



**Disadvantaged Business Enterprise
Program**

TWDB Guidance – TWDB-0210DR

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1. TWDB DBE Web Page – Six Good Faith Efforts – Updated DBE Guidance and Forms

Web page available at: <http://www.twdb.texas.gov/financial/programs/DBE/index.asp>

Six Good Faith Efforts

1. Ensure DBEs are made aware of contracting opportunities to the fullest extent practicable through outreach and recruitment activities. For Indian Tribal, state and local government recipients, this will include placing DBEs on solicitation lists and soliciting them whenever they are potential sources.
2. Make information on forthcoming opportunities available to DBEs and arrange time frames for contracts and establish delivery schedules, where the requirements permit, in a way that encourages and facilitates participation by DBEs in the competitive process. This includes, whenever possible, posting solicitations for bids or proposals for a minimum of 30 calendar days before the bid or proposal closing date.
3. Consider in the contracting process whether firms competing for large contracts could subcontract with DBEs. For Indian Tribal, state and local government recipients, this will include dividing total requirements, when economically feasible, into smaller tasks or quantities to permit maximum participation by DBEs in the competitive process.
4. Encourage contracting with a consortium of DBEs when a contract is too large for one of these firms to handle individually.
5. Use the services and assistance of the Small Business Administration (SBE) and the Minority Business Development Agency of the Department of Commerce.
6. If the prime contractor awards subcontracts, require the prime contractor to take the above steps.

Updated DBE Guidance and Forms

Effective December 1, 2013: The EPA has recently reissued the [EPA-6100-2](#), [EPA-6100-3](#), and [EPA-6100-4](#) procurement forms for projects utilizing equivalency [Clean Water State Revolving Fund](#) and [Drinking Water State Revolving Fund](#) program funding.

Consultants and Prime Contractors utilizing subcontractors must include the [EPA-6100-3](#) and [EPA-6100-4](#) forms when requesting approval from the TWDB.

Subcontractors are also encouraged to submit the [EPA-6100-2](#) form to [Debora Bradford](#) EPA Region 6 DBE Coordinator to report any procurement/contracting concerns regarding a project.

Applicants, consultants, and contractors are still required to submit the applicable DBE forms ([TWDB-0215](#), [TWDB-0216](#), [TWDB-0217](#), and [TWDB-0373](#)) until the project's completion. For detailed instructions and resources, the TWDB's [DBE Program Guidance \(TWDB-0210\)](#) is available for your convenience.

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2. TWDB-0210 Guidance

TWDB-0210 Guidance For

U.S. Environmental Protection Agency Disadvantaged Business Enterprise Program

Texas Water Development Board

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About the Disadvantaged Business Enterprise Program

It is the intent of the Texas Water Development Board (TWDB) to ensure that applicants, consultants and contractors are provided with information and guidance to successfully meet the EPA's Disadvantaged Business Enterprise (DBE) program requirements. This guide covers the review process, descriptions and instructions for each form, elaboration on the "Six Affirmative Steps" and "Good Faith Efforts".

The TWDB's Clean Water and Drinking Water State Revolving Fund (SRF) programs receive federal funds from the U. S. Environmental Protection Agency (EPA) annually and matched by the State of Texas to provide low-interest rate loans to finance wastewater and drinking water projects. As a condition of federal grant awards, EPA regulations require that loan recipients (municipalities, towns, public water authorities, etc.) and sub-recipients (prime consultants and prime contractors) make a "**Good Faith Effort**" to award a fair share of work to contractors who are certified as Minority Business Enterprises (MBE's), and Women-owned Business Enterprises (WBE's) whenever procuring **construction, supplies, services and equipment**.

The DBE Program is an outreach, education, and goal oriented program designed to increase the participation of MBE's and WBE's in procurements funded by EPA assistance agreements. In addition, EPA regulations require evidence showing that loan recipients performed the "Six Affirmative Steps" during procurement situations.

The TWDB's current negotiated fair share goals are:

<u>CATEGORY</u>	<u>MBE</u>	<u>WBE</u>
Construction	12.94%	8.72%
Equipment	7.12%	5.39%
Supplies	9.68%	9.34%
Services	10.84%	5.72%

The TWDB does not require that recipients meet the fair share objectives, however the EPA may take remedial action under 40 CFR § 33.105 for failure to comply with the good faith efforts requirements as detailed on page 10.

Since all construction, supplies, services, and equipment procurements require compliance with DBE, it is important that all forms are completed accurate and timely to prevent withholding of payments or project delays.

When are DBE forms required?

Entities receiving federal financial assistance through the SRF Programs will be required to submit DBE documentation at different phases during the project's lifecycle (Project Application, Commitment and Closing, Planning/Design, and Construction Contract Phases).

Project Application Phase	Form	Responsibility
	TWDB-0215	Applicant/Entity

Applicants requesting federal financial assistance through the SRF funds must include a TWDB-0215 form with the loan application.

Commitment and Closing Phase	Form	Responsibility
	TWDB-0216	Applicant/Entity
	TWDB-0217	Prime Engineer, Financial Advisor, Bond Counsel
	TWDB-0373	Applicant/Entity

After loan commitment, but prior to closing, applicants must provide forms TWDB-0216 and TWDB-0373 forms. The project's Prime Engineer, Financial Advisor, and Bond Counsel must complete a TWDB-0217 form and indicate if any subcontracting opportunities will be available or if the contractor will be self-performing the contract. Regardless of the procurement's outcome, all entities must submit a TWDB-0373 and list the contractors selected by the applicant for the project. Failure to comply or include a contractor and/or contract will result in denial of payment.

Planning/Design Phase	Form	Responsibility
	TWDB-0216	Prime Engineering Consultant
	TWDB-0373	Prime Engineering Consultant
	DBE 6100-3	Prime Engineering Consultant and Subcontractor
	DBE 6100-4	Prime Engineering Consultant and Subcontractor

Some projects require additional procurement during the planning phase for geotechnical and materials testing, pilot testing, surveying, archeological surveys, etc. Projects requiring additional procurements will require a TWDB-0216 and TWDB-0373 form be completed by the Prime Engineer.

Construction Contract Phase	Form	Responsibility
	TWDB-0216	Applicant/Entity
	TWDB-0217	Prime Construction Contractor
	TWDB-0373	Applicant/Entity
	TWDB-0216	Prime Construction Contractor
	TWDB-0373	Prime Construction Contractor
	DBE 6100-3	Prime Construction Contractor and Subcontractors
	DBE 6100-4	Prime Construction Contractor and Subcontractors

For each Construction Contract, applicants are required to submit a TWDB-0216 and TWDB-0373 for the procurement of the project's Prime Contractor. If the Prime Contractor is utilizing subcontractors for the project, then additional TWDB-0216, TWDB-0373, DBE 6100-3 and DBE 6100-4 forms must also be submitted.

What is the significance of the TWDB-0215?

This form establishes the Applicant/Entity's understanding of federal guidelines and certifies their willingness to comply with EPA's "Good Faith Effort" policy in all project procurements paid for with federal loan proceeds. Section III describes the maximum potential Minority

Business Enterprise/Women-Owned Business Enterprise (MBE/WBE) procurement participation opportunities using the EPA negotiated goals.

How to Complete a TWDB-0215

Step 1: If known, enter the 5-digit project number assigned by the TWDB for the project in Section I, Box A.

Step 2: Enter the name of the applicant/entity in Section I, Box B.

