Pre-Proposal Conference: August 22

Pre-Proposal Conference & Site Visit
August 22, 2017 10:00 a.m. CST
Deadline for Questions: August 24, 2017
BY EMAIL ONLY

Proposals are Due:
August 31, 2017 @ 10:00 a.m. (CST)

Proposals delivered to the BJCTA Post Office Box, faxed, emailed, or received after 10:00 a.m., will be considered non-responsive and will be rejected.

Only send Proposals by air courier, messenger service, hand-delivery or US Postal Service to:

BJCTA
Attn: Darryl Grayson, Procurement Officer
2121 Rev. Abraham Woods Jr. Blvd
Suite 500
Birmingham, AL 35203

*** PLEASE RETURN THE CONFIRMATION OF RECEIPT AS SOON AS POSSIBLE. ***
Potential proposers are allowed to send completed Confirmation of Receipt by email to dgrayson@bjcta.org
Attention: Darryl Grayson

All Proposals are evaluated by a selection committee chosen by BJCTA staff. As part of the selection process, BJCTA strongly recommends that all contractors utilize minority and female-owned businesses. This recommendation is a part of the Federal Transit Administration’s (FTA) Disadvantaged Business Enterprise (DBE) procurement requirements. Also note Request for Proposals (RFP’s) are not based on price alone.

COMPANY NAME: __________________________ PHONE #: __________________________

ADDRESS: ____________________________ FAX #: __________________________

CITY/STATE/ZIP CODE: __________________________ E-MAIL: __________________________

DUNS NUMBER __________________________
CONFIRMATION OF RECEIPT

Please complete this form and return it to the BJCTA Procurement Department as soon as possible. Email the completed form to: dgrayson@bjcta.org or mail to P.O. Box 10212, Birmingham, AL 35202 ATTN: DARRYL GRAYSON, RFP #17-18

This form is to verify that the Request for Proposal (RFP) issued by Birmingham Jefferson County Transit Authority (BJCTA) has been received and the Proposer anticipates submitting a Proposal. **If an addendum is issued, the Proposer will document receipt of the addendum(s) from www.maxtransit.org**

**PROPOSAL FOR:**
SMART VENDING CONVENIENT STORE OPERATION

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

Disadvantaged Business Enterprise (DBEs) Vendor? YES or NO (Please circle one)

(CIRCLE: YES OR NO)

All copies are clear and free from obstruction? YES or NO
Request for Proposal (Cover Sheet) was attached to the Proposal Form? YES or NO
Will you be submitting a Proposal for this product/service? YES or NO
(IF NO PLEASE PROVIDE REASON IN THE COMMENTS SECTION)

COMMENTS:

CERTIFIED BY: ____________________________ DATE: ____________________________
(PROPOSER)

PRINTED NAME: ____________________________

Page | 2  BJCTA Request for Proposal #17-18
INSTRUCTIONS TO PROPOSERS

Notice is hereby given that the Birmingham-Jefferson County Transit Authority (BJCTA), doing business as “MAX” is soliciting experienced and qualified Proposers to provide the goods or services specified in this document. This Request for Proposals (“RFP”) outlines the services sought and the required documents for submission.

Questions or requests for clarifications or approved equals and all communications with BJCTA personnel concerning the RFP must be received by the BJCTA, using Attachment B, no later than August 22, 2017 10:00 a.m., Central Standard Time zone on the date specified on the cover page of this document. Responses and addendum(s) will be made available at www.maxtransit.org later on the following business day. Any changes will be valid only if included in an addendum, in writing, posted or delivered in the same manner as the RFP. Proposers shall acknowledge receipt of all addenda in writing by completing Attachment C. Failure to acknowledge receipt of an addendum(s) and to complete all requirements below shall be considered non-responsive and rejected by BJCTA.

Send two copies and one original to:

ATTN: PROCUREMENT DEPT.
Birmingham-Jefferson County Transit Authority (MAX)
2121 Rev. Abraham Woods Jr. Blvd. – Suite 500
Birmingham, AL 35203

The lower left corner of the address label should include:

RFP # 17-18 SMART VENDING CONVIENIENT STORE OPERATION
PROPOSAL DUE: AUGUST 31, 2017 @ 10:00 a.m. CST

Proposals must be received by U.S. Postal Service, or some other shipping service, or hand-delivered with BJCTA stamped and received before Proposal opening date and time. Any Proposal received after the deadline shall be considered non-responsive and rejected, and 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. Conditional Proposals and any Proposal taking exception to any provision in this RFP will be considered non-responsive. Proposals may be withdrawn by written request to the BJCTA prior to the Proposal opening. No Proposer may withdraw a Proposal for a period of 120 days after the scheduled time for the Proposal opening.

