



# **Project Delivery Academy**

# **DBE & OJT Program Compliance**

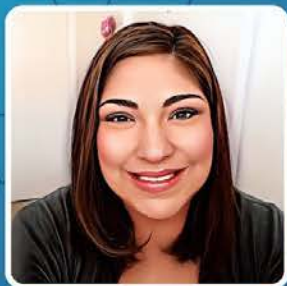
DBE - Disadvantaged Business Enterprise  
OJT - On-the-Job Training

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# BECCO

Business Engagement  
and Compliance Office





DBE Program Regulatory Authority



DBE Program Overview & Compliance Requirements



OJT Program Regulatory Authority



OJT Program Overview & Compliance Requirements



BECO Connects



Reporting DBE Fraud



Questions & Resources

# Topics Overview

# DBE Program Regulatory Authority



Title VI

Disadvantaged Business  
Program Regulations



US DOT



49 CFR 26

Civil Rights Act  
of 1964





# CFR

Revised as of April 1, 2015

# DBE Program Overview



49 CFR 26



ADOT DBE  
Program Plan



ADOT DBE Policy  
SUP-3.05 DBE



ADOT DBE  
Specifications

**ADOT**



Ensure  
non-discrimination



Create a level  
playing field

# DBE Program Objectives

# DBE Program Utilization

DBE requirements implemented and DBE utilization tracked by:



BECO reports DBE utilization semi-annually to:



ADOT

Field Offices

FHWA

BECO

Sub recipients

FTA

FAA

**UTILIZATION**



# ADOT Annual DBE Goal

10/1/2021 to 9/30/2024

**FHWA**



**12.89%**

**FTA**



**11.00%**

**FAA**



**8.05%**





# DBE Program Implementation

Lack of  
Implementation of the  
DBE Program in Good  
Faith may result in....

... the ultimate  
consequence:  
Loss of Federal Funding



# DBE Program Conditions



# DBE Compliance Requirements



DBE & OJT  
Goal  
Assessment



AZUTRACS  
Registration



DBE  
Affidavits/  
GFE and  
Bidders List



ADOT DBE &  
OJT Online  
Reporting  
System  
(DOORS)



Payment  
Reporting  
and Prompt  
Payment



DBE  
Termination/  
Substitution/  
Reduction  
(TSR)



Commercially  
Useful  
Function  
(CUF)



Certification  
of Final DBE  
Payments  
(COP)



Meeting DBE  
& OJT Goal  
on the  
contract



# DBE & OJT Goal Assessments



Mandatory for all  
FHWA projects (OJT  
for construction only)



ADOT DBE & OJT  
Contract Goal  
Setting Application



User Manual  
for ADOT



Email DBE  
Contract Goals

# AZ UTRACS Registration



## AZ UTRACS Registration

### Start AZ UTRACS Registration

AZ UTRACS Registration is a business registration required for all firms who wish to work on federally funded transportation projects in Arizona, including Prime Contractors and Prime Consultants, Subcontractors, Subconsultants, Disadvantaged Business Enterprises (DBEs), and Small Business Concerns (SBCs).

This registration satisfies a federal requirement ([49 CFR Part 26.11\(c\)](#)) that instructs ADOT to maintain a bidder's list to help the agency calculate its overall triennial DBE for FHWA, FTA and FAA funded contracts, as well calculate individual contract goals for FHWA funded contracts.

A benefit associated with completing this registration is that your firm is added to the AZ UTRACS Transportation Business Directory and a comprehensive firm profile is created, at no cost to your firm. This is used to advertise your firm's capabilities to the business community. This allows firms to find one another and partner to complete Arizona Transportation projects. The firm directory, where firm profiles are accessed, also helps firms find DBEs and SBCs needed to meet specific contract requirements.

AZ UTRACS:  
Arizona Unified  
Transportation Registration  
and Certification System

ALL primes and subs, DBE  
and non-DBE, must be  
registered in AZ UTRACS





The ADOT DBE & OJT Online Reporting System (DOORS) allows firms to report or verify contract payments, monitor contract compliance, report and monitor OJT trainees and hours, and submit or renew DBE Certification applications.