Step 3: Enter the total TWDB funding request amount in Section I, Box C.

Step 4: Select the type of loan requested (DWSRF or CWSRF) in Section I, Box D.

Step 5: Read Section II regarding the six required “Good Faith Efforts.”

Step 6: Provide signature, title, and certification date in Section II.

Step 7: Enter the anticipated amounts of construction, equipment, supplies, and services in the left column of Section III. When entered, the potential MBE and WBE participation amounts will automatically be calculated according to the current fair share goals.

What is the significance of the TWDB-0216?

This form identifies who was solicited and how the solicitation was conducted. This form is required for applicants who procure Bond Counsel, Financial Advisor, and Prime Engineering professional services and intend to fund those services with federal loan proceeds.

How to Complete a TWDB-0216

Step 1: If known, enter the 5-digit project number assigned by the TWDB for the project in Section I, Box A.

Step 2: Enter the name of the applicant/entity in Section I, Box B.

Step 3: Enter the total TWDB funding request amount in Section I, Box C.

Step 4: Select the type of loan requested (DWSRF or CWSRF) in Section I, Box D.

Step 5: Provide the project’s name.

Step 6: Indicate who is soliciting the project (Applicant/Entity or Prime Contractor).

Step 7: Select the project phase for which procurement is sought (Application, Planning/Design, or Construction). If the project is the Construction Contract phase, please indicate the contract number.

Step 8: Provide the business name, point of contact, addresses, telephone number, and e-mail for each business solicited for procurement in Section II, Columns 1-4. Entities must solicit to a minimum of 3 businesses/firms for each type of contract sought (i.e. three engineering, financial advisor, and bond counsel firms) to demonstrate a Good Faith Effort.

Step 9: Provide the category of procurement (construction, equipment, supplies, and services) in Section II, Column 5.

Step 10: Indicate whether the firm is a Minority Business Enterprise (MBE), Women-Owned Business Enterprise (WBE), or Other (non-MBE/WBE firms) in Section II, Column 6.

Step 11: Indicate the combination of solicitation methods utilized for procurement in Section II, Column 7. To achieve a “Good Faith Effort” a minimum of two methods must be utilized for solicitation, however additional methods are encouraged by the TWDB should any of the attempted methods fail to meet DBE program requirements.

Step 12: Attach a copy of the advertisement, RFQ packet, bid tabulation, fax/emails, pre-bid meeting sign-in sheet, or any other backup solicitation documentation (required).

Step 13: Provide signature, title, and certification date at the end of Section II.

Important Note! To meet DBE requirements, applicants and contractors must demonstrate “Good Faith Efforts” in maximizing the potential for contracting and subcontracting opportunities. For tips on meeting “Good Faith Efforts” requirements please see page 9.

What is the significance of the TWDB-0217?

This form establishes each prime contractor's understanding of federal guidelines and certifies their willingness to comply with EPA's "Good Faith Effort" policy in all project procurements paid for with federal loan proceeds. Section III describes the maximum potential MBE/WBE subcontracting opportunities using the pre-established goals. Prior to closing, a TWDB-0217 from each prime contractor (i.e. Prime Engineer, Financial Advisor, Bond Counsel, Prime Contractor, etc.) must be submitted for review and approval and may be included with the financial assistance application if procurement has already occurred.

How to Complete a TWDB-0217

Step 1: If known, enter the 5-digit project number assigned by the TWDB for the project in Section I, Box A.

Step 2: Enter the name of the applicant/entity in Section I, Box B.

Step 3: Enter the total TWDB funding request amount in Section I, Box C.

Step 4: Select the type of loan requested (DWSRF or CWSRF) in Section I, Box D.

Step 5: Please enter the name of the prime contractor.

Step 6: If the project is the Construction Contract phase, please indicate the contract number.

Step 7: Provide the dollar amount for each prime contract.

Step 8: Read Section II regarding the six required “Good Faith Efforts.”

If there are no available subcontracting opportunities, the prime contract shall certify they will fulfill 100 percent of the contract requirements with their own employees and resources in the designated exception box.

Step 9: Enter the anticipated amounts of construction, equipment, supplies, and services applicable to the contract in the left column of Section III. When entered, the potential MBE and WBE participation amounts will automatically be calculated according to the current fair share goals.

Step 10: Provide signature, title, and certification date in Section II.

What is the significance of the TWDB-0373?

This form describes all contracts actually awarded by the Applicant/Entity and/or Prime Contractor. The TWDB-0373 form should also include a copy of the contractor's official DBE certification to confirm Minority and Women-Owned Business Enterprises status.

How to Complete a TWDB-0373

Step 1: If known, enter the 5-digit project number assigned by the TWDB for the project in Section I, Box A.

Step 2: Enter the name of the applicant/entity in Section I, Box B.

Step 3: Enter the total TWDB funding request amount in Section I, Box C.

Step 4: Select the type of loan requested (DWSRF or CWSRF) in Section I, Box D.

Step 5: Provide the project's name.

Step 6: Indicate who is soliciting the project (Applicant/Entity or Prime Contractor).

Step 7: Select the project phase for which procurement is sought (Loan Commitment/Closing, Planning/Design, or Construction). If the project is the Construction Contract phase, please indicate the contract number.

Step 8: Provide the name and address of each contractor in Section II, Column 1.

Step 9: Provide the category of procurement (construction, equipment, supplies, and services) in Section II, Column 2.

Step 10: Indicate whether the firm is a Minority Business Enterprise (MBE), Women-Owned Business Enterprise (WBE), or Other (non-MBE/WBE firms) in Section II, Column 3.

Step 11: List the actual contracted amount for each contract in Section II, Column 4.

Step 12: List the actual contract execution date for each contract in Section II, Column 5.

Step 13: Provide indicate (Y/N) if the MBE/WBE certification is attached in Section II, Column 6 and attach a copy of a valid certification if the contractor has DBE certification issued by: the City of Austin, City of Houston, Texas Department of Transportation, Texas Comptroller of Public Accounts (HUB), Southwest Minority Supplier Development Council, North Central Texas Regional Certification Agency, DFW Minority Business Council or Women's Business Council.

Step 14: Provide signature, title, and certification date in Section II.

Important Note! Please ensure that all contractors to be paid with federal SRF funding are included on the form. Failure to do so will result in denial of payment.

EPA Disadvantaged Business Enterprise Forms

Effective December 1, 2013, the EPA reissued the DBE 6100-2, 6100-3, and 6100-4 forms for use in the SRF programs. Prime Consultants and Prime Contractors utilizing subcontractors for any applicable project must provide the applicable forms to the TWDB for approval of subcontractors in the Planning/Design and Construction Contract phases.

DBE 6100-2 – Subcontractor Participation Form

The EPA requires that Prime Consultants and Prime Contractors provide the DBE 6100-2 form to subcontractors for each project. The form provides the opportunity for the DBE subcontractor to report any concerns regarding the EPA-funded project (such as termination by the Prime Consultant or Prime Contractor, late payments, etc.). The DBE 6100-2 form is not required for approval from the TWDB, however subcontractors are encouraged to submit the form to EPA Region 6's DBE Coordinator, [Debora Bradford](#) directly if issues arise during the project.

