



FEDERAL TRANSIT ADMINISTRATION

# Transit Vehicle Manufacturer DBE Uniform Reporting Refresher Training



FEDERAL TRANSIT ADMINISTRATION

# Topics Covered

- ✓ Reporting Window
- ✓ Properly Completing Uniform Reports
- ✓ Effective Practices
- ✓ Avoiding Common Errors

# When Do You Submit Reports?

## ☐ June 1<sup>st</sup> Uniform Report

Contracting activity from *October 1<sup>st</sup> to March 31<sup>st</sup>*

## ☐ December 1<sup>st</sup> Uniform Report

Contracting activity from *April 1<sup>st</sup> to September 30<sup>th</sup>*

# Where Do You Submit Reports?

Uniform Reports are no longer submitted using the DOORS electronic system

Uniform Reports must be submitted via email to FTA at [theresa.robinson.ctr@dot.gov](mailto:theresa.robinson.ctr@dot.gov)

The Uniform Report is located on the FTA webpage:  
<http://www.fta.dot.gov/civilrights/12891.html>

# What Are You Reporting?

- ☐ The full FTA share of contracts awarded during the FY (DBE and non-DBE)
- ☐ Ethnicity and gender of DBE contractors
- ☐ Completed FTA-assisted contracts

# What is a Contract?

Contract – a legally binding agreement obligating a seller to furnish supplies or services *49 CFR 26.5*

- Prime contract (1<sup>st</sup> tier contract) = *Direct agreement* between the TVM and a DBE or non-DBE supplier
- Subcontract (2<sup>nd</sup> tier contract) = Agreement between prime contractor and a 2<sup>nd</sup> tier supplier
  - 2<sup>nd</sup> tier supplier: a company that supplies materials or parts to another company that then supplies them to a TVM

# Reporting the Overall Amount of Contracts Awarded

8A=Value of ***all*** DBE and non-DBE contracts awarded (FTA-share only)

8B= The number of ***all*** DBE and non-DBE contracts awarded

Awards/Commitments Made During This Reporting Period:					
	A. Total Dollars	B. Total Number	C. Total to DBEs (dollars)	D. Total to DBEs (number)	
8. Prime Contracts Awarded This Period:	\$401,017.00	1	\$0	0	\$0
9. Subcontracts Awarded/Committed This Period:	\$254,396.00	7	\$137,244	2	\$5
Total:			\$137,244	2	\$5

DBE Awards/Commitments This Reporting Period

# Ensure Dollars Have Associated Contracts

	A. Total Dollars	B. Total Number
8. Prime Contracts Awarded This Period:	\$1,901,274.00	0
9. Subcontracts Awarded/Committed This Period:	\$58,990.00	2
Total:		

List the full FTA share of dollars awarded in field 8A *and* the number of prime contracts awarded in 9A



# Example

In FY2009, Hypothetical Transit Vehicle Manufacturer (HTVM) successfully bid on an FTA-assisted vehicle procurement with Hypothetical Transit Agency (HTA). This was HTVM's first FTA-assisted vehicle procurement and the contract award was \$85 million. The FTA-share of this contract was \$75 million and the remaining \$10 million was contributed through state and local funds.

## Example cont'd

HTVM awarded \$20 million of its FTA-share to DBEs and non-DBEs contractors throughout FY09-FY14 and retained the remaining \$55 million as its profit. In March 2014, it awarded 2 prime contracts to non-DBE suppliers (Prime A and Prime B) and 1 DBE prime contract (Prime C) all totaling \$1 million.

❑ 8A: \$1 M

❑ 8B: 3 (total number of all prime contracts awarded)

# Reporting the Overall Amount of Contracts Awarded

9A=Value of ***all*** DBE and non-DBE subcontracts (or 2<sup>nd</sup> tier contracts) awarded

9B= The number of ***all*** DBE and non-DBE subcontracts (or 2<sup>nd</sup> tier contracts) awarded

Remember: Subs are a part of prime!

