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## Chapter 17 – CRO DBE Certification

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## 17.1 Vendor Record Information

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Prime contractors, subcontractors, and DBEs must self-register on the Alaska DOT&PF AASHTOWare Vendor List. They do this by registering in IRIS VSS and entering a commodity code of 913. IRIS will push information for vendors with the correct commodity code into AASHTOWare Project (AWP) around 12:30pm Monday - Saturday. Once a vendor is on the AWP Vendor List, they are set and do not need register again. Valid AWP vendor records are required for DOT&PF to process bids, for contractors and subcontractors to be able to register on the plan holder's list, and for contractor payments to push from the AWP Construction & Materials module back into IRIS.

DOT&PF personnel cannot create new vendor records in AWP. Vendor records must be initiated by the IRIS VSS interface. Once the vendor record has been created in AWP, DOT&PF staff can add more information or modify information as necessary.

The CRO Vendor Admin-Certifications role has the ability to edit the following information on the vendor's record: general information, addresses, work capacity, officers, and professional licenses. In addition to this, the CRO Vendor Admin-Certifications role has full access to the vendor's DBE record area to add or edit information in the following areas: certification, work codes, work locations, events (date records), and annual data.

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## 17.2 General Info

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The General tab houses basic information about the vendor (*Figure 17.1*). Some information is pushed from IRIS when the vendor registers. Those fields are: Vendor ID, Vendor Name, Corporation Type, and Vendor Established Date. There should never be a need to modify the information on this tab, unless the vendor is being made obsolete in the AWP system.

The screenshot shows the 'Vendor General Summary' interface. At the top, it identifies the vendor as 'Vendor: ACD12154 - ALASKA COMMERCIAL DIVERS INC'. A navigation menu on the left includes 'General', 'Work Capacity', 'Addresses', 'Officers', and 'Professional Licenses', with 'General' highlighted and an orange arrow pointing to it. The main form area contains the following fields:

- Vendor ID:** ACD12154
- Corporation Type:** 04 - Corporation (dropdown menu)
- Vendor Name:** ALASKA COMMERCIAL DIVERS INC (text input with search icon)
- IRIS Vendor Name:** ALASKA COMMERCIAL DIVERS INC
- Dates:**
  - Vendor Established Date:** 02/27/2019 (calendar icon)
  - Obsolete Date:** (empty calendar icon)

Figure 17.1

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### 17.3 Work Capacity

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To add work capacity information (*Figure 17.2*):

1. (A) Click the **Work Capacity** tab.
2. (B) From the **State of Incorporation** dropdown, select the appropriate state.
3. (C) In the **Year of Incorporation** field, enter the year the company was incorporated.
4. (D) From the **Education Level of Owner** dropdown, select the appropriate education level.
5. (E) From the **Range Annual Gross Receipt** dropdown, select the appropriate annual gross receipt range for the vendor.
6. (F) In the **Bond Limit** field, enter the bond limit for the vendor.
7. (G) Click the **Range Annual Gross Receipt Received Date** calendar icon and select the appropriate date.
8. (H) Click **<Save>**.

The screenshot shows the 'Vendor General Summary' form for 'Vendor: 01 - Alaska Vendor 1'. The form is divided into several sections. On the left, there is a navigation menu with tabs: 'General', 'Work Capacity', 'Addresses', 'Officers', and 'Professional Licenses'. The 'Work Capacity' tab is selected and highlighted with an orange circle 'A'. The main form area contains several fields: 'State of Incorporation' (dropdown menu showing 'AK - ALASKA', annotated with 'B'), 'Year of Incorporation' (text input field showing '1997', annotated with 'C'), 'Education Level of Owner' (dropdown menu showing '3 - Some College - No Degree', annotated with 'D'), 'Range Annual Gross Receipt' (dropdown menu showing '2 - \$1,000,000-\$4,999,999', annotated with 'E'), 'Bond Limit' (text input field showing '10,000,000', annotated with 'F'), and 'Range Annual Gross Receipt Received Date' (calendar icon showing '02/08/2018', annotated with 'G'). At the top right of the form, there is a 'Save' button and a help icon, both annotated with an orange circle 'H'.

*Figure 17.2*

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### 17.4 Addresses

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There are five (5) address types in AWP: Bidding, DBE, Mailing, Payment, and Physical (*Figure 17.3*)

The screenshot shows a dropdown menu titled 'Address ID \*'. The menu is open, displaying five options: 'BIDS - Bidding', 'DBE - DBE', 'MAIL - Mailing', 'PAYMENT - Payment', and 'PHYS - Physical'. The dropdown is highlighted with a blue border.

*Figure 17.3*

The address information that is transferred from IRIS creates two (2) address type records in AWP – Payment and Bids. The CRO Vendors Admin-Certifications role can add or edit the DBE address. Mailing and Physical address types are not used in any interface or in any other part of AWP, but it may be useful to store these addresses for contractors.