DBE 6100-3 – Subcontractor Performance Form

The EPA requires that Prime Consultants and Prime Contractors utilize the DBE 6100-3 form when utilizing subcontractors for each project. This form describes the type of work (Construction, Services, Equipment or Supplies) and price of work submitted to the Prime Contractor. The Prime Consultant or Prime Contractor must require its subcontractors to complete and include the form in the bid or proposal package for each proposed subcontractor. Additionally, the Prime Contractor and Subcontractor must both sign the DBE 6100-3 form for approval.

DBE 6100-4 – DBE Subcontractor Utilization Form

The EPA requires that Prime Consultants and Prime Contractors utilize the DBE 6100-4 form to document the actual and/or anticipated use of identified subcontractors for each Construction Contract. This form lists each proposed subcontractor, business contact information, and estimated dollar amount of each subcontract. The Prime Consultant or Prime Contractor must require its subcontractors to complete and include the form in the bid or proposal package for each proposed subcontractor. Additionally, the Prime Contractor and Subcontractor must both sign the DBE 6100-4 form for approval.

For questions or concerns regarding the EPA's DBE forms, please contact EPA Region 6's DBE Coordinator [Debora Bradford](#) at (214) 665-7406.

What is a “Good Faith Effort”?

The “Good Faith Effort” activities by a recipient and its prime contractor to increase DBE awareness of procurement opportunities through race/gender neutral efforts. Race/gender neutral efforts are ones which increase awareness of contracting opportunities in general, including outreach, recruitment and technical assistance.

According to 40 CFR § 33.301, a recipient is required to make the following “Good Faith Efforts” whenever procuring construction, equipment, services and supplies under an EPA financial assistance agreement:

(a) Ensure DBEs are made aware of contracting opportunities to the fullest extent practicable through outreach and recruitment activities. For Indian Tribal, State and Local and Government recipients, this will include placing DBEs on solicitation lists and soliciting them whenever they are potential sources.

(b) Make information on forthcoming opportunities available to DBEs and arrange time frames for contracts and establish delivery schedules, where the requirements permit, in a way that encourages and facilitates participation by DBEs in the competitive process. This includes, whenever possible, posting solicitations for bids or proposals for a minimum of 30 calendar days before the bid or proposal closing date.

(c) Consider in the contracting process whether firms competing for large contracts could subcontract with DBEs. For Indian Tribal, State and local Government recipients, this will include dividing total requirements when economically feasible into smaller tasks or quantities to permit maximum participation by DBEs in the competitive process.

(d) Encourage contracting with a consortium of DBEs when a contract is too large for one of these firms to handle individually.

(e) Use the services and assistance of the SBA and the Minority Business Development Agency of the Department of Commerce.

(f) If the prime contractor awards subcontracts, require the prime contractor to take the steps in paragraphs (a) through (e) of this section.

Important Note! To achieve a “Good Faith Effort” the entity or prime contractor must utilize a combination of two methods to solicit services, supplies, equipment, and construction for the project. Applicants and contractors are encouraged to search databases provided by the Small Business Administration (http://dsbs.sba.gov/dsbs/search/dsp_dsbs.cfm), Texas Department of Transportation (<http://www.dot.state.tx.us/business/tucp/tucp-cat.htm>), City of Austin (<http://www.ci.austin.tx.us/smbr/vendors/CertVendor.cfm>), City of Houston (<https://houston.mwdbe.com/FrontEnd/VendorSearchPublic.asp>), and Texas Comptroller of Public Accounts (<http://www.cpa.state.tx.us/procurement/cmb/cmbhub.html>) to enhance MBE/WBE contractor participation.

How to Search the Centralized Masters Bidders List and Historically Underutilized Business Directory

NIGP Class-Item Codes contain 5-digits. To obtain the five digit code, combine the three digit class code with its corresponding two digit item number

Step 1: Click on this link: <http://www.cpa.state.tx.us/procurement/cmb/cmbhub.html>

Step 2: Select the type of business search: CMBL only, HUBs on CMBL, HUBs not on CMBL, HUB mentor protégé, or all vendors.

Step 3: Enter the respective commodity class, item and district codes (please see next page for related water and wastewater commodities) and hit Search.

Step 4: On the following page, select the information you would like to obtain from the database, including: contact information, address, business description, gender, ethnicity, and website.

Step 5: Search Results will appear with the requested information.

Step 6: Click on the Vendor ID or business name to pull up detailed vendor information to confirm HUB status (A = Active, N = Not HUB), contact information, and registered commodities.

Step 7: Gather physical or email contact information from the search results list and distribute the project solicitation.

Example National Institute of Government Purchasing (NIGP) Commodity Codes

Class	Item(s)	Description
890 (Water Supply, Groundwater, Sewage Treatment, and Related Equipment)	01 - 95	Equipment (various)
907 (Architectural and Engineering Services – Non-Professional)	42	Geotechnical – Soils
907 (Architectural and Engineering Services – Non-Professional)	75	Site Assessment and Site Field Observation
907 (Architectural and Engineering Services – Non-Professional)	83	Testing Services
912 (Construction Services, General)	16	Boring, Drilling, Testing, Soundings
912 (Construction Services, General)	23	Construction, General (Backfill Services, Digging, Ditching, Road Grading, Rock Stabilization)
912 (Construction Services, General)	40	Demolition Services
912 (Construction Services, General)	44	Excavation Services
912 (Construction Services, General)	75	Quality Control Testing Services
913 (Construction Services, Heavy – Including Maintenance and Repairs)	39	Construction, Pipe Culvert
913 (Construction Services, Heavy – Including Maintenance and Repairs)	40	Construction, Pipeline
913 (Construction Services, Heavy – Including Maintenance and Repairs)	45	Construction, Sewer and Storm Drain
913 (Construction Services, Heavy – Including Maintenance and Repairs)	47	Construction, Sidewalk and Driveway
913 (Construction Services, Heavy – Including Maintenance and Repairs)	56	Construction, Utility/Underground Projects
913 (Construction Services, Heavy – Including Maintenance and Repairs)	59	Construction and Upgrades, Wastewater Treatment Plant
913 (Construction Services, Heavy – Including Maintenance and Repairs)	60	Construction, Water System/Plants, Main and Service Line
913 (Construction Services, Heavy – Including Maintenance and Repairs)	63	Lime Slurry Removal Services
913 (Construction Services, Heavy – Including Maintenance and Repairs)	77	Maintenance and Repair, Pipe Culvert
913 (Construction Services, Heavy – Including Maintenance and Repairs)	78	Maintenance and Repair, Pipeline (Includes Removal and Relocation)
913 (Construction Services, Heavy – Including Maintenance and Repairs)	81	Maintenance and Repair, Sewer and Storm Drain (Including Removal)
913 (Construction Services, Heavy – Including Maintenance and Repairs)	82	Maintenance and Repair, Sidewalk and Driveway (Including Removal)
913 (Construction Services, Heavy – Including Maintenance and Repairs)	89	Maintenance and Repair, Utility/Underground Projects
913 (Construction Services, Heavy – Including Maintenance and Repairs)	91	Maintenance and Repair, Wastewater Treatment Plant
913 (Construction Services, Heavy – Including Maintenance and Repairs)	92	Maintenance and Repair, Water System, Main and Service Line
914 (Construction Services, Trade (New Construction))	27 -88	Construction Trades (various)
918 (Consulting Services)	16	Archeological Consulting
918 (Consulting Services)	41	Energy Conservation Consulting
918 (Consulting Services)	42	Engineering Consulting

