

**CALACT**  
**REQUEST FOR QUOTATION**  
**#21-01**  
**SINGLE AGENCY AUDIT & TAX RETURN**

**CALENDAR YEARS ENDING DECEMBER 31, 2020 AND 2021;**  
**WITH OPTIONS FOR CALENDAR YEARS ENDING**  
**DECEMBER 31, 2022, 2023, & 2024**

**A. INTRODUCTION**

In accordance with its Bylaws, the California Association for Coordinated Transportation, Inc. (CALACT), seeks to enter into an agreement with an independent audit firm for financial and compliance audit services for each of two one-year fiscal periods beginning December 2020 and December 2021, with options for each of the following three one-year fiscal periods. Proposals shall be submitted electronically to Jacklyn at jacklyn@CALACT.org of CALACT prior to 4:00 p.m. on Monday, May 20, 2021. Questions regarding this request for proposal should be referred to Jacklyn Montgomery, Executive Director, at 916.920.8018. It is anticipated that the award of the contract will occur on or about June 30, 2021. We are hoping the audit can take place in July or August 2021. All proposals will become the property of CALACT.

**B. BACKGROUND**

CALACT was created on July 28, 1984 and registered with the Secretary of State of California as a non-profit mutual benefit corporation on October 7, 1989. CALACT is recognized by the Internal Revenue Service as a 501(c)6 organization. CALACT is governed by a sixteen-member Board of Directors, who are elected by membership and volunteer their time and expertise to set goals and policy for the Association. Day to day operations is carried out by an Executive Director and Program Manager, who are retained through an arrangement with an employee leasing company. The Board of Directors annually elects a Chair, Vice Chair, Secretary and Treasurer. The Vice Chair serves as the Chair of the Audit Committee, which consists of the Vice Chair, Chair, Secretary and Treasurer.

In December of 1989, CALACT entered into an agreement with the California Department of Transportation (Caltrans), to provide training, technical assistance, and related support services in non-urbanized areas of California. Funds to perform this service are provided through the Federal Transit Administration (FTA) 5311 funds,

**C. CALACT's FINANCIAL SYSTEM**

CALACT's accounting functions, including general ledger, cash receipts, budget, accounts payable, accounts receivable, are computerized. Accounting services are completed by an outside consultant and CALACT staff. The outside consultant uses QuickBooks software to provide monthly accounting services to prepare payables, verify deposits and receivables, and prepare monthly financial statements and reports.

The following is a summary of CALACT's accounting policies:

Basis of accounting - The accounting basis used by CALACT are in conformance with generally accepted accounting principles for non-profit agencies.

Budgets - Budgets are adopted annually by the Board of Directors. Expenditure and budgeting details are maintained by the Executive Director for each department by functional area and line items.

Audits – Audits for 2006 through 2019 calendar years have been performed by Paul Butikofer of Haley and Company, Certified Public Accountant. Copies of the audits and reports to management are available for on-site review at CALACT's offices for the purposes of submitting a proposal.

#### D. SCOPE OF WORK

The selected audit firm shall:

1. Make a sufficient examination to cover financial transactions for all CALACT funds, including but not limited to, the following financial conformance statements, in accordance with generally accepted accounting standards, including such tests of relevant records and such other auditing procedures as the firm considers necessary in the circumstances and as may be required by government regulations:
  - i. CALACT General Purpose Financial Statements
  - ii. CALACT Supplemental Statements and Schedules
  - iii. Schedule of Federal Financial Assistance -required by Office of Management and Budget Circular A-122, "Cost Principles for Non-Profit Organizations".

The primary purpose of the examination is to express an opinion on the financial statements. We are aware that errors or irregularities may not be detected in such an examination unless they are material to the statements. If conditions are discovered which lead the auditor to believe that material errors, defalcations or other irregularities may exist, or if any other circumstances are encountered that require extended services, the auditor will promptly advise management. No extended services are to be performed until they are discussed with the Audit Committee.

2. Prepare the audit report expressing an opinion with respect to fairness of presentation of the financial statements. The report is to meet the standards suggested by the Financial Accounting Standards Board (FASB) in accordance with ASU 2016-14, ASU 2014-19, and ASU 2018-08.
3. Express an opinion on the conformance with the management letter of the most recent fiscal year.
4. Report on the inadequacies of internal controls and condition of records and make recommendations as to corrections.
5. Present a draft report of findings delivered to the Audit Committee within 90 days after the completion of the closing procedure.

