

DBE PARTICIPATION CERTIFICATION FORM

California Department of Transportation's (Caltrans) policy is to ensure equal opportunity in the award and performance of its contracts. Part of this policy involves a program designed to increase the use of Disadvantage Business Enterprise (DBE) on federally funded contracts. A DBE is a for-profit small business concern that is at least 51 percent owned by one or more individuals who are both socially and economically disadvantaged. In the case of a corporation, 51 percent of the stock is owned by one or more such individuals; and, whose management and daily business operations are controlled by one or more of the socially and economically disadvantaged individuals who own it.

Caltrans receives planning, capital and/or operating assistance in Federal Transit Administration (FTA) funds. Prime contracts exceeding \$250,000 in FTA funds are required to have a DBE program. According to FTA, sub-recipients must adhere to the Caltrans DBE Program Plan (49 CFR Part 26) as it applies to local agencies. Caltrans, currently, has an overall 4% DBE Race Neutral goal. When a DBE participates in a contract, only the value of the work actually performed by the DBE is counted as DBE participation. A DBE firm is considered to have participated when the DBE firm uses its own workforce, and it carries out its responsibilities by actually performing, managing and supervising the work involved. The sub-recipient must monitor subcontractor(s) used to ensure the contractor uses the DBEs listed. In addition, on-site monitoring will be conducted by Caltrans staff to determine if DBEs on FTA funded contracts are actually performing the work for construction projects.

The undersigned certifies that the DBE's listed at the time of contract award are utilized on the contract and performing work as specified.

The Sub-recipient, _____, certifies or affirms the truthfulness and accuracy of this statement of its certification and disclosure, if any. In addition, the Contractor understands and agrees that the provisions of 31 U.S.C. A 3801, et seq., apply to this certification, if any.

The Contractor, _____, certifies or affirms the truthfulness and accuracy of this statement of its certification and disclosure, if any. In addition, the Contractor understands and agrees that the provisions of 31 U.S.C. A 3801, et seq., apply to this certification, if any.

_____ Signature of **Sub-Recipient's** DBE Liaison Officer

_____ Name and Title of Sub-Recipient's DBE Liaison Officer

_____ Date

_____ Signature of **Contractor's** Authorized Official

_____ Name and Title of Contractor's Authorized Official

_____ Date