

Every Day Counts (EDC)

Arizona Local Public Agency (AZLPA) Stakeholder Council

Meeting Minutes

Thursday, December 8, 2016

TIME: 10:00AM - 2:00PM

Maricopa Association of Governments (MAG) – 302 N. 1st Ave, Phoenix, AZ 85003

Welcome and Introductions

ADOT Local Public Agency Section welcome by Jodi Rooney.

FHWA Update – Randy Everett, Assistance Division Administrator, Federal Highway Administration

- Highway User Revenue Fund (HURF) – No updates as of now regarding implementing the HURF swap.
- Project Pre-Scoping – FHWA is working to set aside a fund for local agencies to utilize for pre-scoping. The local would need to put up a match, possibly a 20/80 split. The local agency would set aside 20% of the cost for pre-scoping. If the project does not move forward, there is only a small loss for the local agency. More clarification to come from FHWA regarding using the on-call when hiring a scoping consultant.
- FHWA New Liaison – Eunice Chan will transition forward the local agency program to Ed Stillings. The transition will be complete by March, 2017.

Meeting Guest and Topic – Florentina Samartinean, Contract Compliance and Training Officer, BECO – Business Engagement & Compliance Office.

- DBE Contract Goal Setting and Submitting a Request (see handout)
 - BECO is working on electronic enhancements to notify the project manager should the goal date be close to expiration. Expiration timeline is 120 days. These notifications should assist to avoid project delays for advertisement.
 - The goal request does not require a minimum dollar amount for submission.
 - Disadvantaged Business Enterprise (DBE) participation is required for projects receiving federal funds. [Refer to ADOTs rules for using DBE funds.](#)
 - Prime consultants wanting to retain a DBE for a project should have accurate records for ADOT to review.
 - ADOT/BECO sends DBE participation information to FHWA every 6 months. During this 6 month timeframe, BECO will certify new firms and remove firms that no longer qualify. This helps to protect the contractor when they select DBE firms.
 - DBE participation has been going up and there is continued outreach conducted by BECO to attain new companies.
 - City of Tucson and Pima County have their own DBE goal program.

- Revisions to the DBE EPRISE and Prompt Pay Contract Specifications (See handouts effective October 2016 and March 2017)
 - New federal changes came in 2012 and 2014. New information was sent to certification acceptance agencies regarding new regulations to take place on October 2016 and March 2017.
 - <https://utracs.azdot.gov/> AZUTRACS is a newer database developed to track projects. This database can be used to find DBE partners. The contractor and the subcontractor both need to be listed on this site and they need to register themselves. Neither the local agency nor ADOT can sign up for them. After the company signs up they will receive a confirmation email. This email needs to be saved and included on the statement of bidding.
 - The ADOT program goal is 10.8%. Each project will have its own individual goal. ADOT is aware of all goals related to certification acceptance projects; although the local agency may not have all of the information, it's best to speak with your ADOT BECO contact.
 - A contractor is required to log payments onto the Prompt Pay site. They have 1 month after receiving federal funds to note the payment to the DBE. Otherwise sanctions will be levied to the contractor.

Working Lunch – Meeting Guest – Steve Boschen, ADOT Division Director, Infrastructure Delivery and Operations Division

- A situation was posed to Steve regarding the ADOT Contracts and Specifications (C&S) section changing a 120 day timeline for construction to 90 days without speaking with the project manager (PM) or other stakeholders. This may have occurred due to a performance based metric that C&S adheres to accomplish. This was a burden to the project team. It was noted that C&S needs to communicate with the PM changes to the construction schedule.
- Steve mentioned that the staff turnover issue within Project Management Group (PMG) is being addressed. The group has hired consultants part-time to assist with projects until full time staff can be hired. The targeted distribution of projects to be advertised in this fiscal year is still on track for delivery.
- ADOT in-house design work is still part of our business. Some projects are being given to consultants, while others are worked on by ADOT staff. It was noted that ADOT staff worked on a successful design project for the Granite Mountain Hotshots Memorial State Park.
- Discussion included Job Order Contracting (JOC).
- Discussion included Americans with Disabilities Act (ADA) compliance.
- *The Arizona Republic* featured an article about the challenges of widening I17. Members of the council hope for resolutions to get the widening project underway.
- Communications at the local level being addressed at the headquarters level in Phoenix: Specifically involving a story on I17.

