

MBE/WBE/SBE GOAL COMPLIANCE PLAN

Failure to complete this form in its entirety may result in your bid being deemed non-responsive.

(Page 1 of 3)

Bidder must achieve, or show good faith efforts to achieve, all goals. All sections of this form must be completed and returned as part of the bid. MBE/WBE firms that are also certified as SBEs may be used to achieve both the MBE/WBE goal and the SBE goal. Firms that are certified as both MBE and WBE will be counted towards the MBE goal and not the WBE goal. If you are not able to meet one or more of the stated goals, you must include the Application for SBE/MBE/WBE Program Waiver with your bid package.

Bidder must list the following information for **every** firm that will perform work, labor, render services, or provide materials as part of the contract or project, including certified MBE/WBE/SBE firms; non-certified small, minority-, or woman-owned firms; and any other firms. Bidder must also include any work to be self-performed and any work performed by a joint venture (JV) partner.

For projects under \$1 million, bidders must submit a completed Letter of Intent (LOI) for all subcontractors/suppliers listed in their bid package at the time of submission. For larger projects over \$1 million, bidders must include a completed LOI for all MBE/WBE/SBE subcontractors/suppliers listed in the Goal Compliance Plan at the time of submission. The LOI for all other subcontractors can be submitted after the time of submission, but before the contract is awarded. This applies to any subcontractors/suppliers that are substitutions or additions to the plan made after award and prior to the start of work.

Bidder must ensure that all firms whose participation is being counted towards the MBE, WBE, and SBE goals are certified as an MBE, WBE, or SBE with one of the certification agencies recognized by Hamilton County and are registered as a certified company with Hamilton County.

If you plan to perform 100% of the work yourself, you must submit the Goal Compliance Plan and indicate this in the self-performance section. In addition, you must successfully complete the the Application for Program Waiver by selecting the goals you would like to waive and signing and dating the Application for Program Waiver.

MBE/WBE/SBE GOAL COMPLIANCE PLAN

Failure to complete this form in its entirety may result in your bid being deemed non-responsive.

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Bid Number: _____

Project Title: _____

Total Bid Amount: _____

Bidder Name: _____

Primary Contact Name: _____

Bidder Address: _____

Bidder Email: _____

Bidder Phone: _____

Certification Type (if applicable):

MBE WBE SBE

Race/Ethnicity (if MBE): _____

Description of Self-Performed Work (if applicable):

Dollar Amount: _____

Percent of Total Bid: _____

STATED COMMITMENT TO MBEs/WBEs/SBEs

MBE goal stated in solicitation: _____

WBE goal stated in solicitation: _____

Total \$ amount committed to MBEs: _____

Total \$ amount committed to WBEs: _____

% total bid amount committed to MBEs: _____

% total bid amount committed WBEs: _____

SBE goal stated in solicitation: _____

Total \$ amount committed to SBEs: _____

% total bid amount committed to SBEs: _____

PARTICIPATING FIRMS

(Page 3 of 3)

Bidder should add additional firms using the same format as needed.

Company Name, Address, and Telephone Number	JV Partner, Subcontractor, or Supplier	Certification Type (MBE/WBE/SBE) *Select all that apply	Race/Ethnicity (if MBE)	Description of Work	Dollar Amount	Percent of Total Bid	EIED APPROVED *EIED use only
Name: Address: Phone:	<input type="checkbox"/> JV Partner <input type="checkbox"/> Subcontractor <input type="checkbox"/> Supplier	<input type="checkbox"/> MBE <input type="checkbox"/> WBE <input type="checkbox"/> SBE <input type="checkbox"/> N/A					
Name: Address: Phone:	<input type="checkbox"/> JV Partner <input type="checkbox"/> Subcontractor <input type="checkbox"/> Supplier	<input type="checkbox"/> MBE <input type="checkbox"/> WBE <input type="checkbox"/> SBE <input type="checkbox"/> N/A					
Name: Address: Phone:	<input type="checkbox"/> JV Partner <input type="checkbox"/> Subcontractor <input type="checkbox"/> Supplier	<input type="checkbox"/> MBE <input type="checkbox"/> WBE <input type="checkbox"/> SBE <input type="checkbox"/> N/A					
Name: Address: Phone:	<input type="checkbox"/> JV Partner <input type="checkbox"/> Subcontractor <input type="checkbox"/> Supplier	<input type="checkbox"/> MBE <input type="checkbox"/> WBE <input type="checkbox"/> SBE <input type="checkbox"/> N/A					
Name: Address: Phone:	<input type="checkbox"/> JV Partner <input type="checkbox"/> Subcontractor <input type="checkbox"/> Supplier	<input type="checkbox"/> MBE <input type="checkbox"/> WBE <input type="checkbox"/> SBE <input type="checkbox"/> N/A					

By signing below, the Bidder certifies that the information included in this form is accurate and complete to the best of their knowledge.

