

LAFAYETTE REGIONAL AIRPORT (LAC)
DBE FORM 1 - CONTRACT PARTICIPATION AND DISADVANTAGED BUSINESS ENTERPRISE (DBE) COMMITMENT

INSTRUCTIONS

Column A. Indicate the firm's role: prime, sub-tier 2 (first-level sub), sub-tier 3 (sub of a sub), manufacturer, regular dealer/supplier, or broker/agent. Please note that only 60% of the value of regular dealer/supplier commissions and fees can be counted toward Disadvantaged Business Enterprise (DBE) participation. All firms participating (DBE and non-DBE, prime and subs) must be included on the form.

Column B. Provide the name and address of the firm.

Column C. Provide the principal contact person and phone number of the firm.

Column D. Describe the work, goods, and/or services to be provided by the firm.

Column E. Indicate the dollar amount of total bid (including all alternatives) assigned to the firm. Enter N/A for qualification statements (RFQ).

Column F. Indicate the percent value of the bid amount of work assigned to the firm. *Total percent value of work should equal 100% to account for all work being performed on the contract.*

Column G. Indicate whether firm is a DBE or non-DBE. DBE-certified means federally certified by a member of the Louisiana Unified Certification Program (www.LAUCP.org). An ACDBE designation recognizes the firm as an airport concessionaire.

DBE FORM 1 - CONTRACT PARTICIPATION AND DBE COMMITMENT**Continuation Page****(TWO APPARENT LOW BIDDERS MUST SUBMIT WITHIN 3 BUSINESS DAYS OF BID OR PROPOSAL DATE AND TIME)**

Project Title: _____

Project No.: _____

Project Type (Specify DBE or ACDBE): _____

DBE Contract Goal: _____%

A	B	C	D	F	G
FIRM ROLE <i>(Prime, sub-tier 2, sub-tier 3 manufacturer, supplier, etc.)</i>	FIRM NAME AND ADDRESS	PRINCIPAL CONTACT NAME AND PHONE NUMBER	WORK TO BE SUBCONTRACTED / GOODS / SERVICES TO BE PURCHASED	% VALUE OF WORK / PURCHASES*	DBE, ACDBE or non-DBE
				%	
				%	
				%	
				%	
				%	
				%	
				%	
				%	
				%	
				%	

TOTAL VALUE OF PARTICIPATION FROM CONTINUATION PAGES:

**Supplier / Manufacturer / Purchase / Dealer work is counted at 60% participation toward DBE goal.*

TOTAL VALUE OF PARTICIPATION:

	%	%
Enter Total Bid Amount	Total Must Equal 100%	Total DBE Participation
\$	%	%

➡ If Total DBE participation is less than the goal, refer to the Good Faith Efforts section of the instructions and attach a Schedule C and all other necessary documentation. Firms must be DBE certified with an authorized agent of the LAUCP to count participation towards the goal.

The undersigned prime firm will enter into a formal written agreement with the subcontractors / consultants / vendors identified herein for work and/or goods and services as shown in this schedule, conditioned upon the execution of a contract with the LAC. The undersigned agrees to be contractually bound to maintain the level of DBE participation set forth above. Failure to comply with this agreement constitutes breach of contract.

Signature: _____

Date: _____

Printed Name: _____

Title: _____

DBE FORM 2 - DBE PARTICIPATION QUESTIONNAIRE

INSTRUCTIONS: Unless otherwise instructed by the Bidding Documents, within three (3) days of the bid opening, the two (2) apparent lowest Bidders shall submit a fully completed Required Participation Questionnaire for the prime firm, each subconsultant, subcontractor, and any other tier subconsultant or subcontractor, as a condition of responsiveness. This information is to be collected and documented for all federally funded projects as required by the Department of Transportation 49 CFR Part 26. All items requested on the form are required, if an item is not applicable, respondents shall enter N/A. Each prime firm participating as a joint venture should complete a separate form and indicate (Item 9) that the response is a joint venture.

