



## Raleigh-Durham Airport Authority MWSB FORMS INSTRUCTIONS

Complete each form as applicable. For questions, contact the RDUAA Small Business Program Office (919-840-7712).

### BIDDING/ PROPOSAL FORMS – SUBMIT WITH BID OR PROPOSAL

**Form Name:** Appendix 1A – Schedule of MWSB/DBE Subcontractors/Suppliers

**For Use:** List all subcontractors, subconsultants, and suppliers used to meet the MWSB/DBE goal

**Instructions:** List the name, certification type, dollar value, and percentage of each MWSB/DBE contract. Percentage represents a percentage of the total bid; supplier values are counted 60% of goods supplied. Prime contractor signs the form.

**Form Name:** Appendix 1B – MWSB Certification Status

**For Use:** List the certification type of each firm listed in Appendix 1A

**Instructions:** List the certification type of each MWSB subcontractor listed in Appendix 1A. Indicate whether business size verification has been submitted to RDUAA Small Business Program Office (if required).

\*Certain certifications require business size verification; DBE certified firms will not require verification.

**Form Name:** Appendix 2 – Good Faith Effort Checklist

**For Use:** Complete and submit with bid if the MWSB/DBE goal(s) are not met

**Instructions:** Indicate what efforts were undertaken to achieve the MWSB or DBE goal(s). Provide additional documentation as necessary.

**Form Name:** Appendix 3 – Self Performance Form

**For Use:** Complete if the MWSB/DBE goal(s) are not met and the Prime Contractor intends to perform the contract all the work

**Instructions:** Complete and submit with bid.

**Form Name:** Appendix 4 & 5 – Intent to Perform as a Subcontractor/ Intent to Perform as a Supplier

**For Use:** Complete for each proposed MWSB/DBE subcontractor and supplier

**Instructions:** Each MWSB/DBE subcontractor and supplier should complete and sign the form which indicates the amount and scope of work for each vendor under the Prime Contract. **Must be signed by the MWSB/DBE firm.**

### MWSB COMPLIANCE FORMS – FOR USE AFTER CONTRACT AWARD

**Form Name:** Schedule of Subcontractor (Final)

**For Use:** List all subcontractors, subconsultants, and suppliers used to meet the MWSB/DBE goal (after contract has been signed by RDUAA and Prime Contractor)

**Instructions:** List the name, certification type, dollar value and percentage of each MWSB/DBE contract. Percentage represents a percentage of the total contract amount; supplier values are counted 60% of goods supplied. Prime contractor signs the form. **Submit with first pay application.**

**Form Name:** Monthly Payment Summary

**For Use:** List all subcontractors, subconsultants, and suppliers paid during the period

**Instructions:** List all subcontractors, subconsultants, and suppliers **paid** during the period. **Do not list amounts invoiced during the period.**

**Form Name:** MWSB Affidavit of Final Payment

**For Use:** Submitted as a part of contract close-out documentation; verifies payment of all MWSB/DBE subcontractors/suppliers

**Instructions:** Complete form for each MWSB/DBE subcontractors/suppliers. Must be signed by both MWSB/DBE subcontractors/suppliers and Prime contractor

**Form Name:** Request to Change Schedule of Subcontractors

**For Use:** Must be submitted prior to replacement of MWSB/DBE firms in a contract

**Instructions:** Complete form for each MWSB/DBE subcontractors/suppliers. Requires good faith effort documentation and RDUAA approval.



**Raleigh-Durham Airport Authority**  
**SCHEDULE OF MWSB/ DBE SUBCONTRACTORS & SUPPLIERS**

<b>Project/ Contract Name:</b> _____			
<b>Bidder/ Proposer Name:</b> _____			<input type="checkbox"/> MWSB <input type="checkbox"/> NON-MWSB
<b>Bidder Contact Name:</b> _____		<b>Bidder Phone Number:</b> _____	
<b>Bidder E-mail Address:</b> _____			
<b>MB Contract Goal:</b>	<b>WB Contract Goal:</b>	<b>MB Commitment:</b>	<b>WB Commitment:</b>

**Instructions:**

As part of the procedures for the submission of proposals, all bidders/contractors are required to identify MWSB subcontractors/suppliers and service providers identified at of time of the bid, using the attached forms. The Authority must verify the certification status for all MWSBs proposed for utilization on this project. Each contractor/supplier listed on this sheet must have a corresponding "MWSB Certification Status" form (Appendix 1B). Attach additional sheets as necessary. NOTE: If contract is sole source and/or direct purchase, please enter the dollar amount of work and proceed to the Contractor's Certification, then sign and date this form.

Name of Subcontractor (incl. service providers and associated equipment/ supplies)	Certification Status (check applicable status) <sup>1</sup>					Description of Subcontract or Service to be Performed	Dollar Amount of MWSB Participation	% of MWSB Participation
	DBE (MB)	DBE (WB)	HUB (MB)	HUB (WB)	Other			
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			

  

Name of Supplier (Materials/ Equipment Supplier Only)	Certification Status (check applicable status) <sup>1</sup>					Description of Equipment or Materials Supplied	Dollar Amount of MWSB Participation	% of MWSB Participation (60% of dollar value)
	DBE (MB)	DBE (WB)	HUB (MB)	HUB (WB)	Other			
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			

Dollar Amount of Work to be Completed by MWSB Subcontractors or Service Providers	\$
Dollar Amount of Supplies Provided by MWSB Suppliers	\$
Total Amount of Bid/Proposal	\$

**Prime Contractor's Certification**

I further understand and agree that if awarded the contract, this certification shall be attached thereto and become a part thereof. Failure to provide accurate and complete information or exercise good faith efforts (as defined by the MWSB Program) may result in being considered non-responsive to the solicitation. It is understood and agreed that, if awarded a contract by the Authority, the contractor will not make additions, deletions, or substitutions to the MWSBs on this certified list without the written consent of the Authority. A request for approval to replace a MWSB may only be made by submitting a Request for Approval of Change to Schedule of Subcontractors. It is understood that the Authority may audit any and/or all records of the Contract/vendor and conduct interviews of owners, principals, officers, employees and applicable subcontractors/Contractors participating on the Contract. The Authority reserves the right to ensure compliance with the MWSB Program to include status reports and audit of submitted MWSB information as deemed necessary.

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

Print Name and Title of Authorized Representative: \_\_\_\_\_

<sup>1</sup>In order to credit the participation of MWSBs, firms must be certified as by a certification agency approved by the Authority as defined in the MWSB Program.



Raleigh-Durham Airport Authority  
MWSB CERTIFICATION STATUS

<b>Bidder/ Proposer Name:</b> _____	<input type="checkbox"/> MWSB <input type="checkbox"/> NON-MWSB
<b>Project/ Contract Name:</b> _____	<b>Project #:</b> _____
<b>MB Contract Goal:</b> _____	<b>Proposed MB Participation:</b> _____
<b>WB Contract Goal:</b> _____	<b>Proposed WB Participation:</b> _____

\*MB – Minority-Owned Business

\*WB – Woman-Owned Business

**Instructions:**

As part of the procedures for the submission of bids/ proposals, each subcontractor/supplier listed in the Schedule of MWSB/DBE Subcontractors (Appendix 1A) must have a corresponding listing on this form. Note that in order to be counted towards MWSB participation; a firm must be a small business as defined by the Small Business Administration (SBA)<sup>1</sup>. As indicated, DBE, SBA 8(a) and SWBE<sup>2</sup> certifications do not require size verification. All other certifications require business size verification prior to bid opening. Submit Business Size Verification to the Authority's Small Business Program Office. Attach additional sheets as necessary.

<b>Subcontractor Name</b>	<b>Subcontractor Telephone</b>	<b>Subcontractor E-mail Address OR Fax</b>	
_____	_____	_____	
<b>Subcontractor City, State</b>	<b>Goods/ Service Supplied:</b>		
_____	_____		
<b>Select MWSB Status &amp; Size Verification:</b>	<input type="checkbox"/> DBE	<input type="checkbox"/> SBA 8(a)	<input type="checkbox"/> SWBE
	<input type="checkbox"/> HUB (MB)	<b>Business Size Verification Submitted:</b> <input type="checkbox"/> Yes <input type="checkbox"/> No	
	<input type="checkbox"/> HUB (WB)	<b>Business Size Verification Submitted:</b> <input type="checkbox"/> Yes <input type="checkbox"/> No	
	<input type="checkbox"/> Other Certification (Type): _____		
	<b>Business Size Verification Submitted:</b> <input type="checkbox"/> Yes <input type="checkbox"/> No		

<b>Subcontractor Name</b>	<b>Subcontractor Telephone</b>	<b>Subcontractor E-mail Address OR Fax</b>	
_____	_____	_____	
<b>Subcontractor City, State</b>	<b>Goods/ Service Supplied:</b>		
_____	_____		
<b>Select MWSB Status &amp; Size Verification:</b>	<input type="checkbox"/> DBE	<input type="checkbox"/> SBA 8(a)	<input type="checkbox"/> SWBE
	<input type="checkbox"/> HUB (MB)	<b>Business Size Verification Submitted:</b> <input type="checkbox"/> Yes <input type="checkbox"/> No	
	<input type="checkbox"/> HUB (WB)	<b>Business Size Verification Submitted:</b> <input type="checkbox"/> Yes <input type="checkbox"/> No	
	<input type="checkbox"/> Other Certification (Type): _____		
	<b>Business Size Verification Submitted:</b> <input type="checkbox"/> Yes <input type="checkbox"/> No		

**Prime Contractor's Certification**

I further understand and agree that if awarded the contract, this certification shall be attached thereto and become a part thereof. Failure to provide accurate and complete information or exercise good faith efforts (as defined by the MWSB Program) may result in being considered non-responsive to the solicitation.

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

Print Name and Title of Authorized \_\_\_\_\_

<sup>1</sup> Contractors on projects for the erection, construction, alteration or repair of buildings are excluded from size standard requirements.

<sup>2</sup> Disadvantaged Business Enterprise (NCDOT DBE); Small Business Administration: SBA 8(a) Business Development Certification (SBA 8(a)); Women's Business Enterprise National Council: Small Women Business Enterprise (SWBE)



**Raleigh-Durham Airport Authority**  
**MWSB CERTIFICATION STATUS**

Appendix 1B

Representative:

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<b>Bidder/ Proposer Name:</b> _____	<input type="checkbox"/> MWSB	<input type="checkbox"/> NON-MWSB
<b>Project/ Contract Name:</b> _____	<b>Project #:</b> _____	
<b>MB Contract Goal:</b> _____	<b>Proposed MB Participation:</b> _____	
<b>WB Contract Goal:</b> _____	<b>Proposed WB Participation:</b> _____	

\*MB – Minority-Owned Business                      \*WB – Women-Owned Business

**Good Faith Efforts:** If a Contractors/ proposer does not meet the MWSB goal, it shall nevertheless be eligible for award of the Contract if it can demonstrate to the Authority that it has made a good faith effort to meet the MWSB goal. This checklist should be submitted with the bid documents. Additional documentation to support the assertions in this checklist may be required within 3 business days following the bid. Failure to submit supporting documentation may result in the bid being considered non-responsive to bid specifications.

- 1) Did bidder attend MWSB pre-bid or pre-proposal conference?  Yes  No

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- 2) a. Did bidder advertise contractual opportunities in general circulation, trade association, or minority-focus media concerning opportunities?  Yes  No  
*(Requires documentation)*  Yes  No
- b. Was advertising specific to the project in question? *(Requires documentation)*

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- 3) Did the bidder provide satisfactory written solicitations requesting participation of MWSBs or DBEs that reasonably could have been expected to submit a quote that were known to the Contractor or available on state or local government maintained lists no later than ten (10) days prior to the bid opening?  Yes  No

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- 4) Did the bidder provide MWSBs or DBEs with:
  - a. adequate description of all work to be contracted?  Yes  No
  - b. adequate information about the location of the plans, specifications, and requirements of the contact?  Yes  No
  - c. date the quotation was due to the bidder?  Yes  No

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- 5) Did the bidder follow-up initial solicitations of interest electronically, in person or by telephone to determine if the MWSB or DBE was interested in participation?  Yes  No  
*(Requires documentation)*

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- 6) Did bidder break down or combine elements of work to be performed by MWSBs or DBEs into economically feasible units in order to facilitate MWSB participation? *(Requires documentation)*  Yes  No

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- 7) Did bidder make available or provide prospective MWSBs or DBEs with plans, specifications, and requirements for the work to be subcontracted at least 10 days before bids or proposals were due? *(Requires documentation)*  Yes  No

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- 8) Did the bidder negotiate in good faith with MWSBs or DBEs?  Yes  No

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- 9) Did the bidder offer assistance to interested MWSBs or DBEs in obtaining bonding or insurance required by the Authority or by the bidder? *(Requires documentation)*  Yes  No

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- 10) Did the bidder work with minority trade, community or contractor organizations identified by the RDUAA Small Business Office or other local, state or Federal minority/women's business assistance offices to locate MWSB or DBE firms? *(Requires documentation)*  Yes  No



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11) Did bidder provide assistance to otherwise qualified MWSBs or DBEs in need of equipment, loan capital, lines of credit, or joint pay agreements to secure loans, supplies or letters of credit, including waiving credit that is ordinarily required, or assist MWSBs or DBEs in obtaining the same unit pricing with bidder's suppliers in order to help MWSBs or DBEs in establishing credit?

Yes  No

By \_\_\_\_\_  
Authorized Official

\_\_\_\_\_ Title



**Raleigh-Durham Airport Authority**  
**STATEMENT OF INTENT TO PERFORM WORK WITHOUT**  
**SUBCONTRACTING OR SUPPLIERS**

Appendix 3

<b>Bidder/ Proposer Name:</b> _____	<input type="checkbox"/> MWSB	<input type="checkbox"/> NON-MWSB
<b>Project/ Contract Name:</b> _____	<b>Project #:</b> _____	
<b>MB Contract Goal:</b> _____	<b>Proposed MB Participation:</b> _____	
<b>WB Contract Goal:</b> _____	<b>Proposed WB Participation:</b> _____	

Self-performance does not exempt Contractors from MWSB Program requirements. Notwithstanding the fact that a Proposer may have the capability to complete a total project with its own work force, and without the use of Subcontractors/Subconsultants/Suppliers, all Authority Contractors are required to demonstrate sufficient Good Faith Efforts to subcontract with and/or procure supplies/services with MWSBs in its Subcontractor/ Subconsultant or supplier service area. Proposers that do not meet the MWSB Goal for a construction or service contract and desire to self-perform the entire contract must comply with each of the following Good Faith Effort provisions. Failure to do so shall constitute grounds for rejection of the Bid or Proposal:

We, \_\_\_\_\_, hereby certify that it is our intent to perform 100% of the work required for the contract.

In making this certification, the Proposer states the following:

- i. It is a normal and necessary practice of the Proposer to perform all elements of this type of contract with its own workforce and without the use of subcontractors. *The Proposer has substantiated this by providing documentation of at least three (3) other projects within the last two (2) years on which they have done so.*
- ii. The Proposer was unable to locate MWSBs which could provide significant goods or materials for use in conjunction with this contract. *The Proposer has substantiated this by providing documentation.*
- iii. The Proposer has a valid business reason for self-performing all work on the Contract as opposed to subcontracting with a MWSB. The Bid or Proposal must describe the valid business reason for self-performing, and the Proposer must submit with its Bid or Proposal documentation sufficient to demonstrate to the Authority reasonable satisfaction the validity of such assertions.
- iv. The Proposer will provide equal opportunity to MWSBs to participate in significant material supplier opportunities available under the prime contract and to document good faith efforts as required herein.
- v. If it should become necessary to subcontract some portion of the work at a later date, the Proposer will notify the Authority and institute good faith efforts to comply with all requirements of the MWSB program in providing equal opportunities to MWSBs to subcontract the work.

The undersigned hereby certifies that he or she has read the terms of this certification and is authorized to bind the Proposer in accordance herewith.

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

Print Name and Title of Authorized Representative: \_\_\_\_\_

**The Proposer must provide documentation which explains how the Proposer will perform the entire contract with its own equipment, supplies, materials and/or employees.**



**Raleigh-Durham Airport Authority**  
**INTENT TO PERFORM/ CONTRACT**  
**SUBCONTRACTOR/ PROFESSIONAL SERVICE PROVIDER**

Appendix 4

<b>Bidder/ Proposer Name:</b> _____	<input type="checkbox"/> MWSB	<input type="checkbox"/> NON-MWSB
<b>Project/ Contract Name:</b> _____	<b>Project #:</b> _____	
<b>MB Contract Goal:</b> _____	<b>Proposed MB Participation:</b> _____	
<b>WB Contract Goal:</b> _____	<b>Proposed WB Participation:</b> _____	

<b>Sub-contractor/ consultant:</b> _____	<b>Telephone:</b> _____
<b>Certification Status:</b>	
<input type="checkbox"/> DBE	<input type="checkbox"/> SBA 8(a)
<input type="checkbox"/> HUB (Minority-Owned Business)	<input type="checkbox"/> HUB (Women-Owned Business)

\*HUB certified firms must complete Business Size Verification and submit it to the Small Business Office.

The undersigned subcontractor intends to perform the following described work listed in connection with the above project:

1. Scope of Work: \_\_\_\_\_
2. Price: \$ \_\_\_\_\_
3. Projected Commencement Date: \_\_\_\_\_
4. Projected Completion Date: \_\_\_\_\_

**Subcontractor:**

The undersigned MWSB Subcontractor acknowledges that the firm is not be permitted to further subcontract the work specified in the Bid or Proposal as MWSB participation without the Authority's prior written permission, which shall be given or withheld in the Authority's sole discretion.

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

Print Name and Title of Authorized Representative: \_\_\_\_\_

**Prime Contractor Certification**

The undersigned affirms that the Prime Contractor has no ownership or financial interest in the MWSB subcontracting firm stated above. Except as authorized by the Authority, the undersigned will enter into a formal agreement with the listed MWSB firm for work as indicated by this form within (10) business days after receipt of the contract executed by the Authority. The undersigned will, if requested, provide the Small Business Program Office a copy of that agreement within three (3) business days of execution.

**Prime Contractor:**

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

Print Name and Title of Authorized Representative: \_\_\_\_\_



Raleigh-Durham Airport Authority  
INTENT TO PERFORM/ CONTRACT - SUPPLIER

<b>Bidder/ Proposer Name:</b> _____	<input type="checkbox"/> MWSB	<input type="checkbox"/> NON-MWSB
<b>Project/ Contract Name:</b> _____	<b>Project #:</b> _____	
<b>MB Contract Goal:</b> _____	<b>Proposed MB Participation:</b> _____	
<b>WB Contract Goal:</b> _____	<b>Proposed WB Participation:</b> _____	

(To Be Completed By Each MWSB Supplier)

<b>Supplier:</b> _____	<b>Telephone:</b> _____
<b>Certification Status:</b>	<input type="checkbox"/> DBE <input type="checkbox"/> SBA 8(a) <input type="checkbox"/> HUB (Minority-Owned Business) <input type="checkbox"/> HUB (Women-Owned Business)

\*HUB certified firms must complete Business Size Verification and submit it to the Small Business Office.

The undersigned subcontractor intends to perform the following described work listed in connection with the above project:

1. Goods/ Equipment Supplied\*: \_\_\_\_\_
2. Price: \$ \_\_\_\_\_
3. Projected Commencement Date: \_\_\_\_\_
4. Projected Completion Date: \_\_\_\_\_

\* A contractor may count 60% of its expenditures to MWSB suppliers.

**Supplier:**

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

Print Name and Title of Authorized Representative: \_\_\_\_\_

**Prime Contractor Certification**

The undersigned affirms that the Prime Contractor has no ownership or financial interest in the MWSB subcontracting firm stated above. Except as authorized by the Authority, the undersigned will enter into a formal agreement with the listed MWSB firm for work as indicated by this form within (10) business days after receipt of the contract executed by the Authority. The undersigned will, if requested, provide the Small Business Program Office a copy of that agreement within three (3) business days of execution.

**Prime Contractor:**

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

Print Name and Title of Authorized Representative: \_\_\_\_\_