6. Provide electronic copy of the single audit and management letter for each fiscal year and present it to the Audit Committee.
7. Preparation of IRS form 990 tax return for CALACT after the audit is completed and by the IRS Deadline for non-profit agencies.

## E. PROPOSAL CONTENT

Proposals must contain the following as a minimum:

1. Title page showing the RFQ number, the name of the firm, address, telephone number, name and title of contact person, and date of the proposal.
2. Statement of the proposer's understanding of the work to be performed.
3. Experience of the firm in performing audits of non-profit association's general purpose financial statements, as well as any other related experience. This section should also include a listing of references that may be contacted regarding the firm's experience.
4. Projected hours required to complete the audit along with hourly billing rates for the various levels of staff that will be assigned to the audit and tax return, and hourly billing rates for work above and beyond the scope of this RFQ. Respondents should complete Table 1, Estimated Hours and Billing Rates, to provide this information.
5. The anticipated list of statements and schedules that the firm will request from CALACT.
6. The proposed audit starting and completion dates along with the proposed time frames required to complete the various phases of the audit and tax return.
7. An affirmative commitment to perform the work within the specified time frame.
8. Indicate the all-inclusive fee for yearly audits and tax returns. Respondents should complete Table 2, Proposed Audit Fees, to provide this information.
9. Indicate how the proposed fee was derived and include an outline of the audit approach which will be used and the estimate of time by each function.
10. Statement of availability for assistance for questions or problems during the term of the contract and availability for other negotiated services.
11. Identification of staff capabilities including the names and resumes of key personnel to be assigned to the audit, professional affiliations (i.e., AGA, AICPA, etc.), California Certified Public Accountant license number and expiration date, and the number of hours of continuing education each accountant with firm has averaged in the past three (3) years.
12. Respondents must indicate if they are a registered MBE/DBE/WBE with the California Department of Transportation, Caltrans, or any other governmental agency within the state of California. Respondents must include the registering agency, registration number and expiration dates. If registered with Caltrans, include a copy of the Business Enterprise Program certificate.

13. References and contact information from at least three comparable nonprofit audit clients.

## F. MISCELLANEOUS REQUIREMENTS

### Professionalism

Responding firms expressly understand that *CALACT* is contracting for statements that will be produced in compliance with the OMB Circular A-122. The completion of the individual work items identified herein are merely the means of accomplishing this goal. The absence, omission, or failure to include in this agreement items or subjects which are necessary to the project shall not be used as a basis for submission of inadequate work or incomplete performance.

### Hold Harmless

Responding firms will be prepared to defend, indemnify, and save harmless *CALACT*, its officers, agents, and employees from any and all claims, liabilities, obligations, expenses, including attorney's fees resulting directly from injury to or death of any person or damage to or destruction of any property alleging or resulting from any negligent act, error, or omission of the selected firm, its agents, servants, or employees in the performance of services under this agreement.

### Insurance

Responding firms must secure and maintain throughout the period of this agreement comprehensive general liability insurance/contractual liability endorsement with minimum limits of \$1,000,000 combined single limit (CSL) covering all bodily injury and property damage arising out of its cooperation under this agreement; if vehicles are owned by the individual, partnership or corporation, automobile insurance covering all bodily injury and property liability incurred during the performance of this agreement with a minimum coverage of \$200,000 for property damage per accident, \$500,000 for bodily injury for each person and not less than \$500,000 for bodily injury per accident or \$1,000,000 per accident, CSL; throughout the period of this agreement maintain in full force and effect a policy of Worker's Compensation insurance covering all of its employees and volunteers, and obtain and maintain errors and omissions insurance with a minimum coverage of \$1,000,000 to protect *CALACT* from damage or loss resulting from any act or activities of selected firm or any person acting for selected firm or under selected firm's control or direction. Such insurance shall be maintained in full force and effect during the entire term of this agreement.

Responding firms shall provide certificates or other sufficient proof that these insurance provisions have been complied with prior to execution of the agreement for services under this RFQ. If the selected firm does not keep such insurance in full force and effect, *CALACT* may take out the necessary insurance and the firm shall agree to pay the cost of said insurance.

### Period of Performance/Time Extension

The audits for each year are expected to be completed within the period of May 15 through October 15 of each year.

The auditing firm will be granted an extension of time for delay in completion of the audit beyond the time named caused by acts of *CALACT*, provided that the auditing firm shall notify the Audit Committee in writing of the cause of the delay. The Audit Committee shall determine the facts and extent of delay and those findings shall be final.