# ADOT DBE & OJT Online Reporting System

LOG IN

## Account Access

Create an Account/Account Lookup

Forgot Password

## DBE Certification & DBE/Firm Directory

Search for Firms in AZ UTRACS

Apply for / Renew DBE Certification

## DBE/OJT Contract Compliance

Report & Monitor OJT Participation

Report Monthly Payments

Report & Monitor DBE Participation

## Events - DBE & OJT Supportive Services

DBE Supportive Services Events

OJT Supportive Services Events

# DOORS Contract Management

All federal contracts are managed for  
DBE & OJT compliance

1

Report payments (primes,  
primes to all subs)

2

Monitor for prompt  
payment compliance

3

Track utilization

# Prompt Payment



## Pay on Time





# Payment Reporting

## CONTRACTORS



15th

## SUBCONTRACTORS



45 days



1

Prime contacted  
PM/RE/BECO  
within 24 hours



2

Prime notified  
the DBE



3

TSR Request  
Form submitted  
to ADOT



4

Good Faith Efforts  
(where applicable)



The TSR Process  
applies to all committed  
DBEs (DBEs listed on the  
DBE Affidavits).  
BECO approves all DBE  
Termination/Substitution/  
Reduction of Work requests  
BECO considers:

TSR





DBE credit applied only when it is determined that the DBE is performing a CUF

Only work performed by the DBE counts toward DBE participation

Work subcontracted to non-DBE firms does not count towards DBE participation (except trucking services)

CUF

ADOT



# CUF



ADOT



BECO conducts all  
CUF reviews:

- Construction
  - Planning
- Engineering/  
Design



All CUF  
Determinations  
are recorded  
in  
DOORS



# COP

1

The COP certifies that the amount paid to the DBE counts towards DBE participation

2

A completed and signed COP for each DBE submitted by the contractor no later than 30 days after final payment to DBE

3

The COPs for each DBE are required for contract closeout

## 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 TRACS No. \_\_\_\_\_ hereby, 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 UTRACS Registration # \_\_\_\_\_

Name of DBE Firm \_\_\_\_\_ was paid the amount of \_\_\_\_\_

This certificate is made under Federal and State Laws concerning false statement. Supporting documentation for this payment is subject to audit and should be retained for a minimum of three years from project acceptance date. In the event the DBE was not paid in accordance with affidavits submitted by the prime contractor, all documentation supporting the contractor's position should be submitted.

I DECLARE UNDER PENALTY OF PERJURY 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: ☐ Prime Contractor ☐ Subcontractor

Name: \_\_\_\_\_

Title: \_\_\_\_\_

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

-----  
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 PERJURY 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.

DBE Firm Name: \_\_\_\_\_

Check One: ☐ Subcontractor/Supplier/Manufacturer ☐ Lower-tier Subcontractor/Supplier/Manufacturer

Name: \_\_\_\_\_

Title: \_\_\_\_\_

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

# Meeting the DBE Goal



Only payments made to race-conscious DBE(s) (DBEs on the DBE Affidavits) count towards the DBE Goal



GFE is considered when determining if DBE Goal was met



BECO will confer with PM/RE if recommendation for sanctions are applicable





# OJT Program Regulatory Authority



US Department of  
Transportation  
Federal Highway Administration



23 CFR Part 230



ADOT OJT  
Program Plan

# OJT Program Overview



OJT Program  
Plan



OJT  
Specifications  
with Goal



OJT  
Specifications  
without Goal

CODE OF FEDERAL REGULATIONS



# CFR

Revised as of April 1, 2015





ADOT

ADOT's annual OJT Goal for 2022 is set at  
36,000 OJT hours with 64 trainees

# ADOT OJT Program

Applicable to all  
ADOT FHWA funded  
construction  
projects

All FHWA projects  
must be assessed  
for an OJT Goal  
(not applicable to  
LPA projects at this  
time)

