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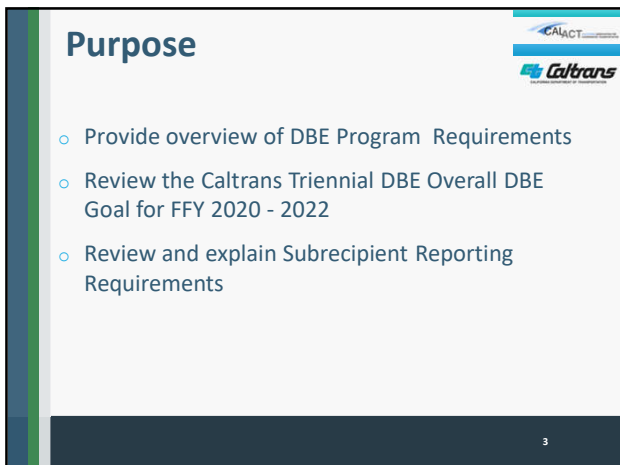
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## Agenda

- DBE Program Requirements
- Completing the DBE Threshold Questionnaire
- When You Must Report
- What You Must Report
- Memorandum of Understanding (MOU) Letter
- Completing the Uniform Report
- Summary



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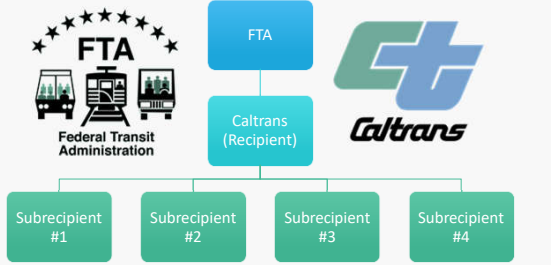
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## DBE Program Requirements

### Caltrans Receives FTA Funds



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## DBE Program Requirements for FTA Funds

- Your Agreement with Caltrans refers to:
  - Federal requirements, including DBE Program
- DBE requirements apply to FTA funds for the following:
  - Construction
  - Services

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**DBE Program Requirements**  
**Caltrans DBE Program**



1. Subrecipients required to comply with Caltrans' Race-Conscious goal requirements
2. Report semi-annual awards and payments
3. Solicitation Requirements



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**DBE Program Requirements**  
**Caltrans DBE Program – October 1, 2019**



- o Race Conscious (RC) DBE Program
  - All DBEs
    - Asian Pacific American
    - Black American
    - Native American
    - Non-Minority Women
    - Latino/Hispanic
    - Asian Subcontinent
  - Caltrans has a Race Conscious DBE Program to address the underutilization
  - Effective Oct. 1, 2019, Caltrans updated its DBE overall goal to 4.6 percent.

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**Caltrans' DBE Program Requirements**



Requirement	Oct. 1, 2019
Caltrans' DBE Program	Race-Neutral and Race-Conscious
Overall Goal	RN = 0.2% RC = 4.4% Overall Goal = 4.6%
Contract Goals	Required based on work
Good Faith Efforts	Required if contract goal not met at bid/proposal time

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**Caltrans' Current DBE Program**



- Requires subrecipients to **set contract goals** on FTA-funded projects for DBEs
- Good Faith Efforts (GFE) requirements for DBEs
- Continue commitments to RN measures

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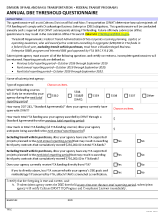
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**Annual DBE Threshold Questionnaire**



- Assists Caltrans Division of Rail and Mass Transportation (DRMT) in determining how subrecipients of FTA funding will comply with the Disadvantaged Business Enterprise (DBE) obligations.
  - Will be conducted annually for ALL DRMT subrecipient utilizing FTA funding



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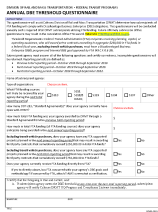
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**Annual DBE Threshold Questionnaire (continued)**



- Threshold Requirements to report directly to FTA:
  - FTA 5307 recipients receiving planning, capital, or operating assistance,
  - Awarding prime contracts exceeding in aggregate \$250,000 in FTA funds in an FFY
  - Must have DBE program and Triennial goal approved by FTA (49 CFR Part 26)
- If you are not a 5307 recipient, use Caltrans program plan.



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**Memorandum of Understanding (MOU)**

- If you meet the threshold requirements, you will receive a MOU.
  - The subrecipient, \_\_\_\_\_ is a direct recipient of FTA funds and has submitted a DBE Program Plan through the Transit Award Management System (TrAMS) which has been acknowledged by the FTA with the annotation "Concur."



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**Implementation Agreement  
Applicable to Caltrans Subrecipients**

If you do not meet the thresholds, you will need to sign an Implementation Agreement.

As a condition of receiving pass-through FTA funds, subrecipients have signed an Implementation Agreement, which requires you to do the following:

- Comply with 49 CFR, Part 26 regarding DBE firms
- Identify a DBE Liaison Officer (DBELO)
- Include federal clauses in subrecipient contracts
  - Prompt Payment
  - Nondiscrimination
- Report DBE awards and payments

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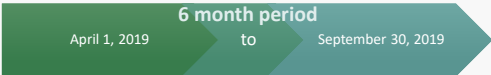
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**When Must You Report?**

- For the six month Period between April 1, 2019 – September 30, 2019:
  - Caltrans, as a direct recipient, must submit semi-annual reports on: **December 1, 2019**
  - Metro subrecipients must submit completed Uniform Report on or around: **October 17, 2019**

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## When Must You Report?




