

## Step-by-Step Instructions for Completing the Uniform Report of DBE Awards or Commitments and Payments Form Internal Process for Alaska DOT&PF, Civil Rights Office

The purpose of these instructions is to help guide FTA Subrecipients on how to fill out a Uniform Report come from 49 CFR Appendix B to Part 26 - Uniform Report of DBE Awards or Commitments and Payments Form.

The following information and steps describe the process State of Alaska, Department of Transportation and Public Facilities (DOT&PF) Civil Rights Office (CRO) undertakes to develop the U.S. Department of Transportation (USDOT) Uniform Report. The steps outlined are required to ensure data is properly collected, analyzed, and saved, and due dates to ensure the timely submittal of the Uniform Report. Resources are included to help guide with filling out this form.

Recipients of Department of Transportation (DOT) funds are expected to keep accurate data regarding the contracting opportunities available to firms paid for with DOT dollars. Failure to submit contracting data relative to the DBE program will result in noncompliance with Part 26. All dollar values listed on this form should represent the DOT share attributable to the Operating Administration (OA): Federal Highway Administration (FHWA), Federal Aviation Administration (FAA) or Federal Transit Administration (FTA) to which this report will be submitted.

The overall purpose of Uniform Report is to capture information on current actual payments made to DBEs for work performed on ongoing federally-assisted contracts.

### Resources:

- CFR: <https://www.ecfr.gov/current/title-49/subtitle-A/part-26/appendix-Appendix%20B%20to%20Part%2026>
- SOA, DOT&PF DBE Program: <https://dot.alaska.gov/cvlrts/aucp.shtml>
- Why do we have a Disadvantaged Business Enterprise (DBE) program?
  - <https://www.youtube.com/watch?v=5i1vZPLLOXE>

### Common Definitions:

- **Definition of Race Conscious:** A race-conscious program is one that focuses on, and provides benefits only for, DBEs. The use of contract goals is the primary example of a race-conscious measure in the DBE program.
- **Definition of Race Neutral:** A race-neutral program is one that, while benefiting DBEs, is not solely focused on DBE firms.

### Other:

- Current FTA DBE Participation Goal: 5.29%

The following information was copied directly from Alaska Community Transit Reimbursable Grant Project Agreement FTA Section 5310/5311 which you, as the FTA Subrecipient signed (agreement).

This agreement states the following on the Disadvantaged Business Enterprise Program:

H. Disadvantaged Business Enterprises (DBE): The SUBRECIPIENT assures Disadvantaged Business Enterprises will have the maximum opportunity to compete for and perform contracts and subcontracts financed under this project, as specified in 49 CFR 26 and per the following:

1. If the SUBRECIPIENT will purchase one or more transit vehicles (excluding unmodified mass-produced vans or unmodified pop-top vans), it assures that it will obtain from each transit vehicle manufacturer a TVM certification, to show that the manufacturer complies with DBE requirements.
2. If the SUBRECIPIENT does not receive grant funds directly from FTA, it is required to participate in the Alaska Unified Certification Program (AUCP). If the SUBRECIPIENT receives grant funds directly from the FTA, it must submit a current copy of the DBE program to the STATE. Additionally, the SUBRECIPIENT will report its DBE activity and results to the STATE semi-annually every year of the SUBRECIPIENT agreement. If the SUBRECIPIENT is a direct recipient of FTA funds and has an approved DBE program on file with FTA, the SUBRECIPIENT'S DBE

goal will include any FTA funds passed through the STATE and the recipient will report all activity, including activity associated with FTA funds administered by the STATE, to FTA.

3. A DBE participation goal of 5.92% of contract value has been set for each contract initiated and issued by the STATE or SUBRECIPIENT. Contractors are expected to meet this goal or provide written proof of good faith effort (GFE) steps undertaken when attempting to meet said goal. In its acceptance of a contract with STATE or SUBRECIPIENT, the contractor will clearly and definitively indicate in writing it has either met this DBE contracting goal, or has submitted an acceptable GFE describing steps taken to achieve the desired DBE participation. All GFEs will be reviewed, and must be approved by the STATE before a contractor is eligible for contract award.
4. Reporting of all grant distributions will be undertaken annually with submission of the Uniform Report from all subrecipients. Individual reports are then aggregated by the state into a single FTA grant Uniform Report submission which provides required detail of FTA grant distribution amounts, their application, and the DBE participation percentage achieved. The template and instructions for submission of the annual Uniform Report from SUBRECIPIENTS will be distributed to all parties two months before submission deadline.
5. The SUBRECIPIENT assures it will not discriminate on the basis of race, religion, color, gender, age, marital status, ability, or national origin in implementation of the project, in award or performance of any third-party contract or sub-agreement supported with this grant, or in administration of its DBE program and 49 CFR 26. If the STATE receives a complaint regarding discrimination by the SUBRECIPIENT, the SUBRECIPIENT will cooperate fully in the investigation of the complaint by the STATE.

