

APPENDIX K

SDB-1
INSTRUCTIONS FOR COMPLETING THE SMALL DIVERSE BUSINESS (SDB)
PARTICIPATION SUBMITTAL AND SDB UTILIZATION SCHEDULE

PLEASE READ BEFORE COMPLETING THESE DOCUMENTS

The following instructions include details for completing the SDB Participation Submittal, which Applicants must submit in order to be considered responsive.

This form also includes instructions for completing the SDB Utilization Schedule, which Applicants must submit for any portion of the SDB participation goal the Applicant commits to meeting.

An Applicant's failure to meet the SDB participation goal in full or receive an approved Good Faith Efforts waiver for any unmet portion of the SDB participation goal will result in the rejection of the application as nonresponsive.

I. SDB Participation Goal: The SDB participation goal is set forth in the **SDB Participation Summary Sheet (Appendix J to the RFA)**. The SDB participation goal applies only to the administrative portion of the PMPM rate. The Applicant is encouraged to use a diverse group of subcontractors and suppliers from the SDB classifications to meet the SDB participation goal.

II. SDB Eligibility:

1. Finding SDB firms: The directory of **DGS-verified** SDB firms can be accessed from the DGS Supplier Search directory at: <http://www.dgs.internet.state.pa.us/suppliersearch>.
2. **Only SDBs verified by DGS** as defined herein will be counted for purposes of achieving the SDB participation goal. In order to be counted for purposes of achieving the SDB participation goal, the SDB firm, including an SDB prime, must be DGS-verified for the services, materials or supplies that it is committed to perform on the SDB Utilization Schedule (Form SDB-3). A firm whose SDB verification is pending or incomplete as of the application due date and time shall not be counted. Self-certified Small Businesses that do not have their SDB verification as of the application due date and time cannot be used to meet the SDB participation goal.
3. SDB Requirements: To be considered an SDB, a firm must be a **DGS-verified** small minority business enterprise (MBE), woman business enterprise (WBE), LGBT business enterprise (LGBTBE), Disability-owned business enterprise (DOBE), or other small business as approved by DGS, that is owned and controlled by a majority of persons, not limited to members of minority groups, who have been deprived of the opportunity to develop and maintain a competitive position in the economy because of social disadvantages.

Additional information on the DGS verification process can be found at:

<https://www.dgs.pa.gov/Small%20Diverse%20Business%20Program/Pages/default.aspx>

SDB-1
INSTRUCTIONS FOR COMPLETING THE SMALL DIVERSE BUSINESS (SDB)
PARTICIPATION SUBMITTAL AND SDB UTILIZATION SCHEDULE

4. Participation by SDB firms as prime Applicant or subcontractors. An Applicant that qualifies as an SDB and submits an application as a prime is not prohibited from being included as a subcontractor in applications submitted by other Applicants. An SDB may be included as a subcontractor with as many primes as it chooses in separate applications.
5. Questions about SDB verification. Questions regarding the SDB program, including questions about the self-certification and verification processes can be directed to:

Department of General Services
Bureau of Diversity, Inclusion and Small Business Opportunities (BDISBO)
Room 611, North Office Building
Harrisburg, PA 17125
Phone: (717) 783-3119
Fax: (717) 787-7052
Email: RA-BDISBOVerification@pa.gov
Website: www.dgs.pa.gov

III. Guidelines Regarding SDB Prime Self-Performance.

1. An SDB firm participating as a prime may receive credit towards the SDB Participation goal established for the procurement through its own self-performance.

Example: A solicitation has a 15% SDB participation goal. An SDB prime Applicant self-performing administrative work valued at only 10% of the administrative PMPM must still satisfy the remaining 5% SDB participation goal through subcontracting or must request a Good Faith Efforts Waiver for the unmet portion of the SDB participation goal.

2. For an SDB prime Applicant to receive credit for self-performance, the SDB prime Applicant must list itself in the **SDB Utilization Schedule** (Form SDB-3).
3. The SDB prime Applicant must also include the classification category (MBE, WBE, LGBTBE, or DOBE) under which it is self-performing and include information regarding the work it will self-perform. For any portion of the SDB participation goal not met through the SDB prime Applicant's self-performance, the SDB Applicant must also identify on the **SDB Utilization Schedule** (Form SDB-3) the other SDB subcontractors, or suppliers it will use to meet the unmet portion of the goal or must request a Good Faith Efforts waiver.

