

How to submit DBE affidavits or good faith efforts certificate (GFE)

- DBE affidavits/GFE are submitted for contracts with a DBE goal (except for state funding)
- DBE affidavits/GFE are submitted along with the cost proposal
- Two separate procedures for project specific and on-call contracts

Contracts with DBE goals	Project-Specific Contract	On-Call Contract
How is DBE goal monitored?	By overall contract	On every task order
How often DBE Affidavits submitted?	With cost proposal; or with cost proposal for additional funding	With cost proposal of <u>every</u> task order including revisions
Additional funding contract modifications	Submit Affidavits or GFE and list new contract total amount.	Submit Affidavits or GFE and enter new task order total amount (include revision).
<u>Meets or exceeds</u> the goal: Two Affidavits submitted	1. <i>DBE Consultant Intended Participation Affidavit</i> – Consultants identify DBE firms & awards 2. <i>DBE Subconsultant Intended Participation Affidavit</i> – DBE Subconsultants confirm participation & award <ul style="list-style-type: none"> • DBEs ONLY - One Affidavit for each DBE firm • <u>DBE Direct Expense Vendors included</u> <ul style="list-style-type: none"> - for credit obtained through non-DBE firms • Correct and complete Affidavits are immediately approved 	
<u>Does not meet</u> the goal: GFE submitted	<ul style="list-style-type: none"> • GFE must be completely filled out to show Consultant did <u>all</u> they could to solicit a DBE firm to meet the DBE goal • GFEs are submitted to BECO for approval • If some DBE usage, include Consultant & Sub Affidavits 	
ANTP/Advance Authorizations	GFE or Affidavits are <u>not required</u> during these submissions as cost negotiations have not been finalized	
Where can I find most current ECS DBE affidavits/GFE?	ECS DBE Website: http://www.azdot.gov/business/engineering-consultants/DisadvantagedBusinessEnterprise(DBE)Program Top three bullets under Forms	
Additional Resources	DBE Responsibilities Matrix & DBE Process Flowchart	

Sample Affidavits Following this Page

- **SAMPLE A:** DBE Consultant Intended Participation Affidavit (**ABC Engineering**)
 - Lists all DBEs working on task order #2
 - This submission is for a revision to task order #2
- **SAMPLE B:** DBE Subconsultant Intended Participation Affidavit
 - **XYZ Engineering** participated on the original task order but not on the revision
- **SAMPLE C:** DBE Subconsultant Intended Participation Affidavit
 - **DEF Consultants** is participating on the revision but they are subcontracting work to a Non-DBE firm, Nationwide Designs
- **SAMPLE D:** DBE Subconsultant Intended Participation Affidavit
 - **Graphics-R-U's** is participating on the revision as a DBE direct expense vendor. The firm is utilized by a Non-DBE Subconsultant, Excellent Designs.



BUSINESS ENGAGEMENT & COMPLIANCE OFFICE
Disadvantaged Business Enterprises (DBE)
DBE Intended Participation Affidavit – Consultant

Table with 4 columns: Consultant, TRACS No(s), Contract Description, Contract No, Task Order No.

Directions:

- 1. This Affidavit must reflect the information included on the individual DBE Intended Participation Affidavit – Subconsultant for each DBE Subconsultant or DBE Tier-Subconsultant.
2. A separate Subconsultant Affidavit must be submitted for EACH proposed Subconsultant DBE firm.
3. This Affidavit must be signed by an individual authorized to sign the SOQ proposals on behalf of the firm.
4. This Affidavit and all DBE Subconsultant Affidavits must be submitted with the Cost Proposal.

Table with 7 columns: Name of DBE Firm, Consultant, Sub, or Tier-Sub, Type of Services To be Provided, DBE Award Amount, Non-DBE Amount, Proposed % DBE Participation.

* Total Contract/Task Order Amount must include the original and any additional amounts applied to the Contract or Task Order.

Total Proposed DBE Amount (minus non-DBE Amount)

Summary table with 3 rows: (1) Total Contract/Task Order Amount, (2) Total % of DBE Commitment, (3) Contract DBE Goal.

List each DBE firm the prime uses to meet the DBE goal. If a DBE firm subcontracts to another DBE firm, do not list that DBE or else their award will be counted twice. However, the extra DBE firm should submit a Subconsultant Affidavit.

\$12,000 is the DBE participation from the original task order. This revision is for an additional \$44,000 bringing the total task order to \$68,000.