- The semi-annual report is due **October 17, 2019**
  - This is for the period of April 1, 2019 through September 30, 2019
  - Submit the report in an Excel file
  - Submit signed report via PDF
- Submit to your agency's Caltrans District Representative

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## Caltrans District Representatives Northern California

DIST	NAME	PHONE	Region	HQ Staff
1	<b>Rex Jackman and Kevin Tucker, Chief</b> Regional Planning	707-445-6412		
	Suresh Ratnam	707-441-4542	Lake & Mendocino Del Norte & Humboldt	Ronaldo Hu 916-657-3955
2	<b>Kathy Grah, Chief</b> Regional Planning Office of Community Planning	530-229-0517		
	Tamara Rich Aaron Casas Marcelino Gonzalez John Maxwell	530-225-3533 530-225-4732 530-225-3369 530-225-3953	Lassen and Trinity Counties Modoc and Shasta Local Dev/Intergov Review/Stikyou Plumas Tehama	Tori Clayborne 916-654-8347
3	<b>Jeff Morneau, Sr Trans Planner</b> Office of Regional Planning	530-741-4543	Butte, City of Auburn, Colusa, Co of Sacto, El Dorado, Glenn, Nevada, Placer, Sierra, Town of Truckee, TTD, Yolo, Yuba-Sutter	Cesley Nixon 916-654-8411
	Todd Rogers (DTR) Lizma Rehman	530-741-4507 530-741-5173		
4	<b>Lisa Carbone, Chief</b> Federal Grants/Rail Coordinator	510-622-5491	MTC and ARRA for Alameda, Contra Costa, Marin, Napa, San Mateo, Santa Clara, Solano & Sonoma Counties	Cesley Nixon 916-654-8411
	<b>Michelle Ruan (DTR)</b> Cody Hedges	510-286-5551 510-286-5988		

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## Caltrans District Representatives Central California

DIST	NAME	PHONE	Region	HQ Staff
5	<b>Kelly McClendon, Chief</b> Transportation Planning	805-549-3970	San Luis Obispo County Monterey, San Benito, Santa Barbara, Santa Cruz	Tori Clayborne 916-654-8347
	Jennifer Calate (DTR)	805-549-3099		
6	<b>Michael Navarro, Chief Trans Plan No.</b> <b>Lorena Mendibles, Chief Sr. TP</b>	559-445-5868 559-445-5421	Tulare County Fresno and Madera County Kern County, Kings County	Vivian Miller 916-654-7076
	David Deel (DTR) Scott Lau	559-488-7396 559-445-5763		
9	<b>Mark Heckman, Sr. TP</b>	760-872-1398	Inyo, Mono and Kern Counties	Cesley Nixon 916-654-8411
	Rick Franz (DTR)	760-872-5203		
10	<b>Tom Dumas, Chief, Office of Metropolitan</b> Planning	209-941-1921	Escalon, San Joaquin Stanislaus	Vivian Miller 916-654-7076
	Joshua Swearingen Nicholas Fung Steven Martinez Hilda Sousa	209-948-7142 209-948-7190 209-942-6092 209-948-3612	Merced	
	<b>Gregoria Ponce, Chief, Office of Rural</b> Planning	209-948-7325	Mariposa, Alpine Calaveras, County City of Angeles Camp Tuolumne, City of Sonora Amador	
	Vacant Kevin Schroder (DTR) Vacant Michele Demetras (DTR)	209-941-1982 209-941-1947  209-948-7647		

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### Caltrans District Representatives Southern California



DIST	NAME	PHONE	Region	HO Staff
7	Mine Struhl, Office Chief-Regional Planning	(213) 897-0409	Los Angeles County Dept. of Public Works, City of Ojai (Ventura Co)	Vivian Miller 916-654-7076
	Miya Edmenson, Branch Chief	(213) 897-6536		
	Anthony Higgins (DTR) Diane Morales, Supv Trans Planner	(213) 897-0067 909-383-4147		
8	Loma Foster (DTR)	909-388-7186	Riverside, San Bernardino	Cesley Nixon 916-654-8411
	Talvin Dennis	909-806-3957		
11	Seth Cutter, Chief, Public Transportation Planning	619-688-2597	Imperial and San Diego County	Ronaldo Hu 916-657-3955
	Barby Valentine (DTR)	619-688-6003		

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### Caltrans Representative for 5304 Funds



- Submit Reports with 5304 funds to Ed Phipot
- Contact Information:
  - [c.edward.philpot@dot.ca.gov](mailto:c.edward.philpot@dot.ca.gov)
  - C. Edward Philpot, Jr., Chief  
Transportation Equity Branch  
Office of Regional Planning  
Office - (916) 653-8817  
Cell - (916) 869-1561

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### What Must You Report?



- Submit Uniform Report of DBE Commitments/Awards and Payments
- What does the Uniform Report Require?
  - All wholly or partially FTA funded contracting opportunities – including lower tier subcontracts
  - DBE Participation on these contracting opportunities
  - Awards/commitments and current/final payments

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**What are Contracting Opportunities?**



● Examples of Expenditures Considered Contracting Opportunities:

- Printing
- Maintenance and Janitorial Services
- Project Design - Engineering
- Construction Work
- Research and Studies

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**What are Contracting Opportunities? (continued)**



● Examples of Expenditures Considered Contracting Opportunities:

- Consulting Services
- Supply & Material Purchases
- Fuel Purchases
- Landscaping and Pest Control
- Equipment Repairs
- Transportation Services

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**What are Contracting Opportunities?**



● Examples of Expenditures **Not** Considered Contracting Opportunities:

- Salaries, Benefits, and Payroll Taxes
- Mileage and Transportation
- Meals & Lodging
- Conferences and Seminars
- Dues and Subscriptions
- Postage
- Transit Vehicle Purchases (need TVM certificate per \$26.49)

