

BECO DBE Certification Team

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ADOT

Service



The purpose of the USDOT federal DBE program is to ensure that a level playing field exists in government contracting for women and minority owned firms.



ADOT must adhere:

49 Code of Federal Regulations (eCFR) Parts 23 –ACDBE and Part 26 –DBE

ADOT is part of the AZUCP that administers the DBE program. While our partner the City of Phoenix is responsible for the ACDBE program.



The AZUCP comprised of 3 agencies:

- The City of Phoenix- processes all ACDBE applications
- City of Tucson
- Arizona Department of Transportation (ADOT)

Please see contact information for the agency responsible for your area.

The AZUCP is a one stop process for the DBE/ACDBE program to apply once for certification that will be honored by all recipients in the state.



1- Whenever there is a change to your business structure, such as becoming an LLC, changes of address or email, etc. you must report the new information to to BECO Certification within 30 days. by logging in to your account and submitting a change request.

2 - Each year, you will submit an Annual Update Application, also called a No Change Affidavit, affirming there have been no changes and you are still eligible to participate. More details on this are on an upcoming slide.

3 - You can submit an expansion application if you would like to request a change to your NAICS codes or an additional code. The application will walk you through the information your certification specialist will need in order to evaluate your request. This is an eligibility determination based on the same standards as when you first applied for DBE certification.



- As of January 6, 2022 the SBA NAICS average gross receipts calculation for a business to be considered small changes from a 3 year gross receipts average to a 5 year gross receipts average.
- The calculation for the statutory gross receipts cap found under 49 CFR § 26.65(b), currently \$30.40 million, will continue to be a 3 year gross receipts average.

Remember, having this certification <u>DOES NOT</u> guarantee work or contracts. The real work begins <u>NOW!</u>



This slide will identify the BECO Compliance Managers/Leaders who work with the BECO CT's and various ADOT departments to ensure compliance with ADOT's DBE Program and OJT Program requirements.



On this screen we have our BECO Compliance Technicians. These team members will be your first point of contact for all questions related to DBE or OJT program requirements on an ADOT administered construction contracts.

Each of them are responsible for conducting Oversight and Monitoring activities on their assigned contracts to ensure compliance with DBE and OJT program requirements so if you ever have questions related to a specific project, they will be your first point of contact.

Annie and Barrissa are our BECO Technicians who are more focalized with ensuring compliance on Professional Service contracts, including performing PS CUF Reviews.



As a recipient of federal funding, BECO is responsible for implementing and managing ADOT's DBE and OJT Program.

The BECO Compliance team ensures compliance with the DBE program requirements by proactively engaging all internal and external stakeholders who administer or perform contracted work on federally funded projects.

The BECO Compliance team is involved in the entire project life cycle from the pre-advertisement stage when we assess a project for DBE and OJT opportunities, all the way to close out where we verify compliance with all DBE and OJT requirements, as applicable.



We do this by providing education and training on program requirements to all internal and external stakeholders.

We develop resources that can be used to ensure compliance with various program requirements such as reporting and confirming prompt payment to contractors of all tiers in our contract management system known as DOORS.

We also conduct oversight/monitoring efforts through out the life of a project, and we conduct enforcement efforts for willful non compliance with ADOT DBE and OJT programs as needed.

In your free time please explore our website and as you think of questions or would like to request additional training please fill out the BECO Connects Form so our team can conduct follow up.

DBE	AFFIDAVITS		στ	ARIZ	ONA DEPARTMENT OF TR CONSTRUCTION DISADVANTAGED BUSINESS EN INTENDED PARTICIPATION	TERPRISE (DBE	E) Refer to I	Clear Form
	d Participation Affidavit Form (105):	Prime Contr TRACS No(s) DBE Firm: Select:	Subcont		Project/		1550	
					UNIT PRICE OR LUMP SUM	BID		
		NAICS Code(s)	Bid Item No.	Partial Yes/No	Description / Scope of Work	Quantity	Unit Price	Total
	Purpose:	237310	6011371A	YES	APPROACH SLAB REBAR	1,240.00	\$ 17.50	\$ 21,700.00
$((\mathcal{O}))$	Identifies committed DBE's work items	237310	6050002A	YES	REINFORCING STEEL	10,229.00	\$ 1.35	\$ 13,809.15
		237310	6050012A	NO	REINFORCING STEEL (EPOXY COATED)	805-00	\$ 2.25	\$ 1,811.25
	DBE Responsibilities:	2 (Truckin	a) If there is a	av Trucki	ng in the work listed above, complete the follo	wing: Minimum (ontract Amount:	\$37,320.40
	 Verify ALL information is accurate (NAICS, Signature, Work Description, \$ value). 	DBE firm o	wns total #	0_Tr	Project Lice	# of Trucks 0 0 0 0	<u>Dol</u>	lar Amount \$ 0.00 \$ 0.00 \$ 0.00 \$ 0.00 \$ 0.00
			Contract Amo			es/Commissions		0%
		4. The und	ersigned will :	ublet an	d/or award	f work bid to a non - f work to another c	DBE firm.	
	Disclaimer:	Confirmati	on of Particip	ation				
					ned agrees to enter into a formal agreement/ contract from the Purchaser.	ubcontract for the	work cited herein :	should the prime
•	 Items may be reduced and therefore not guaranteed 	l	Authorized DBE f	irm officer,	print name and title) confirm that	(Name	of DBE firm)	
	guaranteeu	will be part	icipating in t	ne above	project.			
		The DBE fir	m will be perf	orming th	ne scope as describe above for:	(Total DBE C	redit Dollar	DOT

