



**REQUEST FOR LETTERS OF INTEREST
TO PERFORM PROFESSIONAL SERVICES FOR A
FACILITIES ASSESSMENT AND STRATEGIC MAINTENANCE PLAN**

PROJECT NO. 71-17-01

Ref: Facilities Assessment and Strategic Maintenance Planning

The Ohio Turnpike and Infrastructure Commission (“Commission”) issues this Request for Letters of Interest (“LOIs”) to perform the necessary engineering, architectural and other professional and personal services necessary to identify, quantify and prioritize growing maintenance needs. To make best use of resources, the Commission desires to retain a Consultant to formulate a Facilities Strategic Plan that identifies the most effective way to address increasing maintenance needs over a 5, 10, 15 and 30-year period. The Draft Scope of Services attached as Exhibit A provides a more detailed description of the services.

Consultants interested in obtaining a current draft of the RFP may request the draft through the means described below for making inquiries. Interested firms may also submit specific questions regarding the RFP and/or the LOI requirements through the process described below.

Those interested in responding to the RFP must have a completed “Request For Qualifications” (“RFQ”) package for calendar years 2017-2018 on file with the Commission to be considered as a potential respondent to the RFP. If a firm has not already responded to the RFQ, the RFQ package may be obtained through the inquiry process and submitted simultaneously with its LOI.

LOIs shall serve to provide information for the Commission to evaluate the respondents’ qualifications to perform the services required for the project. (See page 2 for further details on content of the LOI). The significant dates related to the Commission’s selection of the consultant to perform the required services are currently established as follows:

January 13, 2017 at 5:00 PM (Eastern) – Letters of Interest due

February 3, 2017 – Invitation for shortlisted consultants to respond to the RFP

February 17, 2017 at 5:00 PM (Eastern) – Inquiry Deadline

February 24, 2017 at 5:00 PM (Eastern) – Proposals due

Any questions **must** be addressed in writing and emailed to the Commission at: purchasing@ohioturnpike.org prior to the Inquiry Deadline. Do not contact the Commission by phone regarding this matter, and do not address questions through any means other than the email address provided. Answers to all questions will be compiled and copy of each question and the Commission’s response will be posted on the Commission’s Website, www.ohioturnpike.org.

LOIs must be submitted by 5:00 p.m. (Eastern Time) **on January 13, 2017** to the following address (LOIs sent via email are not acceptable):

**Ohio Turnpike and Infrastructure Commission
Attn.: Procurement Manager
682 Prospect Street
Berea, Ohio 44017**

LETTER OF INTEREST FOR PROJECT NO. 71-17-01
(Not to exceed ten (10) pages - excluding the cover page/letter and SBE materials)

1. List the types/categories of services for which your firm has a current Qualifications Statement on file with the Commission in response to the 2017-2018 RFQ.
2. List significant subconsultants, their categories of service and the percentage of work to be performed by each proposed subconsultant.
3. List the Project Manager and other key staff members including key subconsultant staff. Address the experience of the key staff members on similar projects. Provide only the résumé of the proposed Project Manager. The proposed Project Manager must be a professional engineer or architect registered in the State of Ohio.
4. Provide references from three (3) organizations other than the Ohio Turnpike and Infrastructure Commission for similar projects and services completed in the past five (5) years. For each reference, provide a contact name and phone number.
5. Describe the capacity of your firm's staff and its ability to perform the work in a timely manner relative to present workload and the availability of assigned staff.
6. Provide a description of your Project approach, not to exceed two (2) pages. Confirm the firm's proposed technical approach, cost containment practices, innovative ideas for this type of project and any other relevant information concerning your firm's qualifications to perform the services contemplated.
7. Small Business Enterprise ("SBE") Utilization Certification (OEI-1) and Plan (OEI-2) demonstrating the commitment and means for achieving SBE participation on the respondent's team. If the Certification and Plan fails to meet or exceed the **25% Goal**, the respondent is required to demonstrate that it used Good Faith Efforts (OEI-4 & OEI-5) to attain SBE participation that meets or exceeds the Goal. As described in the enclosed Exhibits, the Commission recognizes SBEs that are certified with the Commission or ODOT as SBE and considers DBEs certified with ODOT and firms certified as EDGE through DAS as eligible for SBE certification. Contact the Commission's Office of Equity and Inclusion with any questions concerning the SBE Program.

