



# Federal Transit Administration: DBE Reporting & TEAM

DBE Reporting: Down to Business

# Agenda

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- ▶ **Who is expected to Report?**
- ▶ **ARRA Quarterly DBE Reports & Semiannual DBE Reports**
- ▶ **Awards/Commitments this Period**
- ▶ **The Breakdown: Ethnicity/Gender**
- ▶ **Actual Payments on Contracts Completed this Period**
- ▶ **Open Discussion**
- ▶ **Adjourn**

# The Basics

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- ▶ Who reports information?
  - ▶ Were you required to submit a goal?
    - ▶ \$250k rule: planning, capital and/or operating assistance
      - § 26.21(2)
    - ▶ Sans transit vehicle purchases
      - New procurement from manufacturer?
      - Off the lot purchase of assistance vehicles?
      - Mid to Minor Rehab?
  - ▶ Did you use FTA money to:
    - ▶ Buy stuff?
    - ▶ Build stuff?
    - ▶ Plan stuff?
      - **EVEN IF NO DBE PARTICIPATION MUST REPORT**

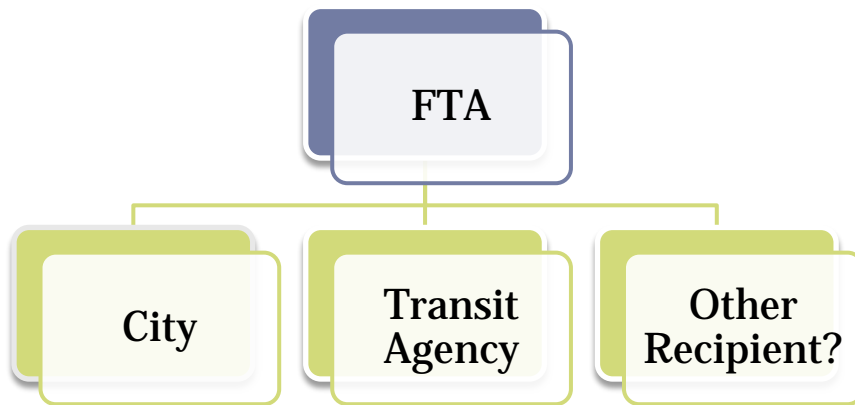
# Regarding funding for “Operations”

- ▶ ***“Specifically, a recipient required to have a **DBE** program may not structure its operations expenditures so that an unreasonable proportion of contracts that could be performed by DBEs are removed from its DBE program.”***

	C	D	E
	2009	2010	2011
↑	\$24,887,199	↑ \$26,029,133	↑ \$18,670,434
↑	\$1,531,829,380	↑ \$1,878,672,981	↑ \$1,387,442,025
↑	\$879,266,415	↑ \$466,155,958	↑ \$665,723,245
↑	\$47,895,366	↑ \$22,979,903	↑ \$25,124,585
↑	\$34,383,614	↑ \$64,345,342	↑ \$32,358,052
↑	\$23,799,719	↑ \$25,604,478	↑ \$16,442,100
↑	\$39,255,454	↑ \$33,968,725	↑ \$18,952,458
↑	\$13,772,661	↑ \$28,751,823	↑ \$16,240,420
↘	\$1,041,971	↘ \$645,396	↓ \$0
↘	\$9,271,647	↘ \$5,328,645	↘ \$3,758,058
↘	\$5,719,173	↘ \$1,713,015	↘ \$6,085,429
↑	\$10,801,019	↘ \$3,924,120	↘ \$1,000,580
↘	\$5,193,815	↓ \$0	↘ \$3,030,548
↘	\$1,573,748	↓ \$0	↘ \$1,861,485
↘	\$6,166,730	↓ \$0	↘ \$2,771,236
↘	\$2,098,941	↘ \$533,000	↘ \$3,483,203
↘	\$4,098,607	↘ \$1,507,288	↘ \$1,748,232
↘	\$6,929,611	↘ \$3,034,276	↘ \$1,989,760
↑	\$11,039,871	↘ \$8,063,286	↘ \$1,835,841
↑	\$11,486,578	↑ \$10,707,534	↑ \$11,558,257
↘	\$3,533,259	↘ \$1,315,158	↓ \$0
↘	\$3,768,603	↘ \$1,780,670	↘ \$1,435,884

# Direct Recipients Report to FTA

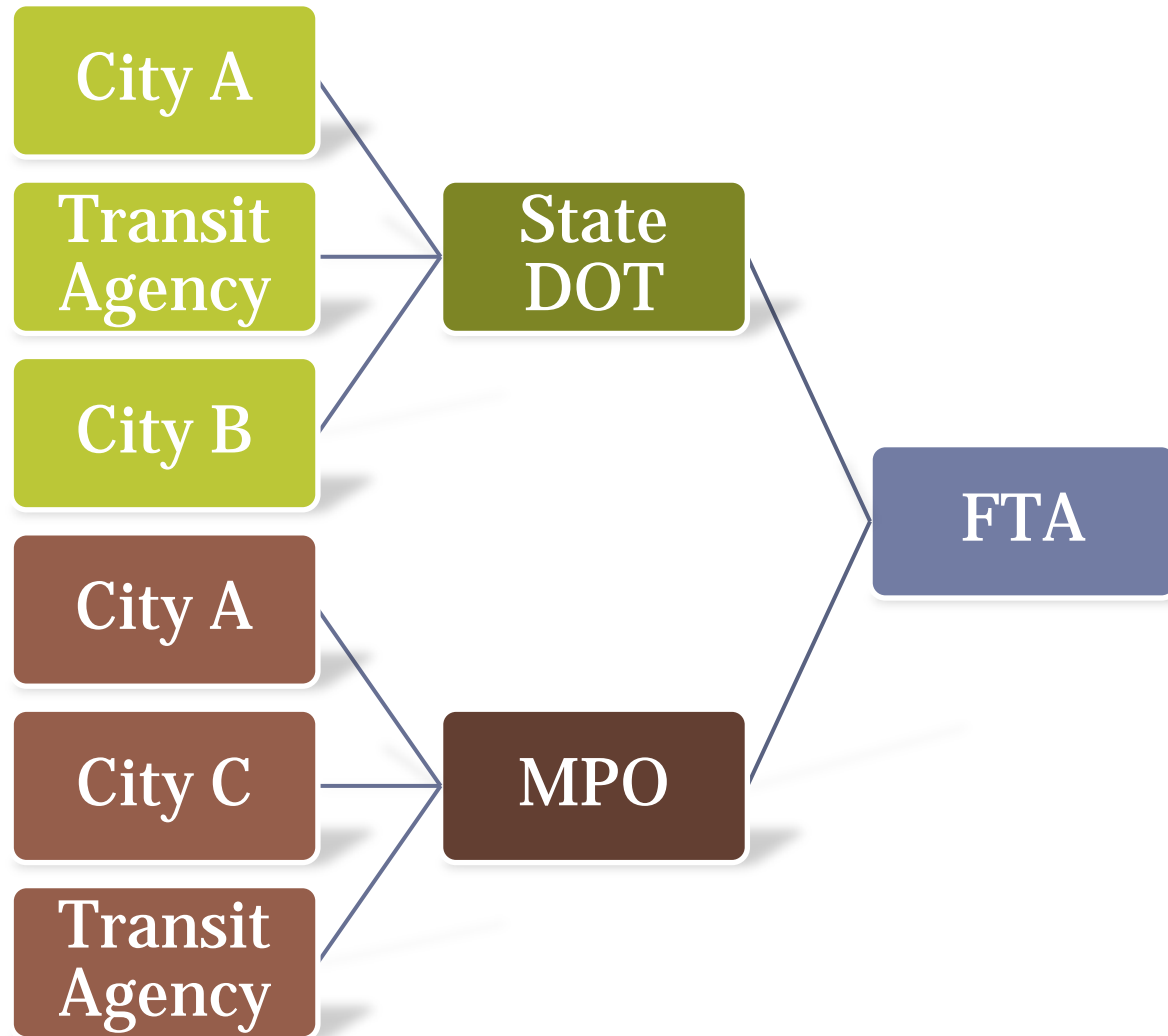
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- ▶ **Funds directly from FTA?**
  - ▶ Report to FTA
    - ▶ Use TEAM

