

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

PLEASE READ BEFORE COMPLETING THESE DOCUMENTS
Bidders/Offerors do not need to return SDB-1 with their SDB Participation Submittal

The following instructions include details for completing the SDB Participation Submittal (SDB-2) which Bidders or Offerors must submit in order to be considered responsive.

The following instructions also include details for completing the SDB Utilization Schedule (SDB-3), which Bidders or Offerors must submit for any portion of the SDB participation goal the Bidder or Offeror commits to meeting.

A Bidder/Offeror's failure to meet the SDB participation goal in full or their failure to receive an approved Good Faith Efforts waiver for any unmet portion of the SDB participation goal will result in the rejection of the Bid or Proposal as nonresponsive.

- I. **SDB Participation Goal:** The SDB participation goal is set forth in the **Solicitation**. The Bidder/Offeror 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:** Offerors can access the directory of **DGS-verified** SDB firms from the DGS Supplier Search directory at: <http://www.dgs.internet.state.pa.us/suppliersearch>.

 2. **Only SDBs verified by DGS** and as defined herein may 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 has committed to perform.**
 - a. **SDB prime bidders or offerors.** An SDB prime firm whose SDB verification is pending or incomplete as of the bid or proposal due date and time may not satisfy the SDB participation goal through its own performance. **A self-certified SB prime that does not have its SDB verification as of the bid or proposal due date and time cannot satisfy the SDB participation goal through its own performance.**

 - b. **SDB subcontractors, manufacturers, or suppliers.** To receive credit toward meeting the SDB participation goal, the SDB subcontractor, manufacturer, or supplier must be a DGS-verified SDB as of the date the work to be performed by the SDB commences. **A self-certified SB subcontractor, manufacturer, or supplier that does not have its SDB verification as of the date the work to be performed by the subcontractor, manufacturer, or supplier commences cannot be used to satisfy 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); Service-Disabled

SDB-1

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

Veteran-Owned Small Business Enterprise (SDVBE); or otherwise deemed disadvantaged by the Uniform Certification Program.

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

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

4. Dually verified SDB/VBE firms. If a DGS-verified SDB is dually verified as a VBE, the firm will receive credit towards both the SDB participation goal and the VBE participation goal as set forth on the SDB and VBE Participation Summary Sheet. This credit may exceed the participation goal percentage, as shown in the example below.

Example: The SDB participation goal is 10% and the VBE participation goal is 5%. A subcontractor is DGS-verified as both an SDB and a VBE and will perform 10% of the contract work. The bidder/offeror can satisfy both the SDB participation goal and the VBE participation goal through that dually verified subcontractor's performance of 10% of the contract work, unless otherwise agreed to by the parties in writing and approved by BDISBO and the Issuing Office. Based on this example, the percentage commitment indicated on SDB-3 for SDB work on this contract would be 10%, and the VBE percentage commitment indicated on VBE-3 on this contract would be 10% as well. These contractual commitments meet the SDB participation goal of 10% and exceed the 5% VBE participation goal for this contract. Please note that the dually verified SDB/VBE firm only receives 10% of the contract work based on the example above.

Importantly, consideration of SDB and VBE submittals will still be independent of one another even when utilizing one or more dually verified firms.

5. Participation by SDB firms as prime bidders/offerors or subcontractors. A Bidder/Offeror that qualifies as an SDB and submits a bid or proposal as a prime contractor is not prohibited from being included as a subcontractor in separate proposals submitted by other Bidders/Offerors. An SDB may be included as a subcontractor with as many prime contractors as it chooses in separate bids or proposals.
6. 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)
North Office Building, Room 611, Harrisburg, PA 17125
Phone: (717) 783-3119
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 bidder or offeror on a procurement may receive credit towards the SDB Participation goal established for the procurement through their own self-performance.

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

Example: A solicitation has a 15% SDB participation goal. An SDB prime offeror self-performing contract work valued at only 10% of contract costs (if permitted by the solicitation documents) must still satisfy the remaining 5% SDB participation goal through subcontracting or must request a Good Faith Efforts Waiver for the unmet SDB participation goal. Failure to satisfy the remaining 5% SDB participation goal or failure to obtain a Good Faith Efforts waiver for the unmet portion of the SDB participation goal will result in rejection of that SDB prime's bid or proposal as nonresponsive.