NOTE: Address records cannot be deleted once created.

***The Payment address should never be altered*** – this is what will be used for transferring contractor payment information from AWP Construction & Materials to IRIS. This is the only address information that will be updated in AWP automatically if a contractor modifies their address information in IRIS.

The **Bids** address is transferred from IRIS and is maintained by the regional contracts offices.

The **DBE** address is added and maintained by the Civil Rights Office and is used for DBE registration and certification purposes.

The **Mailing** address type is purely informational and can be added by any of the Vendors Admin roles if any want to have this information. It is not populated by IRIS and does not interact with any other part of AWP or interface.

The **Physical** address type is purely informational and can be added by any of the Vendors Admin roles if any want to have this information. It is not populated by IRIS and does not interact with any other part of AWP or interface.

To create a new address type (*Figure 17.4*):

1. (A) Click the **Addresses** tab.
2. (B) Click the **<New>** button.

A new address record will appear at the bottom of the current addresses.

3. (C) From the **Address ID** dropdown, select DBE (or Mailing or Physical).
4. (D) In the **Address** field, enter the street address or P.O. Box number.
5. (E) In the **City** field, enter the name of the city for the address.
6. (F) From the **State/Province** dropdown, select the appropriate state.
7. (G) In the **Zip Code** field, enter the applicable zip code for the address.
8. (H) From the **Phone Numbers Type** dropdown, select phone or fax, this is a required field.  
NOTE: You can only have one phone record and one fax record on each address type.
9. (I) In the **Phone Number** field, enter the phone number to be associated with this address. The Phone number field is a required field.
10. (J) In the **Email Address** field, enter the email address to be associated with this address.
11. (K) If applicable, enter the DUNS number in the **DUNS Number** field.
12. (L) Click **<Save>**.

Vendor General Summary

Vendor: 01 - Alaska Bidder 1

0 added | 0 for deletion | 0 changed

Save ?

General

Work Capacity

Addresses

Officers

Professional Licenses

New

BIDS - Bidding 123 Bids Drive  
Fairbanks, AK - ALASKA 99701

DBE - DBE 123 Our Lane  
Anchorage, AK - ALASKA 99501

Address ID \* DBE - DBE

Email Address dbeemail@fakeemail.com

Address 123 Our Lane

DUNS Number

City Anchorage

State/Province AK - ALASKA

Zip Code 99501

Phone Numbers

Type *	Phone Number *	Extension
PHONE - Phone	(907)907-9079	
PHONE - Phone		

Figure 17.4

## 17.5 Editing Address Info

Vendor information is pulled nightly into AWP from IRIS VSS. The CRO Vendors Admin-Certifications role does have the ability to modify some vendor information if necessary.

1. Log into AWP (see Chapter 1).
2. Make sure you are in the **CRO Vendors Admin-Certifications** role (see Chapter 2 for more info on roles).
3. (Figure 17.5) From the Vendor Overview component on the dashboard, (A) search for and (B) select the vendor. NOTE: A minimum of a three (3) character string is required for the system to search. You can search by Proposal ID (State/IRIS number) or the Proposal Name.

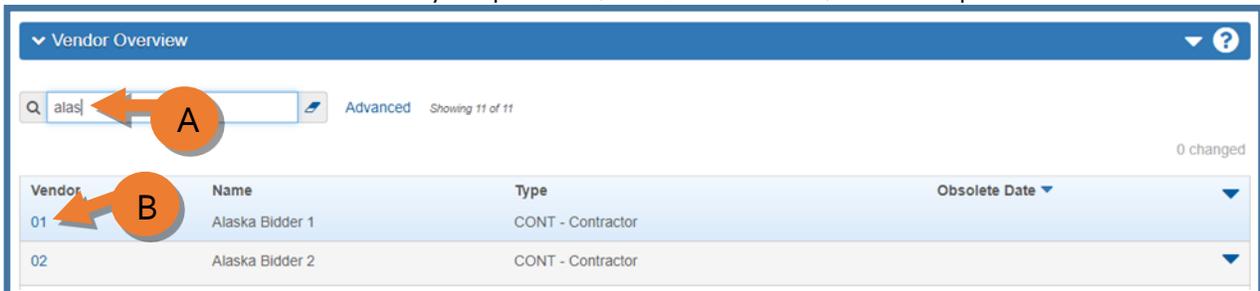


Figure 17.5

4. (C) Click the **Addresses** tab (Figure 17.6).
5. (D) Expand the Address record you want to modify.
6. Make modifications as needed.
7. (E) Click **<Save>**.

