GOOD FAITH EFFORTS GUIDELINES
SAN DIEGO ASSOCIATION OF GOVERNMENTS (SANDAG)

May 2016
www.sandag.org/contracts
# GOOD FAITH EFFORTS GUIDELINES

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I. INTRODUCTION


The objectives of 49 CFR, Part 26 include the following:

- To ensure nondiscrimination in the award and administration of Department of Transportation (DOT) assisted contracts in highway and transit financial assistance programs
- To create a level playing field on which DBEs can compete fairly for DOT-assisted contracts
- To ensure that the DBE Program is narrowly tailored in accordance with applicable law
- To ensure that only firms that fully meet eligibility standards are permitted to participate as DBEs
- To help remove barriers to the participation of DBEs in DOT-assisted contracts
- To assist the development of firms that can compete successfully in the marketplace outside the DBE Program
- To provide appropriate flexibility to recipients of federal financial assistance in establishing and providing opportunities for DBEs

Whenever SANDAG conducts a procurement that is federally funded in whole or in part, it must determine whether a contract specific DBE goal should be established. Goals are established only if DBE contracting or subcontracting opportunities are likely to be available. The goal is established based on demonstrable evidence of the availability of ready, willing, and able DBEs relative to all businesses (whether DBE or not) that are ready, willing, and able to participate for the type of work being awarded. SANDAG may receive federal funds as a direct recipient of DOT Federal Transit Administration (FTA). SANDAG also may receive federal funds from the Federal Highway Administration (FHWA) as a sub-recipient, through Caltrans.

The DBE category is comprised of businesses owned and controlled by specific socially and economically disadvantaged groups as identified in 49 CFR, Part 26.67.

The following six (6) groups make up the DBE category:

- African American
- Asian-Pacific American
- Subcontinent-Asian American
- Hispanic American
- Native American
- Women

The DBE category applies to both FTA and FHWA assisted contracts.

**Definition:**

**DBE** – DBEs are for-profit small business concerns where socially and economically disadvantaged individuals own at least a 51 percent interest and also control management and daily business operations. African Americans, Hispanic Americans, Native Americans, Asian-Pacific and Subcontinent-Asian Americans, and Women are presumed to be socially and economically disadvantaged. Other individuals also can qualify as socially and economically disadvantaged on a case-by-case basis.
If SANDAG establishes a contract, task order, or job order goal, a proposer/bidder must meet the goal specified or demonstrate Good Faith Efforts (GFE) in their attempt to meet the goal.

SANDAG establishes contract, task order, and job order goals based on the relative availability of DBE firms in the market place. SANDAG believes these goals can be and should be achieved by proposers/bidders. However, if a proposer/bidder is unable to meet the goal, to demonstrate GFE, the proposer/bidder must show that it took necessary and reasonable steps to achieve the DBE goal. SANDAG has prepared this “Good Faith Efforts Guidelines” booklet to assist contractors and consultants in understanding Good Faith Efforts. The “Good Faith Efforts Guidelines” is intended to provide guidance to proposers and bidders. Final determination of appropriate Good Faith Efforts are governed by 49 CFR Part 26.53 and Appendix A to Part 26.

Comments regarding this booklet may be directed to Elaine Richardson, SANDAG, Manager of Small Business Development, 401 B Street, Suite 800, San Diego, CA 92101-4231. Phone: (619) 699-6956, or via email: elaine.richardson@sandag.org.
II. OVERVIEW

- A proposer/bidder that has not committed to meet or exceed the DBE goal for a contract, task order, or job order must complete and submit the form entitled DBE Information-Good Faith Efforts (Form 15-H) and demonstrate adequate Good Faith Efforts unless otherwise indicated by the Request for Proposal (RFP), Request for Qualifications (RFQ), or Invitation to Bid (IFB). SANDAG recommends that even proposers/bidders who have committed to meet the goal additionally submit this form as a means of protecting their eligibility for award in the event that the DBE firm(s) listed was improperly credited by the proposer due to events such as a lapse in certification by the proposed DBE firm(s).

- For Public Works Construction projects, GFE documentation must be submitted within four (4) SANDAG working days after the day bids are received, by 4 p.m. For all other procurements, the solicitation document will state the deadline for receipt of GFE documentation, but it is typically due at the same time as the proposal.

- The person responsible for putting together the GFE package for a proposer/bidder may contact, Elaine Richardson, SANDAG, Manager of Small Business Development, by email at elaine.richardson@sandag.org with any questions regarding the GFE time period for a particular RFP, IFB, or RFQ.

- Each GFE criteria is graded on a pass/fail basis, based on the overall documentation of efforts for the criteria.

- A promise to use DBEs after DBE and/or GFE documentation is not considered to be responsive to the contract solicitation or to constitute good faith efforts.

