Federal Transit Administration: DBE Reporting & TEAM

DBE Reporting: Down to Business

Agenda

- 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

- **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**
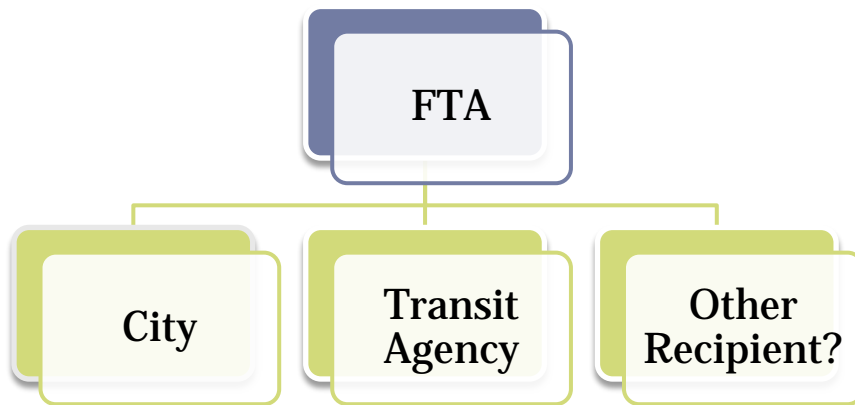
Regarding funding for "Operations"

▸ ***"Specifically***, *a recipient required to have a* ***DBE*** *program* <u>*may not*</u> *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

```
        ┌─────────┐
        │   FTA   │
        └────┬────┘
      ┌──────┼──────┐
 ┌────┴───┐ ┌┴─────┐ ┌┴──────────┐
 │  City  │ │Transit│ │   Other   │
 │        │ │Agency │ │ Recipient?│
 └────────┘ └───────┘ └───────────┘
```

▸ **Funds directly from FTA?**

  ▸ **Report to FTA**

    ▸ **Use TEAM**

Sub Recipients report to Direct Recipient

What about you?