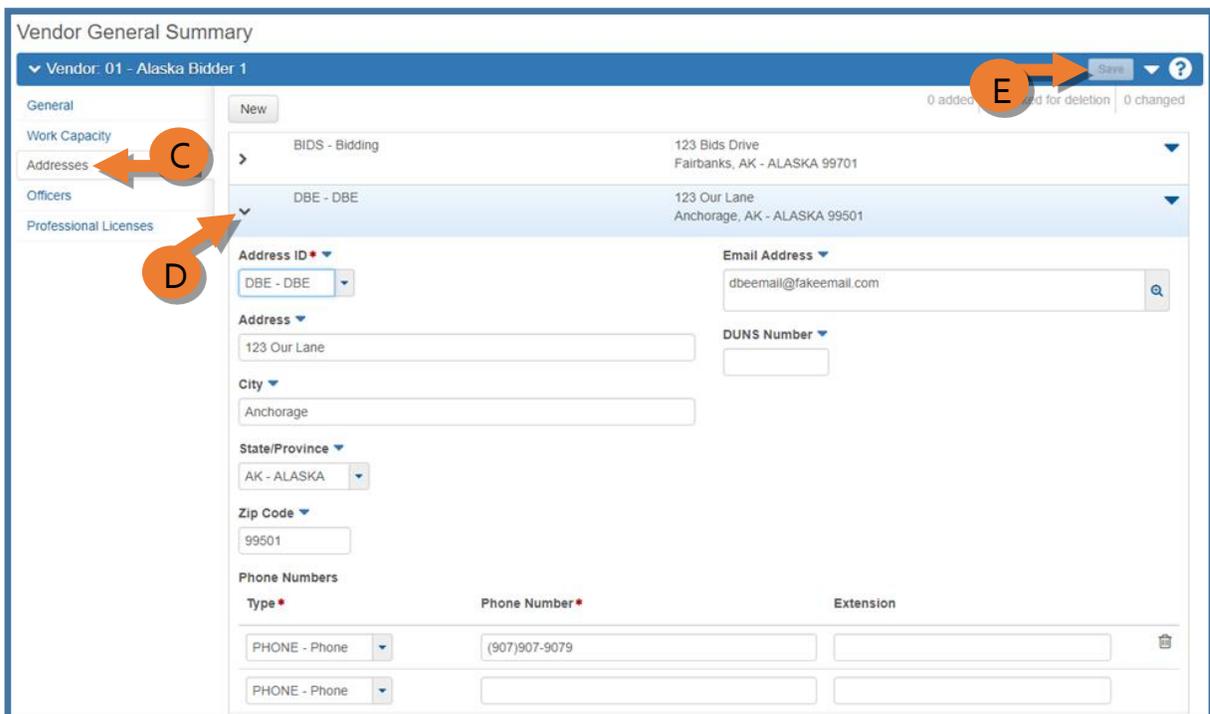


Figure 17.6

## 17.6 Officers

The CRO Vendors Admin-Certifications role is the only role that can add or modify company officer information. The CRO Vendors Admin-General role has read-only access to this tab (*Figure 17.7*).

To add a vendor Officer:

1. (A) Click the **Officers** tab.
2. (B) Click the **<New>** button.
3. (C) In the **Officer Name** field, enter the name of the vendor officer.
4. (D) From the **Address ID** dropdown, select the address type to be associated with this officer. If this officer is the DBE contact person, select DBE. NOTE: This is not a required field, so the officer does not have to be associated to an Address ID (i.e. if they aren't the DBE contact).
5. (E) In the **Phone Number** field, enter the phone number for this officer.
6. (F) If there is a secondary phone number for this officer, enter it in the **Other Phone Number** field.
7. (G) If the officer has a fax number, enter it in the **Fax Number** field.
8. (H) Click the **Effective Date calendar icon** and select the date that the officer record is effective.
9. (I) In the **Officer Title** field, enter the title for this officer.
10. (J) Check the **Primary Title** box if this is the only title for the officer or if this is the main title if the officer has multiple officer records with different titles.
11. (K) In the **Percent Ownership** field, enter the percentage of the company that the officer owns.
12. (L) Enter any comments relating to this officer in the **Comments** box.
13. (M) Click **<Save>**.

NOTE: Vendor Officer records cannot be deleted, if an officer record is no longer valid, click the **Obsolete Date calendar icon** and select the date the officer record is no longer active and click **<Save>**.