Items 1 through 6 must be included in the LOI, which should not exceed ten (10) pages – excluding the cover page/letter and SBE materials – on single sided, 8 1/2" x 11" sheets of paper. To be considered, **one (1) original and three (3) copies of the LOI must be delivered before 5:00 p.m. (Eastern), on January 13, 2017.**

EXHIBIT A
DRAFT SCOPE OF SERVICES
PROJECT NO. 71-17-01

Project Overview

Facility maintenance activities and capital projects for the Ohio Turnpike and Infrastructure Commission (“Commission”) are greatly affected by where each facility is in its lifecycle. As facilities age, the Ohio Turnpike Maintenance Department needs a way to identify, quantify and prioritize growing maintenance needs. To make best use of facility maintenance resources, a **Facilities Strategic Plan** needs to identify the most effective means to address increasing maintenance needs by considering:

- Methods to improve the efficiency and effectiveness of maintenance operations.
- Capital improvements that incorporate methods, materials, equipment and technologies that reduce utility costs and annual maintenance costs while maintaining or improving the level of service.
- Ways to share services and effectively fund, design, procure and build capital projects.

The **Facilities Strategic Plan** will be grouped in phases by major building type (maintenance, administration, service and toll plazas) and each phase addressing individual buildings within the grouping. The following tasks will be performed for each building within each phase:

- 1) Develop a maintenance cost baseline with cost projection.
- 2) Perform a facilities and maintenance operations needs assessment and options analysis.
- 3) Provide a Facilities Strategic Plan Report.

Note: OTIC will provide historical cost data needed for the baseline. OTIC will also provide its current capital plan to aid with cost projection. Each facility’s current condition and lifecycle analysis will be factored into projected costs.

The **Facilities Strategic Plan** will be phased as follows:

Phase 1	Maintenance Buildings (8 each)
Phase 2	Administration Buildings (2 each)
Phase 3	Service Plazas (14 each)
Phase 4	Toll Plazas (31 each)

After the Facilities Strategic Plan is approved, it will be implemented through the appropriate project delivery means (design, procurement, construction, etc.).

Each authorized phase of services will generally adhere to the scopes set out for each Task identified below for Phase 1 – Maintenance Buildings, and form a volume in the overall strategic plan for all the Commission’s facilities.

PHASE 1 – MAINTENANCE BUILDINGS

Task 1: Facilities Maintenance Cost Baseline & Projection (5, 10, 15 & 30-year)

Based on keeping Facilities and Maintenance Department Operations unchanged, establish a Facilities Maintenance Cost Baseline and Projection (5, 10, 15 & 30-year) for the structures within the Phase. The baseline and projected costs shall include, and at a minimum, be categorized as follows: Capital Costs, Annual Maintenance Costs, Utility Costs and Other Operating Costs.

To establish projected facility costs, a lifecycle analysis will be performed for each maintenance building. The analysis must include anticipated Utility, Annual Maintenance and Capital costs.

Lifecycle data (description, age, condition, anticipated life, etc.) of the major facility components will be collected as follows:

- Building envelope elements (roof, walls, windows, etc.)
- Structural elements
- Major mechanical and electrical systems
- Grounds, outbuildings, utility systems

For Building Envelope Elements (roof, exterior walls, windows, etc.), recommend, furnish and populate an Asset Management Tool with the following features:

- Must be able to track building envelope asset elements in segments (such as roofs segmented by roof section or elevation).

