



October 21, 2024

RFP: 24-04-01

Subject: Request for Proposal

Prospective Bidders:

Sealed proposals for the Comprehensive Cone Valve Rehabilitation Services will be received in the Purchasing Department of the Birmingham Water Works Board, located at 3600 First Avenue North, Birmingham, Alabama 35222, until 10:00 a.m. CDT, Thursday, November 7, 2024, at which time and place they will be publicly opened and read. Proposals will be heard via Teams Meeting. Please join, or dial in, 5 minutes early. To receive the Teams invite, you must submit a Notification of Intent.

"Requirements" and "Proposal Form" are attached, and all proposals shall be F.O.B. destination, freight prepaid, and at no charge. One copy of the bid form should be returned, and the bidder should retain a copy.

The Board reserves the right to reject any proposals submitted, waive any informalities and technicalities. The Board reserves the right to select one or more suppliers for award by way of awarding all items to one supplier, individual line items to one or more suppliers, or subcategories of products/services to one or more suppliers when to do so is in the best interests of the Board. The Board reserves the right to award the bid on an individual or total cost of proposal basis.

After length of contract has been established, the Board reserves the sole right to extend any of the applicable contracts for additional one (1) year periods or as allowable per State of Alabama law. The Board reserves the right to cancel the contract due to non-satisfactory performance or if the awarded supplier is found to violate the terms and conditions or does not correct any violations of specifications within two days after giving notice. The Board reserves the right to issue a new Request for Proposal. The Board reserves the right to enter into a month-to-month contract once the contract has ended, at the current prices, until the next bid has been awarded with the mutual consent of applicable parties.

Any proposals mailed, must be sent to 3600 First Avenue North, Birmingham, Alabama 35222, directed to the attention of the Purchasing Manager, and marked in the lower left-hand corner of the envelope as follows: "Proposals for Comprehensive Cone Valve Rehabilitation Services due on Thursday, November 7, 2024, at 10:00 a.m." at which time and place they will be publicly opened and read.

Cordially,

LyTonja Levert

LyTonja Levert,
Purchasing Manager

REQUIREMENTS

NOTIFICATION OF INTENT

All recipients of this solicitation notice must indicate intent to a submit proposal. Vendors submitting a Notification of Intent will be sent any related addendum, teams invite, answers to inquiries, etc, pertaining to the RFP for Comprehensive Cone Valve Rehabilitation Services. Notification of Intent must be e-mailed to La'Teasha at lateasha.watkins@bwwb.org by Monday, October 28, 2024.

PREPROPOSAL MEETING

A mandatory pre-proposal meeting will be held on Thursday, October 31, 2024 at 11:00 a.m. CDT via Teams invite. When joining Teams meeting, please use your full name so accurate and complete attendance can be captured.

INQUIRIES

All inquiries, related to this RFP, will be accepted in writing via email at lateasha.watkins@bwwb.org. All related questions must be emailed by Monday, November 4, 2024.

SUBMISSIONS

All submissions are due Thursday, November 7, 2024 at 10:00 a.m. CDT. Any mailed proposals must be addressed to the Purchasing Manager, LyTonja Levert, and sent to the following address: 3600 First Avenue North, Birmingham, Alabama 35222. Please mark the following in the lower left corner of the envelope: "Proposals for Comprehensive Cone Valve Rehabilitation Services due on Thursday, November 7, 2024, at 10:00 a.m."

Only one submission will be accepted. Proposals received after the deadline will be rejected.

Response to this solicitation does not constitute an agreement between the offeror and the BWWB.

TERMINOLOGY

The acronyms "BWVB" and "BWW" refer to THE WATER WORKS BOARD OF THE CITY OF BIRMINGHAM throughout this document. OFFEROR, COMPANY, RESPONDENT, VENDOR, and BIDDER refer to the person or company submitting an offer to sell its goods or services to the BWVB. The words PROPOSAL, QUOTATION, and BID are all offers from the BIDDER. The BWVB has established for the purposes of this RFP that the words SHALL, MUST or WILL are equivalent in this RFP and indicate a mandatory requirement or condition, the material deviation from which shall not be waived by the BWVB. A deviation is material if, at the sole discretion of the BWVB, the deficient response is not in substantial accord with this RFP's mandatory condition requirements. The words SHOULD and MAY are equivalent in the RFP and indicate very desirable conditions or requirements but are permissive in nature. Deviation from, or omission of, such a desirable condition or requirement will not in and of itself cause automatic rejection of a Proposal but may result in being considered as not in the best interest of the BWVB.

EXHIBIT A

Price Schedule

- Pricing is inclusive of all supervision, labor, parts, tools, materials, equipment, supplies, and facilities necessary to provide Services. This shall include hoists, cranes, and other devices used for loading and unloading of valves.

- Payment for Services will be rendered only after BWW has witnessed a successful test of, and received, the valve. Down payments or partial payments will not be made.
- BWW will not make any payment to the Company if a valve fails testing after rehabilitation until all corrective actions are made, testing is re-performed, and the rehabilitation is successful. A rehabilitation's success shall be based upon whether the valve is returned to Like- New Condition.
- BWW shall not be billed for hours worked due to a failed test, unless BWW accepts, in writing, the Company's justification of how the failed test was not pursuant to the Company's failed rehabilitation efforts.
- Only one Inspection Fee shall be applied per valve (e.g. an additional Inspection Fee may not be charged if additional rehabilitation work is discovered after the original cost estimate is accepted).
- Inspection Fee shall include the following:
 - Total disassembly of the valve, operating mechanism, actuator and DC controls.
 - Clean and blasting – All non-ferrous operating mechanism parts shall be solvent cleaned and all castings will be blast to near white metal conditions.
 - All labor work pursuant to the rehabilitation process (including preparations and testing) shall be included as part of the hourly rate.
 - Verification of Company's part costs shall be provided to BWW upon request and within a timeframe agreed upon by BWW and the Company.
 - Overtime rates shall not be charged to BWW.
 - A 15% percentage markup over the Company's Cost for parts and/or subcontractors.