As a new DBE one of the forms you may come in contact with is the DBE Affidavit Form. This form is required for all FHWA projects that have been assessed a DBE Goal that must be met as a condition of award.

- This form Identifies a committed DBEs bid item #s, including the committed quantity and the unit pricing for that bid item
- Please note Section 2 only applies to committed DBE trucking firms, and section 3 only applies to brokerage firms, so these sections may not be applicable to your firm.

It is the DBE's Responsibilities to ensure this form is completed accurately by the Prime Contractor, before signing this DBE Affidavit. You should always verify all information is accurate:

- NAICS, Work Description, \$ value
- Ensure you have staffing, equipment, material needed to meet your commitment - It is imperative DBE's make every attempt to meet their commitments, as this can impact a prime meeting a projects assessed DBE Goal if

- they over commit themselves
- Please note that just because you have signed the DBE Affidavit does not guarantee your work will not be reduced or eliminated.

	CONA DEPARTMENT OF TRA CONSTRUCTION DISAVANTAGED BUSINESS ENTER Intended Participation Affidavit	PRISE (DBE)	Clear Form	DBE AFFIDAVITS
Prime Contractor:	Project	Name:	10 11-5 m 10 10 10	
TRACS No(s) : Chest - Chest - Chest	Project/	Contract No.:		
AZUTRACS No :	Required	DBE Goal: 10.35		
DBE Liaison Name:	Contact	hone Number:	-	
				DBE Intended Participation Affidavit Form (106):
A Name of DBE Firm	B Scope of Work	C I Minimum Adjust	Total DBE Credit	
Name of DBE Firm	REINFORCING STEEL	S 37,320.40 \$ 0.	Dollar Value	
0000000000	CONCRETE DEMO	\$ 26.400.00 \$ 0		
200 CT	STRIPING	\$ 25,704.25 \$ 0		Purpose:
	GUARDRAIL	\$ 40,569,50 \$ 0		Pulpose.
and the second s	MILLING	\$18,381.38 \$0		
			\$ 0.00	 Race Conscious (RC) Projects = projects has
			\$ 0.00	a minimum DBE Goal
			\$ 0.00	Prime Identifies the committed DBEs they
			\$ 0.00	will use to meet a DBE Goal (Form 106)
			\$ 0.00	win use to meet a DBE Goal (Form 100)
			\$ 0.00	
			\$ 0.00	Prime Responsibilities:
			\$ 0.00	
			\$ 0.00	• Verify ALL information is accurate (NAICS
		Total DBE Credit Dollar		Verify ALL information is accurate (NAICS, Signature, Work Description, \$ value).
		(F) Contract Bid A		
		Total % of DBE Commi	tment 11.35%	• If you have questions, ask
By signature below, the undersigned herein should this contract be awarde (Name) (Signature)	agrees that formal agreements/subcontract d.	s with the listed DBE firms w (Title) (Date)	Il occur for the work cited	Disclaimer: • Items may be reduced and therefore not guaranteed
ADOT				

This slide shows DBE Intended Participation Affidavit - Summary that is completed by the prime contractor:

- The form summarizes all of the committed DBEs the prime will use to meet a projects assessed DBE goal, including the main scope of work to be performed.
- There is nothing that the DBE must sign on this form, but we felt it would be beneficial to explain why the form is used and what information is identified on this form.

I do not want to overwhelm you today so I will hand it off to **Co-Presenter** to finish off the Compliance section.



