



**REQUEST FOR PROPOSAL**  
**Number RFP # 21-11**  
**FINANCIAL AUDITING SERVICES**  
**Issued: July 19, 2021**

<b>Deadline for Questions:</b>	<b>July 27, 2021; 10:00 a.m. CST</b>
<b>Responses to Questions posted <a href="http://www.maxtransit.org">www.maxtransit.org</a></b>	<b>July 29, 2021; 3:00 p.m. CST</b>
<b>Proposals Due:</b>	<b>August 13, 2021; 10:00 a.m. CST</b>

**Pre-Bid Conference: NONE**

**BJCTA Procurement Contact**

Procurement Manager: Darryl R. Grayson, [dgrayson@bjcta.org](mailto:dgrayson@bjcta.org)  
**All questions must be submitted via email to [fasproposal@bjcta.org](mailto:fasproposal@bjcta.org)**  
 Response to questions will be posted on [www.maxtransit.org](http://www.maxtransit.org).

Physical Address	Proposals to:
Birmingham Jefferson County Transit Authority 1801 Morris Avenue 2nd Floor Birmingham, AL 35203-3109	EMAIL ADDRESS: <a href="mailto:fasproposal@bjcta.org">fasproposal@bjcta.org</a> Subject Line: RFP #21-11 Financial Audit Services Must Be received by August 13, 2021

**Please send proposals to email address only.** Proposals will be considered non-responsive and will be rejected if sent by Post Office Box, faxed, or received after 10:00 a.m. CST, **Proposals must be sent electronically with two separate files (Technical and Cost) labeled accordingly as a PDF file to: [fasproposal@bjcta.org](mailto:fasproposal@bjcta.org), File Name: "Financial Audit Services" by August 13, 2021, at 10:00AM CST.**

Unless written authorization is provided by the BJCTA Procurement Manager, no other official or employee may speak for the BJCTA regarding this solicitation until the award decisions are complete. Any Proposer seeking information, clarification, or interpretations from any other official or employee uses such information at their own risk, and BJCTA is not bound by such information. Following the submittal deadline, and until a contract is fully executed, Proposers shall continue to direct communications to only the BJCTA Procurement Manager identified above.

COMPANY NAME: \_\_\_\_\_ PHONE #: \_\_\_\_\_

ADDRESS: \_\_\_\_\_ FAX #: \_\_\_\_\_

CITY/STATE/ZIPE CODE: \_\_\_\_\_ E-MAIL: \_\_\_\_\_

DUNS# \_\_\_\_\_ (Required)

**CONFIRMATION OF RECEIPT**

**Please complete this form and return it to BJCTA Procurement Department as soon as possible.**  
Email the completed form to Darryl Grayson at **dgrayson@bjcta.org**.

This form is to verify that the Request for Proposal (RFP) issued by Birmingham Jefferson County Transit Authority (BJCTA) has been received. This form is to ensure that each Bidder has received a Request for Proposal and is given the opportunity to respond. **If an addendum is issued and posted on BJCTA.org website, the contact information provided on this form could also be used to distribute the information.**

**REQUEST FOR PROPOSAL:  
FINANCIAL AUDIT SERVICES**

COMPANY NAME: \_\_\_\_\_ PHONE #: \_\_\_\_\_  
ADDRESS: \_\_\_\_\_ FAX #: \_\_\_\_\_  
CITY/STATE/ZIP CODE: \_\_\_\_\_ E-MAIL: \_\_\_\_\_

(CIRCLE: YES OR NO)

Disadvantaged Business Enterprise (DBEs) Vendor? YES or NO  
All copies must be clear and free from obstruction? YES or NO  
Will RFP (Cover Sheet) be attached to this confirmation page? YES or NO  
Will you be submitting a Proposal for this service? YES or NO  
**(IF NO PLEASE PROVIDE REASON IN THE COMMENTS SECTION)**

COMMENTS:

CERTIFIED BY: \_\_\_\_\_ DATE: \_\_\_\_\_  
(PROPOSER)

PRINTED NAME: \_\_\_\_\_

The Birmingham-Jefferson County Transit Authority (BJCTA) seeks to retain a firm or organization to provide Financial Audit Services. This Request for Proposal (“RFP”) outlines the services sought and the required documents for submission.