Signature: _____

Date: _____

Title: _____

Company: _____

HAMILTON COUNTY MBE/WBE/SBE PROGRAMS Application for Program Waiver

(Page 1 of 6)

At the time of bid submission, Bidders **that do not meet one or more of the MBE, WBE, or SBE goals** must request a waiver from achieving the MBE, WBE, and/or SBE goal(s) by documenting the Good Faith Efforts they made to achieve the goal(s) and document, with specificity, the Good Faith Efforts they made to achieve the goal(s). "Good Faith Efforts" means the efforts a bidder made to utilize MBEs, WBEs, and SBEs in response to the solicitation. Bidders that request a waiver must demonstrate they took reasonable steps to achieve the MBE/WBE/SBE goal(s) specified within the bid/RFP, and that the scope, intensity, and appropriateness of their efforts could reasonably be expected to result in MBE/WBE/SBE participation sufficient to achieve the goal(s), even if they were not successful in doing so. In considering waiver approval, among the totality of Good Faith Efforts bidders make, Hamilton County will consider the specific efforts the bidder made.

Bidders requesting a waiver must complete this form to document their Good Faith Efforts with specificity, or their bid will be deemed non-responsive. Every item marked on the checklist must have associated documentation in order to receive points.

HAMILTON COUNTY MBE/WBE/SBE PROGRAMS

Application for Program Waiver

(Page 2 of 6)

Bid/RFP Name: _____ Bid/RFP Number: _____

Bidder Name: _____ Bidder Address: _____

Primary Contact Name: _____

Bidder Phone: _____ Bidder Email: _____

Bidder is requesting a waiver for: (select all that apply)

MBE goal

WBE goal

SBE goal

In attempting to meet the projected goal(s), the bidder made the following good faith efforts:
Check all that apply. Minimum score required to establish "good faith" effort is 70 points.

Item	Points	Score (EIED USE ONLY)
• Respondent's attendance at pre-bid conference;	10	
• Advertisement in general circulation media, trade publications, and minority-focused media at least two (2) weeks before bids or proposals are due;	10	
• Tailored mailings to MBE/WBE/SBE firms notifying them of contracting opportunities at least two (2) weeks before bids or proposals are due;	10	
• Efforts made to select portions of the work proposed to be performed by MBE/WBE/SBE firms in order to increase the likelihood of achieving the stated goal(s);	10	
• Efforts to negotiate with MBE/WBE/SBE firms for specific sub-bids, including at a minimum: The names, addresses, and telephone numbers of MBE/WBE/SBE firms that were contacted; A description of the information provided to MBE/WBE/SBE firms regarding the plans and specifications for portions of the work to be performed and/or; A statement of why additional agreements with MBE/WBE/SBE firms were not reached.	15	
• If the respondent rejected any MBE/WBE/SBE firm(s) as unqualified, they must submit the reason(s) for this conclusion.	10	
• The respondent must also document technical assistance provided to the MBE/WBE/SBE firms in obtaining bonding or insurance required by the County.	15	
• Providing interested MBE/WBE/SBEs with prompt access to the plans, specifications, scope of work, and requirements of the contract.	10	
• Follow up to initial solicitations and copy of call logs.	10	
• Has a joint venture agreement or partnership for the contract with an MBE/WBE/SBE firm where the commercially useful function participation by the MBE/WBE must be 30% or greater.	15	
• Has a mentor-protégé agreement with an MBE/WBE/SBE firm for the contract.	10	
TOTAL		

Document the nature of Good Faith Efforts made to achieve participation with MBEs, WBEs, and SBEs, and attach copies of any documentation of those efforts, including copies of emails, written communications, advertisements, call logs, and outcomes of in-person/telephone negotiations.

Pre-bid and Pre-solicitation Meeting Attendance

List date, time, and location of pre-bid/pre-solicitation meetings attended for this solicitation. (EIED to verify attendance using sign-in sheets.)

Meeting Date	Meeting Time	Meeting Location

Advertisements

Provide the following information for each advertisement.

Newspaper/Publication Name	Date(s) on which ad was published

Attach copies of published advertisements.

Communication Efforts to MBE/WBE/SBEs

How many MBEs did you contact?

How many WBEs did you contact?

How Many SBEs did you contact?