SCOPE OF WORK

SCOPE OF WORK COMPREHENSIVE CONE VALVE REHABILITATION SERVICES

1.1 **General Scope.**

The Company shall inspect Birmingham Water Works (BWW) cone valves for rehabilitation needs in order to maintain their operational status and minimize downtime. After inspection and consultation with BWW to proceed, the rehabilitation services shall be performed. Materials utilized to perform Services shall be new, free of defects, suitable for the intended purpose, and of quality conforming to current engineering and manufacturing standards. Valves will be disconnected and reconnected by BWW. **The Cone Valves are Chapman and Allis-chalmer.**

1.2 **Work Location and Transportation of Valves.**

Rehabilitation Services shall be performed at the Company's location(s). The Company shall be responsible for transporting valves to and from BWW property. Valves may be located throughout BWW service area, but will typically be picked up from, and delivered to, the E&M shop 3501 Messer Airport Highway, Birmingham, AL 3522. When transporting valves back to BWW, shipment time shall not exceed an agreed upon time between BWW and Company.

1.3 **Cost Estimates.**

1.3.1 **Each valve shall be inspected, and a cost estimate prepared and approved in writing by BWW, prior to rehabilitation Services commencing.**

1.3.2 All cost estimates shall have a complete description of work to be performed.

1.3.3 Cost estimates shall include labor costs by time and rate, parts by quantity and unit price, date and time work is to commence and expected to be completed, and all other known costs (and credits for scrapped parts, as applicable) associated with the rehabilitation, in accordance with Exhibit A "Price Schedule."

1.3.4 For parts deemed unsalvageable, the materials shall be scrapped. BWW shall receive a Company credit for the price of materials scrapped.

- 1.3.5 Should additional rehabilitation work not noted in the original cost estimate be warranted, a revised cost estimate shall be prepared and submitted to BWW for written approval prior to the additional work commencing.
- 1.3.6 Any fees paid by BWW for inspection(s) shall be applied, in full, toward the cost of the applicable rehabilitation. If the Company doesn't provide rehabilitation, the Company shall keep the Inspection Fee.

1.4 **Valve Rehabilitation Requirements.**

- 1.4.1 Each valve, operating mechanism, actuator, and DC controls shall be disassembled, and any disassembled components shall be organized and/or labeled in a manner to ensure proper reassembly.
- 1.4.2 All components shall be cleaned, in preparation for inspection and as part of the rehabilitation, using appropriate and effective means (i.e. non-ferrous components cleaned with solvent, castings blasted).
- 1.4.3 All components shall be inspected for excessive wear, defects (i.e. cracks), and other damage.
- 1.4.4 Unless otherwise required herein this Section, the condition of each component shall determine the level of care it receives in order to restore the valve to Like-New Condition. This may involve re-machining, repairing, and/or replacing components. Any guide rods shall be replaced with stainless steel rods; and, all elastomeric seals, lubrication fittings, hoses, valve stem packings, O-rings, body pipe plugs, piston seals, wipers, rod packings, and head seals shall be replaced. Bronze body, plug, and head bushings shall be replaced and permanently secured. Seating surfaces on the body shall be replaced and or repaired. The hydraulic cylinder barrel shall be rid of any imperfections, including scratches. Pistons and piston rods shall be repaired or replaced, depending on their condition.
- 1.4.5 Unmachined exterior surfaces and interior components shall be coated with an epoxy paint. The valve's interior wetted non-ferrous surfaces shall be coated twice with NSF61-approved epoxy suitable for potable water. BWW reserves the right to approve or disapprove specific epoxy paints.
- 1.4.6 Once ready, the components shall be re-assembled to Like-New Condition.
- 1.4.7 Hydraulic cylinders shall be tested prior to installing on valves. Each shall undergo hydrostatic testing for a minimum of 10 minutes at one and a half times its working pressure.
- 1.4.8 After successful testing of the hydraulic cylinders, each valve shall be completely assembled and hydrostatically tested for a minimum of 10 minutes at one and a half times its rated working pressure. Testing shall ensure there are no leaks, and no weeping of the body and/or head castings.
- 1.4.9 The completed valve assembly shall be tested for a minimum of five minutes at the rated work pressure to ensure the valve stem packing is leak tight and seat leakage is within American Water Works Association (AWWA) testing specifications.
- 1.4.10 Each valve shall be operated at least three full strokes to verify its operation is smooth. One stroke shall mean open to close, and then close to open again.

1.5 **City's Observation During Testing.**

- 1.5.1 Birmingham Water Works Board shall be notified prior to any testing occurring, with sufficient time provided to allow for travel arrangements to be made. Sufficient time will be conveyed to the awarded vendor by Birmingham Water Works Board and may vary each rehabilitation.
- 1.5.2 BWWB reserves the right to observe the rehabilitation at any point during the process.
- 1.5.3 BWWB may require its observation of successful testing prior to accepting a rehabilitated valve.

