

DISADVANTAGED BUSINESS ENTERPRISE (DBE) OFFICE
Birmingham Airport Authority

DOCUMENTATION OF GOOD FAITH EFFORTS FORM

(To be completed and submitted with the Schedule of Contract Participation if the goal is not met.)

DBE Good Faith Effort Documentation

The intent of this form is to document the good faith effort attempts made by the apparent low bidder in soliciting DBE firms to meet the DBE project goal. Please note that the project goal will not be waived, and the contractor must make efforts to achieve the goal throughout the life of the contract.

Every work type where there is a certified DBE, the apparent low bidder must submit the form as follows:

- 1 available DBE – must contact 1 DBE
- 2-5 available DBEs – must contact 3 DBEs minimum
- 6-7 available DBEs – must contact 4 DBEs minimum
- 8-9 available DBEs – must contact 5 DBEs minimum
- 10 or more available DBEs – must contact 6 DBEs minimum

The prime contractor understands that a determination of good faith effort to meet the contract goal is contingent on both the information provided by the prime contractor in the attachment forms to this application and the other factors listed in Appendix A, of Title 49 CFR Part 26, as those factors are applicable with respect to this solicitation. The prime contractor acknowledges that the determination of good faith effort is made by the Birmingham Airport Authority and the Disadvantaged Business Enterprise Liaison Officer (DBELO), in keeping with federal requirements.

Date Submitted: _____
State Project Number: _____
Contractor Name: _____
Address: _____
City: _____ State: _____ Zip Code: _____
Contact Person: _____ Telephone Number: _____
Email Address: _____

Project Goal Percentage: _____
Commitment Percentage: _____
Unattained Percentage: _____

I certify that the information contained in this good faith effort documentation form is true and correct to the best of my knowledge. I further understand that any willful falsification, fraudulent statement or misrepresentation will result in appropriate sanctions which may involve debarment and/or prosecution under applicable State and Federal laws.

Bidder/Authorized Representative Signature: _____

Title: _____
Date: _____

Examples of Good Faith Effort Documentation

The following is a list of types of actions a bidder should take when documenting good faith efforts. This list is not intended to be exclusive or exhaustive, nor are all the actions mandatory. Other factors or types of efforts may be relevant in appropriate cases.

SOLICITATION /ADVERTISEMENT EFFORTS - should include your efforts to solicit quotes, through all reasonable and available means, the interest of all certified firms who have the capability to perform the work of the contract. The bidder should ensure that the requests are made with sufficient time to allow DBE firms to respond. The contractor should take the initiative to contact firms which have indicated an interest in participating as a subcontractor/supplier.

NEGOTIATION EFFORTS - should include your efforts to make a portion of the project work available consistent with the availability and capabilities of our DBE firms in order to facilitate DBE participation. You are encouraged to break out contract work items into smaller economically feasible subcontracts to ensure DBE participation. As a part of your negotiation you should make plans/specifications available to the DBE firms which have shown an interest in participating. When negotiating with DBE firms a contractor should use good business judgment by considering price and capability, as well as, project goals. A contractor is not expected to accept a price that is not reasonable and is excessive. Comparison figures should accompany your good faith effort submittal which supports the price differential.

ASSISTANCE EFFORTS - should include your efforts to assist DBE firms in obtaining bonding, lines of credit, insurance, equipment, materials, supplies or other project related assistance. Contractors are encouraged to assist firms with independently securing/obtaining these resources. A contractor may not provide these resources to the DBE firm, except in certain instances where joint checks are permissible with DOTD's prior approval. The level of assistance should be limited to referral sources, introductions, and making initial contacts with industry representatives on the DBE firm's behalf.

ADDITIONAL EFFORTS - could include any additional efforts to utilize the services of minority/women organizations, groups; local, state and federal business offices which provide assistance in the recruitment and placement of DBE firms. Utilizing the services offered by the department's DBE supportive services consultant for assistance with advertisement and recruitment efforts. Contractors are encouraged to undertake and document any other efforts taken in their attempt to fulfill the project goal.



DISADVANTAGED BUSINESS ENTERPRISE (DBE) OFFICE
Birmingham Airport Authority

Contact the DBE Office for questions on completing this form. Via
Email: rveney@flybhm.com,
Phone: 205-599-0568

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(To be completed and submitted with the Schedule of Contract Participation if the goal is not met.)

Prior to award of a Birmingham Airport Authority (BAA) contract, Good Faith Efforts (GFE) are required to be made and demonstrated on all applicable BAA contracts. If you have not attained the amount of DBE participation to meet the contract goal, you are required to complete and submit this Documentation of Good Faith Efforts Form, along with all required supporting GFE documentation.

BIDDERS: *This completed form, along with all required supporting documentation, must be submitted along with the Schedule of Contract Participation by the apparent lowest bidder or upon request. Should the bidder fail to comply with this request, the bid shall be considered non-responsive.*

RESPONDENTS: *This completed form, along with all required supporting documentation, must be submitted along with the Schedule of Contract Participation. Should the respondent fail to comply with this request, the proposal shall be considered non-responsive.*

RFP / RFQ / Bid / Solicitation / Other # _____ Bid / Proposal Amount: \$ _____ Date: ____ / ____ / ____

Project Title: _____

_____ has satisfied the requirements of the bid/proposal specifications for the above
Name of Bidder/Respondent Firm

BID / RFP / RFQ or solicitation by the BAA in the following manner: *(Please, check the appropriate box.)*

- The Bidder / Respondent is unable to meet the DBE contract goal and has completed and submitted DBE Documentation of Good Faith Efforts Form, along with all required supporting GFE documentation.
- The Bidder / Respondent is unable to meet the DBE contract goal, however is committed to a minimum of _____% DBE utilization on this contract and has completed and submitted Documentation of Good Faith Efforts Form, along with all required supporting GFE documentation.

