



Alaska Department of Transportation & Public Facilities (DOT&PF)

**Civil Rights Office & Alaska Community Transit
Disadvantaged Business Enterprise (DBE) Monitoring of Subrecipients & Compliance Plan**

January 2026

Overview: All subrecipients of Federal Transit Administration (FTA) funds are required under [CFR 49 CFR 26](#) to provide Disadvantaged Business Enterprises (DBEs) the maximum opportunity to complete for and perform contracts and subcontracts utilizing FTA funds.

This regulatory framework is designed to promote diversity and inclusivity in the allocation of FTA funds, ensuring that businesses classified as DBEs have a fair chance to participate in the transportation-related projects. Subrecipients are expected to integrate measures that facilitate the involvement of DBEs in various stages of project development, procurement, and execution.

The inclusion of DBEs in contracting and subcontracting activities not only aligns with federal regulations but also contributes to fostering economic growth, job creation, and a more equitable distribution of opportunities within the Alaskan community. By adhering to these requirements, subrecipients play a vital role in advancing the overarching goals of promoting fair competition and reducing barriers for disadvantaged businesses in the transportation sector.

It is imperative for all stakeholders involved in FTA-funded projects to demonstrate a commitment to the principles outlined in the federal DBE regulations, recognizing the significance of diversity and the value that DBEs bring to the overall success and sustainability of community transit initiatives in Alaska.

The DOT&PF Civil Rights Office has developed a DBE Monitoring Program Plan to provide a detailed framework for ensuring subrecipient compliance with DBE program requirements. This plan outlines procedures for ongoing monitoring, including the implementation of a formal monitoring schedule and the use of a comprehensive checklist to review key elements of subrecipient DBE programs. The DBE Monitoring Program is integrated into the Alaska Community Transit (ACT) Comprehensive Review Program. DBE is a review area in the Comprehensive Review Package. The Civil Rights Office works closely with ACT and its consultant to conduct the reviews.

The plan also specifies how the DOT&PF Civil Rights Office identifies and addresses subrecipient deficiencies and instances of noncompliance, ensuring corrective actions are implemented effectively. To enhance program transparency and accountability, these monitoring procedures are integrated into the updated DBE Program document.

Monitoring Schedule

In-person Site Visits: At least every five years, ACT conducts in-person site visits to each FTA subrecipient. These visits include:

- Verify compliance with DBE program requirements.
- Address deficiencies identified during prior reviews (if any).
- Ensure subrecipients are meeting the obligations set forth in the federal DBE regulations.

During the DBE portion of these site visits, a representative from the Civil Rights Office will participate either in person or virtually to provide expertise and ensure consistency with compliance standards.

Quarterly Virtual Reviews: To ensure ongoing oversight, the Civil Rights Office will offer quarterly virtual reviews to be conducted. These sessions will focus on:

- Monitoring compliance with DBE requirements between site visits.
- Offering guidance to subrecipients to address concerns proactively.
- Reviewing updates on DBE participation and progress on corrective actions.

Monitoring Procedures and Documentation

Standardized Questions for DBE Compliance: A comprehensive set of standardized questions will guide all monitoring activities. These questions include:

- Is there evidence of DBE participation in procurement activities?
- Are procurement records and contracts compliant with DBE requirements?
- What outreach efforts have been conducted to engage DBEs?
- Are there documented good faith efforts to involve DBEs?

Review Process: The DBE portion of the review follows the process of the comprehensive review.

