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Good Faith Efforts Short Form Plan
For Projects with \$150,000-\$999,999.99 State Funding
Effective 07/01/2026

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COVER PAGE

Company Name:	<u>Exampleville Builders LLC</u>		
Company Address:	<u>12 Main Street, Exampleville, CT, 06000</u>		
Telephone No.:	<u>(203) 555-0100</u>		
Email Address (Plan Preparer):	<u>pat@examplevillebuilders.example</u>		
Email Address (Head of Company):	<u>alex@examplevillebuilders.example</u>		
Email Address (other company contacts):	<u>office@examplevillebuilders.example</u>		
Date Submitted:	03/12/2026		
	☒ Original Plan ☐ Revised Plan		
GFE Plan Prepared by:	<u>Pat Foreman</u>		
Name and Title of Head of Company:	<u>Alex Foreman, President</u>		
Project Name:	<u>Example Elementary School Renovation</u>		
State Contract/Project No.:	<u>CT-EX-2026-117</u>		
Project Owner:	<u>Exampleville Board of Education</u>		
Construction Manager (If applicable)	<u></u>		
Total Project Contract Value:	<u>\$1,240,000.00</u>		
State Funded Portion of the Contract Value:	<u>\$850,000.00</u>		
Assigned MBE Value:	<u>6.25</u>	%	\$ <u>53,125.00</u>
Assigned SBE Value:	<u>25.00</u>	%	\$ <u>212,500.00</u>

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Table of Contents

Note: A Good Faith Efforts Plan (GFEP) meeting all the requirements of the following sections must be filed for each state-funded project.

Note: A submission that does not adhere to this formatting may be rejected before it is reviewed. Any section that does not include a response to said section and/or its subsections herein will not be in compliance.

Section Number and Title Number	Page
<u>Section 1: Project Description, Timeline, and Trades Involved</u>	
<u>Section 2: Subcontractor/Supplier/Vendor Availability Analysis</u>	
<u>Section 3: Minority Business Enterprise Goals and Timetables</u>	
<u>Attachment III</u>	
<u>Section 4: Documentation Checklist</u>	
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<u>Section 6: Close Out Documentation Notice</u>	
<u>Section 7: Concluding Statement</u>	

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Section 1: Project Description, Timeline, and Trades Involved

INSTRUCTIONS:

This section of the GFEP must detail the scope of the project, start/end dates and trades, materials and services provided by your company for this project. If a question does not apply to this project, please indicate as such by writing, "N/A", to acknowledge the question.

1. In 1-3 sentences, briefly describe the project and the work involved.

Interior renovation and code upgrades across two wings of Example Elementary School, including electrical, masonry, and roofing scopes.

2. Project Start 03/10/2026 Date:

☒ Actual ☐ Estimated

Project End Date: 09/10/2026

☐ Actual ☒ Estimated

3. List all trades-related work that will be self-performed by your company's employees. "N/A" is an acceptable response if your company will not self-perform trades-related work. **Attach a copy of the applicable section of the agency bid document (for example: project manual, ITB, etc.), that specifies all the trades-related work required for your company's work on this project. Only include the portions necessary to verify your company's responses.**

**Please list one trade on each line. Please add additional lines if necessary.*

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- General carpentry
- Site supervision
-
-
-
-
-
-
-

4. List all supplies that will be manufactured or self-provided by your company for use on this project (please do not list materials your company will be purchasing specifically for this project or will be furnished by a subcontractor). "N/A" is an acceptable response if your company will not manufacture or self-provide supplies. **Attach a copy of the applicable section of the agency bid document (for example: project manual, ITB, etc.), that specifies all the materials required for your company's work on this project.**

**Please list one material on each line. Please add additional lines if necessary.*

***If your company is providing materials from its inventory, please provide documentation to verify the source (i.e. purchase orders with dates).**

- N/A
 -
 -
 -
 -
 -
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5. List all non-trades related services that will be provided by your company.

"N/A" is an acceptable response if your company will not provide non-trades related services.

**Please list one service on each line. Please add additional lines if necessary.*

• Construction scheduling • • • • • • • •

*****Please do not list, in this section, the trades, materials and services that your company will be awarding to subcontractors, suppliers and vendors. That information will be provided in the next section.**

☒ Please check this box to certify that your company has provided documentation from the awarding agency to support all trades and materials listed above. This includes any trades or materials with manufacturers, suppliers or subcontractors specified by the awarding agency.