I HEREBY CERTIFY THAT THE INFORMATION CONTAINED HEREIN IS TRUE AND CORRECT.

PRINTED NAME: _____ SIGNATURE: _____, TITLE _____

Instructions: Please, complete **sections A through D**, and include all specific supporting documentation, as outlined below. Attach additional pages, if necessary.

- SPECIFIC PORTIONS OF WORK IDENTIFIED FOR DBE SUBCONTRACTOR: Complete section A.
- NOTIFYING CERTIFIED DBEs OF CONTRACTING OPPORTUNITIES: Please, attach a copy of the announcement and written notices distributed to DBEs. Example: Newspaper, e-mail, mail correspondence, and community outreach notices, etc.
- INITIAL SOLICITATION & FOLLOW-UP OF INITIAL SOLICITATION: Bidders/Respondents may only solicit from the ALDOT DBE directory located at cpmsapps2.dot.state.al.us/alucp/home
- NEGOTIATE IN GOOD FAITH: Please, provide a copy of all correspondence documenting negotiation efforts including written rejection notices and copies of DBE and non-DBE quotes.

A. SPECIFIC PORTIONS OF WORK IDENTIFIED FOR DBE SUBCONTRACTOR: Please list all selected scopes or portions of work to be performed by DBEs in order to increase the likelihood of meeting the contract goal for this project and the estimated value of each scope or portions of work identified.

	Scope or Portions of Work Identified for DBE Participation	Estimated Value	% of Contract Value
1		\$	
2		\$	
3		\$	
4		\$	
5		\$	
6		\$	
7		\$	
8		\$	
9		\$	
10		\$	
11		\$	
12		\$	
13		\$	
14		\$	
15		\$	
	TOTALS	\$	

B. NOTIFYING CERTIFIED DBEs OF CONTRACTING OPPORTUNITIES: Please complete all fields below, list all sources of advertisement and outreach to DBE subs.

I. Did you post a solicitation for this bid on the FAA Matchmaker System? (<https://faa.dbesystem.com>)?

YES	NO	Date of Submission
<input type="checkbox"/>	<input type="checkbox"/>	
<input type="checkbox"/>	<input type="checkbox"/>	

II. Identify publications in which announcements or notifications were placed and published. Include a copy of each announcement or notification.

Source of Advertising/Outreach	What subcontracting areas of work were advertised?	Date of Ad	Due Date & Time for Sub Bids		BAA VERIFICATION
			Date	Time	
1					
2					
3					
4					
5					

C. INITIAL SOLICITATION & FOLLOW-UP: Please complete all fields below, list all certified DBE firms that received written notification of work items to be subcontracted. In the appropriate space, also indicate when firms received subsequent telephone, or email (with deliver, read receipts and certified firm's response) solicitations. Include copies of the written notice(s) sent to certified firms.

DBE FIRM & CONTACT	PHONE	Scope of Work Solicited	Date of Written Notification	Result of Initial Communication	Date of Follow-up and Method of Contact (Phone, Fax, E-mail)		Result of Follow-up Communication
<i>Ex. ABC Company /Jane Smith</i>	<i>(504) 123-4567</i>	<i>Legal services</i>	<i>01/01/14</i>	<i>Will submit a quote</i>	<i>01/10/14</i>	<i>e-mail</i>	<i>Quote received</i>
1							
2							
3							
4							
5							
6							
7							
8							
9							
10							
11							
12							

DBE FIRM & CONTACT	PHONE	Scope of Work Solicited	Date of Written Notification	Result of Initial Communication	Date of Follow-up and Method of Contact (Phone, Fax, E-mail)		Result of Follow-up Communication
<i>Ex. ABC Company /Jane Smith</i>	<i>(504) 123-4567</i>	<i>Legal services</i>	<i>01/01/14</i>	<i>Will submit a quote</i>	<i>01/10/14</i>	<i>e-mail</i>	<i>Quote received</i>
13							
14							
15							
16							
17							
18							
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29							
30							

D. NEGOTIATE IN GOOD FAITH: Provide an explanation for any rejected DBE bid or price quotation, unless another DBE is accepted for the same work, as follows:

- I. Where price competitiveness is not the reason for rejection, complete all fields below and provide a copy of the written rejection notice including the reason for rejection to the rejected DBE firm. A meeting may be held with the rejected DBEs, if requested, to discuss the rejection.

DBE Subcontractor	Scope	Date rejection notice sent	Reason	Meet with DBE Sub?		
				Yes	No	Not requested
1				<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2				<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3				<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4				<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5				<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6				<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7				<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8				<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

- II. Where price competitiveness is the reason for rejection, complete all fields below, and attach copies of all DBE and non-DBE bid quotes.

DBE Subcontractor	Scope	Quote	Non DBE Subcontractor	Scope	Quote	Price Variance (+/-)
1		\$	1		\$	%
2		\$	2		\$	%
3		\$	3		\$	%
4		\$	4		\$	%
5		\$	5		\$	%
6		\$	6		\$	%
7		\$	7		\$	%
8		\$	8		\$	%