

## MWBE UTILIZATION PLAN

### INSTRUCTIONS:

Contractors must submit a utilization plan for achieving goals established for the participation of (1) minority-owned business enterprises, and (2) women-owned business enterprises in relation to a State contract. Upon execution of the contract, UNDC will post the utilization plan submitted by the winning bidder on its website. If a contractor changes its utilization plan after submission, it must notify UNDC in writing and obtain approval from UNDC.

Please complete parts I – IV below. Attach additional pages as necessary. Submit completed forms to: United Nations Development Corporation, Two U.N. Plaza, 27th Floor, New York, NY 10017.

### PART I - PROJECT INFORMATION

Project name:

Electrical Energy Utilization & Allocation Services

### PART II - CONTRACTOR INFORMATION

Contractor's name:

SourceOne, Inc. (DE)

Contractor's Federal identification number:

04-3558868

Contractor's address:

370 7th Avenue, Suite 704  
New York, NY 10001

Contractor's telephone number:

(212) 612-7600

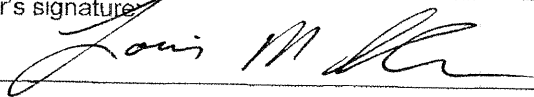
Preparer's name and title:

Lou Schoen, Director of Development

Preparer's email address:

lschoen@s1inc.com

Preparer's signature:



Date:

May 20, 2011

Is the contractor a New York State-certified MWBE:  Yes  No

If yes, attach proof of NYS certification. If the contractor is certified as both an MBE and a WBE, indicate whether participation should be counted towards the MBE goal or the WBE goal.

**PART III - SUBCONTRACTOR INFORMATION**

Does the contractor intend to subcontract with certified MWBEs to achieve the MWBE participation goals established on this contract:  Yes  No

If yes, provide the following information regarding each certified MWBE the contractor intends to subcontract with. Indicate whether the enterprise is certified as an MBE, a WBE, or both. If an enterprise is certified as both, indicate whether participation should be counted towards the MBE goal or the WBE goal. Attach proof of NYS certification for each enterprise.

MWBE name and address:	MWBE Federal I.D. number:	Contract scope of work to be performed by MWBE:	Amount to be paid to MWBE:	Dates of work to be performed by MWBE:

**PART IV -- JOINT VENTURE INFORMATION**

Is the contractor a joint venture<sup>i</sup>, teaming agreement<sup>ii</sup>, or other similar arrangement that includes an MWBE:  Yes  No

If yes, specify whether the contractor is a joint venture, teaming agreement, or other similar arrangement and provide the following information:

1. The name, address, telephone number, and federal identification number of each partner or party to the agreement;
2. The federal identification number of the joint venture or entity established to respond to the solicitation, if applicable;
3. A copy or detailed summary of the joint venture, teaming agreement, or other similar arrangement, which describes the percentage of interest owned by each party to the agreement and the value added by each party;
4. A copy or detailed summary of the mentor-protégé agreement<sup>iii</sup> between the parties, if applicable, and if not described in the joint venture, teaming agreement, or other similar arrangement.

Attach proof of NYS certification, where applicable. Indicate whether participation should be counted towards the MBE goal or the WBE goal, where applicable.

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<sup>i</sup> Joint venture. A contractual agreement joining together two or more business enterprises, one of which is a certified MWBE, for the purpose of working on a State contract to which each party provides a percentage of value added services representing that party's equitable interest in the joint venture. All parties agree to share in the profits and losses of the business endeavor according to the same percentages.

<sup>ii</sup> Teaming Agreement. An arrangement between two or more parties, one of which is a certified MWBE, to perform on a specific contract. The team itself may be designated to act as the prime contractor, or one of the team members may be designated to act as the prime contractor, and the other member(s) designated to act as subcontractors.

<sup>iii</sup> Mentor-Protégé agreement. A contract between a prime contractor, the "Mentor," and a MWBE, the "Protégé," in which there is a transfer of knowledge, technology, or other resources, which promotes the economic growth of the MWBE or fosters the establishment of a long term business relationship between the parties.

## WAIVER FORM

**INSTRUCTIONS:**

If a contractor has made a good faith effort to meet the goal requirements established on a State contract but is unable to fully comply, the contractor must submit a request for a partial or total waiver of the goal requirements. Requests for a waiver should be made simultaneously with the submission of a utilization plan. Upon execution of the contract, UNDC will post the waiver, if granted, on its website. Submit completed forms to: United Nations Development Corporation, Two U.N. Plaza, 27th Floor, New York, NY 10017.

Project Name: <b>Electrical Energy Utilization &amp; Allocation Services</b>	Waiver Type: <input type="checkbox"/> Partial Waiver <input checked="" type="checkbox"/> Total Waiver
Contractor's name, address, and telephone number: <b>SourceOne, Inc. (DE) (212) 612-7600</b> <del>370 Seventh Ave, Suite 704, New York NY 10001</del>	Contractor's Federal Identification No.: <b>04-3558868</b>
Preparer's name, title and email address: <b>Lou Schoen, Director of Development</b> <b>lschoen@s1inc.com</b>	Preparer's signature and date:

Submit the following information. Attach additional sheets if necessary.

1. A statement setting forth the contractor's basis for requesting a partial or total waiver. **Specify whether the request is for a waiver of the MBE goal, the WBE goal, or both.**  

See attached.
2. The names of general circulation, trade association and minority- and women-oriented publications in which bids were solicited for purposes of complying with the MWBE participation goals, the dates bid solicitations were published, and the text of the bid solicitations;
3. A list of certified MWBEs which were solicited in writing to provide bids for purposes of complying with the MWBE participation goals;
4. A detailed summary of responses made by certified MWBEs to solicitations made by the contractor;
5. If responses to the contractor's solicitations were received, but a certified MWBE was not selected, the specific reasons that such enterprise was not selected;
6. A description of any contract documents, plans or specifications made available to certified MWBEs for purposes of soliciting their bids, and the dates and manner in which these documents were made available;
7. Documentation of any negotiations between the contractor and certified MWBEs undertaken for purposes of complying with the MWBE participation goals;
8. Information describing the specific steps undertaken to reasonably structure the contract scope of work for the purpose of subcontracting with, or obtaining supplies from, certified MWBEs;
9. Any other information deemed relevant by the contractor.

## Attachment 1

SourceOne, Inc. (SourceOne) does not anticipate subcontracting out any of the services performed under this contract for the UNDC. If SourceOne, Inc. (DE) elects to hire any subcontractors for the project, we will make all reasonable efforts to use MWBE's to fulfill our subcontracting requirements



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New York, NY 10001