

**CapMetro**

# **DBE Schedule C3 & Intent to Perform (Hauling)**

12.2024

# Code of Federal Regulations

## Code of Federal Regulations (CFR) Title 49, Subtitle A, Part 26

**Participation by Disadvantaged Business Enterprises in Department of  
Transportation Financial Assistance Programs**

**Funding Source – Federal Transit Administration**

**Triennial Goal – Attained through Good Faith Effort**

# Exhibit D

Exhibit D of a CapMetro Contracts/Procurements include the requirements of the forms that are addressed in this training, along with other DBE requirements.

**Please ensure to READ Exhibit D in its ENTIRETY.**

# DBE Schedule C3 & Intent to Perform (Hauling/Trucking Services)

The contractor **MUST** submit a completed **DBE Schedule C3 & Intent to Perform (Hauling/Trucking Services)** form with their bid submission when a goal has been assigned or when utilizing subcontractors for trucking/hauling services. ***The form will be completed and signed by the Contractor.***

The dollar or percentage listed in the Schedule C to the subcontractor (DBE/non-DBE) is the percentage based on the overall contract value.

**NOTE:** This percentage may fluctuate throughout the contract if the overall contract value is changed during contract modifications. Contractors **MUST** keep up with the impact this will have on meeting the committed contract DBE goal.

The DBEs selected for subcontracting **MUST** be responsible for the management and supervision of the entire operation for which it is subcontracted to perform, and there cannot be a contrived arrangement for the purpose of meeting the contract DBE goal or contract goal committed to the DBE.

**Reference Exhibit D, Section 3(h) (Credit Towards The Contract Goal), which addresses how the contractor may count towards the DBE goal when using a DBE for hauling or trucking services.**

**Disclaimer: If you are completing this as a result of an active contract or procurement, ensure that the purchaser, contract administrator, and/or project manager are copied.**

# DBE Schedule C3 & Intent to Perform (Hauling/Trucking Services)

The Schedule C3 form for hauling/trucking is used to document a DBE and non-DBE subcontractor's participation in service that are related to hauling/trucking.

The DBE must itself own and operate at least one fully licensed, insured, and operational truck used on the contract. A DBE that leases a truck must show proof or evidence that the DBE has exclusive use of and control over the truck. This does not preclude the leased truck from working for others during the term of the lease with the consent of the DBE, so long as the lease gives the DBE absolute priority for use of the leased truck. Leased trucks must display the name and identification number of the DBE.

# DBE Schedule C3 & Intent to Perform (Hauling/Trucking Services)

The following addresses how the contractor may count towards the DBE goal when using a DBE for hauling or trucking services:

1. The DBE receives credit for the total value of the transportation services it provides on the contract using trucks it owns, insures, and operates using drivers it employs.
2. The DBE may lease trucks from another DBE firm, including an owner-operator who is certified as a DBE. The DBE who leases trucks from another DBE received credit for the total value of the transportation services the lessee DBE provides on the contract.
3. The DBE may also lease trucks from a non-DBE firm, including from an owner-operator. The DBE that leases trucks equipped with drivers from a non-DBE is entitled to credit for the total value of transportation services provided by non-DBE leased trucks equipped with drivers not to exceed the value of transportation services on the contract provided by DBE-owned trucks or leased trucks with DBE employee drivers. Additional participation by non-DBE owned trucks equipped with drivers receives credit only for the fee or commission it receives as a result of the lease arrangement. If a contractor chooses this approach, the contractor must obtain written consent from the Authority.
4. The DBE may lease trucks without drivers from a non-DBE truck leasing company. If the DBE leases trucks from a non-DBE truck leasing company and uses its own employees as drivers, it is entitled to credit for the total value of these hauling services.