1.6 **Warranty and Guarantee.**

All Services performed shall be guaranteed by the Company for a period of at least eighteen (18) months, from the date the Company begins shipment of the valve, against defects in materials and workmanship. Warranty information and documentation shall be provided to BWW upon request, in the format specified (i.e. email) within a mutually agreeable amount of time.

NO PROPOSAL

If you are not submitting a proposal on this service/commodity, please complete and return this form to: **Birmingham Water Works, Attn: Purchasing Manager, 3600 First Avenue North, Birmingham, Alabama 35222.** All Statement of No Bid forms must be received prior to the bid opening.

Failure to respond may result in deletion of vendor's name from the Vendor/Contractor's list for the Birmingham Water Works Board.

Company Name: _____

Address: _____

Telephone: _____

Date: _____

We, the undersigned have declined to respond to your Proposal No. _____

for _____ because of the following reasons.

(Service/Commodity)

_____ Specifications too "tight", i.e., geared toward one supplier or manufacturer only.

(explain below)

_____ Insufficient time to respond to the Bid.

_____ We do not offer this product/service.

_____ Specifications unclear. (explain below)

_____ Unable to meet bond requirements.

_____ Other (specify below)

REMARKS: _____

BY: _____ (Print or Type) Signed: _____

Date: October 11, 2024

RFP24-04-01

PROPOSAL FORM

LyTonja Levert, Purchasing Manager
The Water Works and Sewer Board of the City of Birmingham
3600 First Avenue North
P. O. Box 830110
Birmingham, Alabama 35283-0110

Submitted below is our firm bid for items and/or services, which are in accordance with the “Request for Proposal” and “Requirements” for Comprehensive Cone Valve Rehabilitation Services that are due on **Thursday, November 7, 2024 at 10:00 a.m.** The undersigned has read and understands said “Request for Proposal” and “Requirements” and expressly agrees to be bound by the terms thereof.

Item Number	Description	Unit of Measure	Unit Price	Quantity of Unit	Estimated Hours	Total
1	Transportation Fee (from BWW to Company and back to BWW)	Round Trip	\$_____	5	N/A	\$_____
2	Inspection Fee (see inspection description above)	Each	\$_____	5	N/A	\$_____
3	Hourly Rehabilitation Rate (Estimated 140 hour per unit)	Hour	\$_____	5	140	\$_____
	Total Proposal Amount Cost					\$_____

Did you attend the mandatory pre-proposal meeting held on Thursday, October 31, 2024? Yes or No

Note: Bid must be submitted in a sealed **Envelope, directed to the attention of the Purchasing Manager**, and marked in the Lower left-hand corner as follows: **“Proposal for Comprehensive Cone Valve Rehabilitation Services due at 10 a.m. on Thursday, November 7, 2024.”**

DATE_____

COMPANY_____

ADDRESS_____

STATE_____ ZIP_____

TELEPHONE_____

WEBSITE_____

BY_____ (Signature)

NAME_____ (Type or Print)

TITLE_____



Supplier Information Form

1. Name of Company

As Shown On W9 (Line 1)

2. Doing Business As

As Shown On W9 (Line 2):

3. Mailing Address:

4. City: _____ State: _____ Zip: _____

5. Business#: _____ Cell#: _____

6. Primary Contact Person: _____

7. Primary Contact Person Email: _____

8. Secondary Contact Person: _____

9. Secondary Contact Person Email: _____

10. Type of Business: _____

11. Federal ID#: _____

12. Historically Underutilized Business Status: _____

(MUST INCLUDE COPY OF CERTIFICATE FROM CERTIFYING AGENCY)

13. Description of Products and/or Services:

14. COMMENTS:

15. If you are a Prime (General Contractor), Subcontractor or Sub-subcontractor, please provide your Contractor License Number:

General Contractor License #: _____

Subcontractor License #: _____

Sub-subcontractor License #: _____

<p><i>The Birmingham Water Works Board</i> <i>3600 1st Avenue North, Birmingham, AL 35222</i> <i>Phone: (205) 244-4300 • Website: www.bwwb.org</i></p>
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RE: Request for Company Product and Service Information

Directors/Officers

Tereshia Q. Huffman
Chairwoman

William "Butch" Burbage, Jr., CPA
Vice Chairman

Thomas E. Henderson
Second Vice Chairman

Raymond "Larry" Ward
Secretary-Treasurer

Carl Dalton NeSmith, Esq.
Assistant Secretary-Treasurer

Lucien B. Blankenship, Esq.
George Munchus, Ph.D.
Mashonda S. Taylor

**Interim
General Manager**

Darryl R. Jones, PE

**Assistant
General Managers**

Derrick Murphy, MEng
Engineering and Maintenance

Philip King, PE, MBA, MEng
Operations and Technical Services

To Whom It May Concern:

This correspondence is to request information on your company's profile and specific products and services you are interested in providing to the Birmingham Water Works Board. We are honored to have the opportunity to work with you and learn more about your company's mission.

The Birmingham Water Works Board's mission states, "The BWWB is committed to providing the highest quality of water to meet the needs and expectations of our customers and stakeholders. Our services enhance the economic, social, and environmental well-being of the communities we serve."