- Nothing set forth in this booklet supersedes the information stated in the RFP, IFB, or RFQ for a specific procurement, or DBE regulations under 49 CFR Part 26.

- It is the responsibility of the proposer/bidder to verify the DBE certification of their selected DBE subcontractor/subconsultant/vendor is valid and current on the California Unified Certification Program (CUCP) website (www.californiaucp.org).
III. CERTIFICATION

If a proposer/bidder has questions regarding certification or the certification process, they should contact SANDAG or one of the following agencies.

**CALIFORNIA DEPARTMENT OF TRANSPORTATION (CALTRANS)**
Civil Rights MS 79
1823 14th Street
Sacramento, CA 95814
Phone: (916) 324-1700 or (866) 810-6346
Fax: (916) 324-1862
Website: [www.caltrans.ca.gov](http://www.caltrans.ca.gov)
CUCP: [www.dot.ca.gov/hq/bep/find_certified.htm](http://www.dot.ca.gov/hq/bep/find_certified.htm)

**CITY OF LOS ANGELES**
Office of Contract Compliance
Centralized Certification
1149 South Broadway Street, Suite 300
Los Angeles, CA 90015
Phone: (213) 847-6480
Fax: (213) 847-5566
Website: [bca.lacity.org](http://bca.lacity.org)

**LOS ANGELES COUNTY METROPOLITAN TRANSPORTATION AUTHORITY (METRO)**
Diversity and Economic Opportunity Department
One Gateway Plaza
Los Angeles, CA 90012
Phone: (213) 922-2600
Fax: (213) 922-7660
Website: [https://business.metro.net](https://business.metro.net)

To verify certification for a DBE firm, please go to the California Unified Certification Program (CUCP) website ([www.californiaucp.org](http://www.californiaucp.org)). Click on DIRECTORY to access the DBE directory.
IV. GOOD FAITH EFFORTS CRITERIA

The following GFE criteria developed, based on the requirements of 49 CFR Part 26, Appendix A, have been established to assist contractors and consultants in meeting the established contract goals. Following the table are descriptions of the type of efforts recommended for each item.

<table>
<thead>
<tr>
<th>Item #</th>
<th>Mechanism Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Attendance at Pre-Bid, Pre-Proposal, or Pre-Statement of Qualifications (SOQ) Meeting</td>
</tr>
</tbody>
</table>
| 2.     | Advertisement of Opportunity:  
|        | • Names and dates of all advertisements  
|        | • Copies or proofs of publication  
|        | • Evidence that opportunity was solicited with sufficient time to allow response to IFB/RFP/Solicitation and or Task Order request |
| 3.     | Written Notices to DBE Firms  
|        | • List of all certified DBEs solicited  
|        | • Copies of letters sent  
|        | • Documentation of follow-up performed |
| 4.     | Work identified for DBE Firms  
|        | • Demonstrate that sufficient work was identified for DBE subcontractors |
| 5.     | List of rejected DBEs and reasons for rejection  
|        | • Include name, address, and telephone number(s)  
|        | • Include price/quote if selected subcontractor/subconsultant is not a DBE |
| 6.     | List of efforts made to interested DBEs in obtaining bonds, lines of credit, insurance, and information about scope of work, plans, and specifications |
| 7.     | List any efforts made to assist interested DBEs in obtaining necessary equipment, supplies, materials, or related assistance or services |
| 8.     | List the minority/women agencies, organizations, or groups contacted to provide assistance in contracting, reporting, and using DBEs |
| 9.     | Documentation that DBEs were negotiated with in good faith |
V. ESSENTIAL GOOD FAITH EFFORTS DOCUMENTATION

Based on the Code of Federal Regulations, SANDAG defines Good Faith Efforts as "those efforts that, given all relevant circumstances, a competitor actively and aggressively seeking to meet the goals would make. Efforts that are merely pro forma are not good faith efforts to meet the goals, even if they are sincerely motivated, if, given all relevant circumstances, they could not reasonably be expected to produce a level of participation sufficient to meet the goals."

In order to be responsive, any proposer/bidder who does not meet the goals will need to submit evidence of having made a good faith effort to meet them. In determining whether a proposer/bidder has made good faith efforts, SANDAG will look not only at the different kinds of efforts that the proposer/bidder has made, but also at the quantity and intensity of these efforts. Information necessary to demonstrate Good Faith Efforts for federally-funded projects include the following:

No. 1 - PRE-BID, PRE-PROPOSAL or PRE-SOQ MEETING

- Be on time and attend the entire meeting
- Sign the attendance sheet, providing the name and title of person(s) representing proposer’s/bidder’s firm
- Provide proposer/bidder firm’s name
- Describe the type of service(s) that firm performs
- Confirm if proposer/bidder itself is certified as either a Disadvantaged Business Enterprise (DBE) or Small Business (SB)
- Include a copy of the attendance sheet in GFE documentation. The attendance sheet will be posted to the SANDAG website for download after the meeting. See sandag.org/contracts

No. 2 - ADVERTISEMENT

The advertisement must be PUBLISHED not less than ten calendar days prior to the proposal or bid due date and a proof of publication must be submitted with the GFE documentation. Consideration will be given to the wording of the advertisement, which should mention the DBE opportunity.