### Incurring of Costs

*CALACT* is not responsible for any costs incurred by respondents for the preparation of responses to the RFQ, nor for any costs incurred by respondents prior to the award and execution of a contract.

## **Agreement**

A professional and technical agreement will be used in conjunction with the RFQ to establish the contractual basis of the contract. The agreement will contain standard state and federal government clauses, which are attached to this RFQ.

## **Title VI Assurance**

In accordance with Title VI of the Civil Rights Act of 1964, CALACT notifies all respondents that, relative to nondiscrimination on federally assisted projects, the clauses in Appendix A will be included in the professional and technical agreement to establish the contractual basis of the contract.

## **G. GOALS**

The general goals for the audit are as follows:

1. The auditor is expected to work closely with the Audit Committee to review the scope of audit before the audit begins and review findings of the audit and any problems with internal control and accounting systems at the end of the year.
2. Provide audit reports for the CALACT Board of Directors in compliance with OMB Circular A-122, and in accordance with FASB guidelines.
3. Examine CALACT records in a timely and efficient manner to have the least amount of impact of CALACT staff time.
4. Notify the CALACT Audit Committee of significant changes in financial accounting and reporting requirements that occur during the period of the contract.
5. Provide to the CALACT Audit Committee suggestions for operational changes to help achieve the highest standards of financial reporting.
6. Provide additional consulting expertise as incidents occur during the period of the contract.
7. A management letter will be required, and it should include a statement of audit findings and recommendations affecting the financial statements, internal controls, accounting, account systems, legality of actions, other instances of noncompliance with laws and regulations, and any other financial matters.
8. Completion of yearly state and federal tax returns before the deadline, including extensions, each year.

## **H. PROPOSAL EVALUATION AND SELECTION**

Proposals must be submitted before 4:00 PM on May 20, 2021. Proposals will be evaluated by an Audit Review Committee based on the following criteria. Numbers in parentheses represent the relative weight of the criteria:

1. Proposed maximum fee. (20%)
2. Demonstrated professional skills and credentials of the staff to be assigned to the audit. (20%)
3. Understanding of the Work Scope, as evidenced by the approach to performing the audit, including identification of audit areas requiring *CALACT* staff assistance. (20%)
4. Relevant audit-related experience. (15%)
5. Reputation of firm (based on references). (15%)
6. Proposed registered MBE/DBE/WBE participation in the project. (10%)

The award of the contract will not be based solely on the lowest maximum fee proposed.

Based on an evaluation of the proposals using the above criteria, it is anticipated that the top candidates may be scheduled for an interview with the Audit Committee. Their final recommendation will then be submitted to the Executive Committee will make the final approval for the award of the contract.

CALACT reserves the right to reject any and all proposals.

**CALACT REQUEST FOR QUOTATION  
Number 2021-01  
Single Agency Audit**

Respondent: \_\_\_\_\_

Contact person: \_\_\_\_\_ Phone: \_\_\_\_\_

**Table 1: Estimated Hours and Billing Rates**

Audit Work Title	Estimated Hours	Billing Rate

Additional Work (if needed) Title	Billing Rate

**Table 2: Proposed Audit Fees**

Please indicate all inclusive fees.

2020 Audits	2021 Audit	2022 Audit	2023 Audit	2024 Audit	Total

EXHIBIT A  
STANDARD CLAUSES FOR  
FEDERAL TRANSIT ADMINISTRATION RELATED CONTRACTS

CATEGORY 1. CERTIFICATIONS AND ASSURANCES REQUIRED OF EVERY APPLICANT.

*All applicants must make the certifications in this category.*

**1.1. Standard Assurances.**

*The certifications in this subcategory appear as part of the applicant's registration or annual registration renewal in the System for Award Management (SAM.gov) and on the Office of Management and Budget's standard form 424B "Assurances—Non-Construction Programs". This certification has been modified in places to include analogous certifications required by U.S. DOT statutes or regulations.*

As the duly authorized representative of the applicant, you certify that the applicant:

- (a) Has the legal authority to apply for Federal assistance and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management and completion of the project described in this application.
- (b) Will give the awarding agency, the Comptroller General of the United States and, if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
- (c) Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
- (d) Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
- (e) Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§ 4728–4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 CFR 900, Subpart F).