The Board wants to discover how your products or services can help meet its mission. Please provide details about your company's products, services, and supplier diversity program and any additional documents to explain your offerings further. Per the goals of our mission to strive to be a concerned corporate citizen, please provide information on how your company has been engaged in the community and the Birmingham Water Works service area.

You can learn more about the Birmingham Water Works Board at www.bwwb.org. Please email the request referenced to Jonathan Jett at jonathan.jett@bwwb.org. Please get in touch with me if I can answer any questions. I look forward to hearing from you soon.

Sincerely,

A handwritten signature in black ink, appearing to read 'Derrick M. Murphy'.

Derrick M. Murphy, MEng Assistant
General Manager Engineering and
Maintenance Division

CC: LyTonja Levert- Purchasing Manager



FUNDS PAID AND CONFLICT OF INTEREST AGREEMENT

This Funds Paid and Conflict of Interest Agreement (“Agreement”) is made a part of, and Contractor affirms, acknowledges, and agrees, that its terms and conditions are part of that certain agreement already entered into between the Water Works Board and _____ (Supplier). The Contractor further affirms that the terms and conditions of the Agreement shall be deemed incorporated into and a part of the Original Agreement as if said terms and conditions were originally set forth in the Original Agreement.

FUNDS PAID: Contractor and the Contractor representative(s) signed below certify under penalty of perjury by the execution of this Agreement that no part of the funds paid by the Water Works Board pursuant to this Agreement nor any part of the services, products or any item or thing of value whatsoever purchased or acquired with said funds shall be paid to, used by or used in anyway whatsoever for the personal benefit of any member or employee of any government entity whatsoever or family member of any of them, including federal, state, county and municipal and any agency or subsidiary of any such government; and further certify that neither the Contractor nor any of its officers, partners, owners, agents, representatives, employees or parties in interest has in any way colluded, conspired, connived, with anyone or with any member of the governing body or employee of the governing body of the Water Works Board or any other public official or public employee, in any manner whatsoever, to secure or obtain this Agreement and further certify that, except as expressly set out in the scope of work or services of this Agreement, no promise or commitment of any nature whatsoever of anything of value whatsoever has been made or communicated to any such governing body member or employee or official as inducement or consideration for this contract.

Any violation of the terms and scope of services, including misuse of funds provided in this contract shall constitute a breach and default of this Agreement, which shall be cause for termination. Upon such termination of this Agreement due to breach, Contractor shall immediately refund to the Water Works Board all amounts paid by the Water Works Board pursuant to this Agreement.

CONFLICT OF INTEREST: The Contractor declares that, as of the date of the Agreement, neither the Water Works Board, nor any of the Water Works Board’s employees or any director nor any other government official is directly or indirectly interested in this Agreement or any agreement with the Contractor for which compensation will be sought during the period of time this Agreement is being performed. And, furthermore, the Contractor pledges that She/he/it will notify the General Manager in writing should it come to his/its knowledge that any such official becomes either directly or indirectly interested in the Agreement or any agreement with the Contractor for which compensation will be sought during the aforesaid period. In addition, the Contractor declares, that as of the date of this Agreement, neither She/he/it nor any of her/his/its officers or employees have given or donated or promised to give or donate, either directly or indirectly, to any official or employee of the Water Works Board, or to anyone else for the Water Works Board’s benefit, any sum of money or other thing of value for aid or assistance in obtaining

this Agreement with the Water Works Board under which compensation will be sought during the period of time this Agreement is being performed. And furthermore, that neither the Contractor nor any of her/his/its officers or employees will give or donate or promise to give or donate, directly or indirectly, to any official or employee of the Water Works Board, or to anyone else for the Water Works Board's, Water Works Board's official, or Water Works Board's employee's benefit, any sum of money or other thing of value, for aid of assistance in obtaining any amendment to this Agreement or any other agreement with the Contractor for which compensation will be claimed during the period of time this Agreement is being performed.

Authorized signature:

Project

Name: _____
(printed)

For: _____
Company Name (printed)

By: _____
Signature of Authorized Representative/Title

Date: _____

(Please return this form with your bid form and/or proposal submittal)



**GOODS AND SERVICES/PUBLIC WORKS
VENDOR CHECKLIST**

Description/Vendor: _____

Bid Date: _____

(If all forms are not returned with bid, your bid will be non-compliant)

HUB FORMS and DOCUMENTATION CHECKLIST		Yes or No
1.	HUB Form 1 – HUB Program Acknowledgement	<input type="checkbox"/> Yes <input type="checkbox"/> No
2.	HUB Form 2 – HUB Compliance Form	<input type="checkbox"/> Yes <input type="checkbox"/> No
3.	HUB Form 4 – Sub-Company Participation Form - Only for Sub-Contractors	<input type="checkbox"/> Yes <input type="checkbox"/> No
4.	HUB Form 5 – Sub-Company Performance Form - Only for Sub-Contractors	<input type="checkbox"/> Yes <input type="checkbox"/> No
5.	HUB Form 6 – Sub-Company Utilization Form – Public Works Bids only) HUB Form 6- Direct Manufacturer/Supplier Certification (Goods & Service Bids only)	<input type="checkbox"/> Yes <input type="checkbox"/> No
6.	HUB Form 7 – Hub Compliance Form – (Only for Public Works Bids)	<input type="checkbox"/> Yes <input type="checkbox"/> No
7.	HUB Form 8 – Prime Company Monthly Report – (Only for Public Works Bids)	<input type="checkbox"/> Yes <input type="checkbox"/> No
8.	HUB Form 9 – Prime Close-out Report – (Only for Public Works Bids)	<input type="checkbox"/> Yes <input type="checkbox"/> No
9.	EEO Report	<input type="checkbox"/> Yes <input type="checkbox"/> No
10.	Supplier Diversity Program Questionnaire	<input type="checkbox"/> Yes <input type="checkbox"/> No
11.	Certification of Non-Discrimination	<input type="checkbox"/> Yes <input type="checkbox"/> No
12.	Debarment Form	<input type="checkbox"/> Yes <input type="checkbox"/> No

