



**ADDENDUM NO. 1**

DATE: November 4, 2014  
Request for Qualification (RFQ): M15-102314  
DATED: October 24, 2014  
**RECEIPT DATE: Friday, November 14, 2014 @ 3:30 p.m. EST**

SUBJECT: Addition of MBE/ESB Participation Forms

Ladies/Gentlemen:

Please take note of the following:

**Addition of MBE/ESB Participation Forms**

The following forms are attached to this addendum:

1. Minority Business Enterprise and Emerging Small Business Participation Commitment for Prequalification (RFQ) Form.
2. MBE/ESB Past Good Faith Efforts Participation Form.
3. Good-Faith Minority Business Enterprise and Emerging Small Business Participation Efforts Documentation of Contacts.

All project managers must take due notice and be governed accordingly. This addendum must be acknowledged or your prequalification may not be considered.

Sincerely,

*Michael Jackson*

Michael Jackson  
Contract Specialist

Acknowledgement:

\_\_\_\_\_  
Authorized Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Addendum No. 1



**Minority Business Development**

900 East Broad Street  
 City Hall, 5th Floor  
 Richmond, VA 23219  
 Office: (804) 646-5947  
 Fax: (804) 646-0136  
[www.richmondgov.com/MBD](http://www.richmondgov.com/MBD)

**Minority Business Enterprise  
 And Emerging Small Business  
 Participation Commitment  
 for Prequalification (RFQ) Form**

PROJECT NAME / NO.	MBE/ESB PROJECT GOAL ESTABLISHED → BY THE CITY OF RICHMOND				
<input type="checkbox"/> <b>YES</b> I, _____ shall commit to _____% MBE/ESB participation through: <i>Authorized Company Officer</i>  _____% FIRST, SECOND and/or THIRD TIER SUBCONTRACTING _____% SUPPLY PURCHASES _____% JOINT VENTURES _____% MENTOR-PROTÉGÉ _____% OTHER CREDIBLY VIABLE METHODS  I understand that this commitment obligates my firm to a substantial good faith effort to achieve the proposed MBE/ESB participation. Our proposal may earn up to 100 prequalification points under PROPOSED GOOD FAITH MINORITY PARTICIPATION EFFORTS. We further commit to reporting MBE/ESB utilization on a monthly basis using the City’s MBE/ESB-3 form.					
<ol style="list-style-type: none"> <li>1. <b>IF YOU ARE PREQUALIFIED:</b> It is not necessary to include another <b>MBE/ESB-1 RFQ</b> form in the bid. The <b>MBE/ESB-1 RFQ</b> form submitted during the RFQ process stands as your firm’s record of proposed MBE/ESB participation.</li> <li>2. <b>IF YOU ARE THE SUCCESSFUL BIDDER:</b> You must submit the <b>MBE/ESB-2</b> form to report a <b>credible list</b> of legitimate MBE/ESB subcontractors, suppliers, and/or written statements of mentor/protégé or joint venture arrangement within five (5) business days to the Department of Procurement Services. Upon receipt of the <b>MBE/ESB-2</b> form, the Office of Minority Business Development will approve “Good Faith Efforts” and/or verify MBE/ESB participation before full contract execution.</li> </ol>					
<input type="checkbox"/> <b>NO</b> I, _____ do not wish to earn up to 30 prequalification points for proposed MBE/ESB participation. <i>Authorized Company Officer</i>  I acknowledge that my declaration will forfeit the opportunity to earn up to 100 prequalification points, and shall directly impact the level of responsiveness of this application and shall become a matter of record. ( <i>Explanation for declaration is encouraged but not required.</i> )					
<b>Definitions</b>	<table border="1" style="width:100%; border-collapse: collapse;"> <thead> <tr> <th style="width:50%; padding: 5px;">MINORITY BUSINESS ENTERPRISE</th> <th style="width:50%; padding: 5px;">EMERGING SMALL BUSINESS</th> </tr> </thead> <tbody> <tr> <td style="padding: 5px;">A business at least 51% of which is owned and controlled or 51% minority-owned and operated by minority group members or, in case of a stock corporation, at least 51% of the stock which is owned and controlled by minority group members. Minority group members are citizens of the United States who are African American, Hispanic American, Asian American, or American Indian.</td> <td style="padding: 5px;">A business that (1) has been certified by the Office of Minority Business Development for a period of seven years or less, (2) has annual gross receipts for each of its three fiscal years preceding application for certification of \$500,000 or less if engaged in the construction business or of \$250,000 or less if engaged in a non-construction business, (3) has fewer than ten employees, (4) is not a subsidiary of another business and does not belong to a group of businesses owned and controlled by the same individuals, (5) has its principal place of business within the City of Richmond Enterprise Zone, (6) possesses a City business license, and (7) pays personal property, real estate, and business taxes to the City of Richmond.</td> </tr> </tbody> </table>	MINORITY BUSINESS ENTERPRISE	EMERGING SMALL BUSINESS	A business at least 51% of which is owned and controlled or 51% minority-owned and operated by minority group members or, in case of a stock corporation, at least 51% of the stock which is owned and controlled by minority group members. Minority group members are citizens of the United States who are African American, Hispanic American, Asian American, or American Indian.	A business that (1) has been certified by the Office of Minority Business Development for a period of seven years or less, (2) has annual gross receipts for each of its three fiscal years preceding application for certification of \$500,000 or less if engaged in the construction business or of \$250,000 or less if engaged in a non-construction business, (3) has fewer than ten employees, (4) is not a subsidiary of another business and does not belong to a group of businesses owned and controlled by the same individuals, (5) has its principal place of business within the City of Richmond Enterprise Zone, (6) possesses a City business license, and (7) pays personal property, real estate, and business taxes to the City of Richmond.
MINORITY BUSINESS ENTERPRISE	EMERGING SMALL BUSINESS				
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THE UNDERSIGNED HEREBY CERTIFIES THAT S/HE HAS READ THE TERMS OF THIS COMMITMENT AND IS AUTHORIZED TO BIND THE BIDDER TO THE COMMITMENT HEREIN SET FORTH.					
COMPANY NAME	AUTHORIZED OFFICER NAME				