2. For an SDB prime bidder or offeror to receive credit for self-performance, the SDB prime bidder or offeror must be a **DGS-verified** SDB as of the solicitation due date and time and must list itself in the **SDB Utilization Schedule (SDB-3)**.
3. The SDB prime bidder or offeror must also include the classification category (MBE, WBE, LGBTBE, DOBE, and/or SDVBE) 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 bidder or offeror's self-performance, the SDB bidder or offeror must also identify on the **SDB Utilization Schedule (SDB-3)** the portion of the SDB participation goal that will be performed by SDB subcontractors, manufacturers, 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. BDISBO will credit the selected offeror for SDB participation as follows:

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, unless the SDB subcontractor is performing one of the functions listed in paragraphs 2-4 below.
2. **SDB manufacturers.** An SDB manufacturer is a firm that operates or maintains a factory or establishment that produces, on the premises, the materials, supplies, articles or equipment required under the contract and of the general character described by the specifications. 100% of the total cost of the materials or supplies purchased from the SDB manufacturer shall be counted towards the SDB participation goal.
3. **SDB stocking suppliers.** An SDB stocking supplier is a firm that owns, operates or maintains a store, warehouse or other establishment in which the materials, supplies, articles or equipment of the general character described by the specifications and required under the contract are bought, kept in stock and regularly sold or leased to the public in the usual course of business. 60% of the total cost of the materials or supplies purchased from the SDB stocking supplier shall be counted towards the SDB participation goal.

*Example for illustrative purposes of applying the 60% rule:
Overall contract value: \$2,000,000*

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

Total value of supplies: \$100,000

Apply 60% Rule: \$100,000 x 60% = \$60,000

Divide 60% Rule result by contract value: \$60,000/\$2,000,000 = 3%

In this example, 3% would be counted towards the SDB participation goal for the SDB supplier.

4. **SDB nonstocking suppliers.** An SDB nonstocking supplier is credited at only the amount of the fee or commission charged by the SDB nonstocking supplier for assistance in the procurement of the materials and supplies, provided that the fees or commissions are reasonable and not excessive as compared with fees customarily allowed for similar services, and with the understanding that under no circumstances shall the credit for an SDB nonstocking supplier exceed 10 percent of the purchase order cost. A nonstocking supplier does not carry inventory but orders materials from a manufacturer, manufacturer's representative, or a stocking supplier. In order for a nonstocking supplier to receive credit, it must perform a useful business function by engaging in meaningful work (i.e., negotiating price; AND determining quality and quantity; AND ordering materials; AND paying for the materials) and the fee or commission must be provided with the purchase order and the Utilization Report. Industry practices and other relevant factors will be considered.
5. The selected offeror may receive credit for SDB utilization at any tier of supply or subcontracting consistent with Administrative Procedure No. 13, Small Diverse Business and Veteran Business Enterprise Participation, Subsection D. The dollar value of any commitment to an SDB cannot be double counted.

V. Document Submittal Errors.

1. **Fatal errors.** The following errors will result in rejection of a bid or proposal as non-responsive:
 - a. Failure to submit a completed **SDB Participation Submittal (SDB-2)**;
 - b. Failure to submit an **SDB Utilization Schedule (SDB-3)**, unless the bidder or offer is seeking a complete Good Faith Efforts waiver;
 - c. Failure to submit a Good Faith Efforts waiver request when not fully meeting the SDB participation goal.
2. **Potentially curable errors.** The Issuing Office and BDISBO may provide Bidders or Offerors the opportunity to provide clarifications or to correct errors not listed as fatal errors above. If the additionally submitted information does not adequately address or clarify the submittal, the bid or proposal may be rejected. **Bidders or Offerors are not permitted to make material changes during clarifications or corrections in order to meet the SDB Participation Goal.**

SDB-2
SDB PARTICIPATION SUBMITTAL

CHECK ONE, AND ONLY ONE, BOX. FAILURE TO COMPLY WILL RESULT IN REJECTION OF YOUR BID/PROPOSAL.

Click on bold titles to navigate to that specific page.

I agree to meet the SDB participation goal in full.