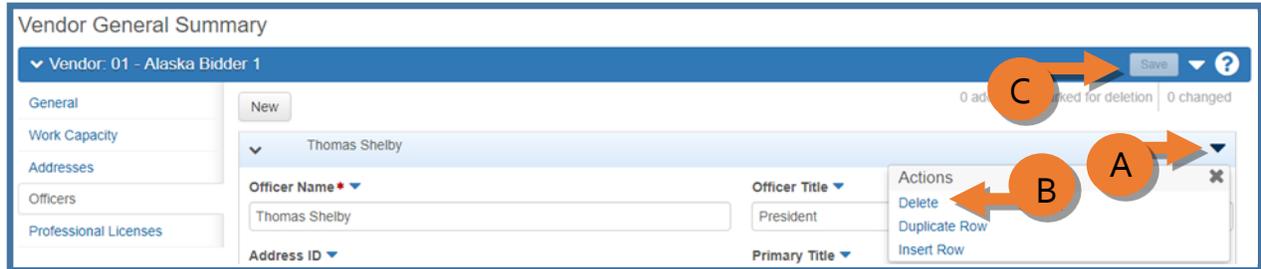
The screenshot shows the 'Vendor General Summary' page for 'Vendor: 01 - Alaska Bidder 1'. The 'Officers' tab is selected, and a 'New' button is visible. The form contains the following fields and labels:

- A**: Officers tab in the left sidebar.
- B**: 'New' button at the top of the form.
- C**: 'Officer Name' field containing 'Thomas Shelby'.
- D**: 'Address ID' dropdown menu set to 'BIDS - Bidding'.
- E**: 'Phone Number' field containing '(456)456-4566'.
- F**: 'Other Phone Number' field.
- G**: 'Fax Number' field containing '(907)999-9999'.
- H**: 'Effective Date' field with a calendar icon, set to '11/01/2017'.
- I**: 'Officer Title' field containing 'President'.
- J**: 'Primary Title' checkbox, which is checked.
- K**: 'Percent Ownership' field containing '100.00'.
- L**: 'Obsolete Date' field with a calendar icon.
- M**: 'Save' button at the top right of the form.

Figure 17.7

To delete an officer record (*Figure 17.8*):

1. (A) Expand the officer record row **action menu**.
2. (B) Select **Delete**.
3. (C) Click **<Save>**.



*Figure 17.8*

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## 17.7 Professional Licenses

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The CRO Vendors Admin-Certifications role is the only role that can add or modify professional license information for a vendor.

To add professional license info (*Figure 17.9*):

1. (A) Click the **Professional Licenses** tab.
2. (B) Click the **<New>** button.
3. (C) In the **Professional License Sequence Number** field, enter the sequential number for professional licenses on this vendor record.
4. (D) In the **Professional License Type** field, search for and select the type of professional license.
5. (E) Click the **Expiration Date calendar icon** and select the date the professional license expires, if applicable.
6. (F) In the **License Holder** field, enter the name of the individual who holds the professional license.
7. (G) Click **<Save>**.

8. To add more professional licenses to the vendor record, repeat steps 2 -7.

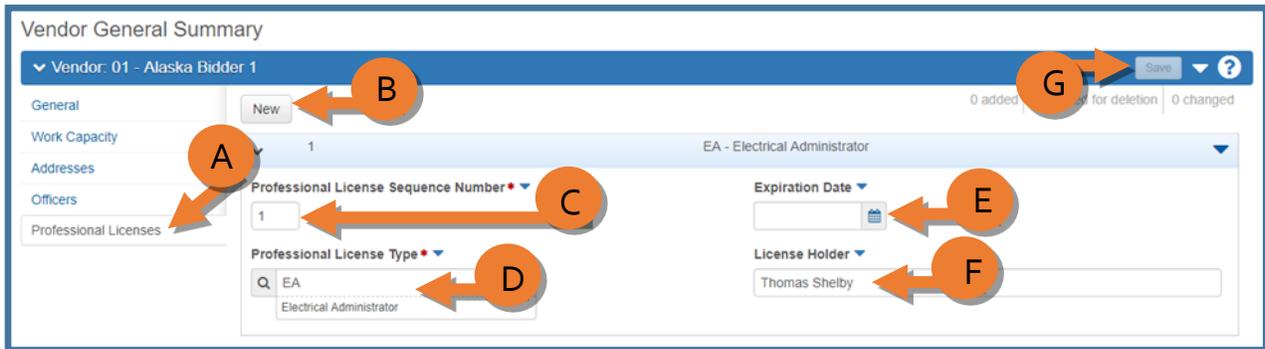


Figure 17.9

To delete a professional license record (Figure 17.10):

4. (A) Expand the professional license row **action menu**.
5. (B) Select **Delete**.
6. (C) Click **<Save>**.