1. **Desk review:** The Civil Rights Office reviews materials and reports on file in its office, uploads documents to the DBE folder of the review in BlackCat, notes follow-up items in the DBE section of the Comprehensive Review Package, and provides the annotated package to ACT which publishes the package using BlackCat. Documents to be uploaded include the AUCP agreement, semi-annual reports, TVM reports, and documentation of participation in DBE goal-setting.
2. **Subrecipient pre-site visit preparation:** The subrecipient gathers the requested documents, reviews the information entered by the Civil Rights Office, updates its answers from the last review, answers new questions, and uploads requested documents and the completed review package to BlackCat.
3. **Pre-site visit preparation:** The Civil Rights Office and ACT review the documents submitted and the answers to the questions, notes follow-up items in the review package, and publishes the package using BlackCat.
4. **Site visit:** ACT visits subrecipients to discuss the answers to the questions, tour facilities, inspect vehicles, and review financial, procurement and maintenance files. The Civil Rights Office participates either virtually or in-person. The site visit begins with an entrance conference and ends with an exit conference. The onsite discussion and any findings are noted in the review package.
5. **Site visit report:** The Civil Rights Office works with ACT to draft the report in BlackCat. One completed, the report is “published.” The report is the corrective action plan (CAP). There are two types of findings, deficiencies and recommendations. Deficiencies are findings related to a federal or State requirement and require corrective action by a due date. Recommendations relate to good practice that can lead to improved compliance or operations.
6. **Review follow-up and close-out:** The Civil Rights Office, ACT, and the oversight consultant work with subrecipients to implement corrective actions or address any

recommendations. Subrecipients submit documentation related to the corrective action or recommendation using BlackCat.

Escalation of Noncompliance: Persistent noncompliance may result in:

- Withholding of funds
- Reporting the issue to the FTA

Compliance Discussions at Monthly Meetings:

During monthly Transit Agency Meetings, a designated agenda item will focus on DBE compliance. These discussions will provide an opportunity to:

- Share reminders and updates on DBE program requirements as outlined in the federal DBE regulations.
- Identify and discuss opportunities for additional training and technical assistance to support subrecipients in achieving compliance and enhancing their understanding of DBE program obligations.

This plan strengthens the Civil Rights Office oversight of FTA subrecipients by establishing a clear framework for monitoring, reporting, and addressing deficiencies. By adhering to the federal DBE regulations and integrating these enhanced procedures, it reaffirms its commitment to fostering a competitive, inclusive, and equitable environment for DBEs within the Alaskan transportation sector.

Attachment

DBE Monitoring of Subrecipients & Compliance Questions

Overview: Subrecipients must ensure nondiscrimination in the award and administration of FTA-assisted contracts and create a level playing field on which disadvantaged business enterprises (DBEs) can compete fairly. DOT&PF provides a listing of certified DBE firms at <http://www.dot.state.ak.us/cvlrts/directory.shtml>. Additional information on DBE requirements and technical resources are available on the [Civil Rights Office FTA subrecipient resources webpage](#).

Review Question and Authority	Subrecipient and State Response
SEMI-ANNUAL DBE UNIFORM REPORTING	
1. Since the last review, has the subrecipient submitted Semi-Annual DBE Uniform Report (October 1 – March 31) to the Alaska DOT&PF on time (total of three)? <i>Authority: 49 CFR Part 26.11(a)</i>	
2. Since the last review, has the subrecipient submitted Semi-Annual DBE Uniform Report (April 1 – September 30) to the Alaska DOT&PF on time (total of three)? <i>Authority: 49 CFR Part 26.11(a)</i>	
3. Do the reports accurately reflect the subrecipient's contracting with or utilization of DBE firms?	
4. What are the procedures used to ensure that Semi-Annual DBE Uniform Reports are completed, accurate, and submitted to Alaska DOT&PF, on time, and include all requested information/forms?	
PROCUREMENT PROCESS	