IV. Calculating SDB participation

1. SDB subcontractors. An SDB subcontractor, through its own employees, shall perform at least 50% of the amount of the subcontract. 100% of the total subcontract amount shall be counted towards the SDB participation goal.

SDB-1
INSTRUCTIONS FOR COMPLETING THE SMALL DIVERSE BUSINESS (SDB)
PARTICIPATION SUBMITTAL AND SDB UTILIZATION SCHEDULE

V. Additional Required Documentation.

1. An Applicant must complete and submit a separate **SDB Participation Submittal** and accompanying required documentation for EACH Zone for which it is submitting an application. Each separate **SDB Participation Submittal** and accompanying required documentation must be labeled to identify the Zone to which it applies. For each Zone for which an application is submitted, the Applicant must submit along with its **SDB Participation Submittal** (Form SDB-2) a **letter of commitment (LOC)** (Form SDB-4) for each subcontractor included in its submitted **SDB Utilization Schedule** (Form SDB-3). At a minimum, each **LOC** must contain the following unless otherwise specified by the solicitation documents:
 - a. The fixed numerical percentage commitment of the Administrative PMPM made to the SDB;
 - b. A description of the services or supplies the SDB will provide;
 - c. The timeframe during the initial term and any extensions when the SDB will perform or provide the services or supplies;
 - d. The name and telephone number of the Applicant's point of contact for SDB participation;
 - e. The name, address, and telephone number of the primary contact person for the SDB; and
 - f. Signatures of representatives of both the Applicant and the SDB subcontractor authorized to contractually bind their firm.

VI. Document Submittal Errors.

1. **Fatal errors.** The following errors will result in rejection of an application as non-responsive:
 - a. Failure to submit a completed **SDB Participation Submittal** (Form SDB-2);
 - b. Failure to submit an **SDB Utilization Schedule** (Form SDB-3), unless the Applicant is seeking a complete Good Faith Efforts waiver;
 - c. Failure to list **DGS-verified** SDBs that will be used to meet the SDB participation goal;

Example: An Applicant lists a subcontractor that possesses a third-party certificate issued by one of the DGS-approved third party certifying entities; however, the subcontractor did not complete its DGS SDB verification as of the application due date and time. The Applicant does not receive credit for any

SDB-1
**INSTRUCTIONS FOR COMPLETING THE SMALL DIVERSE BUSINESS (SDB)
PARTICIPATION SUBMITTAL AND SDB UTILIZATION SCHEDULE**

commitments made to the subcontractor. The Applicant cannot cure this error. Unless the Applicant's remaining SDB commitments meet or exceed the SDB participation goal, the application must be rejected as non-responsive.

- d. Failure to submit a **Good Faith Efforts waiver request** when not meeting, in full, the SDB participation goal.

2. **Potentially curable errors.** The Department and BDISBO will provide Applicants 72 hours to provide clarifications or to correct errors not listed as fatal errors above. In the event that the additionally submitted information does not adequately address the error, the application is subject to rejection. **Applicants are not permitted to add additional SDBs or make material changes during clarifications and corrections to meet the SDB Participation Goal.**

3. **Applications for Multiple Zone.** Failure to submit an **SDB Participation Submittal** (Form SDB-2) and accompanying required documentation for a Zone will result in the rejection of the application for the Zone(s) for which an **SDB Participation Submittal** (Form SDB-2) and required documentation was not submitted.

SDB-2
SDB PARTICIPATION SUBMITTAL

Applicant: _____
HealthChoices Zone: _____

CHECK ONE, AND ONLY ONE, BOX. FAILURE TO SUBMIT A COMPLETED SDB PARTICIPATION SUBMITTAL WILL RESULT IN REJECTION OF YOUR APPLICATION.

I agree to meet the SDB participation goal in full.

I have completed and am submitting with my application an **SDB Utilization Schedule (SDB-3)** and required documentation, which is required to be considered for BAFO and award.

I am requesting a partial waiver of the SDB participation goal.

After making good faith outreach efforts as more fully described in the **Guidance for Documenting Good Faith Efforts to Meet the SDB Participation Goal** (Form SDB-5), I am unable to achieve the total SDB participation goal for this solicitation and am requesting a partial waiver of the SDB participation goal.