1. Project name, project number and date of submittal:	2. Official name of firm: Indicate if prime or subcontractor:	3. Address of office to perform work:								
4. Name of parent company, if any:	5. Location of headquarters (city):	6. Age of firm:								
7. Name, title, and telephone number of principal contact:	8. Indicate Special Status: <div style="display: flex; justify-content: space-between;"> <div> <input type="checkbox"/> Small business <input type="checkbox"/> Minority-owned business <input type="checkbox"/> Woman-owned business </div> <div> <input type="checkbox"/> SBA certified <input type="checkbox"/> LAUCP DBE certified* <input type="checkbox"/> SBE certified* </div> </div> <p>*A firm participating as a DBE or SBE must be certified by the Louisiana Unified Certification Program (LAUCP) by the date of submittal. Current letter of certification shall be attached.</p>									
9. Is this submittal a joint venture (JV)? <input type="checkbox"/> Yes <input type="checkbox"/> No	10. Summary of firm's annual revenues, insert index number: <div style="display: flex; justify-content: space-around;"> <u>Last Year</u> <u>2 Years ago</u> <u>3 Years ago</u> </div>									
If so, has the JV worked together before? <input type="checkbox"/> Yes <input type="checkbox"/> No	<table style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="text-align: left; border-bottom: 1px solid black;">Index</th> <th style="text-align: left; border-bottom: 1px solid black;">Ranges of annual revenues received:</th> </tr> </thead> <tbody> <tr> <td>1 less than \$500,000</td> <td>4 \$2,000,000 to \$4,000,000</td> </tr> <tr> <td>2 \$500,000- \$1,000,000</td> <td>5 \$5,000,000 to \$6,000,000</td> </tr> <tr> <td>3 \$1,000,000 to \$2,000,000</td> <td>6 \$6,000,000 or greater</td> </tr> </tbody> </table>		Index	Ranges of annual revenues received:	1 less than \$500,000	4 \$2,000,000 to \$4,000,000	2 \$500,000- \$1,000,000	5 \$5,000,000 to \$6,000,000	3 \$1,000,000 to \$2,000,000	6 \$6,000,000 or greater
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3 \$1,000,000 to \$2,000,000	6 \$6,000,000 or greater									

AFFIRMATIONS:

- ☐ I have reviewed the attached DBE Form1 Schedule of Contract Participation and DBE Commitment and confirm that the scope and price described was fairly negotiated. I further affirm that my firm is ready, willing, and able to perform the work as described and according to the requirements of the bid specifications.
- ☐ I do solemnly declare and affirm under the penalties of perjury that the contents of this document are true and correct, and that I am authorized on behalf of this firm to make this affidavit.

Signature: _____ Date: _____

Printed Name: _____ Title: _____

DBE FORM 3 – DOCUMENTATION OF GOOD FAITH EFFORTS

If the Respondent or Proposer cannot fully meet the DBE goal of this Contract, the Respondent or Proposer shall complete Schedule DBE Form 4 **and attach documentation demonstrating the Respondent's or Proposer's good faith efforts**. LAC has the authority to make a fair and reasonable judgment whether a Respondent or Proposer that did not meet the contract goal made adequate good faith efforts. Respondents are required to demonstrate Good Faith Efforts with additional documentation as applicable including call logs, posted advertisements, attendance to pre-bid/submittal meetings, and records of negotiation. CFR 49 Part 26, Appendix A, Part IV is quoted below:

IV. The following is a list of types of actions which you should consider as part of the bidder's good faith efforts to obtain DBE participation. It 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.

A. (1) Conducting market research to identify small business contractors and suppliers and soliciting through all reasonable and available means the interest of all certified DBEs that have the capability to perform the work of the contract. This may include attendance at pre-bid and business matchmaking meetings and events, advertising and/or written notices, posting of Notices of Sources Sought and/or Requests for Proposals, written notices or emails to all DBEs listed in the State's directory of transportation firms that specialize in the areas of work desired (as noted in the DBE directory) and which are located in the area or surrounding areas of the project.

(2) The bidder should solicit this interest as early in the acquisition process as practicable to allow the DBEs to respond to the solicitation and submit a timely offer for the subcontract. The bidder should determine with certainty if the DBEs are interested by taking appropriate steps to follow up initial solicitations.

B. Selecting portions of the work to be performed by DBEs in order to increase the likelihood that the DBE goals will be achieved. This includes, where appropriate, breaking out contract work items into economically feasible units (for example, smaller tasks or quantities) to facilitate DBE participation, even when the prime contractor might otherwise prefer to perform these work items with its own forces. This may include, where possible, establishing flexible timeframes for performance and delivery schedules in a manner that encourages and facilitates DBE participation.

C. Providing interested DBEs with adequate information about the plans, specifications, and requirements of the contract in a timely manner to assist them in responding to a solicitation with their offer for the subcontract.