- (f) Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to:
- (1) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin, as effectuated by U.S. DOT regulation 49 CFR Part 21;
  - (2) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§ 1681–1683, and 1685–1686), which prohibits discrimination on the basis of sex, as effectuated by U.S. DOT regulation 49 CFR Part 25;
  - (3) Section 5332 of the Federal Transit Law (49 U.S.C. § 5332), which prohibits any person being excluded from participating in, denied a benefit of, or discriminated against under, a project, program, or activity receiving financial assistance from FTA because of race, color, religion, national origin, sex, disability, or age.
  - (4) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 794), which prohibits discrimination on the basis of handicaps, as effectuated by U.S. DOT regulation 49 CFR Part 27;
  - (5) The Age Discrimination Act of 1975, as amended (42 U.S.C. §§ 6101–6107), which prohibits discrimination on the basis of age;
  - (6) The Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse;
  - (7) The comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91–616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism;
  - (8) Sections 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§ 290 dd-3 and 290 ee-3), as amended, relating to confidentiality of alcohol and drug abuse patient records;
  - (9) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. §§ 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental, or financing of housing;
  - (10) Any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and,
  - (11) the requirements of any other nondiscrimination statute(s) which may apply to the application.
- (g) Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (“Uniform Act”) (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally-assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases. The requirements of the Uniform Act are effectuated by U.S. DOT regulation 49 CFR Part 24.

- (h) Will comply, as applicable, with provisions of the Hatch Act (5 U.S.C. §§ 1501–1508 and 7324–7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
- (i) Will comply, as applicable, with the provisions of the Davis–Bacon Act (40 U.S.C. §§ 276a to 276a-7), the Copeland Act (40 U.S.C. § 276c and 18 U.S.C. § 874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§ 327–333), regarding laborstandards for federally assisted construction subagreements.
- (j) Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
- (k) Will comply with environmental standards which may be prescribed pursuant to the following:
  - (1) Institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514;
  - (2) Notification of violating facilities pursuant to EO 11738;
  - (3) Protection of wetlands pursuant to EO 11990;
  - (4) Evaluation of flood hazards in floodplains in accordance with EO 11988;
  - (5) Assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§ 1451 et seq.);
  - (6) Conformity of Federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. §§ 7401 et seq.);
  - (7) Protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (P.L. 93-523); and
  - (8) Protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93–205).
- (l) Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§ 1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
- (m) Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. § 470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§ 469a-1 et seq.).
- (n) Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
- (o) Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. §§ 2131 et seq.) pertaining to the care, handling, and treatment of warm blooded

animals held for research, teaching, or other activities supported by this award of assistance.

- (p) Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§ 4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.
- (q) Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and 2 CFR Part 200, Subpart F, “Audit Requirements”, as adopted and implemented by U.S. DOT at 2 CFR Part 1201.
- (r) Will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing the program under which it is applying for assistance.
- (s) Will comply with the requirements of Section 106(g) of the Trafficking Victims Protection Act (TVPA) of 2000, as amended (22 U.S.C. § 7104) which prohibits grant award recipients or a sub-recipient from:
  - (1) Engaging in severe forms of trafficking in persons during the period that the award is in effect.
  - (2) Procuring a commercial sex act during the period that the award is in effect; or
  - (3) Using forced labor in the performance of the award or subawards under the award.

## 1.2 Procurement

*The Uniform Administrative Requirements, 2 CFR § 200.324, allow a recipient to self-certify that its procurement system complies with Federal requirements, in lieu of submitting to certain pre-procurement reviews.*

The applicant certifies that its procurement system complies with:

- (a) U.S. DOT regulations, “Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards,” 2 CFR Part 1201, which incorporates by reference U.S. OMB regulatory guidance, “Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards,” 2 CFR Part 200, particularly 2 CFR §§ 200.317–200.326 “Procurement Standards.
- (b) Federal laws, regulations, and requirements applicable to FTA procurements; and
- (c) The latest edition of FTA Circular 4220.1 and other applicable Federal guidance.

### 1.3 Suspension and Debarment.

*Pursuant to Executive Order 12549, as implemented at 2 CFR Parts 180 and 1200, prior to entering into a covered transaction with an applicant, FTA must determine whether the applicant is excluded from participating in covered non-procurement transactions. For this purpose, FTA is authorized to collect a certification from each applicant regarding the applicant's exclusion status. 2 CFR § 180.300. Additionally, each applicant must disclose any information required by 2 CFR § 180.335 about the applicant and the applicant's principals prior to entering into an award agreement with FTA. This certification serves both purposes.*

The applicant certifies, to the best of its knowledge and belief, that the applicant and each of its principals:

- (a) Is not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily or involuntarily excluded from covered transactions by any Federal department or agency.
- (b) Has not, within the preceding three years, been convicted of or had a civil judgment rendered against him or her for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public or private agreement or transaction; violation of Federal or State antitrust statutes, including those proscribing price fixing between competitors, allocation of customers between competitors, and bid rigging; commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, tax evasion, receiving stolen property, making false claims, or obstruction of justice; or commission of any other offense indicating a lack of business integrity or business honesty;
- (c) Is not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any offense described in paragraph (b) of this certification.
- (d) Has not, within the preceding three years, had one or more public transactions (Federal, State, or local) terminated for cause or default.