I have completed and am submitting with my application the following, which are required to be considered for BAFO and award:

1. an **SDB Utilization Schedule (SDB-3)** for that portion of the SDB participation goal that I will meet; AND
2. a **Good Faith Efforts Waiver Request** for any portion of the SDB participation goals that I fail to meet.

I am requesting a full waiver of the SDB participation goal

After making good faith outreach efforts as more fully described in the **Guidance for Documenting Good Faith Efforts to Meet the SDB Participation Goal** (Form SDB-5), I am unable to achieve any part of the SDB participation goal for this solicitation and am requesting a full waiver of the SDB participation goal.

I have completed and am submitting with my application a **Good Faith Efforts Waiver Request** for the complete SDB participation goal, which is required to be considered for BAFO and award.

NOTE: SDB primes who are submitting must complete an **SDB Utilization Schedule (SDB-3)** identifying any self-performance towards the SDB participation goal.

SDB-3
SDB UTILIZATION SCHEDULE

List in the chart below SDBs (including where applicable a prime Applicant self-performing a portion of the work) that will be used to meet the SDB participation goal (add additional pages if necessary). Please see first line for an example of the required information. In the first Agreement year, each SDB participation commitment listed below, and the total percentage of the SDB participation commitment, will become obligations of the selected Applicant’s Agreement. In the second and subsequent years of the Agreement, the total percentage of the SDB participation commitment will become an obligation of the selected Applicant’s Agreement and the selected Applicant will be required to utilize the SDBs listed below; however, the selected Applicant will be permitted to add additional SDBs to meet their total percentage of SDB participation commitment.

Submit a Letter of Commitment for each SDB subcontractor.

SDB Name SAP Vendor Number (6-digit number provided by SDB) SDB Verification Number (located on DGS SDB verification)	Type of SDB (check all that apply)	Description of Work to be Performed (Statement of Work/Specification reference)	% Commitment for the first Agreement year (or % of work to be self-performed by SDB Applicant)
Name: <u>ABC IT Solutions</u> SAP Vendor Number: <u>123456</u> SDB Verification Number: <u>123456-2016-09-SB-M</u>	MBE	IT staffing resources	X%
Name: SAP Vendor Number: SDB Verification Number:	<input type="checkbox"/> MBE <input type="checkbox"/> WBE <input type="checkbox"/> LGBTBE <input type="checkbox"/> DOBE		
Name: SAP Vendor Number: SDB Verification Number:	<input type="checkbox"/> MBE <input type="checkbox"/> WBE <input type="checkbox"/> LGBTBE <input type="checkbox"/> DOBE		
Name: SAP Vendor Number: SDB Verification Number:	<input type="checkbox"/> MBE <input type="checkbox"/> WBE <input type="checkbox"/> LGBTBE <input type="checkbox"/> DOBE		

SDB-3
SDB UTILIZATION SCHEDULE

Name: SAP Vendor Number: SDB Verification Number:	<input type="checkbox"/> MBE <input type="checkbox"/> WBE <input type="checkbox"/> LGBTBE <input type="checkbox"/> DOBE		
			Total % SDB commitment: _____

SDB-4
LETTER OF COMMITMENT

This Letter of Commitment serves as confirmation of the commitment by the Applicant to utilize the Small Diverse Businesses (SDB) on the below-referenced Project.

Solicitation Number: _____
Solicitation Name: _____
HealthChoices Zone: _____

	Applicant Information	SDB Information
Name		
Address		
Point of Contact		
Telephone number		
Email address		

Services and Time Frame. If Applicant is the selected PH-MCO, the SDB shall perform or provide the following administrative services during the initial term of the Agreement and during any extensions, as more specifically set forth below:

Services the SDB will provide: _____

Specific Time Frame the SDB will provide the services or supplies: _____

Percentage Commitment. These services or supplies represent ____% of the Administrative PMPM for the first year of the Agreement. Applicant agrees to utilize the SDB during the second and subsequent years of the Agreement at a percentage of the Administrative PMPM to be determined upon Agreement amendment.

SDB verified. The SDB represents that it meets the SDB requirements set forth in the Solicitation and all required documentation has been provided to the Applicant for its SDB submission.