D. (1) Negotiating in good faith with interested DBEs. It is the bidder's responsibility to make a portion of the work available to DBE subcontractors and suppliers and to select those portions of the work or material needs consistent with the available DBE subcontractors and suppliers, so as to facilitate DBE participation. Evidence of such negotiation includes the names, addresses, and telephone numbers of DBEs that were considered; a description of the information provided regarding the plans and specifications for the work selected for subcontracting; and evidence as to why additional Agreements could not be reached for DBEs to perform the work.

(2) A bidder using good business judgment would consider a number of factors in negotiating with subcontractors, including DBE subcontractors, and would take a firm's price and capabilities as well as contract goals into consideration. However, the fact that there may be some additional costs involved in finding and using DBEs is not in itself sufficient reason for a bidder's failure to meet the contract DBE goal, as long as such costs are reasonable. Also, the ability or desire of a prime contractor to perform the work of a contract with its own organization does not relieve the bidder of the responsibility to make good faith efforts. Prime contractors are not, however, required to accept higher quotes from DBEs if the price difference is excessive or unreasonable.

E. (1) Not rejecting DBEs as being unqualified without sound reasons based on a thorough investigation of their capabilities. The contractor's standing within its industry, membership in specific groups, organizations, or associations and political or social affiliations (for example union vs. non-union status) are not legitimate causes for the rejection or non-solicitation of bids in the contractor's efforts to meet the project goal. Another practice considered an insufficient good faith effort is the rejection of the DBE because its quotation for the work was not the lowest received. However, nothing in this paragraph shall be construed to require the bidder or prime contractor to accept unreasonable quotes in order to satisfy contract goals.

(2) A prime contractor's inability to find a replacement DBE at the original price is not alone sufficient to support a finding that good faith efforts have been made to replace the original DBE. The fact that the contractor has the ability and/or desire to perform the contract work with its own forces does not relieve the contractor of the obligation to make good faith efforts to find a replacement DBE, and it is not a sound basis for rejecting a prospective replacement DBE's reasonable quote.

F. Making efforts to assist interested DBEs in obtaining bonding, lines of credit, or insurance as required by the recipient or contractor.

G. Making efforts to assist interested DBEs in obtaining necessary equipment, supplies, materials, or related assistance or services.

H. Effectively using the services of available minority/women community organizations; minority/women contractors' groups; local, State, and Federal minority/women business assistance offices; and other organizations as allowed on a case-by-case basis to provide assistance in the recruitment and placement of DBEs.

LAFAYETTE AIRPORT COMMISSION

DBE FORM 3 - DOCUMENTATION OF GOOD FAITH EFFORTS

If you have not attained the amount of DBE participation to meet the contract goal you are required to complete and submit DBE Compliance Form-2 along with all required supporting GFE documentation. Please reference the GFE Policy for further guidance. The GFE Policy is available via

BIDDERS: *This completed form along with all required supporting documentation must be furnished by the two (2) apparent lowest bidders within three (3) days of the bid opening. Should the bidder fail to comply with this request, the bid shall be considered non-responsive.*

RESPONDENTS: *This completed form must be furnished with your proposal.*

RFP/RFQ/Bid/Solicitation/Other #: _____ Bid/Proposal Amount \$ _____ Date: ____/____/____

Description: _____

Name of Bidder/Respondent: _____ has satisfied the requirements of the bid/proposal specifications for the above referenced BID/RFP/RFQ or solicitation by the Lafayette Airport Commission in the following manner: *(Please check the appropriate space)*

- ☐ The Bidder/Respondent is unable to meet the DBE contract goal and has completed and submitted DBE Compliance Form-2 along with all required supporting GFE documentation.
- ☐ The Bidder/Respondent is unable to meet the DBE contract goal, however is committed to a minimum of _____% DBE utilization on this contract and has completed and submitted DBE Compliance Form-2 along with all required supporting GFE documentation.

I HEREBY CERTIFY THAT THE INFORMATION CONTAINED HEREIN IS TRUE AND CORRECT.

