



FEDERAL TRANSIT ADMINISTRATION

# Transit Vehicle Manufacturers DBE Goal Methodology Independent Assessment



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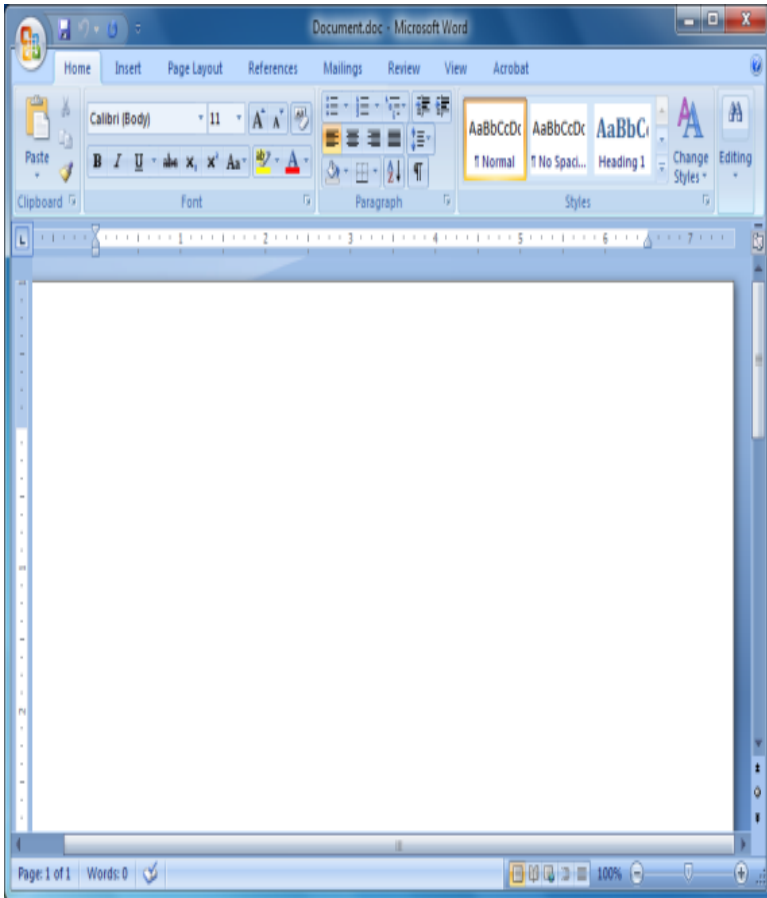
# FTA Goal Review Process

- ☐ On August 1, 2014, TVMs submit the FY15 DBE goal methodology to FTA at [theresa.robinson.ctr@dot.gov](mailto:theresa.robinson.ctr@dot.gov)
- ☐ FTA will either approve the goal and issue a “TVM Certification letter” or identify deficiencies and issue an “In Review letter”
- ☐ TVMs will be given 60 days to correct all noted deficiencies
- ☐ TVMs that do not address all deficiencies within 60 days will receive a “Disapproval letter”
- ☐ FTA will post approved TVMs on the FTA TVM webpage

# DBE Goal Methodology Independent Assessment



# August 1<sup>st</sup> DBE Goal Submission



* Enter all the FTA-assisted projects below. Project amounts should be assigned relevant NAICS Code(s).					
	Project	NAICS Codes	Project Description	Amount of DOT funds on	% of total DOT funds (weight)
	Utopia Central Subway Station	Include all NAICS codes used for this project	Briefly describe what the project will accomplish (i.e.constructing parking garage, etc.)		
1)					
2)					
3)					
4)					
5)					
6)					
7)					
8)					
9)					
10)					
Total FTA-Assisted Contract Funds				\$0.00	0

\* Use DBE Directory, census data and/or a bidders list to enter the number of available DBE firms and the number of available firms.

NAICS Code	NAICS Code Description	Specific Contracting Opportunity	Number of DBEs available to perform this work in XYZ market are	Number of all firms available (including DBEs) in XYZ market	Relative Availability
238990	All Other Specialty Trade Contractors	Fence installation			
Combined Totals			0	0	

*Overall results*

	NAICS Code					ed Base Figure
		Project	Weight	x	Availability	
1)			0.00000	x	0.00000	
2)			0.00000	x	0.00000	
3)			0.00000	x	0.00000	
4)			0.00000	x	0.00000	
5)			0.00000	x	0.00000	
6)			0.00000	x	0.00000	
7)			0.00000	x	0.00000	
8)			0.00000	x	0.00000	
9)			0.00000	x	0.00000	
10)			0.00000	x	0.00000	
					<b>Total</b>	0.0000
					[*100]	0.00%
					<b>Weighted Base Figure:</b>	<b>0%</b>

## Narrative of each Element

## + Worksheet for Calculations

# Goal Methodology

## *8 Minimum Requirements*



### Detailed list of contracting and subcontracting opportunities

- ☐ I have listed all domestic supplies and/or services outsourced when manufacturing my vehicles
  - ☐ I have classified the opportunities by appropriate NAICS codes
    - ☐ I have avoided using broad NAICS codes
- ☐ I have included the name of the FTA recipients(s) and vehicle procurements I anticipate bidding on in FY15
- ☐ I have not excluded domestically manufactured “highly technical components” or major systems (e.g., chassis, engines, etc.
- ☐ I have excluded the supplies and services performed with my own forces

