

**ATTACHMENT E (1-6)**  
**ATTACHMENT 1**  
**MINORITY- AND WOMEN-OWNED BUSINESS ENTERPRISES AND**  
**EQUAL EMPLOYMENT OPPORTUNITY POLICY STATEMENT**

**MWBE AND EEO POLICY STATEMENT**

I, \_\_\_\_\_, the (proposer/awardee/contractor) \_\_\_\_\_ agree to adopt the following policies with respect to the project being developed or services rendered at \_\_\_\_\_

**M/WBE**

This organization will and will cause its contractors and subcontractors to take good faith actions to achieve the M/WBE contract participations goals set by the State for that area in which the State-funded project is located, by taking the following steps:

- (1) Actively and affirmatively solicit bids for contracts and subcontracts from qualified State certified MBEs or WBEs, including solicitations to M/WBE contractor associations.
- (2) Request a list of State-certified M/WBEs from AGENCY and solicit bids from them directly.
- (3) Ensure that plans, specifications, request for proposals and other documents used to secure bids will be made available in sufficient time for review by prospective M/WBEs.
- (4) Where feasible, divide the work into smaller portions to enhanced participations by M/WBEs and encourage the formation of joint venture and other partnerships among M/WBE contractors to enhance their participation.
- (5) Document and maintain records of bid solicitation, including those to M/WBEs and the results thereof. Contractor will also maintain records of actions that its subcontractors have taken toward meeting M/WBE contract participation goals.
- (6) Ensure that progress payments to M/WBEs are made on a timely basis so that undue financial hardship is avoided, and that bonding and other credit requirements are waived or appropriate alternatives developed to encourage M/WBE participation.

**EEO**

(a) This organization will not discriminate against any employee or applicant for employment because of race, creed, color, national origin, sex, age, disability or marital status, ; will undertake or continue existing programs of affirmative action to ensure that minority group members are afforded equal employment opportunities without discrimination; and shall make and document its conscientious and active efforts to employ and utilize minority group members and women in its work force on state contracts.

(b) This organization shall state in all solicitation or advertisements for employees that in the performance of the State contract all qualified applicants will be afforded equal employment opportunities without discrimination because of race, creed, color, national origin, sex, age, disability or marital status, .

(c) At the request of the contracting agency, this organization shall request each employment agency, labor union, or authorized representative will not discriminate on the basis of race, creed, color, national origin, sex, age, disability or marital status, ; and that such union or representative will affirmatively cooperate in the implementation of this organization's obligations herein.

(d) Contractor shall comply with the provisions of the Human Rights Law, all other State and Federal statutory and constitutional non-discrimination provisions. Contractor and subcontractors shall not discriminate against any employee or applicant for employment because of race, creed (religion), color, sex, national origin, sexual orientation, military status, age, disability, predisposing genetic characteristic, marital status or domestic violence victim status, and shall also follow the requirements of the Human Rights Law with regard to non-discrimination on the basis of prior criminal conviction and prior arrest.

(e) This organization will include the provisions of sections (a) through (d) of this agreement in every subcontract in such a manner that the requirements of the subdivisions will be binding upon each subcontractor as to work in connection with the State contract

Agreed to this \_\_\_\_\_ day of \_\_\_\_\_, 2\_\_\_\_\_

By \_\_\_\_\_

Print: \_\_\_\_\_ Title: \_\_\_\_\_

**ATTACHMENT 2**  
**NEW YORK STATE ENERGY RESEARCH AND DEVELOPMENT AUTHORITY**  
**MWBE UTILIZATION PLAN FORM**

Solicitation/Contract No. \_\_\_\_\_

Date \_\_\_\_\_

**I. PRIME CONTRACTOR INFORMATION**

Company Name \_\_\_\_\_

Address \_\_\_\_\_

Telephone No. ( ) \_\_\_\_\_ Federal ID # \_\_\_\_\_

Contract Award Amount \$ \_\_\_\_\_

Brief Description of Work \_\_\_\_\_

Prime Contractor M/WBE Status     M/WBE                       Non-M/WBE

**II.** I, \_\_\_\_\_ HEREBY AGREE TO THE \_\_\_\_% MINORITY OWNED BUSINESS ENTERPRISE (MBE) GOAL AND THE \_\_\_\_% WOMEN OWNED BUSINESS ENTERPRISE (WBE) GOAL AS SET FOR IN THIS CONTRACT NO. \_\_\_\_\_. I FURTHER SUBMIT THE FOLLOWING NYS CERTIFIED M/WBES FOR YOUR REVIEW AND APPROVAL IN COMPLIANCE WITH THE GOAL REQUIREMENTS ESTABLISHED IN THIS CONTRACT.