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Section 2: Subcontractor/Supplier/Vendor Availability Analysis

INSTRUCTIONS:

Before filling out the rest of this section, please check the DAS Supplier Diversity Program Database to confirm that every Small Business Enterprise (SBE), Minority-Business Enterprise (MBE), Women-Owned Business Enterprise (WBE), and Disabled Person-Owned Business Enterprise (DisBE) has an active certificate.

[Follow this link to access the DAS Supplier Diversity Program Database.](#)

Column A: Please list the trades-related work, materials, and non-trades related services for which your company will be bidding for in order to award a subcontractor, supplier or vendor to provide.

*Please indicate the specific trade, material or service and do not use general terms (wire, cable vs. Electrical Supplies).

* Please attach a copy of the contract's bid document (project manual, ITB, etc.) that specifies all the trades-related work, non-trades related work, and all materials required for the work on this project. **Only include the portions necessary to verify your company's responses. Please do not provide the full document.**

Column B: Please list the legal names of all companies solicited for trades, materials and services, listed in Column A.

Column C: Please indicate the DAS Certification Type for the company listed. Please use "WBE" status for women owned businesses, "MBE" status for ethnic minority owned businesses, "DisBE" status for businesses owned by persons with a disability, and "SBE" status for small businesses that are not one of the aforementioned. If the company is not DAS Certified, please use "non-DAS Certified".

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Column D: Please indicate the date a bid was initially solicited from each company.

Column E: Please indicate the date(s) of any additional solicitations to each company.

Column F: Please indicate the bid due date set in the solicitation.

Column G: Please indicate the date that your company received a bid from each company.

Column H: Please indicate result of the bid solicitation. Your company must be able to explain and to document to the CHRO the reason(s) why your company did not award a subcontract to each of the companies solicited. An overly vague response, such as “Bid Received,” “Called/Left Message,” “Said Will Bid” etc., is insufficient. For those companies that you will utilize for this project, use “Awarded” as the bid result.

Column I: Please indicate the amount of the bid.

How this section will be reviewed:

A contractor’s good faith efforts shall be determined using the following factors: The contractor’s employment and subcontracting policies, patterns and practices; affirmative advertising, recruitment and training; technical assistance activities and such other reasonable activities or efforts as the commission may prescribe that are designed to ensure the participation of minority business enterprises in public works projects.

Examples* include, but are not limited to:

- Consulting the [State of Connecticut Department of Administrative Services \(DAS\) Supplier Diversity Program](#).
 - When utilizing the DAS Supplier Diversity Program Website, please use simple and varied terms in the keyword search.
 - (i.e. “precast” instead of “precast concrete products” or “building material” instead of “gypsum board”)
 - **If your company failed to find DAS Certified companies due to searching keywords that were too specific or singular and did not show due diligence in utilizing the DAS Supplier Diversity Program website, that may be a factor in a determination that good faith efforts were not demonstrated.**
- Using concise responses for bid results (avoid vague responses such as “did not bid” or “no response”; use responses to show follow-up).
- Soliciting bids only from those subcontractors and/or vendors who can provide the trade, material, or service.

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- Including all trades, materials, and services within the company's bidding process or providing an explanation with reference as to why the trade, material, or service was not solicited (best practice is to solicit at least three SBE/MBE/WBE/DisBEs). In addition, your company should provide documentation to support its explanation as to why a trade, material or service was not solicited to S/M/W/DisBE's (i.e. page from project documents showing specific manufacturer, etc.)

**This is not an exhaustive list.*

Please note CHRO's Record Retention Policy:

The CHRO is authorized to audit your company records regarding contract compliance at any time during or after the performance of this project. You must develop and maintain detailed records of your solicitation of and responses from each company in the event that the CHRO requests documentation. If you solicit in writing, you must keep those written documents (e.g., letters, facsimiles, emails). If you solicit by phone, you must keep written notes about those solicitations. The CHRO may seek phone or any manner of other records. Records are subject to the CHRO's verification with any or all contractors, subcontractors, and/or suppliers of materials solicited. Records must be retained for at least two years after the CHRO issues, to your company, a Notice of File Closure letter.

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1) Please provide the required information for all trades related work your company will award to a subcontractor.