- Must include photos (site and close-up) of asset elements with segments identified.
- Must be able to manage asset information such as size, material, age, condition, warranties, value, replacement cost, etc.
- Must allow multiple Commission employees (with permissions management feature) to access, report, print, add-modify-update, etc. (web-based preferred)
- Must be designed to allow OTIC to retain and manage data after the service period.
- Compatible and integrated with the Commission's ESRI enterprise Geographical Information System (eGIS).

Note: The Commission desires an Asset Management Tool that can be used to record, display and report on the condition of other major facility components (structural, mechanical, electrical, grounds, utilities, etc.) in addition to Building Envelope Elements. Also, the Asset Management Tool selected for Phase 1 will be used for all phases.

Task 1 Deliverables:

- Facility Maintenance Cost Baseline and Projection Report (electronic and hard copy) – For each facility and for each facility type, provide baseline and projected cost data in MS Excel and display graphically. State all assumptions. Identify and include all data sources.
- Furnish an Asset Management Tool that is populated with building envelope lifecycle and condition data and that is clearly displayed.
- All other lifecycle data collected and clearly displayed in the Asset Management Tool or MS Excel.

Task 2: Facility & Operations Needs Assessment and Options Analysis

For the Ohio Turnpike facility type and each building within the type, identify current and anticipated facility needs and maintenance operational needs. Organize and conduct

interviews, meetings and facility site visits as required. Document how current facilities and maintenance operations meet and/or do not meet the current and anticipated needs.

Note: When performing Maintenance Building Assessments also contact surrounding agencies to discuss their operational needs and their anticipated facility capital plans (5 to 10-years) as it relates to potential shared facilities. At a minimum, contact the following:

- ODOT Districts 2, 3, 4 and 12.
- Counties that the Ohio Turnpike crosses.
- Other township and municipal service department officials.
- Conduct an operational assessment of the Commission's division and section operations of its Maintenance Department to evaluate current operational efficiencies of the location of materials, equipment and personnel.

Identify various options that could potentially address facility and maintenance operational needs. Consider ways to improve the efficiency and effectiveness of maintenance operations. Consider capital improvements that incorporate methods, materials, equipment and technologies to reduce utility costs and annual maintenance costs while maintaining or improving the level of service.

Analyze options by calculating the affect they will have on Capital Costs, Annual Maintenance Costs, Utility Costs and Other Operating Costs. Graphically display how options affect the Facilities Maintenance Cost Baseline and Projection chart performed as part of Task 1. Also, identify and compare useful metrics as benchmarks (cost/mile, cost/sq.ft., etc.). Include other factors such as code compliance, industry standards, safety, aesthetics, company image, customer expectations, etc.

Task 2 Deliverables:

- Needs Assessment and Option Analysis Report (electronic and hard copy) that includes the following:
 - Summary of Needs Assessment

- Summary of Options – Categorize by type and magnitude.
- Summary of Options Analyzed – Include how various options affect the facility cost projections, metrics and other factors. Also, show the negative affect of delayed maintenance or not implementing certain options.
- Provide in electronic MS Word and/or MS Excel format, all interview notes, all options considered, all analysis conducted, all assumptions and sources of data.

Task 3: Develop a Facilities Strategic Plan

Based on results from Task 1 and Task 2, produce a Facilities Strategic Plan. Recommendations need to address the following items outlined in the Project Overview:

- Ways to improve the efficiency and effectiveness of maintenance operations.
- Capital improvements that incorporate methods, materials, equipment and technologies that reduce utility costs and annual maintenance costs while maintaining or improving the level of service.
- Ways to share services and effectively fund, design, procure and build capital projects.

The Facilities Strategic Plan also needs to include suggestions on How to implement, When to implement and What will be the effects on projected maintenance costs.

Prior to the development of the Facilities Strategic Plan, present an outline of the Plan, as well as draft recommendations and an implementation schedule to Executive, Engineering and Maintenance Management Staff.

Based on results of the presentation meeting, develop the Facilities Strategic Plan. The Plan shall bind together, in a concise and comprehensive document, the component parts of the previous Tasks completed, and shall include:

- Executive Summary
- Discussion of the Benefits (projected costs, customer, safety, image, good neighbor, etc.)
- Project prioritization, implementation plan and schedule

- Updated OTIC Capital Plan

Task 3 Deliverables:

- Presentation Meeting Documents.
- Facilities Strategic Plan.