Summary and Follow up from our September 8, 2016 Meeting

No questions or concerns regarding follow up.

Roundtable

- Changes to EDC Meeting Dates – Jodi Rooney posed a question to the group if they would be open to meeting one time per year. The council discussed drawbacks to meeting one time per year noting that if someone could not attend that one meeting, they would miss out. It was suggested that meetings could be correlated with the Rural Transportation Summit or Roads and Streets conferences.
- HURF Swap – When more information is provided to Jodi it will be passed on to the council.
- The Cable One partnership with the Central Yavapai Metropolitan Planning Organization (CYMPO) is working well. Television spots are being viewed by the general public and the safety message is well received.
- Debbie Albert, council member, presented during a national stakeholder partnering webinar discussing best practices and lessons learned for local public agencies. The presentation can be heard by following the link: <https://connectdot.connectsolutions.com/p1joxlak6kv/>
- The local agencies were encouraged to ask tribal members/representatives if they would like to participate with EDC.

Announcements

Next meeting – March 9, 2017 at MAG

Adjournment

December 8, 2016 at 1:15 pm

Attachments:

Handouts and Sign-in sheet

- December 8, 2016 Sign-in Sheet
- BECO handouts

Everyday Counts - Arizona Local Public Agency Stakeholder Council

Thursday, September 8, 2016 • 10:00 PM – 2:00 PM

Maricopa Association of Governments (MAG) • 302 N. 1st Ave, Saguaro Conference Room • Phoenix, AZ 85003

Completion of this sign-in sheet is completely voluntary and helps the project team keep an accurate record of meeting attendees. Under state law, any identifying information provided below will become part of the public record and, as such, must be released to any individual upon request. Please print clearly.

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Trum Higgs	SCMPO	520-705-5148	ihiggs@scmpo.org
LANCE DUNAGAN	CITY OF ELOY	520-484-3162	ldunagan@eloyaz.gov
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JASON KELLY	NACOG	928 830 6127	jkelly@nacog.org
Paul Casertano	PAG	520.792.1093	pcasertano@pagregion.com
Jodi Rooney	ADOT LPA	602/206-3524	jrooney@azdot.gov

ADOT

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NAME	AGENCY	PHONE	EMAIL
Randy EVERETT	FHWA	602-382-8989	randolph.everett@dot.gov
Jennifer Catapano	ADOT LPA	602-712-4873	jcatapano@azdot.gov
Eunice Chan	FHWA	602-382-8965	eunice.chan@dot.gov
Frank Sanchez	Yuma Co.	928-817-5120	francesco.sanchez@yumacountyaz.gov
Don Sneed	ADOT MPD	602-712-6736	dsneed@azdot.gov

Revisions to DBE EPRISE & Prompt Pay Contract Specifications - Effective October 1, 2016