** Please add additional lines if necessary.*

Example

A	B	C	D	E	F	G	H	I
Type of Trade	Company Legal Name	DAS Certification	Date Solicitation Sent	Date(s) of Additional Solicitations	Date Bids Due	Date Bid Received	Outcome	Bid Amount
Rough Carpentry	ABC Construction	SBE	02/02/2026	02/15/2026 02/22/2026	02/28/2026	02/12/2026	Bid Incomplete	\$5,000.00
Rough Carpentry	Carpenter's LLC	DisBE	02/02/2026	N/A	02/28/2026	02/05/2026	Awarded	\$23,456.00
Rough Carpentry	Hard Knocks Woodwork	Non-DAS Certified	02/02/2026	02/15/2026	02/28/2026	02/16/2026	Bid Too High	\$25,000.00
Electrical	Boltz Electric, LLC	non-DAS Certified	02/02/2026	N/A	02/28/2026	02/12/2026	Awarded	\$19,222.33
Electrical	XYZ Electrical Co, Inc.	SBE	02/02/2026	02/15/2026 02/22/2026	02/28/2026	N/A	No response to 3 solicitations	N/A
A	B	C	D	E	F	G	H	I
Type of Trade	Company Legal Name	DAS Certification	Date Solicitation Sent	Date(s) of Additional Solicitations	Date Bids Due	Date Bid Received	Outcome	Bid Amount
Electrical	Riverside Electric Co	SBE	02/12/2026	N/A	03/02/2026	02/28/2026	Awarded	\$118,500.00
Masonry	Granite State Masonry LLC	MBE	02/13/2026	N/A	03/02/2026	03/01/2026	Awarded	\$96,400.00
Plumbing	Harbor Plumbing & Heating	WBE	02/14/2026	02/21/2026	03/02/2026	N/A	Declined to bid	N/A
Roofing	Statewide Roofing Corp	non-DAS Certified	02/15/2026	N/A	03/02/2026	03/01/2026	Bid exceeded roofing budget line by	\$74,900.00

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							18%; scope re-let with value engineering.	
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2) Please provide the required information for all materials your company will award to a supplier or vendor.

** Please add additional lines if necessary.*

Example

A	B	C	D	E	F	G	H	I
Type of Material	Company Legal Name	DAS Certification	Date Solicitation Sent	Date(s) of Additional Solicitations	Date Bids Due	Date Bid Received	Outcome	Bid Amount
Hardwood Supplier	XYZ Material Suppliers	WBE	02/04/2026	02/15/2026 02/22/2026	02/28/2026	02/27/2026	Bid Too High	\$6,789.00
Hardwood Supplier	Best Floor Co.	DisBE	02/04/2026	N/A	02/28/2026	N/A	Declined To Bid	N/A
Hardwood Supplier	ABC Construction Supply	Non-DAS Certified	02/04/2026	02/15/2026	02/28/2026	02/16/2026	Awarded	\$5,999.99
Cable, Conduit, Fixtures, Boxes	Wires and Things, LLC	WBE	02/04/2026	N/A	02/28/2026	02/10/2026	Awarded	\$15,432.00
Cable, Conduit, Fixtures, Boxes	Shockingly Good Electrical Supply, Inc.	SBE	02/04/2026	02/15/2026 02/22/2026	02/28/2026	N/A	No response to 3 solicitations	N/A

A	B	C	D	E	F	G	H	I
Type of Material	Company Legal Name	DAS Certification	Date Solicitation Sent	Date(s) of Additional Solicitations	Date Bids Due	Date Bid Received	Outcome	Bid Amount

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Please provide the required information for all non-trades related services your company will award.

** Please add additional lines if necessary.*

Example

A	B	C	D	E	F	G	H	I
Type of Service	Company Legal Name	DAS Certification	Date Solicitation Sent	Date(s) of Additional Solicitations	Date Bids Due	Date Bid Received	Outcome	Bid Amount
Portable toilets	Number 1	MBE	02/04/2026	02/10/2026	02/18/2026	02/10/2026	Bid Too High	\$999.99
Portable toilets	When Nature Call	SBE	02/04/2026	N/A	02/18/2026	N/A	Scheduling Conflict	N/A
Portable toilets	Pristine Port-a-lets	non-DAS Certified	02/04/2026	02/10/2026	02/18/2026	02/14/2026	Awarded	\$876,54
Dumpsters	Waste Not, Inc.	non-DAS Certified	02/04/2026	02/10/2026 02/16/2026	02/18/2026	02/17/2026	Bid Too High	\$519.00
Dumpsters	Dumpsters LLC.	WBE	02/04/2026	02/10/2026	02/18/2026	02/14/2026	Awarded	\$419.00

A	B	C	D	E	F	G	H	I
Type of Service	Company Legal Name	DAS Certification	Date Solicitation Sent	Date(s) of Additional Solicitations	Date Bids Due	Date Bid Received	Outcome	Bid Amount

☒ Please check this box to certify that your company has provided documentation from the awarding agency to support all trades and materials listed above. This includes any trades or materials with manufacturers, suppliers or subcontractors specified by the awarding agency.