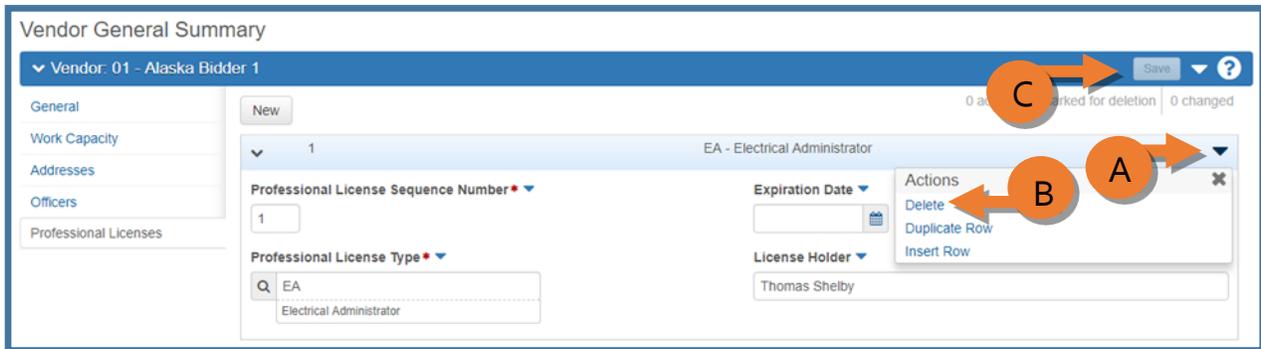


Figure 17.10

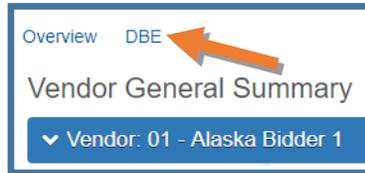
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## 17.8 Managing DBE Certification Information

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The CRO Vendors Admin-Certification role has the ability to manage the DBE Certification area of AWP. The Vendor DBE Summary component allows the DOT&PF Civil Rights Office to manage all DBE info including: general certification information, work code, work locations, events (initial and annual), and annual data. In addition, the CRO Vendors Admin-Certifications role has access to all DBE related reports and AWP-generated initial/annual letters.

To navigate from the Vendor General Summary component to the DBE area, click the **DBE** quick link at the top of the screen (*Figure 17.11*).



*Figure 17.11*

You will be taken to the Vendor DBE Summary component Certification tab (*Figure 17.12*). This tab contains the general certification information for the vendor. To add certification information:

1. (A) From the **DBE Certifying Entity** dropdown, select AUCP – Alaska Unified Certification Program.
2. (B) From the **DBE Certification Status** dropdown, select the certification status for the DBE.
3. (C) From the **Certified Gender** dropdown, select the appropriate gender for the DBE.
4. (D) In the **DBE Certification Number** field, enter the DBE's cert number.
5. (E) If the DBE is a Small Business Enterprise, check the **Small Business Enterprise** box.
6. (F) If a Good Faith Effort is required for this DBE, check the **GFE Required?** box.
7. (G) Click the **DBE Certification Date calendar icon** and select the date the DBE becomes certified.
8. (H) Click the **DBE Certification Annual Review Date calendar icon** and select the date of the DBE's next annual certification review.
9. (I) From the **DBE Type** dropdown, select the appropriate type for the DBE.
10. (J) From the **Ethnic Group** dropdown, select the ethnic group that applies to the DBE.
11. (K) If the DBE is an Airport Concessionaire DBE, check the **ACDBE** box.
12. (L) If there are any comments relating to this DBE's certification, enter them in the **Comments** box.
13. (M) In the **Business Description** box, type a description of the business and what work it performs.
14. (N) Check any applicable **Support Services** used by the DBE.
15. (O) Click **<Save>**.

**Vendor DBE Summary**

Vendor: 01 - Alaska Bidder 1 Save ?

Certification

Work Codes

Work Locations

Events

Annual Data

**DBE Certifying Entity**

AUCP - Alaska Unified Certification Program A

**DBE Certification Status \***

Certified B

**Certified Gender**

Male C

**DBE Certification Number**

987SUPERDBE D

**Small Business Enterprise**

E

**GFE Required?**

F

**Comments**

L

**Business Description**

Shelby Electric is a sole proprietorship with Thomas Shelby as president and holder of an Electrical Administrator professional license. M

**DBE Certification Date**

11/01/2017 G

**DBE Certification Annual Review Date**

11/01/2018 H

**DBE Type**

N - Nonminority Male-Owned I

**Ethnic Group**

NC - AK NATIVE CORPORATION J

**ACDBE**

K

**Support Services**

<p><b>Map to Success</b></p> <p><input checked="" type="checkbox"/></p> <p><b>Mentor Protege Program</b></p> <p><input type="checkbox"/> <span style="float: right;">N</span></p> <p><b>DBE Reimbursement Program</b></p> <p><input type="checkbox"/></p> <p><b>Short Term Lending Program</b></p> <p><input type="checkbox"/></p>	<p><b>Business Development Consultations</b></p> <p><input type="checkbox"/></p> <p><b>DBE Orientation</b></p> <p><input checked="" type="checkbox"/></p> <p><b>Networking Events</b></p> <p><input type="checkbox"/></p> <p><b>Technical Training/Workshops</b></p> <p><input type="checkbox"/></p>
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Figure 17.12

To add DBE work code information (*Figure 17.13*):

1. (A) Click the **Work Codes** tab.

