

## CONTRACTOR GOOD FAITH EFFORT APPLICATION

This application is for consideration of a waiver or modification of the DBE contract goal. All supporting documentation and evidence of good faith efforts must be clearly labeled and submitted with this application, as specified below. Without such information, the application will be deemed incomplete and returned without review. The Department reserves the right to discuss the contents of the application with the applicant.

### PART A – APPLICANT INFORMATION

APPLICANT NAME				
ADDRESS	STREET	CITY	STATE	ZIP CODE
PHONE NO.	FAX NO.		E-MAIL ADDRESS	
CONTACT PERSON			TITLE	

### PART B – PROJECT DESCRIPTION

LETTING DATE		LETTING ITEM NO.		
CONTRACT ID	JOB NO. & FEDERAL ID	<input type="checkbox"/> Attach copy of the MDOT Advertisement or eProposal home page for this item.		
ANTICIPATED START DATE (based on Progress Schedule)		EXPECTED COMPLETION DATE (based on Progress Schedule)		

### PART C – WAIVER OR MODIFICATION REQUEST INFORMATION

DESIGNATED DBE GOAL	REQUESTED DBE GOAL	(Type of Request – Check one only)
_____ %	_____ %	<input type="checkbox"/> Pre-award <input type="checkbox"/> Post-award
% <b>VS</b> %		
TOTAL DBE PARTICIPATION DOLLARS BASED ON ADVERTISED DBE GOAL (Total prime Bid \$ * DBE % Goal)		

### PART D – PROJECT SUMMARY AMOUNTS

TOTAL PRIME BID	\$
TOTAL DOLLARS COMMITTED TO NON-DBEs (From line 16 below under Non-DBE commitment)	\$
TOTAL DOLLARS COMMITTED TO DBEs (From line 11 below under DBE commitment)	\$
TOTAL DOLLARS NOT COUNTED COMMITTED TO DBE SUPPLIERS (Total paid to DBE suppliers – 60%)	\$
WORK TO BE PERFORMED BY PRIME (Prime Bid – Non-DBE Dollars – DBE Dollars)	\$
PERCENT OF WORK PERFORMED BY PRIME	\$
TOTAL DBE PARTICIPATION REMAINING	\$

### PART E – DBEs COMMITMENTS

COMMITTED DOLLARS	DBEs COMMITMENTS (List only DBEs who have executed DBE participation forms (MDOT Form 0178))	TYPE OF WORK QUOTED	STATUS	DATE SUBCONTRACT OR P.O. EXECUTED
1.			DBE	
2.			DBE	
3.			DBE	
4.			DBE	
5.			DBE	

COMMITTED DOLLARS	DBEs COMMITMENTS (List only DBEs who have executed DBE participation forms attach. Attach MDOT Form 0178 copies)	TYPE OF WORK QUOTED	STATUS	DATE SUBCONTRACT OR P.O. EXECUTED
6.			DBE	
7.			DBE	
8.			DBE	
9.			DBE	
10.			DBE	
11.	<b>Total dollars committed to DBEs</b>		DBE	

PART F – NON-DBE COMMITMENTS				
COMMITTED DOLLARS	NON-DBE COMMITMENTS List all non-DBE Subcontractors, truckers, materials/suppliers & other service providers you will use on this project.	TYPE OF WORK QUOTED	STATUS	DATE SUBCONTRACT OR P.O. EXECUTED
1.			Non-DBE	
2.			Non-DBE	
3.			Non-DBE	
4.			Non-DBE	
5.			Non-DBE	
6.			Non-DBE	
7.			Non-DBE	
8.			Non-DBE	
9.			Non-DBE	
10.			Non-DBE	
11.			Non-DBE	
12.			Non-DBE	
13.			Non-DBE	
14.			Non-DBE	
15.			Non-DBE	
16.	<b>Total Dollars committed to Non-DBEs</b>		Non-DBE	

PART G - DBEs QUOTED BUT NOT SELECTED			
QUOTED DOLLARS	DBEs WHO QUOTED, BUT WERE NOT SELECTED	TYPE OF WORK QUOTED	REASON NOT SELECTED
1.			<input type="checkbox"/> Quote too high <input type="checkbox"/> Quote not complete <input type="checkbox"/> Other (Please attach explanation)
2.			<input type="checkbox"/> Quote too high <input type="checkbox"/> Quote not complete <input type="checkbox"/> Other (Please attach explanation)
3.			<input type="checkbox"/> Quote too high <input type="checkbox"/> Quote not complete <input type="checkbox"/> Other (Please attach explanation)

4.			<input type="checkbox"/> Quote too high <input type="checkbox"/> Quote not complete <input type="checkbox"/> Other (Please attach explanation)
5.			<input type="checkbox"/> Quote too high <input type="checkbox"/> Quote not complete <input type="checkbox"/> Other (Please attach explanation)
6.			<input type="checkbox"/> Quote too high <input type="checkbox"/> Quote not complete <input type="checkbox"/> Other (Please attach explanation)
7.			<input type="checkbox"/> Quote too high <input type="checkbox"/> Quote not complete <input type="checkbox"/> Other (Please attach explanation)
8.			<input type="checkbox"/> Quote too high <input type="checkbox"/> Quote not complete <input type="checkbox"/> Other (Please attach explanation)
9.			<input type="checkbox"/> Quote too high <input type="checkbox"/> Quote not complete <input type="checkbox"/> Other (Please attach explanation)
10.			<input type="checkbox"/> Quote too high <input type="checkbox"/> Quote not complete <input type="checkbox"/> Other (Please attach explanation)

NUMBER OF DBEs SOLICITED
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All DBEs who quoted, but who were not chosen to work on this contract, are to be included below.