**Instructions on how to fill the Uniform Report (step by step):**

1. Indicate the DOT Operating Administration (OA) that provides your Federal financial assistance. If assistance comes from more than one OA, use separate reporting forms for each OA. If you are an FTA recipient, indicate your Vendor Number in the space provided.

2. If you are an FAA recipient, indicate the relevant AIP Numbers covered by this report. If more than six, attach a separate sheet.

3. Specify the Federal fiscal year (i.e., October 1 – September 30) in which the covered reporting period falls.

4. State the date of submission of this report.

Check the appropriate box that indicates the reporting period that the date provided in this report covers. If this report is due June 1, data should cover October 1 – March 31. If this report is due December 1, data should cover April 1 – September 30. If this report is due to the FAA, data should cover the entire year.

6. Name the recipient.

7. State your annual DBE goal(s) established for the Federal fiscal year of this report to be submitted to and approved by the relevant OA. Your Overall Goal is to be reported as well as the breakdown for specific Race Conscious and Race Neutral Goals (both of which include gender-conscious/neutral goals). The Race Conscious Goal portion should be based on programs that focus on and provide benefits only for DBEs. The use of contract goals is a primary example of a Race Conscious measure. The Race Neutral Goal portion should include programs, while benefiting DBEs, are not solely focused on DBE firms. For example, a small business outreach program, technical assistance, and prompt payment clauses can assist a wide variety of business in addition to helping DBE firms.

8-9. The amounts in items 8(A)-9(I) should include all types of prime contracts awarded and all types of subcontracts awarded or committed, including: professional or consultant services, construction, purchase of materials or supplies, lease or purchase of equipment and any other types of services. All dollar amounts to reflect only the Federal share of such contracts, and should be rounded to the nearest dollar.

8(A). Provide the total dollar amount for all prime contracts assisted with DOT funds that were awarded during this reporting period.

8(B). Provide the total number of all prime contracts assisted with DOT funds that were awarded during this reporting period.

8(C). From the total dollar amount awarded in item 8(A), provide the dollar amount awarded to certified DBEs during this reporting period.

8(D). From the total number of prime contracts awarded in item 8(B), specify the number awarded to certified DBEs during this reporting period.

8(E). From the total dollars awarded in 8(C), Provide the dollar amount awarded to DBEs through the use of Race Conscious. See definition of Race Conscious Goal in item 7 and explanation of project types in item 8 to include in your calculation.

8(F). From the total number of prime contracts awarded in 8(D), specify the number awarded to DBEs through Race Conscious methods.

8(G). From the total dollar awarded in item 8(C), provide the dollar amount awarded to certified DBEs through the use of Race Neutral methods. See the definition of Race Neutral Goal in item 7 and the explanation of project types in item 8 to include.

8(H). From the total number of prime contracts awarded in 8(D). specify the number awarded to DBEs through Race Neutral methods.

8(I). Of all prime contracts awarded this reporting period, calculate the percentage going to DBEs. Divide the dollar amount in item 8(C), by the dollar amount in item 8(A). to derive this percentage. Round percentage to the nearest tenth.

9(A)-9(I). Items 9(A)-9(I) are derived in the same way as items 8(A)-8(I), except that these calculations should be based on subcontracts rather than prime contracts. Unlike prime contracts, which may only be awarded, subcontracts may be either awarded or committed.

10(A)-11(I). For all DBEs awarded prime contracts and awarded or committed subcontracts as indicated in 8(C)-(D) and 9(C)-(D), break the data down further by total dollar amount as well as the number of all contracts going to each ethnic group as well as to non-minority women. The "Other" category includes those DBEs who are not members of the presumptively disadvantaged groups already listed, but who are determined eligible for the DBE program on an individual basis (e.g., a Caucasian male with a disability). The TOTALS value in 10(H) should equal the sum of 8(C) plus 9(C), and similarly, the TOTALS value in 11(H) should equal the sum of 8(D) plus 9(D). Column I should only be filled out if this report is due on December 1, as indicated in item 5. The values for this column are derived by adding the values reported in column H in your first report with the values reported in this second report.

12(A). Provide the total number of prime contracts completed during this reporting period that had Race Conscious goals. Race Conscious contracts are those with contract goals or another Race Conscious measure.

