

Connecticut Department of Transportation Application for Pre-award Good Faith Effort Consideration

If you, the contractor, are unable to meet the Disadvantaged Business Enterprise (DBE) goal set forth in the project special provisions for which you have submitted a bid, you may request good faith effort consideration. This form should be completed and furnished to the Office of Contracts within five (5) calendar days of the bid opening.

You must show that you have taken all reasonable steps to achieve the DBE goal which, by their scope, intensity, and appropriateness to the objective, could reasonably be expected in order to obtain sufficient DBE participation.

To determine whether you have demonstrated good faith efforts to reach the DBE goal on the project, the Office of Contract Compliance will consider documented evidence of good faith efforts to meet the goal. Evidence of good faith efforts include the following:

- The bidder has utilized the current CTDOT Directory of certified DBE firms.
- The bidder has selected specific portions of the work to be performed by DBEs sufficient to meet the DBE goal.
- The bidder has offered work in economically feasible units by breaking down subcontracts into smaller units to facilitate DBE participation.
- The bidder has reached out to DBE firms with offers to bid items of work that are eligible for DBE credit.
- The bidder has offered work normally performed by their own workforce.
- The bidder has followed-up with DBE firms to determine their intentions to submit bids.
- The bidder has provided interested DBEs with adequate information about the plans, and specifications and requirements of the project.
- The bidder has provided adequate time for DBEs to respond and submit bids.
- The bidder has negotiated in good faith with interested DBEs and did not reject DBEs as unqualified without sound business reasons based on a thorough investigation of their capabilities.
- The bidder has maintained the following records for each DBE firm contacted for subcontracting opportunities:
 - Name, address, telephone number, contact person, date(s) of contact and method of contact;
 - Copies of information provided by the bidder to the DBE; and
 - A statement of whether an agreement was reached, and if not, why, including any reasons for concluding that the DBE was unqualified to perform the job.

- Solicitations should include the following:

- Name and location of project
- Bid date
- Scope of work requested
- Locations where DBEs can review plans and specifications
- Date and time to submit quote
- Contact name for technical assistance
- Any special requirements

- [Guidance Concerning Good Faith Efforts](#) can be found in 49 CFR Part 26, Appendix A. All supporting documentation and evidence of good faith efforts must be clearly labeled and submitted with this application. All applicants must use this form and include the following:
 - 1- Using the bid item list, identify the items performed in-house and items of work that can be subcontracted.
 - 2- Based on the prices on your proposal provide the percentage of in-house work and work to be sublet for each item.
 - 3- Indicate all steps taken to identify DBE firms to for subcontracting opportunities.
 - 4- List all DBE firms solicited.
 - 5- Attach copies of quotes of all DBEs who quoted but were not selected
 - 6- Attach quotes from the non-DBEs selected to work quoted by DBEs.
 - 7- Provide spreadsheet showing the prices of each item bid by DBEs and non-DBEs
 - 8- All communications between you and the firms identified in Step 4 to show your solicitation and their responses.
 - 9- Any information you deem necessary to document your efforts to obtain enough DBE participation to meet the project goal.

All applications must be delivered to the Office of Contracts to the attention of the Post-Bid Unit within five (5) calendar days of the bid opening. The Office of Contract Compliance will evaluate the low-bidder's GFE application; or the subsequent low-bidder's application in the event the identified low-bidder is ineligible for contract award to provide notification of the determination.

In cases where it is determined that the bidders GFE is inadequate, the apparent low bidder shall have three (3) business days from the date of notification to request in writing, an administrative reconsideration.

The request for the administrative reconsideration including any documentation as to why the decision should be overturned, must be made in writing to: Contracts Manager

Contracts Unit P. O. Box 317546
Newington, CT 06131-7546

This reconsideration request will be forwarded to the Reconsideration Official and the requester will be contacted. The apparent low bidder will have an opportunity to present documentation or oral arguments concerning the issue of whether it made adequate Good Faith Efforts to meet the goal.

Within seven (7) days following the reconsideration meeting, the Reconsideration Officer will notify you of the decision. The decision is final and not appealable to USDOT. If the original decision is not overturned the bid will be rejected.

Connecticut Department of Transportation

Pre-award Good Faith Efforts

Name of Applicant: _____

Address: _____

Project Number: _____ Original Bid amount (\$): _____

Original DBE Goal (%): _____

Total DBE commitments obtained (attach the DBE Participation Approval Request):

\$_____ %_____

Use attachments if needed.

- 1- Using the items list, identify the item performed in-house and items available to be subcontracted.
You may use a copy of the proposal item for this section as attachment.

Item number	Description	Item Bid Amount (\$)	performed in-house (Yes or No)
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

- 2- Based on the prices on your proposal identify the percentage of work you intend to self-perform and work you plan to be sublet.

In-house Dollar amount: \$
Amount for sublet: \$

In-house % of total bid: %
Sublet % of total bid: %

For the following three (3) requirements, use attachments.

- 3- Indicate all steps taken to identify DBE firms to match the work to be sublet in step 2.
- 4- List all DBE firms identified and contacted, and include what work was offered.
- 5- All communications between you and the firms identified in Step 4 to show your solicitation and their responses. Include all emails and responses, phone logs with contact name and the date contacted, faxes, mail communications.
- 6- Include any information of a similar nature relevant to the application.

Signature

Date

Print Name