I have completed and am submitting with my bid or proposal an **SDB Utilization Schedule (SDB-3)**, which is required in order to be considered for 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**, 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 bid or proposal both of the following, which are required in order to be considered for 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 the portion of the SDB participation goals that I am unable 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**, 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 bid or proposal a **Good Faith Efforts Waiver Request** for the complete SDB participation goal, which is required in order to be considered for award.

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

SDB-3
SDB UTILIZATION SCHEDULE

Bidder/Offeror to complete the following:

Amount of SDB participation goal to be met through the use of SDB subcontractors, suppliers, or manufacturers: Bidders/offerors are not required to identify the specific SDB subcontractors, suppliers, or manufacturers within this SDB Utilization Schedule, but must identify the total percentage (%) of work to be performed by SDB subcontractors, suppliers, or manufacturers. However, the selected bidder/offeror must submit Utilization Reports identifying the SDB subcontractors, suppliers, or manufacturers used to meet the portion of the SDB participation goal listed below. To receive credit toward meeting the SDB participation goal, the SDB subcontractor, manufacturer, or supplier must be a DGS-verified SDB as of the date the work to be completed by the SDB commences.

Percentage of work to be performed by SDB subcontractors, suppliers, or manufacturers:
_____ 30%

If the Prime Bidder/Offeror is a DGS-verified SDB, complete the following:

SAP Vendor Number (6-digit number): _____

SDB Verification Number (located on DGS SDB verification):

- Type of SDB:
- MBE
 - WBE
 - LGBTBE
 - DOBE
 - SDVBE

Description of Work to be Performed (Statement of Work/Specification reference):

Percentage of work to be self-performed by SDB bidder/offeror: _____%

SDB-4

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

Bidders/Offerors do not need to return SDB-4 with their SDB Participation Submittal

In order for its bid or proposal to be responsive, the Bidder or Offeror must either (1) meet the SDB participation goal and document its commitments for participation of SDB firms, or (2) when it does not meet the SDB participation goal, submit a Good Faith Efforts waiver request as set forth in Section IV below and the **Good Faith Efforts Documentation to Support Waiver Request (SDB-5)** of the SDB Participation Goal.

I. Definitions

Anticipated Scopes of Work – all of the items of work the bidder or offer identified as possible items of work for performance by SDBs and should include all reasonably identifiable subcontractable work opportunities.

Good Faith Efforts - The “Good Faith Efforts” requirement means that when requesting a waiver, the Offeror 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 Issuing Agency and Department of General Services’ Bureau of Diversity, Inclusion and Small Business Opportunities (BDISBO) will determine whether or not the Offeror requesting a Good Faith Efforts waiver made adequate Good Faith Efforts by considering the quality, quantity, and intensity of the Offeror’s efforts. Mere *pro forma* efforts are not Good Faith Efforts to meet the SDB participation requirements. The determination concerning the sufficiency of the Offeror's Good Faith Efforts is subjective; meeting quantitative formulas is not required.

Identified SDBs– all of the SDBs the Offeror has identified as available to perform the Anticipated Scopes of Work and should include all DGS-verified SDBs that are reasonably identifiable.

Offeror – for purposes of this **Good Faith Efforts Documentation to Support Waiver Request**, the term “Offeror” includes any entity responding to a solicitation, including invitations for bids, requests for proposals, and other types of best value solicitations.

SDB – “SDB” refers to Minority Business Enterprises (MBE), Women Business Enterprises (WBE), Disability-Owned Business Enterprises (DOBE), LGBT-Owned Business Enterprises (LGBTBE), Service-Disabled Veteran-Owned Small Business Enterprise (SDVBE) verified by BDISBO, or otherwise deemed disadvantaged by the Uniform Certification Program.

SDB participation goal – “SDB participation goal” refers to the SDB participation goal set for a procurement for MBE, WBE, LGBTBE, DOBE, and SDVBE utilization.