Sincerely,

Acknowledged

Printed name

Printed name

Signature
Applicant Point of Contact Name

Signature
SDB Point of Contact Name

SDB-5

GUIDANCE FOR DOCUMENTING GOOD FAITH EFFORTS TO MEET THE SMALL DIVERSE BUSINESS (SDB) PARTICIPATION GOAL

In order to show that the Applicant is responsive and responsible in meeting the SDB participation goal, the Applicant must either (1) meet the SDB participation goal set forth in RFA Appendix J Small Diverse Business Participation Summary Sheet and document its commitments for participation of SDB firms, or (2) establish to the Department's and BDISBO's satisfaction that it made a Good Faith Effort to meet the goal. If an Applicant does not meet the SDB participation goal, it must submit a Good Faith Efforts waiver request as set forth in Section IV below and the Good Faith Efforts Documentation to Support Waiver Request of SDB Participation Goal. The Department and BDISBO will review this information and determine whether to approve the waiver request.

I. Definitions

SDB participation goal – “SDB participation goal” refers to the SDB participation goal set for a procurement for MBE, WBE, LGBTBE, and DOBE utilization and is listed in RFA Appendix J Small Diverse Business Participation Summary Sheet. For this Solicitation, the SDB participation goal is based on a percentage of the administrative PMPM.

Good Faith Efforts - The “Good Faith Efforts” requirement means that when requesting a waiver, the Applicant must demonstrate that it took all necessary and reasonable steps to achieve the SDB participation goal. Those steps are considered necessary and reasonable when their scope, intensity, and relevance could reasonably be expected to obtain sufficient SDB participation, even if those steps were not fully successful. The Department and DGS BDISBO will determine whether or not the Applicant that requests a Good Faith Efforts waiver made adequate Good Faith Efforts by considering the quality, quantity, and intensity of the Applicant's efforts. Mere *pro forma* efforts are not Good Faith Efforts to meet the SDB participation requirements. The determination concerning the sufficiency of the Applicant's Good Faith Efforts will be based on the Department's and BDISBO's experience and knowledge of both the HealthChoices and SDB programs.

Identified Items of Work – All reasonably identifiable administrative work opportunities for performance by SDBs.

Identified SDBs – All of the SDBs the Applicant identified as available to perform the Identified Items of Work. This should include all DGS-verified SDBs that can be reasonably identified.

SDB – “SDB” refers to Minority Business Enterprises (MBE), Women Business Enterprises (WBE), Disability-Owned Business Enterprises (DOBE), and LGBT-Owned Business Enterprises (LGBTBE) verified by BDISBO.

II. Types of Actions the Department and BDISBO will Consider

The following is a list of types of actions the Department and BDISBO will consider as part of the Applicant's Good Faith Efforts when the Applicant fails to meet, in full or in part, the SDB participation goal. This list is not intended to be a mandatory checklist, nor is it intended to be exclusive or exhaustive. Other factors or types of efforts may be relevant in appropriate cases.

A. Identify Items as Work for SDBs

1. Identified Items of Work

SDB-5

GUIDANCE FOR DOCUMENTING GOOD FAITH EFFORTS TO MEET THE SMALL DIVERSE BUSINESS (SDB) PARTICIPATION GOAL

- (a) Applicants should reasonably identify sufficient items of administrative work that can be performed by SDBs.
- (b) Where appropriate, Applicants should break out administrative work items into economically feasible units to facilitate SDB participation, rather than perform these work items with their own forces. **The ability or desire of an Applicant to perform the work with its own organization does not relieve the Applicant of the responsibility to make Good Faith Efforts to meet the SDB participation goal.**

B. Identify SDBs to Solicit

1. Identified SDBs

- (a) Applicants should reasonably identify the SDBs that are available to perform the Identified Items of Work.
- (b) Any SDBs identified as available by the Applicant must be certified to perform the Identified Items of Work.