Questions or requests for clarifications and all communications with BJCTA personnel concerning this RFP must be received by BJCTA, using by July 26, 2021. Responses and any addendum(s) will be posted at – [www.maxtransit.org](http://www.maxtransit.org) no later than the “Response to Questions” date on the cover page. Any changes will be valid only if included in an addendum, posted in the same manner as the RFP. All DBE documents must be acknowledged and signed. Proposers shall acknowledge receipt of all addenda in writing by completing and returning **Attachment B, “Acknowledgement of Addenda”**. Failure to acknowledge receipt of an addenda(s) and to complete all requirements below shall be considered non-responsive and rejected by BJCTA. Please use the following address to submit your response:

**ATTN: PROCUREMENT DEPT. – DARRYL GRAYSON**  
**Birmingham-Jefferson County Transit Authority (MAX)**  
**1801 MORRIS AVENUE – 2<sup>ND</sup> FLOOR**  
**Birmingham, AL 35203-3109**

In the “ Subject “ area of the email , please state:  
**RFP # 21-11 FINANCIAL AUDITING SERVICES**

Only one proposal per firm is allowed. Proposals must be emailed to [fasproposal@bjcta.org](mailto:fasproposal@bjcta.org) no later than August 13, 2021. The receipt time on the email will be recorded as the official receipt time. Any proposal received after the deadline will be considered non-responsive and will be rejected. BJCTA reserves the right to reject any or all proposals and to waive any irregularities or informalities in any proposal or in the proposal procedure. Proposals may be withdrawn by written request to BJCTA prior to the proposal opening. No proposer may withdraw a proposal for a period of 120 days after August 13, 2021.

If awarded, this RFP may also serve as the contractual agreement between the successful Proposer and BJCTA and does not commit BJCTA to award a Contract or to pay any cost incurred in preparation of a Proposal. BJCTA reserves the right to cancel the RFP or issue a subsequent RFP at any time during the solicitation process.

BJCTA will initially review the proposals for responsiveness and responsibility related criteria as set forth in the RFP. Those proposals that meet the responsiveness and experience requirement will then be scored according to the following criteria:

1. Introduction of the Prime Consultant / Contractor
2. Past Performance
3. Qualification of the Firm and Staff
4. Work Plan / Project Approach
5. Cost Proposal

BJCTA will enter negotiations to contract with the highest-ranked Proposer. Should the terms offered not be desirable to BJCTA, negotiations with highest ranked successful Proposer will follow until a Contract is finalized.

For complete protest procedures please go to the following website:<http://www.maxtransit.org/bjcta-procurementprotest-procedures/>

## **Purpose**

The Birmingham-Jefferson County Transit Authority (BJCTA) is soliciting proposals from Certified Public Accounting Firms to audit its financial statements for the years ending September 30, 2021, 2022 and 2023 as referenced in Attachment A. Options for auditing years 2024 and 2025 are at the sole discretion of BJCTA.

## **Scope of Services**

The scope of services is as follows:

- (1) Conduct an annual audit of the General-Purpose Financial Statements of the Birmingham-Jefferson County Transit Authority. The audit examination will be conducted in accordance with generally accepted auditing standards and the standards for financial and compliance audits contained in the Government Auditing Standards issued by the U.S. General Accounting Office.
- (2) Perform an audit of all Federal, State and local grants and contracts, under the provisions of OMB Uniform Guidance. In addition to the above, the Single Audit will be conducted in accordance with generally accepted auditing standards; the standards for financial and compliance audits contained in the Government Auditing Standards, issued by the U.S. General Accounting Office; the AICPA Audit and Accounting Guide; Audits of State and Local Governmental Units; and the Provisions of OMB Circular A-102, Amended 1997.
- (3) Determine the adequacy of the Authority's financial management and accounting system under the requirements of the National Transit Database (NTD) Reporting System. Review those financial reports/reporting forms required by and under the NTD administered through the Federal Transit Administration (FTA).
- (4) Deliver to the Authority the following reports:
  - (A) Auditor's reports on Basic Financial Statements and Supplementary Data, Internal Accounting Control Based Solely on a Study and Evaluation Made as a Part of the Examination on the Basic Financial Statements, and compliance Report Based on an Examination in Accordance with GAO Standards.
  - (B) Audited Financial Statements and Schedules.
  - (C) Regulations Related to Major Federal Financial Assistance Programs.
  - (D) Auditor's Report on Internal Accounting and Administrative Controls based on a Study and Evaluation Made as a Part of an Examination of the General-Purpose Financial Statements and the Additional Tests Required by the Single Audit Act.
  - (E) Schedule of Federal Financial Assistance.
  - (F) Schedule of Findings and Questioned and/or Disallowed Costs.
  - (G) Findings and Recommendations - Non-Compliance.
  - (H) Findings and Recommendations - Management Letter.
  - (I) Data Collection Form.

- (5) Make a presentation of findings to the Board of Directors at the request of the Executive Director.

## RFP Submission Requirements

Proposals should be no more than twenty-five (25) pages, not including references, and cover the following:

1. Organization Description: Brief history and summary of your firm and expertise.
2. Approach: Please tell us about the process you would go through to conduct a successful audit. Detail how you will accomplish the above scope of work, including a clear delineation of what we should expect the firm to be responsible for and what you expect from BJCTA.
3. Deliverables: How will we measure success throughout the process?
4. Proposed Timeline: Estimate the start and end dates for each phase of the audit process.
5. Budget: Proposed cost along with narrative description of what is included in this cost. Include with **Attachment A, "Price Proposal Form"**. Please submit cost proposal separately.
6. Proposals must be emailed to [fasproposal@bjcta.org](mailto:fasproposal@bjcta.org) no later than the "Proposal Due Date" stated on the cover page by **August 13, 2021, at 10:00 AM CST**. The receipt time of the email will be recorded as the official receipt time.
7. References: Provide three references from companies and/or firms where successful audits have been conducted. Please provide contact information.

## ADDITIONAL INSTRUCTIONS TO PROPOSERS

1. Personnel

The Proposer shall represent that it has, or will secure at its own expense, all personnel required in performing this RFP. Such personnel shall not be employees of or have any contractual relationship with the BJCTA. All the services required hereunder will be performed by or on behalf of the Proposer. All personnel engaged in performing this RFP shall be fully qualified and shall be authorized, if applicable, under state and local law to perform such services.

2. Tax Exempt

The Proposer recognizes that the BJCTA is exempt from the payment of Federal, State, and local taxes, and that such taxes are included in the RFP cost. The BJCTA will furnish a Proposer with the necessary tax-exempt certificates.

3. Familiarity

The submission of an RFP shall constitute an acknowledgement that the Proposer has thoroughly examined and is familiar with the RFP in every detail, agrees with all the conditions.

4. Indemnification

The Proposer shall expressly agree and covenant that it will defend, hold, and save harmless, and indemnify the officers, directors, servants, agents, and employees of the BJCTA from liability of any nature or kind in connection with the work to be performed under the Contract, whether arising out of any act or omission of the Proposer or any employee, agent, or independent contractor of the Contractor.

5. Insurance

The Proposer shall maintain insurance during the performance of the Contract from one or more insurance companies licensed in the City of Birmingham and surrounding municipalities to provide the following forms of insurance, said insurance companies to be reasonably satisfactory to the BJCTA. Upon the execution of a Contract, the Proposer shall furnish the BJCTA with certificates of insurance showing that the BJCTA has been listed as an additional insured. All insurance is to remain in full force and effect until all work under the Contract has been satisfactorily completed and accepted by the BJCTA.

- a. Workers' Compensation
  - Employers' Liability \$500,000
  - All States Endorsement Statutory
  - Voluntary Compensation Statutory
  
- b. Public Liability and Property Damage
  - 1. \$100,000 for bodily injuries to or death of one person in any one occurrence.
  
