

KEY PRESENTATION POINTS – LEARNING GUIDE

BUSINESS ENGAGEMENT AND COMPLIANCE OFFICE (BECO) – Disadvantage Business Enterprise (DBE)

- DBE Goal Assurance Form 3102C (RC Only) – Each bidder must identify if it meets or does not meet the DBE goal. If the goal is not met, a Good Faith Effort (GFE) should be documented. These documents should be submitted with the bid and you cannot change the position after submittal.
- Termination/Substitution/Reduction of Work (TSR) – Prime must contact the PM/RE/BECO within 24 hours. Must state in writing notice and intent to terminate/substitute/reduce work.
- Commercially Useful Function (CUF) – Prime contractor ensures DBEs on the project are performing contracted work. Contractor receives credit only when the DBE meets the CUF.
- Certification of Final DBE Payments (COP) – Contractor submits Form 3110C to agency for all DBEs no later than 30 days after the DBE completes work. Contractor is not released from obligations of the contract.

PROJECT CLOSEOUT – FHWA

- Project Closeout video - <https://www.fhwa.dot.gov/federal-aidessentials/catmod.cfm?id=2>
- Timely closeout of projects reduces the potential for invalid obligations and frees up funds for other valid obligations.
- The non-federal entity must submit, no later than 90 calendar days after the end date of the period of performance, all financial, performance and other reports as required by the terms and conditions of the federal award.

FINAL VOUCHER

- Every federally funded project needs to be “final vouchered.” This means a financial reconciliation must be completed and all required documents are compiled.
- To submit for final voucher – All phases of the project must be accurately completed, all final bills must be paid, all encumbrances must be released and all required documents must be saved.

OVERSIGHT & MONITORING

- The compliance review process is comprised of four phases. Planning, Discovery, Reporting and Follow Up.
- Period of Performance (page 11 of the CA Manual) requirements state CA agencies are to submit schedules on a monthly basis to their ADOT project manager.
- When errors or violations occur under delegation authority, Corrective Action may be implemented. Corrective Action is a three-tiered process including level one/Unsatisfactory Performance, level two/Probation and level three/Suspension.