Termination/Substitution/Reduction of Work can happen for a multitude of reasons, such as reduction of work by ADOT. In this case the TSR process still applies.

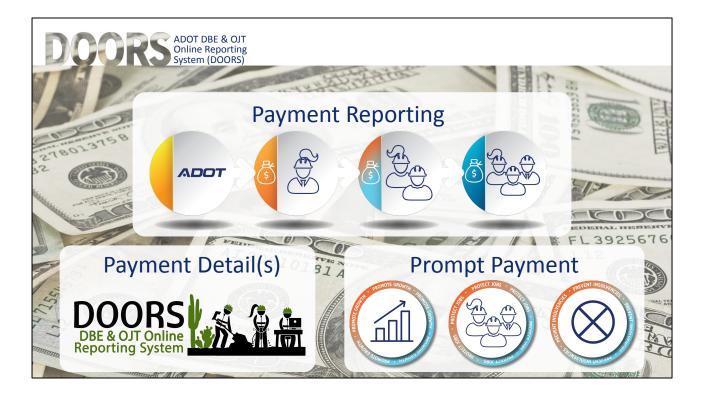
Primes are not allowed to terminate, substitute or reduce a committed DBE without prior approval from ADOT.

Primes must report to ADOT's PM, RE, and BECO or other procurement groups within 24 hours of the intent to reduce, terminate or substitute work for a committed (race-conscious) DBE on the affidavit.

After notifying ADOT departments, the prime must notify the DBE (you), outlining the circumstances of the TSR. DBE should sign the TSR Request form, and may submit additional information to the prime if applicable. The prime completes and submits a TSR request form, along with all other documentation (if applicable) and submits to the ADOT department administering the project.

Good Faith Efforts Documentation may be submitted in lieu of new DBE Affidavits

Ultimately the approval of this request must come from BECO. Remedies available for non-compliance



ADOT's goal is to promote growth in the highway construction industry by ensuring that prime contractors, subcontractors, and all lower tier subs are paid promptly.

ADOT ensures that this goal is met by paying prime contractors timely for work performed and accepted. It is expected that prime contractors will pay subs for their work and those subs pay all lower tier subs, which ensures job growth and assists for the highway construction industry to be financially safe. BECO monitors for compliance.

Prompt Payment is reported and tracked in DOORS (or the LPA DBE System for Local projects), and if contractors do not report on time, or do not pay promptly, they may be subject to sanctions.



Commercially Useful Function, also known as CUF's, are required to be completed on ALL DBE's performing work on the contract, whether race conscious or race neutral.

BECO Compliance, with the help of the Construction Field Office Staff, and inspectors, conducts CUF site visits and reviews on all DBE's contracted to perform work on an FHWA funded construction project, whether these are committed DBEs or not. Again, committed means race conscious DBEs.

A DBE is responsible for performing, managing and supervising the work they have been subcontracted to perform with no direct interference from the prime contractor or the DBE's first tier contractor to count for credit towards the DBE Goal.

COP	The COP certifies that the amount paid to the DBE counts towards DBE participation (DBE Goal)	\$	ARIZONA DEPARTMENT OF TRANSPORTATION CONSTRUCTION CERTIFICATION OF FINAL DISADVANTAGED BUSINESS ENTERPRISE (DBE) PAYMENTS (Submit form for each DBE working on the contract) The undersigned Contractor on TACLS Nohereby, certifies that full payment was made, to the firm indicated for material and/or work performed under this project's contract as follows: DBE FIRM AZ UTBACS Registration #
2	Before signing the COP, please verify that the dollar amount listed on the COP matches the dollar amount paid		This cortilates is made under Freideral and State Laws concerning faile statements. Supporting documentation for this perment is ublicer to avail and advalued neration for a minimum of their years from project acceptance date. In the worthe DBB was not paid in accordance with affidavits submitted by the prime contractor, all documentation supporting the contractor's position should be submitted. In DECLARE UNDER PENALTY OF PERUITY IN THE SECOND DEGREE, AND ANY OTHER APPLICABLE STATE OR FEDERAL LAWS, THAT THE STATEMENTS MADE ON THIS DOCUMENT ARE TRUE AND COMPLETE TO THE BEST OF MY KNOWLEDGE. Contractor Company Name: Check One: Signature: Signature: Signature: Contractor Company
АООТ	The COPs for each DBE are required for contract closeout. The DBE has 5 days to sign the form. ADOT may proceed without the DBE signature	•	The undersigned subcontractor/supplier/manufacturer for the above named project hereby certified that payments were received and/or justification by the contractor is correct. I DECLARE UNDER PENALTY OF PENUEY IN THE SECOND DIGREE, AND ANY OTHER APPLICABLE STATE OF REDERAL LAWS, THAT THE STATEMENTS MADE ON THIS DOCUMENT ARE THUE AND COMPLETE TO THE BEST OF MY KNOWLEDGE. DBE Firm Name:

- One of the required documents is the "Certification of Final DBE Payments" (or COP) must be submitted with all required signatures for each DBE firm on the project no later than 30 days after they have received final payment and the dollar amount on the COP must match the final payment reported in DOORS.
- BECO needs this document before we can issue our DBE/OJT Compliance Closeout letter on all FHWA funded project
- The DBEs timely participation with ensuring the dollar amount reported is accurate, and signed by the DBE representative is part of ADOT's project close out process.



- One of the new resources created for our internal and external customers is our "BECO Connects Form".
- This form identifies some common topics our customers may have questions about , like DBE, OJT or prompt payment requirements.
- Simply fill out the form with your contact information and check off any topics you may have questions about or would like additional coaching on.
- The appropriate team within BECO will contact you shortly after submission to conduct a follow up.
- If you are interested in learning more about subjects highlighted in today's presentation, we encourage you to utilize BECO Connects to

• reach out and connect with our BECO team members.



The links on this slide will take you to additional information related to ADOT's DBE program compliance.

This presentation will be available on our ADOT website.



The BECO technology team is here to support you when interacting with our systems.



We support the systems and applications used by BECO and our customers. We handle the system access management, we support the help desk for AZUTRACS -The Arizona Unified Transportation Registration and Certification System and Business Coach on Demand (more on that in a minute), and we work with ADOT's internal Information Technology (IT) development team on system changes and enhancements to ensure the systems serve you in the best way.

Some of the systems we support are the DBE Goal Setting Application, which is used for submitting and assessing goals for federally funded projects, DOORS, the contract management system and AZUTRACS, Arizona's transportation business portal, where any company wishing to do business with ADOT must register. We will take a deeper look at AZUTRACS in a minute. This will be the main system you will interact with.

We also maintain BECO's website which can be found at azdot.gov under Business This website has a wealth of information, resources, and tools for the DBE program, compliance and other BECO programs.



We know you may have questions along the way so the Business Coach on Demand is dedicated to providing accessible guidance about how to work with ADOT, from beginning to end. This includes:

- How to find work and prepare a bid.
- Information on meeting contract requirements
- How to get certified
- Or how to get in contact with various ADOT departments

If you have any questions please email us at <u>BusinessCoach@azdot.gov</u> and we can help you navigate through the process.



A quick overview of AZUTRACS (utracs.azdot.gov), Arizona's transportation business portal.

We recommend you bookmark the site as AZUTRACS has links you can use to access other systems, forms, and resources you'll need for your contract experience.

Payment Reporting system (DOORS), your DBE certification application, or other systems

On the home page, the "Who Are You" section provides role-specific information and tasks - a DBE, ACDBE, SBC, Subs, Primes and so on.

It offers Dual Registration so you can easily register as an SBC when completing your AZUTRACS registration. If a newly certified DBE, then you are already registered.

There is a robust search feature that allows you to search for firms by work category, NAICS codes, work location and more. Primes can also use the firm search feature to search specifically for DBEs to help meet contract requirements and project goals.

You can use the Solicitation Form to reach out to firms to work together

on federally funded transportation projects in Arizona. It allows you to contact firms for specific types of work based on information that the recipient firms have provided on their firm profile. You can also create an online Bidders/Proposers List application in just a few clicks. These easy-to-use features help Primes meet contract requirements more efficiently.



You can find your firm profile badges such as the DBE Business Development Program graduate badge in your profile. There is a section for ADOT Courses Completed.



Some key takeaways: Remember AZUTRACS is your portal/business hub

For your AZUTRACS profile, make sure your profile and contact details are up-to-date. It's also important in order to keep your profile ACTIVE. If you don't log in for 3 years, the profile will automatically be deactivated so make sure you're keeping your profile updated.

Profile updates in AZUTRACS are instantaneous, However, NAICS and Certification updates are done by certification agencies and usually show up within 24 hours of certifying.

AZUTRACS is your hub to all the other systems.

And remember you can contact BECO for support and we're here to help.



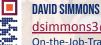
You can use the support contact information on the main page of the various systems.

