

Northwestern University Facilities Supplier Diversity Plan Process

The following constitutes the Supplier Diversity plan requirement which shall govern the activities of General Contractors, Subcontractors, Sub-subcontractors and Suppliers engaged to perform work on Facilities Projects at Northwestern University.

Article 1. Classified Definitions

- **Minority-Owned Business Enterprise** – (MBE) businesses are at least 51% owned and controlled by individuals belonging to certain ethnic minority groups. “Ethnic minority groups” are people of Asian, African American, Hispanic, and Native American descent.
- **Women-Owned Business Enterprise** – (WBE) businesses are at least 51% owned and controlled by individuals who are female in gender.
- **Local-Owned Business Enterprise** – (LBE) a businesses located in the City of Evanston's corporate city limits.

Article 2. Other Definitions

- **General Contractor** – any person or entity who has a direct contract with Northwestern (in which the parties do not stand in the relationship of an employer and employee). To provide labor, services products or materials to Northwestern and has responsibility for the management implementation.
- **Project** – the total construction of which work performed under the contract documents may be the whole or a part.
- **Certification Supplier** – Certification are granted to Minority, Women owned business, Small Disadvantaged Business and Local Business. Certification agencies implement the processes for government, state, city and private sector entities that ensure only firms that meet the eligibility criteria of the programs are properly certified.
- **Controlled** – shall be determined by considering the degree to which the supplier diversity firm participate in direction and management of partnership, corporation, joint venture or other entity.
- **Joint Venture** – an association of two or more businesses to carry out a single business enterprise in which they may combine their property capital efforts, skills, and/or knowledge. A joint venture seeking to be credited for MBE, WBE and/or LBE participation may be formed among MBE, WBE and/or LBE firms or between a MBE, WBE and/or LBE firm and a non-MBE, WBE and LBE firm.
- **Letter of Certification** – official correspondence from one of the agencies or organizations listed under Article 2. Eligible MBE, WBE, and LBE.

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Article 3. Eligible MBE, WBE, and LBE

Eligible MBE, WBE, and LBE firms includes any qualified Contractor, Subcontractor, and Sub-subcontractor that has been certified. Suppliers providing labor, services, and/or materials to Northwestern, who has been certified by one of the agencies or organizations listed below:

- **Chicago Minority Supplier Development Council** (Chicago MBDC) (<http://affiliate.nmsdc.org/chicagomsdc/>) or it national affiliate (NMSDC) (<http://www.nmsdc.org/nmsdc/>)
- **Women's Business Development Center** (WBDC) (<http://www.wbdc.org/>) or its national affiliate (WBENC) (<http://www.benc.org/>)
- **City of Evanston Business Diversity**
- **City of Chicago Department of Procurement Services**
- **Cook County Office of Contract Compliance**
- **State of Illinois Department of Central Management Services**
- **State of Illinois Department of Transportation**
- **Small Business Administration 8(a) Program**
- **SAM** (System for Award Management) Federal Program

Article 4. Supplier Diversity Plan Requirements

Bidder agrees to establish and implement an innovative comprehensive Supplier Diversity plan that incorporates at least the provision outlined here and otherwise acceptable to Northwestern. Bidder shall make good faith effects to actively solicit and achieve the participation of MBE, WBE, or LBE before the award of a project.

BIDDER RESPONSIBILITIES

- Bidder shall submit the Supplier Diversity Subcontractor Form (NUSub-1) with their bid to reflect the best **ESTIMATE** of services you intend to subcontract and supplies you intend to purchase from diverse or local (Evanston) suppliers.
- Bidder must submit a copy of the Letter of Certification for each MBE/WBE or LBE listed on their Facilities Supplier Diversity Sub-Contractor Form with their bid proposal.
- Bidder must complete the Facilities Supplier Diversity Subcontractor Form, even if the estimated amount for subcontracted services and supplies is \$0.

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CONTRACTOR RESPONSIBILITIES

- Once awarded the project, the Contractor must complete and submit the Facilities Supplier Diversity Subcontractor Form (NUsub-1) with every invoice they submit to the NU Project Manager in order to report the **ACTUAL** spend.
- If any sub-contractor changes occur the General Contractor must re-submit up dated documents of the Facilities Supplier Diversity Sub-Contractor Plan Form and Letter of Certification to the NU Project Manager.

NU PROJECT MANAGER RESPONSIBILITIES

- Once NU Project Manager has selected the Contractor for the project. They must submit a copy of the Facilities Supplier Diversity Subcontractor Form (NUsub-1) with copies of Letter the Certification for each MBE, WBE or LBE they received with the bid to PRS.
- NU Project Manager must submit a copy of the invoice and Facilities Supplier Diversity Subcontractor Form they receive from the Contractor requesting all payments.
- If any sub-contractor changes occur the NU Project Manager must re-submit the Facilities Supplier Diversity Sub-Contractor Form and Letter of Certification to PRS.

Purchasing Resource Services (PRS) RESPONSIBILITIES

- PRS will provide the University a report on Facilities Supplier Diversity Sub-Contracting Tier 2 spend.

Article 5. Supplier Diversity Contractor Assistance

Contractor must assist MBE, WBE, and LBE firms in overcoming barriers to participate in your plan.

Article 6. Non-Compliance

Failure to comply with the Supplier Diversity plan requirements constitutes a material breach of the Contract, and may lead to the suspension or termination of the Contract in part or in whole. Vendor may also be de-barred from doing business with Northwestern in the future.