  - 2. \$500,000 for bodily injuries to or death of two or more persons in any one occurrence.
  
  - 3. \$100,000 for damage to or destruction of property in any one occurrence.

6. Audit and Inspection

The Proposer shall permit the Secretary of Transportation and the Comptroller General of the United States, or any of their duly authorized representatives, to inspect all work, materials, payrolls, and other data and records regarding the Contract, and to audit the books, records, and accounts pertaining to such Contract.

7. Immigration

The Proposer agrees to comply with Birmingham and surrounding municipalities Act 2011-535, as amended, the Beason-Hammon Birmingham and surrounding municipalities Taxpayer and Citizen Protection Act.

8. Pre-Award Information

Before deciding responsibility, the BJCTA Procurement Manager shall possess or obtain information sufficient to satisfy the applicable standards and requirements for responsibility set forth in this section.

- a) The BJCTA Procurement Manager shall obtain information regarding the responsibility of a prospective contractor "Proposer" whose offer is in the competitive range. The Proposer shall promptly supply information requested by the Contracting Officer regarding its responsibility. If the Proposer fails to supply the information requested, BJCTA shall decide non-responsiveness based upon the lack of available information.
  
- b) The BJCTA Procurement Manager shall use the following sources of information, listed in priority order to support responsibility determinations:
  - (1) General Services Administration publication titled "System for Award Management" ("SAM"), formerly the "Excluded Parties List System." The results of the search will be printed and placed in the BJCTA contract file.

- (2) Written records and experience data, including verifiable knowledge of Authority personnel, and other sources, i.e.: publications, suppliers, subcontractors, and customers of the prospective contractor, financial institutions, government agencies, and business and trade associations. Contract Administrators and other Authority personnel who become aware of circumstances casting doubt on a contractor's ability to perform a contract successfully shall promptly inform the Procurement manager and furnish the relevant information in writing; and
- (3) Information supplied by the Proposer, including proposal information, questionnaire replies, financial data, information on production equipment and personnel information.

#### 9. Restriction on Disclosure and Use of Data

The Authority shall provide all reasonable precautions to ensure that proprietary, technical, and pricing information remains within the review process. Proposers shall attach to any proprietary data submitted with the solicitation the following legend:

- a) This data furnished pursuant to this RFP shall not be disclosed outside the Authority, be duplicated, or used in whole or in part, for any purpose other than to evaluate the offer; provided that, if a contract is awarded based on that offer, the Authority shall have the right to duplicate, use, and disclose this data, in any manner and for any purpose whatsoever.
- b) This information does not limit the Authority's right to use information contained in this data if it is or has been obtained by the Authority from another independent legitimate source.
- c) Except for the foregoing limitation, the Authority may duplicate, use, and disclose in any manner and for any purpose whatsoever and have others so do, all data furnished in response to this solicitation."

#### 10. Employment Restriction Warranty

- a) The Proposer warrants that it will not offer employment to any officer or employee of the Birmingham-Jefferson County Transit Authority (Authority) who has been involved, directly or indirectly, in any matter of financial interest to the Proposer until at least one (1) year after the officer or employee has ceased involvement in or responsibility for the matter.
- b) The Proposer further warrants that it will not employ any Authority officer or employee who has had direct responsibility for any matter of financial interest to the Proposer within the year prior to the retirement or termination of the officer or employee until at least one (1) full year after such officer or employee has left the employment of the Authority.
- c) The one (1) year requirement described in this provision may be waived at the discretion of the Authority if the employee or former employee has been subject to a Reduction in Force; in such case, BJCTA will provide the Proposer with a letter to that effect.
- d) If a waiver is granted, or if a former employee of the Authority is eventually hired, the Proposer shall be responsible for ensuring that the former employee is not directly involved in negotiating or otherwise dealing with Authority on any matter over which such employee had responsibility during his or her period of employment at Authority.

e) Should the Proposer fail to comply with paragraphs (a), (b) or (d) above, BJCTA shall have the right to withhold payment in an amount not to exceed 2% of the total Contract amount as liquidated damages to the Authority, such withholding to be in addition to any other withholding under the terms of the Contract. Further, the BJCTA Procurement manager shall consider such violation in evaluating the Proposer's responsibility in connection with award of any future Authority Contract.