State

FTA

MPO
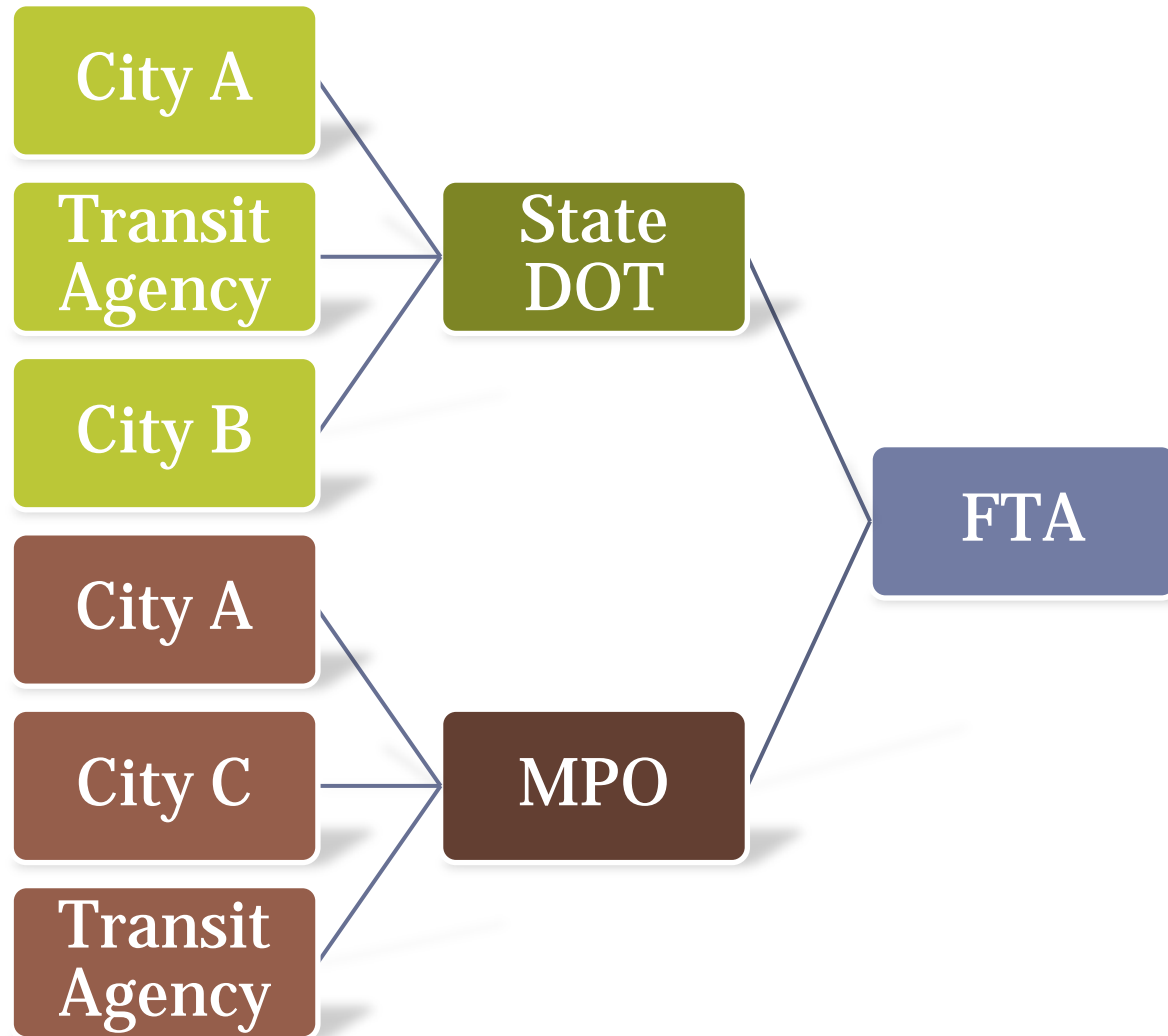
You