Reviewed by BWWB Personnel: _____



BWWB CONTRACTORS EEO REPORT

1. Select Appropriate Response

2. COMPANY NAME, CITY, STATE:

3. BWWB PROJECT/WORK LOCATION (CITY, COUNTY AND STATE)

JOB CATEGORIES	TABLE A																TABLE B					
	TOTAL EMPLOYED		TOTAL RACIAL/ETHNIC MINORITY		BLACK OR AFRICAN AMERICAN		HISPANIC OR LATINO		AMERICAN INDIAN OR ALASKA NATIVE		ASIAN		NATIVE HAWAIIAN OR OTHER PACIFIC ISLANDER		TWO OR MORE RACES		WHITE		APPRENTICES		ON THE JOB TRAINEES	
	M	F	M	F	M	F	M	F	M	F	M	F	M	F	M	F	M	F	M	F	M	F
OFFICIALS																						
SUPERVISORS																						
FOREMEN/WOMEN																						
CLERICAL																						
EQUIPMENT OPERATORS																						
MECHANICS																						
TRUCK DRIVERS																						
IRONWORKERS																						
CARPENTERS																						
CEMENT MASONS																						
ELECTRICIANS																						
PIPEFITTERS/PLUMBERS																						
PAINTERS																						
LABORERS - SEMI SKILLED																						
LABORERS - UNSKILLED																						
TOTAL																						

APPRENTICES																						
OTJ TRAINEES																						

4. PREPARED BY:
(Signature and Title of Contractor Representative)

5. DATE

6. REVIEWED BY:
(Signature and Title of BWWB Representative)

7. DATE



Supplier Diversity/Community Involvement Program Questionnaire

Supplier Diversity Program (SDP) promote supplier diversity in public contracting in a manner that develops, strengthens and increases business opportunities for Disadvantaged Business Enterprise (DBE), Minority Business Enterprise (MBE), Women Business Enterprise (WBE), and Veteran Business Enterprise (VBE). Please fill-out the following information on your company's SDP.

1. Supplier Name:

2. Contact Person and Title:

3. Contact Person's Email:

4. Contact Person's Office# :

5. Does your company have a Supplier Diversity Program:

a. If yes, please provide your website or any information pertaining to your SDP.

6. Community involvement is the **power to bring positive, measurable change to both the communities in which you operate and to your business**. Please provide any involvement with the community that your company participates in: Ex: charities, scholarships, etc. (United Way, Salvation Army, Children's Hosp., H2O Foundation, etc.)



NON-DISCRIMINATION POLICY

The Birmingham Water Works Board (BW) values the diversity of the people with whom we work and the contributions they make. Accordingly, the BW is committed to providing an inclusive and welcoming environment for all members of our staff, clients, volunteers, independent contractors, and vendors.

The BW is an equal opportunity employer and all decisions regarding recruiting, hiring, promotion, assignment, training, termination, selection of volunteers and vendors, and other terms and conditions of employment will be made without consideration of age, sex, race, color, religion, gender, gender identity or expression, national origin, sexual orientation, disability, marital status, veteran status, pregnancy status, political opinion, work-related injury, or any other factor, characteristic or trait protected by applicable national, state or local laws.

Members of our community are encouraged to raise concerns or make complaints regarding discrimination or harassment under this policy without the fear of retaliation. It is a violation of BW policy to retaliate against an individual for raising a good-faith concern regarding workplace discrimination or harassment; filing a complaint for discrimination or harassment; or, for cooperating in an investigation of alleged discrimination or harassment. Any person found to be in violation of this policy is subject to disciplinary action.

Discrimination, harassment, disrespectful or inappropriate behavior, unfair treatment or retaliation of any kind will not be tolerated. This policy applies not only to BW employees but also to the volunteers, independent contractors, and business partners with whom we work. BW employees, volunteers, independent contractors, and other constituents, whenever and wherever those individuals are conducting BW business or participating in BW events or activities, shall maintain an environment free of discrimination, harassment, and retaliation.

Any employee who has a question or concern regarding any type of discrimination or harassment is encouraged to bring it to the attention of his/her manager or the Human Resources Department.

Vendor agrees and warrants that contractor does not discriminate or permit discrimination against any employee or applicant for employment on the grounds of race, color, religion, gender, sexual orientation, gender identity or national origin.



NON-DISCRIMINATION POLICY

Executed

Contractor's Name: _____

Authorized Signature: _____

Printed Name and Title of Person Signing:

Date Signed: _____

CERTIFICATION REGARDING DEBARMENT

(_____)
Bid Name and Number

The below-signed Bidder at this moment certifies that it, its officers, directors, owners, stockholders, and its principals:

(i) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from doing business with any Federal department or agency;

(ii) Have not within three years preceding this bid been: debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from doing business with any Federal department or agency; or convicted of or had a civil judgment rendered against them for the 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; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property; and

(iii) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with the commission of any of the offenses enumerated in paragraph (ii) above.