## **INSTRUCTIONS/ DEFINITIONS**

1. **FIRST, SECOND, AND/OR THIRD TIER SUBCONTRACTING** - The scope of work that is initially contracted by the prime contractor to a subcontractor is considered 1<sup>st</sup>-tier subcontracting. If that subcontractor further subcontracts all or a portion of the work, it becomes 2<sup>nd</sup>-tier subcontracting. Likewise, if the 2<sup>nd</sup>-tier subcontractor decides to subcontract a portion of the work, it is 3<sup>rd</sup>-tier subcontracting. The prime contractor will receive credit for 100% of the dollar value of the 1<sup>st</sup>, 2<sup>nd</sup>, 3<sup>rd</sup>-tier subcontracting for MBE/ESB participation.
2. **SUPPLY PURCHASES** - The prime contractor will receive credit for 100% of the dollar value of supplies purchased from a MBE/ESB.
3. **JOINT VENTURE** - An arranged partnership of the MBE/ESB and one or more other firms to carry out a single, for-profit project, for which the parties combine their property, capital, efforts, skills, and knowledge, and in which the MBE/ESB is responsible for a distinct, clearly defined scope of work and whose share of the capital contributions, control, management, risks and profits of the joint venture are commensurate with its ownership interest. **MBE/ESB credit for legitimate joint ventures will be five (5) points toward the satisfaction of the MBE/ESB goal for a specified project.**
4. **MENTOR/PROTÉGÉ** - An arrangement based on a written development plan, approved by the City, which clearly sets forth the objective of the parties and their respective roles, the duration of the arrangement and the services and resources to be provided by the mentor to the protégé. **MBE/ESB credit for a legitimate mentor/protégé arrangement will be four (4) points towards the satisfaction of the MBE/ESB goal for a specified project.**
5. **OTHER CREDIBLY VIABLE METHODS - BLANKET BONDING** - the prime contractor covers the bonding requirement for the subcontractor. MBE/ESB credit for Blanket Bonding will be two (2) points toward the satisfaction of the MBE/ESB goal for a specified project.  
  