Item	What's New for CA /LPA Agencies
Pre-Award	
<input type="checkbox"/> Contractor designates a DBE Liaison	<ul style="list-style-type: none"> The contractor's designated DBE Liaison is an individual who will be responsible for DBE compliance activities for the contract, will sign DBE Affidavits and will be the CA/LPA's point of contact for DBE compliance activities
<input type="checkbox"/> Perform good faith efforts to obtain DBE subcontractors	<ul style="list-style-type: none"> Refer to ADOT GFE Guide for guidance on how contractors submit GFE Contractors must submit copies of quotes if non-DBE is selected over DBE for work item Revised GFE form for Professional Services is available
Pre-Award-Bid Opening	
<input type="checkbox"/> DBE Assurance: Indicates if contractor will or will not meet DBE goal	<ul style="list-style-type: none"> Revised Form 3102C The contractor cannot change DBE assurance after bid has been submitted Arrangements with DBE firms for DBE utilization must be made prior to bid opening
Pre-Award-After Bid Opening	
<input type="checkbox"/> AZ UTRACS Registration & Number	<ul style="list-style-type: none"> The new AZ UTRACS Business Portal has been developed for firms working on ADOT and federal-aid projects A new AZ UTRACS <i>Registration Number</i> will be created for all firms Contractors and subcontractors <i>must</i> be registered in the new AZ UTRACS system (www.AZUTRACS.com) within 5 calendar days after bid opening
<input type="checkbox"/> Include AZ UTRACS Number on Subcontractor Request forms (SRF)	<ul style="list-style-type: none"> CA Agencies must revise the Subcontractor Request form. Contractors must include the subcontractors' AZ UTRACS Registration number on the SRF form
<input type="checkbox"/> Online Bidders/Proposers List (replacing Form 3104C) is created Online by all bidders NOTE: this is different from a <i>Subcontractor List</i>	<ul style="list-style-type: none"> Contractors must identify all subcontractors, suppliers and/or brokers which contacted, quoted, or expressed interest in the project and include those names on this form Contractor completes the online Bidders/Proposers List form (www.AZUTRACS.com) within 5 calendar days after bid opening and receives an automated email confirmation of completion that the Online Bidder/Proposer's List was completed The confirmation email is submitted to CA Agency within 5 calendar days of bid opening
<input type="checkbox"/> DBE Affidavits - Apparent low bidder/selected firm	<ul style="list-style-type: none"> Revised forms: 3105C and 3106C Contractor submits to CA Agency within 5 calendar days after bid opening CA Agency may want to encourage the contractor to submit promptly to help ensure time is available for making any corrections, if applicable
<input type="checkbox"/> GFE Submission - Apparent low bidder	<ul style="list-style-type: none"> Contractor should refer to the new ADOT GFE Guide for guidance Contractor submits to CA/LPA within 5 calendar days after bid opening CA Agency to encourage contractor to submit early to ensure submission meets deadline CA/LPA reviews and submits to ADOT BECO for concurrence GFE protest process – Rejected bidder may meet in person with the State Engineer
Post-Award	
<input type="checkbox"/> DBE Subcontracts Compliance	<ul style="list-style-type: none"> All DBE firms subcontracts must include a copy of the newly <i>revised LPA DBE Subcontract Compliance Assurances</i>
<input type="checkbox"/> Contractor must submit executed Subcontracts of committed DBEs	<ul style="list-style-type: none"> Contractor must submit executed Subcontracts of committed DBEs to CA/LPA at the Pre-Construction meeting
<input type="checkbox"/> All Subcontractors must be added to the DBE LPA System after the Pre-Construction meeting	<ul style="list-style-type: none"> A new look and name for the LPA Contract Management System: LPA DBE System Contractors/Consultants must add ALL subcontractors (DBE and non-DBE) in the LPA DBE System no later than 15 calendar days after Pre-Con meeting Contractors/Consultants must upload in the LPA DBE System all approved committed DBEs subcontracts 15 calendar days after approval
<input type="checkbox"/> Contractor must notify CA/LPA if changes to the project will impact committed DBEs	<ul style="list-style-type: none"> Contractor must notify CA/LPA if there are potential reductions to DBE contracts Contractor is expected to meet the required DBE goal or perform GFE if changes impact the committed DBEs; <i>See DBE Termination/Substitution below for more guidance</i>
<input type="checkbox"/> Report payment to Subcontractors within 30 days of receipt of payment from Agency	<ul style="list-style-type: none"> CA/LPA must impose sanctions in accordance with Prompt Payment and Payment Reporting: <ul style="list-style-type: none"> \$1000 each month for each reportable contract not reported within 30 days of receipt of payment from Agency \$2000 each month for each reportable contract not reported after 90 days
<input type="checkbox"/> Ensure subcontractors confirm Payments monthly	<ul style="list-style-type: none"> Contractor and CA/LPA staff must monitor LPA DBE System to ensure subcontractors responded to audit within 45 days of payment by contractor

