

SBE GOOD FAITH EFFORTS DOCUMENTATION

Due 24 Hours After Sealed Bid Opening

MSD Project Name: _____ Date Submitted: _____

Prime Bidder/Contractor Name: _____ Total Contract Value: \$ _____

Instructions: Detailed completion and submission of the SBE Good Faith Efforts Documentation (GFE Documentation), by the Prime Bidder. It shall include all pages of the GFE Documentation – demonstrating good faith efforts for each bidder action indicator, along with all of the detailed corresponding supplemental documentation as evidence to substantiate each bidder action indicator item and included in numerical and chronological order. All documentation, as previously described, shall be submitted no later than twenty-hour (24) hours, after the sealed bid opening via email to SBESConstruction@louisvillemsd.org. **NOTE: The SBE Construction Subcontracting Participation Goal is 35%. Bidders must earn a minimum of 70 out of 100 points to be deemed responsive. Failure to include the required and completed GFE documentation in the bid could result in its rejection and/or non-responsiveness.** For a complete list of MSD-recognized SBE businesses, please visit the MSD Certified Vendor Directory at <https://louisvillemsd.org/EconomicInclusion/forms>.

Bidder Action(s):

NUMBER 1.	POINTS – 15 TOTAL	YES ☐	NO ☐
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Identification of SBE Subcontracting Work: Selected portions of the work to be performed by SBEs in order to increase the likelihood that the SBE goal will be achieved. This includes, where appropriate, breaking out contract work items into economically feasible units to facilitate SBE participation, even when the prime contractor might otherwise prefer to perform these work items with its own forces. To receive credit for this effort, the bidder must determine with certainty if the SBEs are interested by documenting and taking the appropriate steps to follow up initial solicitations.

NOTE: For each MSD-registered SBE firm contacted, list the name(s) and all information requested below related to the above project. If additional space is required, this form may be duplicated.

Company Name	Business Type	Work/Service(s) Solicited	Business Contact Method (email, phone, letter, etc.)	Solicitation Response (will submit bid, no response, not interested)	Bid/Quote Amount	Company Selected?		Reason(s) <u>Not</u> Selected (Explain in detail and include all relevant supporting documentation)
						YES	NO	
1.								☐ Price ☐ Capabilities ☐ Other
2.								☐ Price ☐ Capabilities ☐ Other
3.								☐ Price ☐ Capabilities ☐ Other
4.								☐ Price ☐ Capabilities ☐ Other
5.								☐ Price ☐ Capabilities ☐ Other

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Bidder Action(s):

NUMBER 2.	POINTS – 15 TOTAL	YES ☐ NO ☐
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Written Notices to SBE subcontractors, suppliers and vendors: Evidence of written notice to SBE subcontractors, suppliers and vendors of prime contractor's interest. Solicited, through all reasonable and available means to include, but not limited to the following examples: attendance at pre-bid meetings, accessed <https://louisvillemsd.org/EconomicInclusion/forms>, written notices in the interest of all MSD SBEs who have the capability to perform the work of the contract.

NOTE: For each SBE firm contacted, list the name(s) and all information requested below related to the above project. If additional space is required, this form may be duplicated.

Company Name	Date of Written Notices, Evidence of Written Notices Sent and Scope of Work Provided	Description of Meeting Notices for SBEs	Did SBE Attend Meeting?		Reason(s) Meeting Did <u>Not</u> Occur (Explain in detail and include all relevant supporting documentation)
			YES	NO	
1.			☐	Meeting Date: _____ ☐	☐ Lack of Response ☐ Poor Planning/Preparation ☐ Ineffective Coordination ☐ Other
2.			☐	Meeting Date: _____ ☐	☐ Lack of Response ☐ Poor Planning/Preparation ☐ Ineffective Coordination ☐ Other
3.			☐	Meeting Date: _____ ☐	☐ Lack of Response ☐ Poor Planning/Preparation ☐ Ineffective Coordination ☐ Other
4.			☐	Meeting Date: _____ ☐	☐ Lack of Response ☐ Poor Planning/Preparation ☐ Ineffective Coordination ☐ Other
5.			☐	Meeting Date: _____ ☐	☐ Lack of Response ☐ Poor Planning/Preparation ☐ Ineffective Coordination ☐ Other

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NUMBER 3.	POINTS – 15 TOTAL	YES ☐ NO ☐
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Follow-up to Initial Solicitations (Written Notices) to SBE subcontractors, suppliers and vendors: Follow-up to initial solicitations (written notices) to SBE subcontractors, suppliers and vendors. Evidence SBE firms were invited to meetings.

NOTE: For each SBE firm contacted, list the name(s) and all information requested below related to the above project. If additional space is required, this form may be duplicated.

