



**COMMONWEALTH OF PENNSYLVANIA
DEPARTMENT OF GENERAL SERVICES**

**CAPITAL PROGRAMS
PROFESSIONAL SELECTIONS
PROCESS
GUIDELINES**

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Governor

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1. INTRODUCTION

The purpose of the Professional Selections Guidelines is to describe the normal process and steps that will be undertaken by the Department of General Services (DGS) Capital Programs personnel when procuring a design professional(s) for a capital project.

2. AD HOC COMMITTEE

While a capital project is being developed, an inter-agency “Ad Hoc Committee” may be formed. The Ad Hoc Committee, if formed, will be specific to a particular project and may be comprised of at least one (1), but not more than two (2) representatives from DGS Capital Programs and at least two (2) but not more than three (3) representatives from the agency for which the project is to be designed and constructed. The Ad Hoc Committee shall meet to review the project program and weight the criteria on the Selections Scoring Matrix (Exhibit A) for which professionals will be evaluated. The Ad Hoc Committee will also determine what, if any, additional information will be requested from the firms shortlisted by the Selections Committee. This information may include, but is not limited to, detailed work plans, interviews, non-binding fee schedules, etc. The request for additional information that will be required from the shortlisted firms will be published in the project specific Trimble Unity Construct (Trimble) bid portal, in the project Solicitation Documents folder, on the Additional Requirements from Shortlisted Firm document.

3. SELECTIONS SCORING MATRIX

The Selections Scoring Matrix (Matrix) (Exhibit A) has five (5) sections that correspond to the factors established in the Commonwealth Procurement Code.

The factors outlined in the Procurement Code consist of:

- 905(e)(2)(i) Equitable distribution of contracts to design professionals.
- 905(e)(2)(ii) Particular capability to perform the design services for the contract being considered.
- 905(e)(2)(iii) Geographic proximity of the design professional to the proposed facility.
- 905(e)(2)(iv) Necessary available personnel to perform the services required by the project.
- 905(e)(2)(v) Other relevant circumstances peculiar to the proposed contract.

Additional sub-sections for consideration have also been described under certain sections of the Matrix. The Selections Scoring Matrix has a total of one thousand (1000) points to allot between the five sections. The Ad Hoc Committee assigns point values to each section and sub-section of the Matrix based on the project priorities. The project specific Matrix is available in the Solicitation Documents for each Design Professional Project advertised. Section 1 of the Matrix, Equitable Distribution of Contracts, will receive a minimum allotment of 50 points. Section 3 of the Matrix, Geographic Proximity, will receive a minimum allotment of 50 points. The Ad Hoc Committee may choose to allot more than the minimum 50 points to Section 1 and Section 3 based on the project priorities. Section 5 of the Matrix, Other Relevant Circumstances – Professional Evaluation, will be utilized to evaluate the applicant’s past performance with Capital Programs and, as necessary, other factors peculiar to the proposed agreement. Section 5, Other Relevant Circumstances – Professional Evaluation, will receive an allotment of 100 points. For the entirety of the Professional Selections process, DGS Capital Programs will score Section A – Equitable Distribution, Section C – Geographic Proximity, and Section E – Other Relevant Circumstances – Professional Evaluation of the Matrix. Section B – Particular Capability and Section D, Necessary Available Personnel of the Matrix are scored by the Governor’s Selections Committee at the Governor’s Selections Committee meeting and by the Ad Hoc Committee during their review of shortlisted firms. Additional information on each Matrix Section may be found later in these Guidelines.

4. SMALL DIVERSE BUSINESS AND VETERAN BUSINESS ENTERPRISE GOAL SETTING FOR DESIGN PROFESSIONALS

Prior to the advertisement of a Governor's Selections Committee Meeting for capital projects, Capital Programs will provide the Office of Business Inclusion and Supplier Development (BISD) with the project program and information on the scope of the project. If the project is expected to exceed the current minimum fee threshold, BISD, in collaboration with Capital Programs, will establish Small Diverse Business (SDB) and Veteran Business Enterprise (VBE) participation goals for the project based on the project program information and the location of the project. These participation goals will be published in the project advertisement on eMarketplace. If a project has participation goals set, SDB and VBE Participation forms will be included in the Solicitations Documents folder in the project's Trimble bid portal.

5. GOVERNOR'S SELECTIONS COMMITTEE

The Governor's Selections Committee for Professional Selections is appointed by the Governor in accordance with the Commonwealth Procurement Code. It is comprised of five (5) members, none of whom may be employees of the Commonwealth or hold any elective office or office in any political party. The members shall be architects, engineers, or other persons knowledgeable in the construction industry. Members are appointed from various regions across the Commonwealth. Capital Programs will give public notice of the Governor's Selections Committee meeting at which the Selections Committee will recommend a shortlist of qualified design firms for consideration on each project.

6. ADVERTISEMENT INFORMATION AND PUBLIC NOTICE

DGS Capital Programs advertises all Design Professional Selections projects on eMarketplace. The advertisement will contain information on project scope, estimated construction costs, application due date, SDB/VBE participation goals, a link to the Trimble bid portal with project Solicitation Documents, Governor's Selections Committee Meeting information and project contact information.

<https://www.emarketplace.state.pa.us/>

The Notice of Design Professional Selections for currently advertised projects will be posted on DGS Capital Programs' website approximately sixty (60) days prior to the Governor's Selections Committee Meeting date. Public notice of the project will be given in the same manner as public notice is given for the competitive sealed bidding process for construction procurement. Applicants will be given a reasonable time, approximately five (5) weeks between the project advertisement date and the application submission deadline, to prepare and submit an application.

<https://www.pa.gov/agencies/dgs/programs-and-services/design-and-construction-info/design.html>

7. DESIGN PROFESSIONAL SELECTIONS APPLICATION FOR SPECIFIC PROJECT

The Design Professional Selections Application for Specific Project (Application) (Exhibit B) will be available to download through Trimble Unity Construct, a cloud-based construction management system. Firms interested in viewing the project's Solicitation Documents and applying will be required to register with Trimble, if not previously registered. A link in the eMarketplace advertisement will direct firms to register as a first-time user or verify their contact information if they are already registered. A new project specific application must be completed and uploaded by the application due date through the Trimble bid portal for each project for which the professional is interested in being considered.

To be considered by DGS, the Applicant must submit a responsive Application and be a responsible design professional (See Section 21 - Contractor Responsibility Program). Compliant Applications will be reviewed by DGS Capital Programs and the Governor's Selections Committee to evaluate how firms meet the criteria in the Matrix.

Design firms submitting an Application in response to advertised projects must utilize the Application available in the project's Trimble bid portal Solicitation Documents folder. Older versions of the Application may not be accepted by the Department and any older version of the Application received may be rejected. The Application form may not be altered. Alterations include, but are not limited to, duplicate pages added, extra section fields added, adjusting size of section fields. Additional attachments to the Application are not permitted. Please refer to the Instructions for Completing and Submitting Design Professional Selections Application for Specific Project for further information.

The consultants and key personnel listed on the Application submitted by a Firm must be the team that works on the specific project.

8. SMALL DIVERSE BUSINESS (SDB) AND VETERAN BUSINESS ENTERPRISE (VBE) PARTICIPATION

If a project has established SDB/VBE participation goals, the SDB Participation Packet (Exhibit C), and VBE Participation Packet (Exhibit D) will be available to download in the project's Trimble bid portal. If SDB/VBE participation goals have been established for the project, the SDB/VBE Participation Packets must be completed and submitted as separate files at the same time the Application is submitted. Failure to submit the SDB/VBE Participation Packets will result in rejection of the Application as non-responsive. Upon closure of the application submission due date, Capital Programs and BISD will review the SDB/VBE Participation Packet submissions for compliance with the SDB and VBE requirements. Applications with non-compliant SDB or VBE Participation Packets will be disqualified and rejected as non-responsive.

If a project has established SDB/VBE participation goals, the Percentage of Work to be performed by SDB consultants listed within the SDB Utilization Schedule (SDB-3) and the Percentage of Work to be performed by VBE consultants listed within the VBE Utilization Schedule (VBE-3) will become contractual obligations of the selected Design Firm. These percentages will be based upon the total compensation paid to the selected Design Firm over the contract term. The selected Design Firm cannot alter its overall SDB or VBE percentage commitments, or the commitments made to individual SDB or VBE subcontractors as identified at the completion of program validation, without written approval from Capital Programs and BISD. At the completion of program validation, the selected Design Firm must submit a consultant agreement for each SDB and VBE that the selected Design Firm will use to meet or exceed their SDB commitments and VBE commitments. Failure to provide the agreements will prevent the selected Design Firm from continuing with the design. Each consultant agreement must be signed by the selected Design Firm and the SDB or VBE and must identify the following:

- a. A description of the services the SDB or VBE will provide; and
- b. The timeframe during the Agreement term when the SDB or VBE will perform or provide the services; and
- c. A description or amount of the fee the SDB or VBE will be paid; and
- d. The name and telephone number of the selected Design Firm's point of contact for SDB and VBE participation.

Both the overall percentage of SDB and VBE commitments, and individual SDB and VBE commitments identified at the completion of program validation must be maintained in the event the contract is assigned to another Design Firm.

If a project has established SDB participation goals, please refer to SDB-1 Instructions for Completing SDB Participation Submittal (Exhibit C) for further information. SDB-1 is included in the SDB Participation Packet available in the project's Trimble bid portal Solicitation Documents folder.

If a project has established VBE participation goals, please refer to VBE-1 Instructions for Completing VBE Participation Submittal (Exhibit D) for further information. VBE-1 is included in the VBE Participation Packet available in the project's Trimble bid portal Solicitation Documents folder.

9. RECEIPT OF APPLICATIONS

All Applications must be signed by an official authorized to bind the Applicant and uploaded through the project's Trimble bid portal by the date and time established in the eMarketplace advertisement. Applications will not be accepted through any other method of delivery. Any application received after the Application due date and time will be rejected.

The project's Trimble bid portal permits project specific Solicitation Documents to be reviewed and downloaded. Any interested applicant must register with Trimble in order to view the Solicitation Documents. The Trimble bid portal is the required method for submitting a completed Design Professional Selection Application by design professionals interested in consideration for a specific project.

a. REGISTRATION REQUIREMENTS:

- All professionals must have a current, active Vendor Number to submit an Application. Please register at <https://pasupplierportal.state.pa.us>
- All professionals must be registered with Trimble Unity Construct to view/download project specific Solicitation Documents. Professionals can register with Trimble through a link in the project's Professional Selections advertisement on eMarketplace.

When using the project's eMarketplace advertisement, clicking the 'Trimble Unity Construct Professional Selections Link' will lead directly to the project's Trimble log in screen. Trimble will require a user to register for the first log in. For registered users, logging in will require them to verify their contact information on a 'Bidding Status' window before viewing the project Bid Package page. This page provides general information on the Bid Package status and time left before the application due date. There are three (3) tabs in the Bid Package that allow the professional to review and download the solicitation documents: the Package Invitation tab, the Response Documents tab, and the Q&A Board tab.

b. Package Invitation tab:

- Bid Info header has a project description and the bid start time.
- Invitation Documents header contains all Solicitation Documents available for the project, including the Project Brief, the Scoring Matrix, the Application, SDB and VBE Participation Packets (if applicable to project), Instructions for Completing the Application, and the Additional Requirements of Shortlisted Firm document. These documents may be viewed and/or downloaded.

c. Response Form tab:

- This is the tab used to submit a completed Application and SDB Participation Submittal/VBE Participation Submittal, if applicable to project. (more info below).

d. Q&A Board tab:

- This tab is used by potential applicants to ask questions during the advertisement period. Questions may be project specific or about the Solicitation Documents.
- DGS Capital Programs is not required to answer all questions.
- DGS Capital Programs' responses to questions are sent via email to all potential applicants.

To submit a completed Design Professional Selections Application and any other required forms, the professional must log in to the project's Trimble bid portal and select the Response Form tab.

- In Step 1: Bid Form – the applicant MUST enter zero (0) as the total cost in the Total Cost field. Cost is not a consideration for Design Professional Selections, but the module requires an entry, so applicants must enter zero (0). The completed application will not be able to be submitted if zero (0) is not entered into the Total Cost field.
- In Step 2: Response Documents – the applicant must upload the completed project specific Application into the required Design Professional Application field. If the project has established SDB/VBE participation goals, there will be required fields for submitting those completed

documents. They must be uploaded into the SDB Participation Submittal (Professional) field and VBE Participation Submittal (Professional) field, respectively.

- In Step 3: Additional Required Info – The applicant should leave the Qualifications field empty. Any information added in the Qualifications field will not be considered or reviewed.

After all required documents have been uploaded, the applicant must click the Submit button in the upper left side of the Response Form tab to submit the documents. Follow Trimble instructions on the Submit Bid pop up and click Submit Bid button.

- If revisions to an Application are needed, applicants will have up until the close of the bidding period (Application due date) to remove their original submission and resubmit their required Application and SDB/VBE Participation Packets (if applicable) within the project's Trimble bid portal.
- If multiple Applications and SDB/VBE Participation Packets (if applicable) are uploaded by a firm for a project, only the version submitted closest to the Application Due Date will be accepted as submitted.

10. GOVERNOR'S SELECTIONS COMMITTEE MEETING

The Governor's Selections Committee Meeting (Meeting) is a public meeting held virtually at various times during the year. The eMarketplace project advertisement and DGS Capital Programs Design Information website will list the date and time of the meeting, as well as information on joining the virtual meeting.