# DBE Schedule C3 & Intent to Perform (Hauling/Trucking Services)



SCHEDULE C.3: Disadvantaged Business Enterprise (DBE)  
Subcontractor Participation & Intent to Perform (Hauling/Trucking Services)

11/2024

**DO NOT RECREATE OR CHANGE THIS DOCUMENT**

**Instructions:** The Offeror (i.e., prime contractor) shall complete all applicable information in this form and the Good Faith Effort (GFE) Form to show its GFE towards meeting the contract goal assigned to the contract and include DBEs on a contract. This form will be completed for subcontractors used for Hauling/Trucking services. Those subcontractors which are listed on this form as DBEs must have current DBE certification by a member of the Texas Unified Certification Program at the time of execution of the contract to Offeror (see Exhibit D, Section 7). Additionally, the Intent to Perform must be completed by the Prime Contractor and DBE subcontractor(s) listed in this form.

|                                    |                |                                   |
|------------------------------------|----------------|-----------------------------------|
| Prime Contractor:                  | Contact Name:  | Ethnic/Gender Code:               |
| Project Name:                      | Title:         | A) Asian-Pacific American         |
| IFB/RFP/SOQ#:                      | Phone#:        | B) Black American                 |
| Firm's Age:                        | Email Address: | H) Hispanic American              |
| Firm's Annual Gross Receipts (\$): | Address:       | N) Native American                |
|                                    |                | SA) Subcontinental Asian American |
|                                    |                | NM) Non-Minority (Woman)          |
|                                    |                | M) Male                           |
|                                    |                | F) Female                         |



**Step 1:** Input contract information and contact information.

The Ethnic/Gender Code is available and will be used in the table below.

## Subcontractor Section (Hauling/Trucking Services)

COMPLETE THIS FORM FOR ALL HAULERS/TRUCKERS IDENTIFIED FOR THIS PROJECT. YOU MAY USE MULTIPLE FORMS.

*In accordance with 49 CFR (Code of Federal Regulations) Part 26, §26.53 & §26.55, when making good faith efforts DBE firms used for credit towards the contract goal must have a current certification status with a TUCP Certifying Agency (see Exhibit D, Section 7) at the time of execution of the contract. The DBE must be certified in the 6-digit NAICS code for the proposed scope of work to receive credit towards the DBE contract goal. CapMetro will also review the proposed DBE participation to ensure that it will perform a commercially useful function.*

## Trucking/Hauling – Complete this section if using a Trucking/Hauling Company (Use another form if needed)

| Company Name | Contact Person, Phone#, & Address | DBE or Non-DBE | 1 <sup>st</sup> , 2 <sup>nd</sup> , or 3 <sup>rd</sup> Tier Sub.. | Ethnic Code/ Gender (Leave Blank if non-DBE) | Age of Firm | Annual Gross Receipts (\$) | Description of Trucking/Hauling Services & 6-Digit NAICS Code | Estimated Rate \$ | Hauling Unit | Estimated Quantity of Materials | Total \$ Commitment | Total % Commitment |
|--------------|-----------------------------------|----------------|---|--|-------------|----------------------------|---|-------------------|--------------|---------------------------------|---------------------|--------------------|
|              |                                   |                |   |  |             |                            |   |                   |              | Hour                            |                     | 0.00%              |
|              |                                   |                |   |  |             |                            |   |                   |              | Load                            |                     |                    |
|              |                                   |                |   |  |             |                            |   |                   |              | Hour                            |                     | 0.00%              |
|              |                                   |                |   |  |             |                            |   |                   |              | Load                            |                     |                    |
|              |                                   |                |   |  |             |                            |   |                   |              | Hour                            |                     | 0.00%              |
|              |                                   |                |   |  |             |                            |   |                   |              | Load                            |                     |                    |

**NOTE:** Reference Exhibit D, Section (3) of the solicitation for information on how credit is counted when using DBEs for hauling/trucking services. Complete the DBE Trucking Unit List. Include DBE and non-DBE Trucking/Hauling firms used as 1<sup>st</sup>, 2<sup>nd</sup>, or 3<sup>rd</sup> Tier Subcontractors.