- Timeliness of Publication
  - It is the proposer’s/bidder’s responsibility to ensure that the advertisement is published on time, and that the wording is correct
  - It is recommended that multiple publications be used with a minimum of a one-day advertisement placed in each

- Text of Advertisement
  - SANDAG project name
  - Proposer/bidder firm’s name
  - Areas of work to be subcontracted/supplied
  - Contact person’s name, address, telephone and fax number, and email address
  - Detailed information on availability of scope of work, plans and specifications
✓ Proposer’s/bidder’s policy concerning assistance in obtaining bonds, lines of credit, and insurance

✓ Must be addressed to DBE firms with California DBE certification

✓ Bid/proposal due date

- **Proof of Publication**

  ✓ Submit the proof of publication, which must include a legible copy of the advertisement (see below for sample). This document is supplied by the publisher and usually accompanies the invoice. A cutout of the header along with the advertisement is not acceptable.

  ✓ If using an online publication, please include information regarding the site.

- **Location of Advertisements**

  ✓ When publishing in newspapers, the advertisement should be in the Bids Wanted, Legal Notices section of the Classified Ads, Subcontracting Opportunities, or Business Opportunities sections, not in the Employment Opportunities section.

  ✓ When publishing online, the advertisement should be in the Outreach Ads, Bids Wanted, Legal Notices section of the Classified Ads, Subcontracting Opportunities, or Business Opportunities sections, not in the Employment Opportunities section.

**SAMPLE OF ADVERTISEMENT**

| Requesting Sub-bids, Sub-proposals from firms with California DBE certification | Subcontractors/Subconsultants/Vendors wanted for: *(List specific work items that you are interested in subcontracting. It is important to break out as much detail as possible)* |
| Project Name: | Owner: SANDAG |
| Bid/Proposal Due Date & Time: | For information on the availability of scope of work, plans, and specifications and the proposer/bidder’s policy concerning assistance to subcontractors in obtaining bonds, lines of credit, and/or insurance, please contact our office. |
| Proposer’s/Bidder’s Name | Address |
| Email, Telephone, and Fax Number |
LIST OF PUBLICATIONS

The following publications are a partial list of the sources available in Southern California for outreach. SANDAG does not recommend or endorse any publication. The list is not an all-inclusive list of acceptable publications. If you would like to use other publications, it is recommended that you contact Elaine Richardson, SANDAG, Manager of Small Business Development using the contact information in these Guidelines to confirm the acceptability of the publication prior to placing your advertisement.

General Construction Print and Online Publications

<table>
<thead>
<tr>
<th>Publication</th>
<th>Address/Contact Information</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Dodge Report</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Dodge Construction News (Green Sheet)</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Dodge Project Center</strong></td>
<td>McGraw-Hill Construction/Dodge</td>
</tr>
<tr>
<td></td>
<td>148 Princeton Heightstown Road, N-1</td>
</tr>
<tr>
<td></td>
<td>Heightstown, NJ 08520</td>
</tr>
<tr>
<td></td>
<td>Phone: (888) 814-0513</td>
</tr>
<tr>
<td></td>
<td>Fax: (888) 478-7703</td>
</tr>
<tr>
<td></td>
<td>Email: <a href="mailto:MHC_Official_Bids@McGraw-Hill.com">MHC_Official_Bids@McGraw-Hill.com</a></td>
</tr>
<tr>
<td></td>
<td><a href="http://www.construction.com">www.construction.com</a></td>
</tr>
<tr>
<td><strong>PlanetBids, Inc.</strong></td>
<td>20929 Ventura Boulevard., Suite 210</td>
</tr>
<tr>
<td></td>
<td>Woodland Hills, CA 91364</td>
</tr>
<tr>
<td></td>
<td>Phone: (818) 992-1771</td>
</tr>
<tr>
<td></td>
<td><a href="http://www.planetbids.com">www.planetbids.com</a></td>
</tr>
<tr>
<td><strong>Daily Construction Reporter</strong></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Associated General Contractors of America</td>
</tr>
<tr>
<td></td>
<td>6212 Ferris Square</td>
</tr>
<tr>
<td></td>
<td>San Diego, CA 92121</td>
</tr>
<tr>
<td></td>
<td>Phone: (858) 874-8560</td>
</tr>
<tr>
<td></td>
<td>Fax: (858) 874-8569</td>
</tr>
<tr>
<td></td>
<td><a href="http://www.agcsd.org">www.agcsd.org</a></td>
</tr>
</tbody>
</table>