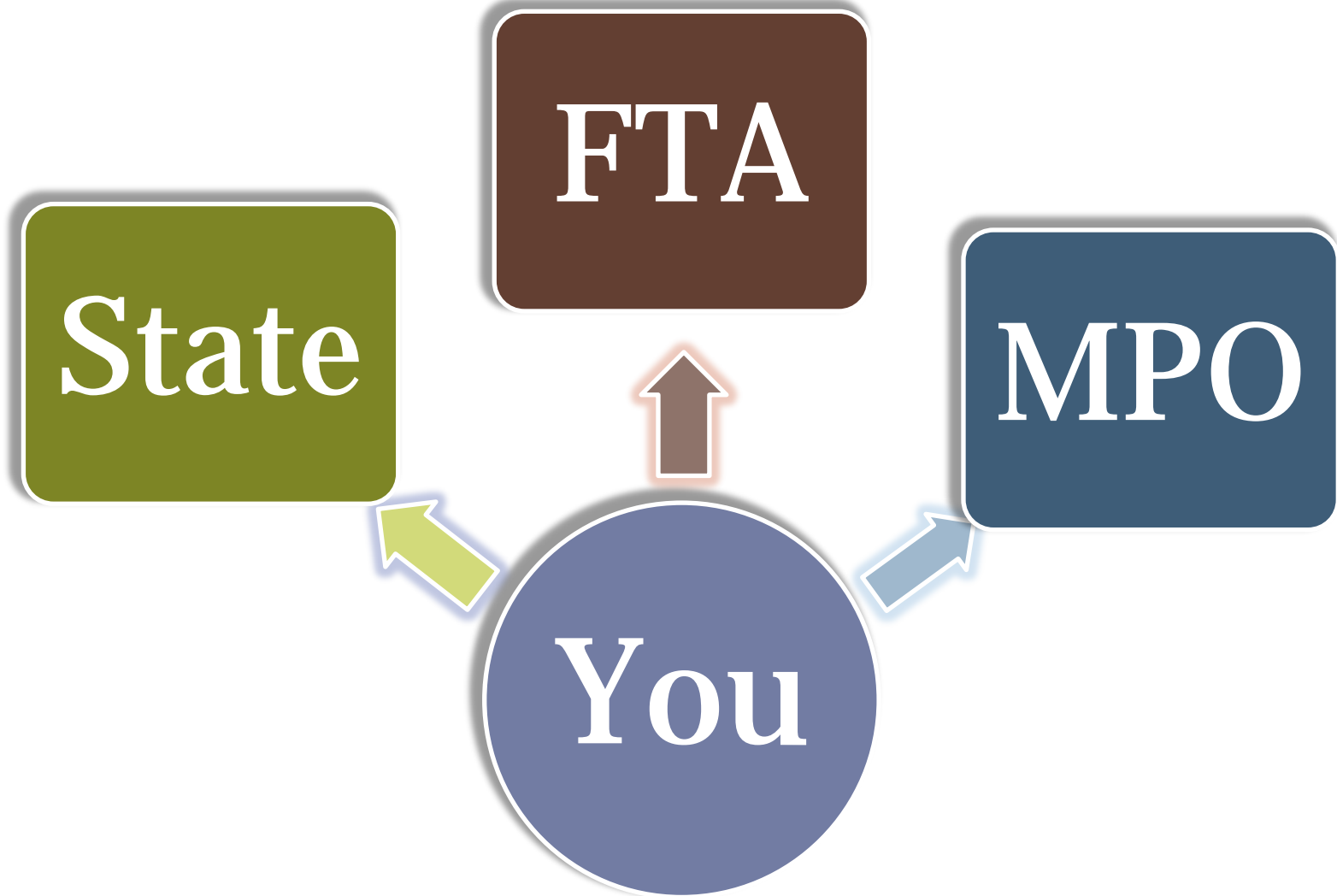
# Sub Recipients report to Direct Recipient

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# What about you?

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# How long do I report?