C. Solicit SDBs

- 1. Applicants should solicit all Identified SDBs for all Identified Items of Work by providing written notice to the Identified SDBs. The Applicant should:
 - (a) provide the RFA to the Identified SDBs at least 10 calendar days prior to application due date to allow sufficient time for the Identified SDB to respond;
 - (b) send the RFA by first-class mail, facsimile, or e-mail using contact information in the BDISBO Directory, unless the Applicant has a valid basis for using different contact information; and
 - (c) provide adequate information about the plans, specifications, anticipated time schedule for portions of the administrative work to be performed by the Identified SDB, and other requirements of the Agreement to assist Identified SDBs in responding. (This information may be provided by including hard copies with the RFA or by electronic means as described in C.3 below.)
- 2. “All” Identified SDBs include any SDB Firms the Applicant identifies as potentially available to perform the Identified Items of Work, but it does not include Identified SDBs who are no longer certified to perform the work as of the date the Applicant provides the RFA.
- 3. “Electronic Means” includes, for example, information provided *via* a website or file transfer protocol (FTP) site containing the plans, specifications, and other requirements of the Agreement. If an interested SDB cannot access the information provided by electronic means, the Applicant must make the information available in a manner that is accessible to the interested SDB.

SDB-5

GUIDANCE FOR DOCUMENTING GOOD FAITH EFFORTS TO MEET THE SMALL DIVERSE BUSINESS (SDB) PARTICIPATION GOAL

4. Follow up on initial written notice by contacting Identified SDBs to determine their interest. The follow up contact may be made:
 - (a) by telephone using the contact information in BDISBO's Directory, unless the Applicant has a valid basis for using different contact information; or
 - (b) in writing *via* a method that differs from the method used for the initial written notice.
5. In addition to the written notice set forth in C.1 and the follow up required in C.4, use all other reasonable and available means to solicit the interest of Identified SDBs certified to perform the work. Examples of other means include:
 - (a) attending any Supplier Forums, or the Pre-Application conference at which SDBs will be informed of subcontracting opportunities; and
 - (b) if recommended by the procurement, advertising with or effectively using the services of at least two diversity-focused entities or media, including trade associations, minority/women/disability/LGBT community organizations, minority/women/disability/LGBT contractors' groups, and local, state, and federal minority/women/disability/LGBT business assistance offices.

D. Negotiate with Interested SDBs

Applicants must negotiate in good faith with interested SDBs.

1. Evidence of negotiation includes, without limitation, the following:
 - (a) the names, addresses, and telephone numbers of SDBs that were considered;
 - (b) a description of the information provided regarding the plans and specifications for the work selected for subcontracting and the means used to provide that information; and
 - (c) evidence as to why additional agreements could not be reached for SDBs to perform the work.
2. In negotiating with subcontractors, the Applicant should consider a firm's price and capabilities as well as the SDB participation goal.
3. Additional costs incurred in finding and using SDBs are not sufficient justification for the Applicant's failure to meet the SDB participation goal, as long as such costs are reasonable. Factors to take into consideration when determining whether an SDB's quote is excessive or unreasonable include, without limitation, the following:
 - (a) dollar difference between the SDB subcontractor's quote and the average of other subcontractors' quotes received;
 - (b) percentage difference between the SDB subcontractor's quote and the average of other subcontractors' quotes received;

SDB-5

GUIDANCE FOR DOCUMENTING GOOD FAITH EFFORTS TO MEET THE SMALL DIVERSE BUSINESS (SDB) PARTICIPATION GOAL

- (c) percentage that the SDB subcontractor's quote represents of the overall administrative PMPM rate;
 - (d) whether the work described in the SDB and Non-SDB subcontractor quotes (or portions thereof) submitted for review is the same or comparable; and
 - (e) number of quotes received by the Applicant for that portion of the work.
4. The factors in paragraph 3 above are not intended to be mandatory, exclusive, or exhaustive, and other evidence of an excessive or unreasonable price may be relevant.
 5. The Applicant may not use its price for self-performing work as a basis for rejecting an SDB's quote as excessive or unreasonable.
 6. The "average of the other subcontractors' quotes received" by the Applicant refers to the average of the quotes received from all subcontractors. Applicants should attempt to receive quotes from at least three subcontractors, including one quote from an SDB and one quote from a non-SDB.
 7. The Applicant shall not reject an SDB as unqualified without sound justification based on a thorough investigation of the firm's capabilities. For each SDB that is rejected as unqualified or that offered a quotation that the Applicant concludes is not acceptable, the Applicant must provide a written detailed statement outlining the justification for this conclusion. The Applicant also must document the steps taken to verify the capabilities of the SDB and non-SDB Firms quoting similar work.
 - (a) The factors to take into consideration when assessing the capabilities of an SDB include, but are not limited to the following: financial capability, physical capacity to perform, available personnel and equipment, existing workload, experience performing the type of work, conduct and performance in previous contracts and agreements, and ability to meet reasonable agreement requirements.
 - (b) The SDB'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 SDBs in the efforts to meet the SDB participation goal.