***If your company did not award the lowest bidder, please provide an explanation and attach supporting documentation.**

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In reference to the solicitations listed above, please provide responses to the following two questions.

1. Did your company provide written notice to a reasonable number (given availability of DAS Certified S/M/W/DisBE companies for each Trade, Material or Service) of specific S/M/W/DisBE companies that their interest in the contract is being solicited, at least 10 days before bids are due to allow S/M/W/DisBE companies time to participate? If you could not solicit S/M/W/DisBE companies for any trade, material or service, please provide a justifiable reason as to why not.

☒ Yes

☐ No

*** Your response should be supported by information provided earlier in this section.**

2. Did your company follow up initial solicitation of interest by contacting S/M/W/DisBE companies to determine whether the S/M/W/DisBE companies are interested?

☒ Yes

☐ No

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Section 3: Minority Business Enterprise Goals and Timetables

INSTRUCTIONS:

Provide all the information requested in the Attachment III.

- List all companies who were designated as “**Awarded**” in Section 2, Column G.
 - o List all awarded MBEs, WBEs, and DisBEs in the top table (“Part A”).
 - o List all awarded SBEs in the middle table (“Part B”).
 - o List all awarded non-DAS Certified Companies in the bottom table (“Part C”).
 - o The contract values listed should correspond to the bid amounts in Section 2, Column H.
- List your company in the applicable table (Part A, B or C) with its contract value.
 - o To calculate your company's contract value, start with the total project contract value and deduct the dollar values of the contracts awarded to all subcontractors, suppliers and vendors.
- Input all percentages requested in the Attachment III. (Please use the State Funded Portion of the contract value to calculate percentages).
- Attach a **current copy** of the DAS Supplier Diversity Certificate for each company listed in Part A and Part B. Companies must be DAS Certified during their participation in the project for their contracts to count toward goal achievement.

Once your company’s Plan is approved, your company may not add or delete any of the companies nor alter any of the contract values as listed on the Attachment III of your company’s approved Plan, except as follows. After your company’s Plan is approved, Attachment III may be altered only if your company submits the following items:

- I) A cover letter that
 - A) Requests acknowledgement of the change and
 - B) Details the reason(s) why the CHRO should grant the change.
- II) Documentation that verifies the reason(s) for removal or addition
 - A) For removal: confirmation that the business is closed, a change order from the owner that eliminates a subcontractor’s portion of the project, etc.
 - B) For addition: a copy of the company’s current DAS S/M/W/DisBE certification;

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- II) A Revised Attachment III listing the date of the revision (in mm/dd/yyyy format) and incorporating the requested change.

NOTE: Upon a project's completion, only those companies that are listed on the latest approved Attachment III, and who have maintained a current DAS Supplier Diversity certification throughout the duration of the project, will be utilized in the CHRO's final calculations of actual goal achievement upon the project's completion.

The CHRO encourages your company to not just meet its spending allocation goals, but to surpass them in order to ensure project circumstances (e.g., delays, change orders, decrease between estimate amount and contract amount) do not cause your company to fall below the spending allocation goals as projected in its approved Good Faith Efforts Plan.

Attachment III

Total Contract Value:
\$1,240,000.00

\$

State Funding Portion of
the Contract Value:
\$850,000.00

\$

%

\$

M/W/DisBE Value as
Assigned by the Awarding
Authority: 6.25% =
\$53,125.00

%

\$

SBE Value as Assigned by
the Awarding Authority:
25% = \$212,500.00

- A. Please identify MBE/WBE/DisBE subcontractors/vendors who will participate on the project.

Company Name	DAS Certification Type (MBE/WBE/DisBE)	DAS Certification Expiration Date	Date Contract Executed	Contract Value
Granite State Masonry LLC	MBE	04/10/2027	03/14/2026	\$94,000.00

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			Total amount of MBE, WBE, & DisBE contract values: \$94,000.00 \$	(Total amount of MBE, WBE, & DisBE contract values ÷ project value x 100) = 11.06% %
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B. Please identify SBE contractors/vendors who will participate on the project.