**Apprenticeship** - An apprentice that is bound to work for another for a designated amount of time in return for instruction in a trade or a business. **MBE/ESB credit for Apprenticeship will be one (1) point toward the satisfaction of the MBE/ESB goal for a specified project.**
6. **MINORITY BUSINESS ENTERPRISE (MBE)** - A business at least 51% of which is owned and controlled or 51% operated by minority group members or, in case of a stock corporation, at least 51% of the stock, which is owned and controlled by minority group members. Minority group members are citizens of the United States who are African American, Hispanic American, Asian American, and American Indian.
7. **EMERGING SMALL BUSINESS (ESB)** - A business that (1) has been certified by the Office of Minority Business Development (OMBD) for a period of seven years or less, (2) has annual gross receipts for each of its three fiscal years preceding application for a certification of \$500,000 or less if engaged in the construction business or of \$250,000 or less if engaged in non-construction business, (3) has fewer than ten employees, (4) is not a subsidiary of another business and does not belong to a group of businesses owned and controlled by the same individuals, (5) has its principal place of business within the City of Richmond Enterprise Zone, (6) possesses a City business license, and (7) pays personal property, real estate, and business taxes to the City of Richmond.



## MBE/ESB Past Good Faith Efforts Participation Form

Office of Minority Business Development

900 East Broad Street  
 City Hall, 9th Floor  
 Richmond, VA 23219  
 Office: (804) 646-5947  
 Fax: (804) 646-0136

<http://www.RichmondGov.com/MBD>

<b>COMPANY DATA</b>	<b>COMPANY NAME:</b>		<b>CONTRACT NAME/NO:</b>	
	<b>CONTACT NAME:</b>	<b>PHONE #</b>	<b>Fax#</b>	
	<b>Email Address:</b>			

**How long has your firm been in Business?**

If you can verify your firm has made past good faith efforts in the **Public or Private Sector** to engage MBE/ESB firms through subcontracting, joint venture, mentor-protégé, or apprenticeship opportunities over the past three (3) years, you may be eligible to earn additional points for this project. Please include valid documentation to support this claim. Feel free to attach additional pages, if necessary. **Enter Below Code for Ownership of each MBE Firm.**

1 = African American    2 = Hispanic American    3 = Asian American  
 4 = American Indian    5 = Other (Specify Below)

Yes – may be eligible – Complete section below       No – not eligible

PROJECT NAME / DATE	SCOPE OF WORK	Code	MBE/ESB COMPANY NAME/CONTACT PERSON/PHONE

	MINORITY BUSINESS ENTERPRISE	GOOD FAITH MBE/ESB PARTICIPATION EFFORTS	EMERGING SMALL BUSINESS
<b>DEFINITIONS</b>	A business at least 51% of which is owned and controlled or 51% operated by minority group members or, in case of a stock corporation, at least 51% of the stock which is owned and controlled by minority group members. Minority group members are citizens of the United States who are African American, Hispanic American, Asian American and American Indian.	The sum total of efforts by a particular business to provide equitable participation of minority business enterprise or emerging small business subcontractors. For past efforts, this sum total shall be comprised of the record of participation by minority business enterprises and emerging small businesses through subcontracting or joint ventures. For future efforts, it shall be comprised of such efforts, which are proposed to allow equitable participation of minority business enterprise or emerging small business subcontractors.	A business that (1) has been certified by the Office of Minority Business Development for a period of seven years or less, (2) has annual gross receipts for each of its three fiscal years preceding application for certification of \$500,000 or less if engaged in the construction business or of \$250,000 or less if engaged in non-construction business, (3) has fewer than ten employees, (4) is not a subsidiary of another business and does not belong to a group of businesses owned and controlled by the same individuals, (5) has its principal place of business within the City of Richmond Enterprise Zone, (6) possesses a City business license, and (7) pays personal property, real estate, and business taxes to the City of Richmond.

