manager's notices when in a declared start-up area.

The contractor's personnel will be required to complete the QICO 2-day business plan training course administered by WMATA successfully.

WMATA will reserve the right to review and approve resumes for all contract personnel suggested by the Contractor to work on WMATA tasks.