Task 4: Implementation of Facilities Strategic Plan

At the sole discretion of the Commission, and based on the Approved Facilities Strategic Plan, the Commission shall have the option to retain the Consultant to provide services for implementing portions of the Facilities Strategic Plan, including but not limited to:

- Additional Site Investigations
- Budgeting and Schedule Development
- Design (including plans, specifications, bid documents, etc.)
- Researching, coordinating, and assisting with the implementation of any potential funding and procurement options.
- Construction Administration and Inspection Services
- Documenting Progress

PHASE 2 – ADMINISTRATION BUILDINGS

The Commission shall have the option to give the Consultant authorization to proceed with performing the tasks necessary to deliver a strategic plan for the facilities associated with its Administration Buildings, which services will adhere to the scope described for Phase 1 – Maintenance Buildings as follows:

Task 1:Facilities Maintenance Cost Baseline & Projection (5, 10, 15 & 30-year)

Task 2:Facility & Operations Needs Assessment and Options Analysis

Task 3:Develop a Facilities Strategic Plan

Task 4:Implementation of Facilities Strategic Plan

PHASE 3 – SERVICE PLAZAS:

The Commission shall have the option to give the Consultant authorization to proceed with performing the tasks necessary to deliver a strategic plan for the facilities associated with its Service Plazas, which services will adhere to the scope described for Phase 1 – Maintenance Buildings as follows:

Task 1:Facilities Maintenance Cost Baseline & Projection (5, 10, 15 & 30-year)

Task 2:Facility & Operations Needs Assessment and Options Analysis

Task 3:Develop a Facilities Strategic Plan

Task 4:Implementation of Facilities Strategic Plan

PHASE 4 – TOLL PLAZAS

The Commission shall have the option to give the Consultant authorization to proceed with performing the tasks necessary to deliver a strategic plan for the facilities associated with its Toll Plazas, which services will adhere to the scope described for Phase 1 – Maintenance Buildings as follows:

Task 1:Facilities Maintenance Cost Baseline & Projection (5, 10, 15 & 30-year)

Task 2:Facility & Operations Needs Assessment and Options Analysis

Task 3:Develop a Facilities Strategic Plan

Task 4:Implementation of Facilities Strategic Plan

SMALL BUSINESS ENTERPRISE UTILIZATION CERTIFICATION

To be eligible for selection to award this contract, each respondent must complete and submit this Small Business Enterprise (SBE) Utilization Certification with its Letter of Interest (“LOI”). The Commission may consider as non-responsive and reject any Letter of Interest that does not contain a Certification and Utilization Plan that properly demonstrates that the respondent’s commitments with SBEs for participation on the project if awarded the contract. The successful respondent’s SBE Utilization Certification and Utilization Plan shall be incorporated as part of the resulting Contract. If the Certification and Plan fail to demonstrate a commitment to meeting or exceeding the Goal stated in the request for LOIs, the respondent is required to complete and submit a Good Faith Efforts Demonstration (OEI-4 and OEI-5). **To count towards the goal, the participants must be certified as SBEs with the Commission or as SBEs or DBEs with ODOT or EDGE certified with the Ohio Department of Administrative Services at the time of bid.**

The undersigned authorized agent of the respondent represents to the Ohio Turnpike and Infrastructure Commission, as part of its Letter of Interest, that it will perform the duties of the Selected Consultant having: (check one)

- attained commitments to meet or exceed the contract’s SBE goal, and has documented SBE participation in the attached Utilization Plan for the project summarized as follows:

SBE Participation Commitment: _____% Approximate Percent of Project Cost

Attached is the Utilization Plan evidencing commitments with each SBE that will participate in the project in a manner that meets or exceeds the goal, and affirming the availability and planned participation of each business identified.