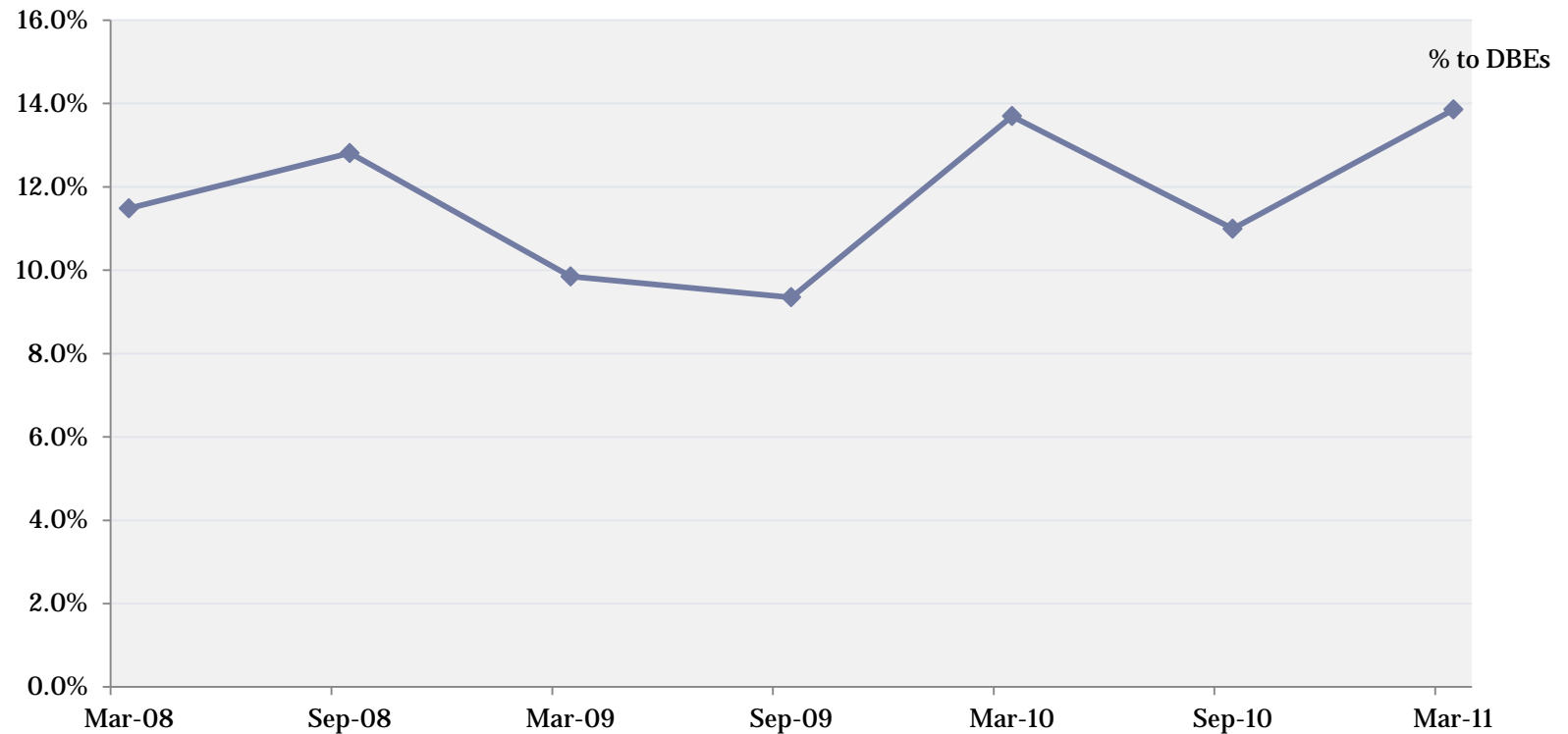
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- ▶ **“You must continue to carry out your program until all funds from DOT financial assistance have been expended” § 26.21(2)(c)**
- ▶ **Look at structure of form:**
  - ▶ Awards/Commitments made During this Reporting Period
  - ▶ Actual Payments on Contracts Completed this Period
    - ▶ Award = Beginning
      - Everything in Between (even if all zeroes)
    - ▶ Payment = The End



# What are we collecting?

Percentage of FTA Dollars Awarded to DBE Firms: FFY 2008 - FFY 2011

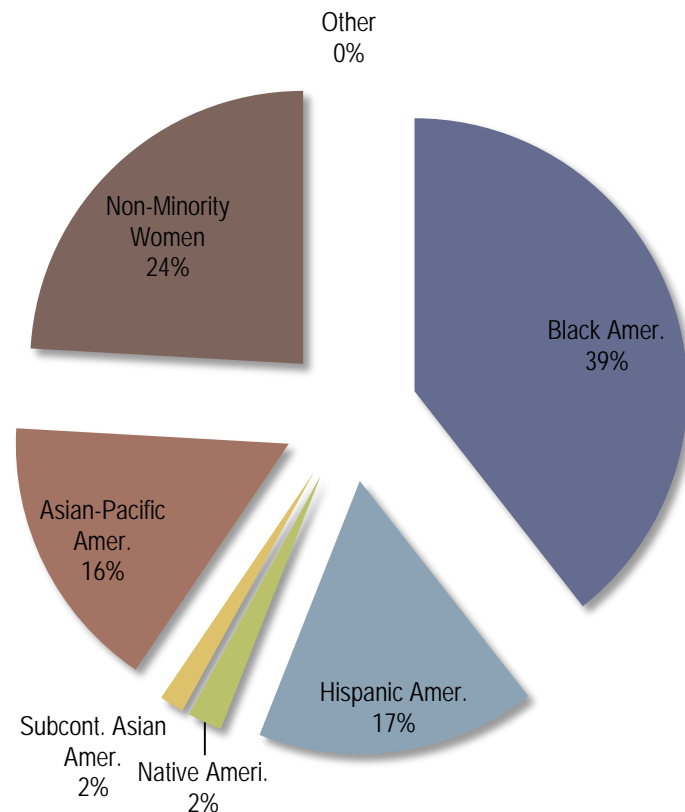


# Your Input Matters...

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- ▶ **Executive Order**
  - ▶ Open Gov't Directive
- ▶ **Congressional Inquiries**
- ▶ **Public inquiries**
- ▶ **USDOT Leadership**
- ▶ **FTA Leadership**

**1st Half FFY 2011: Distribution of Awards (in Dollars) to DBEs by Ethnicity**



# Two Major Types of Reports

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## ARRA Reports

- ▶ Requested by Secretary
- ▶ Quarterly Submissions
  - ▶ Due 10 days after the quarter
  - ▶ Until ARRA funded contracts are complete
- ▶ Report in TEAM

## Semiannual Reports

- ▶ Defined by Regulation
- ▶ Semiannual Submissions
  - ▶ June 1 and December 1
  - ▶ Until you report funding is finished
- ▶ Report in TEAM



# Time Frames...

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## ARRA DBE Reports

- ▶ **Four (4) Quarters**
  1. Oct. 1<sup>st</sup> to Dec. 31<sup>st</sup>
  2. Jan. 1<sup>st</sup> to Mar. 31<sup>st</sup>
  3. Apr. 1<sup>st</sup> to June 30<sup>th</sup>
  4. July 1<sup>st</sup> to Sept. 30<sup>th</sup>
- ▶ **ARRA funds only!**
- ▶ **Due 10 days after period ends...**
  - ▶ **Plus grace period**