At the Meeting, the following sequence of events will occur for each project being reviewed:

1. Each Selections Committee member submits their scoring matrices to DGS Capital Programs.
2. Capital Programs reads the scores for Section A – Equitable Distribution of Contracts, Section C – Geographic Proximity, and Section E – Other Relevant Circumstances of the Selections Scoring Matrix.
3. Each Selections Committee member reads publicly their scores for Section B – Particular Capability and Section D – Necessary Available Personnel of the Selections Scoring Matrix.
4. The points for each of the five (5) sections of the Selections Scoring Matrix for each eligible applicant are totaled on the Scoring Summary sheet. The applicants with the highest total scores shall be the shortlisted firms. The number of shortlisted firms will typically be three (3), unless there is a tie. If more than one (1) firm ties for the most points, all firms with the same score shall be included until the total of firms exceeds three (3). For example: if four (4) firms scored 800 total points, and the next highest score is 750 total points, the shortlist of firms would be the four (4) firms that scored 800 total points and the firm that scored 750 would not be included in the shortlist. If two (2) firms scored 800 total points and there were three (3) firms that scored 750 total points as the next highest score, then the shortlist would be comprised of the two (2) firms with 800 total points and the three (3) firms that scored 750 total points. If the total number of firms shortlisted exceeds five (5), DGS Capital Programs reserves the right to ask the Selections Committee to re-score the top firms.

After scores from the Meeting are verified, the Selections Committee Scoring Summary sheets showing the scores of all eligible applicants and the shortlist of firms are posted to the DGS Capital Programs Design Information website and DGS Capital Programs will officially notify each shortlisted firm with a letter containing further information for continuing the Selections process. Also posted to the Design Information website is a Recommended Firms document with a list of the shortlisted firms for each project. DGS Capital Programs will not notify applicants who do not make the shortlist. The Selections Committee members scores in Section B – Particular Capability and Section D – Necessary Available Personnel are used to determine the shortlist of firms only. The Ad Hoc Committee members scores of the shortlisted firms in Section B – Particular Capability and Section D – Necessary Available Personnel will determine a design professional recommendation to the Secretary of the Department of General Services.

11. AD HOC COMMITTEE REVIEW OF SHORTLISTED FIRMS

If additional information is required of the shortlisted firms, it will be noted on the Additional Requirements form in the project solicitation documents. The official shortlist letter will note these requirements again and shortlisted firms will be given approximately four (4) weeks to assemble and submit the additional information. The Ad Hoc Committee will review the firm's Application and additional information. If no additional information is required, the Ad Hoc Committee will review the shortlisted firm's Applications only. The Ad Hoc Committee will have a scoring meeting and provide scores for Section B – Particular Capability and Section D – Necessary Available Personnel of the Selections Scoring Matrix. The Ad Hoc Committee scores are added to the firm's scores for Sections A, C and E to determine a design professional recommendation. This recommendation will be provided to the Secretary of the Department of General Services. If acceptable, the Secretary will endorse a letter of appointment.

12. NOTICE OF SELECTION

Upon receiving the Secretary's endorsed confirmation of the recommended professional, DGS Capital Programs will forward the official appointment letter via e-mail to the recommended professional. DGS Capital Programs will then initiate negotiations for certain aspects of the Professional Agreement. The successful firm's appointment letter will be posted to the DGS Capital Programs Design Information website.

13. NOTIFICATION TO UNSUCCESSFUL SHORTLISTED FIRMS

DGS Capital Programs will notify the unsuccessful shortlisted applicant(s) in writing promptly after their Applications are eliminated from consideration.

14. SELECTIONS SCORING MATRIX SECTION A: EQUITABLE DISTRIBUTION OF CONTRACTS

DGS Capital Programs will review the firm's project Application and an existing database of DGS Capital Programs projects where the Agreement execution date falls within the past five (5) years of the current project's Application due date. The contract commitments under the firm's Federal Employer Identification Number provided on the Application will be used to evaluate the DGS Capital Programs projects. Based on this information, DGS Capital Programs will assign a percentage of points in this category for the number of contracts awarded (Matrix A.1) and dollar value of the awarded contracts (Matrix A.2) to the applicant. Applicants with a higher number of past and present contracts, higher contract values, or both will receive less points. This Section will receive a minimum allotment of fifty (50) points.

15. SELECTIONS SCORING MATRIX SECTION B: PARTICULAR CAPABILITY

After the initial Application due date, each Governor's Selections Committee member will independently review and evaluate the firm's Application for the project and the Project Brief. Based on that information, each Selections Committee member will assign a percentage of points to each sub-section related to capability. To determine the appropriate score to be assigned to each evaluation factor, the Selections Committee member will use their professional expertise and business judgement. Firms and consulting firms demonstrating firm and key personnel's experience with similar type projects can receive a higher percentage of points. Firms that are experienced with multi-prime contracts, have worked together in the past, and have proposed comprehensive teams, may also receive higher percentages of points for these factors. If a firm lists no consultants but demonstrates their in-house capabilities to cover all points of scope, they will be scored as their own consultant. After the Governor's Selections Committee determines a shortlist of firms, the Ad Hoc Committee will then independently review and evaluate each shortlisted firm's Application and additional information (if required). At the Ad Hoc Scoring meeting, each Ad Hoc member will assign a percentage of points to each sub-section related to capability.

16. SELECTIONS SCORING MATRIX SECTION C: GEOGRAPHIC PROXIMITY

DGS Capital Programs will, with the assistance of an online mapping service, calculate the shortest mileage from the project site to the firm's office performing the majority of work on the project, as listed on their project Application. The location listed on the Application must be a location owned or leased in the firm's name at the time of the current project's Application due date. DGS Capital Programs reserves the right to request verification documentation. Based on the mileage and proximity, DGS Capital Programs will assign a percentage of points in this category to the applicant. Firms in close proximity will receive a higher percentage of points than those farther away. This Section will receive a minimum allotment of fifty (50) points.

17. SELECTIONS SCORING MATRIX SECTION D: NECESSARY AVAILABLE PERSONNEL

After the initial Application due date, each Governor's Selections Committee member will independently review and evaluate the firm's Application for the project and based on the information provided, assign a percentage of points to each sub-section related to personnel. To determine the appropriate score to be assigned to each evaluation factor, the Selections Committee members will use their professional expertise and business judgement. Firms demonstrating the firm's ability and consulting firm's ability to provide sufficient and experienced personnel will receive a higher percentage of points. After the Governor's Selections Committee determines a shortlist of firms, the Ad Hoc Committee will then independently review and evaluate each shortlisted firm's Application and additional information (if required). At the Ad Hoc Scoring meeting, each Ad Hoc member will assign a percentage of points to each sub-section related to personnel.

18. SELECTIONS SCORING MATRIX SECTION E: OTHER RELEVANT CIRCUMSTANCES – PROFESSIONAL EVALUATION

DGS Capital Programs will periodically evaluate its design professionals throughout the course of a capital project and include them in a database of professional performance scores. The scores of firms that work on multiple DGS capital projects will be averaged together over a five-year period prior to the Application due date. The contract commitments under the firm's Federal Employer Identification Number provided will be the DGS Capital Programs projects included in the average. One hundred (100) points shall be assigned to this category. All applicants start at a baseline fifty (50) points. An applicant that has not worked on a DGS capital project will receive fifty (50) points. Applicants that have been appointed to a DGS capital project but have not yet been evaluated at two (2) project milestones or are performing satisfactory work will receive fifty (50) points. Applicants with better performance on a DGS capital project will receive a higher number of points; applicants with poorer performance will receive less points. DGS Capital Programs will not retroactively score a professional prior to the establishment of the database.

19. COMMITTEE STATEMENTS OF CONFIDENTIALITY AND NO CONFLICT OF INTEREST

All Committee members are required to sign a Statement of Confidentiality (example Exhibit E) and a Statement of No Conflict of Interest (Exhibit F). Committee members will sign the Statement of Confidentiality when they are appointed or invited to serve on the Committee. The Statement of Confidentiality ensures that non-public information remains confidential and outside parties do not have access to Committee information and cannot influence the outcome. Any Committee member who violates the terms of these statements is subject to termination and the project may be canceled.

If others require non-public information regarding the Selections process, they shall sign a Statement of Confidentiality.

Committee members will sign the Statement of No Conflict of Interest (Exhibit F) after the project applications are received and they have reviewed the identities of applicants and consultants for conflicts. Any Committee member that violates the terms of these statements is subject to termination.

20. COMMITTEE AUDITS

The Committee will be subject to random audits by Commonwealth personnel. The audits may include the review of Committee procedures, documents, and decision-making processes.

21. CONTRACTOR RESPONSIBILITY PROGRAM

DGS Capital Programs will conduct periodic Contractor Responsibility Program (CRP) obligation and performance checks of the applicants at various times in the Professional Selections and Negotiation processes. This may include, but is not limited to:

- Receipt of Applications
- Recommendation to Appoint
- Execution of Agreement

Upon receipt of Applications, DGS Capital Programs will review CRP to determine an applicant's tax liabilities or other Commonwealth obligations and performance regarding integrity and reliability to assure good faith performance on a contract. Any unsatisfactory or deficient performance issues may result in the applicant being rejected as non-responsible.

22. DGS RIGHTS RESERVED

DGS Capital Programs reserves the right to change these Guidelines and will post the Guidelines on the DGS Capital Programs Design Information website. If revisions are made to the Guidelines, the new Guidelines will apply only to Governor's Selection Committee Meetings occurring after the date the revisions are posted on the DGS Capital Programs Design Information website. In addition, DGS Capital Programs reserves the right to change the Design Professional Selections Application for Specific Project and Scoring Matrix documents. Any amended Application and Scoring Matrix documents will be posted on the DGS Capital Programs Design Information website.

END OF TEXT

EXHIBIT A

Project Number:

Project Title: County:

Procurement Code Section	Selection Criteria Description	Maximum Points
A. 905e(2)(i)	Equitable Distribution of Contracts	0
1	Firms' number of DGS/Commonwealth contracts within the last five years - MUST BE A MINIMUM OF 25 PTS.	
2	Firm's total fee award for DGS/Commonwealth projects within the last five years - MUST BE A MINIMUM OF 25 PTS.	
B. 905e(2)(ii)	Particular Capability	0
1	Firm's experience with projects of similar size, scope, and complexity including among other factors, public bidding.	
2	Consultant team's experience with projects of similar size, scope, and complexity including among other factors, public bidding.	
3	Firm's past experience working with the proposed consultant team.	
C. 905e(2)(iii)	Geographic Proximity	0
1	Distance from firm's project office to project site - MUST BE A MINIMUM OF 50 PTS.	
D. 905e(2)(iv)	Necessary Available Personnel	0
1	Adequacy of the proposed project team including among other factors, sufficient number of staff for both the prime professional and key consultants	
2	Proposed project team leadership's experience managing projects of similar size, scope, and complexity	
E. 905e(2)(v)	Other Relevant Circumstances	100
1	Professional Evaluation - Five year average of DGS Capital Programs' evaluation of the firms performance on DGS capital projects.	100
	SCORING SUMMARY - 1000 Point Total:	100

EXHIBIT B



Pennsylvania
Department of General Services

COMMONWEALTH OF PENNSYLVANIA - CAPITAL PROGRAMS
BUREAU OF CAPITAL PROJECTS PLANNING & PROCUREMENT
GSCP-1 DESIGN PROFESSIONAL SELECTIONS APPLICATION FOR SPECIFIC PROJECT
04/26

DESIGN PROFESSIONAL SELECTIONS APPLICATION FOR SPECIFIC PROJECT

Section 1 – Project Information					
PROJECT NUMBER:			PROJECT TITLE:		
Section 2 – Applicant General Information					
THE FIRM EIN NUMBER PROVIDED MUST BE AFFILIATED WITH THE SAP/VENDOR NUMBER PROVIDED AND WILL BE UTILIZED TO DETERMINE THE FIRM'S RECENT DGS PROJECT EXPERIENCE (ACTIVE AND COMPLETE). THE ADDRESS OF FIRM OFFICE PERFORMING THE MAJORITY OF WORK PROVIDED MUST BE A LOCATION OWNED OR LEASED IN THE FIRM'S NAME AT THE TIME OF THIS APPLICATION DUE DATE.					
FIRM LEGAL NAME:			SAP/VENDOR NUMBER:		FIRM EIN NUMBER:
PREDECESSOR FIRM AND/OR ADDITIONAL OPERATIONAL NAME AND EIN NUMBER:					
PREDECESSOR FIRM AND/OR ADDITIONAL OPERATIONAL NAME AND EIN NUMBER:					
CONTACT PERSON:		TITLE:		EMAIL ADDRESS:	
STREET ADDRESS:		CITY/STATE:			ZIP CODE:
PHONE NUMBER:	COUNTY:	TOTAL NUMBER OF EMPLOYEES POTENTIALLY ASSIGNED PROJECT RESPONSIBILITIES:		NUMBER OF EMPLOYEES ASSIGNED AT THE OFFICE PERFORMING THE MAJORITY OF WORK:	
ADDRESS OF FIRM OFFICE PERFORMING THE MAJORITY OF WORK:				DISTANCE FROM OFFICE PERFORMING MAJORITY OF WORK TO PROJECT SITE:	
TYPE OF FIRM (Indicate all that apply): ARCHITECT/ENGINEER ☐ ENGINEER/ARCHITECT ☐				FIRM'S PAST EXPERIENCE WITH MULTI-PRIME CONSTRUCTION PROJECTS: ☐ YES ☐ NO	
ARCHITECT ☐ ENGINEER ☐					
JV ☐ OTHER (If Other, please specify):					
Section 3 – Design Team Information					
LIST CONSULTANTS WHO WILL BE RETAINED TO ASSIST IN THE DESIGN PROCESS.					
FIRM NAME:			LOCATION OF FIRM OFFICE PERFORMING THE MAJORITY OF WORK:		
NUMBER OF PROJECTS COMPLETED AS TEAM (within 10 years):			TOTAL DOLLAR VALUE OF PROJECTS COMPLETED AS TEAM (within 10 years):		
DESCRIBE ANTICIPATED SERVICES AND PROPOSED RESPONSIBILITIES CONSULTANT IS TO PROVIDE FOR THIS PROJECT:					
LIST PAST PROJECTS COMPLETED AS TEAM BY BOTH THE CONSULTANT AND THE LEAD FIRM THAT ARE SIMILAR TO THE PROPOSED PROJECT. PROVIDE PROJECT SIZE, YEAR CONSTRUCTION WAS COMPLETED, AND TOTAL CONSTRUCTION COST. (Maximum of Three (3) Projects)					
PROJECT TITLE		PROJECT SIZE		YEAR CONSTRUCTION COMPLETE	TOTAL CONSTRUCTION COST
TOTAL NUMBER OF EMPLOYEES POTENTIALLY ASSIGNED PROJECT RESPONSIBILITIES:			NUMBER OF EMPLOYEES AT THE OFFICE PERFORMING THE MAJORITY OF WORK:		
TYPE OF FIRM (Indicate all that apply): ARCHITECT ☐ ENGINEER ☐ ARCHITECT/ENGINEER ☐ ENGINEER/ARCHITECT ☐				FIRM'S PAST EXPERIENCE WITH MULTI-PRIME CONSTRUCTION PROJECTS: ☐ YES ☐ NO	
JV ☐ OTHER (If Other, please specify):					