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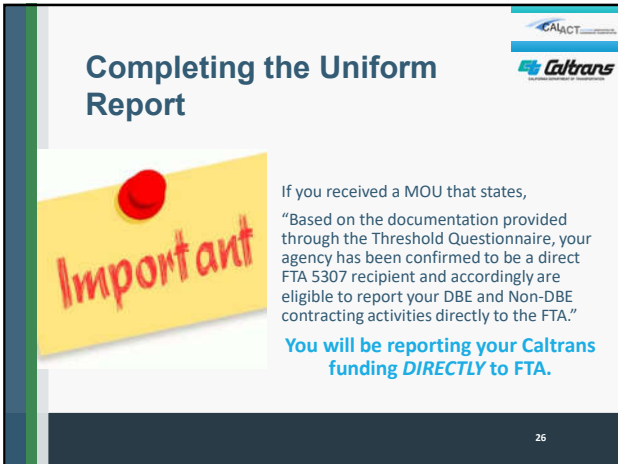
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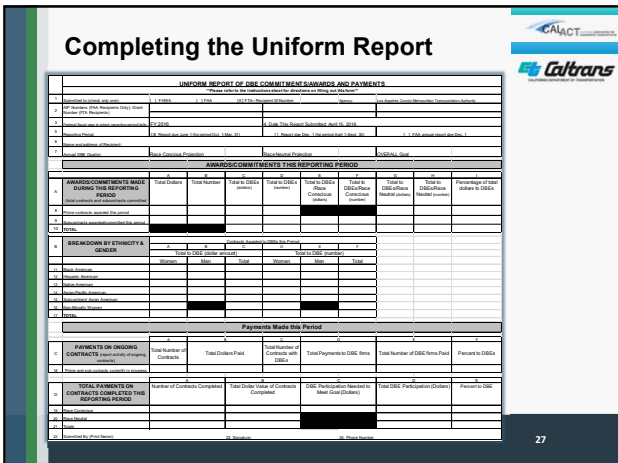
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# Completing the Uniform Report



**UNIFORM REPORT OF AwarD COMMITMENTS, AWARDS AND PAYMENTS**

Section A: AwarDs - Commitments Made During This Reporting Period

AWARDS COMMITMENTS MADE DURING THIS REPORTING PERIOD		SECTION A: AWARDS COMMITMENTS MADE DURING THIS REPORTING PERIOD						
		A	B	C	D	E	F	G
A	Total Federal Dollars Awarded on Prime Contracts	100,000	15					
	Total Federal Dollars Awarded on Subcontracts							
TOTAL		100,000	15					

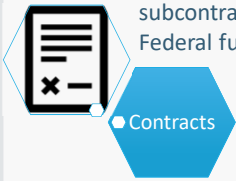
Awards - Commitments Made During This Reporting Period

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## Section A: Awards & Commitments

This section includes prime and subcontracts awarded or committed with Federal funds during this reporting period.



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## Section A: Awards and Commitments



Awards/Commitments this Reporting Period										
		A	B	C	D	E	F	G	H	I
AWARDS COMMITMENTS MADE DURING THIS REPORTING PERIOD		Total Dollars	Total Number	Total to DBEA (dollars)	Total to DBEA (number)	Total to DBEA (Race Conscious) (dollars)	Total to DBEA (Race Conscious) (number)	Total to DBEA (Neutral) (dollars)	Total to DBEA (Neutral) (number)	Percentage of total dollars to DBEA
A	(Total contracts and subcontracts committed during this reporting period)									
B	Prime contracts awarded this period	100,000	15							
C	Subcontracts awarded/committed this period									
TOTAL										

- 8A = Total Federal funds awarded on prime contracts
- 8B = Total number of prime contracts awarded with Federal funds

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### Section A: Awards and Commitments

Awards/Commitments this Reporting Period								
	A	B	C	D	E	F	G	H
AWARDS/COMMITMENTS MADE DURING THIS REPORTING PERIOD (Total contracts and subcontracts committed during this reporting period)	Total Dollars	Total Number	Total to DBEs (dollars)	Total to DBEs (number)	Total to DBEs /Race Conscious (dollars)	Total to DBEs /Race Conscious (number)	Total to DBEs/Race Neutral (dollars)	Total to DBEs/Race Neutral (number)
8 Prime contracts awarded this period	100,000	15	35,000	2				
9 Subcontracts awarded/committed this period								
10 TOTAL								

- 8C = Total Federal funds awarded on prime contracts to DBEs
- 8D = Total number of prime contracts awarded to DBEs with Federal funds

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### Section A: Awards and Commitments

Awards/Commitments this Reporting Period								
	A	B	C	D	E	F	G	H
AWARDS/COMMITMENTS MADE DURING THIS REPORTING PERIOD (Total contracts and subcontracts committed during this reporting period)	Total Dollars	Total Number	Total to DBEs (dollars)	Total to DBEs (number)	Total to DBEs /Race Conscious (dollars)	Total to DBEs /Race Conscious (number)	Total to DBEs/Race Neutral (dollars)	Total to DBEs/Race Neutral (number)
8 Prime contracts awarded this period	100,000	15	35,000	2				
9 Subcontracts awarded/committed this period								
10 TOTAL								

- 8E = N/A
- 8F = N/A
- ALL DBE Prime Contracts = Race Neutral

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### Section A: Awards and Commitments

Awards/Commitments this Reporting Period								
	A	B	C	D	E	F	G	H
AWARDS/COMMITMENTS MADE DURING THIS REPORTING PERIOD (Total contracts and subcontracts committed during this reporting period)	Total Dollars	Total Number	Total to DBEs (dollars)	Total to DBEs (number)	Total to DBEs /Race Conscious (dollars)	Total to DBEs /Race Conscious (number)	Total to DBEs/Race Neutral (dollars)	Total to DBEs/Race Neutral (number)
8 Prime contracts awarded this period	100,000	15	35,000	2			35,000	2
9 Subcontracts awarded/committed this period								
10 TOTAL								