<input type="checkbox"/> Resolve any payment discrepancies in the LPA DBE System immediately	<ul style="list-style-type: none"> CA/LPA should work with Contractor and its subcontractors to resolve discrepancies and payment disputes in a timely manner and document actions and outcome Contractors must report reasons for any untimely payments Contractor must report "0" payment if no payment is made to subcontractor after receiving payment from agency.
<input type="checkbox"/> Ensure subcontractors are promptly paid within 7 calendar days after contractor's receipt of LPA payment	<ul style="list-style-type: none"> At a minimum, the CA/LPA must impose sanctions in accordance with Prompt Pay and Payment Reporting Provisions: <ul style="list-style-type: none"> 2x the disputed dollar amount not paid - Retained Retained amount will be returned if fully paid within 30 day 25% withheld as liquidated damages if payment made after 30 days Additional Remedies: If Contractor failed to make prompt payment for 3 consecutive months, or any 4 months over the course of a project, or 2 or more projects within 24 months, LPA may: <ul style="list-style-type: none"> Withhold monthly payments until issue is resolved and full payment is made to all subcontractors Terminate the contract for default Disqualify the contractor from future bidding, if applicable
<input type="checkbox"/> Retention of payment	<ul style="list-style-type: none"> Prime contractors will not place Retention Requirements on their subcontracts when Retention Requirements are not included in the Owner/Agency/Prime contract. Any retention must be paid to subcontractor within 7 days of payment from CA/LPA
<input type="checkbox"/> No contract off-set	<ul style="list-style-type: none"> Contractor cannot reduce or withhold payment on the contract for disputes on another contract
<input type="checkbox"/> Request use of Joint Checks as needed	<ul style="list-style-type: none"> Contractor to request approval to use joint checks by submitting the Joint Check Request Form 3109C and Joint Check Agreement to CA/LPA no later than 7 calendar days after execution of subcontracts CA/LPA submits to BECO for review and decision
<input type="checkbox"/> DBE Termination/Substitution	<ul style="list-style-type: none"> Committed DBEs can be terminated/substituted, with written consent, <i>for good cause only</i> - See EPRISE Section 24.04 for list of good causes The contractor must notify the CA/LPA within 24 hours of recognizing potential DBE termination/substitution The Contractor must give written notice to committed DBE of intent to terminate/ substitute, allowing a minimum of 5 days for DBE to respond in writing; a copy of notice and any response must be submitted to the CA/LPA immediately. The CA/LPA advises BECO. Contractor must submit revised DBE Termination/Substitution Form 3108C to CA/LPA CA/LPA submits DBE Termination/Substitution Form 3108C to BECO for approval If a Termination/Substitution is approved; the Contractor must provide to CA/LPA: <ul style="list-style-type: none"> GFE documentation to make up the remaining goal, or Revised DBE Affidavits to include replacement DBE, if applicable CA/LPA will impose sanctions for noncompliance in accordance with EPRISE Section 24.06 if termination or substitution occurs without ADOT approval: <ul style="list-style-type: none"> Total dollar amount of wrongfully substituted DBE, plus 25% of the dollar amount remaining to be paid to the DBE
Contract Closeout	
<input type="checkbox"/> Complete Certification of Payments Forms	<ul style="list-style-type: none"> Revised Form 3110C Contractor must complete all unresolved payment audits in LPA DBE System Contractor must submit to CA/LPA within 30 days after DBE completes work
<input type="checkbox"/> Monitor DBE utilization to meet the goal	<ul style="list-style-type: none"> CA/LPA must monitor contract to ensure committed DBEs are on schedule to complete committed work according to DBE affidavits CA/LPA must determine if Contractor met the DBE goal CA/LPA to impose sanction in accordance with EPRISE Section 26.0 for not meeting the DBE goal without LPA approval: <ul style="list-style-type: none"> 2x the amount of the unattained portion of the required goal
<input type="checkbox"/> DBE Fraud	<ul style="list-style-type: none"> CA/LPA must report any DBE fraud or appearance of DBE fraud to ADOT and ADOT will notify the US DOT for investigation

Revisions to DBE EPRISE & Prompt Pay Contract Specifications
To be included in MPO & COG federal-aid contracts no later than March 1, 2017