- failed to meet the contract’s SBE goal despite its Good Faith Efforts to attain commitments to meet or exceed the goal, and has documented its efforts to achieve the goal in the attached Demonstration of Good Faith Efforts (OEI-4 and OEI-5) and documented commitments in the attached Utilization Plan to SBE participation on the project summarized as follows:

SBE Participation Commitment: _____% Approximate Percent of Project Cost

1. Attached is the Utilization Plan evidencing commitments with each SBE that will participate in the project and affirming the availability and planned participation of each business identified; and
2. Attached is the Good Faith Efforts Demonstration evidencing those Efforts that were unsuccessful in attaining SBE participation commitments that meet or exceed the goal.

Respondent

By: _____

Signature

Submit the Utilization Plan (OEI-2) and (if necessary) the Good Faith Efforts Demonstration (OEI-4 and OEI-5) with the Letter of Interest using the templates and instructions that follow.

Printed: _____

Title: _____

Date: _____

Instructions for Small Business Enterprise Utilization Plan

Box 1: Name of Respondent submitting LOI.

Column 1: Name of the Small Business Enterprise (“SBE”) participating on the project. To receive credit towards contract goal, SBEs must be certified with the Commission at time of bid, or eligible for fast track certification (i.e., certified as DBE or SBE with ODOT or EDGE certified with Ohio DAS). If a SBE is performing multiple scopes, repeat the name of the SBE for each scope that will be performed and the respective amount.

Column 2: The Project Role that the SBE will be performing as follows:

- Prime Consultant
- Subconsultant

Column 3: A description of the Work to be performed by the SBE must be consistent with the industry used for its certification. The Respondent may rely upon the descriptors listed in the Commission’s Certification List available here: <http://www.ohioturnpike.org/business/mbe-fbe>, or those eligible for Fast Track certification as DBE here: <http://www.dot.state.oh.us/Divisions/ODI/SDBE/Pages/DBE-Directory.aspx> as SBE here: <http://www.dot.state.oh.us/Divisions/ODI/SDBE/Pages/SBE.aspx> and EDGE here: <http://eodreporting.oit.ohio.gov/searchEDGE.aspx>.

A respondent subletting a portion of a bid item shall state “**Partial**” and describe the Work that is included (e.g., “Surveying (Partial) – Site Plan”).

Column 4: List the total amount to be subcontracted to each SBE for the services they are performing.

Column 5: This is the percentage of the project each line listed in the certification that the prime intends to apply towards meeting the Contract goal. It may be that only a portion of the amount subcontracted to a SBE in Column 4 is eligible to be credited toward meeting the goal **See Note**. The Commission will utilize the sum of this column (Box 3) to determine whether or not the respondent has met the goal. In the event of an arithmetic error in summing column 5 or an error in making appropriate reductions in the amounts in Column 4, then the sum will be corrected and the total (Box 3) will be revised accordingly.

Note: For Work self-performed by a SBE proposing to serve as the lead consultant, the respondent may claim **only 20% of the amount self-performed** (Column 4) towards meeting the goal (Column 5).

Note 2: For Work performed by SBE subconsultants, the respondent may claim **100% of the Commercially Useful Functions performed by subconsultants** within the industry code qualifying for SBE certification.

Box 2: Box 2 is the Contract goal for SBE participation goal appearing on the Request for Letters of Interest.

Box 3: Box 3 is the sum of the values in Column 5. This value must equal or exceed the Contract goal amount written in Box 2, or Good Faith Effort Demonstration is required if insufficient SBE Participation has been achieved. See the following pages (OEI-4 and OEI-5) for the materials necessary for demonstrating the Respondent’s Good Faith Efforts.

DEMONSTRATION OF GOOD FAITH EFFORTS

(Complete and Submit if Utilization Certification and Plan Fail to Meet Contract Goal)

Project Name _____ Project Number _____
Respondent Name _____ Federal Tax I.D. _____

1. Opportunities: Indicate how the Respondent subdivided portions of the work or services to increase the likelihood of participation by firms certified as SBE with the Commission (or SBE or DBE with ODOT and/or EDGE with DAS) in the Project. (Attach additional pages if needed, and all supporting documentation.)