- 8G = Total Federal funds awarded on prime contracts to DBEs using Race Neutral measures
- 8H = Total number of prime contracts awarded to DBEs using Race Neutral measures with Federal funds

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# Section A: Awards and Commitments



Awards/Commitments this Reporting Period									
	A	B	C	D	E	F	G	H	I
AWARDS/COMMITMENTS MADE DURING THIS REPORTING PERIOD (Total contracts and subcontracts committed during this reporting period)	Total Dollars	Total Number	Total to DBEs (dollars)	Total to DBEs (number)	Total to DBEs /Race Conscious (dollars)	Total to DBEs /Race Conscious (number)	Total to DBEs/Race Neutral (dollars)	Total to DBEs/Race Neutral (number)	Percentage of total dollars to DBEs
8 Prime contracts awarded this period	100,000	15	35,000	2			35,000	2	35%
9 Subcontracts awarded/committed this period									
10 TOTAL									

- 8I =  $\frac{8C}{8A} \times 100$  (Total DBE Prime %)

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# Section A: Awards and Commitments



Awards/Commitments this Reporting Period									
	A	B	C	D	E	F	G	H	I
AWARDS/COMMITMENTS MADE DURING THIS REPORTING PERIOD (Total contracts and subcontracts committed during this reporting period)	Total Dollars	Total Number	Total to DBEs (dollars)	Total to DBEs (number)	Total to DBEs /Race Conscious (dollars)	Total to DBEs /Race Conscious (number)	Total to DBEs/Race Neutral (dollars)	Total to DBEs/Race Neutral (number)	Percentage of total dollars to DBEs
8 Prime contracts awarded this period	100,000	15	35,000	2			35,000	2	35%
9 Subcontracts awarded/committed this period	20,000	7							
10 TOTAL									

- 9A = Total Federal funds awarded on subcontracts
- 9B = Total number of subcontracts awarded with Federal funds

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# Section A: Awards and Commitments



Awards/Commitments this Reporting Period									
	A	B	C	D	E	F	G	H	I
AWARDS/COMMITMENTS MADE DURING THIS REPORTING PERIOD (Total contracts and subcontracts committed during this reporting period)	Total Dollars	Total Number	Total to DBEs (dollars)	Total to DBEs (number)	Total to DBEs /Race Conscious (dollars)	Total to DBEs /Race Conscious (number)	Total to DBEs/Race Neutral (dollars)	Total to DBEs/Race Neutral (number)	Percentage of total dollars to DBEs
8 Prime contracts awarded this period	100,000	15	35,000	2			35,000	2	35%
9 Subcontracts awarded/committed this period	20,000	7	15,000	4					
10 TOTAL									

- 9C = Total Federal funds awarded on subcontracts to DBEs
- 9D = Total number of subcontracts awarded to DBEs with Federal funds

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**Section A: Awards and Commitments**



Awards/Commitments this Reporting Period									
	A	B	C	D	E	F	G	H	I
A	Total Dollars	Total Number	Total to DBEs (dollars)	Total to DBEs (number)	Total to DBEs /Race Conscious (dollars)	Total to DBEs /Race Conscious (number)	Total to DBEs/Race Neutral (dollars)	Total to DBEs/Race Neutral (number)	Percentage of total dollars to DBEs
AWARDS/COMMITMENTS MADE DURING THIS REPORTING PERIOD (Total contracts and subcontracts committed during this reporting period)									
Prime contracts awarded this period	100,000	15	35,000	2			35,000	2	35%
Subcontracts awarded/committed this period	20,000	7	15,000	4	10,000	2			
TOTAL									

- 9E = Total Federal funds awarded on subcontracts to DBEs using **Race Conscious measures**
- 9F = Total number of subcontracts awarded to DBEs using **Race Conscious measures** with Federal funds

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**Section A: Awards and Commitments**



Awards/Commitments this Reporting Period									
	A	B	C	D	E	F	G	H	I
A	Total Dollars	Total Number	Total to DBEs (dollars)	Total to DBEs (number)	Total to DBEs /Race Conscious (dollars)	Total to DBEs /Race Conscious (number)	Total to DBEs/Race Neutral (dollars)	Total to DBEs/Race Neutral (number)	Percentage of total dollars to DBEs
AWARDS/COMMITMENTS MADE DURING THIS REPORTING PERIOD (Total contracts and subcontracts committed during this reporting period)									
Prime contracts awarded this period	100,000	15	35,000	2			35,000	2	35%
Subcontracts awarded/committed this period	20,000	7	15,000	4	10,000	2	5,000	2	
TOTAL									

- 9G = Total Federal funds awarded on subcontracts to DBEs using **Race Neutral measures**
- 9H = Total number of subcontracts awarded to DBEs using **Race Neutral measures** with Federal funds

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**Section A: Awards and Commitments**



Awards/Commitments this Reporting Period									
	A	B	C	D	E	F	G	H	I
A	Total Dollars	Total Number	Total to DBEs (dollars)	Total to DBEs (number)	Total to DBEs /Race Conscious (dollars)	Total to DBEs /Race Conscious (number)	Total to DBEs/Race Neutral (dollars)	Total to DBEs/Race Neutral (number)	Percentage of total dollars to DBEs
AWARDS/COMMITMENTS MADE DURING THIS REPORTING PERIOD (Total contracts and subcontracts committed during this reporting period)									
Prime contracts awarded this period	100,000	15	35,000	2			35,000	2	35%
Subcontracts awarded/committed this period	20,000	7	15,000	4	10,000	2	5,000	2	75%
TOTAL									

- 9I = 9C (Total DBE Subcontract \$)
- 9A (Total Subcontract \$)

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### Section A: Awards and Commitments