II. Types of Actions Agency and BDISBO will Consider

SDB-4
**GUIDANCE FOR DOCUMENTING GOOD FAITH EFFORTS TO MEET THE SMALL
DIVERSE BUSINESS (SDB) PARTICIPATION GOAL**

The following are types of actions the procuring agency and BDISBO will consider as part of the Offeror's Good Faith Efforts when the Offeror is unable to meet, in full, 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 Anticipated Scopes of Work for SDBs

1. Anticipated Scopes of Work

- (a) Offerors should reasonably identify sufficient anticipated scopes of work to be performed by SDBs. These anticipated scopes of work should include SDB subcontracting opportunities.
- (b) Where appropriate, Offerors should break out anticipated scopes of work into economically feasible units to facilitate SDB participation, rather than perform these work items with their own forces. **The ability or desire of a prime contractor to perform the work of a contract with its own organization does not relieve the Offeror of the responsibility to make Good Faith Efforts to meet the SDB participation goal.**

B. Identify SDBs to Solicit

1. Identified SDBs

- (a) Offerors must reasonably identify the SDBs that are available to perform the Anticipated Scopes of Work.
- (b) Any SDBs identified as available by the Offeror should be certified to perform the Anticipated Scopes of Work (i.e., assigned the UNSPSC codes within the DGS Supplier Search that are applicable to the Scope of Work they will be performing).

C. Solicit SDBs

- 1. Offerors must solicit a reasonable number of identified SDBs for all Anticipated Scopes of Work by providing written notice. The Offeror must:
 - (a) provide the written solicitation to all Identified SDBs at least 10 days prior to Bid or Proposal due date to allow sufficient time for the Identified SDB to respond;
 - (b) send the written solicitation by first-class mail, facsimile, or e-mail using contact information in the BDISBO Directory, unless the Offeror has a valid basis for using different contact information; and

SDB-4
GUIDANCE FOR DOCUMENTING GOOD FAITH EFFORTS TO MEET THE SMALL DIVERSE BUSINESS (SDB) PARTICIPATION GOAL

- (c) provide adequate information about the plans, specifications, anticipated time schedule for portions of the work to be performed by the Identified SDB, and other requirements of the contract to assist Identified SDBs in responding. (This information may be provided by including hard copies in the written solicitation or by electronic means as described in C.3 below.)
- 2. “All” Identified SDBs includes any SDB Firms the Offeror identifies as potentially available to perform the Anticipated Scopes of Work, but it does not include Identified SDBs who are no longer certified to perform the work as of the date the Offeror provides written solicitations.
- 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 contract. If an interested SDB cannot access the information provided by electronic means, the Offeror must make the information available in a manner that is accessible to the interested SDB.
- 4. Offerors must follow up on initial written solicitations by contacting Identified SDBs to determine their interest in bidding. The follow up contact may be made:
 - (a) by telephone using the contact information in BDISBO’s Directory, unless the Offeror 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 solicitation.
- 5. In addition to the written solicitation set forth in C.1 and the follow up required in C.4, offerors must use all other reasonable and available means to solicit the interest of Identified SDBs certified to perform the Anticipated Scopes of Work. Examples of other means include:
 - (a) attending any Supplier Forums, or Pre-Proposal or Pre-Bid conferences at which SDBs could be informed of contracting and 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

Offerors must negotiate in good faith with interested SDBs.

1. Evidence of negotiation includes, without limitation, the following:

SDB-4
**GUIDANCE FOR DOCUMENTING GOOD FAITH EFFORTS TO MEET THE SMALL
DIVERSE BUSINESS (SDB) PARTICIPATION GOAL**

- (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 offeror should consider a subcontractor'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 Offeror'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 by the Offeror;
 - (b) percentage difference between the SDB subcontractor's quote and the average of other subcontractors' quotes received by the Offeror;
 - (c) percentage that the SDB subcontractor's quote represents of the total contract cost;
 - (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 Offeror for that portion of the Anticipated Scopes of 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 Offeror 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 Offeror refers to the average of the quotes received from all subcontractors. Offeror should attempt to receive quotes from at least three subcontractors, including one quote from an SDB and one quote from a non-SDB.

SDB-4

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

7. The Offeror shall not reject an SDB as unqualified without sound justification based on a thorough investigation of the SDB's capabilities. For each SDB that is rejected as unqualified or that placed a subcontract quotation or offer that the Offeror concludes is not acceptable, the Offeror must provide a written detailed statement outlining the justification for its conclusion. The Offeror 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 ability to meet reasonable contract 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 Proposals in the efforts to meet the SDB participation goal.

E. Assisting Interested SDBs

When appropriate under the circumstances, the procuring agency and BDISBO will consider whether the Offeror made reasonable efforts to assist interested SDBs in obtaining:

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

III. Other Considerations

In making a determination of Good Faith Efforts, the procuring agency and BDISBO may consider engineering estimates, catalogue prices, general market availability and availability of certified SDBs in the area in which the work is to be performed, other Proposals or offers and subcontract Proposals or offers substantiating significant variances between SDB and non-SDB costs of participation, and their impact on the overall cost of the contract to the Commonwealth and any other relevant factors.