918 (Consulting Services)	43	Environmental Consulting
918 (Consulting Services)	46	Feasibility Studies (Consulting)
918 (Consulting Services)	55	Geological Consulting and Study
918 (Consulting Services)	72	Lakes, Rivers, and Other Waterway Management Consulting Services
918 (Consulting Services)	74	Legal Consulting
918 (Consulting Services)	97	Utilities: Gas, Water, Electric Consulting
925 (Engineering Services, Professional)	17	Civil Engineering
925 (Engineering Services, Professional)	24	Desalination (Process and Facilities) Engineering
925 (Engineering Services, Professional)	28	Drainage Engineering
925 (Engineering Services, Professional)	33	Engineer Services, Professional
925 (Engineering Services, Professional)	34	Energy Management Engineering
925 (Engineering Services, Professional)	35	Environmental Engineering
925 (Engineering Services, Professional)	36	Engineering Services (Not Otherwise Classified)
925 (Engineering Services, Professional)	37	Facilities Design Services, Engineering
925 (Engineering Services, Professional)	44	General Construction: Management, Scheduling, Cost Estimation – Engineering
925 (Engineering Services, Professional)	45	Geological Engineering
925 (Engineering Services, Professional)	46	Geotechnical Engineering
925 (Engineering Services, Professional)	58	Irrigation; Drainage: Flood Control/Engineering
925 (Engineering Services, Professional)	61	Land Development and Planning/Engineering
925 (Engineering Services, Professional)	70	Municipal Engineering
925 (Engineering Services, Professional)	77	Pollution Control Engineering
925 (Engineering Services, Professional)	78	Power Generation, Transmission, Distribution - Engineering
925 (Engineering Services, Professional)	83	Sanitary Engineering
925 (Engineering Services, Professional)	87	Sewage Collection, Treatment, and Disposal Engineering
925 (Engineering Services, Professional)	96	Waste Water Treatment Engineering
925 (Engineering Services, Professional)	97	Water Supply, Treatment, and Distribution/Engineering
926 (Environmental and Ecological Services)	14	Air Pollution Control Services (Including Data Collection Research and Development, etc.)
926 (Environmental and Ecological Services)	23	Auditing Services, Environment
926 (Environmental and Ecological Services)	29	Contaminated Groundwater Services (Including Discharge Pipe Installation)
926 (Environmental and Ecological Services)	40	Ecological Services
926 (Environmental and Ecological Services)	41	Ecosystem Development, Management and Protection Services
926 (Environmental and Ecological Services)	42	Environmental Services (Not Otherwise Classified)
926 (Environmental and Ecological Services)	52	Impact Studies, Environmental
926 (Environmental and Ecological Services)	62	Noise Testing Services
926 (Environmental and Ecological Services)	70	Permitting Services, Environmental
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926 (Environmental and Ecological Services)	83	Site Assessment, Environmental
926 (Environmental and Ecological Services)	85	Soil, Soil Vapor, and Groundwater Sampling and Analysis (Including Disposal)
926 (Environmental and Ecological Services)	88	Storm Water Discharge Testing Services
926 (Environmental and Ecological Services)	90	Subsurface Testing, Environmental
926 (Environmental and Ecological Services)	91	Tank Testing and Disposal Services, Storage (Including Underground Types)
926 (Environmental and Ecological Services)	94	Water Pollution Services
926 (Environmental and Ecological Services)	95	Water/Wastewater Conservation Services
926 (Environmental and Ecological Services)	96	Wetland Delineations (Including Assessments)
946 (Financial Services)	25	Banking Services

946 (Financial Services)	30	Cash/Securities and Bonding Services
946 (Financial Services)	38	Custom Brokerage Services (Including Stocks and Bonds)
946 (Financial Services)	48	Financial Advisor
946 (Financial Services)	49	Financial Services (Not Otherwise Classified)
946 (Financial Services)	56	Investment Management Services
946 (Financial Services)	60	Loan Administration
946 (Financial Services)	66	Monetary Systems (Including Analysis, Liquidity, Policy, etc.)
946 (Financial Services)	75	Securities and Commodities Market Services (Including Direct or Indirect Purchases, Sales and Transactions of Equities, Fixed Income, Options, and Derivatives on an Agency and Principal Basis)
946 (Financial Services)	85	Trusts, Estates and Agency Accounts
958 (Management Services)	05	Asset Management Services
958 (Management Services)	12	Bio-Solids Management Services
958 (Management Services)	26	Construction Management Services
958 (Management Services)	39	Financial Management Services
958 (Management Services)	77	Project Management Services
958 (Management Services)	85	Soil and Land Management Services (Including Testing, Protection, Preparation, Planning, etc.)
961 (Miscellaneous Services, No 1. (Not Otherwise Classified))	01	Archeological Services
961 (Miscellaneous Services, No 1. (Not Otherwise Classified))	32	Environmental Impact Studies
961 (Miscellaneous Services, No 1. (Not Otherwise Classified))	49	Legal Services, Attorney
961 (Miscellaneous Services, No 1. (Not Otherwise Classified))	85	Utility Services, Water
961 (Miscellaneous Services, No 1. (Not Otherwise Classified))	91	Water and Petroleum Pipeline Services
962 (Miscellaneous Services, No 2. (Not Otherwise Classified))	14	Blue Printing Services: Blue Prints, Blue Line, Large Engineering
962 (Miscellaneous Services, No 2. (Not Otherwise Classified))	39	Hauling Services
962 (Miscellaneous Services, No 2. (Not Otherwise Classified))	50	Leak Detection Services: Gas, Water, Chemical
962 (Miscellaneous Services, No 2. (Not Otherwise Classified))	52	Mapping Services (Including Cartography and Surveying Services (Not Aerial – See 902-33 and 905-10 for Aerial Mapping and Surveying Services)
962 (Miscellaneous Services, No 2. (Not Otherwise Classified))	92	Video Scanning of Sewers, Water Wells, etc.
962 (Miscellaneous Services, No 2. (Not Otherwise Classified))	94	Water Services, Bottled and Bulk Delivery (Tanker Services)
962 (Miscellaneous Services, No 2. (Not Otherwise Classified))	96	Well Services (Including Oil, Gas, and Water): Drilling, Plugging, Consulting, Maintenance and Repair
968 (Public Works and Related Services)	18	Back Flow Preventer Testing Services
968 (Public Works and Related Services)	47	Inspection Services, Construction Type
968 (Public Works and Related Services)	63	Relocation and/or Removal Services for Utility Works
968 (Public Works and Related Services)	66	Right of Way Services (Including Title, Appraisal, Negotiation, Closing, Relocation, Condemnation, etc.)
968 (Public Works and Related Services)	73	Storm Drain Cleaning, Repair, and Sludge Removal Services
968 (Public Works and Related Services)	78	Tank Installation, Removal, Disposal, and Related Services (Including Septic and Underground Type)

968 (Public Works and Related Services)	91	Water Supply Analysis, Infrastructure Analysis, Water Quality Analysis, and Long-Term Planning
968 (Public Works and Related Services)	92	Water Supply Plant Operating and Monitoring System Services (Including Water Resources Development and Water Quality Management Services)
968 (Public Works and Related Services)	96	Water and Wastewater Treatment Services

DBE Compliance Standards

Entities receiving federal loan assistance through the SRF programs are required to remain in compliance with DBE requirements through all phases of the project including: Project Application Phase, Commitment Phase, Planning/Design Phase, and Construction Contract Phase(s).