Company Name	Date of Follow-up to Initial Solicitations and Scope of Work Provided Once Again	Description of Meeting Notices for SBEs	Did SBE Attend Meeting?		Reason(s) Meeting Did <u>Not</u> Occur, After Follow-up to Initial Solicitations (Explain in detail and include all relevant supporting documentation)
			YES	NO	
1.			☐	Meeting Date: ☐	☐ Lack of Follow-up ☐ Poor Planning/Preparation ☐ Ineffective Coordination ☐ Other
2.			☐	Meeting Date: ☐	☐ Lack of Follow-up ☐ Poor Planning/Preparation ☐ Ineffective Coordination ☐ Other
3.			☐	Meeting Date: ☐	☐ Lack of Follow-up ☐ Poor Planning/Preparation ☐ Ineffective Coordination ☐ Other
4.			☐	Meeting Date: ☐	☐ Lack of Follow-up ☐ Poor Planning/Preparation ☐ Ineffective Coordination ☐ Other
5.			☐	Meeting Date: ☐	☐ Lack of Follow-up ☐ Poor Planning/Preparation ☐ Ineffective Coordination ☐ Other

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NUMBER 4.	POINTS – 15 TOTAL	YES ☐	NO ☐
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Adequate Information Provided – Plans, Specifications, Requirements: Provided interested MSD-registered SBEs with adequate information about the plans, specifications and requirements of the contract in a timely manner to assist them in responding to a solicitation for SBE participation. SBEs were provided with access to plans, specifications and the requirements pertaining to the MSD project.

NOTE: For each SBE firm contacted, list the name(s) and all information requested below related to the above project. If additional space is required, this form may be duplicated.

Company Name	Type of Work / Service(s) Considered	Plans, Specifications, Requirements Provided?		Reason(s) Adequate Information <u>Not</u> Provided (Explain in detail and include all relevant supporting documentation)
		YES	NO	
1.		☐	☐	
2.		☐	☐	
3.		☐	☐	
4.		☐	☐	
5.		☐	☐	

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Bidder Action(s):

NUMBER 5.	POINTS – 10 TOTAL	YES ☐ NO ☐
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Assistance: Bonding/Lines of Credit/Insurance: Made efforts to assist interested MSD-registered SBEs in obtaining bonding, lines of credit or insurance as required by MSD or the contractor.

NOTE: For each SBE firm contacted, list the name(s) and all information requested below related to the above project. If additional space is required, this form may be duplicated.

Company Name	Assistance Provided?		Type of Assistance Provided			Reason(s) Assistance <u>Not</u> Provided (Explain in detail and include all relevant supporting documentation)
	YES	NO	Bonding	Lines of Credit	Insurance	
1.	☐	☐	☐	☐	☐	
2.	☐	☐	☐	☐	☐	
3.	☐	☐	☐	☐	☐	
4.	☐	☐	☐	☐	☐	
5.	☐	☐	☐	☐	☐	

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Bidder Action(s):

NUMBER 6.	POINTS – 10 TOTAL	YES ☐	NO ☐
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Evidence of Justifiable Bid Rejection: If participation of specific SBEs was considered, the bidder did not reject SBEs as being unqualified without sound reasons based on a thorough investigation of their capabilities. An SBE subcontractor's standing within its industry, membership in specific groups, organizations or associations, and political or social affiliations [for example, union vs. non-union employee status] are not legitimate causes for the rejection or non-solicitation of SBE subcontractor proposals when considering the contractor's efforts to meet the project goal.

NOTE: For each SBE firm contacted, list the name(s) and all information requested below related to the above project. If additional space is required, this form may be duplicated.

Company Name	Were Bid(s) Rejected?		Reason(s) Bid(s) Rejected	Reason(s) Bids Rejected (Explain in detail and include all relevant supporting documentation)
	YES	NO		
1.	☐	☐	☐ Missed Deadline ☐ Mathematical Errors ☐ Incomplete Documentation ☐ Other	
2.	☐	☐	☐ Missed Deadline ☐ Mathematical Errors ☐ Incomplete Documentation ☐ Other	
3.	☐	☐	☐ Missed Deadline ☐ Mathematical Errors ☐ Incomplete Documentation ☐ Other	
4.	☐	☐	☐ Missed Deadline ☐ Mathematical Errors ☐ Incomplete Documentation ☐ Other	
5.	☐	☐	☐ Missed Deadline ☐ Mathematical Errors ☐ Incomplete Documentation ☐ Other	

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NUMBER 7.	POINTS – 10 TOTAL	YES ☐ NO ☐
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Evidence that SBEs were invited to meetings: Evidence of written notice to SBE subcontractors, suppliers and vendors of prime contractor's interest that they were invited to meetings. They were solicited, through all reasonable and available means to include, but not limited to the following examples: attendance at pre-bid meetings, negotiation meetings, etc., accessed <https://louisvillemsd.org/EconomicInclusion/forms>, written notices in the interest of all MSD SBEs who have the capability to perform the work of the contract.