The procuring agency and BDISBO may consider whether the Offeror decided to self-perform potentially subcontractable work with its own forces. The procuring agency and BDISBO also may consider the performance of other Offerors in meeting the SDB participation goal. For example, when the apparent successful Offeror fails to meet the SDB participation goal, but others meet it, this raises the question of whether, with additional reasonable efforts, the apparent successful Offeror could have met the SDB participation goal. If the apparent successful Offeror fails to meet the SDB participation goal but meets or exceeds the average SDB participation

SDB-4
**GUIDANCE FOR DOCUMENTING GOOD FAITH EFFORTS TO MEET THE SMALL
DIVERSE BUSINESS (SDB) PARTICIPATION GOAL**

obtained by other Offerors, this, when viewed in conjunction with other factors, could be evidence of the apparent successful Offeror having made Good Faith Efforts.

IV. Documenting Good Faith Efforts

At a minimum, the Offeror 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 bid or proposal. The written documentation shall include the following:

A. Anticipated Scopes of Work (complete SDB-5, Part 1 – Anticipated Scopes of Work Offeror Made Available to SDBs)

A detailed statement of the efforts made to select portions of the contract work proposed to be performed by SDBs in order 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 SDB-5, Part 2 – Identified SDB Firms and Records of Solicitations. Include letters, fax cover sheets, e-mails, etc. documenting solicitations);** and
 - (b) a description of the information provided to SDBs regarding the plans, specifications, and anticipated time schedule for portions of the contract work to be performed and the means used to provide that information.
2. The record of the Offeror's compliance with the outreach efforts set forth in **SDB-5, Part 3 - Outreach Efforts Compliance Statement.**

C. Rejected SDBs (complete SDB-5, Part 4 - Additional Information Regarding Rejected SDB Quotes)

1. For each SDB that the Offeror concludes is not acceptable or qualified, provide a detailed statement of the reasons for this conclusion, including the steps taken to verify the capabilities of the SDB and non-SDB firms quoting similar work.
2. For each SDB that the Offeror concludes has provided an excessive or unreasonable price, a detailed statement of the reasons for the Offeror's conclusion, including the quotes received from all SDB and non-SDB firms proposing on the same or comparable work. **(Include copies of all quotes received.)**

SDB-4
**GUIDANCE FOR DOCUMENTING GOOD FAITH EFFORTS TO MEET THE SMALL
DIVERSE BUSINESS (SDB) PARTICIPATION GOAL**

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

1. **For each SDB that the Offeror 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 Offeror that the SDB refused to sign the SDB Subcontractor Unavailability Certificate.

E. Other Documentation

1. Submit any other documentation requested by BDISBO or the Procuring Agency to ascertain the Offeror's Good Faith Efforts.
2. Submit any other documentation the Offeror believes will help BDISBO or the Procuring Agency ascertain its Good Faith Efforts.

SDB-5
GOOD FAITH EFFORTS DOCUMENTATION TO SUPPORT WAIVER REQUEST OF SDB PARTICIPATION GOAL

Project Description:	SCI Phoenix - HVAC System Repairs
Commonwealth Agency Name:	Department of General Services Bureau of Capital Project Design Management
Solicitation #:	DGS C-0577-0040 P1 DBC
Solicitation Due Date and Time:	7/9/24 2:00 pm

Bidder/Offeree Company Name:	Ainsworth, Inc.
Bidder/Offeree Contact Name:	Zach Eskin
Bidder/Offeree Contact Email:	zach.eskin@ainsworth.com
Bidder/Offeree Contact Phone Number:	(651) 235-0560

Part 1 – Anticipated Scopes of Work Offeror Made Available to SDBs

Identify those anticipated scopes of work that the Offeror made available to SDBs. This includes, where appropriate, those items the Offeror identified and subdivided into economically feasible units to facilitate the SDB participation. It is the Offeror’s responsibility to demonstrate that the total percentage of the anticipated scopes of work identified for SDB participation met or exceeded the SDB participation goal set for the procurement.