\_\_\_\_\_  
Signature/Title of Authorized Representative

The Contractor shall undertake "good faith" efforts to actively solicit MBE/WBE participation in connection with its potential award of the NYSERDA contract.

**III. MBE SUBMISSIONS**

For each MBE, provide the company name, address, telephone number, contact person name, Federal ID number, estimated contract award date, contract award amount, estimated contract commencement date, and a BRIEF description of the contract scope of work.

**IV. WBE SUBMISSIONS**

For each WBE, provide the company name, address, telephone number, contact person name, Federal ID number, estimated contract award date, contract award amount, estimated contract commencement date, and a BRIEF description of the contract scope of work.

**V.** Provide the name, title, address and telephone of person(s) responsible for implementing this subcontracting plan.

**VI.** If the Contractor anticipates that it will not be able to meet the contract M/WBE participation levels, a written detailed explanation must be submitted with the bid or proposal.

I hereby declare that the above information is to the best of my ability and intention correct and that every effort will be made in the attainment of the established M/WBE goal.

Name \_\_\_\_\_ Title \_\_\_\_\_

**ATTACHMENT 3**

**NEW YORK STATE ENERGY RESEARCH AND DEVELOPMENT AUTHORITY  
MINORITY/WOMEN BUSINESS ENTERPRISE (M/WBE) STAFFING PLAN FORM**

Solicitation/Contract No. \_\_\_\_\_

Date \_\_\_\_\_

**I. PRIME CONTRACTOR INFORMATION**

\_\_\_\_\_  
Company Name  
\_\_\_\_\_  
Address  
\_\_\_\_\_  
Telephone No. ( ) Federal ID #  
\_\_\_\_\_  
Contract Award Amount \$  
\_\_\_\_\_  
Brief Description of Work  
\_\_\_\_\_

**II. I, \_\_\_\_\_ HEREBY SUBMIT THE FOLLOWING STAFFING PLAN.**

\_\_\_\_\_  
Signature/Title of Authorized Representative

**III. WORKFORCE DESCRIPTION**

Provide a description of the work force to be utilized on the State contract, including the work force of any subcontractors, broken down by specified ethnic background, gender, and Federal occupational categories.

I hereby declare that the above information is to the best of my ability and intention correct.

Name \_\_\_\_\_ Title \_\_\_\_\_

**ATTACHMENT 4**

**NEW YORK STATE ENERGY RESEARCH AND DEVELOPMENT AUTHORITY  
MWBE COMPLIANCE REPORT FORM**

Solicitation/Contract No. \_\_\_\_\_

Date \_\_\_\_\_

**I. PRIME CONTRACTOR INFORMATION**

Company Name \_\_\_\_\_

Address \_\_\_\_\_

Telephone No. (\_\_\_\_) \_\_\_\_\_ Federal ID# \_\_\_\_\_

Brief Description of Work \_\_\_\_\_  
\_\_\_\_\_

**II. AS EVIDENCE OF (\_\_\_\_\_) PROGRESS TOWARD ACHIEVEMENT OF THE NYSERDA MBE AND WBE GOALS, AND IN ACCORDANCE WITH THE TERMS AND CONDITIONS OF CONTRACT NO., THE FOLLOWING INFORMATION IS HEREWITH SUBMITTED.**

\_\_\_\_\_  
Signature/Title of Authorized Representative

**III. SUBMITTAL ITEMS**

- i. Provide the names, addresses and telephone numbers of each M/WBE you are actually using in compliance with your M/WBE goal.
- ii. Provide a brief description of work performed by the M/WBE, their scheduled dates for performance and current working status.
- iii. Provide a copy of your written agreement with the M/WBE. (A one-time request.)
- iv. In the event you have let a blanket purchase order or other open-ended contracts, only specify that amount actually awarded.
- v. Provide the actual amounts of payments made to any M/WBES as of the date the work force utilization report is submitted. Documentation must include copies of cancelled checks.
- vi. Provide the name, title and telephone number of person(s) responsible for submitting work force utilization reports.
- vii. Compliance Reports are due on the first day of the first month of each quarter, beginning three months after contract award date.

