

Pre-Award DBE Participation Form Requirements

Bidders must submit the required DBE forms no later than four o'clock (4:00 pm) on the third (3rd) business day after the bid opening. Documents must be sent electronically to: DOT.Contracts@dot.ri.gov. The Rhode Island Contract Number (RIC No.) shall be clearly identified within the subject line of the e-mail AND all attachments/documentation must be included in the e-mail.

Important: Failure to submit the required forms within the timeframe identified above shall result in the bid being deemed nonresponsive and may result in disqualification. In the event the apparent low bidder is rejected, the Department may proceed to review subsequent bids.

Form No.	Form Name	Completed by		Submission Requirement
		Bidder	DBE Firm	
DBE-001	DBE Pre-Award Utilization Plan (UP)	✓		<p><u>Contract Goal Assigned:</u> All bidders shall submit an executed DBE-001 identifying DBE participation to be utilized by the bidder to achieve assigned contract goal upon award.</p> <p><u>No Contract Goal:</u> No submission required during Pre-Award phase.</p>
DBE-002	DBE Letter of Intent	✓	✓	<p><u>Contract Goal Assigned:</u> An executed DBE-002 form must be attached for each participating DBE firm named on the executed DBE-001. Upon OCR's approval and RIDOT contract award, the bidder agrees to enter into a subcontract agreement with the named DBE firm for the identified scope of work and dollar amount.</p> <p><u>No Contract Goal:</u> No submission required during Pre-Award phase.</p>
DBE-003	DBE Participation Statement*	✓	✓	<p><u>Contract Goal Assigned:</u> An executed DBE-003 and subcontract agreement or purchase order shall be submitted to RIDOT Contracts as identified within the Post-Qualification letter.</p> <p><u>No Contract Goal:</u> No submission required during Pre-Award phase.</p>
DBE-004	DBE Trucking Agreement*	✓	✓	<p><u>Contract Goal Assigned:</u> An executed DBE-004 and subcontract agreement or purchase order shall be submitted to RIDOT Contracts as identified within the Post-Qualification letter.</p> <p><u>No Contract Goal:</u> No submission required during Pre-Award phase.</p> <p><u>Note:</u> DBE-004 should only be used for DBE firms performing trucking operations.</p>
DBE-005	DBE Regular Dealer*	✓	✓	<p><u>Contract Goal Assigned:</u> An executed DBE-005 and subcontract agreement or purchase order shall be submitted to RIDOT Contracts as identified within the Post-Qualification letter.</p> <p><u>No Contract Goal:</u> No submission required during Pre-Award phase.</p> <p><u>Note:</u> DBE-005 should only be used for DBE firms performing as a Regular Dealer.</p>
DBE-006	DBE Good Faith Efforts (GFE)	✓		<p><u>Assigned Contract Goal:</u> In the event a bidder is unable to identify enough DBE participation to achieve the assigned contract DBE goal pre-award, an executed DBE-006 and all supporting documentation must be attached to the submitted DBE-001.</p> <p><u>No Contract Goal:</u> No GFE submission required.</p> <p><u>Note:</u> RIDOT may only review GFE documentation submitted within the required timeframe. Any GFE documentation submitted after 4:00 pm the 3rd business day after the bid, is ineligible for review.</p>

*To be utilized in the evaluation of the DBE firm's ability to perform a commercially useful function (CUF). A DBE firm's certified NAICS codes can be found in the [DBE Directory](#).

Note: Applicable DBE-003, DBE-004, and DBE-005 forms will serve as a cover sheet when submitting a subcontract agreement or purchase order.

Post-Award DBE Participation Form Submission Requirements

Important: All contract work performed by certified DBE firms must be reported to and monitored by the RIDOT Office of Civil Rights (OCR) whether contract DBE goal is assigned to the contract or not.

All post-award DBE documentation submissions must be submitted directly to the Office of Civil Rights (OCR) AND assigned RIDOT Construction Manager (CM) and Project Manager (PM).

Post-award DBE documentation shall be submitted electronically to: DOT.DBE@dot.ri.gov. The Rhode Island Contract Number (RIC No.) shall be clearly identified within the subject line of the e-mail AND all attachments/documentation must be included in the e-mail.

Form No.	Form Name	Completed by		Submission Requirement
		Prime Contractor	DBE Firm	
DBE-003	DBE Participation Statement*	✓	✓	For ALL Contracts: An executed DBE-003 and subcontract agreement or purchase order must be submitted to RIDOT OCR for each DBE firm. For DBE firms performing Trucking Operation or acting as a Regular Dealer please utilize appropriate forms named below.
DBE-004	DBE Trucking Agreement*	✓	✓	For ALL Contracts: An executed DBE-004 and subcontract agreement or purchase order must be submitted to RIDOT OCR. Note: DBE-004 should only be used for DBE firms performing trucking operations.
DBE-005	DBE Regular Dealer*	✓	✓	For ALL Contracts: An executed DBE-005 and subcontract agreement or purchase order must be submitted to RIDOT OCR. Note: DBE-005 should only be used for DBE firms performing as a Regular Dealer.
DBE-006	DBE Good Faith Efforts (GFE)	✓		<p>Assigned Contract Goal: Termination/Substitution: In the event a DBE commitment identified on the OCR approved Pre-Award DBE Utilization Plan (DBE-001) is reduced and/or terminated, and the Prime is unable to identify additional DBE Participation to the extent needed to achieve the contract goal, executed DBE-006 and supporting documentation must be submitted to OCR for review. Note: Failure to submit may result in non-compliance determination.</p> <p>Contract Closeout: In the event a contractor is unable to achieve the approved DBE commitment as identified on DBE-001, the prime is expected to submit the executed DBE-006 (or equivalent) and supporting documentation demonstrating the efforts made by the firm to meet commitment. Note: Failure to submit may result in non-compliance determination.</p> <p>No Contract Goal: No submission/GFE required.</p>
DBE-007	DBE Termination or Substitution Request	✓	✓	<p>Assigned Contract Goal: In the event a DBE commitment identified on the approved pre-award utilization plan, or an approved substitution(s) is impacted by a reduction and/or termination the Prime Contractor must adhere to Termination/Substitution requirements. An executed DBE-007 must be submitted to RIDOT OCR for approval.</p> <p>No Contract Goal: Termination or Substitution requirements not applicable.</p>

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Note: Applicable DBE-003, DBE-004, and DBE-005 forms will serve as a cover sheet when submitting a subcontract agreement or purchase order.