Awards/Commitments Made During This Reporting Period:					
	A. Total Dollars	B. Total Number	C. Total to DBEs (dollars)	D. Total to DBEs (number)	
8. Prime Contracts Awarded This Period:	\$401,017.00	1	\$0	0	\$0
9. Subcontracts Awarded/Committed This Period:	\$254,396.00	7	\$137,244	2	\$137,244
Total:			\$137,244	2	\$137,244

# Ensure Dollars Have Associated Contracts

Annual DBE Goal(s):

Race Conscious Goal: 0%

Race Neutral Goal

Awards/Commitments Made During This Reporting Period:

	A. Total Dollars	B. Total Number	C. Total to DBEs (dollars)	D. Total to DBEs (number)
8. Prime Contracts Awarded This Period:	\$632,263.00	20	\$0	0
9. Subcontracts Awarded/Committed This Period:	\$122,140.00	0	\$122,140	2
Total:			\$122,140	2

“Total Dollar” and “Total Number” columns include contracts to DBEs

*Note: Total Dollars and Total Numbers should be greater than or equal to Total Dollars and Total Number to DBEs*

# Example cont'd



HTVM awarded \$20 million of its FTA-share to DBEs and non-DBEs contractors throughout FY09-FY14 and retained the remaining \$55 million as its profit. In March 2014, it awarded 2 prime contracts to non-DBE suppliers (Prime A and Prime B) and 1 DBE prime contract (Prime C) all totaling \$1 million. Prime A let 3 DBE subcontracts and 1 non-DBE subcontract all totaling \$45,000. Prime B let 1 non-DBE subcontract totaling \$5,000. Prime C did not let any subcontracts.

- ❑ 9A: \$50,000 (\$45,000 + \$5,000)
- ❑ 9B: 5 (total number of subcontract contracts awarded)

# Reporting DBE Contracts Awarded this Period

8C= Value of DBE prime contracts (or 1<sup>st</sup> tier contracts) awarded

8D= Number of DBE prime contracts (or 1<sup>st</sup> tier contracts) awarded

Awards/Commitments Made During This Reporting Period:					
	A. Total Dollars	B. Total Number	C. Total to DBEs (dollars)	D. Total to DBEs (number)	
8. Prime Contracts Awarded This Period:	\$401,017.00	1 	\$0	0 	\$0
9. Subcontracts Awarded/Committed This Period:	\$254,396.00	7	\$137,244	2	\$0
Total:			\$137,244	2	\$0
DBE Awards/Commitments This Reporting Period					

## Example cont'd

In March 2014, it awarded 2 prime contracts to non-DBE suppliers (Prime A and Prime B) and 1 DBE prime contract (Prime C) all totaling \$1 million. Prime A's contract totaled \$300,000. Prime B's contract totaled \$500,000. Prime C's contract totaled \$200,000.

- ☐ 8C: \$200,000 (Prime C's contract value)
- ☐ 8D: 1 (total number of DBE prime contracts awarded)

# Identifying DBE Contracts Awarded this Period

9C= Value of DBE subcontracts (or 2<sup>nd</sup> tier contracts) awarded

9D= Number of DBE subcontracts (or 2<sup>nd</sup> tier contracts) awarded

Awards/Commitments Made During This Reporting Period:					
	A. Total Dollars	B. Total Number	C. Total to DBEs (dollars)	D. Total to DBEs (number)	
8. Prime Contracts Awarded This Period:	\$401,017.00	1	\$0	0	\$0
9. Subcontracts Awarded/Committed This Period:	\$254,396.00	7	\$137,244	2	\$137,244
Total:			\$137,244	2	\$137,244



## Example cont'd

In March 2014, it awarded 2 prime contracts to non-DBE suppliers (Prime A and Prime B) and 1 DBE prime contract (Prime C) all totaling \$1 million. Prime A's contract totaled \$300,000. Prime B's contract totaled \$500,000. Prime C's contract totaled \$200,000.

Prime A let 3 DBE subcontracts and 1 non-DBE subcontract all totaling \$45,000. The 3 DBE subcontract totaled \$40,000. Prime B let 1 non-DBE subcontract totaling \$5,000. Prime C did not let any subcontracts.