Section 3 – Design Team Information – CONTINUED

LIST CONSULTANTS WHO WILL BE RETAINED TO ASSIST IN THE DESIGN PROCESS:

FIRM NAME:	LOCATION OF FIRM OFFICE PERFORMING THE MAJORITY OF WORK:
NUMBER OF PROJECTS COMPLETED AS TEAM (within 10 years):	TOTAL DOLLAR VALUE OF PROJECTS COMPLETED AS TEAM (within 10 years):

DESCRIBE ANTICIPATED SERVICES AND PROPOSED RESPONSIBILITIES CONSULTANT IS TO PROVIDE FOR THIS PROJECT:

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LIST PAST PROJECTS COMPLETED AS TEAM BY BOTH THE CONSULTANT AND THE LEAD FIRM THAT ARE SIMILAR TO THE PROPOSED PROJECT. PROVIDE PROJECT SIZE, YEAR CONSTRUCTION WAS COMPLETED, AND TOTAL CONSTRUCTION COST. (Maximum of Three (3) Projects)

PROJECT TITLE	PROJECT SIZE	YEAR CONSTRUCTION COMPLETE	TOTAL CONSTRUCTION COST

TOTAL NUMBER OF EMPLOYEES POTENTIALLY ASSIGNED PROJECT RESPONSIBILITIES:	NUMBER OF EMPLOYEES AT THE OFFICE PERFORMING THE MAJORITY OF THE WORK:
TYPE OF FIRM (Indicate all that apply): ARCHITECT ☐ ENGINEER ☐ ARCHITECT/ENGINEER ☐ ENGINEER/ARCHITECT ☐ JV ☐ OTHER (If Other, please specify):	FIRM'S PAST EXPERIENCE WITH MULTI-PRIME CONSTRUCTION PROJECTS: ☐ YES ☐ NO

FIRM NAME:	LOCATION OF FIRM OFFICE PERFORMING THE MAJORITY OF WORK:
NUMBER OF PROJECTS COMPLETED AS TEAM (within 10 years):	TOTAL DOLLAR VALUE OF PROJECTS COMPLETED AS TEAM (within 10 years):

DESCRIBE ANTICIPATED SERVICES AND PROPOSED RESPONSIBILITIES CONSULTANT IS TO PROVIDE FOR THIS PROJECT:

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LIST PAST PROJECTS COMPLETED AS TEAM BY BOTH THE CONSULTANT AND THE LEAD FIRM THAT ARE SIMILAR TO THE PROPOSED PROJECT. PROVIDE PROJECT SIZE, YEAR CONSTRUCTION WAS COMPLETED, AND TOTAL CONSTRUCTION COST. (Maximum of Three (3) Projects)

PROJECT TITLE	PROJECT SIZE	YEAR CONSTRUCTION COMPLETE	TOTAL CONSTRUCTION COST

TOTAL NUMBER OF EMPLOYEES POTENTIALLY ASSIGNED PROJECT RESPONSIBILITIES:	NUMBER OF EMPLOYEES AT THE OFFICE PERFORMING THE MAJORITY OF THE WORK:
TYPE OF FIRM (Indicate all that apply): ARCHITECT ☐ ENGINEER ☐ ARCHITECT/ENGINEER ☐ ENGINEER/ARCHITECT ☐ JV ☐ OTHER (If Other, please specify):	FIRM'S PAST EXPERIENCE WITH MULTI-PRIME CONSTRUCTION PROJECTS: ☐ YES ☐ NO



Section 3 – Design Team Information – CONTINUED

LIST CONSULTANTS WHO WILL BE RETAINED TO ASSIST IN THE DESIGN PROCESS:

FIRM NAME:	LOCATION OF FIRM OFFICE PERFORMING THE MAJORITY OF WORK:
NUMBER OF PROJECTS COMPLETED AS TEAM (within 10 years):	TOTAL DOLLAR VALUE OF PROJECTS COMPLETED AS TEAM (within 10 years):

DESCRIBE ANTICIPATED SERVICES AND PROPOSED RESPONSIBILITIES CONSULTANT IS TO PROVIDE FOR THIS PROJECT:

LIST PAST PROJECTS COMPLETED AS TEAM BY BOTH THE CONSULTANT AND THE LEAD FIRM THAT ARE SIMILAR TO THE PROPOSED PROJECT. PROVIDE PROJECT SIZE, YEAR CONSTRUCTION WAS COMPLETED, AND TOTAL CONSTRUCTION COST. (Maximum of Three (3) Projects)

PROJECT TITLE	PROJECT SIZE	YEAR CONSTRUCTION COMPLETE	TOTAL CONSTRUCTION COST

TOTAL NUMBER OF EMPLOYEES POTENTIALLY ASSIGNED PROJECT RESPONSIBILITIES:	NUMBER OF EMPLOYEES AT THE OFFICE PERFORMING THE MAJORITY OF THE WORK:
TYPE OF FIRM (Indicate all that apply): ARCHITECT ☐ ENGINEER ☐ ARCHITECT/ENGINEER ☐ ENGINEER/ARCHITECT ☐ JV ☐ OTHER (if Other, please specify):	FIRM'S PAST EXPERIENCE WITH MULTI-PRIME CONSTRUCTION PROJECTS: ☐ YES ☐ NO

FIRM NAME:	LOCATION OF FIRM OFFICE PERFORMING THE MAJORITY OF WORK:
NUMBER OF PROJECTS COMPLETED AS TEAM (within 10 years):	TOTAL DOLLAR VALUE OF PROJECTS COMPLETED AS TEAM (within 10 years):

DESCRIBE ANTICIPATED SERVICES AND PROPOSED RESPONSIBILITIES CONSULTANT IS TO PROVIDE FOR THIS PROJECT:

LIST PAST PROJECTS COMPLETED AS TEAM BY BOTH THE CONSULTANT AND THE LEAD FIRM THAT ARE SIMILAR TO THE PROPOSED PROJECT. PROVIDE PROJECT SIZE, YEAR CONSTRUCTION WAS COMPLETED, AND TOTAL CONSTRUCTION COST. (Maximum of Three (3) Projects)

PROJECT TITLE	PROJECT SIZE	YEAR CONSTRUCTION COMPLETE	TOTAL CONSTRUCTION COST

TOTAL NUMBER OF EMPLOYEES POTENTIALLY ASSIGNED PROJECT RESPONSIBILITIES:	NUMBER OF EMPLOYEES AT THE OFFICE PERFORMING THE MAJORITY OF THE WORK:
TYPE OF FIRM (Indicate all that apply): ARCHITECT ☐ ENGINEER ☐ ARCHITECT/ENGINEER ☐ ENGINEER/ARCHITECT ☐ JV ☐ OTHER (if Other, please specify):	FIRM'S PAST EXPERIENCE WITH MULTI-PRIME CONSTRUCTION PROJECTS: ☐ YES ☐ NO



Section 3 – Design Team Information – CONTINUED

LIST CONSULTANTS WHO WILL BE RETAINED TO ASSIST IN THE DESIGN PROCESS:

FIRM NAME:	LOCATION OF FIRM OFFICE PERFORMING THE MAJORITY OF WORK:
NUMBER OF PROJECTS COMPLETED AS TEAM (within 10 years):	TOTAL DOLLAR VALUE OF PROJECTS COMPLETED AS TEAM (within 10 years):

DESCRIBE ANTICIPATED SERVICES AND PROPOSED RESPONSIBILITIES CONSULTANT IS TO PROVIDE FOR THIS PROJECT:

LIST PAST PROJECTS COMPLETED AS TEAM BY BOTH THE CONSULTANT AND THE LEAD FIRM THAT ARE SIMILAR TO THE PROPOSED PROJECT. PROVIDE PROJECT SIZE, YEAR CONSTRUCTION WAS COMPLETED, AND TOTAL CONSTRUCTION COST. (Maximum of Three (3) Projects)

PROJECT TITLE	PROJECT SIZE	YEAR CONSTRUCTION COMPLETE	TOTAL CONSTRUCTION COST

TOTAL NUMBER OF EMPLOYEES POTENTIALLY ASSIGNED PROJECT RESPONSIBILITIES:	NUMBER OF EMPLOYEES AT THE OFFICE PERFORMING THE MAJORITY OF THE WORK:
TYPE OF FIRM (Indicate all that apply): ARCHITECT ☐ ENGINEER ☐ ARCHITECT/ENGINEER ☐ ENGINEER/ARCHITECT ☐ JV ☐ OTHER (If Other, please specify):	FIRM'S PAST EXPERIENCE WITH MULTI-PRIME CONSTRUCTION PROJECTS: ☐ YES ☐ NO

FIRM NAME:	LOCATION OF FIRM OFFICE PERFORMING THE MAJORITY OF WORK:
NUMBER OF PROJECTS COMPLETED AS TEAM (within 10 years):	TOTAL DOLLAR VALUE OF PROJECTS COMPLETED AS TEAM (within 10 years):

DESCRIBE ANTICIPATED SERVICES AND PROPOSED RESPONSIBILITIES CONSULTANT IS TO PROVIDE FOR THIS PROJECT:

LIST PAST PROJECTS COMPLETED AS TEAM BY BOTH THE CONSULTANT AND THE LEAD FIRM THAT ARE SIMILAR TO THE PROPOSED PROJECT. PROVIDE PROJECT SIZE, YEAR CONSTRUCTION WAS COMPLETED, AND TOTAL CONSTRUCTION COST. (Maximum of Three (3) Projects)

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TYPE OF FIRM (Indicate all that apply): ARCHITECT ☐ ENGINEER ☐ ARCHITECT/ENGINEER ☐ ENGINEER/ARCHITECT ☐ JV ☐ OTHER (If Other, please specify):	FIRM'S PAST EXPERIENCE WITH MULTI-PRIME CONSTRUCTION PROJECTS: ☐ YES ☐ NO



Section 4 – Key Personnel

LIST INDIVIDUALS FOR BOTH THE FIRM AND CONSULTANT FIRMS WHO WILL BE RESPONSIBLE FOR LEADING THE DESIGN ON THIS PROJECT. ANYONE WITH A PENNSYLVANIA PROFESSIONAL REGISTRATION MUST COMPLETE THE REGISTRATION INFORMATION. IF NOT REGISTERED IN PA, INDICATE STATE(S) IN WHICH THEY ARE REGISTERED.

LEAD PROJECT MANAGER NAME:	FIRM:		
REGISTRATION #:	REGISTRATION EXPIRATION:		
OFFICE LOCATION WHILE ON THIS PROJECT:	NUMBER OF YEARS EMPLOYED BY FIRM:	TOTAL NUMBER OF YEARS LICENSED:	

SPECIFIC ROLE/RESPONSIBILITY FOR THIS PROJECT:

SIMILAR PROJECT WORK EXPERIENCE & QUALIFICATIONS:

SPECIALTY/DISCIPLINE:	DEGREE/CERTIFICATION:	INSTITUTION:	YEAR GRADUATED:
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NAME:	FIRM:		
REGISTRATION #:	REGISTRATION EXPIRATION:		
OFFICE LOCATION WHILE ON THIS PROJECT:	NUMBER OF YEARS EMPLOYED BY FIRM:	TOTAL NUMBER OF YEARS LICENSED:	

SPECIFIC ROLE/RESPONSIBILITY FOR THIS PROJECT:

SIMILAR PROJECT WORK EXPERIENCE & QUALIFICATIONS:

SPECIALTY/DISCIPLINE:	DEGREE/CERTIFICATION:	INSTITUTION:	YEAR GRADUATED:
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NAME:	FIRM:		
REGISTRATION #:	REGISTRATION EXPIRATION:		
OFFICE LOCATION WHILE ON THIS PROJECT:	NUMBER OF YEARS EMPLOYED BY FIRM:	TOTAL NUMBER OF YEARS LICENSED:	

SPECIFIC ROLE/RESPONSIBILITY FOR THIS PROJECT:

SIMILAR PROJECT WORK EXPERIENCE & QUALIFICATIONS:

SPECIALTY/DISCIPLINE:	DEGREE/CERTIFICATION:	INSTITUTION:	YEAR GRADUATED:
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Section 4 – Key Personnel – CONTINUED

LIST INDIVIDUALS FOR BOTH THE FIRM AND CONSULTANT FIRMS WHO WILL BE RESPONSIBLE FOR LEADING THE DESIGN ON THIS PROJECT. ANYONE WITH A PENNSYLVANIA PROFESSIONAL REGISTRATION MUST COMPLETE THE REGISTRATION INFORMATION. IF NOT REGISTERED IN PA, INDICATE STATE(S) IN WHICH THEY ARE REGISTERED:

NAME:	FIRM:		
REGISTRATION #:	REGISTRATION EXPIRATION:		
OFFICE LOCATION WHILE ON THIS PROJECT:	NUMBER OF YEARS EMPLOYED BY FIRM:	TOTAL NUMBER OF YEARS LICENSED:	

SPECIFIC ROLE/RESPONSIBILITY FOR THIS PROJECT:

SIMILAR PROJECT WORK EXPERIENCE & QUALIFICATIONS:

SPECIALTY/DISCIPLINE:	DEGREE/CERTIFICATION:	INSTITUTION:	YEAR GRADUATED:
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NAME:	FIRM:		
REGISTRATION #:	REGISTRATION EXPIRATION:		
OFFICE LOCATION WHILE ON THIS PROJECT:	NUMBER OF YEARS EMPLOYED BY FIRM:	TOTAL NUMBER OF YEARS LICENSED:	

SPECIFIC ROLE/RESPONSIBILITY FOR THIS PROJECT:

SIMILAR PROJECT WORK EXPERIENCE & QUALIFICATIONS:

SPECIALTY/DISCIPLINE:	DEGREE/CERTIFICATION:	INSTITUTION:	YEAR GRADUATED:
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NAME:	FIRM:		
REGISTRATION #:	REGISTRATION EXPIRATION:		
OFFICE LOCATION WHILE ON THIS PROJECT:	NUMBER OF YEARS EMPLOYED BY FIRM:	TOTAL NUMBER OF YEARS LICENSED:	

SPECIFIC ROLE/RESPONSIBILITY FOR THIS PROJECT:

SIMILAR PROJECT WORK EXPERIENCE & QUALIFICATIONS:

SPECIALTY/DISCIPLINE:	DEGREE/CERTIFICATION:	INSTITUTION:	YEAR GRADUATED:
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Section 4 – Key Personnel – CONTINUED

LIST INDIVIDUALS FOR BOTH THE FIRM AND CONSULTANT FIRMS WHO WILL BE RESPONSIBLE FOR LEADING THE DESIGN ON THIS PROJECT. ANYONE WITH A PENNSYLVANIA PROFESSIONAL REGISTRATION MUST COMPLETE THE REGISTRATION INFORMATION. IF NOT REGISTERED IN PA, INDICATE STATE(S) IN WHICH THEY ARE REGISTERED:

NAME:	FIRM:		
REGISTRATION #:	REGISTRATION EXPIRATION:		
OFFICE LOCATION WHILE ON THIS PROJECT:	NUMBER OF YEARS EMPLOYED BY FIRM:	TOTAL NUMBER OF YEARS LICENSED:	

SPECIFIC ROLE/RESPONSIBILITY FOR THIS PROJECT:

SIMILAR PROJECT WORK EXPERIENCE & QUALIFICATIONS:

SPECIALTY/DISCIPLINE:	DEGREE/CERTIFICATION:	INSTITUTION:	YEAR GRADUATED:
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NAME:	FIRM:		
REGISTRATION #:	REGISTRATION EXPIRATION:		
OFFICE LOCATION WHILE ON THIS PROJECT:	NUMBER OF YEARS EMPLOYED BY FIRM:	TOTAL NUMBER OF YEARS LICENSED:	

SPECIFIC ROLE/RESPONSIBILITY FOR THIS PROJECT:

SIMILAR PROJECT WORK EXPERIENCE & QUALIFICATIONS:

SPECIALTY/DISCIPLINE:	DEGREE/CERTIFICATION:	INSTITUTION:	YEAR GRADUATED:
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NAME:	FIRM:		
REGISTRATION #:	REGISTRATION EXPIRATION:		
OFFICE LOCATION WHILE ON THIS PROJECT:	NUMBER OF YEARS EMPLOYED BY FIRM:	TOTAL NUMBER OF YEARS LICENSED:	

SPECIFIC ROLE/RESPONSIBILITY FOR THIS PROJECT:

SIMILAR PROJECT WORK EXPERIENCE & QUALIFICATIONS:

SPECIALTY/DISCIPLINE:	DEGREE/CERTIFICATION:	INSTITUTION:	YEAR GRADUATED:
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Section 5 – Firm's Recent Commonwealth Project Experience (Active and Complete)

LIST ALL NON-DGS COMMONWEALTH PROJECTS IN WHICH THE FIRM APPLYING WAS THE LEAD FIRM AND THE AGREEMENT/CONTRACT EXECUTION DATE IS WITHIN THE LAST 5 YEARS. DO NOT LIST PROJECTS IN WHICH THE FIRM APPLYING DID NOT HOLD THE EXECUTED AGREEMENT. TOTAL COMPENSATION SHOULD BE TOTAL CONTRACTURAL AMOUNT AND NOT JUST THE FIRM'S PORTION OF THE FEE. PLEASE REFER TO THE INSTRUCTIONS FOR COMPLETING DESIGN PROFESSIONAL SELECTIONS APPLICATION FOR SPECIFIC PROJECT, INCLUDED IN THE SOLICITATION DOCUMENTS.

[illegible]



Section 6 – Relevant Experience

DESCRIBE UP TO 3 PROJECTS, COMPLETED WITHIN THE LAST 10 YEARS, FOR ANY TYPE OF CLIENT THAT BEST ILLUSTRATES YOUR FIRM'S QUALIFICATIONS TO DESIGN THIS SPECIFIC PROJECT. DO NOT LIST PROJECTS PERFORMED ONLY BY CONSULTANTS:

PROJECT NAME:

LOCATION:

CLIENT NAME:

PROJECT DESCRIPTION:

SERVICES PERFORMED BY THE FIRM ON THIS PROJECT. DIFFERENTIATE BETWEEN WORK COMPLETED AS A CONSULTANT TO ANOTHER FIRM AND WORK PERFORMED AS THE LEAD DESIGN FIRM:

CONSTRUCTION COMPLETION DATE/STATUS:

TOTAL AWARDED CONSTRUCTION CONTRACTS: \$

TOTAL FINAL CONSTRUCTION CONTRACTS: \$

CLIENT CONTACT NAME:

TITLE:

CONTACT TELEPHONE NUMBER:

CONTACT EMAIL ADDRESS:



Section 6 – Relevant Experience – CONTINUED

DESCRIBE UP TO 3 PROJECTS, COMPLETED WITHIN THE LAST 10 YEARS, FOR ANY TYPE OF CLIENT THAT BEST ILLUSTRATES YOUR FIRM'S QUALIFICATIONS TO DESIGN THIS SPECIFIC PROJECT. DO NOT LIST PROJECTS PERFORMED ONLY BY CONSULTANTS:

PROJECT NAME:

LOCATION:

CLIENT NAME:

PROJECT DESCRIPTION:

SERVICES PERFORMED BY THE FIRM ON THIS PROJECT. DIFFERENTIATE BETWEEN WORK COMPLETED AS A CONSULTANT TO ANOTHER FIRM AND WORK PERFORMED AS THE LEAD DESIGN FIRM:

CONSTRUCTION COMPLETION DATE/STATUS:

TOTAL AWARDED CONSTRUCTION CONTRACTS: \$

TOTAL FINAL CONSTRUCTION CONTRACTS: \$

CLIENT CONTACT NAME:

TITLE:

CONTACT TELEPHONE NUMBER:

CONTACT EMAIL ADDRESS:



Section 6 – Relevant Experience – CONTINUED

DESCRIBE UP TO 3 PROJECTS, COMPLETED WITHIN THE LAST 10 YEARS, FOR ANY TYPE OF CLIENT THAT BEST ILLUSTRATES YOUR FIRM'S QUALIFICATIONS TO DESIGN THIS SPECIFIC PROJECT. DO NOT LIST PROJECTS PERFORMED ONLY BY CONSULTANTS:

PROJECT NAME:

LOCATION:

CLIENT NAME:

PROJECT DESCRIPTION:

SERVICES PERFORMED BY THE FIRM ON THIS PROJECT. DIFFERENTIATE BETWEEN WORK COMPLETED AS A CONSULTANT TO ANOTHER FIRM AND WORK PERFORMED AS THE LEAD DESIGN FIRM:

CONSTRUCTION COMPLETION DATE/STATUS:

TOTAL AWARDED CONSTRUCTION CONTRACTS: \$

TOTAL FINAL CONSTRUCTION CONTRACTS: \$

CLIENT CONTACT NAME:

TITLE:

CONTACT TELEPHONE NUMBER:

CONTACT EMAIL ADDRESS:



Section 7 – Other Relevant Information

APPLICANTS MAY USE THIS SPACE TO PROVIDE ANY ADDITIONAL COMMENTS OR DESCRIPTIONS OF RELEVANT INFORMATION SUPPORTING THE FIRM'S QUALIFICATIONS



CERTIFICATION AND SIGNATURE

My Firm believes we have the qualifications and capacity to provide Design Professional Services for the project identified on Page 1. All information set forth on this form is accurate and true as of this date.

1. The Firm consents to the evaluation of its performance by the Department and understands any such evaluation may be used in future selections. Furthermore, the Firm has notified our Consultants that their performance will be evaluated and they have consented to this evaluation; and
2. To the best knowledge of the person signing this form, the Firm, its affiliates, subsidiaries, officers, directors, and employees are not currently under investigation by any governmental agency and have not in the last four (4) years been convicted or found liable for any act prohibited by State or Federal law in any jurisdiction, involving conspiracy or collusion with respect to bidding or proposing on any public contract, except as disclosed on this form; and
3. To the best knowledge of the person signing this form, the Firm, except as otherwise disclosed, has no outstanding, delinquent obligations to the Commonwealth including, but not limited to, any state tax liability not being contested on appeal or other obligation of the Firm that is owed to the Commonwealth; and
4. The Firm is not currently under suspension or debarment by the Commonwealth, or any other state or federal government; and
5. The Firm has not, under separate contract with DGS or any other agency, made any recommendations to DGS or any other agency concerning the need for the services described for this project; and
6. The Firm, by submitting this form, authorizes all Commonwealth agencies to release to the Commonwealth information related to liabilities to the Commonwealth, including, but not limited to, taxes, unemployment compensation, and workers' compensation liabilities; and
7. Until the Firm receives a fully executed contract from DGS there is no legal and valid contract, in law or in equity; and
8. The Firm agrees that we have familiarized ourselves with the Commonwealth of Pennsylvania contract provisions set forth throughout the Agreement for Professional Services and the General Conditions to the Agreement for Professional Services, some of which are located on the DGS website.

I state that _____ (Name of Firm) submits this form and understands and acknowledges that the above representations are material and important and will be relied upon by the Selections Committee and the Department of General Services in determining whether my Firm is selected for a design contract with the Commonwealth. I understand and my Firm understands that any written false statement in this application which we do not believe to be true is and shall be treated as fraudulent concealment from the Selections Committee and the Department of General Services of the true facts relating to the submission of this application. A misrepresentation shall be

Business is an Individual or General Partnership:		
Witness:	Owner:	Date:
Business is a Limited Partnership:		
Witness:	Owner:	Date:
Business is a Corporation:		
Witness:	Owner:	Date:
Business is a Limited Liability Company:		
Witness:	Owner:	Date:
Business is a Limited Liability Partnership:		
Witness:	Owner:	Date:
Business is a Foreign General Partnership:		
Witness:	Owner:	Date:
Business is a Joint Venture:		
Witness:	Owner:	Date:

EXHIBIT C

Small Diverse Business (SDB)

Participation Cover Sheet

Solicitation/Project #:

Issuing Agency:

Name of Procurement/Project:

SDB Participation Goal (for MBE, WBE, LGBTBE, DOBE, and SDVBE): %

Attachments:

- | | |
|-------|--|
| SDB-1 | Instructions for Completing SDB Participation Submittal |
| SDB-2 | SDB Participation Submittal |
| SDB-3 | SDB Utilization Schedule |
| SDB-4 | Guidance for Documenting Good Faith Efforts to meet the SDB Participation goal |
| SDB-5 | Good Faith Efforts Documentation to Support Waiver Request of SDB Participation Goal |

SDB-1
INSTRUCTIONS FOR COMPLETING THE SMALL DIVERSE BUSINESS (SDB)
PARTICIPATION SUBMITTAL

PLEASE READ BEFORE COMPLETING THESE DOCUMENTS
Applicants do not need to return SDB-1 with their SDB Participation Submittal

The following instructions include details for completing the SDB Participation Submittal (SDB-2) which Applicants must submit in order to be considered responsive.

The following instructions also include details for completing the SDB Utilization Schedule (SDB-3), which Applicants must submit for any portion of the SDB participation goal the Applicant commits to meeting.

An Applicant's failure to agree to meet the SDB participation goal in full or their failure to receive an approved Good Faith Efforts waiver for any unmet portion of the SDB participation goal will result in the rejection of the Application as nonresponsive.

- I. **SDB Participation Goal:** The SDB participation goal is set forth in the SDB and VBE Participation Summary Sheet. The Applicant is encouraged to use a diverse group of consultants from the SDB classifications to meet the SDB participation goal.
- II. **SDB Eligibility:**
 1. **Finding SDB firms:** The directory of **DGS-verified** SDB firms can be accessed from the DGS Supplier Search directory at: <http://www.dgs.internet.state.pa.us/suppliersearch>.
 2. **Only SDBs verified by DGS** and as defined herein may be counted for purposes of achieving the SDB participation goal. In order to be counted for purposes of achieving the SDB participation goal, the SDB firm, including an SDB prime, must be DGS-verified for the consulting services that it is committed to perform.
 - a. **SDB Applicants.** An SDB applicant whose SDB verification is pending or incomplete as of the application due date and time may not satisfy the SDB participation goal through its own performance. A self-certified SB that does not have its SDB verification as of the application due date and time cannot satisfy the SDB participation goal through its own performance.
 - b. **SDB consultants.** To receive credit toward meeting the SDB participation goal, the SDB consultant must be a DGS-verified SDB as of the execution of the consultant agreement. A self-certified SB consultant that does not have its SDB verification as of the execution of the consultant agreement cannot be used to satisfy the SDB participation goal.
 3. **SDB Requirements:** To be considered an SDB, a firm must be a **DGS-verified** small minority business enterprise (MBE); woman business enterprise (WBE); LGBT business enterprise (LGBTBE); Disability-owned business enterprise (DOBE); Service-Disabled

SDB-1
INSTRUCTIONS FOR COMPLETING THE SMALL DIVERSE BUSINESS (SDB)
PARTICIPATION SUBMITTAL

Veteran-Owned Small Business Enterprise (SDVBE); or otherwise deemed disadvantaged by the Uniform Certification Program.