## Semiannual

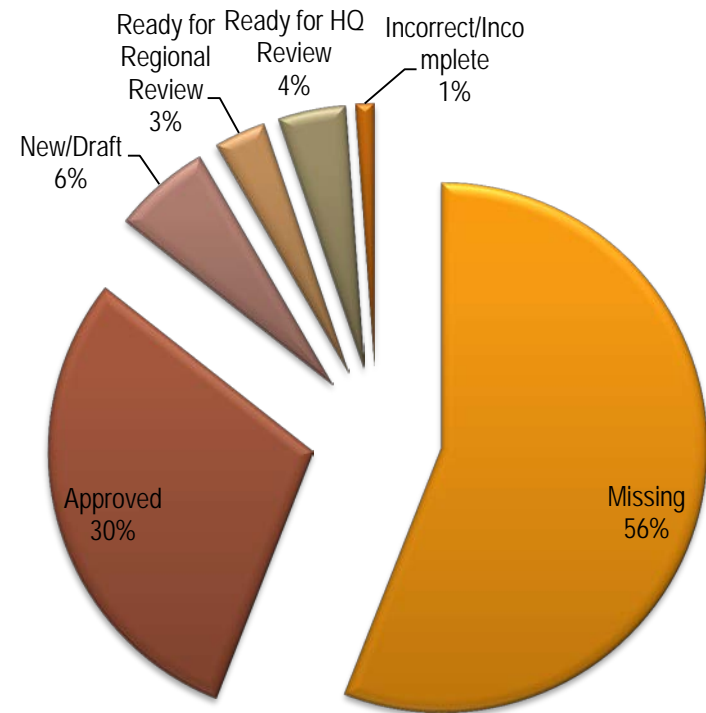
- ▶ **Two (2) Halves**
  - ▶ **October 1<sup>st</sup> to March 31<sup>st</sup>**
  - ▶ **April 1<sup>st</sup> to September 30<sup>th</sup>**
- ▶ **All funds covered by your goal**
- ▶ **Due June 1<sup>st</sup> and December 1<sup>st</sup> respectively**

# Until ARRA funded contracts are complete

**We need you!**

- ▶ **56%\* of reports have not been submitted!**
- ▶ **545 of 642 still on list**
  - ▶ So many still going?
- ▶ **23% fully completed according to TPM**
- ▶ \* expected reporters over \$25ok ARRA funds

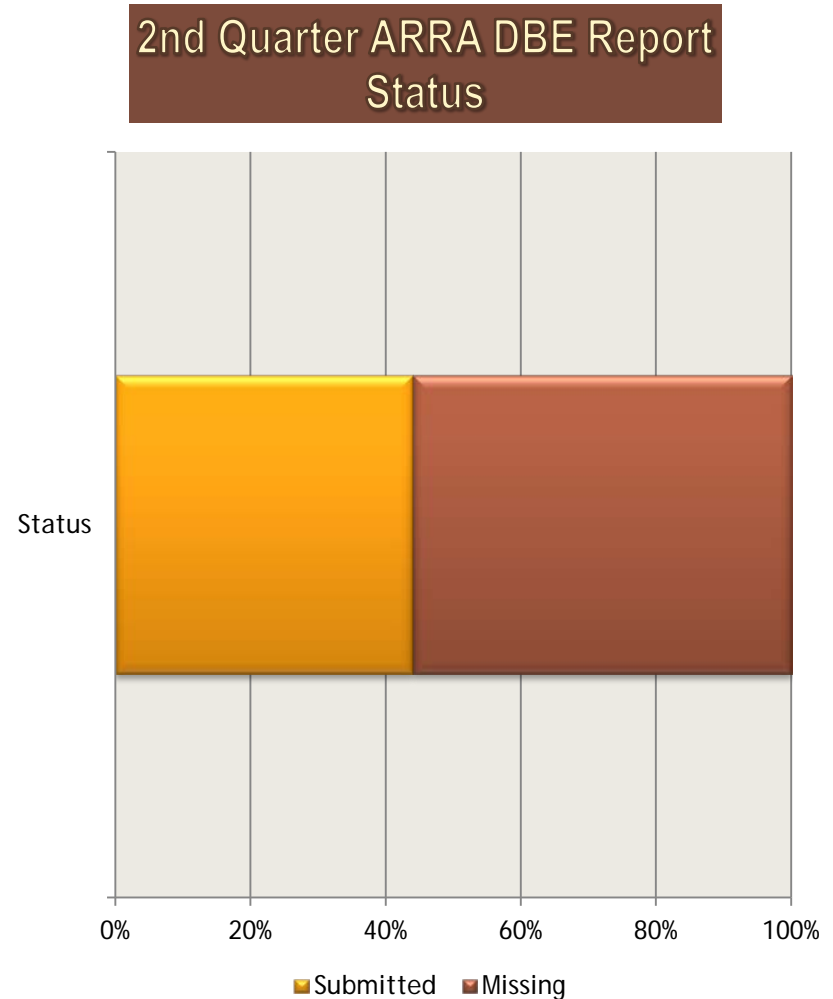
## Status of 2<sup>nd</sup> Quarter FY 2011 Reports:




# How do we fix the ARRA list?

- ▶ Remove those with all ARRA funds expended
- ▶ Remove those who bought new vehicles only
- ▶ Adjust list based on the \$250k threshold\*




\* ARRA funds + other eligible funds  
= eligible/ineligible



# Logging into TEAM




**Federal Transit Administration**  
United States Department of Transportation  
**TEAM**




Choose one:

**TEAM-Web**

**TEAM Reports**

 **Regions**

 **Links**

[\[If you're having trouble logging into TEAM-Web, Click Here.\]](#)

ransit Administration • U.S. DOT

Welcome to TEAM-Web!

## LOGIN

User Name:

Password:

Database:

☐ Change Password

## SECURITY NOTICE

You are accessing a U.S. Government information system. This information system, including all related equipment, networks, and network devices, is provided for U.S. Government-authorized use only. Unauthorized or improper use of this system is prohibited, and may result in civil and criminal penalties, or administrative disciplinary action. The communications and data stored or transiting this system may be, for any lawful Government purpose, monitored, recorded, and subject to audit or investigation. By using this system, you understand and consent to such terms.



# TEAM Reporting Basics

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- ▶ **Must have TEAM Account**
- ▶ **Must have Civil Rights**
  - ▶ Not there?
    - ▶ Must have applied.