Anticipated Scopes of Work	Does Offeror normally self-perform this work?	Was this work made available to SDB Firms? If not, explain why.
Duct cleaning Housing units P, Q, R, S, and T	<input type="checkbox"/> yes <input checked="" type="checkbox"/> no	<input checked="" type="checkbox"/> yes <input type="checkbox"/> no
	<input type="checkbox"/> yes <input type="checkbox"/> no	<input type="checkbox"/> yes <input type="checkbox"/> no
	<input type="checkbox"/> yes <input type="checkbox"/> no	<input type="checkbox"/> yes <input type="checkbox"/> no
	<input type="checkbox"/> yes <input type="checkbox"/> no	<input type="checkbox"/> yes <input type="checkbox"/> no
	<input type="checkbox"/> yes <input type="checkbox"/> no	<input type="checkbox"/> yes <input type="checkbox"/> no

Attach additional sheets if necessary.

SDB-5
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 Anticipated Scopes 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.

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, Offeror should submit an SDB Subcontractor Unavailability Certificate signed by the SDB or a statement from the Offeror that the SDB refused to sign the SDB Subcontractor Unavailability Certificate.

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	SDB interested in Anticipated Scope of Work?	Will SDB be Used?	Reason SDB Rejected
SDB Name: AIRBORNE CONTAMINATI ON <input type="checkbox"/> MBE <input checked="" type="checkbox"/> WBE <input type="checkbox"/> LGTB <input type="checkbox"/> DOBE <input type="checkbox"/> SDVBE	Duct cleaning Housing units P, Q, R, S, and T	Date: 6/25/24 <input type="checkbox"/> mail <input checked="" type="checkbox"/> email <input type="checkbox"/> fax	Date: <input type="checkbox"/> mail <input checked="" type="checkbox"/> email <input type="checkbox"/> fax	Date and Time of Call: 6/25/24 11:14 am Spoke with: Shari Leaman Left Message:	<input checked="" type="checkbox"/> yes <input type="checkbox"/> no	<input checked="" 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: DIVERSE PROFESSIONAL SOLUTIONS LLC <input type="checkbox"/> MBE <input type="checkbox"/> WBE <input type="checkbox"/> LGTB <input type="checkbox"/> DOBE <input checked="" type="checkbox"/> SDVBE	Duct cleaning Housing units P, Q, R, S, and T	Date: 6/21/24 <input type="checkbox"/> mail <input checked="" type="checkbox"/> email <input type="checkbox"/> fax	Date: <input type="checkbox"/> mail <input checked="" type="checkbox"/> email <input type="checkbox"/> fax	Date and Time of Call: 6/21/24 10:50 am Spoke with: Alphonso Ball III Left Message:	<input checked="" type="checkbox"/> yes <input type="checkbox"/> no	<input type="checkbox"/> yes <input checked="" type="checkbox"/> no	<input checked="" type="checkbox"/> Used other SDB <input type="checkbox"/> Used non-SDB <input type="checkbox"/> Self performing

Attach additional sheets as necessary.

**SDB-5
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 Anticipated Scopes 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.

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, Offeror should submit an SDB Subcontractor Unavailability Certificate signed by the SDB or a statement from the Offeror that the SDB refused to sign the SDB Subcontractor Unavailability Certificate.

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	SDB interested in Anticipated Scope of Work?	Will SDB be Used?	Reason SDB Rejected
SDB Name: PROAC CORPORATION <input type="checkbox"/> MBE <input type="checkbox"/> WBE <input type="checkbox"/> LGBTBE <input type="checkbox"/> DOBE <input type="checkbox"/> SDVBE	Duct cleaning Housing units P, Q, R, S, and T	Date: <input type="checkbox"/> mail <input checked="" type="checkbox"/> email <input type="checkbox"/> fax	Date: 7/8/24 <input type="checkbox"/> mail <input checked="" type="checkbox"/> email <input type="checkbox"/> fax	Date and Time of Call: 6/18/24 11:38 am Spoke with: Left Message:	<input checked="" type="checkbox"/> yes <input type="checkbox"/> no	<input type="checkbox"/> yes <input checked="" type="checkbox"/> no	<input checked="" 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 <input type="checkbox"/> SDVBE		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-5
GOOD FAITH EFFORTS DOCUMENTATION TO SUPPORT WAIVER REQUEST OF
SDB PARTICIPATION GOAL

Part 3 – SDB Outreach Compliance Statement

- 1. List the Anticipated Scopes of Work for subcontracting opportunities for the solicitation along with specific work categories:**

Duct cleaning Housing units P, Q, R, S, and T

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

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

See attached documentation

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

This project does not involve bonding requirements.