Executed on this the _____ day of _____, 20_____.

BIDDER

By: _____
Its: _____

THE STATE OF ALABAMA)
_____) COUNTY)

BEFORE ME, a Notary Public in and for said County, in said State, here by certifies that _____, whose name as _____ of _____, a corporation, is signed to the foregoing instrument, and who is known to me, acknowledged that on this day, that being informed of the contents of said instrument, as such officer and with full authority, executed the same voluntarily for and as the act of said corporation.

Given under my hand, this _____ day of _____, 20_____.

Notary Public
My commission ends: _____

THE WATER WORKS BOARD OF THE CITY OF BIRMINGHAM HISTORICALLY UNDERUTILIZED BUSINESS (HUB)

General Mission Statement

The Water Works Board of the City of Birmingham ("BWWB") has adopted a voluntary Historically Underutilized Business ("HUB") Program designed to encourage the participation of HUB firms in construction projects and goods and services. To that end, the BWWB will not exclude any firm from participation in, deny any person benefits of, or otherwise discriminate in connection with the award and performance of BWWB construction contracts and goods and services bids based on racial gender social or economic status.

It is the intent of the BWWB to foster competition among contractors, suppliers, and vendors that will result in better quality and more economical services for the BWWB. Under this program, the BWWB has established a goal of 30% participation of HUB firms for services required for BWWB construction projects goods and services. The BWWB's stated goal will not be the determining factor in construction and goods and services contract awards; rather bidders must demonstrate compliance with the Good Faith Efforts, more particularly outlined below, toward meeting said goal.

Failure on the part of a bidder to fully submit the information required herein may be considered by the BWWB in evaluating whether the bidder is responsive to bid requirements.

NOTE: If Bidder is a direct manufacturer/direct supplier of the goods or services sought in this Bid and has no opportunities for HUB participation, Bidder should fill out the Direct Manufacturer/Supplier Certification Form 6.

Program Goals

- To ensure nondiscrimination in the award and administration of BWWB construction contracts and goods and services.
- To help to remove barriers to the participation of HUB firms in receiving BWWB construction contracts and bids for goods and services.
- To create a level playing field on which HUB firms can compete fairly for BWWB construction contracts and bids for goods and services.

Definitions

1. Historically Underutilized Business (HUB): A business formed for the purpose of making a profit and is at least 51% owned, operated and/or controlled by one or more American citizens or permanent resident aliens who are: Minority Business Enterprise (MBE); Women's Business Enterprise (WBE); Disadvantaged Business Enterprise (DBE) and Disable Veteran Business Enterprise (DVBE); (herein sometimes collectively referred to as HUB).
2. Minority Business Enterprise (MBE): A business that is formed for the purpose of making a profit and is at least 51% owned, operated and/or controlled by a person who is a member of the following groups: African/Black Americans; Hispanic Americans; Asian Pacific Americans; Subcontinent Asian Americans; Native Americans or American Women.

3. **Disadvantaged Business Enterprise (DBE):** A business that is formed for the purpose of making a profit and is at least 51% owned, operated and/or controlled by one or more socially and/or economically disadvantaged individuals. A socially disadvantaged individual is one who has been a subject of racial, ethnic or gender bias because of their membership in a group. An economically disadvantaged individual is one whose ability to compete in the free enterprise system is impaired due to diminished opportunities to obtain capital and credit.
4. **Women's Business Enterprise (WBE):** A business enterprise formed for the purpose of making a profit and is at least 51% owned, operated and/or controlled by American citizens or permanent resident aliens who are women.

Resources for Identifying HUB Participants

The following are resources for identifying HUB participants. Each bidder/prime contractor must show proof that where appropriate, these other resources were contacted for assistance in identifying Hub participants. The other resources are:

1. **Alabama State Black Chamber of Commerce;** Jeny Mitchell, Email: wehelp@alblackcc.org; Website: admin@naaachamber.org; Phone: (256) 551-0673
2. **Alabama Department of Economic and Community Affairs, Office of Minority Business Enterprise,** Mr. Scott Stewart, Manager; Phone (334) 353-3966; FAX (334) 353-4311
Email; Scott.stewart@adeca.alabama.gov
3. **Birmingham Airport Authority;** Phone (205) 595-0533; FAX (205) 599-0538
Website: info@flybirmingham.com
4. **Alabama Department of Transportation Disadvantaged Business Enterprises;** Walter Carr
Phone: (334) 242-6242; FAX (334) 242-6256; Email: carrw@dot.state.al.us
Website: www.dot.state.al.us
5. **Department of Innovation & Economic Opportunity;** Coreata Houser, Deputy Director
Phone (205) 254-2799; FAX (205) 254-7741; Email: coreata.bouser@birmingham.al.gov
6. **Alabama Department of Transportation;** Phone (334) 244-6261
Website: www.dot.state.al.us
7. **Governor's Office of Minority and Women's Business Enterprises**
Phone 1-800-447-4191 and (334) 242-2220; FAX (334) 242-4203
8. **U.S. Department of Commerce Minority Business Development Agency**
Phone: (404) 730-3300; FAX (404) 730-3313; Website; www.mbda.gov
9. **U.S. Small Business Administration, Alabama District Office**
Phone: (205) 290-7101; FAX (205) 290-7404; Email: Carol.house@sba.gov
Website: www.sba.gov/offices/district/al/birmingham