**1.4 Coronavirus Response and Relief Supplemental Appropriations Act, 2021, and CARES Act Funding.**

The applicant certifies that, to the maximum extent possible, and consistent with the Consolidated Appropriations Act, 2021 (Public Law 116–260):

- (a) Funds made available under title IV of division M of the Consolidated Appropriations Act, 2021 (Public Law 116–260), and in title XII of division B of the CARES Act (Public Law 116–136; 134 Stat. 599) shall be directed to payroll and operations of public transit (including payroll and expenses of private providers of public transportation); or
- (b) The applicant certifies that the applicant has not furloughed any employees.

**B. CATEGORY 3. TAX LIABILITY AND FELONY CONVICTIONS.**

*If the applicant is a business association (regardless of for-profit, not for-profit, or tax-exempt status), it must make this certification. Federal appropriations act since at least 2014 have prohibited FTA from using funds to enter into an agreement with any corporation that has unpaid Federal tax liabilities or recent felony convictions without first considering the corporation for debarment. E.g., Consolidated Appropriations Act, 2021, Pub. L. 116-260, div. E, title VII, §§ 744–745. U.S. DOT Order 4200.6 defines a “corporation” as “any private corporation, partnership, trust, joint-stock company, sole proprietorship, or other business association”, and applies the restriction to all tiers of subawards. As prescribed by U.S. DOT Order 4200.6, FTA requires each business association applicant to certify as to its tax and felony status.*

If the applicant is a private corporation, partnership, trust, joint-stock company, sole proprietorship, or other business association, the applicant certifies that:

- (a) It has no unpaid Federal tax liability that has been assessed, for which all judicial and administrative remedies have been exhausted or have lapsed, and that is not being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax liability; and
- (b) It has not been convicted of a felony criminal violation under any Federal law within the preceding 24 months.

**B. CATEGORY 4. LOBBYING.**

*If the applicant will apply for a grant or cooperative agreement exceeding \$100,000, or a loan, line of credit, loan guarantee, or loan insurance exceeding \$150,000, it must make the following certification and, if applicable, make a disclosure regarding the applicant’s lobbying activities. This certification is required by 49 CFR § 20.110 and app. A to that part.*

*This certification does not apply to an applicant that is an Indian Tribe, Indian organization, or an Indian tribal organization exempt from the requirements of 49 CFR Part 20.*

**4.1. Certification for Contracts, Grants, Loans, and Cooperative Agreements.**

The undersigned certifies, to the best of his or her knowledge and belief, that:

- (a) 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 an agency, a Member of Congress, an 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.

- (b) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this 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.
- (c) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients 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 section 1352, title 31, U.S. Code. 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.

#### **1.5 Statement for Loan Guarantees and Loan Insurance.**

The undersigned states, to the best of his or her knowledge and belief, that:

If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

**CATEGORY 20. CYBERSECURITY CERTIFICATION FOR RAIL ROLLING STOCK  
AND OPERATIONS.**

*If the applicant operates a rail fixed guideway public transportation system, it must make this certification. This certification is required by 49 U.S.C. § 5323(v), a new subsection added by the National Defense Authorization Act for Fiscal Year 2020, Pub. L. 116-92, § 7613 (Dec. 20, 2019). For information about standards or practices that may apply to a rail fixed guideway public transportation system, visit <https://www.nist.gov/cyberframework> and <https://www.cisa.gov/>.*

The applicant certifies that it has established a process to develop, maintain, and execute a written plan for identifying and reducing cybersecurity risks that complies with the requirements of 49 U.S.C. § 5323(v)(2).

**REQUEST FOR QUOTATION  
Number 2021-01  
Single Agency Audit**

**Released: April 13, 2021**

**Response deadline: 4 pm, May 20, 2021**

*Questions and proposals (original and 5 copies) can be directed to:*

*Jacklyn Montgomery  
Executive Director  
CALACT  
4632 Duckhorn Drive  
Sacramento, CA 95834  
Phone: 916-920-8018  
Fax: 916-920-8021  
Email: jacklyn@CALACT.or*