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

The 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. Quality and Responsiveness;
2. Experience and Qualifications
3. DBE Participation & Intent

The BJCTA will enter into negotiations to contract with the highest-ranked proposer. Should the terms offered not be desirable to the BJCTA, negotiations with successive highly-ranked proposers will follow until a Contract is finalized.
Protest

FOR COMPLETE PROTEST PROCEDURES:
https://maxtransit.org/protest-of-procurement/

1.1 **Equipment.** The Proposer shall at its own expense furnish all labor, supplies, equipment and machinery necessary to fulfill the Scope of Services.

1.2 **Personnel.** The Proposer shall represent that it has, or will secure at its own expense, all personnel required in performing this Proposal. 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 Proposal shall be fully qualified and shall be authorized, if applicable, under state and local law to perform such services. All personnel should be hired in compliance with Alabama’s law on illegal immigration, Alabama Act 2011-535, as amended.

1.3 **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 Proposal price. The BJCTA will furnish a Proposer with the necessary tax-exempt certificates.

1.4 **Proposal Familiarity**

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

1.5 **Inspection**

All supplies, equipment, and machinery furnished in performance of the Scope of Services shall be subject to inspection at any time by the BJCTA.

1.6 **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.

1.7 **Insurance**

The Proposer shall maintain insurance during the performance of the Contract from one or more insurance companies licensed in the State of Alabama 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
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.

c. Errors and Omissions Insurance

1.8 **Documentation of Project Costs**

All costs charged to the project, including any approved services contributed by the BJCTA or others shall be supported by properly executed payrolls, time records, invoices, contracts, or vouchers evidencing in detail the nature and propriety of the charges.

1.9 **Audit and Inspection**

The Proposer shall permit the BJCTA, 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 with regard to the Contract, and to audit the books, records, and accounts pertaining to such Contract.

1.10 **Immigration**

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

**SCOPE OF SERVICES**

The Birmingham-Jefferson County Transit Authority (BJCTA) is soliciting proposals from qualified businesses (Respondents) for providing a **Smart Vending Convenience Store Operation** in the Site A Food Service space (the Space) within the Birmingham Intermodal Facility building. BJCTA is asking Respondents to submit a business proposal regarding its offering to provide a self-service convenience-store operation to the public at the new Birmingham Intermodal facility located at 1801 Morris Avenue, Birmingham, AL 35203. The approximately 884 sq. ft. Space is located on the east end of the main Greyhound and Amtrak passenger lobby and is accessible from both Morris Avenue and 19th Street North.

BJCTA desires to provide an automated convenience store to its more than 2.4 million average annual users of the Intermodal Facility. These users include customers and guests of Amtrak, Greyhound, MegaBus, and BJCTA as well as employees of each and the public. BJCTA desires to provide common convenience store items through a non-staffed automated convenience store setting. Proposed products should be offered based on their usefulness and convenience to the customer first, and then by their ability to sell. The Intermodal Facility’s hours of operation will be 6:00 AM to 11:30 PM and the Respondent will need to propose an operation that considers these operating hours. BJCTA’s primary objectives are shown below and Respondents must address them in their proposal including:

1. **Demonstrated Experience** – BJCTA wants a Respondent that has demonstrated experience in developing, operating, and maintaining a value-added retail/convenience store operation. BJCTA wants a business partner that can demonstrate that they understand the needs of transit riders and the surrounding community and offers an approach that meets those needs.
2. **Optimal Use** – BJCTA wants Respondent to optimize the area to provide as much value in service and products to the BJCTA riders and surrounding neighborhood. Respondent must show in their proposal how their approach provides valuable aspects to passengers and riders as well as the surrounding community and optimizes their experience both across the operating time and in the services/products offered in the facility.

3. **Health & Safety** – BJCTA cares about the health and safety of their riders, employees, neighbors, and business partners. Therefore, the Respondent must show their historical health and safety record as an operating business providing beverage and other convenience items to the public. Respondents must also show how their operating approach will protect the health and safety of their employees, customers, adjacent bus operations, and surrounding neighborhood.

4. **HUB Business Use** – It is important to BJCTA that the operation addresses working with historically under-utilized businesses (HUB). Respondents need to describe their commitment to the principle of maximizing opportunities for HUBs including whether they are a HUB operation, plan to use HUB vendors, or other measures they will implement to assist BJCTA in achieving this objective.

5. **Other Value-Added Considerations** – Respondents should include any other items they believe will add value to customers and the surrounding neighborhoods in their proposal.

Figure 1 (attached) is a drawing showing the Space available for the Respondent’s proposed services arrangement. The Respondent should use this drawing, which can be provided electronically in PDF format by written request, in illustrating the layout of their proposed operations.

Respondents should consider, but not limit their response to, the three approaches below when proposing their business arrangement with BJCTA. Each respondent is expected to provide their estimated annual gross revenue from sales and proposed revenue/profit sharing percentages. All final arrangements will be negotiated between BJCTA and the successful respondent upon completion of the evaluation process.

1) BJCTA leases the space to the respondent to operate a convenience store;

2) BJCTA (with or without contribution by the respondent) purchases all necessary equipment which is then maintained and operated by the respondent within the BJCTA provided Space for a profit/revenue sharing arrangement;

3) The respondent furnishes, maintains and operates all necessary equipment within the BJCTA provided Space for a profit/revenue sharing arrangement.

There will be a **site visit** for all Respondents to inspect the space and to ask questions of BJCTA prior to submitting proposals. The site visit will be on **August 22, 2017 at 10:00 AM CST.**
RESPONSIVENESS/EXPERIENCE REQUIREMENTS

1. Proposer must have a minimum of five (5) years’ experience.
2. Comprehensive technical familiarity with the core tasks.
3. Please provide at least three (3) references familiar with your company’s past work.
ATTACHMENT A  
PROPOSAL FORM

The Proposer listed below submits its offer to BJCTA in accordance with the terms of the Request for Proposals Number #17-18.

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.

If awarded, the Proposer will be required to honor the price(s) indicated on this form. For this reason, Proposers are encouraged to carefully check their pricing when responding to this RFP.

**Please select proposed option below:**  
(More than one option can be proposed)

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<tr>
<td>A</td>
<td>If BJCTA leases the space to the respondent to operate a convenience store;</td>
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<tr>
<td>B</td>
<td>If BJCTA(with or without contribution by the respondent) purchases all necessary equipment which is then maintained and operated by the respondent within the BJCTA provided Space for a profit/revenue sharing arrangement;</td>
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<tr>
<td>C</td>
<td>If The respondent furnishes, maintains and operates all necessary equipment within the BJCTA provided Space for a profit/revenue sharing arrangement.</td>
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<td>D</td>
<td>Respondent Proposed Option</td>
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**Determined by BJCTA**  
Wil be negotiated upon selection of Successful Proposer

- % of Profit _____________  
  or  
- % of Revenue _____________
- % of Profit _____________  
  or  
- % of Revenue _____________

**Please provide clear details on a proposed plan on Attachment B**

---

Company
Authorized Signature

Street Address
Printed Name of Signer

City / State / ZIP
Title of Signer

Phone
Date

Email Address
DUNS#
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<th>Submission Number:</th>
<th>Proposer:</th>
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<td>RFP Number: #17-18</td>
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<td>Section:</td>
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Questions/Clarification, Approved Equal or Proposed Plan

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<th>Company</th>
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<td>Street Address</td>
<td>Printed Name of Signer</td>
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<tr>
<td>City / State / ZIP</td>
<td>Title of Signer</td>
</tr>
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<td>Phone</td>
<td>Date</td>
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Email Address
ATTACHMENT C
ACKNOWLEDGMENT OF ADDENDA

The undersigned acknowledges receipt of the following addenda to the Request for Proposal Number RFP #17-18

<table>
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<th>Addendum No.</th>
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Company

Authorized Signature

Printed Name of Signer

Title of Signer

Date
The following terms and provisions as stated in FTA Circular 4220.1F apply to all solicitations except micro-purchases ($2,000 or less).

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

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

1.13 **Federal Changes.** This provision shall apply to all contracts. Contractor shall at all times comply with all applicable FTA regulations, policies, procedures and directives, including without limitation those listed directly or by reference in the Master Agreement between Purchaser and FTA, as they may be amended or promulgated from time to time during the term of this Contract. Contractor's failure to so comply shall constitute a material breach of this Contract.

1.14 **Recycled Products.** This provision shall apply to all contracts for items designated by the EPA, when the purchaser or contractor procures $10,000 or more of one of these items during the fiscal year, or has procured $10,000 or more of such items in the previous fiscal year, using Federal funds. The Contractor agrees to comply with all the requirements of Section 6002 of the Resource Conservation and Recovery Act (RCRA), as amended (42 U.S.C. 6962), including but not limited to the regulatory provisions of 40 CFR Part 247, and Executive Order 12873, as they apply to the procurement of the items designated in Subpart B of 40 CFR Part 247.

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

1.16 **Program Fraud and False or Fraudulent Statements.** This provision shall apply to all contracts. (1) The Contractor acknowledges that the provisions of the Program Fraud Civil Remedies Act of 1986, as amended, 31 U.S.C. § 3801 et seq. and U.S. 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 Contractor certifies or affirms the truthfulness and accuracy of any statement it has made, it makes, it may make, or causes to be made, pertaining to the underlying Contract or the FTA assisted project for which this Contract work is being performed. In addition to other penalties that may be applicable, the Contractor further acknowledges that if it 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 Contractor to the extent the Federal Government deems appropriate. (2) The Contractor also acknowledges that if it makes, or causes to be made, a false, fictitious, or fraudulent claim, statement, submission, or certification to the Federal Government under a Contract connected with a project that is financed in whole or in part with Federal assistance originally awarded by FTA under the authority of 49 U.S.C. § 5307, the Government reserves the right to impose the penalties of 18 U.S.C. § 1001 and 49 U.S.C. § 5307(n)(1) on the Contractor, to the extent the Federal Government deems appropriate. (3) The Contractor agrees to include the above two clauses in each subcontract financed in whole or in part with Federal assistance provided by FTA. It is further agreed that the clauses shall not be modified, except to identify the subcontractor who will be subject to the provisions.

1.17 **Termination for Convenience.** Termination

a. Termination for Convenience (General Provision) the recipient may terminate this contract, in whole or in part, at any time by written notice to contractor when it is in the recipient's best interest. Contractor shall be paid its costs, including contract close-out costs, and profit on work performed up to the time of termination. Contractor shall promptly submit its termination claim to the recipient. If contractor is in possession of any of the recipient’s property, contractor shall account for same, and dispose of it as the recipient directs.

b. Termination for Default [Breach or Cause] (General Provision) If contractor does not deliver items in accordance with the contract delivery schedule, or, if the contract is for services, and contractor fails to perform in the manner called for in the contract, or if contractor fails to comply with any other provisions of the contract, the recipient may terminate this contract for default. Termination shall be effected by serving a notice of termination to contractor setting forth the manner in which contractor is in default. Contractor shall only be paid the contract price for supplies delivered and accepted, or for services performed in accordance with the manner of performance set forth in the contract. If it is later determined by the recipient that contractor had an excusable reason for not performing, such as a strike, fire, or flood, events which are not the fault of or are beyond the control of contractor, the recipient, after setting up a new delivery or performance schedule, may allow contractor to continue work, or treat the termination as a termination for convenience.
c. Opportunity to Cure (General Provision) the recipient in its sole discretion may, in the case of a termination for breach or default, allow contractor an appropriately short period of time in which to cure the defect. In such case, the notice of termination shall state the time period in which cure is permitted and other appropriate conditions. If contractor fails to remedy to the recipient's satisfaction the breach or default or any of the terms, covenants, or conditions of this Contract within ten (10) days after receipt by contractor or written notice from the recipient setting forth the nature of said breach or default, the recipient shall have the right to terminate the Contract without any further obligation to contractor. Any such termination for default shall not in any way operate to preclude the recipient from also pursuing all available remedies against contractor and its sureties for said breach or default.

d. Waiver of Remedies for any Breach In the event that the recipient elects to waive its remedies for any breach by contractor of any covenant, term or condition of this Contract, such waiver by the recipient shall not limit its remedies for any succeeding breach of that or of any other term, covenant, or condition of this Contract.

e. Termination for Default (Supplies and Service) If contractor fails to deliver supplies or to perform the services within the time specified in this contract or any extension or if the contractor fails to comply with any other provisions of this contract, the recipient may terminate this contract for default. The recipient shall terminate by delivering to contractor a notice of termination specifying the nature of default. Contractor shall only be paid the contract price for supplies delivered and accepted, or services performed in accordance with the manner or performance set forth in this contract. If, after termination for failure to fulfill contract obligations, it is determined that contractor was not in default, the rights and obligations of the parties shall be the same as if termination had been issued for the recipient’s convenience.

f. Termination for Convenience or Default (Cost-Type Contracts) the recipient may terminate this contract, or any portion of it, by serving a notice or termination on contractor. The notice shall state whether termination is for convenience of the recipient or for default of contractor. If termination is for default, the notice shall state the manner in which contractor has failed to perform the requirements of the contract. Contractor shall account for any property in its possession paid for from funds received from the recipient, or property supplied to contractor by the recipient. If termination is for default, the recipient may fix the fee, if the contract provides for a fee, to be paid to contractor in proportion to the value, if any, of work performed up to the time of termination. Contractor shall promptly submit its termination claim to the recipient and the parties shall negotiate the termination settlement to be paid to contractor. If termination is for the recipient’s convenience, contractor shall be paid its contract close-out costs, and a fee, if the contract provided for payment of a fee, in proportion to the work performed up to the time of termination. If, after serving a notice of termination for default, the recipient determines that contractor has an excusable reason for not performing, such as strike, fire, flood, events which are not the fault of and are beyond the control of contractor, the recipient, after setting up a new work schedule, may allow contractor to continue work, or treat the termination as a termination for convenience. Government Wide Debarment and Suspension (Non Procurement) The Recipient agrees to the following: (1) It will comply with the requirements of 2 C.F.R. part 180, subpart C, as adopted and supplemented by U.S. DOT regulations at 2 C.F.R. part 1200, which include the following: (a) It will not enter into any arrangement to participate in the development or implementation of the Project with any Third Party Participant that is debarred or suspended except as authorized by: 1 U.S. DOT regulations.
1.18 **Suspension and Debarment**

Suspension and Debarment,” 2 C.F.R. part 1200, 2 U.S. OMB, “Guidelines to Agencies on Government wide Debarment and Suspension (No procurement),” 2 C.F.R. part 180, including any amendments thereto, and 3 Executive Orders Nos. 12549 and 12689, “Debarment and Suspension,” 31 U.S.C. § 6101 note, (b) It will review the U.S. GSA “System for Award Management,” https://www.sam.gov, if required by U.S. DOT regulations, 2 C.F.R. part 1200, and (c) It will include, and require each of its Third Party Participants to include, a similar provision in each lower tier covered transaction, ensuring that each lower tier Third Party Participant: 1 Will comply with Federal debarment and suspension requirements, and 2 Reviews the “System for Award Management” at https://www.sam.gov if necessary to comply with U.S. DOT regulations, 2 C.F.R. part 1200, and (2) If the Recipient suspends, debars, or takes any similar action against a Third Party Participant or individual, the Recipient will provide immediate written notice to the:

(a) FTA Regional Counsel for the Region in which the Recipient is located or implements the Project, (b) FTA Project Manager if the Project is administered by an FTA Headquarters Office, or (c) FTA Chief Counsel, Contracts Involving Federal Privacy Act Requirements

When a grantee maintains files on drug and alcohol enforcement activities for FTA, and those files are organized so that information could be retrieved by personal identifier, the Privacy Act requirements apply to all contracts except micro-purchases ($3,000 or less, except for construction contracts over $2,000) The following requirements apply to the Contractor and its employees that administer any system of records on behalf of the Federal Government under any contract:

(1) The Contractor agrees to comply with, and assures the compliance of its employees with, the information restrictions and other applicable requirements of the Privacy Act of 1974, 5 U.S.C. § 552a. Among other things, the Contractor agrees to obtain the express consent of the Federal Government before the Contractor or its employees operate a system of records on behalf of the Federal Government. The Contractor understands that the requirements of the Privacy Act, including the civil and criminal penalties for violation of that Act, apply to those individuals involved, and that failure to comply with the terms of the Privacy Act may result in termination of the underlying contract.

(2) The Contractor also agrees to include these requirements in each subcontract to administer any system of records on behalf of the Federal Government financed in whole or in part with Federal assistance provided by FTA

**Instructions for Certification:** By signing and submitting this Proposal or proposal, the prospective lower tier participant is providing the signed certification set out below:

It will comply and facilitate compliance with U.S. DOT regulations, “No procurement Suspension and Debarment,” 2 CFR part 1200, which adopts and supplements the U.S. Office of Management and Budget (U.S. OMB) “Guidelines to Agencies on Government wide Debarment and Suspension (No procurement),” 2 CFR part 180.

To the best of its knowledge and belief, that it’s Principals and Sub recipients at the first tier are eligible to participate in covered transactions of any Federal department or agency and are not presently:
(1) Debarred, 
(2) Suspended, 
(3) Proposed for debarment, 
(4) Declared ineligible, 
(5) Voluntarily excluded, or 
(6) Disqualified, 

Its management has not within a three-year period preceding its latest application or proposal been convicted of or had a civil judgment rendered against any of 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 any Federal or State antitrust statute, or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making any false statement, or receiving stolen property.

It is 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 listed in the preceding subsection of this Certification, it has not had one or more public transactions (Federal, State, or local) terminated for cause or default within a three-year period preceding this Certification.

If, at a later time, it receives any information that contradicts the statements of subsections 2.a – 2.d above, it will promptly provide that information to FTA,

**Suspension and Debarment Certification**

Company __________________________________________________________

______________________________________________________________
Print Name and Title of Authorized Official

Signature of Authorized Official ______________________________________

Date ___/___/___

1.19 **Access to Records and Reports**

Where the purchaser is not a State but a local government and is an FTA recipient or a sub grantee of FTA recipient in accordance with 49 CFR 18.36(i), contractor shall provide the purchaser, the FTA, the US Comptroller General or their authorized representatives access to any books, documents, papers and contractor records which are pertinent to this contract for the purposes of making audits, examinations, excerpts and transcriptions. Contractor shall also, pursuant to 49 CFR 633.17, provide authorized FTA representatives, including any PMO contractor, access to contractor's records and construction sites pertaining to a capital project, defined at 49 USC 5302(a)(1), which is receiving FTA assistance through the programs described at 49 USC 5307, 5309 or 5311.