Bidder and the MBE/ESB agree that the MBE/ESB shall not subcontract or assign any work described herein to another entity without prior written approval of the City of Richmond.

**THE UNDERSIGNED HEREBY CERTIFIES THAT S/HE HAS READ THE TERMS OF THIS COMMITMENT AND IS AUTHORIZED TO BIND THE BIDDER TO THE COMMITMENT HEREIN SET FORTH.**

**SIGNATURE OF AUTHORIZED OFFICIAL:**

**DATE:**



**Office of Minority Business Development**  
900 East Broad Street  
City Hall, 9th Floor  
Richmond, VA 23219  
Office: (804) 646-5947

**Good-Faith Minority Business Enterprise  
and Emerging Small Business Participation Efforts  
Documentation of Contacts**

Request for Qualification or Request for Proposals No.: \_\_\_\_\_

Project Name: \_\_\_\_\_

Name of Contractor: \_\_\_\_\_

**Part I – Method of Contact**

How did you contact each Minority Business Enterprise or Emerging Small Business?

A. **Telephone.** For each firm contacted:

- State the name of the firm, the name of the person contacted, the telephone number contacted and the date of the contact.

B. **Fax.** For each firm contacted:

- State the name of the firm, the fax number contacted and the date of the contact.
- Attach a copy of the fax transmittal sheet indicating receipt of the fax.

C. **E-Mail.** For each firm contacted:

- State the name of the firm, the name of the person contacted by e-mail, the e-mail address at which you contacted the person and the date of the contact.
- Attach a copy of the e-mail sent. All copies of e-mails must include metadata indicating "From," "To" and "Cc" e-mail addresses as well as the date and time of the e-mail.

D. **Newspapers and Other Publications.** For each advertisement placed in a newspaper or other publication:

- State the name of the newspaper or other publication and the date or dates on which the advertisement was published.
- Attach a copy of both the published advertisement and any solicitation advertised.

E. **Other.** For methods of contact not included above:

- Describe the nature of the contact.
- As applicable, state the name of the person contacted, the name of the firm contacted and the date of the contact.
- Attach a copy of any written documentation of the contact.

**Attachment A sets forth the form in which the information required above must be submitted.**

**(Turn Over)**

**Attachment A – Form of Information Documenting  
Method of Contact**

<b>MBE/ESB Name Contact Person Address Phone Number Fed ID Number</b>	<b>Telephone</b>	<b>Fax</b>	<b>Email</b>	<b>Newspaper or Other Publication</b>	<b>Other</b>	<b>Response of Contacted Firms</b>	<b>Enter Below Code for Ownership of each MBE Firm.</b>
	<b>Telephone # Date of Contact</b>	<b>Fax # Date of Contact</b>	<b>Email Address Date of Contact</b>	<b>Name of Newspaper or Other Publication Date (s) of Advertisement</b>	<b>Separate Written Statement with any supporting documentation for each contract</b>	<b>MBE/ESB Response Yes, No, No Response or Comment</b>	1 = African American 2 = Hispanic American 3 = Asian American 4 = American Indian 5 = Other (Specify Below)
<b>ABC Co., Inc. Joe Johns 110 Main Street, Anywhere, USA (XXX) 555-5555 54-XXXXXX</b>	<b>(804) 555- 5555 01/28/09</b>	<b>(804) 555- 5555 01/28/09</b>	<b>ABC@gmail.com</b>	<b>Times Dispatch</b>	<b>See Attachment</b>	<b>Yes</b>	<b>1</b>

**Additional copies can be made**