Item	What's New
Pre-Solicitation	
<input type="checkbox"/> Consultant designates a DBE Liaison	<ul style="list-style-type: none"> Individual who will be responsible for DBE compliance activities for the contract, sign DBE Affidavits and will be the MPO/COG's point of contact for DBE compliance activities
<input type="checkbox"/> ** Perform good faith efforts to obtain DBE subconsultants	<ul style="list-style-type: none"> Refer to ADOT GFE Guide for guidance on how to submit GFE Consultant must submit copies of quotes if non-DBE is selected over DBE for work item Revised GFE form for Professional Services
Proposal Submittals	
<input type="checkbox"/> **DBE Assurance: Indicate if Consultant will or will not meet DBE goal	<ul style="list-style-type: none"> Revised Form Consultant cannot change goal submission when submitting DBE documentation Arrangements must be made with DBE firm's prior to submitting SOQ.
SOQ	
<input type="checkbox"/> AZ UTRACS Registration & Number	<ul style="list-style-type: none"> Consultant and subconsultants must be registered online AZ UTRACS website (AZUTRACS.com) New AZ UTRACS Website New look and name for LPA Contract Management System (LPA DBE System)
<input type="checkbox"/> Online Proposers List for all bidders (different from Subconsultant List)	<ul style="list-style-type: none"> Consultants must identify all subs and other companies contacted, quoted, or expressed interest in the project Consultants completes revised online Bidders/Proposers List form (AZ UTRACS.com) and submits confirmation email to MPO/COG within the SOQ
<input type="checkbox"/> **DBE Affidavits	<ul style="list-style-type: none"> Revised form Consultant submits with cost proposal
<input type="checkbox"/> **GFE Submission	<ul style="list-style-type: none"> Proposers should refer to the new ADOT GFE Guide for guidance The selected proposer submits to MPO/COG with cost proposal MPO/COG submits to ADOT BECO for review and approval GFE protest process – Rejected proposer may meet in person with State Engineer
Post-Award	
<input type="checkbox"/> DBE Subcontract Compliance Assurance – different version for contracts With Goal & Without	<ul style="list-style-type: none"> Specific clauses of DBE contract specifications must be included in all DBE subcontracts (language/document to be provided on BECO website) MPO/COG should ensure all terms and conditions are included in DBE subcontracts
<input type="checkbox"/> **Consultant must submit executed subcontracts of committed DBEs	<ul style="list-style-type: none"> Selected proposer must provide executed subcontracts of committed DBEs to MPO/COG
<input type="checkbox"/> ** Add Subconsultants in the DBE System after Kick-Off Meeting	<ul style="list-style-type: none"> Consultants must add subconsultants in the LPA DBE System no later than 5 calendar days after Notice to Proceed Date is issued Consultants must upload in the LPA DBE System all approved committed DBEs subcontracts 15 calendar days after approval
<input type="checkbox"/> ** Consultant must notify MPO/COG if changes to the project will impact committed DBEs	<ul style="list-style-type: none"> Consultant must notify MPO/COG if there are potential DBE reductions Consultant still expected to perform GFE in order to meet required DBE goal
<input type="checkbox"/> Report payments to all subconsultants by the end of the current month	<ul style="list-style-type: none"> MPO/COG must impose sanctions in accordance with Prompt Payment and Payment Reporting: <i>Confer with ADOT BECO prior to imposing sanctions</i> <ul style="list-style-type: none"> \$1000 each month for each reportable contract not reported by the 15th \$2000 each month for each reportable contract not reported after 90 days
<input type="checkbox"/> Ensure subconsultants confirm payments by end of audit month	<ul style="list-style-type: none"> Consultant and MPO/COG staff must monitor LPA DBE System to ensure subconsultants responded to audit within 45 days of payment by Consultant
<input type="checkbox"/> Resolve any payment discrepancies in the LPA DBE	<ul style="list-style-type: none"> MPO/COG should work with consultant and subconsultants to resolve discrepancies and payment disputes in a timely manner