12(B). Provide the total dollar value of prime contracts completed this reporting period that had Race Conscious goals.

12(C). Provide the total dollar amount of DBE participation on all Race Conscious prime contracts completed this reporting period that was necessary to meet the contract goals on them. This applies to Race Conscious prime contracts.

12(D). Provide the actual total DBE participation in dollars on the race conscious prime contracts completed this reporting period.

12(E). Of all the prime contracts completed this reporting period, calculate the percentage of DBE participation. Divide the actual total dollar amount in 12(D) by the total dollar value provided in 12(B) to derive this percentage. Round to the nearest tenth.

13(A)-13(E). Items 13(A)-13(E) are derived in the same manner as items 12(A)-12(E), except these figures should be based on Race Neutral prime contracts (i.e., those with no race conscious measures).

14(A)-14(E). Calculate the totals for each column by adding the race conscious and neutral figures provided in each row above.

15. Name of the Authorized Representatives preparing this form.

16. Signature of the Authorized Representative.

17. Phone number of the Authorized Representative.

18. Fax number of the Authorized Representative.

\*\*Submit your completed report to your Regional or Division Office.

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

\*\*Please refer to the instruction sheet for directions on filling out this form\*\*

1 Submitted to (check only one)	<input type="checkbox"/> FHWA	<input type="checkbox"/> FAA	<input checked="" type="checkbox"/> FTA - Recipient ID Number 1725
2 AIP Numbers (FAA Recipients); Grant Number (FTA Recipients):	AK-65-X005		
	AK-2016-014		
3 Federal Fiscal year in which reporting period falls	FY 2020	4. Date This Report Submitted:	
5 Reporting Period	<input checked="" type="checkbox"/> Report due June 1 (for period Oct 1-Mar 31)	<input type="checkbox"/> Report due Dec 1 (for period April 1-Sep 30)	<input type="checkbox"/> FAA annual report due Dec 1
6 Name and address of Recipient:			
7 Annual DBE Goal(s): 5.92%	Race Conscious Projection: 0.00%	Race Neutral Projection: 4.96%	OVERALL Goal: 4.96%

**Awards/Commitments this Reporting Period**

A	AWARDS/COMMITMENTS MADE DURING THIS REPORTING PERIOD (Total contracts and subcontracts committed during 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
8	Prime contracts awarded this period	\$ -	0	\$ -	0			\$ -	0	#DIV/0!
9	Subcontracts awarded/committed this period	\$ -	0	\$ -	0	\$ -	0	\$ -	0	#DIV/0!
10	<b>TOTAL</b>	\$ -	0	\$ -	0	\$ -	0	\$ -	0	#DIV/0!

**B BREAKDOWN BY ETHNICITY & GENDER**

	A			B			C			D			E			F		
	Total to DBE (dollar amount)						Total to DBE (number)											
	Women	Men	Total	Women	Men	Total												
11	Black American	\$ -	\$ -	\$ -	0	0	0	0	0	0	0	0	0	0	0	0	0	0
12	Hispanic American	\$ -	\$ -	\$ -	0	0	0	0	0	0	0	0	0	0	0	0	0	0
13	Native American	\$ -	\$ -	\$ -	0	0	0	0	0	0	0	0	0	0	0	0	0	0
14	Asian-Pacific American	\$ -	\$ -	\$ -	0	0	0	0	0	0	0	0	0	0	0	0	0	0
15	Subcontinent Asian Americans	\$ -	\$ -	\$ -	0	0	0	0	0	0	0	0	0	0	0	0	0	0
16	Non-Minority	\$ -	\$ -	\$ -	0	0	0	0	0	0	0	0	0	0	0	0	0	0
17	<b>TOTAL</b>	\$ -	\$ -	\$ -	0	0	0	0	0	0	0	0	0	0	0	0	0	0

**Payments Made this Period**

C	PAYMENTS ON ONGOING CONTRACTS	A	B	C	D	E	F
		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 pr	0	\$ -	0	\$ -	0	#DIV/0!

D	TOTAL PAYMENTS ON CONTRACTS COMPLETED THIS REPORTING PERIOD	A	B	C	D	E
		Number of Contracts Completed	Total Dollar Value of Contracts Completed	DBE Participation Needed to Meet Goal (Dollars)	Total DBE Participation (Dollars)	Percent to DBEs
19	Race Conscious	0	\$ -	\$ -	\$ -	#DIV/0!
20	Race Neutral	0	\$ -	\$ -	\$ -	#DIV/0!
21	Totals	0	\$ -	\$ -	\$ -	#DIV/0!

22 Submitted by:	23. Signature:	24. Phone Number:
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