2. Where the purchaser is a State or an FTA recipient or a sub grantee of FTA recipient in accordance with 49 CFR 633.17, contractor shall provide the purchaser, authorized FTA representatives, including any PMO Contractor, access to contractor's records and construction sites pertaining to a capital project, defined at 49 USC 5302(a)(1), which receives FTA assistance through the programs described at 49 USC 5307, 5309 or 5311. By definition, a capital project excludes contracts of less than the simplified acquisition threshold currently set at $100,000.

3. Where the purchaser enters into a negotiated contract for other than a small purchase or under the simplified acquisition threshold and is an institution of higher education, a hospital or other non-profit organization and is an FTA recipient or a sub grantee of FTA recipient in accordance with 49 CFR 19.48, contractor shall provide the purchaser, the FTA, the US Comptroller General or their authorized representatives, access to any books, documents, papers and record of the contractor which are directly pertinent to this contract for the purposes of making audits, examinations, excerpts and transcriptions.

4. Where a purchaser which is an FTA recipient or a sub grantee of FTA recipient in accordance with 49 USC 5325(a) enters into a contract for a capital project or improvement (defined at 49 USC 5302(a)(1)) through other than competitive Bidding, contractor shall make available records related to the contract to the purchaser, the Secretary of USDOT and the US Comptroller General or any authorized officer or employee of any of them for the purposes of conducting an audit and inspection.

5. Contractor shall permit any of the foregoing parties to reproduce by any means whatsoever or to copy excerpts and transcriptions as reasonably needed.

6. Contractor shall maintain all books, records, accounts and reports required under this contract for a period of not less than three (3) years after the date of termination or expiration of this contract, except in the event of litigation or settlement of claims arising from the performance of this contract, in which case contractor agrees to maintain same the recipient, FTA Administrator, US Comptroller General, or any of their authorized representatives, have disposed of all such litigation, appeals, claims or exceptions related thereto. Re: 49 CFR 18.39(i)(11).
1.20 **Lobbying**

**U.S.C CERTIFICATION AND RESTRICTIONS ON LOBBYING**

I, _________________________________________, (Name and title of official) hereby certify

On behalf of ______________________________________________________ (Company) that:

No federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, and 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.

If any funds other than federal appropriated funds have been paid or will be paid to any person influencing or attempting to influence an officer or employee of any agency, a Member of Congress, and officer or employee of Congress, or an employee of a Member of Congress in connection with the 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.

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

The undersigned 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. Section 3801, et seq., are applicable thereto.

Name of Bidder/Company Name ____________________________________________

Type or print name ______________________________________________________

Signature of authorized representative ___________________________ Date __/__/__

Signature of notary and SEAL ______________________________________________
1.21 **Conformance with ITS National Architecture**


1.22 **Civil Rights Requirements**

The Recipient understands and agrees that it must comply with applicable Federal civil rights laws and regulations, and follow applicable Federal guidance, except as the Federal Government determines otherwise in writing. Therefore, unless a Recipient or Program, including an Indian Tribe or the Tribal Transit Program, is specifically exempted from a civil rights statute, FTA requires compliance with that civil rights statute, including compliance with equity in service:

**Nondiscrimination in Federal Public Transportation Programs.** The Recipient agrees to, and assures that each Third Party Participant will, comply with Federal transit law, 49 U.S.C. § 5332 (FTA’s “Nondiscrimination” statute): (1) FTA’s “Nondiscrimination” statute prohibits discrimination on the basis of: (a) Race, (b) Color, (c) Religion, (d) National origin, (e) Sex, (f) Disability, or (g) Age, and (2) The FTA “Nondiscrimination” statute’s prohibition against discrimination includes: (a) Exclusion from participation, (b) Denial of program benefits, or (c) Discrimination, including discrimination in employment or business opportunity, (3) Except as FTA determines otherwise in writing: (a) General. Follow: 1 The most recent edition of FTA Circular 4702.1, “Title VI Requirements and Guidelines for Federal Transit Administration Recipients,” to the extent consistent with applicable Federal laws, regulations, and guidance, and 2 Other applicable Federal guidance that may be issued, but (b) Exception for the Tribal Transit Program. FTA does not require an Indian Tribe to comply with FTA program-specific guidelines for Title VI when administering its projects funded under the Tribal Transit Program,

**Nondiscrimination – Title VI of the Civil Rights Act.** The Recipient agrees to, and assures that each Third Party Participant will: (1) Prohibit discrimination based on: (a) Race, (b) Color, or (c) National origin, (2) Comply with: (a) Title VI of the Civil Rights Act of 1964, as amended, 42 U.S.C. § 2000d et seq., (b) U.S. DOT regulations, “Nondiscrimination in Federally-Assisted Programs of the Department of Transportation – Effecuation of Title VI of the Civil Rights Act of 1964,” 49 C.F.R. part 21, and (c) Federal transit law, specifically 49 U.S.C. § 5332, as stated in the preceding section a, and (3) Except as FTA determines otherwise in writing, follow: (a) The most recent edition of FTA Circular 4702.1, “Title VI and Title VI-Dependent Guidelines for Federal Transit Administration Recipients,” to the extent consistent with applicable Federal laws, regulations, and guidance. (b) U.S. DOJ, “Guidelines for the enforcement of Title VI, Civil Rights Act of 1964,” 28 C.F.R. § 50.3, and (c) Other applicable Federal guidance that may be issued,