Additional information on the DGS verification process can be found at:
<https://www.dgs.pa.gov/Small%20Diverse%20Business%20Program/Pages/default.aspx>

4. **Dually verified firms.** If a DGS-verified SDB is dually verified as a VBE, the firm may receive credit towards both the SDB participation goal and the VBE participation goal as set forth on the SDB and VBE Participation Summary Sheet.

Example: The SDB participation goal is 10% and the VBE participation goal is 5%. A consultant is DGS-verified as both an SDB and a VBE and will perform 10% of the contract work. The Applicant can satisfy both the SDB participation goal and the VBE participation goal through that consultant's performance of 10% of the contract work., unless otherwise agreed to by the parties in writing and approved by the Bureau of Diversity, Inclusion, and Small Business Opportunities (BDISBO) and Capital Programs. However, an SDB firm verified as both a WBE and MBE may not be double counted toward satisfying the SDB participation goal.

5. **Participation by SDB firms as applicants or consultants.** An Applicant that qualifies as an SDB and submits an application is not prohibited from being included as a consultant in separate applications submitted by other applicants. An SDB may be included as a consultant with as many Applicants as it chooses in separate applications.
6. **Questions about SDB verification.** Questions regarding the SDB program, including questions about the self-certification and verification processes can be directed to:

Department of General Services
Bureau of Diversity, Inclusion and Small Business Opportunities (BDISBO)
Room 611, North Office Building
Harrisburg, PA 17125
Phone: (717) 783-3119
Fax: (717) 787-7052
Email: RA-BDISBOVerification@pa.gov
Website: www.dgs.pa.gov

III. Guidelines Regarding SDB Applicants Self-Performance.

1. An SDB firm submitting an application may receive credit towards the SDB Participation goal established for the procurement through their own self-performance.

Example: A solicitation has a 15% SDB participation goal. An SDB Applicant self-performing contract work valued at only 10% of contract costs (if permitted by the solicitation documents) must still satisfy the remaining 5% SDB

SDB-1
INSTRUCTIONS FOR COMPLETING THE SMALL DIVERSE BUSINESS (SDB)
PARTICIPATION SUBMITTAL

participation goal through its use of consultants or must request a Good Faith Efforts Waiver for the unmet SDB participation goal. Failure to satisfy the remaining 5% SDB participation goal or failure to obtain a Good Faith Efforts waiver for the unmet portion of the SDB participation goal will result in rejection of that SDB prime's bid or proposal as non-responsive.

2. For an SDB applicant to receive credit for self-performance, the SDB applicant must be a **DGS-verified SDB** as of the solicitation due date and time and must list itself in the **SDB Utilization Schedule (SDB-3)**.
3. The SDB applicant must also include the classification category (MBE, WBE, LGBTBE, DOBE, and/or SDVBE) under which it is self-performing and include information regarding the work it will self-perform. For any portion of the SDB participation goal not met through the SDB applicant's self-performance, the SDB applicant must also identify on the **SDB Utilization Schedule (SDB-3)** the portion of the SDB participation goal that will be performed by SDB consultants it will use to meet the unmet portion of the goal or must request and receive a Good Faith Efforts waiver.

IV. Calculating SDB participation during compliance. BDISBO will credit the selected applicant for 100% of the total dollar amounts actually paid to an SDB consultant for providing a services toward satisfying the selected applicant's SDB participation commitment. In addition, the SDB consultant, through its own employees, must perform at least 50% of the amount of the subcontract..

V. Document Submittal Errors.

1. **Fatal errors.** The following errors will result in rejection of an application as non-responsive:
 - a. Failure to submit a completed **SDB Participation Submittal (SDB-2)**;
 - b. Failure to submit an **SDB Utilization Schedule (SDB-3)**, unless the applicant is seeking a complete Good Faith Efforts waiver;
 - c. Failure to submit a **Good Faith Efforts waiver request** when not fully meeting the SDB participation goal.
2. **Potentially curable errors.** Capital Programs and BDISBO may provide Applicants the opportunity to provide clarifications or to correct errors not listed as fatal errors above. If the additionally submitted information does not adequately address or clarify the submittal, the application may be rejected. Applicants are not permitted to make material changes during clarifications and corrections in order to meet the SDB Participation Goal.

SDB-2
SDB PARTICIPATION SUBMITTAL

CHECK ONE, AND ONLY ONE, BOX. FAILURE TO COMPLY WILL RESULT IN REJECTION OF YOUR APPLICATION.

Click on bold titles to navigate to that specific page.

☐ **I agree to meet the SDB participation goal in full.**

I have completed and am submitting with my application an **SDB Utilization Schedule (SDB-3)**, which is required in order to be considered for professional selection.

☐ **I am requesting a partial waiver of the SDB participation goal.**

After making good faith outreach efforts as more fully described in the **Guidance for Documenting Good Faith Efforts to Meet the SDB Participation Goal**, I am unable to achieve the total SDB participation goal for this solicitation and am requesting a partial waiver of the SDB participation goal.

I have completed and am submitting with my application both of the following, which are required in order to be considered for professional selection:

1. an **SDB Utilization Schedule (SDB-3)** for that portion of the SDB participation goal for which I intend to meet; AND
2. a **Good Faith Efforts Waiver Request** for any portion of the SDB participation goals that I do not intend to meet.

☐ **I am requesting a full waiver of the SDB participation goal**

After making good faith outreach efforts as more fully described in the **Guidance for Documenting Good Faith Efforts to Meet the SDB Participation Goal**, I am unable to achieve any part of the SDB participation goal for this solicitation and am requesting a full waiver of the SDB participation goal.

I have completed and am submitting with my application a **Good Faith Efforts Waiver Request** for the complete SDB participation goal, which is required in order to be considered for professional selection.

NOTE: SDB firms who are submitting as Applicants must complete an **SDB Utilization Schedule (SDB-3)** identifying any self-performance towards the SDB participation goal.

SDB-3
SDB UTILIZATION SCHEDULE

COMPLETE THE FOLLOWING IF YOU WILL BE UTILIZING SDB CONSULTANTS
(SUBCONTRACTORS) TO MEET THE GOAL IN FULL OR IN PART

Applicants are not required to identify the specific SDB consultants within this SDB Utilization Schedule, but must identify the total percentage (%) of work to be performed by SDB consultants. However, the selected Applicant must submit, at the completion of program validation, consultant agreements for SDBs listed on Exhibit A of the agreement and all other SDB consultant agreements used to meet the portion of the SDB participation goal listed below. To receive credit toward meeting the SDB participation goal, the SDB consultant must be a DGS-verified SDB as of the execution of the consultant agreement.

Percentage of work to be performed by SDB consultants: %

SDB-3
SDB UTILIZATION SCHEDULE

COMPLETE THE FOLLOWING IF YOU ARE AN SDB APPLICANT (PRIME)

Applicant's SAP Vendor Number (6-digit number):

Applicant's SDB Verification Number (located on DGS SDB verification):

Type of SDB: ☐ MBE
☐ WBE
☐ DOBE
☐ SDVBE
☐ LGBTBE

Percentage of work to be self-performed by SDB Applicant: %

SDB-4 GUIDANCE FOR DOCUMENTING GOOD FAITH EFFORTS TO MEET THE SMALL DIVERSE BUSINESS (SDB) PARTICIPATION GOAL

Applicants do not need to return SDB-4 with their SDB Participation Submittal

In order for its application to be responsive, the Applicant must either (1) meet the SDB participation goal, or (2) when it does not meet the SDB participation goal, submit a Good Faith Efforts waiver request as set forth in Section IV below and the **Good Faith Efforts Documentation to Support Waiver Request (SDB-5)** of SDB Participation Goal.

I. Definitions

Applicant – for purposes of this **Good Faith Efforts Documentation to Support Waiver Request**, the term “Applicant” includes any entity responding to a solicitation for design professional selections for a specific project.

Good Faith Efforts - The “Good Faith Efforts” requirement means that when requesting a waiver, the Applicant must demonstrate that it took all necessary and reasonable steps to achieve the SDB participation goal. Those steps are considered necessary and reasonable when their scope, intensity, and relevance could reasonably be expected to obtain sufficient SDB participation, even if those steps were not fully successful. The Department of General Services’ Bureaus of Capital Programs (CP) and Diversity, Inclusion and Small Business Opportunities (BDISBO) will determine whether or not the Applicant requesting a Good Faith Efforts waiver made adequate Good Faith Efforts by considering the quality, quantity, and intensity of the Applicant’s efforts. Mere *pro forma* efforts are not Good Faith Efforts to meet the SDB participation requirements. The determination concerning the sufficiency of the Offeror’s Good Faith Efforts is subjective; meeting quantitative formulas is not required.

Anticipated Scopes of Work – all of the items of work the Applicant identified as possible items of work for performance by SDBs and should include all reasonably identifiable subcontractable work opportunities.

Identified SDBs– all of the SDBs the Offeror identified as available to perform the Identified Items of Work and should include all DGS-verified SDBs that are reasonably identifiable.

SDB – “SDB” refers to Minority Business Enterprises (MBE), Women Business Enterprises (WBE), Disability-Owned Business Enterprises (DOBE), LGBT-Owned Business Enterprises (LGBTBE), and Service-Disabled Veteran-Owned Small Business (SDVBE) verified by BDISBO.

SDB participation goal – “SDB participation goal” refers to the SDB participation goal set for a procurement for MBE, WBE, LGBTBE, DOBE, and SDVBE utilization.

II. Types of Actions PW and BDISBO will Consider

The following are types of actions CP and BDISBO will consider as part of the Applicant’s Good Faith Efforts when the Applicant is unable to meet, in full, the SDB participation goal. This list is not intended to be a mandatory checklist, nor is it intended to be exclusive or exhaustive. Other factors or types of efforts may be relevant in appropriate cases.

SDB-4
**GUIDANCE FOR DOCUMENTING GOOD FAITH EFFORTS TO MEET THE SMALL
DIVERSE BUSINESS (SDB) PARTICIPATION GOAL**

A. Identify Program Items as Anticipated Scopes of Work for SDBs

1. Anticipated Scopes of Work

- (a) Applicants should reasonably identify sufficient anticipated scopes of work to be performed by SDBs. These anticipated scopes of work should include SDB subcontracting opportunities.
- (b) Where appropriate, Applicants should break out anticipated scopes of work into economically feasible units to facilitate SDB participation, rather than perform these work items with their own forces. **The ability or desire of an Applicant to perform the work of an agreement with its own organization does not relieve the Applicant of the responsibility to make Good Faith Efforts to meet the SDB participation goal.**

B. Identify SDBs to Solicit

1. Identified SDBs

- (a) Applicants must reasonably identify SDBs that are available to perform the Anticipated Scopes of Work.

Any SDBs identified as available by the Applicant should be certified to perform the Anticipated Scopes of Work (i.e., assigned the UNSPSC codes within the DGS Supplier Search that are applicable to the Scope of Work they will be performing).

C. Solicit SDBs

- 1. Applicants must solicit a reasonable number of identified SDBs for all Anticipated Scopes of Work by providing written notice. The Applicant must:
 - (a) provide the written solicitation to all Identified SDBs at least 10 calendar days prior to application due date to allow sufficient time for the Identified SDB to respond;
 - (b) send the written solicitation by first-class mail, facsimile, or e-mail using contact information in the BDISBO Directory, unless the Applicant has a valid basis for using different contact information; and
 - (c) provide adequate information about the Anticipated Scopes of Work to assist Identified SDBs in responding. (This information may be provided by including hard copies in the written solicitation or by electronic means as described in C.3 below.)
- 2. "All" Identified SDBs include any SDB Firms the Applicant identifies as potentially available to perform the Anticipated Scopes of Work, but it does not include Identified SDBs who are no longer self-certified to perform the work as of the date the Applicant provides written solicitations.
- 3. "Electronic Means" includes, for example, information provided *via* a website or file transfer protocol (FTP) site containing the plans, specifications, and other requirements of the project. If an interested SDB cannot access the information provided by electronic means, the Applicant must make the information available in a manner that is accessible to the interested SDB.

SDB-4
**GUIDANCE FOR DOCUMENTING GOOD FAITH EFFORTS TO MEET THE SMALL
DIVERSE BUSINESS (SDB) PARTICIPATION GOAL**

4. Applicants must follow up on initial written solicitations by contacting Identified SDBs to determine their interest in the Anticipated Scopes of Work. The follow up contact may be made:
 - (a) by telephone using the contact information in BDISBO's Directory, unless the Applicant has a valid basis for using different contact information; or
 - (b) in writing *via* a method that differs from the method used for the initial written solicitation.
5. In addition to the written solicitation set forth in C.1 and the follow up set forth in C.4, use all other reasonable and available means to solicit the interest of Identified SDBs certified to perform the anticipated scopes of work.