Company Name	DAS Certification Type (SBE)	DAS Certification Expiration Date	Date Contract Executed	Contract Value
Riverside Electric Co	SBE	09/10/2027	03/12/2026	\$118,500.00
			Total amount of SBE contract values: \$118,500.00	Total amount of SBE contract values ÷ project value x 100 = 13.94% %
Total amount of all contract values listed in A & B = \$212,500.00			\$	Total amount of all contract values listed in A & B ÷ project value x 100 = 25% %

C. Please identify all non-DAS certified contractors/vendors who will participate on the project.

Company Name	Date Contract Executed	Contract Value
Exampleville Builders LLC (own forces)	02/10/2026	\$1,027,500.00
		Total amount of non-certified companies contract values. \$1,027,500.00 \$

Please use additional sheets if necessary

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Section 4: Documentation Checklist

The following documentation is required to accompany all plan submissions. Additional documentation requests may be made during the course of the review process in order to determine whether good faith efforts were made to comply with the statutory requirements. ***Please check the box next to each document to acknowledge and confirm the document has been attached behind the applicable section of your company's plan.***

Section 1: Project Description, Timeline, and Trades Involved

- ☐ A copy of the applicable section of the agency bid document (for example: project manual, ITB, etc.), that specifies all the trades-related work and materials required for your company's work this project. **Only include the portions necessary to verify your company's responses. Please do not provide the full document.**
- ☐ Documentation of the source of materials, if your company is providing materials from its inventory (i.e. purchase orders with dates).

Section 2: Subcontractor/Supplier/Vendor Availability Analysis

- ☐ A copy of the applicable section of the agency bid document (project manual, ITB, etc.) that specifies all the trades-related work, non-trades related work, and all materials required to be provided by subcontractors, suppliers and vendors on this project. **Only include the portions necessary to verify your company's responses. Please do not provide the full document.**
- ☐ Documentation to support your company's explanation as to why a trade, material or service was not solicited to S/M/W/DisBE's (i.e. page from project documents showing specific manufacturer, etc.)
- ☐ Documentation to support why your company did not award the lowest bidder for any trade, material or service.

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Section 3: Minority Business Enterprise Goals and Timetables

☐ A copy of the Dept. of Administrative Services (DAS) Supplier Diversity Certificate for any subcontractor, supplier or vendor hired by your company to work on this project.

Section 5: Prompt Payment Policy

Contractors are required to abide by the Prompt Payment Policy, as is their obligation under state statute.

General Contractors/Prime Contractors must pay all subcontractors, suppliers and vendors within fifteen (15) days past the contractual due date unless there is a bona fide dispute.

Failure to abide by the Prompt Payment Policy may result in enforcement action being taken.

If you have any questions, please contact the Contract Compliance unit at (860)541-3434 for assistance.

☐ **I understand my company's obligation to abide by the Prompt Payment Policy.**

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Section 6: Close Out Documentation Notice

Contractors are required to provide the following documentation within forty-five (45) days from the date of substantial completion. Failure to submit this documentation may result in an enforcement action being brought.

Within 45 days of substantial completion, please provide:

- Cover Letter.
 - For the cover letter format, go to our [website](#).
- A copy of the Final Change Order
- Notice of Substantial Completion from the project owner.
- A full and complete list of all subcontractors/vendors/service providers awarded for the project (Final Attachment III).
- Lien waivers for all of the awarded subcontractors/vendors/service providers awarded for the project.

If you have any questions, please contact the Contract Compliance unit at (860)541-3434 for assistance.

☐ **I understand my obligations to provide the above documentation within forty-five (45) days of my company's substantial completion date.**

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Section 7: Concluding Statement

I have read and pledge my full support to all sections of this Good Faith Efforts Plan, and that the commitments therein, are true and correct to the best of my knowledge. I pledge my “best good faith efforts” to achieve the objectives of the Plan within the established time frames.

This company will comply with the state statutes regulating prompt payment of subcontractors, suppliers and vendors.

Furthermore, this company will comply with any request by the Commission for records and documents. It understands that failure to do so may subject this company to enforcement action by the Commission.

Date

Head of Company’s Signature

Printed Name and Title

Company Name

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