System ASAP	<ul style="list-style-type: none"> • Consultants must report why they did not pay DBE timely • Consultant must report "0" payment if no payment is made to subconsultant within a given month or after a given payment
<input type="checkbox"/> Ensure subconsultants are promptly paid within 7 calendar days of receipt of MPO/COG payment	<ul style="list-style-type: none"> • MPO/COG must impose sanctions in accordance with Prompt Pay and Payment Reporting Provisions: <i>Confer with ADOT BECO prior to imposing sanctions</i> <ul style="list-style-type: none"> ○ 2x the disputed dollar amount not paid - Retained ○ Retained amount will be returned if fully paid within 30 day ○ 25% withheld as liquidated damages if payment made after 30 days • Additional Remedies: Failed to make prompt payment for 3 consecutive months, or any 4 months over the course of a project, or 2 or more projects within 24 months <ul style="list-style-type: none"> ○ Withhold monthly payments until issue is resolved and full payment is made to all subconsultants ○ Terminate the contract for default ○ Disqualify the consultant from future bidding
<input type="checkbox"/> No contract off-set	<ul style="list-style-type: none"> • Consultant cannot reduce or withhold payment on the contract for disputes on another contract
<input type="checkbox"/> ** DBE Termination/ Substitution	<ul style="list-style-type: none"> • DBE can only be terminated/substituted for good cause - See Section 22.04 for list of good causes • Consultant must contact MPO/COG regarding any potential DBE termination/substitution within 24 hours • Consultant must give written notice to committed DBE of intent to terminate/substitute allowing a minimum of 5 days for DBE response; copy the MPO/COG who will submit to BECO • Consultant must submit the new DBE Termination/Substitution Form to MPO/COG • Consultant must provide to MPO/COG: <ul style="list-style-type: none"> ○ GFE to make up the remaining goal, or ○ Revised DBE affidavits • MPO/COG submits DBE Termination/Substitution Form and GFE documentation to ADOT BECO for approval • MPO/COG to imposed sanctions for noncompliance in accordance with Section 24.06 if termination or substitution occurs without ADOT approval: <ul style="list-style-type: none"> ○ Total dollar amount of wrongfully substituted DBE, plus 25% of the dollar amount remaining to be paid to the DBE
<input type="checkbox"/> ** Monitor DBE utilization to meet the goal	<ul style="list-style-type: none"> • MPO/COG must monitor contract to ensure DBEs are on schedule to complete work according to DBE affidavits • Consultant must complete all unresolved payment audits in LPA DBE System • MPO/COG must determine if consultant met DBE goal and consult with ADOT BECO for concurrence • MPO/COG to impose sanction in accordance with Section 24.0 for not meeting the DBE goal without MPO/COG approval: <ul style="list-style-type: none"> ○ 2x the amount of the unattained portion of the required goal
Contract Closeout	
<input type="checkbox"/> Complete Certification of Payments Forms	<ul style="list-style-type: none"> • Revised form • Consultant must submit to MPO/COG within 30 days after DBE completes work
<input type="checkbox"/> DBE Fraud	<ul style="list-style-type: none"> • MPO/COG must report any fraud or appearance of fraud to ADOT and ADOT will bring it to the attention of the US DOT for investigation

DBE Contract Goal Setting System: Submitting a DBE Contract Goal Request

STEP 1: Log in to ADOT Goal Setting System - <http://adotnetapp/Applications/DBEGoals>

The DBE Contract Goal Setting System Home Screen has two sections: 1) The DBE Contract Goal Assessment Status List and 2) The “Start a New Goal Setting Assessment”.

1) The DBE Contract Goal Assessment Status List will be empty the first time a user logs in, until a Goal Worksheet is either saved or submitted to BECO for a goal assessment. The system is designed so that multiple worksheets can be started and managed simultaneously. Each worksheet created for a project will appear in the Status List. Documents will have one of four statuses:

- “In Progress” (Saved in progress, but not yet submitted to BECO)
- “Submitted” (Submitted to BECO but not yet returned)
- “Rejected” (Submitted to BECO but rejected because changes are needed or further clarification must be provided.
- “Approved” (Returned by BECO with a goal determined. Race Neutral goals will be shown as a 0% goal.)