NOTE: For each SBE firm contacted, list the name(s) and all information requested below related to the above project. If additional space is required, this form may be duplicated.

Company Name	Evidence SBE Invited to Meetings and Written Notices	Description of Meeting Notices for SBEs	Did SBE Attend Meeting?		Reason(s) Meeting Did <u>Not</u> Occur (Explain in detail and include all relevant supporting documentation)
			YES	NO	
1.			☐	Meeting Date: _____ ☐	☐ Lack of Notification ☐ Poor Planning/Preparation ☐ Ineffective Coordination ☐ Other
2.			☐	Meeting Date: _____ ☐	☐ Lack of Notification ☐ Poor Planning/Preparation ☐ Ineffective Coordination ☐ Other
3.			☐	Meeting Date: _____ ☐	☐ Lack of Notification ☐ Poor Planning/Preparation ☐ Ineffective Coordination ☐ Other
4.			☐	Meeting Date: _____ ☐	☐ Lack of Notification ☐ Poor Planning/Preparation ☐ Ineffective Coordination ☐ Other
5.			☐	Meeting Date: _____ ☐	☐ Lack of Notification ☐ Poor Planning/Preparation ☐ Ineffective Coordination ☐ Other

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NUMBER 8.	POINTS – 10 TOTAL	YES ☐	NO ☐
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Community Organizations, Contractor Groups, Business Agency Offices (Local, State, Federal), Other Organizations:

Verification and evidence of utilization of the services of community organizations; contractors' groups; local, state and federal business assistance offices; and other organizations as allowed to provide assistance in the recruitment and placement of MSD-registered SBEs.

NOTE: For each SBE firm contacted, list the name(s) and all information requested below related to the above project. If additional space is required, this form may be duplicated.

Organization Name	Type of Service Organizations Solicited for Assistance in the Recruitment and Placement of SBEs	Verification and Evidence of Organization Assistance Provided?		Provide Evidence that the Organization Provided Assistance (Explain in detail why they <u>did</u> or <u>did not</u> and include all relevant supporting documentation)
		YES	NO	
1.		☐	☐	
2.		☐	☐	
3.		☐	☐	
4.		☐	☐	
5.		☐	☐	

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Bidders who do not meet the **MSD Economic Inclusion SBE** Construction Subcontracting Participation Goal of **35.0% must earn a minimum of seventy (70) points** in the categories outlined and described above on the "Good Faith Efforts Documentation," and they must be completed in their entirety for MSD to determine if adequate "Good Faith Efforts" (GFE) were demonstrated toward meeting the established SBE Subcontract Participation Goal, as described above.

I, _____, having been duly authorized to complete the foregoing SBE subcontractors' Good Faith Efforts Documentation, do hereby swear that all of the information provided in the SBE subcontractors' Good Faith Efforts Documentation was provided by me; that all of the statements contained in the SBE subcontractors' Good Faith Efforts Documentation and all attachments hereto are true, complete and accurate; and that I have not knowingly concealed or in any way falsified or misrepresented the summary sheets or status of:

I acknowledge that the following acts may constitute fraud and that if committed by me or any employee, member or principal of my company, may permanently disqualify my company from participation in MSD procurement or contract in accordance with the MSD Procurement Regulations and MSD Economic Inclusion Small Business Enterprise Program Policy and Procedures Manual:

- (1) Willfully and/or knowingly making a false or misleading statement, and whether by affidavit, or by oral or written report or other representation, to an MSD representative for the purpose of influencing MSD's acceptance/rejection of this Waiver Request.
- (2) Fraudulently obtaining, attempting to obtain or aiding another person or entity in fraudulently obtaining or attempting to obtain public monies or services, or an MSD-recognized SBE any community/nonprofit/service organization, etc. and/or any affiliate of such agency.

[This document shall be notarized by a Notary Public, in good standing.]

Name: _____ Title: _____ Signature: _____ Date: _____

State of: _____ County of: _____

The foregoing Waiver Request Form and Affidavit was acknowledged before me this ____ day of _____, 20__ by _____

[Name of Affiant]

as _____ of _____ as his/her voluntary and proper act and deed on behalf of the Company.
[Title] [Name of Company]

My Commission Expires: _____ Notary Public: _____

[SEAL] State of: _____

Notary ID#: _____