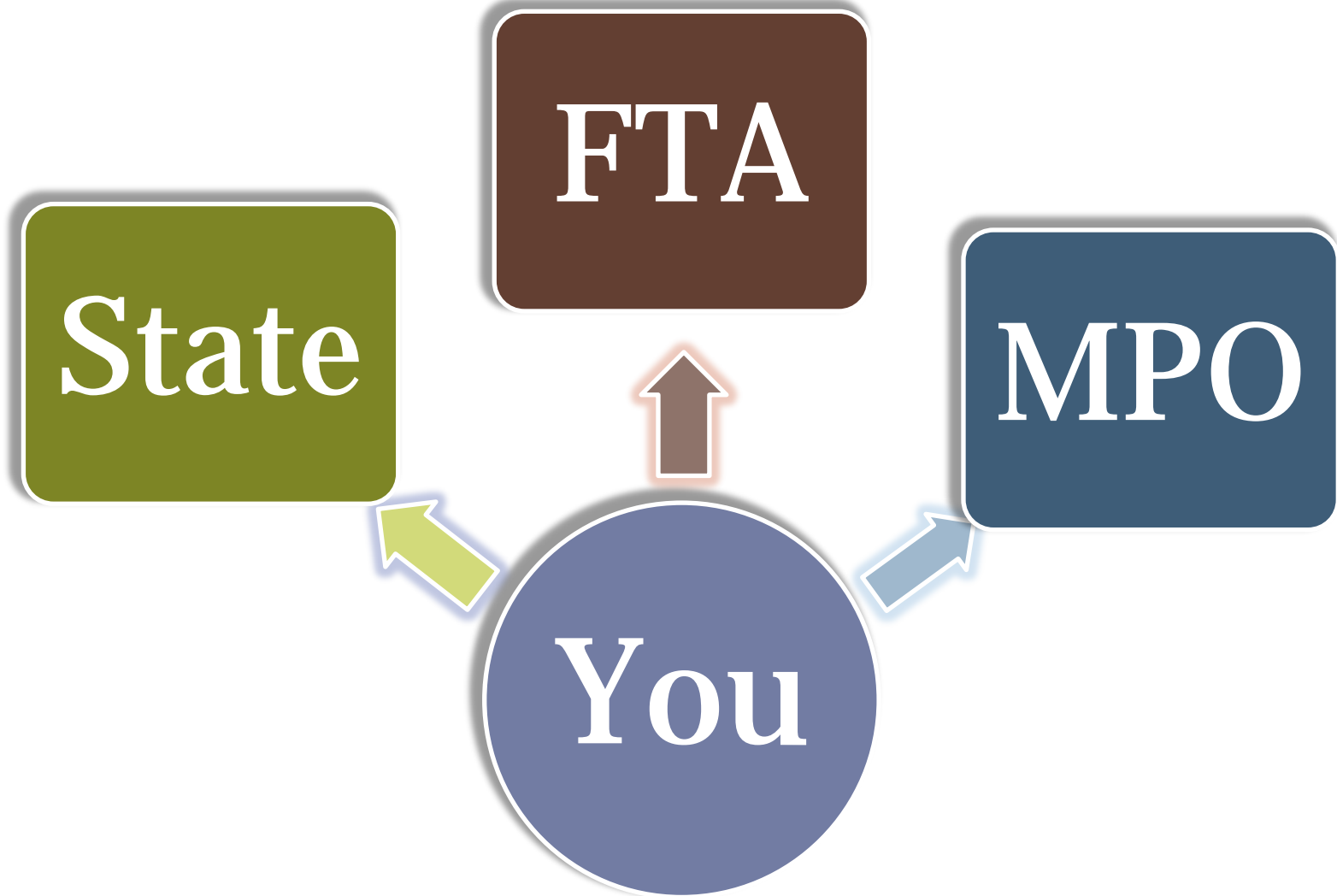
How long do I report?