Newspapers – Classified Ads

<table>
<thead>
<tr>
<th>Publication</th>
<th>Address/Contact Information</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>El Latino San Diego</strong></td>
<td></td>
</tr>
<tr>
<td></td>
<td>P.O. Box 550</td>
</tr>
<tr>
<td></td>
<td>San Diego, CA 92112</td>
</tr>
<tr>
<td></td>
<td>Phone: (619) 426-1491</td>
</tr>
<tr>
<td></td>
<td>Fax: (619) 426-3206</td>
</tr>
<tr>
<td></td>
<td><a href="http://www.ellatinoonline.com">www.ellatinoonline.com</a></td>
</tr>
<tr>
<td><strong>Hispanos Unidos</strong></td>
<td></td>
</tr>
<tr>
<td></td>
<td>P.O. Box 462016</td>
</tr>
<tr>
<td></td>
<td>Escondido, CA 92046</td>
</tr>
<tr>
<td></td>
<td>Phone: (760) 740-9561</td>
</tr>
<tr>
<td></td>
<td>Fax: (760) 737-3035</td>
</tr>
<tr>
<td></td>
<td><a href="http://www.hispanosnews.com">www.hispanosnews.com</a></td>
</tr>
<tr>
<td><strong>La Prensa San Diego</strong></td>
<td></td>
</tr>
<tr>
<td></td>
<td>651 Third Avenue, Suite C</td>
</tr>
<tr>
<td></td>
<td>Chula Vista, CA 91910</td>
</tr>
<tr>
<td></td>
<td>Phone: (619) 425-7400</td>
</tr>
<tr>
<td></td>
<td><a href="http://www.laprensa-sandiego.org">www.laprensa-sandiego.org</a></td>
</tr>
<tr>
<td><strong>North County Times</strong></td>
<td></td>
</tr>
<tr>
<td></td>
<td>933 West San Marcos Boulevard</td>
</tr>
<tr>
<td></td>
<td>San Marcos, CA 92078</td>
</tr>
<tr>
<td></td>
<td>Phone: (760) 761-4407</td>
</tr>
<tr>
<td></td>
<td>Fax: (760) 761-0908</td>
</tr>
<tr>
<td></td>
<td><a href="http://www.nctimes.com">www.nctimes.com</a></td>
</tr>
<tr>
<td><strong>San Diego Asian Journal</strong></td>
<td></td>
</tr>
<tr>
<td></td>
<td>550 East 8th Street, Suite 6</td>
</tr>
<tr>
<td></td>
<td>National City, CA USA 91950</td>
</tr>
<tr>
<td></td>
<td>Phone: (619) 474-0588</td>
</tr>
<tr>
<td></td>
<td>Fax: (619) 474-0373</td>
</tr>
<tr>
<td></td>
<td><a href="http://www.asianjournalusa.com">www.asianjournalusa.com</a></td>
</tr>
<tr>
<td><strong>San Diego Business Journal</strong></td>
<td></td>
</tr>
<tr>
<td></td>
<td>4909 Murphy Canyon Road</td>
</tr>
<tr>
<td></td>
<td>San Diego, CA 92123</td>
</tr>
<tr>
<td></td>
<td>Phone: (858) 277-6359</td>
</tr>
<tr>
<td></td>
<td><a href="http://www.sdbj.com">www.sdbj.com</a></td>
</tr>
</tbody>
</table>
San Diego Voice and Viewpoint
3619 College Avenue
San Diego, CA 92115
Phone: (619) 266-2233
Fax: (619) 266-0533
www.sdvoice.info

San Diego Monitor News
3570 Olive Street
Lemon Grove, CA 91945
Phone: (619) 668-1007
Fax: (619) 668-0778

San Diego Union-Tribune
P.O. Box 120191
San Diego, CA 92112
Phone: (619) 299-3131
Fax: (619) 293-2077
www.signonsandiego.com

DBE Print and Online Publications

Compliance News
11 South Termino Avenue, Suite #214
Long Beach, CA 90803
Phone: (800) 599-6996
www.compliancenews.com

DBE Goodfaith
P.O. Box 521
Newark, CA 94560
Phone: (877) 802-3394
www.dbegoodfaith.com

Minority Proposer/Bidders Bulletin & Construction Update
16885 West Bernardo Drive # 335
San Diego, CA 92127
Contact: Jim Wiegele
Phone: (858) 487-2600
Fax: (858) 487-3500
www.goodfaitheffort.com

Small Business Exchange
703 Market Street, Suite 1000
San Francisco, CA 94113
Contact: Gerald Johnson
Phone: (415) 778-6250
Fax: (415) 778-6255
www.sbeinc.com

W/M/S/DVBE Contract & Construction News & Thomas Bid Register
P.O. Box 2066
Colton, CA 92324
Phone: (800) 570-7070
www.constructionbidsource.com

Construction Bid Source
P.O. Box 568
Burson, CA 95225
Phone: (800) 962-4162
www.constructionbidsource.com

Other Resources

CA Department of General Services
Small Business & Disabled Veteran Business Enterprises Services
707 Third Street
West Sacramento, CA 95606
Phone: (916) 375-4400
No. 3 – WRITTEN NOTICES TO DBE FIRMS

- Letters must be sent and/or emailed to available DBEs, for work area listed, not less than ten calendar days prior to the bid/proposal due date.