**ATTACHMENT 5**

**NEW YORK STATE ENERGY RESEARCH AND DEVELOPMENT AUTHORITY  
WORKFORCE UTILIZATION REPORT FORM**

Solicitation/Contract No. \_\_\_\_\_

Date \_\_\_\_\_

**I. PRIME CONTRACTOR INFORMATION**

Company Name \_\_\_\_\_

Address \_\_\_\_\_

Telephone No. (\_\_\_\_) \_\_\_\_\_ Federal ID# \_\_\_\_\_

Brief Description of Work \_\_\_\_\_

**II. AS EVIDENCE OF (\_\_\_\_\_) PROGRESS TOWARD ACHIEVEMENT OF THE NYSEDA MBE AND WBE GOALS, AND IN ACCORDANCE WITH THE TERMS AND CONDITIONS OF CONTRACT NO. \_\_\_\_\_, THE FOLLOWING INFORMATION IS HEREWITH SUBMITTED.**

\_\_\_\_\_  
Signature/Title of Authorized Representative

**III. SUBMITTAL ITEMS**

- i. If the work force of the contractor and/or subcontractors has changed since the last work force utilization report, provide 1) the total number of employees performing work on the State contract; and 2) the contractor's and all subcontractor's work force on the State contract broken down by specified ethnic background, gender, and Federal occupational categories.

If the contractor's and/or subcontractor's work force has not changed since the last work force utilization report, check here:

- ii. Work Force Utilization Reports are due on the first day of the first month of each quarter, beginning three months after contract award date.

**IV. ALTERNATIVE SUBMITTAL ITEMS**

In the event that the Contractor cannot separate the workforce to be utilized in the performance of the NYSEDA contract from its total workforce, the Contractor shall submit, on a semi-annual basis:

- (i) The total workforce of the Contractor described categorically by: specified ethnic background, gender and the Federal occupational data.
- (ii) The Contractor acknowledges that the overall goal of an equal employment opportunity program involves the implementation of procedures and methods for the identification, recruitment and employment of minority group members and women.

**ATTACHMENT 6**

**NEW YORK STATE ENERGY RESEARCH AND DEVELOPMENT AUTHORITY  
MINORITY WOMEN BUSINESS ENTERPRISE (MWBE) REQUEST FOR WAIVER FORM**

Solicitation/Contract No. \_\_\_\_\_

Date \_\_\_\_\_

**I. PRIME CONTRACTOR INFORMATION**

Company Name \_\_\_\_\_

Address \_\_\_\_\_

Telephone No. ( ) \_\_\_\_\_

Federal ID # \_\_\_\_\_

Brief Description of Work:

\_\_\_\_\_  
\_\_\_\_\_

- II. I, ( \_\_\_\_\_ ) HEREBY REQUEST A PARTIAL OR TOTAL (Circle One) WAIVER OF MY MBE AND/OR WBE GOALS AS ESTABLISHED IN CONTRACT NO. I AGREED TO ATTAIN \_\_\_% MBE PARTICIPATION AND \_\_\_% WBE PARTICIPATION OF THE TOTAL CONTRACT PRICE. TO SUBSTANTIATE AND DEMONSTRATE MY GOOD FAITH EFFORTS, THE FOLLOWING INFORMATION IS SUBMITTED FOR THE AUTHORITY'S REVIEW AND APPROVAL.

\_\_\_\_\_  
Signature/Title of Authorized Representative

**III. SUBMITTAL ITEMS**

1. Provide a statement setting forth your basis for requesting a partial or total waiver.
2. Provide all names of general circulation, trade association and M/WBE-oriented publications in which you solicited M/WBEs for the purposes of complying with your participation levels.
3. List all dates solicitations for M/WBE participation were published in any of the above publications.
4. List all M/WBEs appearing in the NYS Directory of certified vendors which were solicited for purposes of complying with your M/WBE participation levels.
5. Provide proof of all dates on which solicitations were made in writing and copies of such solicitations, or a sample copy of the solicitations if an identical solicitation was made to all M/WBEs.
6. Provide copies of responses made by M/WBEs to your solicitations.

7. Provide a description of any contract documents, plans or specifications made available to M/WBEs for purposes of soliciting their bids and the date and manner in which these documents were made available.
8. Provide documentation of any negotiations between you, the Contractor, and M/WBEs undertaken for purposes of complying with your M/WBE participation levels.
9. Provide any other information you deem relevant which may help us in evaluating your request for a waiver.
10. Provide the name, title, address and telephone number of contractor's representative authorized to discuss and negotiate this waiver request.
11. Have you explored or identified any other area where your company can implement an effective equal employment opportunity program to expand the employment opportunities of minority group members and women? If so, please provide the data supporting such efforts and the results.