



Federal Transit Administration: DBE Reporting & TEAM

DBE Reporting: Down to Business

Agenda

- ▶ **Big Picture Items**
 - ▶ Reporting time frames?
 - ▶ Prime Contract?
- ▶ **Awards/Commitments this Period**
- ▶ **The Breakdown: Ethnicity/Gender**
- ▶ **Actual Payments on Contracts Completed this Period**
- ▶ **The Federal Share**
- ▶ **Open Discussion**
- ▶ **Adjourn**



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**

ARRA DBE Reports due...



- ▶ ***Official due dates!***

- ▶ January 10th
- ▶ April 10th
- ▶ July 10th
- ▶ October 10th

- ▶ ***Until contracts are complete!***

- ▶ *Tell your RCRO when you're finished.*
- ▶ *Option not removed from TEAM*

Big Picture Items

- ▶ **Consistency is key!**
 - ▶ Same for DBEs as all contractors
- ▶ **Follow the prime contract**
 - ▶ Determined by order of exchange
 - ▶ Not by the size or type of exchange
- ▶ **\$250k rule applies to the direct recipient**
 - ▶ You must monitor the sub recipients!



Who?

- ▶ **49 CFR §26.21**
 - ▶ Planning,
 - ▶ Capital and/or
 - ▶ Operating
 - ▶ *Excluding transit vehicle procurements*
- ▶ **Exceeding \$250,000**



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



Questions?





Federal Transit Administration: DBE Reporting & TEAM

DBE Reporting: Awards & Ethnicity Breakdown



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
AWARDS/COMMITMENTS MADE DURING THIS REPORTING PERIOD (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			
TOTAL			

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

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

Only Count DBE work performed

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



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

Small Contracts? Purchases?

- ▶ Do you have to count every trip to the gas station?
 - ▶ **No.** But you do have to account for all of the dollars.
 - ▶ **However.** *Would you benefit by changing your procurement process?*





Questions?



Ethnicity Breakdown

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

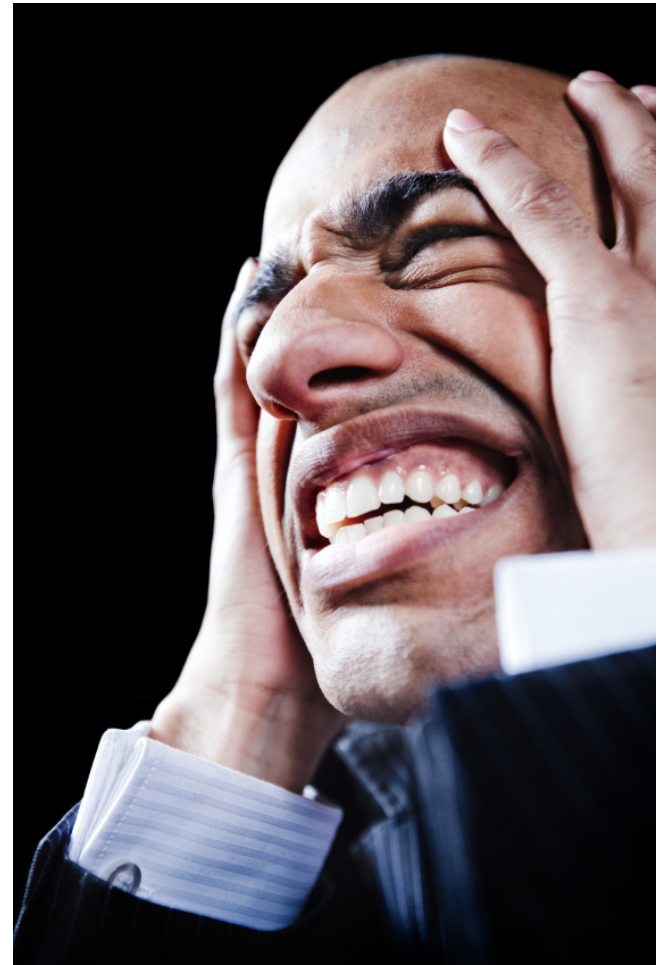
	A. Black American	B. Hispanic American	C. Native American	D. Subcont. Asian American	E. Asian-Pacific American	F. Non-Minority Women	G. Other	H. Total (number)
10. Total Number of Contracts: (Prime and Sub) *	0	0	0	1	0	1	0	2
11. Total Dollar Value: *	\$ 0	\$ 0	\$ 0	\$ 130000	\$ 0	\$ 55000	\$ 0	\$185,000

- ▶ **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?

» 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

OTHER PROGRAMS

» Title VI Program


» ADA Coordinator

» Unified Certification Program

» Limited English Proficiency (LEP)


» Contact Us

» Site Map



Caltrans > Business > DBE 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.