E. Assisting Interested SDBs

When appropriate, the Department and BDISBO will consider whether the Applicant made reasonable efforts to assist interested SDBs in obtaining:

1. The bonding, lines of credit, or insurance required by the Department or the Applicant; and
2. Necessary equipment, supplies, materials, or related assistance or services.

III. Other Considerations

SDB-5

GUIDANCE FOR DOCUMENTING GOOD FAITH EFFORTS TO MEET THE SMALL DIVERSE BUSINESS (SDB) PARTICIPATION GOAL

In making a determination of Good Faith Efforts, the Department and BDISBO may consider catalogue prices, general market availability and availability of certified SDBs in the area in which the work is to be performed, other subcontractor quotes substantiating significant variances between SDB and non-SDB costs of participation, and their impact on the overall cost of the Agreement to the Commonwealth and any other relevant factors.

The Department and BDISBO may consider whether the Applicant decides to self-perform subcontract work with its own forces. The Department and BDISBO also may consider the performance of other Applicants in meeting the SDB participation goal. For example, when one Applicant fails to meet the SDB participation goal, but others meet it, this raises the question of whether, with additional reasonable efforts, the Applicant could have met the SDB participation goal. An Applicant's ability to meet or exceed the average SDB participation obtained by other Applicants, when viewed in conjunction with other factors, may be evidence of Good Faith Efforts.

IV. Documenting Good Faith Efforts

At a minimum, the Applicant seeking a Good Faith Efforts waiver of the SDB participation goal or a portion thereof must provide written documentation of its Good Faith Efforts along with its SDB Submittal for each Zone. The written documentation shall include the following:

A. Items of Work (complete Form SDB-6, Part 1 – Identified Items of Work Applicant Made Available to SDBs)

A detailed statement of the efforts made to select portions of the administrative work proposed to be performed by SDBs to increase the likelihood of achieving the SDB participation goal.

B. Outreach/Solicitation/Negotiation

1. A detailed statement of the efforts made to contact and negotiate with SDBs including:
 - (a) the names, addresses, and telephone numbers of the SDBs who were contacted, with the dates and manner of contacts (letter, fax, e-mail, telephone, etc.) (**complete Form SDB-6, Part 2 – Identified SDB Firms and Records of Solicitations. Include letters, fax cover sheets, e-mails, or other documents documenting solicitations**); and
 - (b) a description of the information provided to SDBs regarding the plans, specifications, and anticipated time schedule for portions of the administrative work to be performed and the means used to provide that information.
2. The record of the Applicant's compliance with the outreach efforts set forth in **Form SDB-6, Part 3 - Outreach Efforts Compliance Statement.**

C. Rejected SDBs (complete Form SDB-6, Part 4 - Additional Information Regarding Rejected SDB Quotes)

1. For each SDB that the Applicant concludes is not acceptable or qualified, a detailed statement of the reasons for the Applicant's conclusion, including the steps taken to verify the capabilities of the SDB and non-SDB firms quoting similar work.

SDB-5

GUIDANCE FOR DOCUMENTING GOOD FAITH EFFORTS TO MEET THE SMALL DIVERSE BUSINESS (SDB) PARTICIPATION GOAL

2. For each SDB that the Applicant concludes has provided an excessive or unreasonable price, a detailed statement of the reasons for the Applicant's conclusion, including the quotes received from all SDBs and non-SDB firms proposing on the same or comparable work. **(Include copies of all quotes received.)**

D. Unavailable SDBs (complete Form SDB-6, Part 5 – SDB Subcontractor Unavailability Certificate)

1. **For each SDB that the Applicant contacted but found to be unavailable, submit an SDB Subcontractor Unavailability Certificate** signed by the SDB, an email from the SDB indicating the SDB is unavailable, or a statement from the Applicant that the SDB refused to sign the SDB Subcontractor Unavailability Certificate or failed to respond to Applicant.