Provide the following information for each contact made:

Name and Contact of MBE/WBE/SBE	Certification Type (MBE/WBE/SBE) *list all that apply	Scope of Work / Line of Work	Dates of Contact	Contact Method	Contract Plans / Requirements	Negotiation	Selected	Reasons for Outcome
Name: Phone: Email: Address:			Initial: Follow-up:		<input type="checkbox"/> Requested <input type="checkbox"/> Sent	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Name: Phone: Email: Address:			Initial: Follow-up:		<input type="checkbox"/> Requested <input type="checkbox"/> Sent	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Name: Phone: Email: Address:			Initial: Follow-up:		<input type="checkbox"/> Requested <input type="checkbox"/> Sent	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Name: Phone: Email: Address:			Initial: Follow-up:		<input type="checkbox"/> Requested <input type="checkbox"/> Sent	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Name: Phone: Email: Address:			Initial: Follow-up:		<input type="checkbox"/> Requested <input type="checkbox"/> Sent	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	

*Attach additional pages using the same format as necessary. **Attach copies of all correspondence.***

Assistance to MBE/WBE/SBEs (including bonding, insurance, financial equipment, or other resources)

Provide information below regarding any assistance provided to MBE/WBE/SBEs in obtaining bonding and insurance required for the solicitation.

Name and Contact of MBE/WBE/SBE	Certification Type (MBE/WBE/SBE) *list all that apply	Type of Assistance Provided
Name: Phone: Email: Address:		
Name: Phone: Email: Address:		
Name: Phone: Email: Address:		

Attach additional pages using the same format as necessary.

Segmenting Scope(s) of Work for MBE/WBE/SBE Participation

Describe efforts made to segment scope(s) of work to enable MBE/WBE/SBE participation.

Joint Venture Agreements with MBE/WBE/SBEs

List MBE/WBE/SBEs involved in the joint venture agreement.

Name and Contact of MBE/WBE/SBE	Certification Type (MBE/WBE/SBE) *list all that apply	Scope of Work	% of Total Bid
Name: Phone: Email: Address:			
Name: Phone: Email: Address:			
Name: Phone: Email: Address:			

Attach agreement documents for the joint venture agreement.

Mentor-Protégé Agreements with MBE/WBE/SBEs

List any mentor-protégé agreements with MBE/WBE/SBEs and provide supporting documentation.

Name and Contact of MBE/WBE/SBE	Certification Type (MBE/WBE/SBE) *list all that apply	Describe nature of mentor-protégé agreement
Name: Phone: Email: Address:		
Name: Phone: Email: Address:		

By signing below, the Bidder agrees that the information included in this form is accurate and complete to the best of their knowledge:

Signature: _____

Printed Name: _____

Title/Position: _____

Date: _____

FOR EIED USE ONLY

Application for Program Waiver approved:

Yes No

If no, provide reasons for rejection:

Director of EIED Signature: _____ **Date:** _____

Letter of Intent (LOI) Between Prime Contractor and Subcontractor/Supplier

(Page 1 of 3)

The following Letter of Intent (LOI) is to be used by Prime Contractors and their subcontractors/suppliers. For projects under \$1 million, signed and notarized LOIs between Bidder and all subcontractors/supplies must be included in their Goal Compliance Plan at the time of submission. For larger projects above \$1 million, bidders must submit a completed LOI for all MBE/WBE/SBE subcontractors/suppliers listed in the Goal Compliance Plan at the time of submission. The LOI for all other subcontractors can be submitted after the time of submission, but before the contract is awarded. Submit a separate form for each distinct subcontractor/supplier.

Any changes to the MBE/WBE/SBE Goal Compliance Plan, including substitution or addition of an MBE/WBE/SBE subcontractor/supplier must be submitted to the Contract Administrator and approved by Hamilton County's Director of Economic Inclusion (EIED). LOIs must be submitted prior to the start of work for changes of MBE/WBE/SBEs stated in the Goal Compliance Plan.

Letter of Intent (LOI) Between Prime Contractor and Subcontractor/Supplier

(Page 2 of 3)

Prime Contractor: _____

Address: _____

City: _____ State: _____ Zip: _____

Telephone: _____ Fax: _____ Proposed Contract Amount: \$ _____

Project Solicitation Number: _____

Project Name: _____

Type of Agreement: _____
(Lump Sum/Unit Price/Commodity/Professional Service)

Period of Performance: _____

Name of Subcontractor/Supplier: _____

Certification Type (select all that apply): MBE WBE SBE N/A

Address: _____

City: _____ State: _____ Zip: _____

Telephone: _____ Fax: _____ Proposed Contract Amount: \$ _____

Description of work to be performed under Subcontract:

By signing below, the Prime Contractor and the subcontractor/supplier agree that they intend to enter into a contract by which the Prime Contractor agrees to pay the contract amount and the subcontractor/supplier agrees to perform the work described herein.