**Awards/Commitments this Reporting Period**

	A	B	C	D	E	F	G	H	I
	Total Dollars	Total Number	Total to DBEs (dollars)	Total to DBEs (number)	Total to DBEs /Race Conscious (dollars)	Total to DBEs /Race Conscious (number)	Total to DBEs/Race Neutral (dollars)	Total to DBEs/Race Neutral (number)	Percentage of total dollars to DBEs
<b>A AWARDS/COMMITMENTS MADE DURING THIS REPORTING PERIOD</b> (Total contracts and subcontracts committed during this reporting period)									
a Prime contracts awarded this period	100,000	15	35,000	2			35,000	2	35%
b Subcontracts awarded/committed this period	20,000	7	15,000	4	10,000	2	5,000	2	75%
<b>10 TOTAL</b>			<b>50,000</b>	<b>6</b>	<b>10,000</b>	<b>2</b>	<b>40,000</b>	<b>4</b>	<b>50%</b>

<b>10C = 8C + 9C</b>	<b>10D = 8D + 9D</b>
<b>10E = 9E</b>	<b>10F = 9F</b>
<b>10G = 8G + 9G</b>	<b>10H = 8H + 9H</b>
<b>10I = 10C ÷ 8A</b>	

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### Completing the Uniform Report



**UNIFORM REPORT OF DBE COMMITMENTS AWARDS AND PAYMENTS**

<p><b>AWARDS/COMMITMENTS MADE DURING THIS REPORTING PERIOD</b></p> <p>(Table with columns: Line Number, Total Dollars, Total to DBEs, etc.)</p>									
<p><b>PAYMENTS MADE THIS PERIOD</b></p> <p>(Table with columns: Line Number, Total Dollars Paid, DBE Participation, etc.)</p>									

41

DBE Award – Commitments Breakdown by Ethnicity & Gender

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### Section B: Gender and Ethnicity Breakdown



This section includes the gender and ethnicity breakdown of all contracts awarded or committed by Federal funds during this reporting period

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## Section B: Gender and Ethnicity Breakdown

This section includes the gender and ethnicity breakdown of all contracts awarded or committed with Federal funds during this reporting period.



Contracts

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## Section B: Gender and Ethnicity Breakdown

B	BREAKDOWN BY ETHNICITY & GENDER	Contracts Awarded To DBEs this Period					
		Total to DBE (dollar amount)			Total to DBE (number)		
		A	B	C	D	E	F
		Women	Men	Total	Women	Men	Total
11	Black American	10,000	0				
12	Hispanic American	0					
13	Native American	2,000					
14	Asian-Pacific American	0					
15	Subcontinent Asian Americans	4,000					
16	Non-Minority	10,000					
17	TOTAL	26,000					

- 11A – 16A = Identify All Female DBE Contract Award Amounts by Ethnicity (\$)

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## Section B: Gender and Ethnicity Breakdown

B	BREAKDOWN BY ETHNICITY & GENDER	Contracts Awarded To DBEs this Period					
		Total to DBE (dollar amount)			Total to DBE (number)		
		A	B	C	D	E	F
		Women	Men	Total	Women	Men	Total
11	Black American	10,000	15,000				
12	Hispanic American	0	0				
13	Native American	2,000	9,000				
14	Asian-Pacific American	0	0				
15	Subcontinent Asian Americans	4,000	0				
16	Non-Minority	10,000	0				
17	TOTAL	26,000	24,000				

- 11B – 16B = Identify All Male DBE Contract Award Amounts by Ethnicity (\$)

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### Section B: Gender and Ethnicity Breakdown



B	BREAKDOWN BY ETHNICITY & GENDER	Contracts Awarded To DBEs this Period																	
		A			B			C			D			E			F		
		Total to DBE (dollar amount)						Total to DBE (number)											
	Women	Men	Total	Women	Men	Total	Women	Men	Total	Women	Men	Total							
11	Black American	10,000	15,000	25,000															
12	Hispanic American	0	0	0															
13	Native American	2,000	9,000	11,000															
14	Asian-Pacific American	0	0	0															
15	Subcontinent Asian Americans	4,000	0	4,000															
16	Non-Minority	10,000	0	10,000															
17	TOTAL	26,000	24,000	50,000															

- 11C – 16C = Column A (All Female Awards \$) + Column B (All Male Awards \$)

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### Section B: Gender and Ethnicity Breakdown



B	BREAKDOWN BY ETHNICITY & GENDER	Contracts Awarded To DBEs this Period																	
		A			B			C			D			E			F		
		Total to DBE (dollar amount)						Total to DBE (number)											
	Women	Men	Total	Women	Men	Total	Women	Men	Total	Women	Men	Total							
11	Black American	10,000	15,000	25,000	1														
12	Hispanic American	0	0	0	0														
13	Native American	2,000	9,000	11,000	1														
14	Asian-Pacific American	0	0	0	0														
15	Subcontinent Asian Americans	4,000	0	4,000	1														
16	Non-Minority	10,000	0	10,000	1														
17	TOTAL	26,000	24,000	50,000	4														

- 11D – 16D = Identify the number of All Female DBE Contractors by Ethnicity

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### Section B: Gender and Ethnicity Breakdown



B	BREAKDOWN BY ETHNICITY & GENDER	Contracts Awarded To DBEs this Period																	
		A			B			C			D			E			F		
		Total to DBE (dollar amount)						Total to DBE (number)											
	Women	Men	Total	Women	Men	Total	Women	Men	Total	Women	Men	Total							
11	Black American	10,000	15,000	25,000	1		1												
12	Hispanic American	0	0	0	0		0												
13	Native American	2,000	9,000	11,000	1		1												
14	Asian-Pacific American	0	0	0	0		0												
15	Subcontinent Asian Americans	4,000	0	4,000	1		0												
16	Non-Minority	10,000	0	10,000	1		0												
17	TOTAL	26,000	24,000	50,000	4		2												