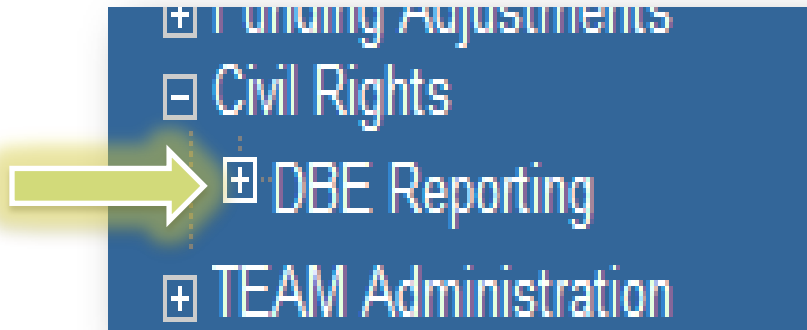
## Main Menu - (Home)

- + Recipients
- + Applications
- + Execution
- + Project Management
- + Funding Adjustments
- + Civil Rights
- + TEAM Administration
- + Dynamic Query
- + Charter Registration
- + Static Reports
- + TEAM Documentation
- + ARRA Reporting: 1201
  - ▣ Help Desk Information
  - ▣ Exit



# TEAM Basics Continued...

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## ▶ All features found in DBE Reporting

### ▶ New

- ▶ First time creating a report

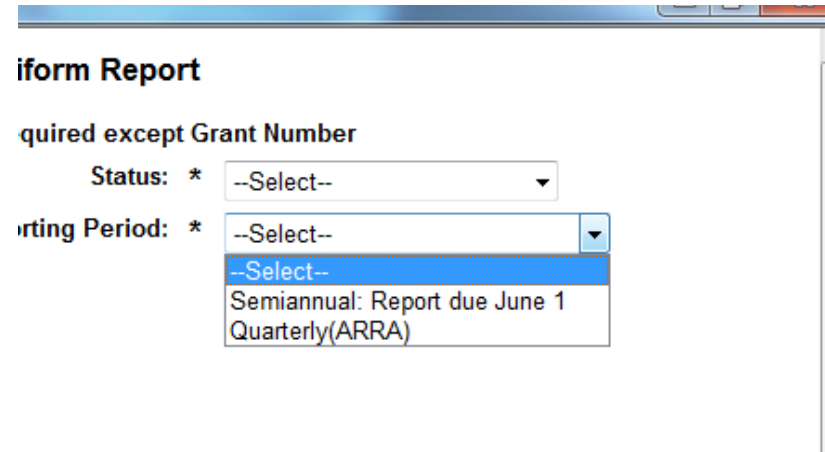
### ▶ Existing

- ▶ Reports you've begun
- ▶ Reports "migrated" by FTA

# How do I create Semiannual? ARRA reports?

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- ▶ Use the Reporting Period dropdown!
  - ▶ Only “Open” Reporting Periods will be available for selection



The screenshot shows a web form titled "iform Report". Below the title, there is a label "quired except Grant Number". The form contains two dropdown menus. The first is labeled "Status: \*" and has a value of "--Select--". The second is labeled "orting Period: \*" and also has a value of "--Select--". A dropdown menu is open for the "Reporting Period" field, showing three options: "--Select--", "Semiannual: Report due June 1", and "Quarterly(ARRA)".

# How do I work with an existing report?

**DBE Uniform Report Search**

Recipient: --All--

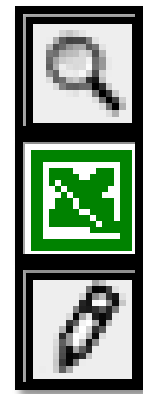
Fiscal Year: 2011

Status: --All--

Reporting Period: --All--

Report Last Updated Date From:  To:

- ▶ Choose search parameters to find report
  - ▶ Submit to generate a list
- ▶ Magnifying glass to view
- ▶ Excel export anything (i.e. spreadsheet, single report)
- ▶ Pencil icon to edit





# Questions?

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# Federal Transit Administration: DBE Reporting & TEAM

DBE Reporting: Awards & Ethnicity Breakdown

# Prime contracts awarded this period?

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- ▶ **Contract – a legally binding agreement obligating a seller to furnish supplies or services [26.5]**
  - ▶ Prime contract = Direct agreement for services/supplies
  - ▶ Sub contract = Agreement between prime contractor and 2<sup>nd</sup> tier contractors



# Prime Contracts Awarded this Period?

- ▶ Notice black mark in Total line?
  - ▶ Subs are a part of prime!
    - ▶ Therefore Prime & Sub must be from the same period
- ▶ Columns A & B are “All contracts columns”

	A	B	T
<b>AWARDS/COMMITMENTS MADE DURING THIS REPORTING PERIOD</b> (total contracts and subcontracts committed during this reporting period)	Total Dollars	Total Number	
8. Prime contracts awarded this period			
9. Subcontracts awarded/committed this period			
<b>TOTAL</b>			

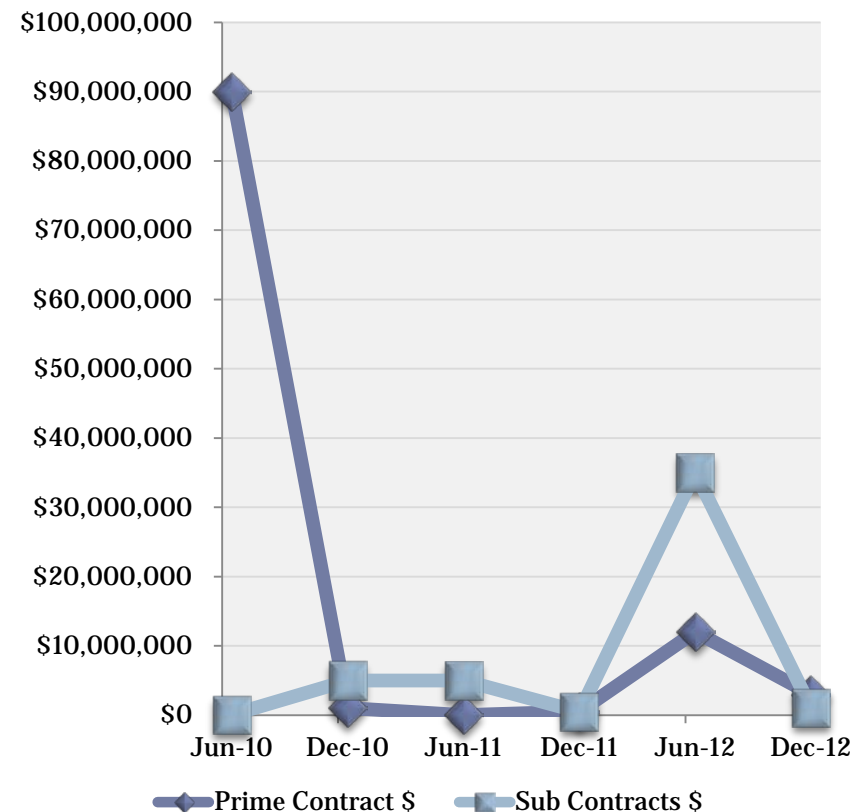
# How is participation counted at the award level?