10. **U.S. Department of Transportation Office of Small and Disadvantaged Business Utilization**
Phone: (202) 366-7228; FAX (202) 366-7228
11. **National Association of Minority Contractors**; Website: www.namc-atl.org
12. **BCIA (Birmingham Construction Industry Authority)** Contact: Kimberly Baylor Bivins, kbaylorbivins@bcial.org; or Ashley Orl, aorl@bcial.org
13. **Minority Supplier Development Council Southern Regions**; Contact Mark Samuels;
Phone (504) 293-0404; FAX (504) 293-0401; Email: msamuel@snsdc.org
14. **Birmingham Business Resource Center**; Website: www.mybbrc.biz; Contact: Brandon Pettagrué, brandon@bbrc.biz or Bob Dickerson, bdickerson@bbrc.biz, 205-250-6380 ext. 6610
15. **Department of Veterans Affairs**; Brandon Miller, brandon.miller@va.alabama.gov

Affirmative Steps for Good Faith Solicitation

All bidders must submit to BWWB in their sealed bids evidence of the following Affirmative Steps taken to utilize HUB's. These Affirmative Steps are required methods to ensure that HUB's have the opportunity to compete for contracts with BWWB.

It is up to BWWB to make a fair and reasonable judgement whether a bidder/prime company made adequate good faith efforts. The BWWB will consider the quality, quantity, and intensity of the different kinds of efforts that the bidder/prime company made. The efforts employed by the bidder/prime company should be those that one could reasonably expect a bidder/prime company to take if the bidder/prime company were actively and aggressively trying to obtain HUB participation sufficient to meet the HUB Program goals.

Below is a list of types of steps that BWWB will consider as part of the bidder's/prime company's good faith efforts to obtain HUB participation. It is not intended to be a mandatory checklist, nor is it intended to be exclusive or exhaustive. Other factors or types of efforts may be relevant in appropriate cases:

1. Ensure HUBs are made aware of contracting opportunities to the fullest extent practicable through outreach and recruitment activities. Soliciting through all reasonable and available means (e.g., attendance at pre-bid meetings, advertising, and written notices) the interest of all certified HUB's who have the capability to perform the work of the contract. The bidder/prime company must solicit this interest within sufficient time to allow the HUBs to respond to the solicitation. The bidder/prime company must determine with certainty if the HUBs are interested by taking appropriate steps to follow up initial solicitations.
2. Make information on forthcoming opportunities available to HUB's and arrange time frames for the submission and finalization of contracts and established delivery schedules, where the requirements permit, in a way that encourages and facilitates participation by HUB businesses in the competitive process. This includes, at a minimum, seeking and receiving solicitations for contract bids or proposals 2 calendar days before sealed bids are due to BWWB.
3. Once the contract has been awarded, the prime company should continue to use its best efforts to further increase HUB participation toward reaching the BWWB stated goal.
4. Consider in the bidding process when competing for large contracts the possibility of dividing total requirements whenever economically feasible into smaller tasks or quantities to permit maximum participation by HUBs in the competitive process.

5. Encourage contracting with a consortium of HUB's when a contract is too large for one such firm to handle individually.
6. Negotiate in good faith with interested HUB sub-companies. Evidence of such good faith negotiations should include the names, addresses, and telephone numbers of HUB sub-companies that were considered; a description of the information provided regarding the request for proposal, request for qualifications, plans and specifications for the work selected for contracting; and evidence as to why additional agreements could not be reached for HUB sub-companies to perform the work.
7. Provide documented proof of steps taken to comply with items 1 through 7 above.

Bidders/Prime companies must submit or provide the following HUB Forms as outlined below:

- 1) **Acknowledgement of HUB Program (HUB Form 1)**. All bidders are to read, sign and include in their sealed bid the Acknowledgement of HUB Program, indicating that they fully understand and will voluntarily participate in and follow the guidelines and instructions included in the BWB HUB Program.
- 2) **HUB Compliance Form (HUB Form 2)**. This form must be completed and included with all sealed bids for goods and services/public works with the BWB.
- 3) **HUB BID SOLICITATION NOTICE {HUB FORM 3}**. All bidders shall complete this form and submit to the BWB and the HUB Consultant no later than seven (7) days after the scheduled date of the pre-bid conference. This form may be submitted in person at the pre-bid conference. Prospective bidders are to submit with their bid documents a copy of their HUB Form 3 with acknowledgement of receipt box completed by the HUB Consultant. (This form has been removed)
- 4) **HUB Sub-company Participation Form (HUB Form 4)**. This form gives a HUB sub-company the opportunity to describe the work the HUB sub-company received from the bidder/prime company, how much the HUB sub-company was paid, and any other concerns the HUB sub-company might have. Bidder/prime company shall provide copies of HUB Form 4 to all HUB sub-companies.
- 5) **HUB Sub-company Performance Form (HUB Form 5)**. This form captures an intended HUB sub-company's description of work to be performed for the bidder and the price of the work proposed to be performed by the HUB sub-company. This form is to be provided by the bidder to each HUB sub-company and submitted along with the HUB Compliance Form included in the bid documents.
- 6) **HUB Direct Manufacturer/Supplier Certification (HUB Form 6)**. This form captures the direct manufacturers or suppliers of goods and services sought in the bid and have no distributors, wholesalers, retailers, or other intermediaries, and thus do not have any opportunities for HUB participation in this Bid. **(This form is used for Goods and Services bids only)**

7) **HUB Sub-company Utilization Form (HUB Form 6)**. This form captures the bidder's/prime company's intended use of an identified HUB sub-company and the estimated dollar amount of the work. This form is to be completed by the bidder/prime company and submitted with the HUB Compliance Form included in the bid documents.