▸ "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?

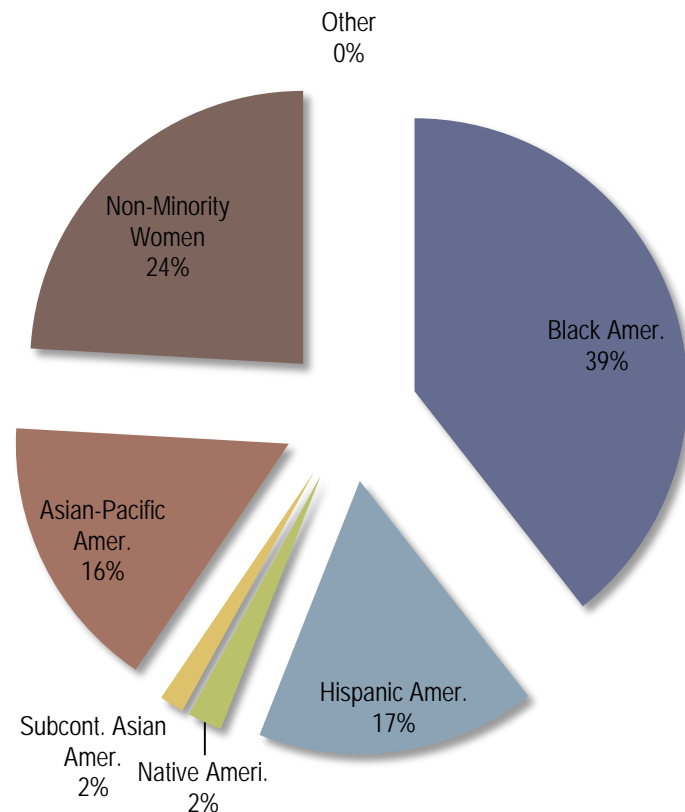## Percentage of FTA Dollars Awarded to DBE Firms: FFY 2008 - FFY 2011
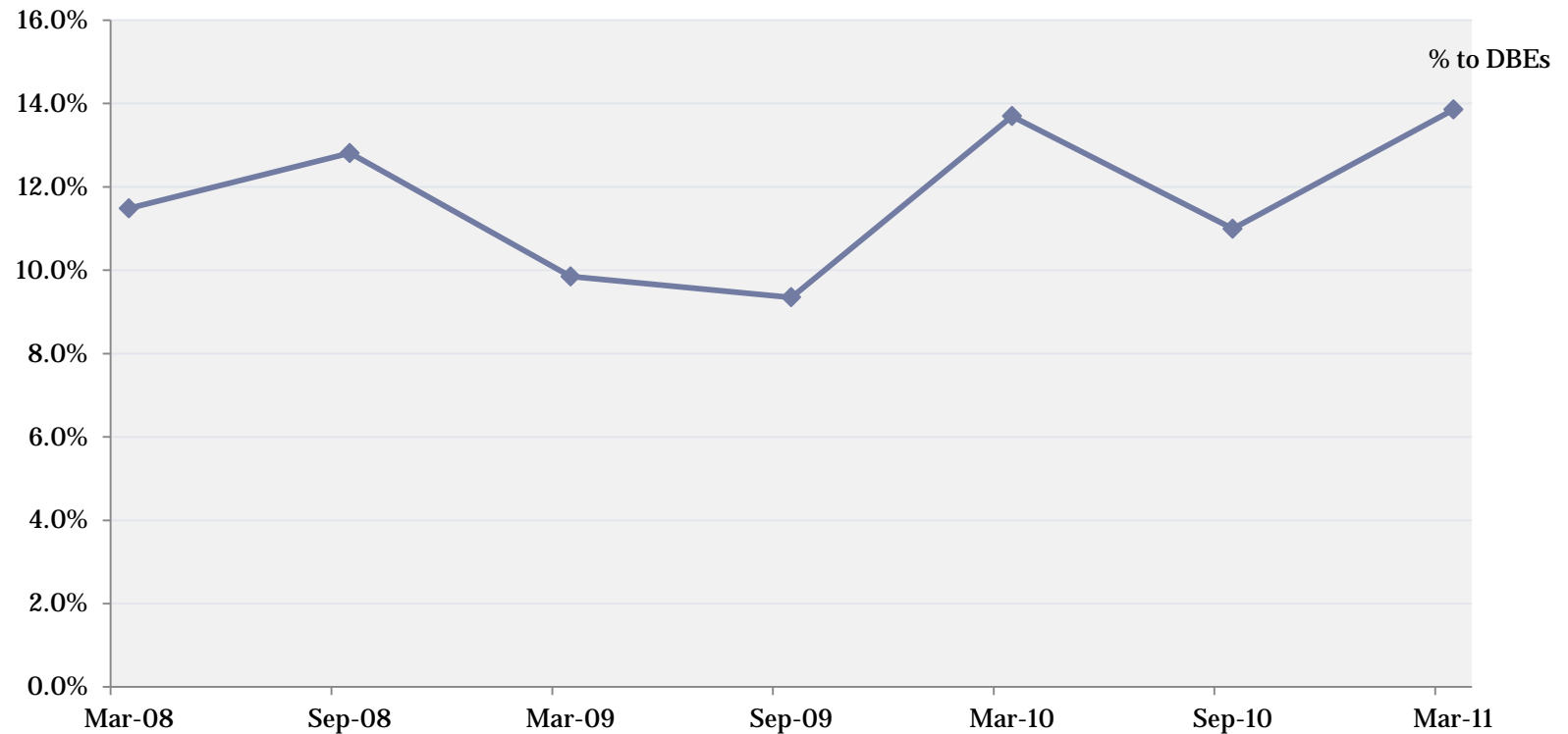
Your Input Matters…