## Extreme example

Comparisons made to the total amount...the prime contract.

Year	Prime Contract \$	Prime Contract #	Sub Contracts \$	Sub Contracts #	% of \$ to DBE
Jun-10	\$90,000,000	3	\$25,000	1	0.03%
Dec-10	\$1,000,000	1	\$5,000,000	2	500.00%
Jun-11	\$0	0	\$5,000,000	2	0.00%
Dec-11	\$500,000	1	\$475,000	1	95.00%
Jun-12	\$12,000,000	2	\$35,000,000	5	291.67%
Dec-12	\$3,000,000	1	\$1,000,000	1	33.33%
Total	\$106,500,000	8	\$46,500,000	12	43.66%

## ...graphic representation





# How does your agency frame contracts?

## Bundled

- ▶ 1 Prime Contract
  - ▶ \$5,000,000
- ▶ 4 Sub Contracts
  - ▶ \$1,925,000
- ▶ 8a = \$5,000,000
- ▶ 8b = 1
- ▶ 9a = \$1,925,000
- ▶ 9b = 4

## Unbundled

- ▶ ? Prime Contracts
  - ▶ Carpentry
  - ▶ Lighting
  - ▶ Flooring
  - ▶ ???
- ▶ 8a = \$5,000,000
- ▶ 8b = 5
- ▶ 9a = ???
- ▶ 9b = ???

# Counting DBE Participation (§ 26.55)

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- ▶ **Only the work actually performed by the DBE**
  - ▶ Entire amount of construction contract (except supplies & equipment purchased from prime)
  - ▶ Entire amount of fees/commissions for professional services
  - ▶ Subcontracted part of the work, if subcontracted to another DBE firm
    - ▶ On form, translates to two (2) separate entries
  - ▶ Sixty (60) percent of supply purchase from “regular dealer”
    - ▶ Packagers, brokers, manufacturer’s reps do not count
  - ▶ One hundred (100) percent of purchase from manufacturer



# The Big Difference

**Sub = Portion of Prime**

**Only Count DBE work performed**

	A. Total Dollars	B. Total Number
8. Prime Contracts Awarded This Period:	\$ 1550000	3
9. Subcontracts Awarded/ Committed This Period:	\$ 470000	4
Total:		

C. Total to DBEs (dollars)	D. Total to DBEs (number)
\$130,000	1
\$55,000	1
\$185,000	2



# Race Conscious versus Race Neutral

C. Total to DBEs (dollars)	D. Total to DBEs (number)	E. Total to DBEs/Race Conscious (dollars)	F. Total to DBEs/Race Conscious (number)	G. Total to DBEs/Race Neutral (dollars)	H. Total to DBEs/Race Neutral (number)
\$130,000	1	\$ 0	0	\$ 130000	1
\$55,000	1	\$ 0	0	\$ 55000	1
\$185,000	2	\$0	0	\$185,000	2

- ▶ Think “contract goals” for DBE participation (RC)
- ▶ No contract goals (RN)
  - ▶ All those wonderful things you do, to indirectly assist DBEs

▶ In TEAM, you must fill out RC + RN to get totals (columns C & D)

## Example Time:

<b>Prime Contractor</b>	<b>Amount (\$) of Prime Contract</b>	<b>DBE Status (Y or N)</b>	<b>Non-DBE Sub \$</b>	<b>DBE Sub \$</b>
Jefferson	\$250,000	Y	\$0	\$50,000
Billue's	\$75,000,000	N	\$35,000,000	\$15,000,000
Davis	\$375,000	Y	\$175,000	\$0
Microbook	\$850,000	N	\$0	\$0
SpriMobile	\$1,000,000	N	\$0	\$0
Erickson	\$12,000,000	Y	\$3,000,000	\$3,000,000
Scheffler	\$6,500,000	N	\$250,000	\$1,250,000

# The Answers...

## Awards/Committments Made During This Reporting Period:

	A. Total Dollars	B. Total Number	C. Total to DBEs (dollars)	D. Total to DBEs (number)	E. Total to DBEs/Race Conscious (dollars)	F. Total to DBEs/Race Conscious (number)	G. Total to DBEs/Race Neutral (dollars)	H. Total to DBEs/Race Neutral (number)
8. Prime Contracts Awarded This Period: *	\$ 95975000	7	\$6,400,000	3	\$ 0	0	\$ 6400000	3
9. * Subcontracts Awarded/ Committed This Period:	\$ 57725000	8	\$19,300,000	4	\$ 19300000	4	\$ 0	0
Total:			\$25,700,000	7	\$19,300,000	4	\$6,400,000	3





# Questions?

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# Ethnicity Breakdown

## DBE Awards/Commitments This Reporting Period Breakdown By Ethnicity & Gender:

	A. Black American	B. Hispanic American	C. Native American	D. Subcont. Asian American	E. Asian-Pacific American	F. Non-Minority Women	G. Other	H. Total (number)
10. Total Number of Contracts: (Prime and Sub) *	0	0	0	1	0	1	0	2
11. Total Dollar Value: *	\$ 0	\$ 0	\$ 0	\$ 130000	\$ 0	\$ 55000	\$ 0	\$185,000

- ▶ **This Reporting Period!**
  - ▶ Means it matches values from above.
- ▶ **DBE Awards...**
  - ▶ Means matches to DBE award values
- ▶ **# of Contracts not # of Firms**

