



# NCDOT DBE CUF ASSESSMENT FORM

A DBE performs a “commercially useful function” (CUF) when it is responsible for the execution of the contract by carrying out its responsibilities by actually performing, managing, and supervising the work involved. This form is for the purpose of reviewing DBEs for compliance with the CUF requirements for DBE participation credit. Field staff will perform CUF reviews on ALL (committed and non-committed) DBE Subcontractors, Haulers/Truckers, Suppliers (Regular Dealers or Distributors), or Manufacturers. The review should be conducted when the DBE first begins work. Monitor for compliance should also continue through the course of the project.

Contract Number  
Division  
Prime Contractor  
DBE Subcontractor  
DBE Owner/Supervisor  
DBE Start Date  
NCDOT Reviewer (Inspector)  
NCDOT Title  
Review Date

## DBE SCOPE OF WORK DESCRIPTION

Is the DBE firm subcontracted to perform 100% of the line items on the Subcontractor Approval Form?

CHECK ALL THAT APPLY: [SEE SUBCONTRACT APPROVAL FORM (SAF)]

- ☐ PARTIAL  
☐ PORTION  
☐ INSTALLATION ONLY (NO MATERIALS)  
☐ FURNISH MATERIALS and INSTALLATION

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## FIRM IS PERFORMING AS A: [SELECT ONE]

- ☐ DBE SUBCONTRACTOR (Non-Hauling/Trucking) - Complete **Section A** ONLY  
☐ DBE HAULER/TRUCKING SUBCONTRACTOR - Complete **Section B** ONLY  
☐ DBE SUPPLIER / REGULAR DEALER (60% Credit) – Complete **Section C** ONLY  
☐ DBE SUPPLIER / DISTRIBUTOR (40% Credit) – Complete **Section C** ONLY  
☐ DBE MANUFACTURER (100% Credit) – Complete **Section C** ONLY

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### **SECTION A: DBE SUBCONTRACTOR CUF ASSESSMENT**

- 1) Is the DBE supervisor on the Project? Y/N/NA If not, Who Assigns DBE's Work? \_\_\_\_\_
- 2) Does the supervisor work exclusively for the DBE? Y/N/NA If not, Who does he/she work for? \_\_\_\_\_
- 3) Does the DBE have employees on the job to perform the work? Y/N/NA
- 4) Do the DBE employees work ONLY for the DBE subcontractor? Y/N/NA
- 5) Is the DBE working without assistance from the PRIME or ANOTHER SUBCONTRACTOR? Y/N/NA
- 6) Does the DBE name appear on all INVOICES, TICKETS, and/or BILLS OF LADING? Y/N/NA
- 7) Does the DBE arrange for the delivery of materials? Y/N/NA
- 8) Is there a JOINT CHECK AGREEMENT? If so, has the Division Office approved the use? Y/N/NA
- 9) Does the DBE OWN and OPERATE the equipment used for the execution of the work? Y/N/NA
- 10) Did the DBE lease any equipment? Y/N/NA If so, is there a LEASE AGREEMENT on File? Y/N/NA

### **SECTION B: DBE HAULER/TRUCKING FIRM CUF ASSESSMENT**

- 1) Is there a DBE Trucking Plan on File in SharePoint? Y/N/NA
- 2) Does the DBE firm own at least one dump-type truck licensed by NC DMV? Y/N/NA
- 3) Does the DBE NAME appear on the trucks that it owns? Y/N/NA
- 4) Are there signs displayed on the dashboard of the trucks leased to the DBE firm? Y/N/NA
- 5) How many trucks are owned and operated by the DBE firm? (**ON THIS PROJECT**) \_\_\_\_\_
- 6) How many trucks are owned and operated by other certified DBE firms? \_\_\_\_\_

**(See Trucking Plan for Certification Status)**

- 7) How many trucks are owned and operated by other non-DBE firms? \_\_\_\_\_
- 8) Is the DBE firm leasing any trucks from the PRIME CONTRACTOR? Y/N/NA
- 9) Does a review of the HAUL tickets indicate the hauling operation is being performed by the DBE?
- 10) Does the number of DBE-owned trucks equal/exceed non-DBE-owned trucks on the project? Y/N/NA
- 11) Is the DBE listed to perform PLANT STOCKPILE HAULING Only? Y/N/NA. If Yes, Conduct a Site Visit to the Plant and Review the Haul Tickets to determine CUF.

### **SECTION C: DBE SUPPLIER/REGULAR DEALER/DISTRIBUTOR/ MANUFACTURER CUF ASSESSMENT**

- 1) Is the primary business function to supply the construction-related materials? Y/N/NA
- 2) Is the primary business function to manufacture the construction-related materials? Y/N/NA
- 3) Does the firm stock or produce materials used on this project as a normal stock item? Y/N/NA
- 4) Does the DBE firm make the arrangements for the delivery of the materials? Y/N/NA
- 5) Did the prime contractor provide a copy of the INVOICE of materials supplied or produced by the DBE firm?  
Y/N/NA

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**DETERMINATION OF CUF (COMMERCIALY USEFUL FUNCTION)**

- 1) Does this review indicate that the work is being performed by the DBE?
- 2) Does it appear that the DBE is performing a Commercially Useful Function (CUF)? If not, please contact your Resident Engineer and Area Construction Engineer.

**COMMENTS**