PRINT NAME: _____ SIGNATURE: _____, TITLE: _____

Instructions: Please complete sections A through D and include all specific supporting documentation as outlined below. **All sections of this form MUST be completed or your response will be deemed non-responsive. If you feel that any section of this form is not applicable, do not respond/write not applicable or NA. You must provide a written statement as to why section is not applicable to your response. Attach additional pages if necessary.**

- ☐ SPECIFIC PORTIONS OF WORK IDENTIFIED FOR DBE SUBCONTRACTOR: Complete section A.
- ☐ NOTIFYING CERTIFIED DBES OF CONTRACTING OPPORTUNITIES: Please attach a copy of the announcement and written notices distributed to DBE(s). Example: Newspaper, email, mail correspondence, and community outreach notices, etc.
- ☐ INITIAL SOLICITATION & FOLLOW-UP OF INITIAL SOLICITATION: Bidders/Respondents may only solicit from the State and Local Disadvantaged Business Enterprise (SLDBE) or Louisiana Unified Certification Program (LAUCP) directories located on the City's website.
 - A. **SPECIFIC PORTIONS OF WORK IDENTIFIED FOR DBE SUBCONTRACTOR:** You MUST list all selected scopes or portions of work to be performed by DBE(s) in order to increase the likelihood of meeting the contract goal for this project and the estimated value of each scope or portions of work identified. Use additional pages if warranted.

LAFAYETTE AIRPORT COMMISSION

DBE FORM 3 - DOCUMENTATION OF GOOD FAITH EFFORTS

Scope or Portions of Work Identified for DBE Participation		Estimated Value	% of Contract Value
1.		\$	
2.		\$	
3.		\$	
4.		\$	
5.		\$	
6.		\$	
7.		\$	
8.		\$	
9.		\$	
10.		\$	
11.		\$	
12.		\$	
13.		\$	
14.		\$	
15.		\$	
16.		\$	
17.		\$	
18.		\$	
19.		\$	
20.		\$	
TOTAL		\$	

B. NOTIFYING CERTIFIED DBEs OF CONTRACTING OPPORTUNITIES: Please complete all fields below, list all sources of advertisement and outreach to DBE subs.

I. Did you attend all pre-bid and/or outreach meetings scheduled by the LAC to inform DBEs of subcontracting opportunities?

YES	NO	Date of Meeting

LAFAYETTE AIRPORT COMMISSION

DBE FORM 3 - DOCUMENTATION OF GOOD FAITH EFFORTS

- II. **ADVERTISING SUBCONTRACTING OPPORTUNITIES:** You MUST identify publications in which announcements or notifications were placed and published. Include a copy of each announcement or notification.

Source of Advertising/Outreach	What subcontracting areas of work were advertised?	Date of Ad	Due Date & Time for Sub Bids		OSD VERIFICATION
			Date	Time	
1.					
2.					
3.					
4.					

- C. **INITIAL SOLICITATION & FOLLOW-UP:** You MUST complete all fields below, list all certified DBE firms that received telephone or e-mail notification of work items to be subcontracted. If no response was received to the initial solicitation, you must indicate when firms received subsequent telephone or email solicitations (list delivery date, or read receipt date, and certified firm's response). You must include copies of the physical and/or electronic notice(s) sent to certified firms. Use additional pages as warranted.

DBE FIRM & CONTACT	PHONE	Scope of Work Solicited	Date of Written Notification	Result of Initial Communication	Date of Follow-up and Method of Contact (Phone, Fax, Email)		Result of Follow-up Communication
<i>Ex. ABC Company /Jane Smith</i>	<i>(504) 123-4567</i>	<i>Legal services</i>	<i>01/01/14</i>	<i>Will submit a quote</i>	<i>01/10/14</i>	<i>email</i>	<i>Quote received</i>
1.							
2.							
3.							
4.							
5.							
6.							
7.							
8.							
9.							
10.							
11.							
12.							
13.							
14.							

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DBE FORM 3 - DOCUMENTATION OF GOOD FAITH EFFORTS

DBE FIRM & CONTACT	PHONE	Scope of Work Solicited	Date of Written Notification	Result of Initial Communication	Date of Follow-up and Method of Contact (Phone, Fax, Email)		Result of Follow-up Communication
<i>Ex. ABC Company /Jane Smith</i>	<i>(504) 123-4567</i>	<i>Legal services</i>	<i>01/01/14</i>	<i>Will submit a quote</i>	<i>01/10/14</i>	<i>email</i>	<i>Quote received</i>
15.							
16.							
17.							
18.							
19.							
20.							
21.							
22.							
23.							
24.							
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30.							
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32.							
33.							
34.							
35.							
36.							
37.							
38.							
39.							
40.							

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DBE FORM 3 - DOCUMENTATION OF GOOD FAITH EFFORTS

D. NEGOTIATE IN GOOD FAITH: You MUST provide an explanation for any rejected DBE bid or price quotation, unless another DBE is accepted for the same work.