Prime Contractor: _____

Name of Firm: _____

By: _____ Title: _____
(Signature)

Print Name: _____ Date: _____

Subcontractor/Supplier: _____

Name of Firm: _____

By: _____ Title: _____
(Signature)

Print Name: _____ Date: _____

STATE OF _____

COUNTY OF _____

SUBSCRIBED AND SWORN TO before me on the _____ day of _____, 20____

Notary Public _____

Printed Name of Notary _____

Letter of Intent (LOI) Between Prime Contractor and Subcontractor/Supplier

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Prime Contractor: _____

Address: _____

City: _____ State: _____ Zip: _____

Telephone: _____ Fax: _____ Proposed Contract Amount: \$ _____

Project Solicitation Number: _____

Project Name: _____

Type of Agreement: _____
(Lump Sum/Unit Price/Commodity/Professional Service)

Period of Performance: _____

Name of Subcontractor/Supplier: _____

Certification Type (select all that apply): MBE WBE SBE N/A

Address: _____

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Telephone: _____ Fax: _____ Proposed Contract Amount: \$ _____

Description of work to be performed under Subcontract:

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Prime Contractor: _____

Name of Firm: _____

By: _____ Title: _____
(Signature)

Print Name: _____ Date: _____

Subcontractor/Supplier: _____

Name of Firm: _____

By: _____ Title: _____
(Signature)

Print Name: _____ Date: _____

STATE OF _____

COUNTY OF _____

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Address: _____

City: _____ State: _____ Zip: _____

Telephone: _____ Fax: _____ Proposed Contract Amount: \$ _____

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Project Name: _____

Type of Agreement: _____
(Lump Sum/Unit Price/Commodity/Professional Service)

Period of Performance: _____

Name of Subcontractor/Supplier: _____

Certification Type (select all that apply): MBE WBE SBE N/A

Address: _____

City: _____ State: _____ Zip: _____

Telephone: _____ Fax: _____ Proposed Contract Amount: \$ _____

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Prime Contractor: _____

Name of Firm: _____

By: _____ Title: _____
(Signature)

Print Name: _____ Date: _____

Subcontractor/Supplier: _____

Name of Firm: _____

By: _____ Title: _____
(Signature)

Print Name: _____ Date: _____

STATE OF _____

COUNTY OF _____

SUBSCRIBED AND SWORN TO before me on the _____ day of _____, 20____

Notary Public _____

Printed Name of Notary _____

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Address: _____

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Telephone: _____ Fax: _____ Proposed Contract Amount: \$ _____

Project Solicitation Number: _____

Project Name: _____

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(Lump Sum/Unit Price/Commodity/Professional Service)

Period of Performance: _____

Name of Subcontractor/Supplier: _____

Certification Type (select all that apply): MBE WBE SBE N/A

Address: _____

City: _____ State: _____ Zip: _____

Telephone: _____ Fax: _____ Proposed Contract Amount: \$ _____

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Prime Contractor: _____

Name of Firm: _____

By: _____ Title: _____
(Signature)

Print Name: _____ Date: _____

Subcontractor/Supplier: _____

Name of Firm: _____

By: _____ Title: _____
(Signature)

Print Name: _____ Date: _____

STATE OF _____

COUNTY OF _____

SUBSCRIBED AND SWORN TO before me on the _____ day of _____, 20____

Notary Public _____

Printed Name of Notary _____

NEWSPAPER ADVERTISEMENT

SUBCONTRACTOR CALL LOG

Subcontractor	MBE/WBE/SBE Certification?	Address	Phone Number	First Call Date	Second Call Date
MBE Demolition Company	MBE	321 Willow St, Cincinnati, OH 45202	(513)666-6666	1/26/2024	1/30/2024
MBE Construction Subcontractor	MBE	456 Maple St, Cincinnati, OH 45202	(513)222-2222	1/26/2024	
WBE Construction Subcontractor	WBE	789 Oak St, Cincinnati, OH 45202	(513)333-3333	1/26/2024	
SBE Demolition Subcontractor	SBE	100 Pine St, Cincinnati, OH 45202	(513)444-4444	1/26/2024	

Sample Good Faith Efforts supporting documentation of emails from Prime Contractor to Subcontractor

To: MBE Construction Subcontractor

From: Prime Contractor

Date: 1/26/2023

Re: Invitation to Quote for Example Construction Project

Your invitation to quote here including the description of work and/or plans and specifications for portions of work requested to be performed.

To: MBE Demolition Subcontractor

From: Prime Contractor

Date: 1/26/2023

Re: Invitation to Quote for Example Construction Project

Your invitation to quote here including the description of work and/or plans and specifications for portions of work requested to be performed.

To: WBE Construction Subcontractor

From: Prime Contractor

Date: 1/26/2023

Re: Invitation to Quote for Example Construction Project

Your invitation to quote here including the description of work and/or plans and specifications for portions of work requested to be performed.

To: SBE Demolition Subcontractor

From: Prime Contractor

Date: 1/26/2023

Re: Invitation to Quote for Example Construction Project

Your invitation to quote here including the description of work and/or plans and specifications for portions of work requested to be performed.