- 11E – 16E = Identify the number of All Male DBE Contractors by Ethnicity

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### Section B: Gender and Ethnicity Breakdown



B BREAKDOWN BY ETHNICITY & GENDER	Contracts Awarded To DBEs this Period					
	Total to DBE (dollar amount)			Total to DBE (number)		
	A	B	C	D	E	F
	Women	Men	Total	Women	Men	Total
11 Black American	10,000	15,000	25,000	1	1	2
12 Hispanic American	0	0	0	0	0	0
13 Native American	2,000	9,000	11,000	1	1	2
14 Asian-Pacific American	0	0	0	0	0	0
15 Subcontinent Asian Americans	4,000	0	4,000	1	0	1
16 Non-Minority	10,000	0	10,000	1	0	1
17 TOTAL	26,000	24,000	50,000	4	2	6

- 11F – 16F
- = **Column D** (All Female Contractors) + **Column E** (All Male Contractors)

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### Compare Section A and Section B for Accuracy



10D (Total number of DBE contracts awarded) = 17F (Total Number of DBE contractors by ethnicity)

Awards/Commitments this Reporting Period									
A	B	C	D	E	F	G	H	I	
AWARDS/COMMITMENTS MADE DURING THIS REPORTING PERIOD	Total Dollars	Total Number	Total to DBEs	Total to DBEs	Total to DBEs	Total to DBEs	Total to DBEs	Total to DBEs	Percentage of total dollars to DBEs
10 Prime contracts awarded this period									
11 Subcontracts awarded/committed this period									
12 TOTAL									

B BREAKDOWN BY ETHNICITY & GENDER	Contracts Awarded To DBEs this Period					
	Total to DBE (dollar amount)			Total to DBE (number)		
	A	B	C	D	E	F
	Women	Men	Total	Women	Men	Total
11 Black American						
12 Hispanic American						
13 Native American						
14 Asian-Pacific American						
15 Subcontinent Asian Americans						
16 Non-Minority						
17 TOTAL						

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### Compare Section A and Section B for Accuracy



Awards/Commitments this Reporting Period									
A	B	C	D	E	F	G	H	I	
AWARDS/COMMITMENTS MADE DURING THIS REPORTING PERIOD	Total Dollars	Total Number	Total to DBEs	Total to DBEs	Total to DBEs	Total to DBEs	Total to DBEs	Total to DBEs	Percentage of total dollars to DBEs
10 Prime contracts awarded this period	100,000	15	35,000	2			35,000	2	35%
11 Subcontracts awarded/committed this period	20,000	7	15,000	4	10,000	2	5,000	2	75%
12 TOTAL			50,000	6	10,000	2	40,000	4	50%

B BREAKDOWN BY ETHNICITY & GENDER	Contracts Awarded To DBEs this Period					
	Total to DBE (dollar amount)			Total to DBE (number)		
	A	B	C	D	E	F
	Women	Men	Total	Women	Men	Total
11 Black American	10,000	15,000	25,000	1	1	2
12 Hispanic American	0	0	0	0	0	0
13 Native American	2,000	9,000	11,000	1	1	2
14 Asian-Pacific American	0	0	0	0	0	0
15 Subcontinent Asian Americans	4,000	0	4,000	1	0	1
16 Non-Minority	10,000	0	10,000	1	0	1
17 TOTAL	26,000	24,000	50,000	4	2	6

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# Completing the Uniform Report

UNIFORM REPORT OF DBE COMMITMENT, AWARD AND PAYMENTS						
Reporting Period: From 10/1/2018 to 9/30/2019						
1. Reporting Period		From 10/1/2018	To 9/30/2019			
2. Reporting Period		From 10/1/2018	To 9/30/2019			
3. Reporting Period		From 10/1/2018	To 9/30/2019			
4. Reporting Period		From 10/1/2018	To 9/30/2019			

AWARD AND COMMITMENTS THIS REPORTING PERIOD						
A	B	C	D	E	F	G
1						
2						
3						
4						
5						
6						

PAYMENTS MADE THIS PERIOD						
A	B	C	D	E	F	G
1						
2						
3						
4						



Actual Payments on Ongoing Contracts



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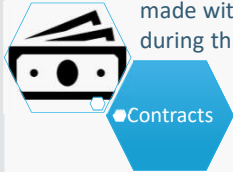
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## Section C: Ongoing Payments



This section includes ongoing payments made with Federal funds on contracts during this reporting period.

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## Reporting DBE Participation Section C: Ongoing Payments During Reporting Period

Payments Made this Period						
	A	B	C	D	E	F
C	Total Number of Contracts	Total Dollars Paid	Total Number of Contracts with DBEs	Total Payments to DBE Firms	Total Number of DBE Firms Paid	Percent to DBEs
1						
2						
3						

- Ongoing contracts = not complete
- All orders **not yet** received
- All services **not yet** completed
- All payments **not yet** made

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### Section C: Ongoing Payments



Payments Made this Period						
	A	B	C	D	E	F
<b>C</b>						
<b>PAYMENTS ON ONGOING CONTRACTS</b> (report activity of ongoing contracts)	Total Number of Contracts	Total Dollars Paid	Total Number of Contracts with DBEs	Total Payments to DBE Firms	Total Number of DBE Firms Paid	Percent to DBEs
18A Prime and subcontracts currently in progress	30					

- 18A = Total number of Federally funded **prime contracts, DBE and non-DBE, that remain active/ongoing** during the reporting period

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### Section C: Ongoing Payments



Payments Made this Period						
	A	B	C	D	E	F
<b>C</b>						
<b>PAYMENTS ON ONGOING CONTRACTS</b> (report activity of ongoing contracts)	Total Number of Contracts	Total Dollars Paid	Total Number of Contracts with DBEs	Total Payments to DBE Firms	Total Number of DBE Firms Paid	Percent to DBEs
18B Prime and subcontracts currently in progress	30	700,000				