# DBE Schedule C3 & Intent to Perform (Hauling/Trucking Services)



SCHEDULE C.3: Disadvantaged Business Enterprise (DBE)  
Subcontractor Participation & Intent to Perform (Hauling/Trucking Services)

11/2024

**DO NOT RECREATE OR CHANGE THIS DOCUMENT**

**Instructions:** The Offeror (i.e., prime contractor) shall complete all applicable information in this form and the Good Faith Effort (GFE) Form to show its GFE towards meeting the contract goal assigned to the contract and include DBEs on a contract. This form will be completed for subcontractors used for **Hauling/Trucking services**. Those subcontractors which are listed on this form as DBEs must have current DBE certification by a member of the Texas Unified Certification Program at the time of execution of the contract to Offeror (see Exhibit D, Section 7). Additionally, the Intent to Perform must be completed by the Prime Contractor and DBE subcontractor(s) listed in this form.

|                                    |                |                                   |
|------------------------------------|----------------|-----------------------------------|
| Prime Contractor:                  | Contact Name:  | Ethnic/Gender Code:               |
| Project Name:                      | Title:         | A) Asian-Pacific American         |
| IFB/RFP/SOQ#:                      | Phone#:        | B) Black American                 |
| Firm's Age:                        | Email Address: | H) Hispanic American              |
| Firm's Annual Gross Receipts (\$): | Address:       | N) Native American                |
|                                    |                | SA) Subcontinental Asian American |
|                                    |                | NM) Non-Minority (Woman)          |
|                                    |                | M) Male                           |
|                                    |                | F) Female                         |

## Subcontractor Section (Hauling/Trucking Services)

COMPLETE THIS FORM FOR **ALL HAULERS/TRUCKERS** IDENTIFIED FOR THIS PROJECT. **YOU MAY USE MULTIPLE FORMS.**

In accordance with 49 CFR (Code of Federal Regulations) Part 26, §26.53 & §26.55, when making good faith efforts DBE firms used for credit towards the contract goal must have a current certification status with a TUCP Certifying Agency (see Exhibit D, Section 7) at the time of execution of the contract. The DBE must be certified in the 6-digit NAICS code for the proposed scope of work to receive credit towards the DBE contract goal. CapMetro will also review the proposed DBE participation to ensure that it will perform a commercially useful function.



Multiple forms may be used based on the number of subcontractors.

Ensure DBEs share documentation to confirm certification. You can search for DBEs using [TxDOT's TUCP Directory](#).

| Trucking/Hauling – Complete this section if using a Trucking/Hauling Company (Use another form if needed) |                                   |                |   |  |             |                            |   |                   |              |  |                      |                    |
|---|-----------------------------------|----------------|---|--|-------------|----------------------------|---|-------------------|--------------|--|----------------------|--------------------|
| Company Name  | Contact Person, Phone#, & Address | DBE or Non-DBE | 1 <sup>st</sup> , 2 <sup>nd</sup> , or 3 <sup>rd</sup> Tier Sub.. | Ethnic Code/ Gender (Leave Blank if non-DBE) | Age of Firm | Annual Gross Receipts (\$) | Description of Trucking/Hauling Services & 6-Digit NAICS Code | Estimated Rate \$ | Hauling Unit | Estimated Quantity of Materials                        | Total \$ Commitment  | Total % Commitment |
|   |                                   |                |   |  |             |                            |   |                   |              | Hour <input type="text"/><br>Load <input type="text"/> | <input type="text"/> | 0.00%              |
|   |                                   |                |   |  |             |                            |   |                   |              | Hour <input type="text"/><br>Load <input type="text"/> | <input type="text"/> | 0.00%              |
|   |                                   |                |   |  |             |                            |   |                   |              | Hour <input type="text"/><br>Load <input type="text"/> | <input type="text"/> | 0.00%              |

**NOTE:** Reference Exhibit D, Section (3) of the solicitation for information on how credit is counted when using DBEs for hauling/trucking services. Complete the DBE Trucking Unit List. Include DBE and non-DBE Trucking/Hauling firms used as 1<sup>st</sup>, 2<sup>nd</sup>, or 3<sup>rd</sup> Tier Subcontractors.