D. Effort to Solicit SDBs

1. Applicants must make good faith efforts to solicit interested SDBs.
2. Evidence of good faith solicitation includes but is not limited to the following:
 - (a) the names, addresses, and telephone numbers of SDBs that were considered as potentially available to perform the Anticipated Scopes of Work;
 - (b) a description of the information provided regarding the plans and specifications for the Anticipated Scopes of Work and the means used to provide that information;
 - (c) efforts to divide Anticipated Scopes of Work into small tasks or quantities;
 - (d) efforts to identify the interest and availability of SDBs to perform the Anticipated Scopes of Work; and
 - (e) efforts to investigate the capability of SDBs to perform the Anticipated Scopes of Work.
3. Additional costs incurred in finding and using SDBs are not sufficient justification for the Applicant's failure to meet the SDB participation goal, as long as such costs are reasonable.
4. The Applicant may not use its price for self-performing work as a basis for rejecting an SDB.
5. The Applicant shall not reject an SDB as unqualified without sound justification based on a thorough investigation of the firm's capabilities. For each SDB that is

SDB-4
**GUIDANCE FOR DOCUMENTING GOOD FAITH EFFORTS TO MEET THE SMALL
DIVERSE BUSINESS (SDB) PARTICIPATION GOAL**

rejected as unqualified the Applicant must provide a written detailed statement outlining the justification for this conclusion.

- (a) The factors to take into consideration when assessing the capabilities of an SDB include, but are not limited to the following: financial capability, physical capacity to perform, available personnel and equipment, existing workload, experience performing the type of work, conduct and performance in previous agreements, and ability to meet reasonable agreement requirements.
- (b) The SDB's standing within its industry, membership in specific groups, organizations, or associations and political or social affiliations (for example union vs. non-union employee status) are not legitimate causes for the rejection or non-solicitation of SDBs in the efforts to meet the SDB participation goal.

E. Assisting Interested SDBs

When appropriate under the circumstances, CP and BDISBO will consider whether the Applicant made reasonable efforts to assist interested SDBs in obtaining:

1. The insurance required by CP or the Applicant; and
2. Necessary equipment, supplies, materials, or related assistance or services.

III. Other Considerations

In making a determination of Good Faith Efforts, CP and BDISBO may consider general market availability and availability of certified SDBs in the area in which the work is to be performed; offers or costs substantiating significant variances between SDB and non-SDB costs of participation and their impact on the overall cost of the agreement to the Commonwealth; and any other relevant factors.

The procuring agency and BDISBO may consider whether the Offeror decided to self-perform potentially subcontractable work with its own forces. The procuring agency and BDISBO also may consider the performance of other Offerors in meeting the SDB participation goal. For example, when an Offeror fails to meet the SDB participation goal, but others meet it, this raises the question of whether, with additional reasonable efforts, the Offeror could have met the SDB participation goal. If the Offeror fails to meet the SDB participation goal but meets or exceeds the average SDB participation obtained by other Offerors, this, when viewed in conjunction with other factors, could be evidence of the Offeror having made Good Faith Efforts.

IV. Documenting Good Faith Efforts

At a minimum, the Applicant seeking a Good Faith Efforts waiver of the SDB participation goal or a portion thereof must provide written documentation of its Good Faith Efforts along with its application, which may include the following:

A. Anticipated Scopes of Work (complete SDB 5, Part 1 – Identified Items of Work Applicant Made Available to SDBs)

A detailed statement of the efforts made to select anticipated scopes of work proposed to be performed by SDBs in order to increase the likelihood of achieving the SDB participation goal.

SDB-4
**GUIDANCE FOR DOCUMENTING GOOD FAITH EFFORTS TO MEET THE SMALL
DIVERSE BUSINESS (SDB) PARTICIPATION GOAL**

B. Outreach and Solicitation

1. A detailed statement of the efforts made to contact SDBs including:
 - (a) the names, addresses, and telephone numbers of the SDBs who were contacted, with the dates and manner of contacts (letter, fax, e-mail, telephone, etc.) (complete SDB 5, Part 2 – Identified SDB Firms and Records of Solicitations. Include letters, fax cover sheets, e-mails, etc. documenting solicitations); and
 - (b) a description of the information provided to SDBs regarding the anticipated scopes of work to be performed and the means used to provide that information.
2. The record of the Applicant's compliance with the outreach efforts set forth in SDB 5, Part 3 - Outreach Efforts Compliance Statement.

C. Rejected SDBs (complete SDB 5, Part 4 - Additional Information Regarding Rejected SDBs)

1. For each SDB that the Applicant concludes is not acceptable or qualified, a detailed statement of the reasons for the Applicant's conclusion, including the steps taken to verify the capabilities of the SDB and non-SDB firms who perform similar work.

D. Unavailable SDBs (complete SDB 5, Part 5 – SDB Consultant Unavailability Certificate)

1. For each SDB that the Offeror contacted but found to be unavailable, submit an SDB Consultant Unavailability Certificate or other form of communication signed by the SDB, an email from the SDB indicating the SDB is unavailable, or a statement from the Offeror that the SDB refused to sign the SDB Consultant Unavailability Certificate or failed to respond.

E. Other Documentation

1. Submit any other documentation requested by BDISBO or CP to ascertain the Applicant's Good Faith Efforts.
2. Submit any other documentation the Applicant believes will help BDISBO or CP ascertain its Good Faith Efforts.

SDB-5
GOOD FAITH EFFORTS DOCUMENTATION TO SUPPORT WAIVER REQUEST OF SDB PARTICIPATION GOAL

Project Description:	
Commonwealth Agency Name:	
DGS Project #:	
Application Due Date and Time:	

Applicant Company Name:	
Applicant Contact Name:	
Applicant Contact Email:	
Applicant Contact Phone Number:	

Part 1 – Anticipated Scopes of Work Applicant Made Available to SDBs

Identify the anticipated scopes of work that the Applicant made available to SDB consultants. This includes, where appropriate, those items the Applicant identified and subdivided into economically feasible units to facilitate the SDB participation. It is the Applicant's responsibility to demonstrate that the total percentage of the anticipated scopes of work identified for SDB participation met or exceeded the SDB participation goal set for the procurement.

Anticipated Scopes of Work	Does Applicant normally self-perform this work?	Was this work made available to SDB Firms? If not, explain why.
	☐ yes ☐ no	☐ yes ☐ no
	☐ yes ☐ no	☐ yes ☐ no
	☐ yes ☐ no	☐ yes ☐ no
	☐ yes ☐ no	☐ yes ☐ no
	☐ yes ☐ no	☐ yes ☐ no

Attach additional sheets if necessary.

SDB-5
GOOD FAITH EFFORTS DOCUMENTATION TO SUPPORT WAIVER REQUEST OF SDB PARTICIPATION GOAL

Part 2 – Identified SDBs and Record of Solicitations

Identify the SDBs solicited to demonstrate interest to perform the Anticipated Scopes of Work made available for SDB participation. Include the name of the SDB solicited, anticipated scopes of work for which the Applicant solicited interest, date and manner of initial and follow-up, whether the SDB provided a response, and whether the SDB will be used toward meeting the SDB participation goal.

Note: Copies of all written solicitations and documentation of follow-up calls to SDBs must be attached to this form. For each Identified SDB listed below that Applicant is not using to meet the SDB participation goal, Applicant should submit an SDB Consultant Unavailability Certificate signed by the SDB or a statement from the Applicant that the SDB refused to sign the SDB Consultant Unavailability Certificate.

Name of Identified SDB and Classification	Describe Anticipated Scope of Work Solicited	Initial Solicitation Date & Method	Follow-up Solicitation Date & Method	Details for Follow-up Calls	SDB interested in Anticipated Scope of Work?	Will SDB be Used?	Reason SDB Rejected
SDB Name: ☐ MBE ☐ WBE ☐ LGBTBE ☐ DOBE ☐ SDVBE		Date: ☐ mail ☐ email ☐ fax	Date: ☐ mail ☐ email ☐ fax	Date and Time of Call: Spoke with: Left Message:	☐ yes ☐ no	☐ yes ☐ no	☐ Used other SDB ☐ Used non-SDB ☐ Self performing
SDB Name: ☐ MBE ☐ WBE ☐ LGBTBE ☐ DOBE ☐ SDVBE		Date: ☐ mail ☐ email ☐ fax	Date: ☐ mail ☐ email ☐ fax	Date and Time of Call: Spoke with: Left Message:	☐ yes ☐ no	☐ yes ☐ no	☐ Used other SDB ☐ Used non-SDB ☐ Self performing

Attach additional sheets as necessary.

SDB-5
GOOD FAITH EFFORTS DOCUMENTATION TO SUPPORT WAIVER REQUEST OF
SDB PARTICIPATION GOAL

Part 3 – SDB Outreach Compliance Statement

- 1. List the Anticipated Scopes of Work (consulting opportunities) for the solicitation along with specific work categories:**

--

- 2. Attach to this form copies of written solicitations (with Applicant's instructions) used to solicit Identified SDBs for these anticipated scopes of work.**

- 3. Offeror made the following attempts to personally contact the Identified SDBs:**

--

SDB-5
GOOD FAITH EFFORTS DOCUMENTATION TO SUPPORT WAIVER REQUEST OF SDB PARTICIPATION GOAL

Part 4 – Additional Information Regarding Rejected SDBs

This form must be completed if Part 2 indicates that an SDB was rejected because the Applicant will use a non-SDB or will self-perform the Anticipated Scopes of Work. List the Anticipated Scopes of Work, indicate whether the work will be performed by a non-SDB or will be self-performed, and if applicable, state the name of the non-SDB firm.

Describe Anticipated Scope of Work not being performed by SDBs	Self-performing or using non-SDB (provide name of non-SDB if applicable)	Reason why SDB was not used for anticipated scope of work along with brief explanation
	☐ self-performing ☐ using Non-SDB Name:	☐ price ☐ capabilities ☐ other
	☐ self-performing ☐ using Non-SDB Name:	☐ price ☐ capabilities ☐ other
	☐ self-performing ☐ using Non-SDB Name:	☐ price ☐ capabilities ☐ other
	☐ self-performing ☐ using Non-SDB Name:	☐ price ☐ capabilities ☐ other
	☐ self-performing ☐ using Non-SDB Name:	☐ price ☐ capabilities ☐ other

Attach additional sheets as necessary.

SDB-5
GOOD FAITH EFFORTS DOCUMENTATION TO SUPPORT WAIVER REQUEST OF
SDB PARTICIPATION GOAL

Part 5 – SDB Consultant Unavailability Certificate

1. It is hereby certified that the firm of _____
(Name of SDB)

located at _____
(Number) (Street)

_____ was offered an opportunity to provide
(City) (State) (Zip)

_____ on DGS Project No. _____
(anticipated scope of work)

by _____
(Name of Applicant's Firm)

2. _____ (SDB), is unavailable for the anticipated scope of work
for this project for the following reason(s):

(Signature of SDB's Representative) (Title) (Date)

(DGS SDB Verification #) (Telephone #)

3. If the SDB does not complete this form, the Applicant must complete the following:

To the best of my knowledge and belief, the above-listed SDB is either unavailable for the anticipated
scope of work for this project or did not provide a response.

(Signature of Applicant) (Title) (Date)

EXHIBIT D

Veteran Business Enterprise (VBE)

Participation Cover Sheet

Solicitation/Project #:

Issuing Agency:

Name of Procurement/Project:

VBE Participation Goal (for VBE and SDVBE): %

Attachments:

VBE-1	Instructions for Completing VBE Participation Submittal
VBE-2	VBE Participation Submittal
VBE-3	VBE Utilization Schedule
VBE-4	Guidance for Documenting Good Faith Efforts to meet the VBE participation goal
VBE-5	Good Faith Efforts Documentation to Support Waiver Request of VBE Participation Goal

VBE-1
INSTRUCTIONS FOR COMPLETING THE VETERAN BUSINESS ENTERPRISE
(VBE) PARTICIPATION SUBMITTAL

PLEASE READ BEFORE COMPLETING THESE DOCUMENTS
Applicants do not need to return VBE-1 with their VBE Participation Submittal

The following instructions include details for completing the VBE Participation Submittal (VBE-2) which Applicants must submit in order to be considered responsive.

The following instructions also include details for completing the VBE Utilization Schedule (VBE-3), which Applicants must submit for any portion of the VBE participation goal the Applicant commits to meeting.

An Applicant's failure to agree to meet the VBE participation goal in full or their failure to receive an approved Good Faith Efforts waiver for any unmet portion of the VBE participation goal will result in the rejection of the Application as nonresponsive.

I. **VBE Participation Goal:** The VBE participation goal is set forth in the SDB and VBE Participation Summary Sheet. The Applicant is encouraged to use a diverse group of consultants from the VBE classification to meet the VBE participation goal.

II. **VBE Eligibility:**

1. **Finding VBE firms:** The directory of **DGS-verified** VBE firms can be accessed from the DGS Supplier Search directory at: <http://www.dgs.internet.state.pa.us/suppliersearch>.
2. **Only VBEs verified by DGS** and as defined herein may be counted for purposes of achieving the VBE participation goal. In order to be counted for purposes of achieving the VBE participation goal, the VBE firm, including an VBE prime, must be DGS-verified for the consulting services that it is committed to perform.
 - a. **VBE Applicants.** An VBE applicant whose VBE verification is pending or incomplete as of the application due date and time may not satisfy the VBE participation goal through its own performance. A self-certified SB that does not have its VBE verification as of the application due date and time cannot satisfy the VBE participation goal through its own performance.
 - b. **VBE consultants.** To receive credit toward meeting the VBE participation goal, the VBE consultant must be a DGS-verified VBE as of the execution of the consultant agreement. A self-certified SB consultant that does not have its VBE verification as of the execution of the consultant agreement cannot be used to satisfy the VBE participation goal.
3. **VBE Requirements:** To be considered an VBE, a firm must be a **DGS-verified** Veteran-Owned Small Business Enterprise or Service-Disabled Veteran-Owned Small Business Enterprise.
Additional information on the DGS verification process can be found at:
<https://www.dgs.pa.gov/Small%20Diverse%20Business%20Program/Pages/default.aspx>

VBE-1
INSTRUCTIONS FOR COMPLETING THE VETERAN BUSINESS ENTERPRISE
(VBE) PARTICIPATION SUBMITTAL

4. Dually verified firms. If a DGS-verified SDB is dually verified as a VBE, the firm may receive credit towards both the SDB participation goal and the VBE participation goal as set forth on the SDB and VBE Participation Summary Sheet.