- 18B = Total Federal funds to prime contracts for work currently being performed during the reporting period
  - Payments are made to prime contractor, who is obligated to promptly pay its subcontractors

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### Section C: Ongoing Payments



Payments Made this Period						
	A	B	C	D	E	F
<b>C</b>						
<b>PAYMENTS ON ONGOING CONTRACTS</b> (report activity of ongoing contracts)	Total Number of Contracts	Total Dollars Paid	Total Number of Contracts with DBEs	Total Payments to DBE Firms	Total Number of DBE Firms Paid	Percent to DBEs
18C Prime and subcontracts currently in progress	30	700,000	10			

- 18C = Total number of Federally funded **prime and subcontracts, that DBEs are currently performing work on** during the reporting period

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### Section C: Ongoing Payments



Payments Made this Period						
	A	B	C	D	E	F
PAYMENTS ON ONGOING CONTRACTS (report activity of ongoing contracts)	Total Number of Contracts	Total Dollars Paid	Total Number of Contracts with DBEs	Total Payments to DBE firms	Total Number of DBE firms Paid	Percent to DBEs
18 Prime and subcontracts currently in progress	30	700,000	10	93,000		

- 18D = Total dollar amount paid to **DBE firms** currently performing work on contracts during the reporting period
- 18D is a subset of 18B

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### Section C: Ongoing Payments



Payments Made this Period						
	A	B	C	D	E	F
PAYMENTS ON ONGOING CONTRACTS (report activity of ongoing contracts)	Total Number of Contracts	Total Dollars Paid	Total Number of Contracts with DBEs	Total Payments to DBE firms	Total Number of DBE firms Paid	Percent to DBEs
18 Prime and subcontracts currently in progress	30	700,000	10	93,000	5	

- 18E = Total number of **DBE firms** paid on active/ongoing contracts during the reporting period
- 18E is **less than or equal to 18C**

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### Section C: Ongoing Payments



Payments Made this Period						
	A	B	C	D	E	F
PAYMENTS ON ONGOING CONTRACTS (report activity of ongoing contracts)	Total Number of Contracts	Total Dollars Paid	Total Number of Contracts with DBEs	Total Payments to DBE firms	Total Number of DBE firms Paid	Percent to DBEs
18 Prime and subcontracts currently in progress	30	700,000	10	93,000	5	

- **18C** = ongoing/active **DBE contracts** (prime and sub-contracts)
- **18E** = number of **DBE contractors** currently performing work

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### Section C: Ongoing Payments



Payments Made this Period						
	A	B	C	D	E	F
<b>PAYMENTS ON ONGOING CONTRACTS</b> (Report activity of ongoing contracts)	Total Number of Contracts	Total Dollars Paid	Total Number of Contracts with DBEs	Total Payments to DBE Firms	Total Number of DBE Firms Paid	Percent to DBEs
18 Prime and subcontracts currently in progress	30	700,000	10	93,000	5	13.3

• 18F = 18D / 18B OR

• Percent to DBEs

= Total Payments to DBEs

Total Payments to DBEs and non-DBEs

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### Section C: Ongoing Payments



- o Recipients must establish a mechanism to track the ongoing payment information required in Section C

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### Completing the Uniform Report



Total Payments on Contracts Completed

**D**

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CALACT  
Caltrans

## Section D: Completed Contracts

This section includes payments made to prime contracts **completed** with Federal funding during this reporting period



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CALACT  
Caltrans

## Section D: Completed Contracts

TOTAL PAYMENTS ON CONTRACTS COMPLETED THIS REPORTING PERIOD	A		B		Percent to SBIC
	Number of Contracts Completed	Total Dollar Value of Contracts Completed	DBE Participation Needed to Meet Goal (Dollar)	Total DBE Participation (Dollar)	
19A Race Conscious					
20 Race Neutral					
21 Total					

- Contracts Completed
  - All orders are **received**
  - All services are **completed**
  - All payments have **been made**

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CALACT  
Caltrans

## Section D: Completed Contracts

TOTAL PAYMENTS ON CONTRACTS COMPLETED THIS REPORTING PERIOD	A		B		Percent to SBIC
	Number of Contracts Completed	Total Dollar Value of Contracts Completed	DBE Participation Needed to Meet Goal (Dollar)	Total DBE Participation (Dollar)	
19A Race Conscious	56				
20 Race Neutral					
21 Total					

- 19A = Total **number of contracts** completed using **Race Conscious** measures

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### Section D: Completed Contracts



3	4	5	6	7	8
TOTAL PAYMENTS ON CONTRACTS COMPLETED THIS REPORTING PERIOD	Number of Contracts Completed	Total Dollar Value of Contracts Completed	DBE Participation Needed to Meet Goal (Dollar)	Total DBE Participation (Dollar)	Percent to DBE
19B Prime Contracts	56	1,000,000			
19B Non-Prime					
19B Totals					

- 19B = Total number of contracts completed using Race Conscious measures

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### Section D: Completed Contracts



3	4	5	6	7	8
TOTAL PAYMENTS ON CONTRACTS COMPLETED THIS REPORTING PERIOD	Number of Contracts Completed	Total Dollar Value of Contracts Completed	DBE Participation Needed to Meet Goal (Dollar)	Total DBE Participation (Dollar)	Percent to DBE
19C Prime Contracts	56	1,000,000	350,000		
19C Non-Prime					
19C Totals					

- 19C = Total dollar value needed to meet the contract goals on the prime contracts completed using Race Conscious measures

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### Section D: Completed Contracts



3	4	5	6	7	8
TOTAL PAYMENTS ON CONTRACTS COMPLETED THIS REPORTING PERIOD	Number of Contracts Completed	Total Dollar Value of Contracts Completed	DBE Participation Needed to Meet Goal (Dollar)	Total DBE Participation (Dollar)	Percent to DBE
19C Prime Contracts	56	1,000,000	350,000		
19C Non-Prime					
19C Totals					