2. Availability: Indicate the services or organizations that provided assistance to you in identifying and recruiting firms certified as SBE (or DBE and EDGE) in preparing the LOI response. (Attach additional pages if needed, and notes of each contact listed.)

A. Organization: _____ **Date(s) of Contact:** _____ **Contact Means:** _____

Subject of Inquiry: _____

B. Organization: _____ **Date(s) of Contact:** _____ **Contact Means:** _____

Subject of Inquiry: _____

C. Organization: _____ **Date(s) of Contact:** _____ **Contact Means:** _____

Subject of Inquiry: _____

3. Efforts: List all SBEs (including all DBEs and/or EDGE firms) that you supplied adequate and timely information about the scopes of work and requirements of the project. (Attach additional pages if needed, and copies of all transmittals, any shipping receipts or documentation of providing info. etc.)

A. Business _____ **Contact Name** _____ **Date** _____

B. Business _____ **Contact Name** _____ **Date** _____

C. Business _____ **Contact Name** _____ **Date** _____

D. Business _____ **Contact Name** _____ **Date** _____

E. Business _____ **Contact Name** _____ **Date** _____

F. Business _____ **Contact Name** _____ **Date** _____

G. Business _____ **Contact Name** _____ **Date** _____

5. Efforts: List all interested SBEs (including all DBE and EDGE entities), which you rejected to perform the Work of the Contract. Please provide the specific reason(s) for the decision to reject. (Attach additional pages if needed.)

A. Business: _____

Reason(s) for rejection: _____

B. Business: _____

Reason(s) for rejection: _____

C. Business: _____

Reason(s) for rejection: _____

6. Efforts: List the names, dates and telephone numbers of all SBEs (including DBEs and EDGE firms) with which you entered into negotiations for its participation on the project and the general scope of work negotiated, and the reason why negotiations were not successful. (Attach additional pages if needed.)

A. Business: _____

Contact: _____

Phone: _____

Date(s) of contact: _____

Scope of Work: _____

Reasons for ending negotiations: _____

B. Business: _____

Contact: _____

Phone: _____

Date(s) of contact: _____

Scope of Work: _____

Reasons for ending negotiations: _____

C. Business: _____

Contact: _____

Phone: _____

Date(s) of contact: _____

Scope of Work: _____

Reasons for ending negotiations: _____

A. Business: _____

Contact: _____

Phone: _____

Date(s) of contact: _____

Scope of Work: _____

Reasons for ending negotiations: _____

B. Business: _____

Contact: _____

Phone: _____

Date(s) of contact: _____

Scope of Work: _____

Reasons for ending negotiations: _____

C. Business: _____

Contact: _____

Phone: _____

Date(s) of contact: _____

Scope of Work: _____

Reasons for ending negotiations: _____

GUIDANCE FOR DEMONSTRATING GOOD FAITH EFFORTS TO ACHIEVE OR EXCEED THE CONTRACT GOAL

If the SBE Utilization Certification and Plan fail to document commitment to achieving the SBE Goal set forth in the request for Letters of Interest, complete the Good Faith Effort Demonstration Form to document necessary and reasonable actions that, by their scope, intensity, and appropriateness, would reasonably be expected to attain SBE participation that meets or exceeds the goal.

The Commission's determination of Good Faith Efforts is based on consideration of the quality, quantity, and intensity of the different kinds of actions taken. The activities or efforts undertaken to when making a Good Faith Effort must be those that one could reasonably expect to deploy when seriously, actively and aggressively attempting to obtain SBE participation in relative proportion to those that are Available to capably perform Commercially Useful Functions under the Opportunities presented in given contract.