I. Where price competitiveness is not the reason for rejection, you must complete all fields below and provide a copy of the written rejection notice to the rejected DBE firm. A meeting may be held with the rejected DBEs, if requested to discuss the rejection. Use additional sheets as warranted. You must attach a copy of the notice.

[illegible]

LAFAYETTE AIRPORT COMMISSION

DBE FORM 3 - DOCUMENTATION OF GOOD FAITH EFFORTS

III. Where price competitiveness is the reason for rejection, you **MUST** complete all fields below and attach copies of all DBE and non DBE bid quotes on additional pages as warranted.

[illegible]

IV. **NEGOTIATE IN GOOD FAITH:** You MUST provide a copy of all correspondence documenting negotiation efforts including copies of DBE and non-DBE quotes and copies of written rejection notices.

LAFAYETTE AIRPORT COMMISSION

DBE FORM 3 - DOCUMENTATION OF GOOD FAITH EFFORTS

V. **OTHER:** Please provide narrative details of any other efforts your firm conducted to attain the DBE goal. Use additional pages as warranted

Lafayette Airport Commission DBE Forms

DBE FORM 4 – GOOD FAITH EFFORTS EVALUATION			
YES	NO	EVIDENCE OF GOOD FAITH	REMARKS
		IDENTIFIED SCOPES OF WORK: The bidder/offeror selected specific portions of work to be performed by DBEs in order to increase the likelihood of meeting the DBE goals.	
		PRE-BID AND OUTREACH MEETINGS: The bidder/offeror attended all pre-bid and outreach meetings scheduled by the City of New Orleans to inform DBEs of subcontracting opportunities.	
		OSD OPPORTUNITIES PAGE: The bidder/offeror advertised DBE subcontracting opportunities on the City of New Orleans Office of Supplier Diversity Opportunities Page.	
		ADVERTISEMENT: The bidder/offeror provided documentation that DBE subcontracting opportunities were advertised in general circulation and/or trade association publications.	
		INITIAL SOLICITATION: The bidder/offeror provided a listing of DBE firms that were contacted in writing or by telephone or e-mail and the scope of work solicited from each DBE firm.	
		SLDBE/DBE LISTS: The DBE firms listed by the bidder/offeror includes firms certified in the SLDBE and LAUCP databases and represents a, adequate number of firms certified in the specific scope of work solicited.	
		FOLLOW-UP: The bidder/offeror provided details of follow-up activity with DBE firms including the date and method of contact and the outcome of the follow-up attempt.	
		VERIFICATION OF DBE CONTACT: Physical documentation (i.e. copies of e-mails) and OSD contact with DBE firms support claims by the bidder/offeror regarding DBE responsiveness	

Lafayette Airport Commission DBE Forms

DBE FORM 4 – GOOD FAITH EFFORTS EVALUATION			
YES	NO	EVIDENCE OF GOOD FAITH	REMARKS
		REASON FOR REJECTION – NON PRICE COMPETITIVENESS: The bidder/offeror provided a listing of all DBE quotes that were rejected for reasons other than price competitiveness and provided the reason the bid was rejected.	
		DOCUMENTATION OF REJECTION NOTIFICATION - NON PRICE COMPETITIVENESS: The bidder/offeror provided copies of rejection notices sent to DBE firms stating the reason a quote was rejected.	
		REASON FOR REJECTION – PRICE COMPETITIVENESS; The bidder/offeror provided a listing of all DBE quotes that were rejected for on the basis of price competitiveness and provided details of the quote that was selected including the name and cost proposal of the selected non-DBE subcontractor.	
		DOCUMENTATION OF REJECTION NOTIFICATION - PRICE COMPETITIVENESS: The bidder/offeror provided copies of rejection notices sent to DBE firms that were rejected for price competitiveness.	
		COST REASONABLENESS: The bidder/offeror demonstrated that quotes from DBE firms that were rejected in lieu of a lower bid firm a non-DBE firm could not be considered as “reasonable”.	
		OTHER: Any other efforts or activities toward Good Faith Efforts provided by the bidder/offeror. (Describe)	
DBELO ANALYSIS:			