Review Question and Authority	Subrecipient and State Response
<p>5. What procedures does the agency have to ensure DBEs are included in the procurement process (purchasing goods, services, contracting etc.)?</p> <p><i>Please provide documentation of procurement process and sections dedicated to DBE procurement</i></p> <p><i>Authority: 2 CFR Part 200.332, 49 CFR Part 26.37</i></p>	
<p>6. What efforts has the subrecipient made to ensure DBE firms and small businesses have maximum opportunities to compete for and perform contracts financed, fully or partially, with FTA funds?</p> <p><i>Examples include advertising in newspapers that serve minority communities, advertising on social media, maintaining a list of minority vendors, and contacting other agencies for potential DBE contractors and connecting them to the Civil Rights Office DBE Certification website.</i></p>	
<p>7. Are the following lists maintained?</p> <ul style="list-style-type: none"> • Vendor/bidder list • List of purchases/contracts within the 6-month period covered by the report • A list of all firms contacted, and good faith effort forms <p><i>Note: Agencies need to track all contracting opportunities, regardless of whether they were awarded to DBEs, for inclusion in the semi-annual report.</i></p>	
PROMPT PAYMENT COMPLIANCE	
<p>8. Does the agency have a prompt payment policy and mechanism in place to ensure that DBEs receive prompt payment on FTA-funded projects?</p> <p><i>DOT&PF requires payment from prime contractors to subcontractors within 8 working days of prime contractors receiving payment.</i></p> <p><i>Authority: 49 CFR Part 26.29</i></p>	

Review Question and Authority	Subrecipient and State Response
COMMERCIALLY USEFUL FUNCTION (CUF) FORM	
<p>9. Does the agency have documentation to show that it monitors contractors to ensure DBEs are serving a commercially useful function (CUF)?</p> <p>If yes, were CUF review forms completed and submitted to Alaska DOT&PF annually?</p> <p><i>Authority: 49 CFR 26.55</i></p>	
TRANSIT VEHICLE MANUFACTURER (TVM) REPORTING	
<p>10. Has the subrecipient purchased any transit vehicles within the past five years, excluding unmodified mass-produced vans or unmodified pop-up vans that have been altered for paratransit purposes?</p> <p><i>Authority: 49 CFR Part 26.49(a)(4)</i></p>	
<p>11. If yes, have the vehicles been purchased from a vendor on the FTA approved TVM list or a vendor who has submitted its DBE goal to FTA?</p> <p><i>All vehicles purchased with FTA funding must be reported to the Civil Rights Office within 15 days of purchase. Click here for reporting instructions.</i></p>	
DBE GOAL-SETTING AND SUBRECIPIENT PARTICIPATION	
<p>12. Did the subrecipient attend or provide feedback during the most recent public participation meeting for the FTA DBE Goal Methodology?</p> <p><i>DOT&PF, as a recipient of FTA funding, is required to submit a DBE Goal Methodology every three years. This methodology outlines the process used to determine its DBE goal. This goal methodology has been developed following the criteria set forth in 49 CFR Part 26.45 and is based on demonstrable evidence of the availability of DBE firms that are ready, willing, and able to work on FTA-assisted contracts relative to all businesses that are capable of performing such work.</i></p> <p><i>Authority: 49 CFR 26.45(g)(2)</i></p>	

Review Question and Authority	Subrecipient and State Response
ALASKA UNIFIED CERTIFICATION PROGRAM (AUCP)	
<p>13. What has been the subrecipient's involvement in the Alaska Unified Certification Program (AUCP)? Is the recipient listed on the AUCP member website?</p> <p><i>Subrecipient are encouraged to participate in the Alaska Unified Certification Program (AUCP). As recipients of USDOT funds, the undersigned organizations have agreed to take part in the AUCP, which handles all DBE certification decisions on behalf of all USDOT recipients within Alaska. The AUCP aims to provide "one-stop shopping" for applicants, ensuring that a firm only needs to apply once for DBE certification, which will then be honored by all federal recipients in the state.</i></p> <p><i>Authority: 49 CFR Part 26.81 (Subpart E)</i></p>	
DBE COMPLAINTS AND PROCEDURES	
<p>14. Who within the agency is responsible for ensuring that DBEs are not discriminated against in the award and administration of FTA-funded contracts and subcontracts? What is the complaint procedure?</p> <p><i>The DBE complaint form if available on the DOT&PF Civil Rights Office website.</i></p> <p><i>Authority: 49 CFR Part 26.25</i></p>	
<p>15. Did the recipient receive any complaints involving DBE firms?</p> <p>If yes, describe the complaint and how it was resolved.</p> <p>Were they forwarded to DOT&PF Civil Rights Office?</p>	