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

Offeror will carry the required bonds

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

Offeror did attend the pre-Bid/Proposal/Quote conference or Supplier Forum

No pre-Bid/Proposal/Quote conference or Supplier Forum was held

Offeror did not attend the pre-Bid/Proposal/Quote conference or Supplier Forum

SDB-5
GOOD FAITH EFFORTS DOCUMENTATION TO SUPPORT WAIVER REQUEST OF SDB PARTICIPATION GOAL

Part 4 – Additional Information Regarding Rejected SDBs

This form must be completed if Part 2 indicates that an SDB quote was rejected because the Offeror is using a non-SDB or is self-performing the Anticipated Scopes of Work. List the Anticipated Scopes of 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 Anticipated Scope of Work not being performed by SDBs	Self-performing or using non-SDB (provide name of non-SDB if applicable)	Reason why SDB quote was rejected along with brief explanation
	<input type="checkbox"/> self-performing <input type="checkbox"/> using Non-SDB Name:	<input type="checkbox"/> price <input type="checkbox"/> capabilities <input type="checkbox"/> other
	<input type="checkbox"/> self-performing <input type="checkbox"/> using Non-SDB Name:	<input type="checkbox"/> price <input type="checkbox"/> capabilities <input type="checkbox"/> other
	<input type="checkbox"/> self-performing <input type="checkbox"/> using Non-SDB Name:	<input type="checkbox"/> price <input type="checkbox"/> capabilities <input type="checkbox"/> other
	<input type="checkbox"/> self-performing <input type="checkbox"/> using Non-SDB Name:	<input type="checkbox"/> price <input type="checkbox"/> capabilities <input type="checkbox"/> other
	<input type="checkbox"/> self-performing <input type="checkbox"/> using Non-SDB Name:	<input type="checkbox"/> price <input type="checkbox"/> capabilities <input type="checkbox"/> other

Attach additional sheets as necessary.

SDB-5
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 Diverse Professional Solutions LLC
(Name of SDB)

located at 3406 East Frierson Avenue
(Number) (Street)

Tampa, Florida 33601
(City) (State) (Zip)

was offered an opportunity to bid on Solicitation No. DGS C-0577-0040

by Ainsworth, Inc.
(Name of Prime Contractor's Firm)

2. Diverse Professional Solutions LLC (SDB), is either unavailable for the work/service or unable to prepare a Proposal for this project for the following reason(s):

See Attached document - time constraints

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

(DGS SDB Certification #) (Telephone #)

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

To the best of my knowledge and belief, the above-listed SDB is either unavailable for the anticipated scopes of work for this project or did not provide a response.

Account Executive 7/8/24
(Signature of Bidder/Offeror) (Title) (Date)

Kevin Goodwin

From: Zach Eskin
Sent: Wednesday, July 3, 2024 9:44 AM
To: Kevin Goodwin
Subject: FW: Duct Cleaning Quote Request - SCI Phoenix Prison
Importance: High

Zach Eskin | Account Executive, Building Automation Solutions - US East

Ainsworth Inc. Building Automation Solutions
780 Fifth Avenue, Suite 115 King of Prussia, Pennsylvania 19406
C: [551.235.0580](tel:551.235.0580) | TF: [888.222.2078](tel:888.222.2078)
zach.eskin@ainsworth.com | www.ainsworth.com | [TWITTER](#) | [LINKEDIN](#)



From: Alphonso Ball III <alball3@1dpsllc.com>
Sent: Monday, July 1, 2024 2:42 PM
To: Zach Eskin <Zach.Eskin@ainsworth.com>; Kevin Goodwin <Kevin.Goodwin@ainsworth.com>
Cc: Gregory Holt <Gregory.Holt@ainsworth.com>
Subject: Re: Duct Cleaning Quote Request - SCI Phoenix Prison
Importance: High

CAUTION: This email was sent from outside of GDI **REMARQUE:** Cet e-mail a ete envoye depuis l'exterieur de GDI

Zach,

I would like to bid, but It's not enough time and the scope has more than, just duct cleaning.