DBE FORM 5 – SITE REVIEW DOCUMENTATION																				
<p>Per 49 CFR Part 26 a DBE performs a Commercially Useful Function (CUF) when it is responsible for execution of the work specified in the contract and is carrying out its responsibilities by actually performing, supervising and managing the scope of work involved. A DBE does not perform a CUF if its role is limited to that of an extra participant in a transaction, contract, or project through which funds are passed in order to obtain the appearance of DBE participation...”</p> <p>This form is to be utilized for the purposes of weekly site reviews for compliance with the CUF requirements for credit.</p>																				
<p>Project Name:</p> <p>Prime Contractor:</p>	<p>Reviewer:</p> <p>Date:</p>																			
<p>DBE Firm:</p>																				
<p>PERFORMANCE</p> <p>Does the DBE have employees on the site/job to perform the work?</p> <p>Do the tasks being performed on site align with the scope of the project?</p> <p>Does the DBE firm have a supervisor or project manager on site supervising the work?</p> <p>Is the DBE working without supervision from the prime or another subcontractor?</p> <p>Are there uniforms, safety equipment, and vehicles etc. that display the DBE firm’s name?</p> <p>Does the DBE firm appear to be performing a commercially useful function?</p>		<table border="1"> <thead> <tr> <th>YES</th> <th>NO</th> </tr> </thead> <tbody> <tr> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> </tr> <tr> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> </tr> <tr> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> </tr> <tr> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> </tr> <tr> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> </tr> <tr> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> </tr> </tbody> </table>	YES	NO	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>				
YES	NO																			
<input type="checkbox"/>	<input type="checkbox"/>																			
<input type="checkbox"/>	<input type="checkbox"/>																			
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<input type="checkbox"/>	<input type="checkbox"/>																			
<input type="checkbox"/>	<input type="checkbox"/>																			
<input type="checkbox"/>	<input type="checkbox"/>																			
<p>RED FLAGS</p> <p>Is there evidence of any Red Flags indicating that the DBE is not performing a CUF? Please check any box that applies.</p> <table border="1"> <tbody> <tr> <td>DBE’s work is being performed by the Prime.</td> <td><input type="checkbox"/></td> </tr> <tr> <td>DBE’s work is being performed jointly with another contractor.</td> <td><input type="checkbox"/></td> </tr> <tr> <td>Equipment signs and markings cover another contractor’s name.</td> <td><input type="checkbox"/></td> </tr> <tr> <td>Equipment has another contractor’s name on it.</td> <td><input type="checkbox"/></td> </tr> <tr> <td>DBE’s workers are being supervised by the Prime</td> <td><input type="checkbox"/></td> </tr> <tr> <td>Materials come from Prime Contractor’s stockpile.</td> <td><input type="checkbox"/></td> </tr> <tr> <td>Materials for DBE work are delivered to the Prime.</td> <td><input type="checkbox"/></td> </tr> <tr> <td>Other (Specify)</td> <td><input type="checkbox"/></td> </tr> <tr> <td>_____</td> <td></td> </tr> </tbody> </table>			DBE’s work is being performed by the Prime.	<input type="checkbox"/>	DBE’s work is being performed jointly with another contractor.	<input type="checkbox"/>	Equipment signs and markings cover another contractor’s name.	<input type="checkbox"/>	Equipment has another contractor’s name on it.	<input type="checkbox"/>	DBE’s workers are being supervised by the Prime	<input type="checkbox"/>	Materials come from Prime Contractor’s stockpile.	<input type="checkbox"/>	Materials for DBE work are delivered to the Prime.	<input type="checkbox"/>	Other (Specify)	<input type="checkbox"/>	_____	
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Materials come from Prime Contractor’s stockpile.	<input type="checkbox"/>																			
Materials for DBE work are delivered to the Prime.	<input type="checkbox"/>																			
Other (Specify)	<input type="checkbox"/>																			