- **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

- Other 0%
- Non-Minority Women 24%
- Black Amer. 39%
- Asian-Pacific Amer. 16%
- Subcont. Asian Amer. 2%
- Native Ameri. 2%
- Hispanic Amer. 17%

Two Major Types of Reports

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…

ARRA DBE Reports

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

Semiannual

- Two (2) Halves
  - October 1st to March 31st
  - April 1st to September 30th
- All funds covered by your goal
- Due June 1st and December 1st 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

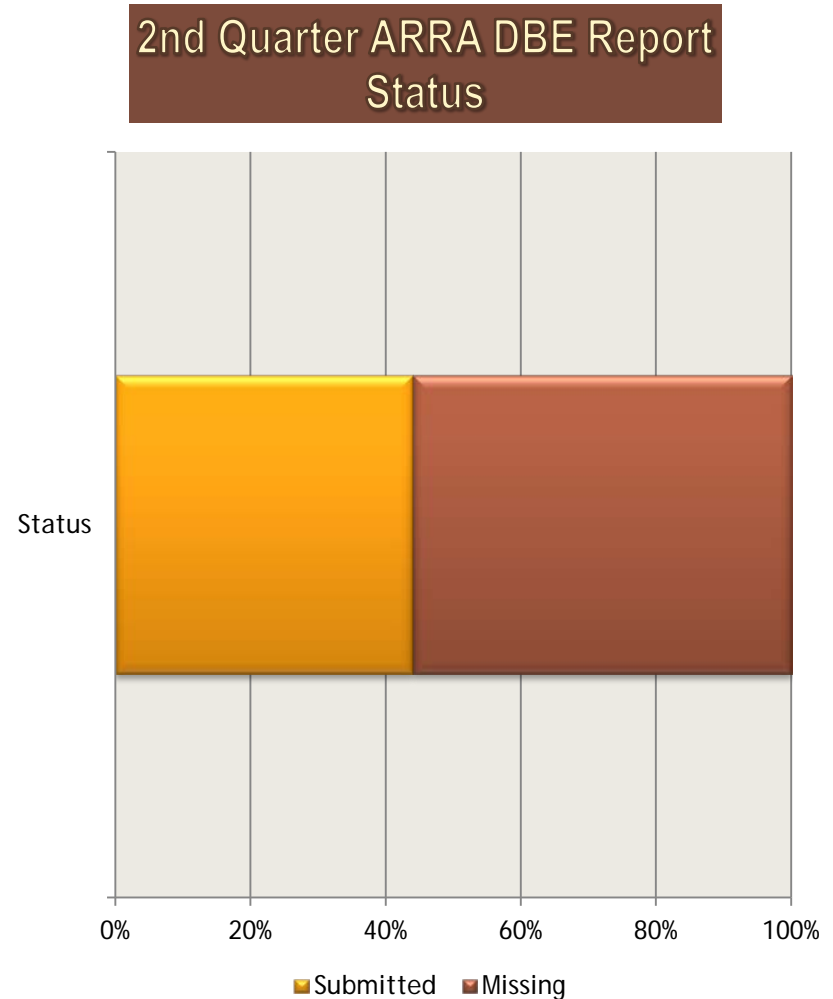**Status of 2nd Quarter FY 2011 Reports:**

Ready for Regional Review 3%
Ready for HQ Review 4%
Incorrect/Incomplete 1%
New/Draft 6%
Approved 30%
Missing 56%
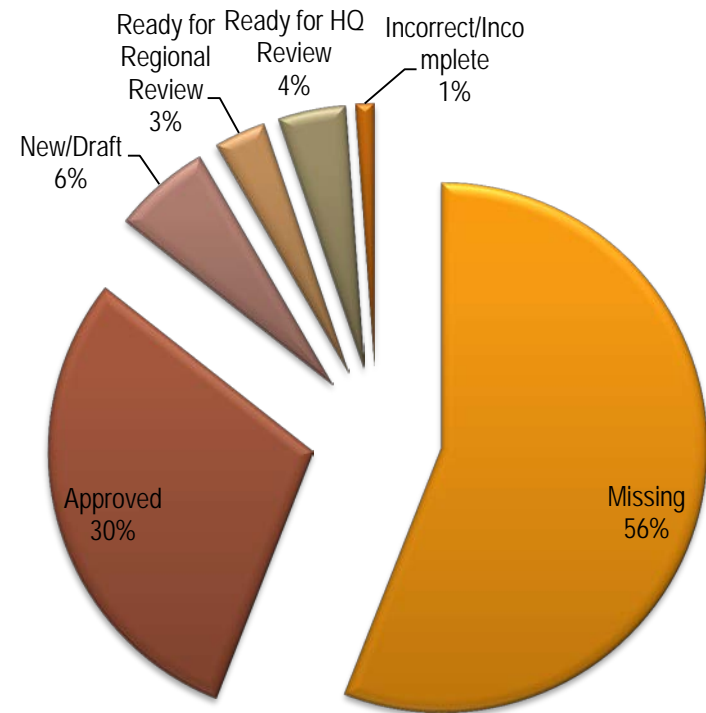
How do we fix the ARRA list?

- 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

2nd Quarter ARRA DBE Report Status

Status

0%   20%   40%   60%   80%   100%

■ Submitted   ■ Missing

14

Logging into TEAM

http://ftateamweb.fta.dot.gov/fta-flash2b.html

TEAM Reporting Basics

- **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…
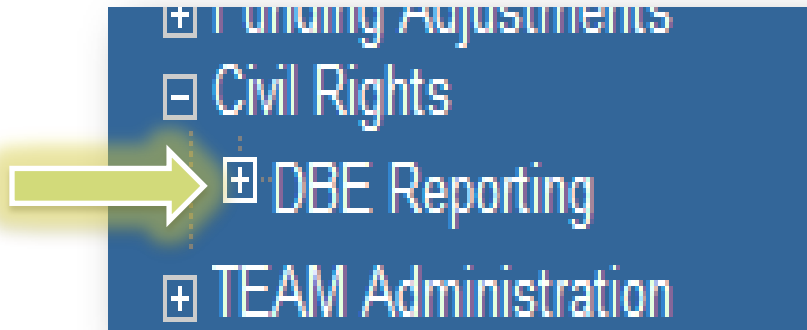
- **All features found in DBE Reporting**
  - **New**
    - First time creating a report
  - **Existing**
    - Reports you've begun
    - Reports "migrated" by FTA

How do I create Semiannual? ARRA reports?