  - Letters must be sent to an adequate number of DBEs to reasonably expect to meet the contract, task order, job order, or supplement DBE goal. Determination of an adequate number of DBEs to be contacted will depend on the number of certified DBEs in the SANDAG market area for each work category. The following table includes the recommended number of DBE contacts based on the availability of DBEs:

<table>
<thead>
<tr>
<th>Available DBE Firms</th>
<th>Recommended DBE Contacts</th>
</tr>
</thead>
<tbody>
<tr>
<td>5 or less</td>
<td>All</td>
</tr>
<tr>
<td>6 to 10</td>
<td>5</td>
</tr>
<tr>
<td>11 to 50</td>
<td>50%</td>
</tr>
<tr>
<td>51+</td>
<td>25</td>
</tr>
</tbody>
</table>

- Use the California Unified Certification Program (CUCP) website at www.californiaucp.org to identify and contact certified DBE firms.

- If you have difficulty locating DBEs for any of the work areas, contact SANDAG for assistance. You may contact Elaine Richardson, SANDAG, Manager of Small Business Development, by email at elaine.richardson@sandag.org with any questions.

- Letters should also be sent to those DBE firms with whom proposer/bidder has had a previous working relationship and believes may want to use on the contract, task order, job order, or supplement.

- Proposers/bidders should send letters to all available DBEs who may have an interest in bidding in the same specified work areas as the subcontractors, subconsultants or vendors with whom it has had a previous working relationship in those specified work areas.

- Letters should contain at a minimum
  - SANDAG project name
  - Bid, proposal, or SOQ due date/time
  - Specified work areas
  - Proposer/bidder firm’s name
  - Contact person’s name, address, telephone and fax number, and email address
  - Detailed information on availability of scope of work, plans, and specifications
  - Proposer/bidder’s policy concerning assistance in obtaining bonds, lines of credit, and insurance

- To meet the GFE requirements you must
  - Send the letters on time (not less than ten calendar days before proposals/bids are due)
  - Include all required information in the language of the letter
✓ Submit copies of each of the letters sent or one master notification including a listing of each firm sent the letter, AND

- If emailed: copies of the sent and received emails with date and time sent or received
- If faxed: copies of the fax transmittal confirmation sheet(s). No credit for error messages, busy, cancelled, etc.
- If mailed: copies of the metered envelopes or certified mail receipts

**SAMPLE WRITTEN NOTICE**

Bolder Corporation  
1234 Granite Avenue, Suite 800 San Diego, CA 92121

Attn: Estimator  
Subconsultants, Inc.  
123 Main Street  
San Diego, CA 92121

Re: Request for Sub Bids

To Whom It May Concern:

Bolder Corporation is a consulting firm responding to the Request for Proposals (RFP) for the project listed below:

Project: (Insert Project Title)  
Proposal Due Date: (Insert RFP Due Date)

We are seeking sub-bids from DBE subcontractors, subconsultants, and material and/or equipment suppliers in the areas of work included in, but not limited to, those listed below:

(List specified work areas here)

Bolder Corporation encourages all interested DBE firms to contact us at least five days prior to the proposal due date to review with us your proposed scope of work.

The scope of work, plans, specifications, and copies of the proposal are available for review at our office at 1234 Granite Avenue, Suite 800, San Diego, CA 92121; Monday through Friday, 8 a.m. to 5 p.m.

We are willing to assist all interested DBEs in obtaining bonds, lines of credit, and/or insurance.

If you are interested in participating in this project, please contact Jane Doe at (619) 123-4567.

Sincerely,

Jane Doe  
Project Manager
Bolder Corporation  
1234 Granite Avenue, Suite 800 San Diego, CA 92121  

Attn: Estimator  
Subconsultants, Inc.  
123 Main Street  
San Diego, CA 92121

Re: Request for Sub Bids

To Whom It May Concern:

Bolder Corporation is a construction firm bidding on the project listed below:

Project: (Insert Project Title)  
Bid Due Date: (Insert Bid Date)

We are seeking sub-bids from DBE subcontractors, subconsultants, and material and/or equipment suppliers in the areas of work included in, but not limited to, those listed below:

(List specified work areas here)

Bolder Corporation encourages all interested DBE firms to contact us at least one day prior to the bid due date to review with us your proposed scope of work.