Example: The SDB participation goal is 10% and the VBE participation goal is 5%. A consultant is DGS-verified as both an SDB and a VBE and will perform 10% of the contract work. The Applicant can satisfy both the SDB participation goal and the VBE participation goal through that consultant's performance of 10% of the contract work, unless otherwise agreed to by the parties in writing and approved by the Bureau of Diversity, Inclusion, and Small Business Opportunities (BDISBO) and Capital Programs.

5. Questions about VBE verification. Questions regarding the VBE program, including questions about the self-certification and verification processes can be directed to:

Department of General Services

Bureau of Diversity, Inclusion and Small Business Opportunities (BDISBO)

Room 611, North Office Building

Harrisburg, PA 17125

Phone: (717) 783-3119

Fax: (717) 787-7052

Email: RA-BDISBOVerification@pa.gov

Website: www.dgs.pa.gov

III. Guidelines Regarding VBE Applicants Self-Performance.

1. An VBE firm submitting an application may receive credit towards the VBE Participation goal established for the procurement through their own self-performance.

Example: A solicitation has a 15% VBE participation goal. An VBE Applicant self-performing contract work valued at only 10% of contract costs (if permitted by the solicitation documents) must still satisfy the remaining 5% VBE participation goal through its use of consultants or must request a Good Faith Efforts Waiver for the unmet VBE participation goal. Failure to satisfy the remaining 5% VBE participation goal or failure to obtain a Good Faith Efforts waiver for the unmet portion of the VBE participation goal will result in rejection of that VBE prime's bid or proposal as nonresponsive.

VBE-1
INSTRUCTIONS FOR COMPLETING THE VETERAN BUSINESS ENTERPRISE
(VBE) PARTICIPATION SUBMITTAL

2. For an VBE applicant to receive credit for self-performance, the VBE applicant must be a **DGS-verified VBE** as of the solicitation due date and time and must list itself in the **VBE Utilization Schedule (VBE-3)**.
3. The VBE applicant must also include whether it is a Veteran-Owned Small Business Enterprise or a Service-Disabled Veteran-Owned Small Business Enterprise and include information regarding the work it will self-perform. For any portion of the VBE participation goal not met through the VBE applicant's self-performance, the VBE applicant must also identify on the **VBE Utilization Schedule (VBE-3)** the portion of the VBE participation goal that will be performed by VBE consultants it will use to meet the unmet portion of the goal or must request and receive a Good Faith Efforts waiver.

IV. Calculating VBE participation during compliance. BDISBO will credit the selected applicant for 100% of the total dollar amounts actually paid to an VBE consultant for providing a services toward satisfying the selected applicant's VBE participation commitment. In addition, the VBE consultant, through its own employees, must perform at least 50% of the amount of the subcontract..

V. Document Submittal Errors.

1. **Fatal errors.** The following errors will result in rejection of an application as non-responsive:
 - a. Failure to submit a completed **VBE Participation Submittal (VBE-2)**;
 - b. Failure to submit an **VBE Utilization Schedule (VBE-3)**, unless the applicant is seeking a complete Good Faith Efforts waiver;
 - c. Failure to submit a **Good Faith Efforts** waiver request when not fully meeting the VBE participation goal.
2. **Potentially curable errors.** Capital Programs and BDISBO may provide Applicants the opportunity to provide clarifications or to correct errors not listed as fatal errors above. If the additionally submitted information does not adequately address or clarify the submittal, the application may be rejected. **Applicants are not permitted to make material changes during clarifications and corrections in order to meet the VBE Participation Goal.**

VBE-2
VBE PARTICIPATION SUBMITTAL

CHECK ONE, AND ONLY ONE, BOX.
FAILURE TO COMPLY WILL RESULT IN REJECTION OF YOUR APPLICATION
Click on bold titles to navigate to that specific page.

☐ **I agree to meet the VBE participation goal in full.**

I have completed and am submitting with my application an **VBE Utilization Schedule (VBE-3)**, which is required in order to be considered for professional selection.

☐ **I am requesting a partial waiver of the VBE participation goal.**

After making good faith outreach efforts as more fully described in the **Guidance for Documenting Good Faith Efforts to Meet the VBE Participation Goal**, I am unable to achieve the total VBE participation goal for this solicitation and am requesting a partial waiver of the VBE participation goal.

I have completed and am submitting with my application both of the following, which are required in order to be considered for professional selection:

1. an **VBE Utilization Schedule (VBE-3)** for that portion of the VBE participation goal for which I intend to meet; AND
2. a **Good Faith Efforts Waiver Request** for any portion of the VBE participation goals that I do not intend to meet.

☐ **I am requesting a full waiver of the VBE participation goal**

After making good faith outreach efforts as more fully described in the **Guidance for Documenting Good Faith Efforts to Meet the VBE Participation Goal**, I am unable to achieve any part of the VBE participation goal for this solicitation and am requesting a full waiver of the VBE participation goal.

I have completed and am submitting with my application a **Good Faith Efforts Waiver Request** for the complete VBE participation goal, which is required in order to be considered for professional selection.

NOTE: VBE firms who are submitting as Applicants must complete an **VBE Utilization Schedule (VBE-3)** identifying any self-performance towards the VBE participation goal.

VBE-3
VBE UTILIZATION SCHEDULE

COMPLETE THE FOLLOWING IF YOU WILL BE UTILIZING VBE CONSULTANTS
(SUBCONTRACTORS) TO MEET THE GOAL IN FULL OR IN PART

Applicants are not required to identify the specific VBE consultants within this VBE Utilization Schedule, but must identify the total percentage (%) of work to be performed by VBE consultants. However, the selected Applicant must submit, at the completion of program validation, consultant agreements for VBEs listed on Exhibit A of the agreement and all other VBE consultant agreements used to meet the portion of the VBE participation goal listed below. To receive credit toward meeting the VBE participation goal, the VBE consultant must be a DGS-verified VBE as of the execution of the consultant agreement.

Percentage of work to be performed by VBE consultants: %

VBE-3
VBE UTILIZATION SCHEDULE

COMPLETE THE FOLLOWING IF YOU ARE A VBE APPLICANT (PRIME)

Applicant's SAP Vendor Number (6-digit number):

Applicant's VBE Verification Number (located on DGS VBE verification):

Type of VBE:

☐

Veteran-Owned Small Business Enterprise

☐

Service-Disabled Veteran-Owned Small Business Enterprise

Percentage of work to be self-performed by VBE Applicant: %

VBE-4

GUIDANCE FOR DOCUMENTING GOOD FAITH EFFORTS TO MEET THE VETERAN BUSINESS ENTERPRISE (VBE) PARTICIPATION GOAL

Applicants do not need to return VBE-4 with their VBE Participation Submittal

In order for its application to be responsive, the Applicant must either (1) meet the VBE participation goal, or (2) when it does not meet the VBE participation goal, submit a Good Faith Efforts waiver request as set forth in Section IV below and the **Good Faith Efforts Documentation to Support Waiver Request (VBE-5)** of VBE Participation Goal.

I. Definitions

Applicant – for purposes of this **Good Faith Efforts Documentation to Support Waiver Request**, the term “Applicant” includes any entity responding to a solicitation for design professional selections for a specific project.

Good Faith Efforts - The “Good Faith Efforts” requirement means that when requesting a waiver, the Applicant must demonstrate that it took all necessary and reasonable steps to achieve the VBE participation goal. Those steps are considered necessary and reasonable when their scope, intensity, and relevance could reasonably be expected to obtain sufficient VBE participation, even if those steps were not fully successful. The Department of General Services’ Bureaus of Capital Programs (CP) and Diversity, Inclusion and Small Business Opportunities (BDISBO) will determine whether or not the Applicant requesting a Good Faith Efforts waiver made adequate Good Faith Efforts by considering the quality, quantity, and intensity of the Applicant’s efforts. Mere *pro forma* efforts are not Good Faith Efforts to meet the VBE participation requirements. The determination concerning the sufficiency of the Offeror’s Good Faith Efforts is subjective; meeting quantitative formulas is not required.

Anticipated Scopes of Work – all of the items of work the Applicant identified as possible items of work for performance by VBEs and should include all reasonably identifiable subcontractable work opportunities.

Identified VBEs– all of the VBEs the Offeror identified as available to perform the Identified Items of Work and should include all DGS-verified VBEs that are reasonably identifiable.

VBE – “VBE” refers to Veteran-Owned Small Business Enterprises and Service-Disabled Veteran-Owned Small Business Enterprises verified by BDISBO.

VBE participation goal – “VBE participation goal” refers to the VBE participation goal set for a procurement for Veteran-Owned Small Business Enterprise and Service-Disabled Veteran-Owned Small Business Enterprise utilization.

II. Types of Actions PW and BDISBO will Consider

The following are types of actions CP and BDISBO will consider as part of the Applicant’s Good Faith Efforts when the Applicant is unable to meet, in full, the VBE participation goal. This list is not intended to be a mandatory checklist, nor is it intended to be exclusive or exhaustive. Other factors or types of efforts may be relevant in appropriate cases.

VBE-4
**GUIDANCE FOR DOCUMENTING GOOD FAITH EFFORTS TO MEET THE
VETERAN BUSINESS ENTERPRISE (VBE) PARTICIPATION GOAL**

A. Identify Program Items as Anticipated Scopes of Work for VBEs

1. Anticipated Scopes of Work

- (a) Applicants should reasonably identify sufficient anticipated scopes of work to be performed by VBEs. These anticipated scopes of work should include VBE subcontracting opportunities.
- (b) Where appropriate, Applicants should break out anticipated scopes of work into economically feasible units to facilitate VBE participation, rather than perform these work items with their own forces. The ability or desire of an Applicant to perform the work of an agreement with its own organization does not relieve the Applicant of the responsibility to make Good Faith Efforts to meet the VBE participation goal.

B. Identify VBEs to Solicit

1. Identified VBEs

- (a) Applicants must reasonably identify VBEs that are available to perform the Anticipated Scopes of Work.

Any VBEs identified as available by the Applicant should be certified to perform the Anticipated Scopes of Work (i.e., assigned the UNSPSC codes within the DGS Supplier Search that are applicable to the Scope of Work they will be performing).

C. Solicit VBEs

- 1. Applicants must solicit a reasonable number of identified VBEs for all Anticipated Scopes of Work by providing written notice. The Applicant must:
 - (a) provide the written solicitation to all Identified VBEs at least 10 calendar days prior to application due date to allow sufficient time for the Identified VBE to respond;
 - (b) send the written solicitation by first-class mail, facsimile, or e-mail using contact information in the BDISBO Directory, unless the Applicant has a valid basis for using different contact information; and
 - (c) provide adequate information about the Anticipated Scopes of Work to assist Identified VBEs in responding. (This information may be provided by including hard copies in the written solicitation or by electronic means as described in C.3 below.)
- 2. "All" Identified VBEs include any VBE Firms the Applicant identifies as potentially available to perform the Anticipated Scopes of Work, but it does not include Identified VBEs who are no longer self-certified to perform the work as of the date the Applicant provides written solicitations.
- 3. "Electronic Means" includes, for example, information provided *via* a website or file transfer protocol (FTP) site containing the plans, specifications, and other requirements of the project. If an interested VBE cannot access the information provided by electronic means, the Applicant must make the information available in a manner that is accessible to the interested VBE.

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**GUIDANCE FOR DOCUMENTING GOOD FAITH EFFORTS TO MEET THE
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4. Applicants must follow up on initial written solicitations by contacting Identified VBEs to determine their interest in the Anticipated Scopes of Work. The follow up contact may be made:
 - (a) by telephone using the contact information in BDISBO's Directory, unless the Applicant has a valid basis for using different contact information; or
 - (b) in writing *via* a method that differs from the method used for the initial written solicitation.
5. In addition to the written solicitation set forth in C.1 and the follow up set forth in C.4, use all other reasonable and available means to solicit the interest of Identified VBEs certified to perform the anticipated scopes of work.

D. Effort to Solicit VBEs

1. Applicants must make good faith efforts to solicit interested VBEs.
2. Evidence of good faith solicitation includes but is not limited to the following:
 - (a) the names, addresses, and telephone numbers of VBEs that were considered as potentially available to perform the Anticipated Scopes of Work;
 - (b) a description of the information provided regarding the plans and specifications for the Anticipated Scopes of Work and the means used to provide that information;
 - (c) efforts to divide Anticipated Scopes of Work into small tasks or quantities;
 - (d) efforts to identify the interest and availability of VBEs to perform the Anticipated Scopes of Work; and
 - (e) efforts to investigate the capability of VBEs to perform the Anticipated Scopes of Work.
3. Additional costs incurred in finding and using VBEs are not sufficient justification for the Applicant's failure to meet the VBE participation goal, as long as such costs are reasonable.
4. The Applicant may not use its price for self-performing work as a basis for rejecting an VBE.
5. The Applicant shall not reject an VBE as unqualified without sound justification based on a thorough investigation of the firm's capabilities. For each VBE that is rejected as unqualified the Applicant must provide a written detailed statement outlining the justification for this conclusion.

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GUIDANCE FOR DOCUMENTING GOOD FAITH EFFORTS TO MEET THE VETERAN BUSINESS ENTERPRISE (VBE) PARTICIPATION GOAL

- (a) The factors to take into consideration when assessing the capabilities of an VBE include, but are not limited to the following: financial capability, physical capacity to perform, available personnel and equipment, existing workload, experience performing the type of work, conduct and performance in previous agreements, and ability to meet reasonable agreement requirements.
- (b) The VBE's standing within its industry, membership in specific groups, organizations, or associations and political or social affiliations (for example union vs. non-union employee status) are not legitimate causes for the rejection or non-solicitation of VBEs in the efforts to meet the VBE participation goal.

E. Assisting Interested VBEs

When appropriate under the circumstances, CP and BDISBO will consider whether the Applicant made reasonable efforts to assist interested VBEs in obtaining:

1. The insurance required by CP or the Applicant; and
2. Necessary equipment, supplies, materials, or related assistance or services.

III. Other Considerations

In making a determination of Good Faith Efforts, CP and BDISBO may consider general market availability and availability of certified VBEs in the area in which the work is to be performed; offers or costs substantiating significant variances between VBE and non-VBE costs of participation and their impact on the overall cost of the agreement to the Commonwealth; and any other relevant factors.

The procuring agency and BDISBO may consider whether the Offeror decided to self-perform potentially subcontractable work with its own forces. The procuring agency and BDISBO also may consider the performance of other Offerors in meeting the VBE participation goal. For example, when an Offeror fails to meet the VBE participation goal, but others meet it, this raises the question of whether, with additional reasonable efforts, the Offeror could have met the VBE participation goal. If the Offeror fails to meet the VBE participation goal but meets or exceeds the average VBE participation obtained by other Offerors, this, when viewed in conjunction with other factors, could be evidence of the Offeror having made Good Faith Efforts.

IV. Documenting Good Faith Efforts

At a minimum, the Applicant seeking a Good Faith Efforts waiver of the VBE participation goal or a portion thereof must provide written documentation of its Good Faith Efforts along with its application, which may include the following:

A. Anticipated Scopes of Work (complete VBE 5, Part 1 – Identified Items of Work Applicant Made Available to VBEs)

A detailed statement of the efforts made to select anticipated scopes of work proposed to be performed by VBEs in order to increase the likelihood of achieving the VBE participation goal.

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B. Outreach and Solicitation

1. A detailed statement of the efforts made to contact VBEs including:
 - (a) the names, addresses, and telephone numbers of the VBEs who were contacted, with the dates and manner of contacts (letter, fax, e-mail, telephone, etc.) (complete VBE 5, Part 2 – Identified VBE Firms and Records of Solicitations. Include letters, fax cover sheets, e-mails, etc. documenting solicitations); and
 - (b) a description of the information provided to VBEs regarding the anticipated scopes of work to be performed and the means used to provide that information.
2. The record of the Applicant's compliance with the outreach efforts set forth in VBE 5, Part 3 - Outreach Efforts Compliance Statement.

C. Rejected VBEs (complete VBE 5, Part 4 - Additional Information Regarding Rejected VBEs)

1. For each VBE that the Applicant concludes is not acceptable or qualified, a detailed statement of the reasons for the Applicant's conclusion, including the steps taken to verify the capabilities of the VBE and non-VBE firms who perform similar work.

D. Unavailable VBEs (complete VBE 5, Part 5 – VBE Consultant Unavailability Certificate)

1. For each VBE that the Offeror contacted but found to be unavailable, submit an VBE Consultant Unavailability Certificate or other form of communication signed by the VBE, an email from the VBE indicating the VBE is unavailable, or a statement from the Offeror that the VBE refused to sign the VBE Consultant Unavailability Certificate or failed to respond.

E. Other Documentation

1. Submit any other documentation requested by BDISBO or CP to ascertain the Applicant's Good Faith Efforts.
2. Submit any other documentation the Applicant believes will help BDISBO or CP ascertain its Good Faith Efforts.

VBE-5
GOOD FAITH EFFORTS DOCUMENTATION TO SUPPORT WAIVER REQUEST OF VBE PARTICIPATION GOAL

Project Description:	
Commonwealth Agency Name:	
DGS Project #:	
Application Due Date and Time:	

Applicant Company Name:	
Applicant Contact Name:	
Applicant Contact Email:	
Applicant Contact Phone Number:	

Part 1 – Anticipated Scopes of Work Applicant Made Available to VBEs

Identify the anticipated scopes of work that the Applicant made available to VBE consultants. This includes, where appropriate, those items the Applicant identified and subdivided into economically feasible units to facilitate the VBE participation. It is the Applicant's responsibility to demonstrate that the total percentage of the anticipated scopes of work identified for VBE participation met or exceeded the VBE participation goal set for the procurement.

Anticipated Scopes of Work	Does Applicant normally self-perform this work?	Was this work made available to VBE Firms? If not, explain why.
	☐ yes ☐ no	☐ yes ☐ no
	☐ yes ☐ no	☐ yes ☐ no
	☐ yes ☐ no	☐ yes ☐ no
	☐ yes ☐ no	☐ yes ☐ no
	☐ yes ☐ no	☐ yes ☐ no

Attach additional sheets if necessary.

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GOOD FAITH EFFORTS DOCUMENTATION TO SUPPORT WAIVER REQUEST OF VBE PARTICIPATION GOAL

Part 2 – Identified VBEs and Record of Solicitations

Identify the VBEs solicited to demonstrate interest to perform the Anticipated Scopes of Work made available for VBE participation. Include the name of the VBE solicited, anticipated scopes of work for which the Applicant solicited interest, date and manner of initial and follow-up, whether the VBE provided a response, and whether the VBE will be used toward meeting the VBE participation goal.

Note: Copies of all written solicitations and documentation of follow-up calls to VBEs must be attached to this form. For each Identified VBE listed below that Applicant is not using to meet the VBE participation goal, Applicant should submit an VBE Consultant Unavailability Certificate signed by the VBE or a statement from the Applicant that the VBE refused to sign the VBE Consultant Unavailability Certificate.

Name of Identified VBE and Classification	Describe Anticipated Scope of Work Solicited	Initial Solicitation Date & Method	Follow-up Solicitation Date & Method	Details for Follow-up Calls	VBE interested in Anticipated Scope of Work?	Will VBE be Used?	Reason VBE Rejected
VBE Name: ☐ VBE ☐ SDVBE		Date: ☐ mail ☐ email ☐ fax	Date: ☐ mail ☐ email ☐ fax	Date and Time of Call: Spoke with: Left Message:	☐ yes ☐ no	☐ yes ☐ no	☐ Used other VBE ☐ Used non-VBE ☐ Self performing
VBE Name: ☐ VBE ☐ SDVBE		Date: ☐ mail ☐ email ☐ fax	Date: ☐ mail ☐ email ☐ fax	Date and Time of Call: Spoke with: Left Message:	☐ yes ☐ no	☐ yes ☐ no	☐ Used other VBE ☐ Used non-VBE ☐ Self performing

Attach additional sheets as necessary.

VBE-5
GOOD FAITH EFFORTS DOCUMENTATION TO SUPPORT WAIVER REQUEST OF
VBE PARTICIPATION GOAL

Part 3 – VBE Outreach Compliance Statement

- 1. List the Anticipated Scopes of Work (consulting opportunities) for the solicitation along with specific work categories:**

- 2. Attach to this form copies of written solicitations (with Applicant's instructions) used to solicit Identified VBEs for these anticipated scopes of work.**

- 3. Offeror made the following attempts to personally contact the Identified VBEs:**

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GOOD FAITH EFFORTS DOCUMENTATION TO SUPPORT WAIVER REQUEST OF VBE PARTICIPATION GOAL

Part 4 – Additional Information Regarding Rejected VBEs

This form must be completed if Part 2 indicates that an VBE was rejected because the Applicant will use a non-VBE or will self-perform the Anticipated Scopes of Work. List the Anticipated Scopes of Work, indicate whether the work will be performed by a non-VBE or will be self-performed, and if applicable, state the name of the non-VBE firm.

Describe Anticipated Scope of Work not being performed by VBEs	Self-performing or using non-VBE (provide name of non-VBE if applicable)	Reason why VBE was not used for anticipated scope of work along with brief explanation
	☐ self-performing ☐ using Non-VBE Name:	☐ price ☐ capabilities ☐ other
	☐ self-performing ☐ using Non-VBE Name:	☐ price ☐ capabilities ☐ other
	☐ self-performing ☐ using Non-VBE Name:	☐ price ☐ capabilities ☐ other
	☐ self-performing ☐ using Non-VBE Name:	☐ price ☐ capabilities ☐ other
	☐ self-performing ☐ using Non-VBE Name:	☐ price ☐ capabilities ☐ other

Attach additional sheets as necessary.

VBE-5
GOOD FAITH EFFORTS DOCUMENTATION TO SUPPORT WAIVER REQUEST OF
VBE PARTICIPATION GOAL

Part 5 – VBE Consultant Unavailability Certificate

1. It is hereby certified that the firm of _____
(Name of VBE)

located at _____
(Number) (Street)

_____ was offered an opportunity to provide
(City) (State) (Zip)

_____ on DGS Project No. _____
(anticipated scope of work)

by _____
(Name of Applicant's Firm)

2. _____ (VBE), is unavailable for the anticipated scope of work
for this project for the following reason(s):

(Signature of VBE's Representative) (Title) (Date)

(DGS VBE Verification #) (Telephone #)

3. If the VBE does not complete this form, the Applicant must complete the following:

To the best of my knowledge and belief, the above-listed VBE is either unavailable for the anticipated scope of work for this project or did not provide a response.

(Signature of Applicant) (Title) (Date)

EXHIBIT E

ANNUAL PROFESSIONAL SELECTIONS PROCESS STATEMENT OF CONFIDENTIALITY FOR AD-HOC COMMITTEE MEMBERS

Please read this statement and it must be signed by all that require non-public information regarding the Professional Selections Process.

To protect the integrity of the public procurement process and in order to ensure fairness in the evaluation of applications submitted in response to a Notice of Public Meeting, it is very important that non-public information and the contents of applications remain confidential throughout the evaluation process.

I certify that:

1. I will not divulge nor make known, in any manner whatsoever, to any person, other than a member of the Ad-Hoc Committee or other individual who has signed a confidentiality statement for the Professional Selections process, or to an investigatory or law enforcement authority, after consultation with the individual's Office of Chief Counsel, any information (which has not already been made available to the public or all interested Applicants) pertaining to any and all aspects of the Professional Selections including but not limited to the Members of the Ad-Hoc Committee, discussions during the initial project review meeting, the contents of firms applications, the scoring method, points allotted, evaluator scores, costs, or any other non-public/confidential information regarding the Professional Selections process.
2. I understand that unauthorized sharing of information may give an Applicant an unfair advantage over another Applicant and thereby render the process invalid.
3. I understand that if I divulge such information, I may be subject to disciplinary action, including termination of my employment with the Commonwealth.

By signing below, I acknowledge that I have read and understand the certifications set forth above in this Statement of Confidentiality. This Statement of Confidentiality will expire on December 31st of the Calendar Year written below.

Signature

Date

Name (Print)

Calendar Year

Employing Agency

EXHIBIT F

STATEMENT OF NO CONFLICT OF INTEREST

To protect the integrity of the public procurement process, it is essential that applications be evaluated in an unbiased manner and without conflict of interest. You have been selected to participate as a member of the Selections Committee or Ad-Hoc Committee for the referenced project not only because of your technical expertise, but also because the Deputy Secretary and your supervisor are not aware of any bias, business or family relationships, or any other conflicts that could affect, or which could be perceived to affect, your fair, honest and impartial participation in the evaluation of proposals. As an evaluator, you are expected to: 1) discharge your duties impartially so as to assure fair, competitive access to Commonwealth procurement by responsible contractors, and 2) conduct yourself in a manner which fosters public confidence in the integrity of the Commonwealth procurement process.

No Foreseeable Conflict of Interest or Bias

I certify that I, and to the best of my knowledge, my spouse, parent, child, brother or sister ("immediate family"), as defined in the *Public Official and Employee Ethics Act*, 65 Pa. C. S.A. §1102:

1. Are not current or former employees of any of the Applicants.
2. Are not directors, officers, owners, partners, agents, or representatives of any of the Applicants.
3. Do not hold any stock or any financial interest in any of the Applicants.

I certify that I will NOT, during the Selections process:

1. Solicit or accept, directly or indirectly, any promise of future employment or business opportunity from, or engage, directly or indirectly, in any discussion of future employment or business opportunity with, any director, officer, owner, partner, employee, representative, agent or consultant of an Applicant or their proposed subcontractors.
2. Ask for, demand, exact, solicit, seek, accept, receive, or agree to receive, directly or indirectly, any money, gratuity, or other thing of value from any director, officer, owner, partner, employee, representative, agent, or consultant of an Applicant or their proposed subcontractors for this project. I will advise my immediate family that the acceptance of any such gratuity may be imputed to me as a violation, and must therefore be avoided by them.

STATEMENT OF NO CONFLICT OF INTEREST

Initials _____

I understand that my obligations under this certification are of a continuing nature. I will immediately seek the advice of the Department of General Services' Office of Chief Counsel and report the circumstances to my supervisor and to the Deputy Secretary of Capital Programs if at any time during the Selections process:

1. I receive a contact from an Applicant that submitted an application, or their proposed subcontractors, concerning employment or other business opportunity.
2. I receive an offer of a gift from an Applicant that submitted a proposal, or their proposed subcontractors.
3. I encounter circumstances where my participation might result in a real, apparent, or potential conflict.

Exceptions

Exceptions to the certifications that I have made in completing this certification are listed below. *If additional space is needed, attach additional pages and initial each page of the addition.*

Check here if there are no exceptions to the certifications.

Signature and Certification

I have read and understand the certifications and understanding set out in this document. I further understand that by signing this document, I make the certification and confirm the understandings herein subject to the provisions and penalties of 18 Pa. C.S. Section 4904 (*unsworn falsification to authorities*).

Project Number:

Project Title/Location:

Signature

Date

Name (Print)

Committee Meeting

Employing Agency