## 11. Best Value Award

### a) Award Will Be Made to the Proposer

- (1) Whose offer, based on integrated assessment of the evaluation criteria, is found to be the most advantageous to the Authority after a selection committee completes the technical review and price ("best value"); and
- (2) The Authority deems responsive and responsible in accordance with the BJCTA Procurement Policies & Procedures Manual.

### b) Best Value Determination

- (1) The technical merit of the proposal is significantly more important than the price, and the price must be fair and reasonable.
- (2) Price becomes more important as proposals become more technically equivalent.

c) Proposers are advised that award may be made without discussion or any contact with the Proposers concerning the offers received. Therefore, offers should be submitted initially on the most favorable terms that the Proposer can submit to the Authority.

## 12. Proposal Evaluation Criteria

Technical and cost proposals will be evaluated based on the following criteria:

### **Section 1**

#### **Introduction of the Prime Consultant & Contractor**

An introduction of the prime Consultant/Contractor, members of a partnership, joint venture, or other teaming arrangement, whichever is applicable, and an introduction of all major subcontractors/subconsultants who may be involved in the performance of the work; and discussion of the primary business experience, length of time in business, ownership, office locations, specific location of the principal office from where the main work will be performed, contact information (i.e., contact names, telephone and facsimile numbers, and email addresses), and other information introductory in nature for each firm involved in making the proposal.

### **Section 2**

#### **Past Performance**

**(300 Total Maximum Points)**

Discuss offeror's past performance conducting financial audits with special emphasis on the following:

- (a) At minimum, three (3) client references for which recent Financial Audits have been conducted. References should include name of client, location, name and contact information for reference, position placed, and compensation received for placement.



(150 Points)

- (b) Transit/Transportation Experience Provide, at minimum, a detailed listing of transit and/or transportation industry clients the offeror has worked for within the past 5 years.

At a minimum, resumes of the project manager(s) and key personnel (inclusive of all relevant joint venture and subcontractor personnel) who will be assigned to the project. Resumes must be complete and concise, featuring experience that is most directly relevant to the task.

(150 Points)

### **Section 3**

#### **Qualification of the Firm and Staff**

**(200 Total maximum points)**

Discuss offeror's qualifications as a business entity, past performance, and experience with a minimum of five (5) years demonstrated experience and expertise in conducting successful financial audits in a public or government agency with special emphasis on the following:

- (a) Experience relevant to conducting financial audits that serve medium size (500 plus employees) governments or businesses with salary and hourly employees as required under this solicitation and resulting contract.

At a minimum, and in detail: (i) discuss offeror's history and experience relevant to the Authority's needs as set out in this solicitation; (ii) describe offeror's direct experience on projects of similar size, scope, and complexity, and (iii) provide dates, locations, costs of assignments, names of project managers, and names and current contact information for business references and clients. Also, discuss the qualifications of all other firms proposed to be utilized in the performance of the work (including joint venture members or major subcontractors/subconsultants), and clearly differentiate which qualifications listed relate to which firm.

(100 Points)

- (b) Qualifications of team(s), project manager(s) and other key personnel who will be assigned to the project.

Submit, at a minimum, resumes of team members(s)/project managers(s) and key personnel (inclusive of all relevant joint venture and subcontractor personnel) who will be assigned to the project. Resumes must be complete and concise, featuring experience that is most directly relevant to the task responsibility to which the individual will be assigned. Resumes must be dated (e.g., dates of education, experience, employment, etc.) and must state the function(s) to be performed on the project by each of the key personnel.

(100 Points)

### **Section 4**

#### **Work Plan / Project Approach**

**(200 Maximum Points)**

Work Plan (Project Approach) Provide a description of how the offeror proposes to organize and perform the work. At a minimum, include the following:

- (a) Proposed method of accomplishing the work required for this project.