Entities and prime contractors are encouraged to review the TWDB's DBE Compliance Policy (DW-099/CW-099) and requirements for compliance for each phase and the respective form(s). Entities and prime contractors are also reminded that a project bidders list is required by the U.S. EPA DBE program. The list must include all firms that bid or quote on subcontracts under EPA assisted projects, including both MBE/WBEs and non-MBE/WBEs. The bidders list must be kept until the grant project period has expired and the recipient is no longer receiving EPA funding under the loan. For entities receiving identified loans, the bidders list must be kept until the project period for the identified loan has ended (See form TWDB-0216)

Additionally, backup documentation supporting the solicitation methods utilized must be included with the forms to determine if DBE requirements were met. Entities and prime contractors should make certain that the required DBE language is included in the solicitation prior to advertisement. Copies of the RFQ, advertisement/affidavit, pre-bid meetings, fax/email/letter correspondence, website postings, and governmental/trade publications are all examples of adequate backup to determine if a "Good Faith Effort" was undertaken.

Due to U.S. EPA DBE program reporting requirements, the TWDB requests that all information on form TWDB-0373 be completed as accurate as possible, including exact contract amounts, MBE/WBE status, and executed dates. Entities and Prime Contractors seeking to utilize MBE/WBE contractors must include the respective firm's certification with form TWDB-0373 for validation. Once reviewed, TWDB staff reports MBE/WBE contractor utilization for each federal program on a semi-annual basis.

As of December 1, 2013, the EPA reissued the DBE 6100-2, 6100-3, and 6100-4 forms for Prime Consultants and Prime Contractors utilizing subcontractors on applicable EPA funded projects. Inclusion of the 6100-3 and 6100-4 forms are required for proposal/bid responses and approval by the TWDB.

It is important for the Entity and Prime Contractor to coordinate closely During the Construction Contract phase to ensure that all DBE requirements have been met throughout all construction phases to avoid project delays or loan commitment expiration deadlines.

Contract Administration Requirements

Each procurement contract signed by an EPA financial assistance agreement recipient, including those for an identified loan under an EPA financial assistance agreement capitalizing a revolving loan fund, must include the following term and condition:

Appendix A to Part 33—Terms and Conditions

The contractor shall not discriminate on the basis of race, color, national origin or sex in the performance of this contract. The contractor shall carry out applicable requirements of 40 CFR part 33 in the award and administration of contracts awarded under EPA financial assistance agreements. Failure by the contractor to carry out these requirements is a material breach of this contract which may result in the termination of this contract or other legally available remedies.

Additionally, the following U.S. EPA DBE regulations apply:

- (a) A recipient must require its prime contractor to pay its subcontractor for satisfactory performance no more than 30 days from the prime contractor's receipt of payment from the recipient.*
- (b) A recipient must be notified in writing by its prime contractor prior to any termination of a DBE subcontractor for convenience by the prime contractor.*
- (c) If a DBE subcontractor fails to complete work under the subcontract for any reason, the recipient must require the prime contractor to employ the six good faith efforts described in § 33.301 if soliciting a replacement subcontractor.*
- (d) A recipient must require its prime contractor to employ the six good faith efforts even if the prime contractor has achieved its fair share objectives.*

DBE Program Regulations

TWDB DBE Program Webpage:

<http://www.twdb.texas.gov/financial/programs/DBE/index.asp>

DBE Final Rule (40 CFR Parts 30, 31, 33, 35, and 40):

<http://www.epa.gov/osbp/pdfs/dbe/final%20dbe%20rule.pdf>

MBE/WBE Certification Fact Sheet:

http://www.epa.gov/osbp/pdfs/dbe/mbe_wbe_certification.pdf

Glossary

Construction means erection, alteration, or repair (including dredging, excavating, and painting) of buildings, structures, or other improvements to real property, and activities in response to a release or a threat of a release of a hazardous substance into the environment, or activities to prevent the introduction of a hazardous substance into a water supply.

Disadvantaged business enterprise (DBE) means an entity owned or controlled by a socially and economically disadvantaged individual as described by Public Law 102–389 (42 U.S.C. 4370d) or an entity owned and controlled by a socially and economically disadvantaged individual as described by Title X of the Clean Air Act Amendments of 1990 (42 U.S.C. 7601 note); a Small Business Enterprise (SBE); a Small Business in a Rural Area (SBRA); or a Labor Surplus Area Firm (LSAF), a Historically Underutilized Business (HUB) Zone Small Business Concern, or a concern under a successor program.

Equipment means items procured under a financial assistance agreement as defined by applicable regulations (for example 40 CFR 30.2 and 40 CFR 31.3) for the particular type of financial assistance received.

Good faith efforts means the race and/ or gender neutral measures described in subpart C of this part.

Minority business enterprise (MBE) means a Disadvantaged Business Enterprise (DBE) other than a Small Business Enterprise (SBE), a Labor Surplus Area Firm (LSAF), a Small Business in Rural Areas (SBRA), or a Women’s Business Enterprise (WBE).

Recipient means an entity that receives an EPA financial assistance agreement or is a sub-recipient of such agreement, including loan recipients under the Clean Water State Revolving Fund Program, Drinking Water State Revolving Fund Program, and the Brownfields Cleanup Revolving Loan Fund Program.

Services means a contractor’s labor, time or efforts provided in a manner consistent with normal business practices which do not involve the delivery of a specific end item, other than documents (*e.g.*, reports, design drawings, specifications).

Supplies means items procured under a financial assistance agreement as defined by applicable regulations for the particular type of financial assistance received.

Women’s business enterprise (WBE) means a business concern which is at least 51% owned or controlled by women for purposes of EPA’s 8% statute or a business concern which is at least 51% owned and controlled by women for purposes for EPA’s 10% statute. Determination of ownership by a married woman in a community property jurisdiction will not be affected by her husband’s 50 percent interest in her share. Similarly, a business concern which is more than 50 percent owned by a married man will not become a qualified WBE by virtue of his wife’s 50 percent interest in his share.

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3. TWDB's DBE Compliance Policy DW-099 CW-099 – DBE Certification Requirements

This is the TWDB's internal Policy, available on the web at:

http://www.twdb.texas.gov/financial/programs/DBE/doc/DBE_Compliance_Policy.pdf

DBE Certification Requirements

Self-Certification of MBEs and WBEs is no longer acceptable. Disadvantaged Business Enterprises (MBEs and WBEs) must be certified by state, local, Tribal, or private entities whose certification criteria meet or exceed EPA's. To qualify as a MBE or WBE, a firm must establish that it is at least 51% owned and/or controlled by socially and economically disadvantaged individuals who are of good character and are citizens of the United States. Please note that MBE, WBE, or HUB certifications provided by the Texas Small Businesses Association or Texas Certification Directory will *not* be accepted by the TWDB or EPA. The TWDB will accept certifications from the following government entities:

- [Texas Department of Transportation](#)
- [City of Austin - Small and Minority Business Resources Department](#)
- [City of Houston - Office of Affirmative Action and Contract Compliance](#)
- [Corpus Christi - Regional Transportation Authority](#)
- [North Central Texas Regional Certification Agency](#)
- [South Central Texas Regional Certification Agency](#)

Please refer to "[Tips for Achieving a Good Faith Effort in Procurement](#)" for additional information. If you have any questions or need assistance, please contact Rene Gonzalez at (512) 463-2634; or by email at: rene.gonzalez@twdb.texas.gov

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4. Tips for Achieving a Good Faith Effort in Procurement

To assist entities identify, include, and utilize qualified Disadvantaged Business Enterprises (DBEs), applicants and prime contractors are encouraged to refer to the following chapters which include resources available on a local, statewide, and national level.