The system default shows “All” projects. Using the Dashboard Filter (Figure 1 A), projects can be refined to display one status type at a time. To change the filter, select an option from the pulldown. A “Display” button will appear to the right of the filter pulldown. When clicked, the new filter will be activated.

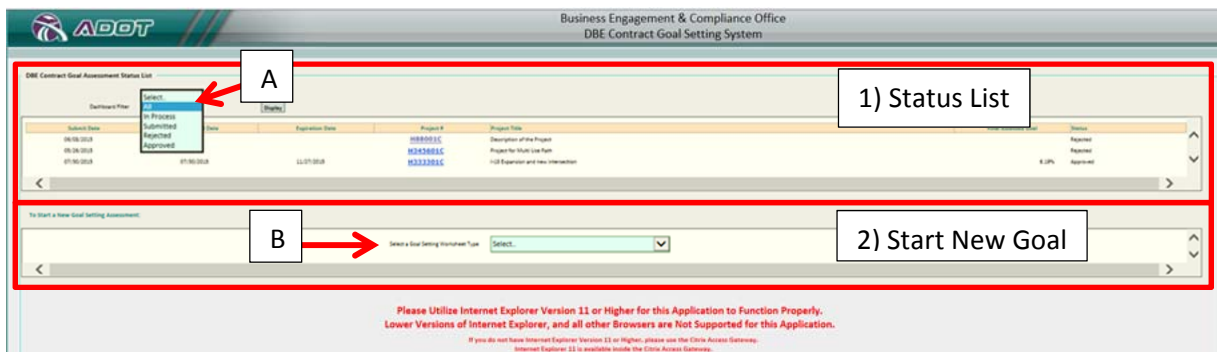


Figure 1

2) To create a new goal worksheet, find the “To Start a New Goal Setting Assessment” Section and select the desired Goal Setting Worksheet Type: Construction or Professional Services. The “New Assessment” button will appear, once a Worksheet type is selected from the pulldown button. Click on the “New Assessment” button to begin your DBE Contract Goal Request. (Figure 1 B)

STEP 2: To start a goal request, enter a Project Number and complete as much of the Project Information Summary screen as possible. Data may be saved at any time and remaining data added later, but all fields except for the fax number are required fields, and must be completed before the goal request can be submitted to BECO for processing. It is important to provide a detailed scope and to ensure you provide enough information for the goal to be narrowly tailored, otherwise, your submittal may be rejected which could cause delays in the processing of your goal submittal. Please allow BECO ten (10) business days to complete and return a goal assessment. Days in which BECO is awaiting a response for a rejected goal, do not count towards the 10 business days for processing. The “submitted date” will change to the date the project was resubmitted if the response is not timely. When you have completed the Project Summary Tab, click the “Save Data” button before continuing to the next tab. (Figure 2)

DBE Contract Goal Setting System: Submitting a DBE Contract Goal Request

Project Information Summary

Please provide all required information requested below:

Save Data **Submit Goal** → **Submit Goal Request**

Project Number: H88001C Contract/Agreement Number: 2015-008.01

Project Type: CONST-Pavement Markings Contract Work Type: Construction – Transit

Project Title/Description: Description of the Project

Federal Aid Number: F73729-H923 Federal Funding Type: FHWA

Total Proposed \$ Amount: \$8,300,000 Total Contract Estimate: \$8,300,000

Funding Source: Federal Project County: Maricopa

Federal Funding Percentage: 88 Funding Source 'Other':

Estimated Bid/Advertisement Date: 05/25/2015 Estimated Award/Selection Date: 06/08/2015

ADOT Dept./LPA/Subrecipient Name: BECO Email Address: bdomke@azdot.gov

Goal Requestor Name: Barb Domke Phone Number: (602)712-8552

Procuring Department: ADOT C&S Fax Number:

Scope of Work Description: This is the Scope of work. More details.

Upload a Scope Of Work Document If Scope not available, please provide a detailed Scope of Work Description.