(100 Points)

- (b) Potential impediments, obstacles, or problems that could negatively impact upon work performance and proposed solutions.

(100 Points)

## **Section 5**

### **Cost Proposal**

**(300 Maximum Points)**

Price proposal is comprised of a completed Pricing Schedule (Offeror shall record its proposed commission, estimated commission value, and proposed administrative fee on the pricing Schedule. The total estimated not to exceed amount (e.g., Offeror's price) shall be considered for evaluation purposes.

- (a) Each price proposal shall be evaluated and scored based on a 300-point maximum. Scoring shall be in accordance with the following formula:  $\text{Lowest Price Offered Total Maximum Points} = \text{Points Awarded Offered Price} / \text{Example: Vendor Offered Price}$   
Points Awarded Company A  $\$87,000 / \$87,000 \times 300 = 300$  Points Awarded  
Company B  $\$91,578 / \$87,000 \times 300 = 285$  Points Awarded

### 13. Price Proposal Evaluation

The Authority will evaluate price proposals for reasonableness, completeness, and realism as appropriate. Each Proposer's cost will be evaluated in terms of the following which are equal in importance:

- (1) Submittal of proposed prices for both the Base and the Options, if any, failure to do so will necessitate rejection of the proposal. (See Attachment A)
- (2) Any offer which is materially unbalanced may be rejected. An unbalanced offer is one which is based on prices that are significantly overstated for some items and understated for other items.
- (3) The Authority will compare the price proposals to the Authority estimate and otherwise determine reasonableness by performing a price analysis if adequate competition exists. A cost analysis will be performed if adequate price competition does not exist, to ascertain whether the proposed price is fair and reasonable; and
- (4) the Proposer shall provide certified cost or pricing data as requested by the BJCTA Procurement manager.

### 14. Definitions for Technical Evaluation

**Clarifications:** Communications with a Proposer for the sole purpose of eliminating minor irregularities, informalities, or apparent clerical mistakes in the proposal. Unlike discussions, clarifications do not give the Proposer an opportunity to revise or modify its proposal, except to the extent that correction of apparent clerical mistake results in revisions.

**Discussions:** Oral or written communications including negotiations between the Authority and a Proposer (other than clarifications) that; involves information essential for determining the acceptability of the proposal or to cure identified defects in the proposal.

**Deficiencies:** Defects in the proposal which preclude acceptance. Involves any part of the Proposer's proposal which would not satisfy the Authority's minimum requirements established in the solicitation. Included failures to meet

specifications, submit information, or questionable technical or management approaches. Items disclosed during discussions, evaluated in two categories: material-basis for rejection because further discussions would be meaningless; curable –may be corrected by clarifications or discussions and brought into the competitive range.

Weakness: Includes ambiguities, lack of complete descriptions, errors in interpretation, inadequate information, all of which are considered curable in discussions. An excessive number of clarifications may constitute a weakness.

Strengths: Elements of the proposal that exceed the minimum requirements of the solicitation and provide an identified benefit to the Authority.

#### 15. Language and Currency

As regards this solicitation and the resultant contract:

- a) All communications (oral, written, electronic and otherwise including but, not limited to software coding) shall be in the English language.
- b) All pricings shall be in United States dollars.

#### 16. Federal/State/Local Sales Taxes

- a) The Authority is exempt under this solicitation from all Federal, State of Birmingham and surrounding municipalities, City of Birmingham, and local taxation.
- b) This provision supersedes any language pertaining to payment of taxes that may appear elsewhere in this solicitation.
- c) The Authority's tax-exempt number: Will be provided.

**ATTACHMENT A**  
**PRICE PROPOSAL FORM**

**THIS ATTACHMENT MUST BE UNDER SEPARATE COVER FROM PROPOSAL**

TO: Birmingham-Jefferson County Transit Authority

The Proposer listed below hereby submits its offer in accordance with the terms of the **Request for Proposal #21-11** (the "RFP").