The plans, specifications, and copies of the bid are available for review at our office at 1234 Granite Avenue, Suite 800, San Diego, CA 92121; Monday through Friday, 8 a.m. to 5 p.m.

We are willing to assist all interested DBEs in obtaining bonds, lines of credit, and/or insurance.

If you are interested in participating in this project, please contact Jane Doe at (619) 123-4567.

Sincerely,

Jane Doe  
Project Manager
SAMPLE METERED ENVELOPE

<table>
<thead>
<tr>
<th>Your Company Name</th>
<th>Metered Stamp</th>
</tr>
</thead>
<tbody>
<tr>
<td>Here</td>
<td></td>
</tr>
<tr>
<td>Street/P.O. Address</td>
<td></td>
</tr>
<tr>
<td>City, State Zip Code</td>
<td></td>
</tr>
</tbody>
</table>

Potential Subcontractor/Vendor
Street/P.O. Address
City, State Zip Code

No. 4 - WORK IDENTIFIED FOR DBE FIRMS

- Work areas are specific items of work that the proposer/bidder will make available to DBE subcontractors/subconsultants/vendors. Items of work should be broken down into economically feasible units that would increase the likelihood of achieving the DBE goal.

- Work areas must be listed in documentation, with estimated dollar value and percentage of the total contract or task order identified for that work area.

- Work areas must be listed either in advertisements or letters to potential subcontractors/subconsultants/vendors.

- Any work that proposer/bidder cannot complete should be listed as a work area for subcontractors/subconsultants/vendors.

- If proposer/bidder is able to complete all the work areas itself, it will have the option to:
  - Identify work areas that are potential areas to subcontract even though it is capable of carrying out these work areas itself, and/or
  - Perform an outreach to the suppliers that are specific to the project.

- All work areas for which proposer/bidder proposes utilizing a subcontractor/subconsultant/vendor MUST be represented in the GFE documentation.
  - Even if proposer/bidder has had a previous relationship with a subcontractor, subconsultant, or vendor, proposer/bidder must still list their relevant work area.

- A promise to use DBEs after the deadline for DBE or GFE documentation is not considered to be responsive to the contract or task order solicitation or to constitute Good Faith Efforts.
FOLLOW UP DOCUMENTATION

- The bidder/proposer must document all efforts to follow up the initial solicitations made by contacting subcontractors/subconsultants/vendors to whom it sent letters. The follow-up documentation to be submitted includes copies of letters, telephone logs, fax confirmations, emails, etc.

- If subcontractor/subconsultants/vendors have not responded to letter/faxes/emails, telephone calls should be made after the letters have been sent and before the deadline. It is important that the bidder/proposer develops a telephone log that includes the following information:
  - Project name
  - Name of person placing call
  - Name of company called
  - Contact person’s name
  - Date of call
  - Time of call
  - Results of conversation

- Follow up contact must be made at least once with all subcontractors/subconsultants/vendors with whom proposer/bidder left messages.

- Criteria that will be considered
  - Were the calls made during the lunch hour or too late in the work day?
  - Did proposer/bidder make a second follow up call with all firms with whom messages were left?
  - Review of the result of the conversation. If a subcontractor/subconsultant/vendor had offered to provide a quote but does not, follow-up is required.
  - Did proposer/bidder attempt other forms of contact as follow-up to the initial contact?
### SAMPLE TELEPHONE LOG

__________________________
(INSERT BIDDER/PROPOSER COMPANY NAME)

<table>
<thead>
<tr>
<th>Date</th>
<th>Time</th>
<th>Company Name</th>
<th>Phone #</th>
<th>Contact Person</th>
<th>Please Select One</th>
<th>Result(s) of Conversation</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
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<td></td>
<td>DBE</td>
<td>DBE</td>
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<td>Other</td>
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**ATTACH ADDITIONAL SHEETS AS NECESSARY**
**No. 5 – LIST OF REJECTED DBE FIRMS**

Bidder/proposer must provide a list of all DBE firms that were rejected and include the following information:

- Project name
- DBE firm name
- DBE firm address
- DBE firm phone number
- Total price/quote
- Reason for rejection
- Firm(s) selected for the work area that the rejected firm was solicited for
- Price difference for each DBE firm if the selected firm(s) is not a DBE

Please attach copies of the quotes from firms involved. A sample and blank version of a form entitled “Rejected DBE Firms List” is included in these Guidelines.
SAMPLE REJECTED DBE LIST