**Equal Employment Opportunity.** (1) Federal Requirements and Guidance. The Recipient agrees to, and assures that each Third Party Participant will, prohibit discrimination on the
basis of race, color, religion, sex, or national origin, and: (a) Comply with Title VII of the Civil Rights Act of 1964, as amended, 42 U.S.C. § 2000e et seq., (b) Facilitate compliance with Executive Order No. 11246, “Equal Employment Opportunity,” as amended by Executive Order No. 11375, “Amending Executive Order No. 11246, Relating to Equal Employment Opportunity,” 42 U.S.C. § 2000e note, (c) Comply with Federal transit law, specifically 49 U.S.C. § 5332, as stated in section a, and (d) Comply with other applicable EEO laws and regulations, as provided in Federal guidance, including laws and regulations prohibiting discrimination on the basis of disability, except as the Federal Government determines otherwise in writing, (2) General. The Recipient agrees to: (a) Ensure that applicants for employment are employed and employees are treated during employment without discrimination on the basis of their: 1 Race, 2 Color, 3 Religion, 4 Sex, 5 Disability, 6 Age, or 7 National origin, (b) Take affirmative action that includes, but is not limited to: 1 Recruitment advertising, 2 Recruitment, 3 Employment, 4 Rates of pay, 5 Other forms of compensation, 6 Selection for training, including apprenticeship, 7 Upgrading, 8 Transfers, 9 Demotions, 10 Layoffs, and 11 Terminations, but (b) Indian Tribe. Title VII of the Civil Rights Act of 1964, as amended, exempts Indian Tribes under the definition of “Employer”.


1.23 **Access Requirements for Persons with Disabilities**

Contractor shall comply with 49 USC 5301(d), stating Federal policy that the elderly and persons with disabilities have the same rights as other persons to use mass transportation services and facilities and that special efforts shall be made in planning and designing those services and facilities to implement that policy. Contractor shall also comply with all applicable requirements of Sec. 504 of the Rehabilitation Act (1973), as amended, 29 USC 794, which prohibits discrimination on the basis of handicaps, and the Americans with Disabilities Act of 1990 (ADA), as amended, 42 USC 12101 et seq., which requires that accessible facilities and services be made available to persons with disabilities, including any subsequent amendments thereto.

1.24 **Conformance with ITS National Architecture**

Access Requirements for Persons with Disabilities Contractor shall comply with 49 USC 5301(d), stating Federal policy that the elderly and persons with disabilities have the same rights as other persons to use mass transportation services and facilities and that special efforts shall be made in planning and designing those services and facilities to implement that policy. Contractor shall also comply with all applicable requirements of Sec. 504 of the Rehabilitation Act (1973), as amended, 29 USC 794, which prohibits discrimination on the basis of handicaps, and the Americans with Disabilities Act of 1990 (ADA), as amended, 42 USC 12101 et seq., which requires that accessible facilities and services be made available to persons with disabilities, including any subsequent amendments thereto.

1.25 **Disadvantage Business Enterprise**

To the extent authorized by applicable Federal law, the Recipient agrees to facilitate, and assures that each Third Party Participant will facilitate, participation by small business
concerns owned and controlled by socially and economically disadvantaged individuals, also referred to as “Disadvantaged Business Enterprises” (DBEs), in the Project as follows:

1) Requirements. The Recipient agrees to comply with: (a) Section 1101(b) of MAP-21, 23 U.S.C. § 101 note, (b) U.S. DOT regulations, “Participation by Disadvantaged Business Enterprises in Department of Transportation Financial Assistance Programs,” 49 C.F.R. part 26, and (c) Federal transit law, specifically 49 U.S.C. § 5332, as stated in section a, (2) Assurance. As required by 49 C.F.R. § 26.13(a), (b) DBE Program Requirements. Recipients receiving planning, capital and/or operating assistance that will award prime third party contracts exceeding $250,000 in a Federal fiscal year must: 1 Have a DBE program meeting the requirements of 49 C.F.R. part 26, 2 implement a DBE program approved by FTA, and 3 establish an annual DBE participation goal, (c) Special Requirements for a Transit Vehicle Manufacturer. The Recipient understands and agrees that each transit vehicle manufacturer, as a condition of being authorized to Proposal or propose on FTA-assisted transit vehicle procurements, must certify that it has complied with the requirements of 49 C.F.R. part 26, (d) the Recipient provides assurance that: The Recipient shall not discriminate on the basis of race, color, national origin, or sex in the award and performance of any DOT-assisted contract or in the administration of its DBE program or the requirements of 49 C.F.R. part 26. The Recipient shall take all necessary and reasonable steps under 49 C.F.R. part 26 to ensure nondiscrimination in the award and administration of DOT-assisted contracts. The Recipient's DBE program, as required by 49 C.F.R. part 26 and as approved by DOT, is incorporated by reference in this agreement. Implementation of this program is a legal obligation and failure to carry out its terms shall be treated as a violation of this agreement. Upon notification to the Recipient of its failure to carry out its approved program, the Department may impose sanctions as provided for under 49 C.F.R. part 26 and may, in appropriate cases, refer the matter for enforcement under 18 U.S.C. § 1001 and/or the Program Fraud Civil Remedies Act of 1986, 31 U.S.C. § 3801 et seq., (2) Exception for the Tribal Transit Program. FTA exempts Indian tribes from the Disadvantaged Business Enterprise regulations at 49 C.F.R. part 26 under MAP-21 and previous legislation.

Nondiscrimination on the Basis of Sex. The Recipient agrees to comply with Federal prohibitions against discrimination on the basis of sex, including: (1) Title IX of the Education Amendments of 1972, as amended, 20 U.S.C. § 1681 et seq., (2) U.S. DOT regulations, “Nondiscrimination on the Basis of Sex in Education Programs or Activities Receiving Federal Financial Assistance,” 49 C.F.R. part 25, and (3) Federal transit law, specifically 49 U.S.C. § 5332, as stated in section a,


Other Nondiscrimination Laws. Except as the Federal Government determines otherwise in writing, the Recipient agrees to: (1) Comply with other applicable Federal
(1) Comply with Federal nondiscrimination laws and regulations, and (2) Follow Federal guidance prohibiting discrimination.

Remedies. Remedies for failure to comply with applicable Federal Civil Rights laws and Federal regulations may be forced as provided in those Federal laws or Federal regulations.
ATTACHMENT D
DBE Letter of Intent

Name of Proposer

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

☐ Individual  ☐ Corporation
☐ Partnership  ☐ Joint Venture

The disadvantaged business status of the undersigned is confirmed:

(a) On the reference list of Disadvantaged Business Enterprises dated ____________, 20____
or
(b) On the attached Disadvantaged Business Enterprise Identification Statement.

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

______________________________________________________________________________

______________________________________________________________________________

At the following price: $________________

You have projected the following commencement date for such work, and the undersigned is projecting completion of such work as follows:

<table>
<thead>
<tr>
<th>Items</th>
<th>Projected Date of Commencement</th>
<th>Projected Date of Completion</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

The foregoing work will not be sublet to a non-Disadvantaged Business Enterprise at any tier. The undersigned will enter into a formal agreement for the above work with you, conditioned upon your execution of an agreement with the Birmingham-Jefferson County Transit Authority.

Company

Authorized Signature

Printed Name of Signer

Title of Signer

Date
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____.

________________________________________
Notary Public

[SEAL]  
My Commission expires _________, 20__.
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.

<table>
<thead>
<tr>
<th>DBE</th>
<th>Work Items Sought</th>
<th>Form of Proposal Sought (i.e., unit price, materials &amp; labor, labor only, etc.)</th>
</tr>
</thead>
<tbody>
<tr>
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</tbody>
</table>

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
CONFLICT OF INTEREST STATEMENT

Proposer certifies that no BJCTA employee, or family members will receive a benefit from these payments, except as disclosed below BJCTA. Failure to disclose this information may result in the elimination of your Proposal from consideration.

Proposers shall provide a list of all entities/individual(s) with which it has relationships that create, or would appear to create, a conflict of interest with the work expressed in this RFP. The list should indicate the name of the entity/individual, the relationship to the Proposer, and a discussion of the conflict.

Prior to awarding an agreement, this RFP will be decided upon by the BJCTA Board of Directors. Also provide a description of relationships with any board member that would create, or would appear to create, a conflict of interest.

The undersigned Proposer discloses the following actual or potential, direct or indirect conflicts of interest:

________________________________________________________________________
________________________________________________________________________
________________________________________________________________________
________________________________________________________________________

Company

Authorized Signature

Printed Name of Signer

Title of Signer

Date
VENDOR 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: ___________________________________________________________________

All vendors are required to have an active DUNs number registered with www.SAM.gov.

Send to:

Darryl Grayson, Procurement Officer
Birmingham-Jefferson County Transit Authority
2121 Rev. Abraham Woods Jr. Blvd. – Suite 500
Birmingham, Alabama 35203
Direct: (205) 521-0144
Fax: (205) 521-0154
Email: dgrayson@bjcta.org