- REMEMBER:** Do not fill in cell 19C unless a race conscious contract (i.e., contract with DBE goal) has been completed
- If no race conscious contracts completed, leave 19C blank

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### Section D: Completed Contracts



3	4	5	6	7	8
TOTAL PAYMENTS ON CONTRACTS COMPLETED THIS REPORTING PERIOD	Number of Contracts Completed	Total Dollar Value of Contracts Completed	DBE Participation Needed to Meet Goal (Dollar)	Total DBE Participation (Dollar)	Percent to DBEs
19 Race/ethnicity	56	1,000,000	350,000	275,000	
20 Race/ethnicity					
21 Total					

- 19D = Total **dollar value** of completed contracts with **DBE participation** using **Race Conscious** measures

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### Section D: Completed Contracts



3	4	5	6	7	8
TOTAL PAYMENTS ON CONTRACTS COMPLETED THIS REPORTING PERIOD	Number of Contracts Completed	Total Dollar Value of Contracts Completed	DBE Participation Needed to Meet Goal (Dollar)	Total DBE Participation (Dollar)	Percent to DBEs
19 Race/ethnicity	56	1,000,000	350,000	275,000	27.5
20 Race/ethnicity					
21 Total					

- 19E = 19D/ 19B OR
- Percent to DBEs =  $\frac{\text{Total Dollar Value of DBE Participation}}{\text{Total Dollar Value of DBE and non-DBE contracts completed}}$

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### Section D: Completed Contracts



3	4	5	6	7	8
TOTAL PAYMENTS ON CONTRACTS COMPLETED THIS REPORTING PERIOD	Number of Contracts Completed	Total Dollar Value of Contracts Completed	DBE Participation Needed to Meet Goal (Dollar)	Total DBE Participation (Dollar)	Percent to DBEs
19 Race/ethnicity	56	1,000,000	350,000	275,000	27.5
20A Race/ethnicity	150				
21 Total					

- 20A = Total **number of contracts** completed using **Race Neutral** measures

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### Section D: Completed Contracts

3	2	1	4	5	6
TOTAL PAYMENTS ON CONTRACTS COMPLETED THIS REPORTING PERIOD	Number of Contracts Completed	Total Dollar Value of Contracts Completed	DBE Participation Needed to Meet Goal (Dollar)	Total DBE Participation (Dollar)	Percent to DBES
20 Prime Contracts	56	1,000,000	350,000	275,000	27.5
20 Non-Prime	150	2,500,000			
21 Totals					

- 20B = Total **dollar value** of prime contracts completed **using Race Neutral measures**

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### Section D: Completed Contracts

3	2	1	4	5	6
TOTAL PAYMENTS ON CONTRACTS COMPLETED THIS REPORTING PERIOD	Number of Contracts Completed	Total Dollar Value of Contracts Completed	DBE Participation Needed to Meet Goal (Dollar)	Total DBE Participation (Dollar)	Percent to DBES
20 Prime Contracts	56	1,000,000	350,000	275,000	27.5
20 Non-Prime	150	2,500,000		100,000	
21 Totals					

- 20D = Total **dollar value** of completed contracts with **DBE participation** using **Race Neutral measures**

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### Section D: Completed Contracts

3	2	1	4	5	6
TOTAL PAYMENTS ON CONTRACTS COMPLETED THIS REPORTING PERIOD	Number of Contracts Completed	Total Dollar Value of Contracts Completed	DBE Participation Needed to Meet Goal (Dollar)	Total DBE Participation (Dollar)	Percent to DBES
20 Prime Contracts	56	1,000,000	350,000	275,000	27.5
20 Non-Prime	150	2,500,000		100,000	
21 Totals					

- 20E = 20D/20B **OR**
- Percent to DBEs  
=  $\frac{\text{Total Dollar Value of DBE Participation}}{\text{Total Value of DBE and non-DBE contracts completed}}$

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**Section D: Completed Contracts**

19	20	21	22	23	24
TOTAL AGREEMENT OR CONTRACTS COMPLETED THIS REPORTING PERIOD	Number of Contracts Completed	Total Dollar Value of Contracts Completed	DBE Participation Needed to Meet Goal (Percent)	Total DBE Participation (Dollar)	Percent to DBE
19a New Sublets	56	1,000,000		275,000	27.5
19b New Awards	150	2,500,000		100,000	4
19 Total	206	3,500,000		375,000	10.7

21A = 19A + 20A      21B = 19B + 20B  
 21D = 19D + 20D      21E = 21D ÷ 21B

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# QUESTIONS?

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## Summary

- o Complete your Uniform Reports on time
  - Report due on **October 17, 2019**
  - Return via email on Excel file
  - Submit signed report via PDF
- o For assistance contact Sharon Beasley at [Sharon.Beasley@dot.ca.gov](mailto:Sharon.Beasley@dot.ca.gov)

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**Other DBE Program Items to Consider**

- Solicitation Language must include DBE Program flow downs
- Include contract goals when appropriate
- Require monthly DBE subcontract payment reporting



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**Key Reference Links**

- **Caltrans Overall DBE Goal and Methodology**  
<https://dot.ca.gov/programs/business-and-economic-opportunity/obeo-reports/proposed-goal-methodology>
- FTA Civil Rights - <http://www.fta.dot.gov/civilrights/12326.html>
- CUCP - <http://californiaucp.org/>
- DBE Directory - [http://www.dot.ca.gov/hq/bep/find\\_certified.htm](http://www.dot.ca.gov/hq/bep/find_certified.htm)



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**Questions?**

**Contact Sharon Beasley at**  
Sharon.Beasley@dot.ca.gov

**Thank You for Your Time!**



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