<p>COMMENTS</p>																				

Lafayette Airport Commission DBE Forms

DBE FORM 6 - COMMERCIALLY USEFUL FUNCTION AUDIT				
<p>This form is to be utilized for the purposes of auditing DBE compliance with the CUF requirements for credit. The audit includes a review of weekly Site Review documentation, as well as review of subcontracts, purchase orders, invoices, certified payroll and/or other supporting documentation deemed relevant to the DBEs subcontract and scope of work. The Commercially Useful Function Audit is conducted after the DBE firm has submitted an invoice and received payment on the project.</p>				
Project Name: Prime Contractor:		Reviewer: Date:		
DBE Firm:	DBE Contact on Site (Name & Title)			
DBE Performing as: Prime Contractor <input type="checkbox"/> First Tier Subcontractor <input type="checkbox"/> Lower Tier Subcontractor <input type="checkbox"/> Material Supplier <input type="checkbox"/> Manufacturer <input type="checkbox"/> Regular Dealer <input type="checkbox"/> Broker <input type="checkbox"/> Trucking/Hauling <input type="checkbox"/>				
PERFORMANCE Does the DBE have employees on the site/job to perform the work? <input type="checkbox"/> Do the employees of the DBE firm work only for the DBE? <input type="checkbox"/> Does the DBE firm have a supervisor or project manager on site supervising the work? <input type="checkbox"/> Is the manager or supervisor a full-time employee of the firm? <input type="checkbox"/> Is the owner of the DBE firm on site? <input type="checkbox"/> Is the DBE working without supervision from the prime or another subcontractor? <input type="checkbox"/> Are there uniforms, safety equipment, and vehicles etc. that display the DBE's name? <input type="checkbox"/> Is the DBE only using equipment that it owns or leases? <input type="checkbox"/> For hauling firms, does a review of the hand tickets indicate that the DBE is performing? <input type="checkbox"/> For materials does the DBE name appear on haul tickets or bills of lading? <input type="checkbox"/>			YES 	NO
ALIGNMENT OF TASKS WITH SCOPE Do the tasks observed on site appear in the contract scope? YES <input type="checkbox"/> NO <input type="checkbox"/> If No, provide an explanation.		DBE SUBCONTRACTING Did the DBE subcontract any portion of their scope of work? YES <input type="checkbox"/> NO <input type="checkbox"/> If Yes, what percent was subcontracted? _____ Name of the subcontractor: _____ Is the Subcontractor a DBE? YES <input type="checkbox"/> NO <input type="checkbox"/>		
Does the DBE appear to have control over scheduling work activities, material deliveries or other related actions required for execution of the scope? YES <input type="checkbox"/> NO <input type="checkbox"/> If No, provide an explanation.				

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DBE FORM 6 - COMMERCIALLY USEFUL FUNCTION AUDIT		
Does the DBE appear to be performing a Commercially Useful Function? YES <input type="checkbox"/> NO <input type="checkbox"/>		
If No, provide an explanation.		
WRITTEN DOCUMENTATION REVIEWED	YES	NO
Weekly Site Review Documentation	<input type="checkbox"/>	<input type="checkbox"/>
DBE Firm's Contract with Prime, First Tier Contractor or Owner	<input type="checkbox"/>	<input type="checkbox"/>
Subcontract Agreement or Purchase Orders (If Applicable)	<input type="checkbox"/>	<input type="checkbox"/>
DBE Certified Payroll	<input type="checkbox"/>	<input type="checkbox"/>
Daily Inspection Diary	<input type="checkbox"/>	<input type="checkbox"/>
Equipment Ownership, Rental of Lease Agreements (If Applicable)	<input type="checkbox"/>	<input type="checkbox"/>
DBE Invoices to the Prime	<input type="checkbox"/>	<input type="checkbox"/>
Material Invoices, Hand Tickets and/or Bills of Lading (for materials used by the DBE)	<input type="checkbox"/>	<input type="checkbox"/>
Haul Tickets (if Applicable)	<input type="checkbox"/>	<input type="checkbox"/>
ADDITIONAL COMMENTS		

DBE FORM 6 - COMMERCIALLY USEFUL FUNCTION AUDIT

RED FLAGS FOR DETERMINATION OF DBE FRAUD

PERFORMING

DBE must be responsible for performing its own work on the project
The work of the subcontract must be performed by the DBE with its own workforce
Operation of the equipment must be subject to the full control of the DBE
The DBE keeps a regular workforce and has its own employees
The DBE is utilizing its own equipment

RED FLAGS

A portion of the DBE's work being done by the Prime Contractor or jointly with another contractor
Equipment used by DBE belongs to the Prime Contractor or another contractor with no formal lease agreement
Equipment signs and markings cover another contractor's identity
Employee working for both the Prime and the DBE
Equipment has another contractor's name on it

RECORDS/DOCUMENTS

Subcontract Agreement or Purchase Order
Equipment ownership, rental, or lease documents
Certified payrolls

SUPERVISING

DBE supervisor is a full-time employee of the DBE
Employees are being supervised by DBE supervisor
DBE is scheduling work operations

RED FLAGS

DBE's employees are being supervised by Prime Contractor or another contractor
DBE supervisor is not a full-time employee of the DBE
DBE provides little or no supervision of work

RECORDS/DOCUMENTS

Document communication with DBE owner or Superintendent
Certified Payrolls

MATERIALS (For material credit)

DBE is responsible for the delivery of the materials
DBE is ordering the material and invoices indicate that DBE is the customer
Material invoices indicate that DBE owner or Superintendent is the contact person