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

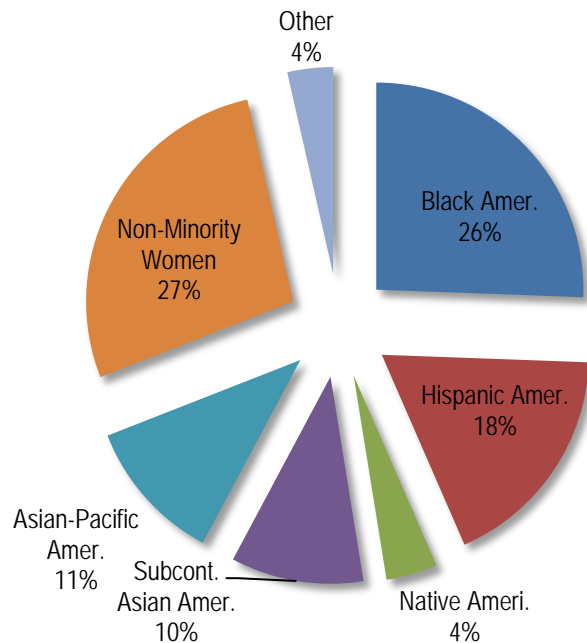
Start Search - Export Options

Clear Form

Other is not “Unknown”

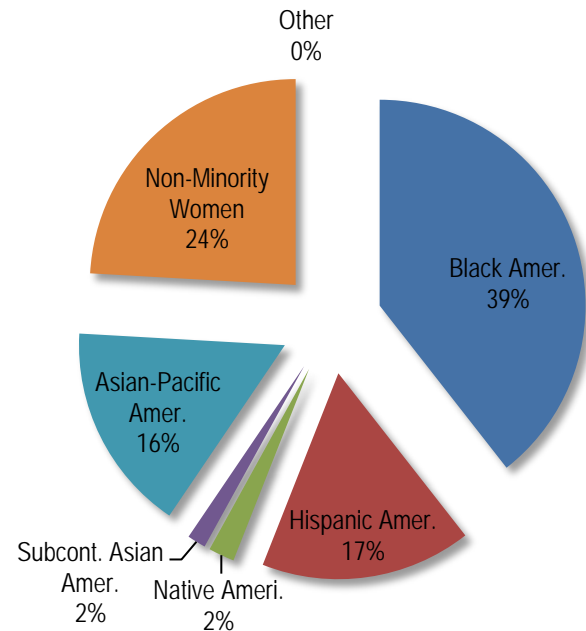
Before trainings...

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?





Federal Transit Administration: DBE Reporting & TEAM

DBE Reporting: Actual Payments on Contracts Completed

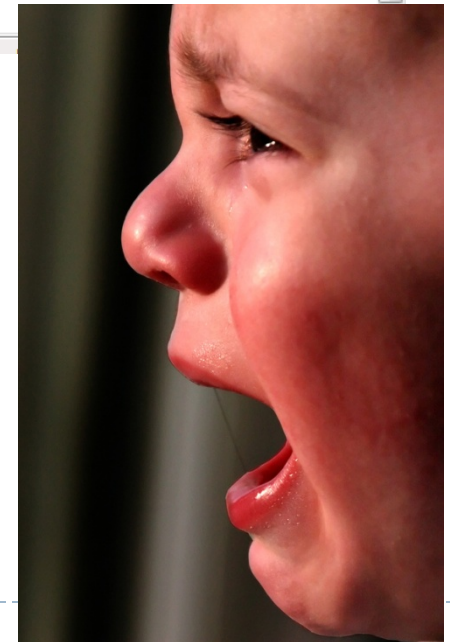


RC & RN Again !?!?!?

11. Total *		\$0	\$0	\$0	\$130000	\$0	\$55000	\$0	\$185,000
Dollar Value:									
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 *	<input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>	0%				
Conscious:									
13. Race *	<input type="text"/>	\$ <input type="text"/>		\$ <input type="text"/>	0%				
Neutral:									
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

C. DBE Participation Needed to Meet Goal (dollars)	
\$	\$
	\$
	\$0

ve Cancel



DBE Participation Needed to Meet Goal

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

ve

Cancel

Electrical

+ \$6,000

+ \$50,000

+ \$100,000

= \$156,000

Actual Payments on Contracts Completed (this period)

Contract	Amount	Contract Goal?	Status	Payments to DBEs
Transit Ctr Construct	\$125,000,000	10%	Complete	\$1,500,000
Engineer Support	\$5,600,000	None	Complete	\$35,000
Transit Vehicle Purchase	\$35,000,000	None	Complete	Unknown
Planning Study	\$420,000	6%	In Progress	\$10,000
Facility Renovation	\$100,000,000	20%	Complete	\$18,975,000



Questions?