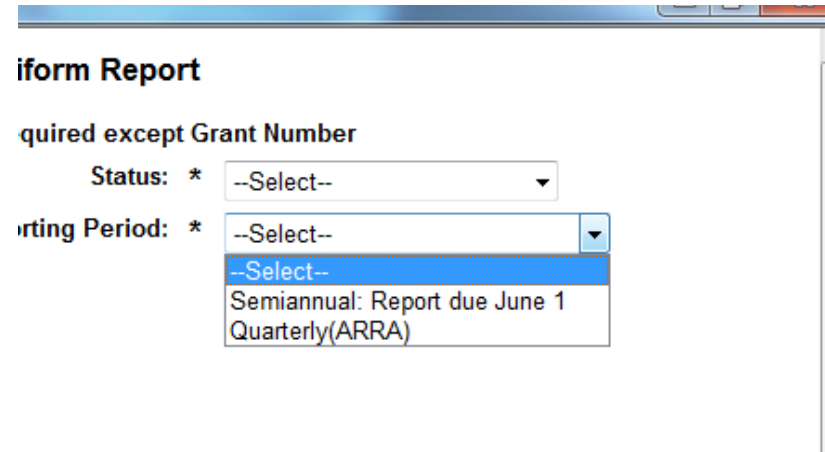▸ **Use the Reporting Period dropdown!**

- ▸ Only "Open" Reporting Periods will be available for selection

iform Report

quired except Grant Number

Status: * --Select--

rting Period: * --Select--
--Select--
Semiannual: Report due June 1
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:**

Submit Reset

- **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**
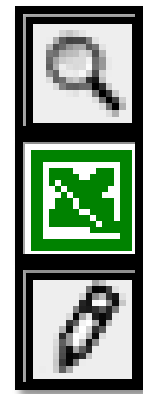
Questions?

Federal Transit Administration: DBE Reporting & TEAM

DBE Reporting: Awards & Ethnicity Breakdown

Prime contracts awarded this period?

▶ **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 2nd 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"**

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

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

▶ 24 This is intended to be a snapshot of your contracting activity
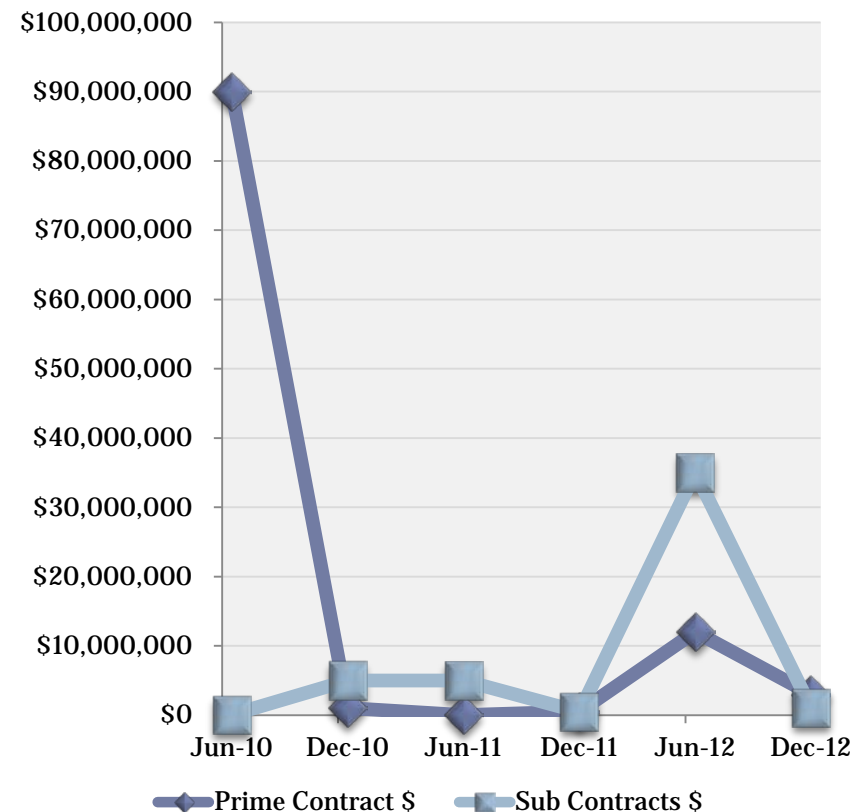
How does your agency frame contracts?