- ❑ 9C: \$40,000 (total DBE subcontracts)
- ❑ 9D: 3 (total number of DBE subcontract awarded)

# Reminder:

## Consider all FTA Funds

Your report must include all FTA-assisted contracting activity

Your report would contain all zeroes **if** there were **no** FTA-assisted contracting activity during the period

Do not insert “Not Applicable” in these reports



# Effective Practice

The Bill of Materials can be expanded to reflect:

- ☐ the supplies and services purchased
- ☐ the date of the purchase
- ☐ the name and DBE/non-DBE status of the supplier
- ☐ the amount of the item purchased

# Race-Conscious versus Race-Neutral DBE Participation

Did you implement race-conscious measures (i.e., contract goals)? If not, all DBE participation was accomplished through race-neutral measures.

Report this participation in columns E-H

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

# **Reminder: Race-Conscious v. Race-Neutral DBE Participation**



Having a contract with a firm whose owner is of a particular “race” does not make your contract “race-conscious”



# Reporting RN/RC DBE Participation

8E= Value of DBE prime contracts (or 1<sup>st</sup> tier contracts) awarded using RC measures

8F= Number of DBE prime contracts (or 1<sup>st</sup> tier contracts) awarded using RC measures

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		\$0	0		1
\$55,000	1	\$0	0	\$55,000	1
\$185,000	2	\$0	0	\$185,000	2

## Example cont'd

In March 2014, it awarded 2 prime contracts to non-DBE suppliers (Prime A and Prime B) and 1 DBE prime contract (Prime C) all totaling \$1 million. Prime A's contract totaled \$300,000. Prime B's contract totaled \$500,000. Prime C's contract totaled \$200,000.



HTVM has a 100% race neutral program.

- ☐ 8E: \$0 (no RC DBE prime contracts awarded)
- ☐ 8F: 0 (no RC DBE prime contracts awarded)

# Reporting RN/RC DBE Participation

9E= Value of DBE subcontracts (or 2<sup>nd</sup> tier contracts) awarded using RC measures

9F= Number of DBE subcontracts (or 2<sup>nd</sup> tier contracts) awarded using RC measures

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		\$ 0	0		1
\$185,000	2	\$0	0	\$185,000	2



## Example cont'd

In March 2014, it awarded 2 prime contracts to non-DBE suppliers (Prime A and Prime B) and 1 DBE prime contract (Prime C) all totaling \$1 million. Prime A's contract totaled \$300,000. Prime B's contract totaled \$500,000. Prime C's contract totaled \$200,000.

Prime A let 3 DBE subcontracts and 1 non-DBE subcontract all totaling \$45,000. The 3 DBE subcontract totaled \$40,000. Prime B let one non-DBE subcontract totaling \$5,000. Prime C did not let any subcontracts. HTVM has a 100% race neutral program.

- ☐ 9E: \$0 (no RC DBE subcontracts awarded)
- ☐ 9F: 0 (no RC DBE subcontract awarded)

# Reporting RN/RC DBE Participation

8G= Value of DBE prime contracts (or 1<sup>st</sup> tier contracts) awarded using RN measures

8H= Number of DBE prime contracts (or 1<sup>st</sup> tier contracts) awarded using RN measures

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

## Example cont'd

In March 2014, it awarded 2 prime contracts to non-DBE suppliers (Prime A and Prime B) and 1 DBE prime contract (Prime C) all totaling \$1 million. Prime A's contract totaled \$300,000. Prime B's contract totaled \$500,000. Prime C's contract totaled \$200,000.

HTVM has a 100% race neutral program.

- ☐ 8G: \$200,000 (Prime C's race neutral prime contract)
- ☐ 8H: 1 (Prime C's race neutral prime contract)

# Reporting RN/RC DBE Participation

9G= Value of DBE subcontracts (or 2<sup>nd</sup> tier contracts) awarded using RN measures

9H= Number of DBE subcontracts (or 2<sup>nd</sup> tier contracts) awarded using RN measures

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		\$ 55000	1
\$185,000	2	\$0	0	\$185,000	2

## Example cont'd

In March 2014, it awarded 2 prime contracts to non-DBE suppliers (Prime A and Prime B) and 1 DBE prime contract (Prime C) all totaling \$1 million. Prime A's contract totaled \$300,000. Prime B's contract totaled \$500,000. Prime C's contract totaled \$200,000.

Prime A let 3 DBE subcontracts and 1 non-DBE subcontract all totaling \$45,000. The 3 DBE subcontract totaled \$40,000. Prime B let one non-DBE subcontract totaling \$5,000. Prime C did not let any subcontracts. HTVM has a 100% race neutral program.