# Goal Methodology

## *8 Minimum Requirements*



### **Geographic Market Area(s)**

- ☐ I have clearly identified my geographic market area as an individual state, a group of states, or a specific region
- ☐ I have clearly explained how I determined my geographic market area
- ☐ I am confident that my geographic market area represents a substantial majority of my contracting activity
  - ☐ I have considered the geographic location of my largest suppliers or the areas where a large majority of my products are sourced

# Goal Methodology

## *8 Minimum Requirements*



### Step 1 Base Figure

- ☐ I have clearly stated the number of ready, willing, and able **DBEs** located in my geographic market area (by NAICS code)
- ☐ I have searched State UCP Directories, FAA dbE-Connect, my bidders list, and other reliable sources to locate DBEs
- ☐ I have clearly stated the number of ready, willing, and able **non-DBEs** located in my geographic market area (by NAICS code)
- ☐ I have searched Census data, my bidders list, and other reliable sources to locate non-DBEs

# Goal Methodology

## *8 Minimum Requirements*



### **Step 1 Base Figure cont'd**

- ☐ I have included a calculation that illustrates how I determined the relative availability of DBEs compared to all firms (i.e., DBE goals)
- ☐ I have clearly and consistently stated my DBE goal as the anticipated percentage of funds I will award to DBEs in FY15
- ☐ I have included a narrative explaining the process used to determine my base figure



# Goal Methodology

## *8 Minimum Requirements*



### Step 2 Adjustment

- ☐ I have examined disparity studies within my geographic market area, past participation, **and** any other available evidence to determine whether my goal should be adjusted
- ☐ I have explained whether the disparities studies are applicable to my goal
- ☐ I have documented the sources of all additional evidence and provided links where appropriated

# Goal Methodology

## *8 Minimum Requirements*



### **Step 2 Adjustment cont'd**

- ☐ If I vetted the DBEs used to calculate my goal (i.e., removed DBEs that were unable to perform on my contracts), I used a similar process for vetting non-DBEs as well
- ☐ I have included a narrative explaining the process used to determine whether my goal should be adjusted
  - ☐ If I adjusted my goal, I thoroughly explained the evidence and reasons for the adjustment; and provided calculations of past participation where appropriate
  - ☐ If I did not adjust my goal, I thoroughly explained the evidence and the reason for not adjusting the goal

# Goal Methodology

## *8 Minimum Requirements*



### **Race-Conscious/Race-Neutral Breakdown**

- ☐ I have clearly stated the percentage of my FY15 goal to be achieved using race-conscious measures
  - ☐ I have explained how I determined the race-conscious percentage
- ☐ I have clearly stated the percentage of my FY15 goal to be achieved using race-neutral measures
- ☐ I have listed the race-neutral measures to be used throughout FY15
- ☐ I have considered the race-neutral suggestions listed in 49 C.F.R. 26. 51 (b)

# Goal Methodology

## *8 Minimum Requirements*



### **Sources Used to Establish the Goal**

- ☐ I have listed the sources used to locate DBEs and provided links where appropriate
- ☐ I have listed the sources used to locate non-DBEs and provided links where appropriate
- ☐ I have listed the sources used for my Step 2 adjustment and provided links where appropriate

# Goal Methodology

## *8 Minimum Requirements*



### **Evidence of Meaningful Consultation**

- ☐ I have actively engaged minority, women, and general contractor organizations to request feedback on my goal methodology, additional DBE resources, and my overall DBE program implementation
- ☐ I have invited DBEs and non-DBE primes and small businesses to discuss contracting opportunities (e.g., host outreach sessions)
- ☐ I have contacted transit agencies (i.e., DBELOs) to request feedback on my goal methodology

# Goal Methodology

## *8 Minimum Requirements*



### **Evidence of Meaningful Consultation cont'd**

- ☐ I have summarized all comments received and explained how these comments impacted my goal
- ☐ I have included the names and titles of persons/organizations contacted
- ☐ I have included photocopies of correspondence sent/received during consultation
- ☐ I have included meeting minutes and sign-in sheets where applicable
- ☐ I have included the dates and times of conversations and information gathered during calls

# Goal Methodology

## *8 Minimum Requirements*



### **Proof of Publication**

- ☐ I have published my FY15 goal in at least one general circulation media, one minority-focused media, and one trade publication
- ☐ I have accepted comments from the general public for 45 days after the goal notice was published
- ☐ I have included all comments received based on the publication and explained how these comments impacted my goal
  - ☐ OR, I have clearly stated that I did not receive any comments based on the publication

# FY2015 Bidding Eligibility Independent Assessment

1. Have I submitted a FY15 DBE goal to FTA
  - a. If yes, move to #2
  - b. If no, I am ***ineligible*** to bid on FTA-assisted FY15 transit vehicle procurements
  
2. Have I received a DBE Goal Approval Letter
  - a. If yes, I am ***eligible*** to bid on FTA-assisted FY15 transit vehicle procurements
  - b. If not, move to #3



# FY2015 Bidding Eligibility Independent Assessment

3. Have I received a DBE Goal Disapproval Letter
  - a. If yes, I am ***ineligible*** to bid on FTA-assisted FY15 transit vehicle procurements until otherwise notified
  - b. If not, I am ***eligible*** to bid on FTA-assisted FY15 transit vehicle procurements

# Reminders

FY2015 Goal Submission

Due: August 1, 2104 to [theresa.robinson.ctr@dot.gov](mailto:theresa.robinson.ctr@dot.gov)