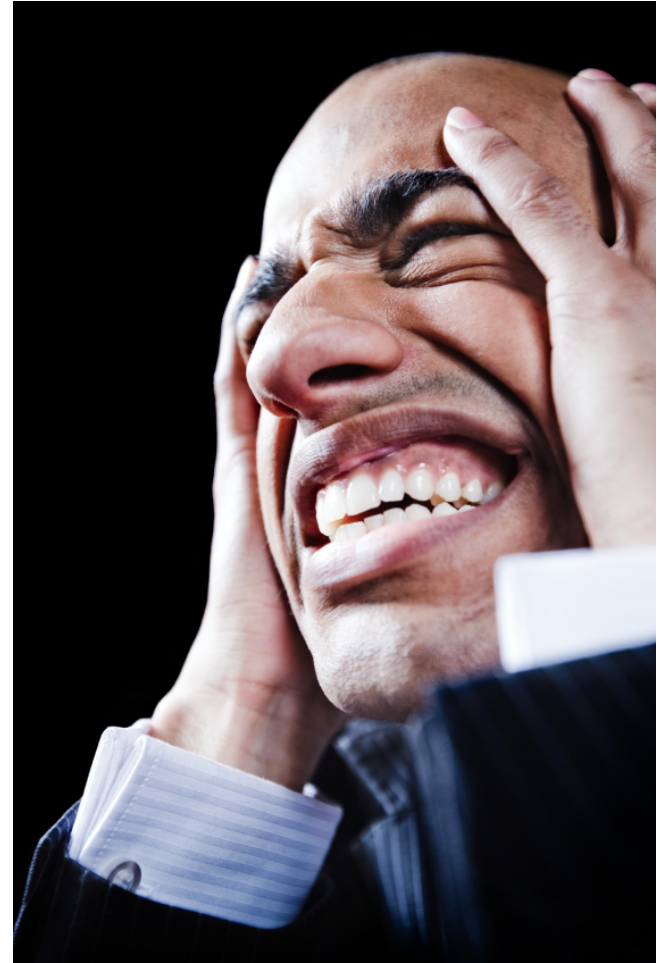




# Do I have to? How?

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- ▶ Race Neutral not an excuse!
- ▶ Contact your member UCP
- ▶ No guessing!
- ▶ UCP uses definitions in § 26.5 to categorize




# What does your UCP Offer?

- » Home Page
- » Organizational Chart
- » Doing Business
- » Disadvantaged Business Enterprise Programs
- » Find a Certified Firm
- » Small Business Council
- » DBE Application Forms
- » DBE Program FAQ
- » Small Business Resources and Programs
- » Site Map

Caltrans > Business > OBEO Home > Find A Certified DBE Firm

## Find A Certified DBE Firm




The Disadvantaged Business Enterprise (DBE) Database contains information on certified DBE firms, and is updated daily. To ensure that the database has the most current DBE's contact information, should there be a need to update these records, please email the Office of Business and Economic Opportunity, Certification Office at [DBE\\_Certification@dot.ca.gov](mailto:DBE_Certification@dot.ca.gov).

Use the following Query Form to find certified DBE firms to meet your contracting requirements, or download the Unified Certification Program (UCP) Database and perform your own search.

- [Click here to Access the DBE Query Form](#) (Export options: CSV | Excel | XML | PDF)
- [DBE Query Form Instructions / Tutorial](#)
- [Click Here to Download the DBE Database in Excel](#)

(The excel file may take a while to load. Please save this file to your Desktop)

- **NEW** The Excel © spreadsheet now has Work Codes indicating types of work DBE firms are certified to perform. Please note the NAICS Code listed for a DBE is its primary NAICS Code only, and the firm may have been assigned several other NAICS Codes. Use Work Codes as your primary search criteria when determining additional types of work DBE Firm is certified to perform.
- The spreadsheet should be used to meet contract goals as stipulated in [49 CFR part 26, Appendix A \(D\) \(1\)](#).
- To identify all relevant DBEs the excel spreadsheet can be sorted by: 1) work code, 2) Caltrans district, and 3) minority type. The relevant DBEs who should be solicited are those that are designated by the work codes corresponding to an adequate amount of work made available by the bidder who are available to work in the Caltrans district where the project is located plus those available to work in district code "0" (statewide). For example, if Paving Asphalt work is available in District 4, filter the spreadsheet in the following manner: Add filters to the spreadsheet (see below for details), Select Work Code C3910, Select District 4 from District, and then select Minority Type. Once you have saved the resulting list, change District to "0" to get a second listing of certified firms that have indicated they can work statewide.
- You can add filters to the excel spreadsheet to refine your search
- To add filters, do the following:  
Filtering: With the cursor pointer in cell A4, click "Data" on the Toolbar and select "Filter" and then "AutoFilter". This will add drop down arrows to the right of each



# They have good stuff...you want good stuff!

## Disadvantaged Business Enterprise Firm Search

Tue Jun 28 13:52:30 PDT 2011

Enter one or more search criteria. (You do **not** have to enter data for every search option listed.)  
Hold down the CTRL key to select more than one item for a single criteria. Click Start Search to begin.

For Bidders: It is recommended that when making a query to locate certified DBEs for subcontracting opportunities, your search include, at minimum, "Work Categories" and "NAICS Categories."  
\*NEW\* Work Code C8715 - Consultant, Engineering, has been added (only disadvantaged owners holding an engineering license qualify for this code); Work Code C8700 - Consultants, has been re-classified as Consultants, Non-Engineering.

[Civil Rights Home](#) [Caltrans Home](#) [Instructions/Tutorial](#)

### Caltrans Districts:

District 01  
District 02  
District 03  
District 04  
District 05

View Dist Map

### County:

Alameda  
Alpine  
Amador  
Butte  
Calaveras

### Work Category Codes:

A0110 CASH GRAINS  
A0130 FIELD CROPS, EXCEPT CASH GRAINS  
A0160 VEGETABLES & MELONS  
A0170 FRUITS & TREE NUTS  
A0180 HORTICULTURAL SPECIALTIES

View Work Cat. Codes

### Majority Owner Gender:

☐ Male ☐ Female  
  
☒ DBE ☐ ACDBE

### Race/Ethnicity:

Asian Pacific  
Asian Subcontinent  
Black  
Caucasian  
Hispanic

### License Type:

A General Engineering Contractor  
ARC Architect  
ASB Asbestos  
B General Building Contractor  
C02 Insulation and Acoustical Contractor