Thanks for the consideration.

Submitted,

Al Ball 3
Managing Director
Diverse Professional Solutions LLC
Facility Management
www.1dpsllc.com
o.813.323.4333 c.813.810.7722

From: Zach Eskin <Zach.Eskin@ainsworth.com>
Sent: Monday, July 1, 2024 9:32 AM
To: Kevin Goodwin <Kevin.Goodwin@ainsworth.com>; Alphonso Ball III <alball3@1dpsllc.com>
Cc: Gregory Holt <Gregory.Holt@ainsworth.com>
Subject: RE: Duct Cleaning Quote Request - SCI Phoenix Prison

Good morning Alphonso,

We were able to get our RFIs back from DGS. See the attached mechanical drawing set for one housing unit. We will need a quote before the EOB Wednesday (7/3/24). Due to a strict bid submission schedule, do not hesitate reach out with any questions as we've been digging through this site for a couple weeks now.

Thanks,

Zach Eskin | Account Executive, Building Automation Solutions - US East

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780 Fifth Avenue, Suite 115 King of Prussia, Pennsylvania 19406
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zach.eskin@ainsworth.com | www.ainsworth.com | [TWITTER](#) | [LINKEDIN](#)



From: Kevin Goodwin <Kevin.Goodwin@ainsworth.com>
Sent: Tuesday, June 25, 2024 2:52 PM
To: Zach Eskin <Zach.Eskin@ainsworth.com>; ALBALL3@1DPSLLC.COM
Cc: Gregory Holt <Gregory.Holt@ainsworth.com>
Subject: RE: Duct Cleaning Quote Request - SCI Phoenix Prison

Good afternoon Alphonso,

In review of Zach's email there is a correction regarding the VAVs, there are 10 not 16. Also, the description starting with "B" is not included in this project. So, please disregard that and the 7 additional items.

Thanks,
Kevin

Kevin Goodwin P.E., LEED AP, CEM | Area Manager

Ainsworth Inc. – Building Automation Solutions
780 Fifth Avenue, Suite 115 King of Prussia, Pennsylvania 19406
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kevin.goodwin@ainsworth.com | www.ainsworth.com | [TWITTER](#) | [LINKEDIN](#)



While our name and logo will be different, we are still the same great team you have come to know and trust.
We look forward to this next chapter of growth with you.

From: Zach Eskin <Zach.Eskin@ainsworth.com>
Sent: Saturday, June 22, 2024 7:35 AM
To: ALBALL3@1DPSLLC.COM
Cc: Kevin Goodwin <Kevin.Goodwin@ainsworth.com>; Gregory Holt <Gregory.Holt@ainsworth.com>
Subject: Duct Cleaning Quote Request - SCI Phoenix Prison

Good morning Alphonso,

Following up with the documents and details from your conversation with Kevin. Let me know if you have any questions!

Bid Description:

This would be typical of 5 housing units.

- 2 AHUs
- 16 VAVs
- 4 Supply Fans
- 4 Exhaust Fans

Duct cleaning of Housing units P, Q, R, S, and T per ACR NADCA Standard – 2021 Edition

B. Prior to Final Inspection, the following is a list (which is not intended to be an all inclusive list) of cleaning levels required by the DBC as part of basic contract Work:

1. remove labels which are not required as permanent labels.
2. clean transparent materials, including mirrors, windows, and doors to a polished condition.
3. remove substances which are noticeable as vision-obscuring materials.
4. clean exposed exterior and interior hard-surfaced finishes to a dirt-free condition, free of dust, stains, paint spatters, films and similar noticeable distracting substances. Except as otherwise indicated, avoid disturbance of natural weathering of exterior surfaces. Restore reflective surfaces to original reflective condition.
5. Clean concrete floors; in non-occupied spaces, broom clean. Remove all stains, marks, paint, rust, etc. caused by construction activities.
6. Clean plumbing fixtures to a sanitary condition, free of stains, including those resulting from water exposure.
7. Clean mechanical and electrical equipment, ductwork and replace all filters

Thanks,

Zach Eskin | *Account Executive, Building Automation Solutions - US East*

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780 Fifth Avenue, Suite 115 King of Prussia, Pennsylvania 19406

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