- 1. My firm has accepted a proposal from the above named DBE Subconsultant...
2. My firm has notified the proposed DBE Subconsultant(s) of the estimated amount to be performed in accordance with DBE provisions of the contract.
3. My firm's use of the proposed DBE Subconsultant(s) for the items of work listed above is a condition of the contract award.
4. My firm will invite the proposed DBE Subconsultant(s) to attend any pre-negotiation partnering conferences or other required meetings related to this contract.
5. My firm is required to make sufficient reasonable efforts to (sub) contract either the same or other work to an alternative certified DBE equal to the amount to attain the DBE commitment if a proposed certified DBE is unable or unwilling to perform the work or any part of the intended work.
6. I understand that any work assigned to a certified DBE, who then subcontracts to a non-certified DBE will NOT count toward DBE goal.
7. My firm will ensure that DBEs will perform commercially usefully functions (CUF) as part of this contract and will provide documentation to ADOT, such as Subcontract Agreements with DBEs to validate such work.
8. I understand that failure to comply with the information shown on this form will be considered grounds for contract sanctions and other remedies deemed appropriate by ADOT.
9. I declare under penalty of perjury in the second degree, and any other applicable state or federal laws that the statements made in this document are true and complete to the best of my knowledge.

Name of Firm

Print Name Title

Signature Date



BUSINESS ENGAGEMENT & COMPLIANCE OFFICE
Disadvantaged Business Enterprises (DBE)
DBE Intended Participation Affidavit - Subconsultant

Table with fields: Consultant, DBE Subconsultant, *DBE Tier-Subconsultant, - Subcontracted by, DBE or Non-DBE, Contract No., Task Order No., Contract Description, TRACS No(s).

*Tier-Subconsultant refers to any subconsultant that is contracted to another subconsultant at any level.

Directions:

- 1. This Affidavit must be completed by ALL DBE Subconsultant(s) and DBE Tier-Subconsultant(s) and signed by an officer or principal of the Subconsultant(s) DBE firm and submitted to the Consultant.
2. A separate Affidavit must be submitted for EACH proposed Subconsultant DBE firm.
3. List all full and partial services to be provided by the above named DBE Subconsultant(s).
4. All partial services provided must be fully explained. If not, the DBE will be considered to be responsible for the entire services to be performed. Attach additional sheets as necessary.
5. All DBE Subconsultant Affidavits must be submitted with the Cost Proposal.

Table with header: List All Full and Partial Services to be Provided by the Above Named DBE Subconsultant or DBE Tier-Subconsultant (Partial services must be fully explained. Use additional sheets if necessary). Rows include: Total DBE Award Amount, Total Proposed DBE Amount * minus non-DBE Amount, Non-DBE Amount, Proposed % DBE Participation, Contract DBE Goal.

* Total Proposed DBE Amount must include the original and any additional amount applied to the Contract or Task Order.

Subconsultant Certification:

I certify that:

- 1. My firm has made an arrangement/agreement with the above named Consultant to do work listed above for the proposed contract.
2. My firm agrees to the proposed DBE commitment above and agrees to perform the services in accordance with the DBE provisions of the contract.
3. My firm will complete 100% of the work listed above or intends to subcontract ___% of the work to another DBE firm and/or ___% to another non-DBE firm. Name of DBE or non-DBE firm: _____

Note: If percentage of work subcontracted out is greater than 70% of the DBE's work amount, the DBE is deemed not performing a commercially useful function (CUF) and the DBE's participation is NOT counted. Zeros should be entered if not subcontracting to another firm.

- 4. The use of my DBE firm for the items of work listed above is a condition of the Consultant being awarded this contract.
5. My firm will attend any pre-negotiation partnering conferences or other required meetings related to this contract.
6. If I subcontract any work to a non-certified DBE firm, I must inform the Consultant because the work will NOT count toward the DBE goal and it will LOWER my DBE participation.
7. I understand that failure to comply with the information shown on this form will be considered grounds for contract sanctions and other remedies deemed appropriate by ADOT.
8. I declare under penalty of perjury in the second degree, and any other applicable state or federal laws that the statements made on this document are true and complete to the best of my knowledge.

Subconsultant Name _____

Date _____

Officer Signature _____

Title _____



BUSINESS ENGAGEMENT & COMPLIANCE OFFICE
Disadvantaged Business Enterprises (DBE)
DBE Intended Participation Affidavit - Subconsultant

Table with 4 columns and 6 rows for Consultant, DBE Subconsultant, *DBE Tier-Subconsultant, Contract No., and Contract Description.

*Tier-Subconsultant refers to any subconsultant that is contracted to another subconsultant at any level.