(This form is used for Public Works bids only)

8) **Changes to Approved HUB Compliance Form (HUB Form 7)**. If any changes, substitutions, or additions are proposed to the sub-company identified in the bid or any other time during the work, the bidder/prime company must submit this information to BWWB for prior written approval. No changes to the sub-company can occur without the BWWB's prior written consent.

(This form is used for Public Works bids only)

9) **Monthly Report Form (HUB Form 8)**. With each monthly pay request submitted to BWWB, the prime company is required to submit updated monthly **HUB Form 8** reports which identify HUB firms' participation. Monthly pay requests **will not be processed** without the updated list of HUB firms.

(This form is used for Public Works bids only)

10) **Project Close-out Report (HUB Form 9)**. Upon completion of the contract and prior to final payment or release of retainage, the prime company is required to submit a **HUB Form 9** Project Close- Out Report that includes a final listing of all HUB participants on the project. The Project Close-Out Report, with documented HUB participation, is a prerequisite to process the final pay request.

(This form is used for Public Works bids only)

Sub-companies must be certified as HUBs in order to be counted toward the bidder's/prime company's HUB accomplishments.

The documentation of the good faith solicitation efforts must be detailed in order to allow for satisfactory review. Such documentation might include fax confirmation sheets, copies of solicitation letters/emails, printouts of the online solicitations, printouts of online search results, affidavits of publication in newspapers, etc. The bidder/prime company is strongly encouraged to follow up on each written, fax, or email solicitation with at least one logged phone call.

The bidder/prime company must employ the affirmative steps set out above to subcontract with HUB, even if the bidder/prime company has met its goal of HUB participation.

If a HUB sub-company fails to complete work under the subcontract for any reason, the prime company must notify BWWB in writing prior to any termination and must employ the good faith efforts described above if using a replacement sub-company. Any proposed changes from an approved HUB sub-company must be reported to BWWB on the Changes to Approved HUB Compliance Form (**HUB Form 7**) prior to initiation of the action.

HUB FORM ONE
(HUB Program Acknowledgment)

The Water Works Board of the City of Birmingham ("BWVB") has initiated a program to encourage the participation of HUB companies (as that term is defined in the HUB Program) on BWVB' s Goods and services/Public works bids. This signed statement serves as an acknowledgment by the undersigned bidder/Prime company that it fully understands and will voluntarily participate in and follow the guidelines and instructions included in the BWVB HUB Program.

Company: _____

Submitted By (Print Name and Job Title): _____

Signature: _____

HUB FORM TWO
(HUB Program Compliance Instructions)

Please submit the following with the HUB COMPLIANCE FORM:

- I. List of all committed and uncommitted subcontractors by trade, including_ company name, address, telephone number, contact person, dollar amount of subcontract, and HUB status. Indicate in writing if no solicitations were made because the contractor intends to use only its own forces to accomplish the work.
- II. Proof of HUB certification for each subcontractor listed as a HUB.
- III. Documentation of solicitation effort for prospective HUB firms, such as fax confirmation sheets, copies of solicitation letters/emails, printout of the online solicitations, printouts of online search results, affidavits of publication in newspapers, etc. The prime contractor is strongly encouraged to follow up each written, fax, or email solicitation with at least one logged phone call.
- IV. Justification for not selecting a certified HUB subcontractor that submitted a low bid for any subcontract area.
- V. HUB Form 5 - HUB Subcontractor Performance Form.
- VI. HUB Form 6 - HUB Subcontractor Utilization Form.

HUB FORM TWO

HUB Compliance Form

ALL INFORMATION OUTLINED ON THIS FORM IS REQUIRED FOR HUB COMPLIANCE. THE PROPOSED BIDDER/PRIME COMPANY SHOULD ENSURE THAT THIS INFORMATION IS COMPLETE **PRIOR** TO SUBMITTAL.

CERTIFICATIONS:

I certify that the information submitted on and with this form is true and accurate and that this firm has met and will continue to meet the conditions of this contract regarding HUB solicitation and utilization. I further certify criteria used in selecting sub-companies and suppliers were applied equally to all potential participants and that HUB Sub-company Participation Form (HUB Form 4) and HUB Sub-company Performance Form (HUB Form 5) were distributed to all HUB contractors.

Bidder/Prime Company:

Bidder/Prime Company (Printed- Authorized Signing Agent Name and Title):

Authorized Signature and Date:

GENERAL INFORMATION

Owner's Name:

Owner phone number/email:

Bidder/prime company:

Bidder/prime company Point of Contact:

Bidder/prime phone number/email:

Bidder/prime company total bid amount:

\$ _____

Proposed HUB Sub-company participation amount: \$ _____ Percentage: ____%

HUB FORM SIX
Goods and Services Direct Manufacturing

I/we hereby certify that we are direct manufacturers or suppliers of the goods or services sought in this Bid and have no distributors, wholesalers, retailers, or other intermediaries, and thus do not have any opportunities for HUB participation in this solicitation.

Bidder Name		Solicitation Name:	
Solicitation No.	Point of Contact		
Address			
Telephone No.		Email Address	

Please use the space below to explain the details about your business and why there are no HUB opportunities for your bid: