



# DBE Participation Statement

RI Contract Number: \_\_\_\_\_  
Contract Goal: % \_\_\_\_\_

All DBE participation **MUST** be reported and monitored by RIDOT OCR. Executed DBE-003 must be completed for **EACH Participating DBE Firm** and approved by OCR **PRIOR** to the start of work. If the DBE firm is acting as a Trucking operation or Regular Dealer, the appropriate forms (DBE-004 and DBE-005) must be completed.

**Note:** If submission of DBE-003 is a result of termination or substitution, an executed DBE-007 must be attached.

**Post Qualification:** The executed DBE-003 and subcontract agreement must be submitted to RIDOT Contracts as directed within the post-qualification letter.

**Post Award:** The executed DBE-003 and corresponding subcontract agreement must be submitted via e-mail to: DOT.DBE@dot.ri.gov and assigned RIDOT Construction Manager (CM) and Project Manager (PM).

### Contractor Information

Prime Contractor: \_\_\_\_\_ DBE Subcontractor: \_\_\_\_\_  
Prime Representative: \_\_\_\_\_ DBE Representative: \_\_\_\_\_  
Address: \_\_\_\_\_ Address: \_\_\_\_\_  
Phone Number: \_\_\_\_\_ Phone Number: \_\_\_\_\_

### DBE Performance (to be completed by Prime firm)

DBE participation named on Pre-Award Utilization Plan (UP) or UP Substitution      Additional DBE participation (Race Neutral)

Pursuant to 49 CFR 26.55, DBE eligibility is dependent upon the firm's ability to perform a Commercially Useful Function (CUF). Final DBE credit to be assessed by OCR at contract closeout based upon CUF performance and subcontractor payments.

Contract DBE Participation:

	Subcontractor	Professional Service	Manufacturer	Broker	Joint Venture
Type of Arrangement:		Furnish and Install	Labor Only		

Provide a summary below of the work to be completed by the DBE firm. Be sure to clearly document any special circumstances in subcontract agreement such as partial items, labor only, multiple components to an item, partial quantity of work performed by DBE and remaining quantity completed by another firm or DBE receiving unloading/hoisting assistance from prime, etc. Description must be adequate in order for OCR to determine performance of Commercially Useful Function (CUF).

In the event that a DBE intends to let a portion of its subcontract agreement to another subcontractor, details must be clearly indicated below. Please note in the event a DBE firm initiates a 2nd tier agreement with a non-DBE firm, DBE participation towards the contract goal will be impacted. The Prime Contractor is responsible for accurately monitoring and reporting multi-tier DBE participation.

**Note:** Subsequent subcontract amendments may be subject to termination/substitution guidelines.

DBE Subcontract Value: \_\_\_\_\_

Summary of work to be completed:

Applicable NAICS Code:



# DBE Participation Statement

RI Contract Number: \_\_\_\_\_

Contract Goal: % \_\_\_\_\_

**DBE Performance (to be completed by Prime firm) continued**

**This contractor affirms that the named DBE will perform a Commercially Useful Function on this contract. The DBE firm has agreed that they are/will be:**

- |  |            |           |
|--|------------|-----------|
| 1. Responsible for the execution of the work and/or delivery of supplies procured for the contract   | <b>Yes</b> | <b>No</b> |
| 2. Performing, managing, and supervising the work involved and/or delivery of the supplies procured for the contract   | <b>Yes</b> | <b>No</b> |
| 3. Responsible (with respect to materials to be used on contract) for negotiating price, determining quality and quantity, ordering the material, and/or installing and paying for the material  | <b>Yes</b> | <b>No</b> |
| 4. Requesting to utilize a joint check (for material purchases only) on the named contract<br>- If <b>YES</b> , RIDOT Joint Check Agreement Request will be submitted to RIDOT OCR for approval prior to start of the DBE firm's work. | <b>Yes</b> | <b>No</b> |
| 5. Claiming appropriate DBE participation credit with respect to the work subcontracted, industry practice, appropriate NAICS code and the amount paid to the DBE  | <b>Yes</b> | <b>No</b> |
| 6. An <b>ACTIVE</b> participant in this transaction, contract, procurement, or project and <b>NOT</b> an extra participant through which funds are passed through in order to obtain the appearance of DBE participation               | <b>Yes</b> | <b>No</b> |
| 7. Performing or exercising at least 30 percent of the total dollar amount of DBE participation with its own work force  | <b>Yes</b> | <b>No</b> |

The undersigned certifies that the provided information is true the best of his/her knowledge and the named DBE is performing a commercially useful function (CUF), as outlined in 49 CFR 26.55(c)1. Any changes made to this statement must be reviewed and approved by RIDOT OCR prior to implementation.

\_\_\_\_\_  
**Prime Contractor Signature** **Date**

**Qualifying Questions (to be completed by DBE firm)**

- |   |                    |           |
|---|--------------------|-----------|
| 1. Are you contracting directly with the Prime Contractor?  | <b>Yes</b>         | <b>No</b> |
| If No, i.e.: "N-Tier sub, provide name of contracting firm <span style="float: right;"><b>Contracting Firm:</b> _____</span>  |                    |           |
| 2. Is your firm acting as a broker on this contract? If yes, specify what you will be brokering and the approximate brokerage fee. If yes, additional explanation required. | <b>Yes</b>         | <b>No</b> |
| 3. Will your firm be purchasing supplies or materials from the Prime Contractor/Bidder?   | <b>Yes</b>         | <b>No</b> |
| 4. Will your firm be leasing or renting equipment from the Prime Contractor/Bidder?   | <b>Yes</b>         | <b>No</b> |
| 5. Who within your firm will be responsible for supervising your firm's work on this project?   | <b>Name:</b> _____ |           |

**This DBE affirms that it will perform a Commercially Useful Function on this contract. And will be:**

- |   |            |           |
|---|------------|-----------|
| 6. Responsible for execution of the work and/or delivery of supplies for the contract   | <b>Yes</b> | <b>No</b> |
| 7. Performing, managing and supervising the work involved and/or delivery of the supplies procured for this contract  | <b>Yes</b> | <b>No</b> |
| 8. Responsible (with respect to materials and supplies used on the contract) for negotiating price, determining quality and quantity, ordering the material and/or installing and paying for the material.        | <b>Yes</b> | <b>No</b> |
| 9. Claiming appropriate participation credit with respect to the work being subcontracted, industry practices, NAICS codes, and the amount paid.  | <b>Yes</b> | <b>No</b> |
| 10. An <b>ACTIVE</b> participant in this transaction, contract, procurement or project, and <b>NOT</b> an extra participant through which funds are passed in order to obtain the appearance of DBE participation | <b>Yes</b> | <b>No</b> |

The undersigned certifies that the named DBE firm has been contacted by the Bidder/Prime Contractor with regard to the above referenced project and work items. My firm will be performing a commercially useful function (CUF), as outlined in 49 CFR 26.55(c)1.

\_\_\_\_\_  
**DBE Subcontractor Signature** **Date**