Project Name: Hwy 100 Landscaping

<table>
<thead>
<tr>
<th>Work Area #1: Demolition</th>
</tr>
</thead>
<tbody>
<tr>
<td>DBE Firm Name</td>
</tr>
<tr>
<td>-----------------</td>
</tr>
<tr>
<td>ABC Contractors</td>
</tr>
<tr>
<td>XYZ Demo Co.</td>
</tr>
<tr>
<td>Blue Company</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Work Area #2: Landscaping</th>
</tr>
</thead>
<tbody>
<tr>
<td>DBE Firm Name</td>
</tr>
<tr>
<td>-----------------</td>
</tr>
<tr>
<td>Green Landscaping</td>
</tr>
<tr>
<td>Landscape, Inc.</td>
</tr>
<tr>
<td>Ed's Sprinkler &amp; Landscape</td>
</tr>
</tbody>
</table>
**BLANK REJECTED DBE LIST**

**Project Name:**

**Work Area #1:**

<table>
<thead>
<tr>
<th>DBE Firm Name</th>
<th>Sent Letter Y/N</th>
<th>Selected Y/N</th>
<th>Address</th>
<th>Phone #</th>
<th>Price/ Quote</th>
<th>Reason for Rejection</th>
</tr>
</thead>
<tbody>
<tr>
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</table>

**Work Area #2:**

<table>
<thead>
<tr>
<th>DBE Firm Name</th>
<th>Sent Letter Y/N</th>
<th>Selected Y/N</th>
<th>Address</th>
<th>Phone #</th>
<th>Price/ Quote</th>
<th>Reason for Rejection</th>
</tr>
</thead>
<tbody>
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</tbody>
</table>
**No. 6 – LIST OF EFFORTS: Bonds, lines of credit, and other assistance**

- List any efforts to assist DBE firms with obtaining bonds, lines of credit, or insurance
- List any efforts to assist DBE firms with other technical assistance or information related to scope of work, plans, specifications, and requirements for the work that was provided to DBEs
- Include in the advertisement and the written notice to DBE firms information about the proposer’s/bidder’s assistance with items listed above
- See Sample Advertisement and Sample Written Notice

**No. 7 – LIST OF EFFORTS: Equipment, supplies, materials**

- List any efforts to assist DBE firms with obtaining necessary equipment, supplies, materials, or related assistance or services
- Include in the advertisement and the written notice to DBE firms information about the proposer’s/bidder’s assistance

**No. 8 – ORGANIZATION OUTREACH**

- Letters must be sent to outreach agencies, not less than ten calendar days prior to the bid/proposal due date, requesting assistance in recruiting DBE subcontractors/subconsultants/vendors. A sample organization outreach letter is included in these Guidelines.

- Letters should be sent to all the listed organizations and must contain
  - Specified work areas
  - SANDAG project name
  - Bid due date/time
  - The proposer’s/bidder’s name
  - Contact person’s name
  - Contact person’s address
  - Contact person’s telephone number, fax number, email address

- To meet GFE requirements, bidder/proposer must
  - Include language stating a recruitment of DBE subcontractors/subconsultants/vendors
  - Include the specified work areas
  - Send letters within adequate time
  - Submit copies of the letters sent, or one master notification
    - If emailed: copies of the sent and received emails with date and time sent or received
    - If faxed: copies of the fax transmittal confirmation sheet(s). No credit for error messages, busy, cancelled, etc.
    - If mailed: copies of the metered envelopes or certified mail receipts
  - Submit copies of responses received (i.e. email, lists, internet page download, etc.)
## OUTREACH ORGANIZATIONS OF SAN DIEGO COUNTY