### NAICS Categories:

11 Agriculture, Forestry, Fishing, and Hunting  
21 Mining  
22 Utilities  
23 Construction  
31 Manufacturing

### NAICS Codes:

**Firm/DBA Name** (To improve search results, try variations on names (e.g. Inc., Inc, Incorp, or MAT, M.A.T., etc)) :

**Firm Id:**

**City:**

**Zip Code:**

**Area Code:**

Start Search - PDF Results

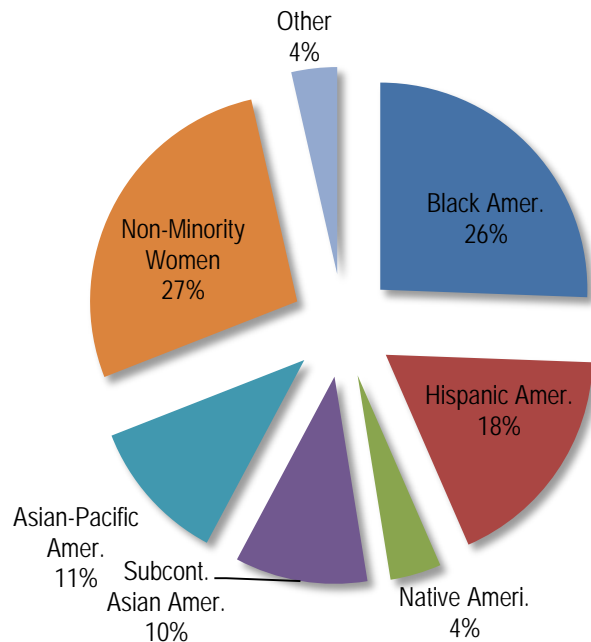
Start Search - Export Options

Clear Form

# Other is not “Unknown”

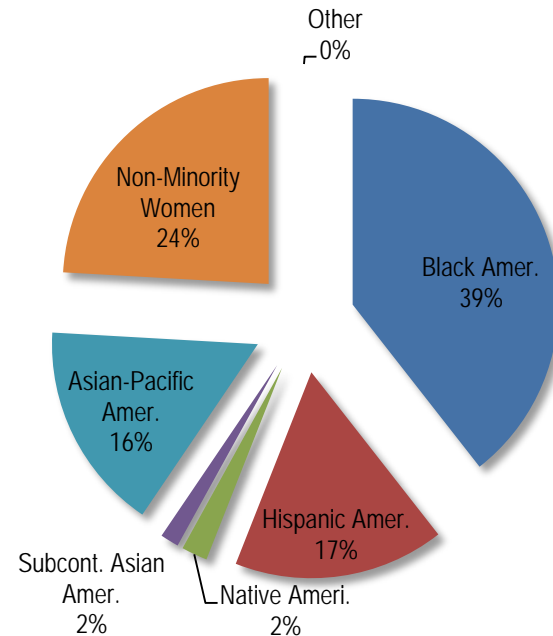
## Before trainings...

FFYs 2009 - 2010 Distribution of Awards (in Dollars) to DBEs by Ethnicity



## After training...

1st Half FFY 2011: Distribution of Awards (in Dollars) to DBEs by Ethnicity





# Questions?

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# Federal Transit Administration: DBE Reporting & TEAM

DBE Reporting: Actual Payments on Contracts Completed

# RC & RN Again !?!?!?

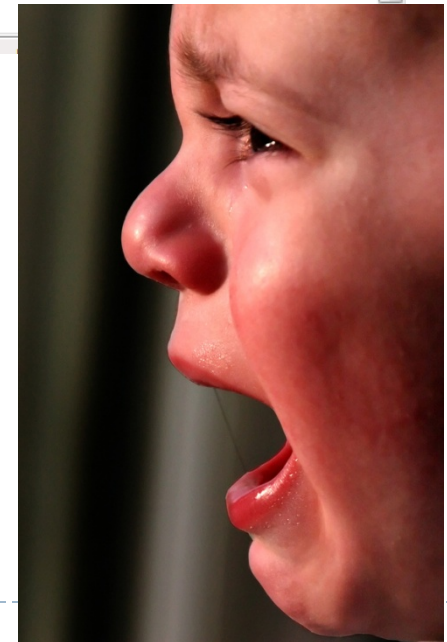
11. Total \*  
Dollar Value: \$0 \$0 \$0 \$130000 \$0 \$55000 \$0 \$185,000

Actual Payments on Contracts Completed This Reporting Period:

	A. Number of Prime Contracts Completed	B. Total Dollar Value of Prime Contracts Completed	C. DBE Participation Needed to Meet Goal (dollars)	D. Total DBE Participation (dollars)	E. Percentage of Total DBE Participation
12. Race * Conscious:	<input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>	0%
13. Race * Neutral:	<input type="text"/>	\$ <input type="text"/>		\$ <input type="text"/>	0%
Totals:	0	\$0		\$0	0%

Save Cancel

- ▶ Line 12: If contract goal set
- ▶ Line 13: No contract goals





# Participation Needed to Meet Goal: Return of the Black Field?

- ▶ **RN or Total?**
  - ▶ No!
  - ▶ Because values may come from multiple periods, may be irreconcilable
- ▶ **RC yes!**
  - ▶ Read form literally

ie	C. DBE Participation Needed to Meet Goal (dollars)	C
	\$ <input type="text"/>	\$ <input type="text"/>
		\$ <input type="text"/>
		\$0

III





Electrical

Paving

Roofing

+ \$6,000

+ \$50,000

+ \$100,000

= \$156,000

Contract	Amount	Contract Goal?	Status	Payments to DBEs
Transit Ctr Construct	\$5,500,000	10%	Complete	\$450,000
Engineer Support	\$560,000	None	Complete	\$35,000
Transit Vehicle Purchase	\$3,000,000	None	Complete	Unknown
Planning Study	\$420,000	6%	In Progress	\$10,000

Actual Payments on Contracts Completed This Reporting Period:

	A. Number of Prime Contracts Completed	B. Total Dollar Value of Prime Contracts Completed	C. DBE Participation Needed to Meet Goal (dollars)	D. Total DBE Participation (dollars)
12. Race * Conscious:	<input type="text" value="1"/>	<input type="text" value="\$5500000"/>	<input type="text" value="\$550000"/>	<input type="text" value="\$450000"/>
13. Race * Neutral:	<input type="text" value="1"/>	<input type="text" value="\$560000"/>		<input type="text" value="\$35000"/>
Totals:	2	\$6,060,000		\$485,000

Save Cancel

# Finally! 2 Steps to Save/Submit

## Saving

- ▶ All fields (except grant #)
- ▶ Select status from dropdown
  - ▶ New/Draft
- ▶ Press the Save button at the bottom

except grant number:

Status: \* --Select--  
Period: \* --Select--  
New/Draft  
Ready for Regional Review

## Submitting

- ▶ All fields (except grant #)
- ▶ Select status from dropdown
  - ▶ Ready for Regional Review
- ▶ Press the Save button at the bottom


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Save Cancel



# How do you know it worked?

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Status	Last Updated By	Last Updated Date
Approved	Randelle Ripton	4/11/2011 11:58:49 AM
Ready for HQ Review	Jimmy Moore	4/11/2011 8:18:47 AM
Ready for Regional Review	Jon Ausman	4/10/2011 9:10:01 PM

- ▶ Returned to View Screen
- ▶ Status Update at the Bottom!



# Finished!

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- ▶ **On the web:**
  - ▶ **Federal Transit Administration's DBE Page**
    - ▶ [www.fta.dot.gov/dbe](http://www.fta.dot.gov/dbe)
    - ▶ [FTADBETraining@dot.gov](mailto:FTADBETraining@dot.gov)
  - ▶ **Office of Small & Disadvantaged Business Utilization**
    - ▶ [www.osdbu.dot.gov](http://www.osdbu.dot.gov)
  - ▶ **TEAM Help Desk**
    - ▶ 888-443-5305
    - ▶ [Team.HelpDesk@DOT.GOV](mailto:Team.HelpDesk@DOT.GOV)
- ▶ **Call your Regional Civil Rights Officer!**