AZUTRACS Support: AZUTRACS-Support@azdot.gov

Now I'll pass it over to the OJT Supportive Services team.

BECO OJT Supportive Services Team





dsimmons3@azdot.gov On-the-Job-Training Supportive Services Program Manager

vices - On-the

e Services - On-thes



MARITZA HERNANDEZ

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ADOT



Goal #1. Apprenticeship OJT Support Program: Provide support to approved apprenticeship programs to retain females, minorities, veterans and economically disadvantaged individuals in the highway construction industry. ADOT supports approved apprenticeship programs and increases opportunities for minorities, veterans and economically disadvantaged individuals already enrolled in an apprenticeship program to get them the training they need to complete their current apprenticeship program and reach journeyperson level.

Apprenticeship OJT Support Program

There are individuals who participate in Department of Labor (DOL) approved apprenticeship programs but do not finish. This support program is aimed at helping them make more opportunities available.

Goal #2. **CDL Support Program:** Provides CDL support to women, minorities, veterans and economically disadvantaged individuals to assist them in becoming more marketable with skills needed to enter the construction workforce.

Goal #3. Virtual Construction Academy: Provide highway construction pre-apprenticeship training to females, minorities, veterans and economically disadvantaged individuals to increase their level of skills, and introduce them to the highway construction workforce industry. OSHA 10 and Flagger courses.

Through the *ADOT Virtual Construction Academy*, a free Virtual OSHA 10 certification course and a free Virtual Flagger certification course will increase the level of skills to ultimately help gain employment or apprenticeship within a highway construction trade.

National Summer Transportation Institute (NSTI) Program: Approximately 45 High School Juniors and Seniors will live on the Arizona State University Campus and learn how engineers develop, improve and maintain transportation systems around Arizona. Funded in partnership with ADOT, the U.S. DOT and FHWA, the program is provided at no charge to participants. All meals and on-campus housing are included. Participants go on tours to many locations and are introduced to traffic systems not normally accessible to the general public; meet with professional engineers; engage in engineering lab activities an achieve a better understand of the transportation industry; and engage in fun evening activities and recreation.

Goal #4. AZCCD & SAZCCD: Partnering with community based organizations and businesses, this event is aimed at increasing the awareness of career opportunities that are within the highway construction industry. The purpose of this event is to engage and collaborate with a variety of construction partners such as professional trade associations, construction associations, heavy highway organizations and career technical educational institutions to conduct an (AZCCD) event, a Southern Arizona Construction Career Days (SAZCCD) event, to educate current High School students, teachers and counselors about careers in the highway construction industry at one location. In 2023, over 7000 Arizona High School students attended one of these two events.

BECO DBE Supportive Services Team





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ALLEXSA ROMAY <u>ARomay@azdot.gov</u> DBE Supportive Services Specialist



ADOT

Services



DBE Supportive Services Website

DBESS Resources and opportunities to take advantage of:

- <u>Small Business Resource Center</u> contains a form you may fill out if you are looking for further 1-1 assistance in different areas. Note that the Business Counseling is reserved for Business Development Program graduates.
- Sign up for our bi-weekly <u>DBE Newsletter and Snapshot</u> that contain upcoming events, webinars, DBE Spotlights, project updates, available project solicitations and more!
- Enroll in our Business Development Program This is an 18-21 week free virtual course in which participants will learn about Business and Industry topics such as: Bonding, Bidding/Estimating, Contract Law for Entrepreneurs, Tax Laws, Profit Management Principles, HR Management and more! Enrollment opens annually in January.
- Attent our quarterly Joint <u>Task Force Meetings</u>! They are meetings and workshops whos topics will vary but we try to focus on important topics going on in the industry or specific areas that we get many questions in. We also always upload the meeting recordings and the slides on-to the site if you ever miss one.
- Attend our annual **DBE and Small Business Conference** | *Education Focused Event* |It's a great opportunity to learn about new projects, network

- with Primes and DBEs, gain some valuable education from one of our breakout sessions or speed appointments.
- Attend our annual **DBE & Small Business Transportation EXPO** | *Project Focused Event* | It's a great opportunity to learn about new projects, network with Primes and DBEs and hear from transportation leaders including: ADOT, MCDOT, the City of Phoenix Public Transit and Street Transportation departments, Valley Metro, and Phoenix Sky Harbor International Airport.



DBE Supportive Services Program | Department of Transportation

One stop shop for information on upcoming events, newsletters and communications and links to websites that provide information to financial and small business resources for DBEs and small businesses.

Contact the DBESS Team: Email Us