- Attach copies of quotes of all DBEs who quoted but who were not selected.
- Attach copies of quotes from the non-DBEs selected to do work quoted by the DBEs listed below.
- Attach Apples-to-Apples Comparison (Spreadsheet available from OBD).
- Attach copies of proof of payments to DBE's on any other projects mentioned in cover letter.

**METHODS USED TO SOLICIT DBE PARTICIPATION FOR THIS PROJECT:**

Incomplete applications will be returned without review. Once all required information is submitted, the GFE Committee will review your request.

- Fax (Sample of the fax, transmittal logs identifying each DBE firm solicited based on each fax number and the associated fax transmission stat log(s). Please be sure fax dates are clearly visible)
- Telephone (Telephone log showing the name of each DBE firm contacted, the telephone contact date, and brief notes about each contact, as applicable).
- Mail (Documentation: Include a sample letter and include solicitations which were returned undeliverable)
- E-mail (attach E-mail copy sent and distribution list)
- Website address \_\_\_\_\_
- Advertisement placed in/on \_\_\_\_\_ (attach copy of advertisement(s) referencing specific letting items and dates).
- Attendance at session(s) sponsored by MDOT's DBE program (session name(s)/date(s): \_\_\_\_\_)
- Other (describe, and if applicable, attach sample copy) \_\_\_\_\_
- A cover letter describing relevant facts MDOT should consider in making a determination is included.

- The cover letter includes a statement that subcontractors were asked to try to obtain DBE participation as a lower tier subcontractor, and contains the outcome of these efforts.
- For post-award Good Faith Effort Applications, the cover letter details the reasons a post-award modification is needed.
- The cover letter verifies that the Michigan Unified Certification Program (MUCP) Web site was used to identify DBEs who work in the county where the contract is located. The MUCP Web site is located at <http://mdot270.state.mi.us.8080/ucp/homePageServlet>
- The cover letter indicates whether the contractor cost summary for the respective job was used to help identify DBEs. Cost summaries are published on the MUCP Web site and are available upon request from MDOT's Office of Business Development.
- Include the first page of the results of your targeted MUCP search using the cost summary and county.

**PART H – CERTIFICATION**

SIGNATURE (Authorized Representative)	TITLE	DATE
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Please review the application to ensure it is completed in entirety and then submit to:

Michigan Department of Transportation  
 Office of Business Development  
 P.O. Box 30050  
 425 West Ottawa St.  
 Lansing, MI 48909 **or**  
 E-mail to: [MDOT-GFE@michigan.gov](mailto:MDOT-GFE@michigan.gov)  
 Telephone: (517) 373 - 2377

## **GUIDELINES FOR CONTRACTORS SUBMITTING A CONTRACT WAIVER OR MODIFICATION**

When a Request for Waiver/Modification is submitted, 49 CFR, Part 26, Appendix A, criteria will apply. This regulation can be reviewed on the MDOT DBE Web site at, [www.michigan.gov/mdotdbe](http://www.michigan.gov/mdotdbe). However, contractors submitting a Waiver/Modification request should be prepared to address and discuss the following criteria/questions with the Good Faith Efforts (GFE) Review Committee members. The information below is not intended to be a mandatory list, nor is it intended to be an exclusive or exhaustive list. As is evidenced by Appendix A and these guidelines the quality, quantity and intensity of good faith efforts are important.

### Criteria 1: "Offer of Work"

1. Did the prime contractor offer sufficient amount of work to meet the DBE goal?
2. Did the prime contractor offer work in economically feasible units?
3. Did the prime contractor offer work normally performed with bidders own work force?
4. Did the prime contractor notify qualified DBE firms?
5. Were notified DBE firms in close geographic proximity to the project?

### Criteria 2: "Timely Notice"

1. Did the prime contractor send timely written (e-mail/fax) solicitation notices to certified DBE firms?
2. Did the solicitation notice include the following:
  - a. Name and location of project
  - b. Bid date
  - c. Scope of work requested
  - d. Location where DBE's can review plans and specifications
  - e. Date and time to submit quote
  - f. Contact name for technical assistance
  - g. Any special requirements

### Criteria 3: "Finance and Bonding Outreach"

1. If requested by the DBE, did the prime contractor provide contacts for possible bonding, insurance and lines of credit?
2. If requested by the DBE, did the prime contractor provide technical assistance in these areas?

### Criteria 4: "Prime Contractor Follow-Up"

1. Did the contractor maintain a "follow-up log" from the initial solicitation? The log must show:
  - a. Type of contact (fax, telephone, e-mail)
  - b. Name of contact person
  - c. Name of DBE firm
  - d. Date and time of DBE contacted
  - e. Response received
  - f. Reason for DBE not bidding project (if applicable)

### Criteria 5: "Prime Contractor DBE Program Outreach and Support"

1. Did the prime contractor host DBE informational workshops, attend Michigan Department of Transportation (MDOT) sponsored DBE events; such as networking sessions, DBE conference, DBE/prime contractor meetings, etc.?
2. Did the prime contractor contact minority business organizations about DBE opportunities?

Note: DBE percentages submitted by the three lowest bidders, at time of bid, will be reviewed by the Good Faith Efforts Review Committee members.