To achieve a “Good Faith Effort” the entity or prime contractor must utilize a combination of two methods to solicit services, supplies, equipment, and construction for the project.

To achieve a “Good Faith Effort” a minimum of two methods must be utilized for solicitation,

1. Newspaper Advertisements
2. Direct Contact by Phone, Fax, USPS Mail, E-mail
3. Meetings or Conferences
4. Minority Media
5. Internet & Web Postings
6. Trade Association Publications
7. Other Government Publications

Additional methods such as searching databases provided by:

1. Small Business Administration
2. TXDOT
3. City of Austin Vendors, City of Houston
4. Texas Comptroller of Public Accounts HUB

Backup documentation must be attached to forms for each method used.

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5. Resources for Identifying DBE's

- Texas Procurement and Support Services (TPASS) - <http://www.window.state.tx.us/procurement/cmb/cmbhub.html>

Centralized Master Bidders List (CMBL) & Historically Underutilized Business (HUB) Search - The CMBL & HUB Search is a statewide database managed by the TPASS. This database contains contact information on all vendors registered to do business with the State, including TPASS-certified HUB vendors. The CMBL & HUB search is an online system available to the public free of charge.

- Small Business Administration - http://dsbs.sba.gov/dsbs/search/dsp_dsbs.cfm
- Texas Department of Transportation - <https://www.txdot.gov/business/partnerships/dbe.html>
- City of Austin - <http://www.ci.austin.tx.us/smbr/vendors/CertVendor.cfm>
- City of Houston - <https://houston.mwdbe.com/FrontEnd/VendorSearchPublic.asp>

Other Minority & Women Business Organizations that you can contact directly to obtain a list of qualified vendors for your procurement opportunity:

- **Southwest Minority Supplier Development Council** - <http://www.smsdc.org/>
 - Contact: Jennifer Mort (<mailto:jennifer@smsdc.org>) , Phone: 512-386-8766
- **Women's Business Council – Southwest** - <http://www.wbcsouthwest.org/>
 - Contact: Emilia Menthe (<mailto:ementhe@wbcsouthwest.org>) , or Candy Briggs (<mailto:ewilliams@wbcsouthwest.org>) , Phone: 817-299-0566
- **Dallas/Fort Worth Minority Business Development Council** - <http://affiliate.nmsdc.org/dfwmsdc/>
 - Contact: Andrew Nash (<mailto:business@dfwmbc.com>) , Phone: 214-630-0747
- **Women Contractors Association** - <http://www.womencontractors.org/>
 - Contact: Cherri Morris (<mailto:director@womencontractors.org>) , Phone: 713-807-9977

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6. Options for announcing your solicitation

Direct Communication - Contacting potential bidders by direct communication can include correspondence by letter, facsimile, telephone, or email to a *minimum of three businesses/firms solicited for each type* of contract sought (i.e. engineering, financial advisor, and bond counsel, prime construction firms).

Small Business Administration's (SBA) Sub-Net - *Sub-Net* is an Internet-based system that allows applicants and prime contractors to post their procurement opportunities online. Access to the database is free to government agencies and contractors, and is an excellent resource for soliciting DBE's for your project. The Sub-Net database can be accessed at: <http://web.sba.gov/subnet>

Newspaper Advertisements - The posting of applicable project procurement opportunities should be done in accordance with the notice requirements of state law on competitive bidding, where applicable. There are specific laws governing each type of entity. For example, two important provisions of state law governing **municipalities** require:

1. The notice should be published once a week for two consecutive weeks in a newspaper published in the municipality. If no newspaper is published in the municipality, the notice must be posted at the city hall for 14 days before the date set to publicly open the bids and read them aloud;
2. The date of the first publication should be BEFORE the 14th day of the date set to publicly open the bids.



Please consult your legal counsel for specific laws governing your entity.

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7. Pertinent language that needs to appear within the text of the solicitation

- A. Any loan award is contingent upon release of funds from the Texas Water Development Board (TWDB).
- B. This contract is subject to the Environmental Protection Agency's (EPA) "fair share policy", which includes EPA-approved "fair share goals" for Minority Business Enterprise (MBE) and Women Business Enterprise (WBE) firms in the Construction, Supplies, Equipment, and Services procurement categories. EPA's policy requires that applicants and prime contractors make a good faith effort to award a fair share of contracts, subcontracts, and procurements to Minority Business Enterprise and Women-Owned Business Enterprise firms. Although EPA's policy does not mandate that the fair share goals be achieved, it does require applicants and prime contractors to demonstrate use of the six affirmative steps. The current fair share goals for the State of Texas are as follows:

CATEGORY	MBE	WBE
CONSTRUCTION	12.94%	8.72%
EQUIPMENT	7.12%	5.39%
SERVICES	10.84%	5.72%
SUPPLIES	9.68%	9.34%

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8. When are DBE forms required?

Entities receiving federal financial assistance through the SRF Programs will be required to submit DBE documentation at different phases during the project's lifecycle (Project Application, Commitment and Closing, Planning/Design, and Construction Contract Phases).

Form	Applicant	Engineer, Financial Advisor, Bond/Legal Counsel	Prime Contractor	Prime's Subcontractors	Submit Form To
TWDB-0215	Required				TWDB
TWDB-0216	Required	Required if using subs	Required		TWDB
TWDB-0217		Required	Required		TWDB
TWDB-0373	Required	Required if using subs	Required		TWDB
EPA-6100-2		If necessary		If Necessary	EPA DBE Coordinator
EPA-6100-3		Required if using subs		Required with Bid	TWDB
EPA-6100-4		Required if using subs		Required with Bid	TWDB

Project Application Phase

Applicants requesting federal financial assistance through the SRF funds must include a TWDB-0215 form with the loan application.

- TWDB-0215 (Applicant/Entity Only)

Commitment and Closing Phase

After loan commitment, but prior to closing, applicants must provide forms **TWDB-0216** and **TWDB-0373** forms. The project's Prime Engineer, Financial Advisor, and Bond Counsel must complete a **TWDB-0217** form and indicate if any subcontracting opportunities will be available or if the contractor will be self-performing the contract. Regardless of the procurement's outcome, all entities must submit a **TWDB-0373** and list the contractors selected by the applicant for the project. Failure to comply or include a contractor and/or contract will result in denial of payment.

- TWDB-0216 (Applicant/Entity)
- TWDB-0217 (Prime Engineer, Financial Advisor, Bond Counsel)
- TWDB-0373 (Applicant/Entity)

Planning and Designing Phase

Some projects require additional procurement during the planning phase for geotechnical and materials testing, pilot testing, surveying, archeological surveys, etc. Projects requiring

additional procurement during the Planning and Design Phase will require submittal of the TWDB-0216, TWDB-0373, 6100-3 and 6100-4 forms.

- TWDB-0216 (Prime Engineer)
- TWDB-0373 (Prime Engineer)
- EPA-6100-3 (Subcontractor Performance form)
- EPA-6100-4 (Subcontractor Utilization form)

Construction Contract Phase

For each Construction Contract, applicants are required to submit the TWDB-0216 and TWDB-0373 forms for the procurement of the Prime Contractor. If the Prime Contractor is utilizing subcontractors for the project, then additional TWDB-0216, TWDB-0373, 6100-3 and 6100-4 forms must also be submitted.

