

COMMONWEALTH OF VIRGINIA
DEPARTMENT OF TRANSPORTATION
DBE & SWAM REQUIREMENTS FOR PROFESSIONAL SERVICES CONTRACTS
GOOD FAITH EFFORT DOCUMENTATION

Form Instructions: If, at the time of submitting the Expression of Interest, the Offeror knowingly cannot meet or demonstrate good faith efforts in meeting the required DBE and/or SWaM contract goal(s), form C-49 PSC shall be submitted.

After contract award, for Limited Services Term contracts, consultants must submit this form at renewal to document DBE / SWaM utilization to date. If goals are being met for current term, submission of page 1 is sufficient. If goals are not being met at the time of renewal, the full form must be submitted.

After contract award, for Project Specific Contracts, consultant must submit this form if or when supplement agreements are requested. For Program Support Services (PSS) contracts, this form shall be submitted with each Annual Work plan (AWP). If goals on PSS Contract are being met, submission of page 1 is sufficient. If goals are not being met at the time of AWP review & approval, the full form must be submitted.

CONTRACT ID:		Contract Date(s):	
Firm Name:		Renewal Term: If applicable.	
Type of Contract:		UPC # (if Project Specific Contract)	
DBE Goal (As per contract)		SWaM Goal (As per contract)	
DBE Expenses to Date:		SWaM Expenses to Date:	
Submission Date:		Purpose of Submittal*:	

***(Inability to Meet Goal at EOI Submission; Term Renewal; Annual Work Plan; or Supplement Agreement)**

If the DBE and/or SWaM goals established for this contract have not been met at the time of renewal or VDOT requests the submittal thereof, the bidder is required to submit good faith efforts as outlined in the contract.

Explanation / Details To Support Demonstration Of Good Faith Effort: (See Page 6 for Add'l Space)

The consultant acknowledges and certifies that this form accurately represents the action taken to secure participation by DBE / SWaM subconsultants.

Firm Name _____ Signature _____

Title _____ Date _____

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CONTRACT ID _____ DATE SUBMITTED _____

PENDING WORK FOR DBE / SWAM VENDORS

If consultant has ordered work as part of a project based on contract schedule, executed task orders, or assignment in an Annual Work Plan that includes work to be conducted by DBE / SWaM subconsultants but prosecution of work has not yet occurred, please provide details:

The consultant acknowledges and certifies that this form accurately represents the action taken to secure participation by DBE / SWaM subconsultants.

Firm Name _____ Signature _____

Title _____ Date _____

Task Order / Assignment Details (ID #s, Description of Work to be Performed)	Amount of Work Assigned VS Amount of Work Paid to Date	Approx Date of Work to Occur

NOTE: ATTACH ADDITIONAL PAGES IF NECESSARY, INCLUDING ANY DOCUMENTATION

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WORK SOLICITED / REQUESTED BUT DECLINED BY DBE / SWAM SUBCONSULTANT

Provide information on certified DBE / SWaM subconsultants and the dates on which work was solicited / request was made to participate on this proposal / contract. Include the items of work offered and the dates and methods used for following up initial solicitations to determine whether or not DBEs/SWaM subconsultants were Interested.

The consultant acknowledges and certifies that this form accurately represents the action taken to secure participation by DBE / SWaM subconsultants.

Firm Name _____ Signature _____

Title _____ Date _____

NAMES and ID#s of DBEs and/or SWaM FIRMS SOLICITED	DATE OF INITIAL SOLICITATION	NAICS (if DBE) and NIGP Codes (if SWAM)	FOLLOW-UP METHODS AND DATES

NOTE: ATTACH ADDITIONAL PAGES IF NECESSARY, INCLUDING ANY DOCUMENTATION

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TELEPHONE LOG FOR DBE/SWAM SOLICITATION / REQUEST TO PARTICIPATE

If the DBE / SWaM goal(s) established has not or cannot be met or VDOT requests the submittal thereof, the bidder is required to submit good faith efforts as outlined in this document. Provide names, addresses, and telephone numbers for the firms listed.

The consultant acknowledges and certifies that this form accurately represents the action taken to secure participation by DBE / SWaM subconsultants.

Firm Name _____ Signature _____

Title _____ Date _____

DBE / SWaM FIRMS CALLED	TELEPHONE NUMBER	DATE CALLED	TIME CALLED	CONTACT PERSON OR VOICE MAIL STATUS

NOTE: ATTACH ADDITIONAL PAGES IF NECESSARY, INCLUDING ANY DOCUMENTATION

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ADVERTISEMENTS OR PROOFS OF PUBLICATION

If the DBE / SWaM goal(s) established for this contract has not been met or VDOT requests the submittal thereof, the consultant is required to submit good faith efforts as outlined in this document.

Names and dates of each publication / website in which a request for DBE / SWaM subconsultants participation for the project was placed by the consultant. Attach copies of published advertisements or proofs of publication.

The consultant acknowledges and certifies that this form accurately represents the action taken to secure participation by DBE / SWaM subconsultants.

Firm Name _____ Signature _____

Title _____ Date _____

PUBLICATIONS	DATES OF ADVERTISEMENT

NOTE: ATTACH ADDITIONAL PAGES IF NECESSARY, INCLUDING ANY DOCUMENTATION

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CONTRACT ID NO. _____ DATE SUBMITTED _____

ADDITIONAL DATA TO SUPPORT DEMONSTRATION OF GOOD FAITH EFFORT

If the DBE / SWaM goal(s) established for this contract has not been met or VDOT requests the submittal thereof, the consultant is required to submit good faith efforts as outlined in this document.

The consultant acknowledges and certifies that this form accurately represents the action taken to secure participation by DBE / SWaM subconsultants.

Firm Name _____ Signature _____

Title _____ Date _____

ADDITIONAL JUSTIFICATION TO SUPPORT DEMONSTRATION OF GOOD FAITH EFFORT
Including Details on Future DBE / SWaM Utilization Plan

NOTE: ATTACH ADDITIONAL PAGES IF NECESSARY, INCLUDING ANY DOCUMENTATION