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 = ???**

Prime and sub contracts should not be combined to make total funds! Will be more than you were awarded.

Counting DBE Participation (§ 26.55)

- **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		C. Total to DBEs (dollars)	D. Total to DBEs (number)
8. Prime * Contracts Awarded This Period:	$ 1550000	3		$130,000	1
9. * Subcontracts Awarded/ Committed This Period:	$ 470000	4		$55,000	1
Total:	███████	███████		$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:

Prime Contractor	Amount ($) of Prime Contract	DBE Status (Y or N)	Non-DBE Sub $	DBE Sub $
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?

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?

- Race Neutral not an excuse!

- Contact your member UCP

- No guessing!

- UCP uses definitions in § 26.5 to categorize
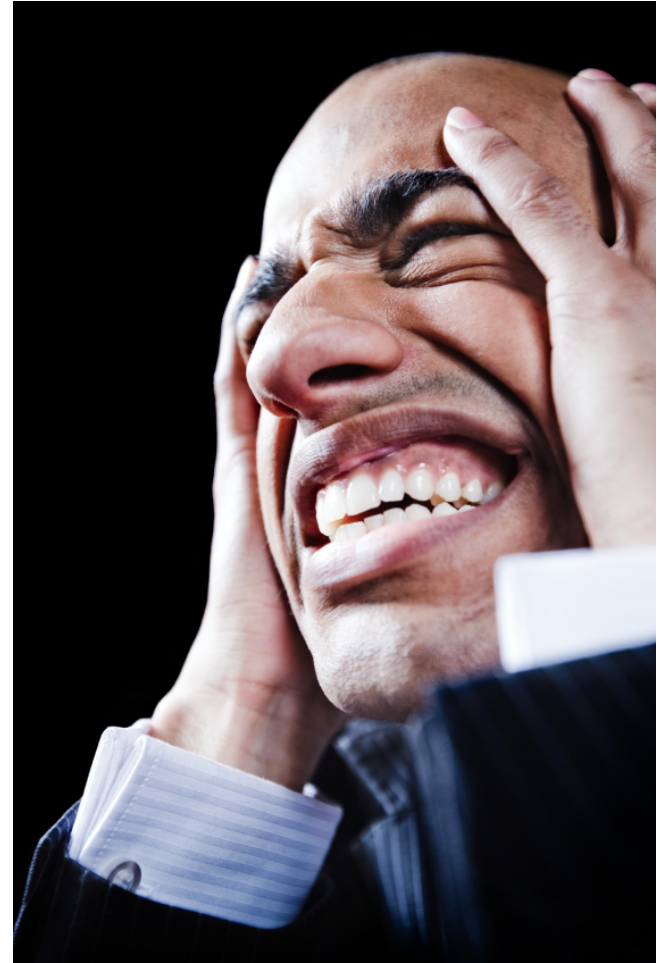
What does your UCP Offer?

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: **County:**   **Work Category Codes:**

District 01	Alameda	A0110 CASH GRAINS
District 02	Alpine	A0130 FIELD CROPS, EXCEPT CASH GRAINS
District 03	Amador	A0160 VEGETABLES & MELONS
District 04	Butte	A0170 FRUITS & TREE NUTS
District 05	Calaveras	A0180 HORTICULTURAL SPECIALTIES