E. Other Documentation

1. Submit any other documentation requested by BDISBO and the Department to ascertain the Applicant's Good Faith Efforts.
2. Submit any other documentation the Applicant believes will help BDISBO and the Department ascertain its Good Faith Efforts.

SDB-6

GOOD FAITH EFFORTS DOCUMENTATION TO SUPPORT WAIVER REQUEST OF SDB PARTICIPATION GOAL

Project Description:	
Commonwealth Agency Name:	
Solicitation #:	
HealthChoices Zone:	
Solicitation Due Date and Time:	

Applicant Company Name:	
Applicant Contact Name:	
Applicant Contact Email:	
Applicant Contact Phone Number:	

Part 1 – Identified Items of Work Applicant Made Available to SDBs

Identify those items of administrative work that the Applicant made available to SDBs. This includes, where appropriate, those items the Applicant identified and subdivided into economically feasible units to facilitate the SDB participation. For each item listed, show the anticipated percentage of the administrative PMPM rate. It is the Applicant’s responsibility to demonstrate that enough work to meet the SDB participation goal was made available to SDBs, and the total percentage of the items of work identified for SDB participation met or exceeded the SDB participation goal set for the procurement.

Identified Items of Work	Was this work listed in the solicitation?	Does Applicant normally self-perform this work?	Was this work made available to SDB Firms? If not, explain why.
	___ yes ___ no	___ yes ___ no	___ yes ___ no
	___ yes ___ no	___ yes ___ no	___ yes ___ no
	___ yes ___ no	___ yes ___ no	___ yes ___ no
	___ yes ___ no	___ yes ___ no	___ yes ___ no
	___ yes ___ no	___ yes ___ no	___ yes ___ no

Attach additional sheets if necessary.

SDB-6

GOOD FAITH EFFORTS DOCUMENTATION TO SUPPORT WAIVER REQUEST OF SDB PARTICIPATION GOAL

Part 2 – Identified SDBs and Record of Solicitations

Identify the SDBs solicited to provide quotes for the Identified Items of Work made available for SDB participation. Include the name of the SDB solicited, items of work for which quotes were solicited, date and manner of initial and follow-up solicitations, whether the SDB provided a quote, and whether the SDB is being used toward meeting the SDB participation goal. SDBs used towards meeting the SDB participation goal must be listed on the **SDB Utilization Schedule** (SDB-3).

Note: Copies of all written solicitations and documentation of follow-up calls to SDBs must be attached to this form. For each Identified SDB listed below, Applicant should submit an SDB Subcontractor Unavailability Certificate signed by the SDB or a statement from the Applicant that the SDB refused to sign the SDB Subcontractor Unavailability Certificate or failed to respond to the Applicant.

Name of Identified SDB and Classification	Describe Item of Work Solicited	Initial Solicitation Date & Method	Follow-up Solicitation Date & Method	Details for Follow-up Calls	Quote Received?	Quote Used?	Reason Quote Rejected
SDB Name: <input type="checkbox"/> MBE <input type="checkbox"/> WBE <input type="checkbox"/> LGBTBE <input type="checkbox"/> DOBE		Date: <input type="checkbox"/> mail <input type="checkbox"/> email <input type="checkbox"/> fax	Date: <input type="checkbox"/> mail <input type="checkbox"/> email <input type="checkbox"/> fax	Date and Time of Call: Spoke with: Left Message:	<input type="checkbox"/> yes <input type="checkbox"/> no	<input type="checkbox"/> yes <input type="checkbox"/> no	<input type="checkbox"/> Used other SDB <input type="checkbox"/> Used non-SDB <input type="checkbox"/> Self performing
SDB Name: <input type="checkbox"/> MBE <input type="checkbox"/> WBE <input type="checkbox"/> LGBTBE <input type="checkbox"/> DOBE		Date: <input type="checkbox"/> mail <input type="checkbox"/> email <input type="checkbox"/> fax	Date: <input type="checkbox"/> mail <input type="checkbox"/> email <input type="checkbox"/> fax	Date and Time of Call: Spoke with: Left Message:	<input type="checkbox"/> yes <input type="checkbox"/> no	<input type="checkbox"/> yes <input type="checkbox"/> no	<input type="checkbox"/> Used other SDB <input type="checkbox"/> Used non-SDB <input type="checkbox"/> Self performing

Attach additional sheets as necessary.