#### **NAICS Codes**

2. (B) Click the NAICS Codes **<New>** button.
3. (C) In the **NAICS Code** field, search for and select the NAICS code that applies to the DBE.
4. (D) Click the **Effective Date** calendar icon and select the date the DBE's NAICS code is active.
5. (E) From the **Status Code** dropdown, select the appropriate status for the NAICS code.
6. (F) If the status in the Status Code field is changed, click the **Status Change Date calendar icon** and select the date the NAICS code status changed.
7. (G) If there are any comments relating to this NAICS code for the DBE, enter them in the **Remarks** box.
8. (H) If this NAICS code is the primary code for the DBE, check the **Primary Code Flag** box.
9. (I) Click **<Save>**.

NOTE: To add additional NAICS codes to this DBE record, repeat steps 2 – 9.

#### **Work Categories**

10. (J) Click the work categories **<New>** button.
11. (K) In the **Specialty Code** field, search for and select the work category to be assigned to the DBE.
12. (L) Click the **Effective Date calendar icon** and select the date the DBE's work category is active.
13. (M) From the **Status Code** dropdown, select the appropriate status for the work category.
14. (N) If the status in the Status Code field is changed, click the **Status Change Date calendar icon** and select the date the work category status changed.
15. (O) If there are any comments relating to this work category for the DBE, enter them in the **Remarks** box.
16. (I) Click **<Save>**.

NOTE: To add additional work categories to this DBE record, repeat steps 10 – 16.

Vendor DBE Summary

Vendor: 01 - Alaska Bidder 1 Save ?

**NAICS Codes** 0 added | 0 changed

111110 - Soybean Farming

NAICS Code\*   Status Change Date

Effective Date\*  Remarks

Status Code\*  Primary Code Flag

111411 - Mushroom Production

**Work Categories** 0 added | 0 changed

002 - ADVERTISING-CONCESSION

Specialty Code\*   Status Change Date

Effective Date\*  Remarks

Status Code\*

Figure 17.13

To add DBE work location information (*Figure 17.14*):

1. (A) Click the **Work Locations** tab.

#### **Borough**

2. (B) Click the borough **<New>** button.
3. (C) In the **Borough ID** field, search for and select the borough (or outside borough area) the DBE will work in.
4. (D) Click the **Effective Date calendar icon** and select the date the DBE's borough is active.
5. (E) If the DBE will no longer work in the borough selected in the Borough ID field, click the **Inactive Date calendar icon** and select the date the borough is no longer applicable for this DBE.
6. (F) If there are any comments relating to this borough record for the DBE, enter them in the **Comments** box.
7. (G) Click **<Save>**.
8. (NOTE: To add additional borough records to this DBE record, repeat steps 2 – 7.

#### **Region**

9. (H) Click the region **<New>** button.
  10. (I) In the **Region ID** field, search for and select the region the DBE is certified to work in.
  11. (J) Click the **Effective Date calendar icon** and select the date the DBE's region record is active.
  12. (K) If, for any reason, the DBE is no longer certified to work in the region selected in the Region ID field, click the **Inactive Date calendar icon** and select the date the region is no longer applicable for this DBE.
  13. (L) If there are any comments relating to this region for the DBE, enter them in the **Comments** box.
  14. (G) Click **<Save>**.
- NOTE: To add additional regions to this DBE record, repeat steps 9 – 14.

Vendor DBE Summary

Vendor: 01 - Alaska Bidder 1 Save ?