The Federal Share

- ▶ Report the FTA share of funds?
- ▶ What type of funding do you receive?
 - ▶ Thru State?
 - ▶ Recovery Act? (ARRA)
 - ▶ Urbanized Area Formula?
 - ▶ Per project?
 - ▶ Operating

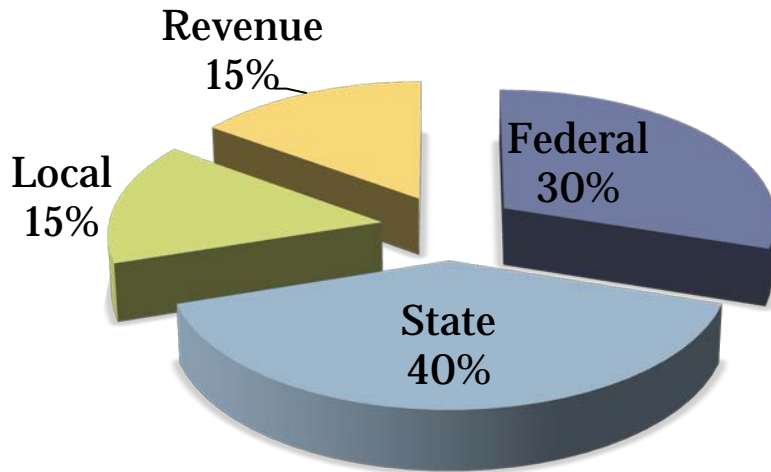




- ▶ **Per project:**
 - ▶ Typically 80/20
 - ▶ Sometimes anywhere in between
- ▶ As easy as .8 multiplied by dollar amount
 - ▶ (e.g. – $500,000 * .8 = \$400,000$)

Operating?

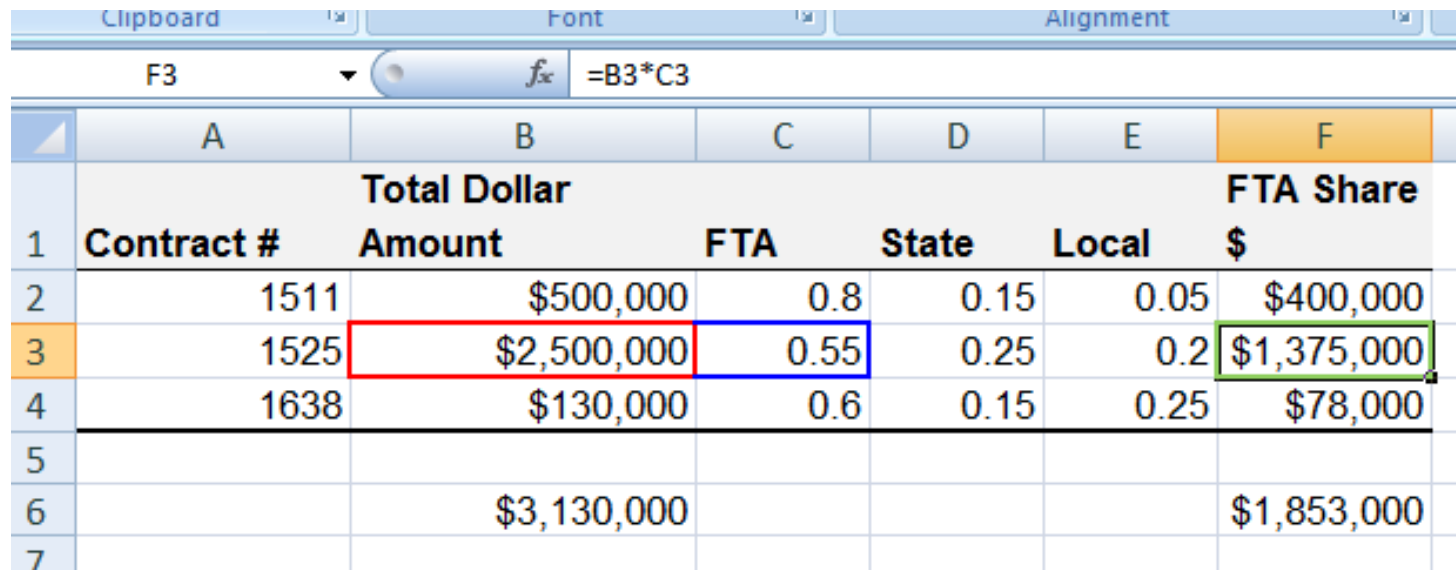
Operating Breakdown



- ▶ *Can apply to any contracts (services and/or supplies)*
- ▶ *Apply FTA Share across all expenditures*
 - ▶ *(i.e. - $.3 * \$175,000 = \$52,500$)*

In the Long Run...

- ▶ You'll probably need a spreadsheet (or software)...
- ▶ Consider, funding sources
- ▶ Consider credit to DBEs, i.e. –
 - ▶ *DBE supplier = 60% or .6*



	A	B	C	D	E	F
		Total Dollar				FTA Share
1	Contract #	Amount	FTA	State	Local	\$
2	1511	\$500,000	0.8	0.15	0.05	\$400,000
3	1525	\$2,500,000	0.55	0.25	0.2	\$1,375,000
4	1638	\$130,000	0.6	0.15	0.25	\$78,000
5						
6		\$3,130,000				\$1,853,000
7						



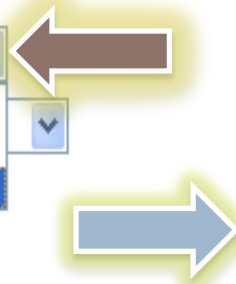
Finally! 2 Steps to Save/Submit

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

\$		\$		\$	
\$				\$	
\$0				\$0	

Save Cancel



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
 - ▶ FTA.ARRACivilRightsReq@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!**



Questions?