# DBE Schedule C3 & Intent to Perform (Hauling/Trucking Services)



SCHEDULE C.3: Disadvantaged Business Enterprise (DBE)  
Subcontractor Participation & Intent to Perform (Hauling/Trucking Services)

11/2024

**DO NOT RECREATE OR CHANGE THIS DOCUMENT**

**Instructions:** The Offeror (i.e., prime contractor) shall complete all applicable information in this form and the Good Faith Effort (GFE) Form to show its GFE towards meeting the contract goal assigned to the contract and include DBEs on a contract. This form will be completed for subcontractors used for **Hauling/Trucking services**. Those subcontractors which are listed on this form as DBEs must have current DBE certification by a member of the Texas Unified Certification Program at the time of execution of the contract to Offeror (see Exhibit D, Section 7). Additionally, the Intent to Perform must be completed by the Prime Contractor and DBE subcontractor(s) listed in this form.

|                                    |                |   |
|------------------------------------|----------------|---|
| Prime Contractor:                  | Contact Name:  | <b>Ethnic/Gender Code:</b><br>A) Asian-Pacific American<br>B) Black American<br>H) Hispanic American<br>N) Native American<br>SA) Subcontinental Asian American<br>NM) Non-Minority (Woman)<br>M) Male<br>F) Female |
| Project Name:                      | Title:         |   |
| IFB/RFP/SOQ#:                      | Phone#:        |   |
| Firm's Age:                        | Email Address: |   |
| Firm's Annual Gross Receipts (\$): | Address:       |   |

## Subcontractor Section (Hauling/Trucking Services)

COMPLETE THIS FORM FOR **ALL HAULERS/TRUCKERS** IDENTIFIED FOR THIS PROJECT. **YOU MAY USE MULTIPLE FORMS.**

*In accordance with 49 CFR (Code of Federal Regulations) Part 26, §26.53 & §26.55, when making good faith efforts DBE firms used for credit towards the contract goal must have a current certification status with a TUCP Certifying Agency (see Exhibit D, Section 7) at the time of execution of the contract. The DBE must be certified in the 6-digit NAICS code for the proposed scope of work to receive credit towards the DBE contract goal. CapMetro will also review the proposed DBE participation to ensure that it will perform a commercially useful function.*

## Trucking/Hauling – Complete this section if using a Trucking/Hauling Company (Use another form if needed)

| Company Name | Contact Person, Phone#, & Address | DBE or Non-DBE | 1 <sup>st</sup> , 2 <sup>nd</sup> , or 3 <sup>rd</sup> Tier Sub.. | Ethnic Code/ Gender (Leave Blank if non-DBE) | Age of Firm | Annual Gross Receipts (\$) | Description of Trucking/Hauling Services & 6-Digit NAICS Code | Estimated Rate \$ | Hauling Unit | Estimated Quantity of Materials | Total \$ Commitment | Total % Commitment |
|--------------|-----------------------------------|----------------|---|--|-------------|----------------------------|---|-------------------|--------------|---------------------------------|---------------------|--------------------|
|              |                                   |                |   |  |             |                            |   |                   |              | Hour                            |                     | 0.00%              |
|              |                                   |                |   |  |             |                            |   |                   |              | Load                            |                     |                    |
|              |                                   |                |   |  |             |                            |   |                   |              | Hour                            |                     | 0.00%              |
|              |                                   |                |   |  |             |                            |   |                   |              | Load                            |                     |                    |
|              |                                   |                |   |  |             |                            |   |                   |              | Hour                            |                     | 0.00%              |
|              |                                   |                |   |  |             |                            |   |                   |              | Load                            |                     |                    |

**NOTE:** Reference Exhibit D, Section (3) of the solicitation for information on how credit is counted when using DBEs for hauling/trucking services. Complete the DBE Trucking Unit List. Include DBE and non-DBE Trucking/Hauling firms used as 1<sup>st</sup>, 2<sup>nd</sup>, or 3<sup>rd</sup> Tier Subcontractors.

**Step 2:** Complete this section for each subcontractor. Provide a contact person for the subcontractor in case additional information is needed. **\*Include Annual Gross Receipts amounts and age of firm**

You can search for NAICS codes using [TxDOT's TUCP Directory](#).

# DBE Schedule C3 & Intent to Perform (Hauling/Trucking Services)



## SCHEDULE C.3: Disadvantaged Business Enterprise (DBE) Subcontractor Participation & Intent to Perform (Hauling/Trucking Services)

11/2024

Complete the Trucking Unit Listing for EACH DBE Subcontractor that will be used for Trucking/Hauling.