Certification

Work Codes 1 added | 0 changed

Work Locations

Events

Annual Data

**Borough** 11/01/2017

New

Fairbanks North Star

Borough ID\*   Effective Date\* 11/01/2017

Comments  Inactive Date

**Region** 11/01/2017

New

NR Northern Region

Region ID\*   Effective Date\* 11/01/2017

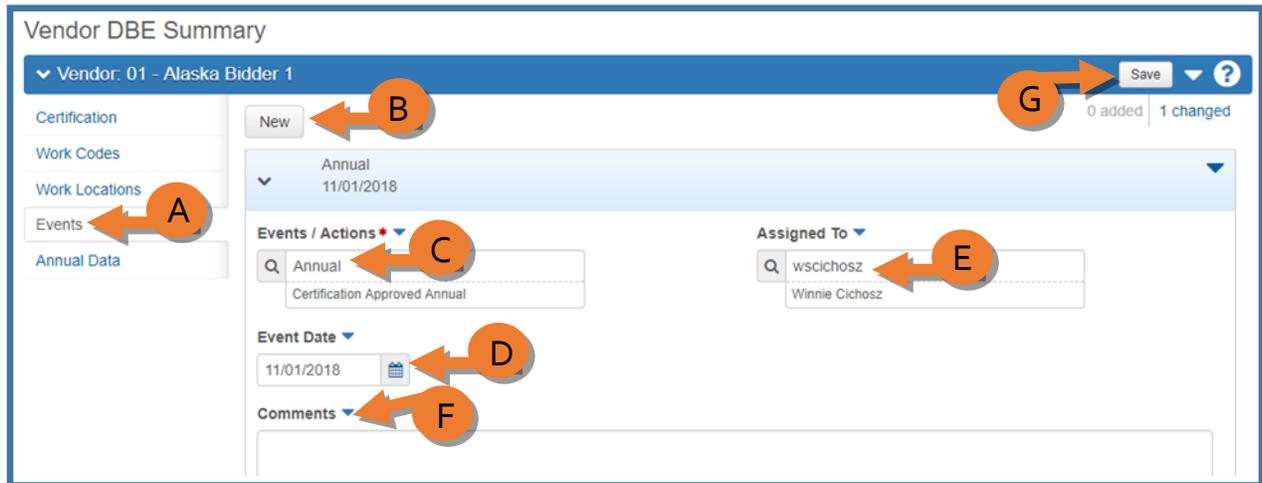
Comments  Inactive Date

Figure 17.14

To add initial and annual DBE event information (*Figure 17.15*):

1. (A) Click the **Events** tab.
2. (B) Click the **<New>** button.
3. (C) In the **Events/Actions** field, search for and select the initial or annual event you want to add.
4. (D) Click the **Event Date calendar icon** and select the date of the added event.
5. (E) In the **Assigned To** field, search for and select the person who is responsible for completing/monitoring this event.
6. (F) If there are any comments related to this event record, enter them in the **Comments** box.
7. (G) Click **<Save>**.

NOTE: To add more events to the DBE record, repeat steps 2 – 7.



*Figure 17.15*

To add DBE annual data information (*Figure 17.16*):

1. (A) Click the **Annual Data** tab.
2. (B) Click the **<New>** button.
3. (C) In the **Year** field, enter the year that applies to this annual data record.
4. (D) From the **Submittal Type** dropdown, select the type that applies to the annual data submittal.
5. (E) Click the **Submittal Date calendar icon** and select the date the annual data was submitted.
6. (F) In the **Gross Receipts** field, enter the amount of the annual gross receipts for the DBE.  
NOTE: The **Calc. 3-yr Avg** field shows the average of the last three Annual Data records. This number will not be accurate until three (3) years of annual data has been entered into AWP for the DBE.
7. (G) Click the **Annual Affidavit Date calendar icon** and select the date of the annual affidavit.
8. (H) In the **Number of Employees** field, enter the number of people employed by the DBE.
9. (I) If there are any comments relating to the DBE's annual data record, enter them in the **Comments** box.
10. (J) Click **<Save>**.

NOTE: To add additional years' annual data, repeat steps 2 – 10.

Vendor DBE Summary

Vendor: 01 - Alaska Bidder 1

0 added | 1 changed

Save ?

New

2017 ANNUAL - Annual

Year \* 2017

Submittal Type \* ANNUAL - Annual

Submittal Date \* 01/30/2018

Gross Receipts \* 1,234,567

Calc. 3-yr Avg. 1,234,567

Annual Affidavit Date \* 12/20/2017

Comments

Number of employees 12

Callout letters: A (Annual Data), B (New), C (Year), D (Submittal Type), E (Submittal Date), F (Gross Receipts), G (Annual Affidavit Date), H (Number of employees), I (Comments), J (Save).

Figure 17.16

## 17.9 DBE Reports & Letters

The CRO Vendors Admin-Certifications role has access to several reports from either the Vendor General Summary component or the Vendor DBE Summary component (*Figure 17.17*). The reports are the same in both locations.

To generate a report:

1. (A) Expand the Vendor General Summary component **action menu**.
2. (B) Select the report you want to run.