RED FLAGS

Materials for DBE credited work are delivered by the Prime Contractor
Materials are ordered, billed to, and/or paid by the Prime Contractor
Invoices do not indicate that DBE is the customer
Prime's employee is listed as the contact person on invoices
Materials come from Prime's stockpiles

RECORDS/DOCUMENTS

Invoices
Haul tickets or Bills of Lading
Material on Hand documentation
Joint check agreement Cancelled checks

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DBE FORM 7 - REQUEST FOR REMOVAL and/or SUBSTITUTION

(FOR USE ANYTIME AFTER BID SUBMITTAL)

Project Title: _____

General Contractor _____

Subcontractor to be substituted: _____

Is subcontractor a certified DBE? Yes _____ No _____

Proposed subcontractor: _____

Is proposed subcontractor a certified DBE? Yes _____ No _____

Scope of Work: _____

Amount of subcontract: _____

Is substitution schedule/time sensitive? Yes _____ No _____

If yes, give date: _____

Reason for substitution (State in detail, use additional sheets if necessary, and attach any supporting documentation):

Title: _____

Printed Name: _____

Date: _____

Signature: _____

Lafayette Airport Commission DBE Forms

DBE FORM 8 - CONTRACT COMPLIANCE REVIEW CHECKLIST

Project Name:

Prime Contractor/Owner Name:

Subcontractor Name (if Applicable):

Contract Value:

Type of Agreement (i.e. subcontract, Purchase Order, etc.):

DBE Contract Commitment (If Applicable):

- 1) If the subcontract is with a DBE firm, is the value of the subcontract the same as the value provided on the schedule of Contractor Participation and DBE Commitment Form 1?
Yes ☐ No ☐ Page #
- 2) Does the contract include required verbiage regarding **General Assurances** (26.13(a) provisions)?
Yes ☐ No ☐ Page #
- 3) Does the contract include required verbiage regarding **Prompt Payment Mechanism** (26.29) provisions? Yes ☐ No ☐ Page #
- 4) Does the contract include verbiage regarding **Termination for Convenience w/o Permission** (26.53(f)(3) provisions? If so, removal needed.
Yes ☐ No ☐ Page #
- 5) Does the contract include required verbiage regarding **Good Faith Efforts for Removal and Substitution** (26.53(f)(2) provisions? Yes ☐ No ☐ Page #
- 6) Does contract include verbiage regarding **Administrative Remedies** (26.53 (f)(3) provisions?
Yes ☐ No ☐ Page #
- 7) Other compliance requirements/clauses needed/missing:

NOTES:

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DBE FORM 9 - MONTHLY DBE REPORT

INSTRUCTIONS: This report covers the previous estimate period and shall be submitted to the Project Engineer with the current month's pay estimate. The Prime firm shall prepare one form for each DBE firm participating in the project. Questions should be directed to the Airport's DBE Compliance Coordinator through the assigned project manager. **One form must be submitted for each DBE firm participating in the project. Signatures from DBE firms who received payment during the reporting period are required.** No signature is required if no payments were made to the DBE firm during the reporting period. Master Concessionaires and Car Rental Agencies shall submit this form monthly by the 15th of each month following the reporting period.

Prime Firm Name		Phone Number	
Project Name			
AIP Project No.		State Project No	
Project Start Date		Est. Project Completion Date	
Original Contract Amount \$	Change Orders (count)	Current Contract Value \$	Total DBE Commitment _____ %
Invoice Number (IA)	Report Period Begin Date	Report Period End Date	

SUBCONTRACTOR/SUBCONSULTANT INFORMATION:

DBE/ACDBE Subcontractor, Sub-consultant or Vendor		
DBE Contact		DBE Phone Number
Original Subcontract Amount \$	Original Commitment to Firm _____ %	Current Subcontract Value \$
Amount Paid to Sub This Period \$	Amount Paid to Sub to Date \$	
Scheduled Date of Sub Services (or state ongoing)	Estimated Date of Completion of Sub Services	
Item Number/Description of Work Performed by Sub		

By signing below, I attest that the information provided is complete accurate, and true to the best of my knowledge.

Prime Firm's Authorized Signature: _____ Date: _____

Print name: _____ Title: _____

Subcontractors's Authorized Signature: _____ Date: _____

Print name: _____ Title: _____

Project Manager or DBELO has reviewed this form. If actual DBE item of work is different than that approved at the time of award, the Substitution Form must be completed.

Project Manager or DBELO's Signature: _____ Date: _____