The CapMetro DBE Representative or Other Designee shall verify that the DBE trucking firm owns at least one truck and employs a driver of its own. If the DBE will be leasing trucks, the Design Build Contractor shall verify the DBE has the ability to lease the type of trucks needed for hauling the materials listed above.

Include DBE Trucking/Hauling firms non-DBEs will use as 1<sup>st</sup>, 2<sup>nd</sup>, or 3<sup>rd</sup> Tier Subcontractors. Attach ALL applicable supporting documentation.

| DBE Trucking Unit Listing (Use another form if needed) |        |       |            |                          |                          |
|--|--------|-------|------------|--------------------------|--------------------------|
| Trucking Firm Name or Truck Owner/Operator             | Unit # | VIN # | Truck Type | Owned                    | Leased                   |
|  |        |       |            | <input type="checkbox"/> | <input type="checkbox"/> |
|  |        |       |            | <input type="checkbox"/> | <input type="checkbox"/> |
|  |        |       |            | <input type="checkbox"/> | <input type="checkbox"/> |



**Step 3:** Complete the trucking unit list for each truck/hauler type used and indicate if owned or leased. Use additional forms, if needed.

Complete the following questions based on trucking/hauling services being provided above.

| Trucking Firm Name | What location(s) will the materials be hauled to?<br>(Include To/From Location) | How many trucks planned to be used on the project are OWNED by the DBE?<br>(Include Count (#))                         | How many trucks planned to be used on the project are LEASED by the DBE?<br>(Include Count (#))                        |
|--------------------|---|--|--|
|                    | To: <input type="text"/><br>From: <input type="text"/>                          | Tractor/Trailer: <input type="text"/><br>Dump Trucks: <input type="text"/><br>Other Vehicle Type: <input type="text"/> | Tractor/Trailer: <input type="text"/><br>Dump Trucks: <input type="text"/><br>Other Vehicle Type: <input type="text"/> |
|                    | To: <input type="text"/><br>From: <input type="text"/>                          | Tractor/Trailer: <input type="text"/><br>Dump Trucks: <input type="text"/><br>Other Vehicle Type: <input type="text"/> | Tractor/Trailer: <input type="text"/><br>Dump Trucks: <input type="text"/><br>Other Vehicle Type: <input type="text"/> |
|                    | To: <input type="text"/><br>From: <input type="text"/>                          | Tractor/Trailer: <input type="text"/><br>Dump Trucks: <input type="text"/><br>Other Vehicle Type: <input type="text"/> | Tractor/Trailer: <input type="text"/><br>Dump Trucks: <input type="text"/><br>Other Vehicle Type: <input type="text"/> |



**Step 4:** Complete this section indicating the location of service and number of trucks/haulers by type will be used.

# DBE Schedule C3 & Intent to Perform (Hauling/Trucking Services)



## SCHEDULE C.3: Disadvantaged Business Enterprise (DBE) Subcontractor Participation & Intent to Perform (Hauling/Trucking Services)

11/2024

### Intent to Perform

IFB/RFP/SOQ#:

The undersigned is currently certified under the Texas Unified Certification Program (TUCP) as a DBE. The undersigned is prepared to perform the following hauling/trucking services listed in connection with the above project number at the following price \$ \_\_\_\_\_ and/or \_\_\_\_\_ % of the total contract amount (should be the same \$ or % found on Schedule C).

Any and all subcontractors that a DBE subcontractor uses must be listed in Schedule C. (Low tier subcontractors must complete this section only when used by a DBE subcontractor.)