SDB-6
GOOD FAITH EFFORTS DOCUMENTATION TO SUPPORT WAIVER REQUEST OF
SDB PARTICIPATION GOAL

Part 3 – SDB Outreach Compliance Statement

- 1. List the Identified Items of Work (administrative subcontracting opportunities) for the solicitation along with specific work categories:**

- 2. Attach to this form copies of written solicitations (with Bid or Proposal instructions) used to solicit Identified SDBs for these subcontract opportunities.**

- 3. Applicant made the following attempts to personally contact the Identified SDBs:**

- 4. Bonding Requirements (Please Check One):**

_____ This project does not involve bonding requirements.

_____ Applicant assisted Identified SDBs to fulfill or seek waiver of bonding requirements. (DESCRIBE EFFORTS):

- 5. Pre-Bid/Application Conference or Supplier Forum (Please Check One):**

_____ Applicant did attend the Pre-Application conference or Supplier Forum

_____ No Pre-Application conference or Supplier Forum was held

_____ Applicant did not attend the Pre-Application conference or Supplier Forum

SDB-6

GOOD FAITH EFFORTS DOCUMENTATION TO SUPPORT WAIVER REQUEST OF SDB PARTICIPATION GOAL

Part 4 – Additional Information Regarding Rejected SDB Quotes

This form must be completed if Part 2 indicates that an SDB quote was rejected because the Applicant is using a non-SDB or is self-performing the Identified Items of Work. List the Identified Items Work, indicate whether the work will be self-performed or performed by a non-SDB, and if applicable, state the name of the non-SDB firm. Also include the names of all SDBs and non-SDB firms that provided a quote and the amount of each quote.

Describe Identified Items of Work not being performed by SDBs (include specific section from the application)	Self-performing or using non-SDB (provide name of non-SDB if applicable)	Amount of non-SDB quote	Name of other firms that provided quotes and whether they are SDB	Amount quoted	Reason why SDB quote was rejected along with brief explanation
	<input type="checkbox"/> self-performing <input type="checkbox"/> using Non-SDB Name: _____	\$	_____ SDB _____ Non-SDB	\$	<input type="checkbox"/> price <input type="checkbox"/> capabilities <input type="checkbox"/> other
	<input type="checkbox"/> self-performing <input type="checkbox"/> using Non-SDB Name: _____	\$	_____ SDB _____ Non-SDB	\$	<input type="checkbox"/> price <input type="checkbox"/> capabilities <input type="checkbox"/> other
	<input type="checkbox"/> self-performing <input type="checkbox"/> using Non-SDB Name: _____	\$	_____ SDB _____ Non-SDB	\$	<input type="checkbox"/> price <input type="checkbox"/> capabilities <input type="checkbox"/> other
	<input type="checkbox"/> self-performing <input type="checkbox"/> using Non-SDB Name: _____	\$	_____ SDB _____ Non-SDB	\$	<input type="checkbox"/> price <input type="checkbox"/> capabilities <input type="checkbox"/> other
	<input type="checkbox"/> self-performing <input type="checkbox"/> using Non-SDB Name: _____	\$	_____ SDB _____ Non-SDB	\$	<input type="checkbox"/> price <input type="checkbox"/> capabilities <input type="checkbox"/> other

Attach additional sheets as necessary.

SDB-6
GOOD FAITH EFFORTS DOCUMENTATION TO SUPPORT WAIVER REQUEST OF
SDB PARTICIPATION GOAL

Part 5 – SDB Subcontractor Unavailability Certificate

1. It is hereby certified that the firm of _____
(Name of SDB)

located at _____
(Number) (Street)

(City) (State) (Zip)

was offered an opportunity to provide a quote for work required under RFA No. 07-19.

by _____
(Name of Applicant's Firm)

2. _____(SDB), is either unavailable for the work/service or
unable to prepare a quote for this project for the following reason(s):

(Signature of SDB's Representative) (Title) (Date)

(DGS SDB Certification #) (Telephone #)

3. If the SDB does not complete this form, the Applicant must complete the following:

To the best of my knowledge and belief, the above-listed SDB is either unavailable for the work/service for this project, is unable to prepare a quote, or did not respond to a request for a quote and has not completed the above portion of this submittal.

(Signature of Applicant) (Title) (Date)