<table>
<thead>
<tr>
<th>Organization Name</th>
<th>Address</th>
<th>Phone</th>
<th>Fax</th>
<th>Email</th>
<th>Website</th>
</tr>
</thead>
<tbody>
<tr>
<td>Asian Business Association</td>
<td>5675 Ruffin Road, Suite 305</td>
<td>(858) 277-2822</td>
<td>(858) 277-2622</td>
<td><a href="mailto:admin@abasd.org">admin@abasd.org</a></td>
<td><a href="http://www.abasd.org">www.abasd.org</a></td>
</tr>
<tr>
<td>Black Contractors Association of San Diego</td>
<td>6125 Imperial Avenue</td>
<td>(619) 263-9791</td>
<td>(619) 263-6865</td>
<td><a href="mailto:nationalbca@aol.com">nationalbca@aol.com</a></td>
<td><a href="http://www.bcasd.org">www.bcasd.org</a></td>
</tr>
<tr>
<td>San Diego County Hispanic Chamber of Commerce</td>
<td>821 Kuhn Drive Suite 107</td>
<td>(858) 268-0790</td>
<td></td>
<td><a href="mailto:samya.sdchcc@gmail.com">samya.sdchcc@gmail.com</a></td>
<td><a href="http://www.sdchcc.com">www.sdchcc.com</a></td>
</tr>
<tr>
<td>National Association of Women in Construction (NAWIC)</td>
<td>Lorelee Langworthy, President P.O. Box 880725</td>
<td>(858) 712-4756</td>
<td></td>
<td><a href="mailto:llangworthy@dyna-sd.com">llangworthy@dyna-sd.com</a></td>
<td><a href="http://www.nawicsd.org">www.nawicsd.org</a></td>
</tr>
<tr>
<td>San Diego Contracting Opportunities Center</td>
<td>4007 Camino del Rio South, Suite 210</td>
<td>(619) 285-7020</td>
<td>(619) 285-7030</td>
<td><a href="mailto:sdoc@ptac-sandiego.org">sdoc@ptac-sandiego.org</a></td>
<td><a href="http://www.ptac-sandiego.org">www.ptac-sandiego.org</a></td>
</tr>
<tr>
<td>Associated Subcontractors Alliance</td>
<td>P.O. Box 600723</td>
<td>(619) 825-9552</td>
<td>(619) 825-9558</td>
<td><a href="mailto:nancy@sandiegoasa.org">nancy@sandiegoasa.org</a></td>
<td><a href="http://www.sandiegoasa.org">www.sandiegoasa.org</a></td>
</tr>
<tr>
<td>Small Business Development Center - North San Diego</td>
<td>1823 Mission Avenue</td>
<td>(760) 795-8740</td>
<td></td>
<td><a href="mailto:centerinfo@miracosta.edu">centerinfo@miracosta.edu</a></td>
<td></td>
</tr>
</tbody>
</table>
SAMPLE ORGANIZATION LETTER

Bolder Corporation
1234 Granite Avenue, Suite 800 San Diego, CA 92121

San Diego Contracting Opportunities Center
4007 Camino del Rio South
Suite 210
San Diego, CA 92108

Re: Requesting assistance in obtaining qualified and certified DBE subcontractor/subconsultants/vendors

Dear Ms. Smith:

Bolder Corporation is a construction firm bidding on the project listed below:

Project: (Insert Project Title)
Bid Due Date: (Insert Bid Date)

We are seeking your assistance in recruiting qualified and certified DBE subcontractors/subconsultants/vendors, and material and/or equipment suppliers in the areas of work included in, but not limited to, those listed below:

(List specified work areas here)

Please forward any information you may have to (619) 123-4567. Please contact Jane Doe for any information or questions.

Sincerely,

Jane Doe
Project Manager
No. 9 – GOOD FAITH NEGOTIATING

- All quotes received must be submitted with the GFE documentation:
  ✓ Include all bids/proposals for areas of work that were not indicated in the outreach.
  ✓ Include all quotes from both certified and non-certified subcontractors/subconsultants/vendors (DBEs, Small Businesses, others).
  ✓ Subcontractor bid dollar amounts MUST match bid-listed dollar amounts on GFE forms.
  ✓ All dollar amounts and scopes of work on the subcontractor/subconsultant/vendor bid must not be altered by the prime proposer/bidder. If a revision is necessary, a revised quote from the subcontractor/subconsultant/vendor must be obtained.
  ✓ All verbal quotes received MUST be substantiated by a corresponding hard quote from the subcontractor/subconsultant/vendor and submitted with the GFE documentation to be considered.

- All bid-listed subcontractors/subconsultants/vendors must be represented in the GFE documentation.
  ✓ If they were not sent a letter, please detail in the comments section of the summary sheet how these subcontractors/subconsultants/vendors came to submit a bid.

- To document GFE, proposer/bidder must:
  ✓ Submit all quotes received as well as any revised and follow-up hard quotes where necessary.
  ✓ Submit a List of Rejected Firms that includes a breakdown of the subcontractors/subconsultants/vendors who responded and their corresponding work areas, listing the quoted amounts, the selected subcontractor/subconsultant/vendor, and the reasons for the selection and non-selection.

Some considerations:

- For IFB and other solicitations evaluated based solely on a cost factor or where cost is considered by SANDAG in its evaluation process, should you decide to self-perform a specified work area, proposer/bidder must show that its price is competitive to that of the subcontractors/subconsultants/vendors who responded to the outreach. This is not applicable for qualification-based solicitations where cost is not a factor.

- Proposer/bidder is NOT required to select any subcontractor/subconsultant/vendor based solely on their certification status. Your decision to select a subcontractor/subconsultant/vendor should be based on the subcontractor’s/subconsultant’s/vendor’s bid/proposal amount and/or qualifications.
VI. CONTACT SANDAG WITH ANY QUESTIONS

If you have any questions about achieving DBE contract or task order goals on a SANDAG solicitation or questions about GFE, please contact:

Elaine Richardson  
Manager, Small Business Development  
SANDAG  
401 B Street, Suite 800  
San Diego, CA 92101-4231  
elaine.richardson@sandag.org  
(619) 699-6956