**IMPORTANT! A signature is required by the Offeror and each DBE listed on this form.**

*By signing this commitment, you affirm that all information provided is true and correct and agree to comply with all parts of 49 CFR, Part 26. A subcontract agreement or Purchase Order must be executed with the DBE and provided to CapMetro to be included in the DBE file under the contract.*

|                        |  |                |                              |                             |
|------------------------|--|----------------|------------------------------|-----------------------------|
| Prime Contractor Name: |  | DBE Certified: | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| Representative Name:   |  | Address:       |                              | City: State: Zip:           |
| Title:                 |  | Phone#:        |                              | Email:                      |
| Signature:             |  | Date:          |                              |                             |

  

|  |  |                |                              |                             |
|--|--|----------------|------------------------------|-----------------------------|
| 1 <sup>st</sup> Tier Subcontractor Name: |  | DBE Certified: | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| Representative Name:                     |  | Address:       |                              | City: State: Zip:           |
| Title:                                   |  | Phone#:        |                              | Email:                      |
| Signature:                               |  | Date:          |                              |                             |

If the subcontractor anticipates that \_\_\_\_\_ % of the dollar value of this subcontract will be sublet and/or awarded to other contractors, complete the section below. Duplicate as needed.

|  |  |                |                              |                             |
|--|--|----------------|------------------------------|-----------------------------|
| 2 <sup>nd</sup> Tier Subcontractor Name: |  | DBE Certified: | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| Representative Name:                     |  | Address:       |                              | City: State: Zip:           |
| Title:                                   |  | Phone#:        |                              | Email:                      |
| Signature:                               |  | Date:          |                              |                             |



**Step 5:** Input the total dollar (\$) & percentage (%) of DBE participation.

# DBE Schedule C3 & Intent to Perform (Hauling/Trucking Services)



## SCHEDULE C.3: Disadvantaged Business Enterprise (DBE) Subcontractor Participation & Intent to Perform (Hauling/Trucking Services)

11/2024

### Intent to Perform

IFB/RFP/SOQ#:

The undersigned is currently certified under the Texas Unified Certification Program (TUCP) as a DBE. The undersigned is prepared to perform the following hauling/trucking services listed in connection with the above project number at the following price \$ \_\_\_\_\_ and/or \_\_\_\_\_ % of the total contract amount (should be the same \$ or % found on Schedule C).

Any and all subcontractors that a DBE subcontractor uses must be listed in Schedule C. (Low tier subcontractors must complete this section only when used by a DBE subcontractor.)

**IMPORTANT! A signature is required by the Offeror and each DBE listed on this form.**

*By signing this commitment, you affirm that all information provided is true and correct and agree to comply with all parts of 49 CFR, Part 26. A subcontract agreement or Purchase Order must be executed with the DBE and provided to CapMetro to be included in the DBE file under the contract.*

|                        |          |  |                |                              |                             |
|------------------------|----------|--|----------------|------------------------------|-----------------------------|
| Prime Contractor Name: |          |  | DBE Certified: | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| Representative Name:   | Address: |  | City:          | State:                       | Zip:                        |
| Title:                 | Phone#:  |  | Email:         |                              |                             |
| Signature:             | Date:    |  |                |                              |                             |

  

|  |          |  |                |                              |                             |
|--|----------|--|----------------|------------------------------|-----------------------------|
| 1 <sup>st</sup> Tier Subcontractor Name: |          |  | DBE Certified: | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| Representative Name:                     | Address: |  | City:          | State:                       | Zip:                        |
| Title:                                   | Phone#:  |  | Email:         |                              |                             |
| Signature:                               | Date:    |  |                |                              |                             |

If the subcontractor anticipates that \_\_\_\_\_ % of the dollar value of this subcontract will be sublet and/or awarded to other contractors, complete the section below. Duplicate as needed.

|  |          |  |                |                              |                             |
|--|----------|--|----------------|------------------------------|-----------------------------|
| 2 <sup>nd</sup> Tier Subcontractor Name: |          |  | DBE Certified: | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| Representative Name:                     | Address: |  | City:          | State:                       | Zip:                        |
| Title:                                   | Phone#:  |  | Email:         |                              |                             |
| Signature:                               | Date:    |  |                |                              |                             |

**Step 6:** The Prime Contractor and DBE will sign this section.

Checking the “Yes” under DBE certification is an indicator that the company has been confirmed as a certified DBE.

# Contact & Website To Get Forms/Training

Send an email to [DBE@capmetro.org](mailto:DBE@capmetro.org) for assistance.

**DBE Forms, Trainings, &  
New User – Vendor Information Form  
(Vendor Reporting System –VRS)  
<https://www.capmetro.org/dbe>**

CapMetro

Thank you!