Directions:

- 1. This Affidavit must be completed by ALL DBE Subconsultant(s) and DBE Tier-Subconsultant(s) and signed by an officer or principal of the Subconsultant(s) DBE firm and submitted to the Consultant.
2. A separate Affidavit must be submitted for EACH proposed Subconsultant DBE firm.
3. List all full and partial services to be provided by the above named DBE Subconsultant(s).
4. All partial services provided must be fully explained. If not, the DBE will be considered to be responsible for the entire services to be performed. Attach additional sheets as necessary.
5. All DBE Subconsultant Affidavits must be submitted with the Cost Proposal.

Table with 4 columns for services and amounts. Includes header: List All Full and Partial Services to be Provided by the Above Named DBE Subconsultant or DBE Tier-Subconsultant. Rows include Total DBE Award Amount, Non-DBE Amount, Total Proposed DBE Amount, Proposed % DBE Participation, and Contract DBE Goal.

* Total Proposed DBE Amount must include the original and any additional amount applied to the Contract or Task Order.

Subconsultant Certification:

I certify that:

- 1. My firm has made an arrangement/agreement with the above named Consultant to do work listed above for the proposed contract.
2. My firm agrees to the proposed DBE commitment above and agrees to perform the services in accordance with the DBE provisions of the contract.
3. My firm will complete 100% of the work listed above or intends to subcontract ___% of the work to another DBE firm and/or ___% to another non-DBE firm. Name of DBE or non-DBE firm: _____

Note: If percentage of work subcontracted out is greater than 70% of the DBE's work amount, the DBE is deemed not performing a commercially useful function (CUF) and the DBE's participation is NOT counted toward the DBE goal.

- 4. The use of my DBE firm for the items of work listed above is a
5. My firm will attend any pre-negotiation partnering conferences
6. If I subcontract any work to a non-certified DBE firm, I must in it will LOWER my DBE participation.
7. I understand that failure to comply with the information shown on this form will be considered grounds for contract sanctions and other remedies deemed appropriate by ADOT.
8. I declare under penalty of perjury in the second degree, and any other applicable state or federal laws that the statements made on this document are true and complete to the best of my knowledge.

A DBE firm must complete at least 30% of their awarded amount in order to be considered performing a "commercially useful function." DEF Consultants plan to complete 55% of their own award.

Subconsultant Name _____ Date _____
Officer Signature _____ Title _____



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*Tier-Subconsultant refers to any subconsultant that is contracted to another subconsultant at any level.

Directions:

- 1. This Affidavit must be completed by ALL DBE Subconsultant(s) and DBE Tier-Subconsultant(s) and signed by an officer or principal of the Subconsultant(s) DBE firm and submitted to the Consultant.
2. A separate Affidavit must be submitted for EACH proposed Subconsultant DBE firm.
3. List all full and partial services to be provided by the above named DBE Subconsultant(s).
4. All partial services provided must be fully explained. If not, the DBE will be considered to be responsible for the entire services to be performed. Attach additional sheets as necessary.
5. All DBE Subconsultant Affidavits must be submitted with the Cost Proposal.

Table with header: List All Full and Partial Services to be Provided by the Above Named DBE Subconsultant or DBE Tier-Subconsultant (Partial services must be fully explained. Use additional sheets if necessary). Rows include: Total DBE Award Amount, Non-DBE Amount, Total Proposed DBE Amount * minus non-DBE Amount, Proposed % DBE Participation, Contract DBE Goal.

* Total Proposed DBE Amount must include the original and any additional amount applied to the Contract or Task Order.

Subconsultant Certification:

I certify that:

Non-DBE firms can receive credit from DBE direct expense vendors. Be sure to add them in the AZ UTRACS DBE Payment Monitoring System.

- 1. My firm has work listed above for the proposed contract.
2. My firm agrees to the proposed DBE commitment above and agrees to perform the services in accordance with the DBE provisions of the contract.
3. My firm will complete 100% of the work listed above or intends to subcontract ___% of the work to another DBE firm and/or ___% to another non-DBE firm. Name of DBE or non-DBE firm: _____

Note: If percentage of work subcontracted out is greater than 70% of the DBE's work amount, the DBE is deemed not performing a commercially useful function (CUF) and the DBE's participation is NOT counted toward the DBE goal.

- 4. The use of my DBE firm for the items of work listed above is a condition of the Consultant being awarded this contract.
5. My firm will attend any pre-negotiation partnering conferences or other required meetings related to this contract.
6. If I subcontract any work to a non-certified DBE firm, I must inform the Consultant because the work will NOT count toward the DBE goal and it will LOWER my DBE participation.
7. I understand that failure to comply with the information shown on this form will be considered grounds for contract sanctions and other remedies deemed appropriate by ADOT.
8. I declare under penalty of perjury in the second degree, and any other applicable state or federal laws that the statements made on this document are true and complete to the best of my knowledge.

Subconsultant Name _____ Date _____
Officer Signature _____ Title _____