The analysis for determining whether the respondent fulfilled its obligation to use Good Faith Efforts, the Commission will consider the demonstration of the following, which the form is intended to illicit from the respondents:

1. **“Opportunities”** means the subcomponents of the project that are identifiable as economically viable scopes of work that may interest subcontractors in responding to the respondent's solicitations to participate in the Project. The unique opportunities each project presents is determined based on the nature of the project using in-house expertise and the aggregation of those that the respondents may identify.
2. **“Availability”** means the degree of ready, willing and able SBEs available to capitalize on the opportunities presented under each project. The availability consideration examines the amount of SBEs in the relevant marketplace using (1) the Commission's list of certified SBEs (available at <http://www.ohioturnpike.org/business/doing-business-with-us/mbe-fbe>); (2) the Unified Certification Program's DBE Directory (<http://www.dot.state.oh.us/DBE/pages/DBE-Directory.aspx>); (3) the Department of Administrative Service's directory of EDGE certified businesses: <http://eodreporting.oit.ohio.gov/searchEDGE.aspx>; the Ohio Department of Transportation's registry of SBEs: http://odotextprt.dot.state.oh.us/ViewReport.aspx?reportPath=%2fprd%2fpreconstruction%2fpublic%2fsbe_vendor_list; and (5) any other Ohio-centric database that the Commission recognizes as using standards that are substantially similar to the requirements for certification with the Commission.
3. **“Efforts”** means the documented attempt to meaningfully and earnestly solicit the interest of available SBEs to fulfill the opportunities presented to perform on the Project, including making a sufficient number of contacts to follow up with any available but non-responsive SBEs and negotiating in good faith with available SBEs to reach reasonably agreeable terms for their participation.
4. **“Commitments”** means the respondent representations in the Utilization Certification and Plan to have successfully achieved commitment(s) to utilize verified SBEs to perform on the project.

The determination that a given respondent satisfactorily used and demonstrated its Good Faith Efforts is based on the holistic review of the Opportunities, Availability, Effort and Commitment documented in the bid or proposal documents.

A. Opportunities and Availability

This assessment of opportunities and availability compiles those SBEs that the respondents may identify in their Utilization Plan and Good Faith Efforts Demonstration forms, but also may go outside the form to identify additional possible opportunities under the project and recognized certification registries for possible untapped available firms.

A respondent can demonstrate fulfilling the **Opportunity** component is documenting that the respondent

performed actions that include the following:

- a. Selected and packaged portions of the work in order to increase the likelihood that the SBEs will respond to solicitations expressing interest in participating on the project. This includes, where appropriate, breaking out contract work into economically feasible units to facilitate participation through subcontracting.
- b. Soliciting the interest of all SBE entities available to perform on the project through reasonable, meaningful and available means and providing a reasonable and meaningful time to respond.

The means for a respondent to fulfill the **Availability** component of demonstrating good faith efforts includes the following:

- a. Searching recognized registries identifying certified SBEs that potentially could fulfill the opportunities under the project.
- b. Identifying other possible ready, willing and able SBEs through the effective use of the services of available from plan rooms, community organizations, contractors' groups, local, state, and Federal minority/women business assistance offices, and other organizations as allowed on a case-by-case basis to provide assistance in the recruitment and utilization of SBE entities.

B. Efforts and Commitment

Respondents must document level of exertion used to engage the Availability pool on the Opportunities presented under the project. The **Efforts** component considers the active attempts to successfully reach terms with interested SBE firms, which may include the following:

- a. Negotiating in good faith with interested SBE entities so as to facilitate their participation on the Project.
- b. Not rejecting SBE entities without sound reasons based on a thorough investigation of their capabilities.
- c. Assisting SBE entities in obtaining bonding, lines of credit, or insurance as required.

The **Commitment** component provides a cross-check on the identified and documented Opportunities, Availability and Efforts. Unless the analyses under the Opportunities, Availability and Efforts prongs demonstrate otherwise, the utilization of Good Faith Efforts is expected to result in the respondent successfully representing its achievement of SBE participation goal for the contract. The respondent must provide justification for any lack of Commitment by showing that the failure occurred despite its Good Faith Efforts through the demonstration under the Opportunity, Availability and Efforts prongs of the test.