

ARIZONA DEPARTMENT OF TRANSPORTATION
PROFESSIONAL SERVICES
DISADVANTAGED BUSINESS ENTERPRISE (DBE)
Intended Participation Affidavit Individual
Instructions on Page 3

Clear Form

Prime Consultant:

Project Name:

Contract No.:

TRACS No.:

Mod No.:

Task No.:

DBE Firm Name:

AZ UTRACS Registration No.:

Type of Firm:

☐ Consultant
 ☐ Subconsultant
 ☐ Lower-tier Subconsultant
 ☐ Vendor
 ☐ Broker (Fees/Commission)

1. The undersigned is prepared to perform the following scope(s) of work on the above referenced project.

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

A	B	C	D	E
NAICS Code	Work Description	Total Contract/ Task Amount	Adjustments	Total
Total DBE Credit Amount:				

2. **(Broker Only)** The undersigned affirms the amount of fees and commissions for work quoted above under "Total" are as instructed on page 3 to determine DBE Credit Amount.

3. The undersigned will **sublet** and/or award _____ of work bid to a **non-DBE firm**.

Firm Name(s):

4. The undersigned will **sublet** and/or award _____ of work bid to a **certified DBE firm**.

Firm Name(s):

(Must provide a signed DBE INTENDED PARTICIPATION AFFIDAVIT form for each DBE identified above)

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Confirmation of Participation:

By signature below, the undersigned agrees to enter into a formal agreement/subcontract for the work cited herein should this contract/task be awarded.

I, _____ confirm that _____
(Authorized DBE firm officer, print name and title) (Name of DBE firm)
will be participating in the above project.

The DBE firm will be performing the scope as describe above for a DBE credit of _____
(Total DBE Credit Amount)

(Authorized DBE firm officer, Signature)

(Date)

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INSTRUCTIONS

1. Do not submit **Instructions** page.
2. Form is completed by DBE firms that are Consultants, Subconsultants, Lower-Tier Subconsultants, Direct Expense Vendors, and Brokers.
3. The form must be signed by an authorized officer or principal of the DBE firm and submitted to the consultant.
4. The form must be submitted **with the initial cost proposal**.
5. The DBE firm must be certified and licensed within the work category to be performed.
6. The form must be filled out **entirely**. Leave no blank spaces, use "0" or enter N/A if section does not apply.
7. NAICS Code: Enter up to three NAICS codes applicable to the description/scope of work (attach copy of quote(s) as necessary).
8. A separate form must be submitted for each proposed DBE firm to be counted towards the DBE Goal.
9. All partial items must be explained. If not, the DBE will be considered to be responsible for the entire item.

Definitions/Instructions:

1. Professional Service Contracts or Task Order/Assignments

Contract/TRACS No.: Number identifier for contracts, projects, solicitations, and purchase orders

Mod No.: Contract modification number (use if applicable)

Task No.: Number identifier for any tasks assigned under an on-call contract (use if applicable); may also include a revision number identifier

DBE Firm Name: Title of DBE firm

Type of Firm: Must Select One: is DBE firm a consultant, subconsultant, lower-tier subconsultant, vendor or broker (broker receives DBE credit for fees or commission)

Instructions to complete columns A-E

- A. NAICS Code: Identify the North American Industry Classification System code that the firm is certified as a DBE to perform the work; must coincide with the work being proposed on the affidavit. (Refer to AZUTRACS at <https://utracs.azdot.gov/> & NAICS at <https://www.naics.com/>)
- B. Work Description: Identify work to be performed
- C. Total Contract/Task Amount: Total dollar value of work assigned to the DBE firm; if a task order revision, be sure to include original amount and all previous revised amounts
- D. Adjustments: Any deductions from DBE's total contract amount due to subletting of work to non-DBE firms or due to DBE credit being less than 100% for brokers or suppliers
- E. Total/Total DBE Credit Amount: Total contract amount less any deductions due to subletting of work to non-DBE firms or due to DBE credit being less than 100%

2. Brokerage:

- Identify total dollar value of brokered work
- Identify the fees or commission value that pertain to the total brokerage amount
- DBE Credit Amount would be entered in page 1 in the top section of the form in block #1 under Total
 - Total Contract Amount: \$ multiplied by % fee = DBE Credit Amount: \$
(Example: \$100,000 total contract x 10% fee = \$10,000 DBE Credit Amount)

3. Identify the total dollar amount to be subcontracted to a non-DBE firm

4. Identify the total dollar amount and firm name if subletting to another DBE firm; and provide a signed DBE INTENDED PARTICIPATION AFFIDAVIT INDIVIDUAL form for each DBE firm

DBE Program Plan, DBE Forms and resources:

DBE Contract Compliance - Contract Specs and Forms for Professional Services Contracts at <https://azdot.gov/business/business-engagement-and-compliance/dbe-contract-compliance/contract-specs-and-forms>

Guides and Policies - DBE Contract Compliance at <https://azdot.gov/business/business-engagement-and-compliance/dbecontract-compliance/guides-and-policies-dbe-contract>