View Dist Map   View Work Cat. Codes

Majority Owner Gender: **Race/Ethnicity:**   **License Type:**

◯ **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 Accoustical Contractor

NAICS Categories: **NAICS Codes:**

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

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:**
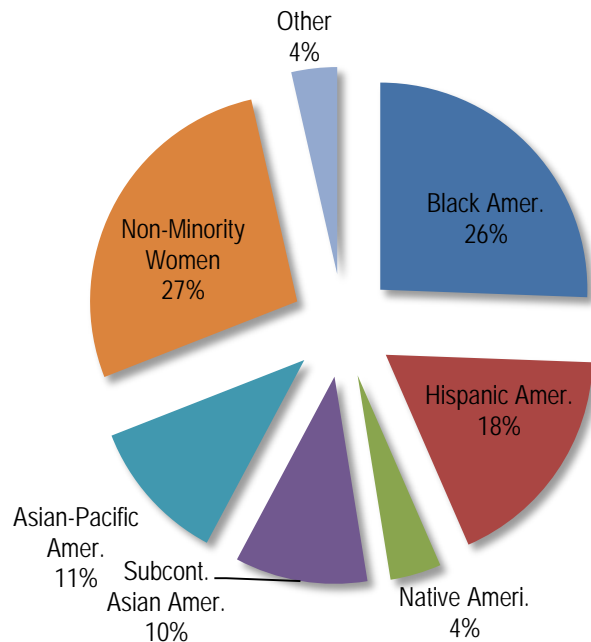
Start Search - PDF Results   Start Search - Export Options   Clear Form
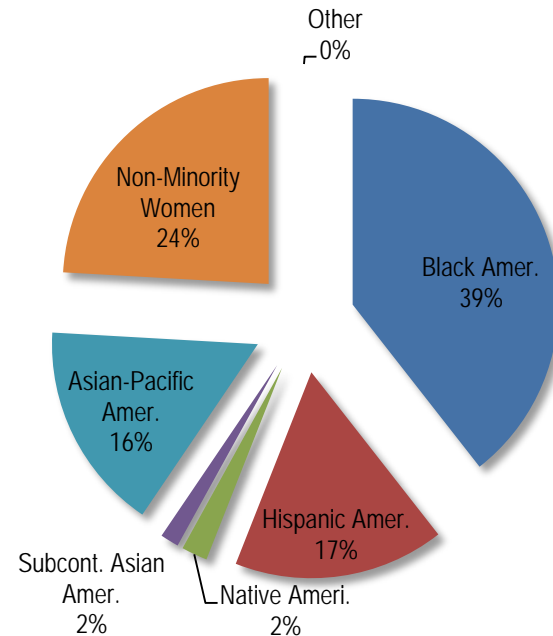
Other is not "Unknown"

Before trainings...

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

- Other 4%
- Black Amer. 26%
- Non-Minority Women 27%
- Asian-Pacific Amer. 11%
- Subcont. Asian Amer. 10%
- Native Ameri. 4%
- Hispanic Amer. 18%

After training...

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

- Other 0%
- Non-Minority Women 24%
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- Subcont. Asian Amer. 2%
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- Hispanic Amer. 17%

Questions?

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:		$	$	$	0%
13. Race * Neutral:		$	███████	$	0%
Totals:	0	$0	███████	$0	0%

Save   Cancel

▸ Line 12: If contract goal set

▸ Line 13: No contract goals
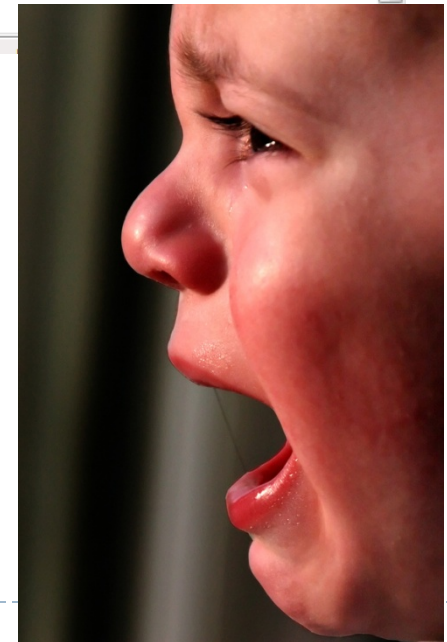
Participation Needed to Meet Goal: Return of the Black Field?

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

DBE Participation Needed to Meet Goal

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

ctual 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:	1	$ 5500000	$ 550000	$ 450000
13. Race * Neutral:	1	$ 560000	██████████	$ 35000
Totals:	2	$6,060,000		$485,000

Save   Cancel

Trusted sites | Protected Mode: Off

Finally! 2 Steps to Save/Submit

Saving

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

Submitting

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

How do you know it worked?

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!

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