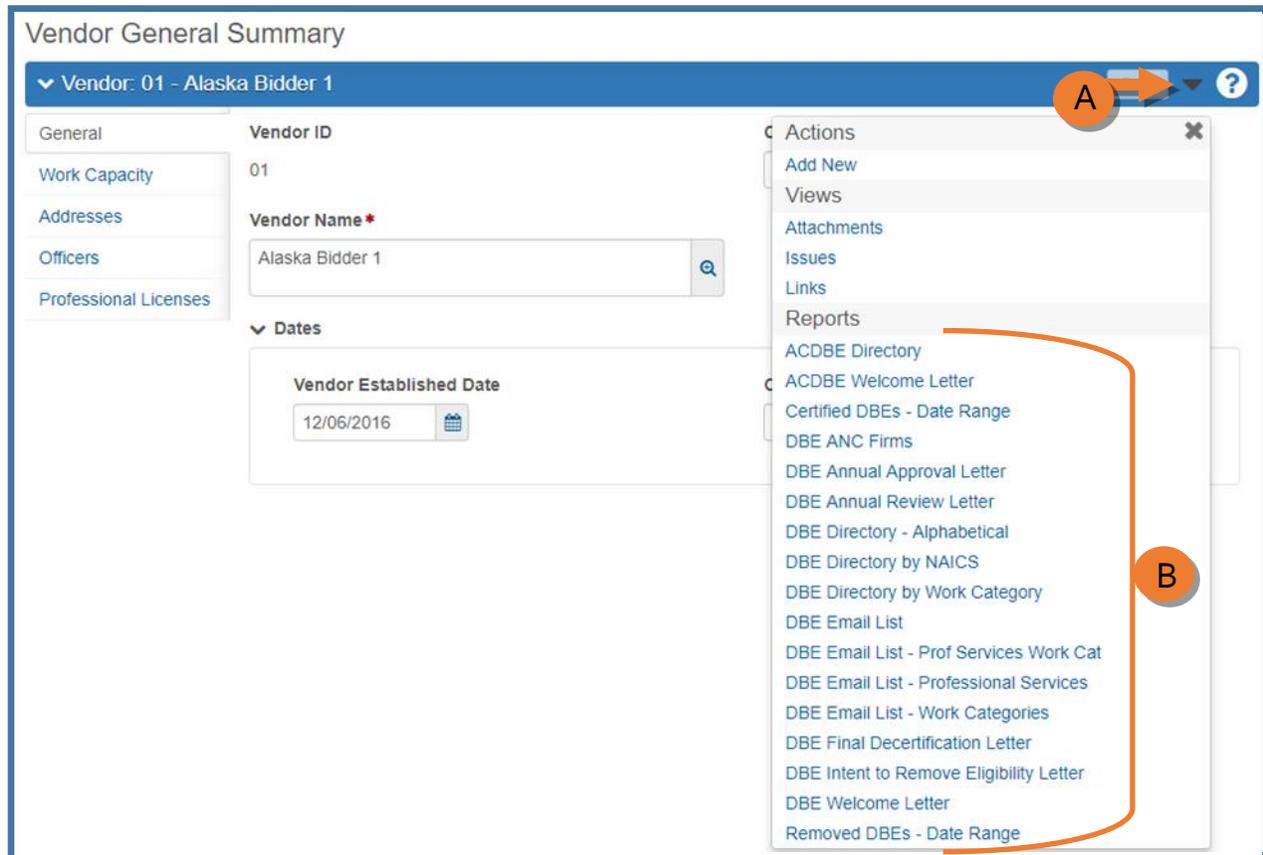


Figure 17.17

3. (C) Click <Execute> (Figure 17.18).

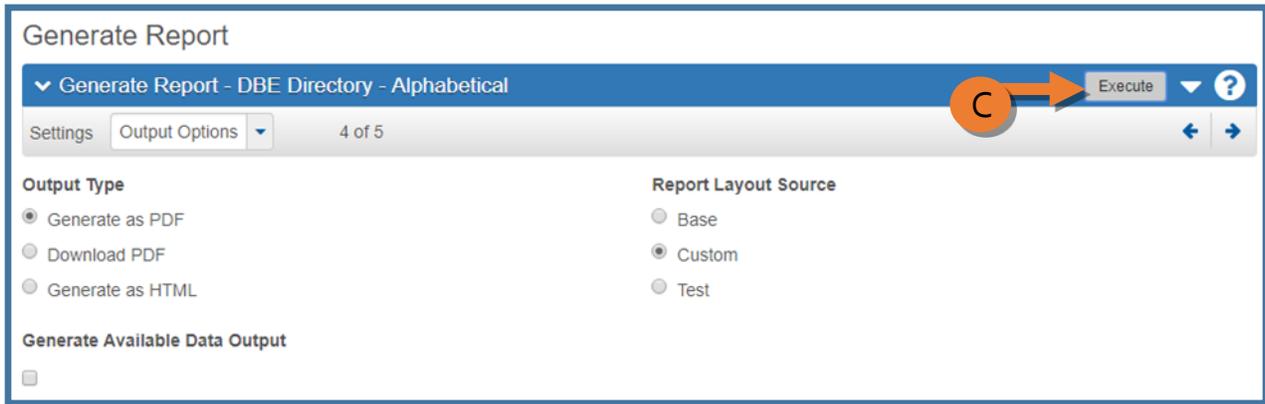


Figure 17.18