The offer is made in accordance with the Scope of Services and subject to the approved equals as described in the documents identified herein. The Proposer has carefully examined the RFP and has informed itself thoroughly regarding any and all conditions and requirements of the RFP. Any additional information that is requested in the RFP is attached hereto.

**This agreement term will be for an initial period of three (3) years with two (2) one year renewal options. Renewal option years are at the sole discretion of BJCTA.**

**Labeled "Attachment A" in the proposal please provide the following:**

- A complete outline of cost of services to be performed.

<b>Description:</b>	<b>Total:</b>
Fiscal Year 2021 Audit	\$
Fiscal Year 2022 Audit	\$
Fiscal Year 2023 Audit	\$
Fiscal Year 2024 Audit Option YR 1	\$
Fiscal Year 2025 Audit Option YR 2	\$

- Any additional information associated with cost and fees that may be relevant to the scope of work.

\_\_\_\_\_  
 Company

\_\_\_\_\_  
 Authorized Signature

\_\_\_\_\_  
 Street Address

\_\_\_\_\_  
 Printed Name of Signer

\_\_\_\_\_  
 City / State / ZIP

\_\_\_\_\_  
 Title of Signer

\_\_\_\_\_  
 Phone

\_\_\_\_\_  
 Date

\_\_\_\_\_  
 Email Address

\_\_\_\_\_  
 DUNS#

**ATTACHMENT B**

**Acknowledgement of Addenda**

The undersigned acknowledges receipt of the following addenda to the Request for Proposal Number RFP #21-11.

Addendum No.	_____	Dated	_____
Addendum No.	_____	Dated	_____
Addendum No.	_____	Dated	_____
Addendum No.	_____	Dated	_____

\_\_\_\_\_  
Company

\_\_\_\_\_  
Authorized Signature

\_\_\_\_\_  
Printed Name of Signer

\_\_\_\_\_  
Title of Signer

\_\_\_\_\_  
Date



**ATTACHMENT D  
DBE AFFIDAVIT**

State of \_\_\_\_\_ }  
County of \_\_\_\_\_ }

Before me, a notary public, personally appeared \_\_\_\_\_, who, being duly sworn, says as follows:

1. I serve as \_\_\_\_\_ for \_\_\_\_\_ (the "DBE").
2. The DBE has been certified as a Disadvantaged Business Enterprise by ALDOT, BAA, UCP or DOT.
3. Such certification has not been revoked and has not expired.
4. There has been no change in the minority status of the DBE.
5. Attached hereto is the DBE's most recent DBE certification letter.
6. The foregoing items are true and accurate.

\_\_\_\_\_  
Signature of Affiant

\_\_\_\_\_  
Date

I certify that the affiant is known or made known to me to be the identical party s/he claims to be. Subscribed and sworn to before me this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_.

[SEAL]

\_\_\_\_\_  
Notary Public  
My Commission expires \_\_\_\_\_, 20\_\_.

**ATTACHMENT E  
DBE UNAVAILABLE CERTIFICATION**

The undersigned Proposer submits to the Birmingham-Jefferson County Transit Authority (BJCTA) certifies that, on \_\_\_\_\_, 20 \_\_, a representative contacted the following Disadvantaged Business Enterprise (“DBE”) to obtain a Proposal for the following work items.

DBE	Work Items Sought	Form of Proposal Sought (i.e., unit price, materials & labor, labor only, etc.

Said DBE was unavailable for work on this project, or unable to prepare a Proposal for the following reason:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

\_\_\_\_\_  
Company

\_\_\_\_\_  
Authorized Signature

\_\_\_\_\_  
Printed Name of Signer

\_\_\_\_\_  
Title of Signer

\_\_\_\_\_  
Date

The foregoing statement is a true and correct account of why the undersigned DBE did not prepare a Proposal on this project.

\_\_\_\_\_  
Disadvantaged Business Enterprise

\_\_\_\_\_  
Authorized Signature

\_\_\_\_\_  
Printed Name of Signer

\_\_\_\_\_  
Title of Signer

\_\_\_\_\_  
Date



# DISADVANTAGED BUSINESS ENTERPRISE (DBE) UTILIZATION

The undersigned bidder/offeror has satisfied the requirements of the bid specification in the following manner (please check the appropriate space):

The bidder/offeror is committed to a minimum of **15%** DBE utilization on this contract. Provide DBE Information on chart below. Please submit documentation demonstrating good faith efforts.