Figure 2 – Project Summary Tab

STEP 3: On the remaining tabs, (the Project Work Category Tab, the Additional Work Category Tab, and the New Work Category Tab), enter dollar amount estimates for each work category for the project, as needed. Complete each screen with the appropriate dollar amounts and then click the “Save Data” button before advancing to the next screen. The totals of the various project work categories must equal the total contract estimate provided on the Summary tab. Enter the dollar amounts until all project contract dollars have been represented. You can verify that you have entered everything, by comparing the fields displayed in pink at the top of the screen. (Figure 3) You will see the “Contract Estimate \$ Amount”, which is the contract amount entered on the Summary Tab, the “Total Proposed \$ Amount”, which represents a total of the dollars you have entered in the various work category fields on ALL worksheets and “The Difference”, which displays the total dollar amount that still remains to be entered in order to equal the Contract Estimate. In Figure 3, all dollars have been entered.

Project Work Categories

Contract Estimate: \$200,000 Proposed Amount: \$200,000 The Difference: \$0

Please provide dollar amount for all work categories applicable to the project below:

Save Data

CATEGORY	SUB-CATEGORY	DOLLAR VALUE	NOTES/COMMENTS
Total Project Work Categories		\$200,000	
201/202	Clearing And Grubbing (Not Inc. Tree Removal)	\$20,000	
	Clearing And Grubbing - Tree Removal	\$0	
202	AC Milling	\$0	
	Removals	\$0	

Figure 3 – Work Category Tab with Contract Estimate, Proposed Amount, and the \$ Difference



DBE Contract Goal Setting System: Submitting a DBE Contract Goal Request

Note: Goal Submitters are encouraged to carefully examine the work categories available in the Goal Setting application. The uncategorized fields are limited to four and cannot represent more than 10% of the project dollars. This is because the work category list is comprehensive and you should be able to find an existing category to add your contract dollars to, rather than creating a new one. In the event you must add a category, you must provide a new category name, the proper NAICS code for the category, and a definition. Be sure to work with the BECO office, if you need help identifying which categories to use for project dollars estimates.

Also, keep in mind, your Project Total should represent the contract amount not the total project dollar amount, if some work will be done in house by your agency. The project amount that goes into the Goal Setting application should represent the amount of work you plan to have on the contract you are advertising. Do not submit dollar amounts and then say, these dollars will be done "in house". If the project is being done "in house" there will not be a project advertised for another firm to do the work.

STEP 4: When the goal worksheet is completed, with the Project Summary Tab filled out completely, and the proper project dollar amounts submitted, navigate back to the Project Summary Tab and click the "Submit Goal Request" button to submit the project for a goal assessment. If you try to submit the form before completing all of the required fields and/or before the Worksheet dollars match the Contract Estimate total, the system will error and will not allow the goal request to be submitted. Verify the totals and make changes until the two totals match "The Difference" is \$0.00. Click the "Submit Goal Request" to send the current goal assessment request to BECO.

Once you have submitted your Goal Request, you will receive an email confirmation. BECO has 10 business days to process and approve a goal for your project. You will receive an email notifying you of the goal that was assessed for your project. If BECO needs more information or needs you to change or clarify anything on your goal request, you will receive an email notifying you of the issue. If your goal is rejected, please read the email carefully, open up the project in the Goal setting module and make any of the recommended changes or clarifications to the data on the goal worksheet, and re-submit as quickly as possible, to provide the additional information needed so BECO can process your goal. If you submit the Goal Request and have questions or you realize you made a mistake after you submit, contact the BECO office via phone at 602-712-7761 or email the DBE Goal Email Inbox at DBEContractGoals@azdot.gov and we will reject the goal assessment, so you can make any necessary changes. Once a goal is submitted, changes can't be made, unless BECO rejects the goal so you can resubmit it.

STEP 5: Monitor your email to see if BECO responds to your goal assessment request. If BECO "rejects" your goal request, there should be an explanation in the email as to what you need to do before resubmitting the goal. Once you receive an email with an approved goal, the goal is good for 120 days. If the goal has expired, contact the BECO office, so we can reject the goal request and you can update it and resubmit it. It will not be necessary to start over from the beginning of the form, if the goal expires. Simply ask BECO to reject it, update any of the fields that have changed and resubmit. BECO will send you an email when your final goal is approved.