- ❑ 9G: \$40,000 (3 RN DBE subcontracts awarded by Prime A)
- ❑ 9H: 3 (total RN DBE subcontracts awarded by Prime A)

# 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

“DBE Awards/Commitments” in “This Reporting Period

- ☐ The information reported in this section should match the DBE award values listed in sections 8 and 9

# Ethnicity Breakdown

*This means*

## 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)	2	0	0	0	0	0	0	2
11. Total Dollar Value:	\$137,244.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$137,244

## Awards/Commitments Made During This Reporting Period:

	A. Total Dollars	B. Total Number	C. Total to DBEs (dollars)	D. Total to DBEs (number)
8. Prime Contracts Awarded This Period:	\$401,017.00	1	\$0	0
9. Subcontracts Awarded/Committed This Period:	\$254,396.00	7	\$137,244	2
Total:			\$137,244	2

*Should reflect*

# Ethnicity Breakdown

- ❑ Complete the “Breakdown by Ethnicity & Gender” when you **award** prime and/or subcontracts to DBEs
- ❑ Ensure that the number of contracts correlates to the dollar value awarded to each group
- ❑ “Other” is used for those certified DBE firms who are not in the groups that are listed

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)	1	5	0	0	0	7	2	15
11. Total Dollar Value:	\$1,935.00	\$43,554.00	\$0.00	\$0.00	\$0.00	\$64,358.00	\$12,210.00	\$122,057



# Reporting Payment on Completed Contracts

- ☐ When the contract is completed, you will report the final values of that contract
- ☐ Use Line 12 if you set a contract goal at the time of bid
- ☐ Use Line 13 if you did not set a contract goal

## 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:	1	\$401,017.00	59140.00	\$137,244.00	34.2 %
13. Race Neutral:	0	\$0.00		\$0.00	0.0 %
Totals:	1	\$401,017		\$137,244	34.2 %

# Reporting Payment on Completed Contracts

- ❑ Contracts may not complete during same period as awarded
  - ❑ The numerical values in line 8 and 9 may not reconcile on same form
- ❑ Final vehicle delivery does not determine contract completion
  - ❑ TVMs are not reporting the contracts received from transit agencies or dealers; rather the contracting activity between its 1<sup>st</sup> and 2<sup>nd</sup> tier contractors



# Reporting Payment on Completed Contracts Example

Contract completed (i.e., paid in full): \$12,848,000

- HVAC—\$2,500,000 (2 non-DBE 1<sup>st</sup> tier contractors)
- Chassis—\$10,000,000 (1 non-DBE 1<sup>st</sup>-tier contractor)
- Seating—\$348,000
  - Seat covers—\$75,000 (1 DBE 1<sup>st</sup> tier contractor)
  - Steel Frame—\$250,000 (1 non-DBE 1<sup>st</sup> tier contractor: \$230,000; and 2 DBE 2<sup>nd</sup>-tier contractors: \$20,000 )
  - Plywood—\$23,000 (2 DBE 1<sup>st</sup> tier contractors)

No RC measures? Use Line 13

	A	B	C	D	E
ACTUAL PAYMENTS ON CONTRACTS COMPLETED THIS REPORTING PERIOD	Number of Prime Contracts Completed	Total Dollar Value of Prime Contracts Completed	DBE Participation Needed to Meet Goal (Dollars)	Total DBE Participation (Dollars)	Percentage of Total DBE Participation
12. Race Conscious					
13. Race Neutral	9	12,848,000		118,000	.9
14. Totals					

# Reminders

## ✓ **Upcoming: FTA DBE National Advocacy Organization Roundtable**

When: June 3, 2014 from 2:00 – 4:00 (EST)

Where: U.S. Department of Transportation Headquarters in Washington, DC

RSVP: Send your name, title, the company you represent, and whether you will attend the event in person, through live video conferencing, or by teleconference to [theresa.robinson.ctr@dot.gov](mailto:theresa.robinson.ctr@dot.gov).

## ✓ **FY2015 DBE Goal/Goal Methodology**

Due on August 1, 2014

Post the 3 required goal notices by June 15, 2014 to satisfy the 45-day public comment period