Name of Bidder/ Offeror's Firm (Subcontractor/Supplier/Service Provider)	DBE?		Phone	State Registration No.	Dates, Best Method of Contact		Description of Work	Dollar Amount of Proposal/ Quote
	Yes	No			Letter	Phone		

\_\_\_\_\_  
Print Name/Title

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

**Birmingham-Jefferson County Transit Authority**  
**DBE GOOD FAITH EFFORT DOCUMENTATION**

The intent of this form is to document the good faith effort attempts made by the apparent low bidder in soliciting DBE firms to meet the DBE project goal. Please note that the project goal will not be waived, and the contractor must make efforts to achieve the goal throughout the life of the contract.

Every work type where there is a certified DBE, the apparent low bidder must submit the form as follows:

- 1 available DBE – must contact 1 DBE.
- 2-5 available DBEs – must contact 3 DBEs minimum.
- 6-7 available DBEs – must contact 4 DBEs minimum.
- 8-9 available DBEs – must contact 5 DBEs minimum.
- 10 or more available DBEs – must contact 6 DBEs minimum.

**All information submitted on this form is subject to audit by the DBE Goal Committee**

Date Submitted: \_\_\_\_\_

Contractor Name: \_\_\_\_\_

Address: \_\_\_\_\_ City: \_\_\_\_\_

\_\_\_\_\_ State: \_\_\_\_\_ Zip Code: \_\_\_\_\_

Contact Person: \_\_\_\_\_ Telephone Number: \_\_\_\_\_ Email \_\_\_\_\_

Address: \_\_\_\_\_

Project Goal Percentage: \_\_\_\_\_

Commitment Percentage: \_\_\_\_\_

Unattained Percentage: \_\_\_\_\_

I certify that the information contained in this good faith effort documentation form is true and correct to the best of my knowledge. I further understand that any willful falsification, fraudulent statement, or misrepresentation will result in appropriate sanctions which may involve debarment and/or prosecution under applicable State and Federal laws.

Bidder/Authorized Representative Signature: \_\_\_\_\_

Title: \_\_\_\_\_

Date: \_\_\_\_\_

**DBE GOOD FAITH EFFORT DOCUMENTATION**

Work Type Number	Description of Work, Service or Material	DBE Firm Name			
Contact Name (First and Last)	Contact Date	Contact Method	Contact Results	Bid Amount	
1.					
2.					
3.					
Comments:					
Work Type Number	Description of Work, Service or Material	DBE Firm Name			
Contact Name (First and Last)	Contact Date	Contact Method	Contact Results	Bid Amount	
1.					
2.					
3.					
Comments:					
Work Type Number	Description of Work, Service or Material	DBE Firm Name			
Contact Name (First and Last)	Contact Date	Contact Method	Contact Results	Bid Amount	
1.					
2.					
3.					
Comments:					



**PROPOSER REGISTRATION FORM**

RFP Number: \_\_\_\_\_

RFP Description: \_\_\_\_\_

Company Name/Vendor: \_\_\_\_\_

Address: \_\_\_\_\_

City / State / ZIP: \_\_\_\_\_

Contact Person: \_\_\_\_\_

Title: \_\_\_\_\_

Office Number: \_\_\_\_\_

Fax Number: \_\_\_\_\_

Cell Number: \_\_\_\_\_

Email Address: \_\_\_\_\_

Website: \_\_\_\_\_

DUNS: \_\_\_\_\_

*Proposals WILL NOT be honored without a valid DUNS number registered with [www.SAM.gov](http://www.SAM.gov)*

Send to:

**Please complete this form and return it to BJCTA Procurement Department as soon as possible.**  
Email the completed form to Darryl Grayson at [dgrayson@bjcta.org](mailto:dgrayson@bjcta.org).