FHWA requires  
that all OJT  
results are  
reported annually

# OJT Program Objectives



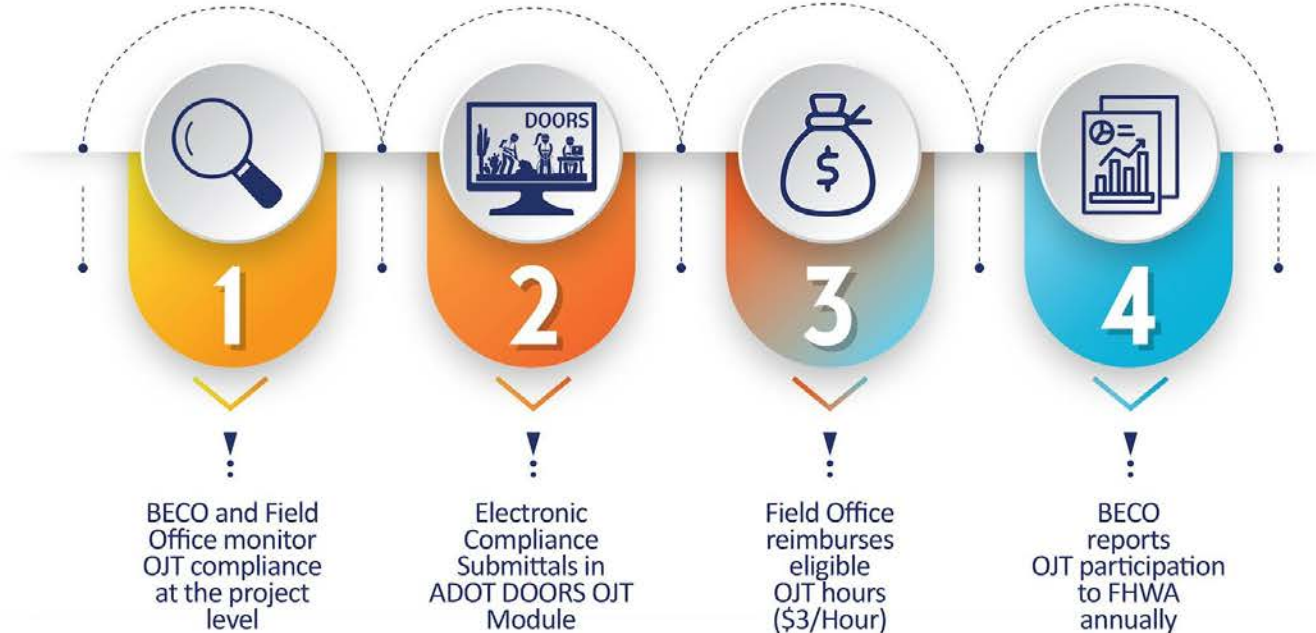
To offer equal opportunity for the training and upgrading of minorities, women, and disadvantaged persons toward journeyman status in the highway construction trades.



To improve the skills of the available workforce for Arizona's Federally-funded highway construction projects.



# OJT Compliance Requirements





# False, Fraudulent or Dishonest Conduct



Any appearance of fraud  
or dishonest conduct in  
working with DBEs must  
be reported

Contact the OIG Hotline

Call: 1-800-424-9071  
*(can be anonymous and/or  
confidential)*

Email: [hotline@oig.dot.gov](mailto:hotline@oig.dot.gov)







## Stay Connected with BECO Connects

BECO wants to connect with you! Fill out the form with your contact information and identify topics you are interested in learning more or questions related to DBE Supportive Services, DBE Compliance, OJT Supportive Services, OJT Compliance, or BECO Technology Team will connect with you within two business days from receiving the request.

mpeterson2@azdot.gov [Switch account](#)

\* Required

Email \*

Your email

Company Name

Your answer

Project No./TRACS# (if applicable)

Your answer

Stay connected with  
**BECO**  
**CONNECTS**





AZUTRACS



ADOT DBE  
Program Website



DOORS



ADOT DBE  
Program Plan



49 CFR Part 26



History of the  
DOT Program



Federal Aid  
Essentials Video  
Library



USDOT Disadvantaged  
Business Enterprise  
Program



DBE Affidavit  
Training



DBE and Payment  
Compliance  
Overview

# Resources



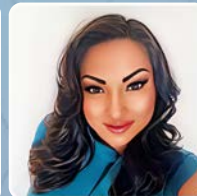


# Contact Information

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DBE Compliance  
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**Steve Haley**

[shaley@azdot.gov](mailto:shaley@azdot.gov)

Alternative Delivery  
Projects Manager



**Melanie Peterson**

[mpeterson@azdot.gov](mailto:mpeterson@azdot.gov)

Local Public Agencies/Sub-  
Recipients Program Manager



**BECO Compliance Mailbox**

[contractorcompliance@azdot.gov](mailto:contractorcompliance@azdot.gov)

# Title VI/ADA Accommodations

Pursuant to Title VI of the Civil Rights Act of 1964, the Americans with Disabilities Act (ADA) and other nondiscrimination laws and authorities, ADOT does not discriminate on the basis of race, color, national origin, sex, age, or disability. Persons that require a reasonable accommodation based on language or disability should contact [Contractorcompliance@azdot.gov](mailto:Contractorcompliance@azdot.gov). Requests should be made as early as possible to ensure the State has an opportunity to address the accommodation.

De acuerdo con el Título VI de la Ley de Derechos Civiles de 1964, la Ley de Estadounidenses con Discapacidades (ADA por sus siglas en inglés) y otras normas y leyes antidiscriminatorias, el Departamento de Transporte de Arizona (ADOT) no discrimina por motivos de raza, color, origen nacional, sexo, edad o discapacidad. Las personas que requieran asistencia (dentro de lo razonable) ya sea por el idioma o discapacidad deben ponerse en contacto [Contractorcompliance@azdot.gov](mailto:Contractorcompliance@azdot.gov). Las solicitudes deben hacerse lo más antes posible para asegurar que el Estado tenga la oportunidad de hacer los arreglos necesarios.





# QUESTIONS