- TWDB-0216 (Applicant/Entity, Prime Construction Contractor)
- TWDB-0217 (Prime Construction Contractor)
- TWDB-0373 (Applicant/Entity, Prime Construction Contractor)
- DBE 6100-3 (Subcontractor Performance form)
- DBE 6100-4 (Subcontractor Utilization form)

9. Disadvantaged Business Enterprise Program (DBE) Forms

TWDB-0215 (Affirmative Steps Certification)

TWDB-0216 (Affirmative Steps Solicitation Report)

TWDB-0217 (Prime Contractor Affirmative Steps)

TWDB-0373 (Loan/Grant Participation Summary)

EPA-6100-2 (Subcontractor Participation form)

EPA-6100-3 (Subcontractor Performance form)

EPA-6100-4 (Subcontractor Utilization form)

TWDB-0215
APPLICANT/ENTITY
TEXAS WATER DEVELOPMENT BOARD
AFFIRMATIVE STEPS CERTIFICATION and GOALS

I. PROJECT INFORMATION

A. TWDB Project No.	B. Applicant/Entity Name	C. Total TWDB Funding Request	D. Program Type (insert "X" for all that apply)	
			<input type="checkbox"/>	Drinking Water SRF (DWSRF)
			<input type="checkbox"/>	Clean Water SRF (CWSRF)

II. GOOD FAITH EFFORT (Applicable to all PRIME contracts awarded by the applicant/entity)

I understand that it is my responsibility to comply with all state and federal regulations and guidance in the utilization of Minority and Women-Owned Businesses in procurement. I certify that I will make a "good faith effort" to afford opportunities for Minority Business Enterprise (MBE), and Women-Owned Business Enterprise (WBE) by:

1	Including qualified MBEs and WBEs on procurement solicitation lists
2	Soliciting potential MBE's and WBE's
3	Reducing contract size/quantities when economically feasible to permit maximum participation by MBE's and WBE's
4	Establishing delivery schedules to encourage participation by MBE's and WBE's
5	Using the services and assistance of the Small Business Administration, Minority Business Development Agency, U.S. Department of Commerce, and Texas Marketplace
6	Requiring all PRIME contractors to follow steps 1-5 of the "good faith effort" in employing MBE and WBE Subcontractors
Signature - Applicant/Entity Representative	
Title	
Certification Date	

III. PROJECT PARTICIPATION ESTIMATES

Total Procurement		Potential MBE Participation		Potential WBE Participation	
Cost Category	Total	Goal	Extension	Goal	Extension
Construction	\$	12.94%	\$	8.72%	\$
Equipment	\$	7.12%	\$	5.39%	\$
Supplies	\$	9.68%	\$	9.34%	\$
Services	\$	10.84%	\$	5.72%	\$
Total Procurement (must equal loan/grant amount)	\$		\$		\$

The fair share goals listed above are required by 40 CFR Part 33 Subpart D and are directly negotiated with EPA Region 6. Entities receiving federal financial assistance are subject to the TWDB's goals and may not be substituted with other agency or program goals.

IV. TWDB APPROVAL SIGNATURE

Form Meets DBE Requirements	Yes <input type="checkbox"/> No <input type="checkbox"/>
DBE Coordinator	Approval Date

TWDB-0216

**TEXAS WATER DEVELOPMENT BOARD
AFFIRMATIVE STEPS SOLICITATION REPORT**

I. PROJECT INFORMATION

A. TWDB Project No.	B. Applicant/Entity Name	C. Total TWDB Funding Request	D. Program Type (insert "X" for all that apply)	
			<input type="checkbox"/>	Drinking Water SRF (DWSRF)
			<input type="checkbox"/>	Clean Water SRF (CWSRF)

Project Name: _____

Solicitation By: Applicant/Entity Prime Contractor: _____

Project Phase: Application Planning/Design Construction Contract # _____

II. PROJECT BIDDERS LIST:

Instructions Columns 1 - 4	List on this form, or provide on a separate list, each business entity solicited for procurement, the following: 1-Full business name & point of contact, 2-business address, 3-telephone number and 4-email for each business or firm. Entities must solicit to a minimum of 3 business/firms for each type of contract sought (i.e. three engineering, financial advisor, and bond counsel firms) to demonstrate a Good Faith Effort .
Instructions Column 5	Enter one of the following procurement or contract categories: CONSTRUCTION – SUPPLIES – EQUIPMENT – SERVICES
Instructions 6	Enter the type of business: Minority Business Enterprise (MBE), Women-Owned Business Enterprise (WBE), or OTHER (NOTE! "OTHER" = Company or firm is Non-MBE or WBE)
Instructions Column 7	To achieve a "Good Faith Effort" a minimum of two methods must be utilized for solicitation, however, additional methods are encouraged by the TWDB should any of the attempted methods fail to meet DBE program requirements. Adequate backup documentation must be attached to this form for each method used. Methods of solicitation include: <ol style="list-style-type: none"> 1. Newspaper Advertisements 2. Direct Contact by Phone, Fax, USPS Mail, E-mail 3. Meetings or Conferences 4. Minority Media 5. Internet & Web Postings 6. Trade Association Publications 7. Other Government Publications

Notice: Entities receiving federal SRF loans must create and maintain a bidder's list if the recipient of the loan is subject to competitive bidding requirements. The list must include all firms that bid or quote on subcontracts under EPA assisted projects, including both MBE/WBEs and non-MBE/WBEs. Entities must keep the bidders list until the project is complete, the project period has expired, and the recipient is no longer receiving EPA funding under the loan.

	Column 1 Business Name & Point of Contact	Column 2 Business Address	Column 3 Telephone Number	Column 4 E-Mail Address	Column 5 Procurement Category	Column 6 MBE/WBE Status	Column 7 Solicitation Methods
1.							
2.							
3.							
4.							
5.							
6.							
7.							
8.							
9.							

Use additional sheets if necessary

Signature - Applicant/Entity or Prime Contractor	Title	Certification Date

III. TWDB APPROVAL SIGNATURE

Form meets DBE Requirements	Yes <input type="checkbox"/> No <input type="checkbox"/>
DBE Coordinator	Approval Date

TWDB-0217

**TEXAS WATER DEVELOPMENT BOARD (TWDB)
AFFIRMATIVE STEPS CERTIFICATION and GOALS**

I. PROJECT INFORMATION

A. TWDB Project No.	B. Applicant/Entity Name	C. Total TWDB Funding Request	D. Program Type (insert "X" for all that apply)	
			<input type="checkbox"/>	Drinking Water SRF DWSRF)
			<input type="checkbox"/>	Clean Water SRF (CWSRF)

Prime Contractor: _____

Contract Number: _____ Contract Amount: _____

II. GOOD FAITH EFFORT (Applicable to all sub-agreements awarded by the prime contractor)

I understand that it is my responsibility to comply with all state and federal regulations and guidance in the utilization of Minority and Women-Owned Businesses in procurement. I certify that I will make a "good faith effort" to afford opportunities for Minority Business Enterprise (MBE), and Women-Owned Business Enterprise (WBE) by:

1	Including qualified MBEs and WBEs on procurement solicitation lists
2	Soliciting potential MBE's and WBE's
3	Reducing contract size/quantities when economically feasible to permit maximum participation by MBE's and WBE's
4	Establishing delivery schedules to encourage participation by MBE's and WBE's
5	Using the services and assistance of the Small Business Administration, Minority Business Development Agency, U.S. Department of Commerce, and Texas Marketplace
6	Submitting documentation to the Texas Water Development Board to verify good faith effort, steps 1-5.
<input type="checkbox"/>	EXCEPTION: As the Prime Contractor, I certify that I have reviewed the contract requirements and found no available subcontracting opportunities. I also certify that I will fulfill 100 percent of the contract requirements with my own employees & resources. (Check if applicable)
Signature – Consultant/Prime Contractor	
Title	
Certification Date	

III. PROJECT PARTICIPATION ESTIMATES

Total Procurement		Potential MBE Participation		Potential WBE Participation	
Cost Category	Total	Goal	Extension	Goal	Extension
Construction	\$	12.94%	\$	8.72%	\$
Equipment	\$	7.12%	\$	5.39%	\$
Supplies	\$	9.68%	\$	9.34%	\$
Services	\$	10.84%	\$	5.72%	\$
Total Procurement (must equal contract amount)	\$		\$		\$

The fair share goals listed above are required by 40 CFR Part 33 Subpart D and are directly negotiated with EPA Region 6. Entities receiving federal financial assistance are subject to the TWDB's goals and may not be substituted with other agency or program goals.

IV. TWDB APPROVAL SIGNATURE

Form Meets DBE Requirements	Yes <input type="checkbox"/>	No <input type="checkbox"/>
DBE Coordinator	Approval Date	

Disadvantaged Business Enterprise (DBE) Program DBE Subcontractor Participation Form

An EPA Financial Assistance Agreement Recipient must require its prime contractors to provide this form to its DBE subcontractors. This form gives a DBE¹ subcontractor² the opportunity to describe work received and/or report any concerns regarding the EPA-funded project (e.g., in areas such as termination by prime contractor, late payments, etc.). The DBE subcontractor can, as an option, complete and submit this form to the EPA DBE Coordinator at any time during the project period of performance.

Subcontractor Name		Project Name	
Bid/ Proposal No.	Assistance Agreement ID No. (if known)	Point of Contact	
Address			
Telephone No.		Email Address	
Prime Contractor Name		Issuing/Funding Entity:	

Contract Item Number	Description of Work Received from the Prime Contractor Involving Construction, Services, Equipment or Supplies	Amount Received by Prime Contractor

¹ A DBE is a Disadvantaged, Minority, or Woman Business Enterprise that has been certified by an entity from which EPA accepts certifications as described in 40 CFR 33.204-33.205 or certified by EPA. EPA accepts certifications from entities that meet or exceed EPA certification standards as described in 40 CFR 33.202.

² Subcontractor is defined as a company, firm, joint venture, or individual who enters into an agreement with a contractor to provide services pursuant to an EPA award of financial assistance.

**Disadvantaged Business Enterprise (DBE) Program
DBE Subcontractor Performance Form**

This form is intended to capture the DBE¹ subcontractor's² description of work to be performed and the price of the work submitted to the prime contractor. An EPA Financial Assistance Agreement Recipient must require its prime contractor to have its DBE subcontractors complete this form and include all completed forms in the prime contractor's bid or proposal package.

Subcontractor Name		Project Name	
Bid/ Proposal No.	Assistance Agreement ID No. (if known)	Point of Contact	
Address			
Telephone No.		Email Address	
Prime Contractor Name		Issuing/Funding Entity:	

Contract Item Number	Description of Work Submitted to the Prime Contractor Involving Construction, Services, Equipment or Supplies	Price of Work Submitted to the Prime Contractor
DBE Certified By: ___ DOT ___ SBA ___ Other: _____		Meets/ exceeds EPA certification standards? ___ YES ___ NO ___ Unknown

¹ A DBE is a Disadvantaged, Minority, or Woman Business Enterprise that has been certified by an entity from which EPA accepts certifications as described in 40 CFR 33.204-33.205 or certified by EPA. EPA accepts certifications from entities that meet or exceed EPA certification standards as described in 40 CFR 33.202.

² Subcontractor is defined as a company, firm, joint venture, or individual who enters into an agreement with a contractor to provide services pursuant to an EPA award of financial assistance.

**Disadvantaged Business Enterprise (DBE) Program
DBE Subcontractor Performance Form**

I certify under penalty of perjury that the forgoing statements are true and correct. Signing this form does not signify a commitment to utilize the subcontractors above. I am aware of that in the event of a replacement of a subcontractor, I will adhere to the replacement requirements set forth in 40 CFR Part 33 Section 33.302 (c).

Prime Contractor Signature	Print Name
Title	Date

Subcontractor Signature	Print Name
Title	Date

The public reporting and recordkeeping burden for this collection of information is estimated to average three (3) hours per response. Send comments on the Agency's need for this information, the accuracy of the provided burden estimates, and any suggested methods for minimizing respondent burden, including through the use of automated collection techniques to the Director, Collection Strategies Division, U.S. Environmental Protection Agency (2822T), 1200 Pennsylvania Ave., NW, Washington, D.C. 20460. Include the OMB control number in any correspondence. Do not send the completed form to this address.

Disadvantaged Business Enterprise (DBE) Program DBE Subcontractor Utilization Form

This form is intended to capture the prime contractor's actual and/or anticipated use of identified certified DBE¹ subcontractors² and the estimated dollar amount of each subcontract. An EPA Financial Assistance Agreement Recipient must require its prime contractors to complete this form and include it in the bid or proposal package. Prime contractors should also maintain a copy of this form on file.

Prime Contractor Name		Project Name	
Bid/ Proposal No.	Assistance Agreement ID No. (if known)	Point of Contact	
Address			
Telephone No.		Email Address	
Issuing/Funding Entity:			

I have identified potential DBE certified subcontractors	__ YES	__ NO	
If yes, please complete the table below. If no, please explain:			
Subcontractor Name/ Company Name	Company Address/ Phone/ Email	Est. Dollar Amt	Currently DBE Certified?

Continue on back if needed

¹ A DBE is a Disadvantaged, Minority, or Woman Business Enterprise that has been certified by an entity from which EPA accepts certifications as described in 40 CFR 33.204-33.205 or certified by EPA. EPA accepts certifications from entities that meet or exceed EPA certification standards as described in 40 CFR 33.202.

² Subcontractor is defined as a company, firm, joint venture, or individual who enters into an agreement with a contractor to provide services pursuant to an EPA award of financial assistance.

**Disadvantaged Business Enterprise (DBE) Program
DBE Subcontractor Utilization Form**

I certify under penalty of perjury that the forgoing statements are true and correct. Signing this form does not signify a commitment to utilize the subcontractors above. I am aware of that in the event of a replacement of a subcontractor, I will adhere to the replacement requirements set forth in 40 CFR Part 33 Section 33.302 (c).

Prime Contractor Signature	Print Name
Title	Date

The public reporting and recordkeeping burden for this collection of information is estimated to average three (3) hours per response. Send comments on the Agency's need for this information, the accuracy of the provided burden estimates, and any suggested methods for minimizing respondent burden, including through the use of automated collection techniques to the Director, Collection Strategies Division, U.S. Environmental Protection Agency (2822T), 1200 Pennsylvania Ave., NW, Washington, D.C. 20460. Include the OMB control number in any correspondence. Do not send the completed form to this address.