

# CHAPTER 2

## DISADVANTAGED BUSINESS ENTERPRISES

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## **Section 2.1**

### **OVERVIEW**

#### **2.1.1 Purpose**

The Department's Disadvantaged Business Enterprise (DBE) Program is designed to assist small businesses owned and controlled by socially and economically disadvantaged individuals to participate on Department contracts. The objectives of the DBE Program are:

- (a) To ensure equal opportunity in the award and administration of DOT contracts in the Department's highway, transit, and airport construction programs;
- (b) To create a level playing field on which DBEs can compete fairly for DOT contracts;
- (c) To ensure that the Department's DBE program is narrowly tailored in accordance with applicable law;
- (d) To ensure that only firms that fully meet the eligibility standards are certified as DBEs;
- (e) To help remove barriers to the participation of DBEs in DOT contracts;
- (f) To assist in the development of firms that can compete successfully in the marketplace outside of the DBE program; and
- (g) To provide appropriate flexibility to recipients of Federal financial assistance in establishing and providing opportunities for DBEs.

#### **2.1.2 Scope**

The Department's Disadvantaged Business Enterprise (DBE) Program encompasses both our federal and state funded highway and bridge program and all projects and contracts associated with this program. The scope of this section includes all the requirements associated with how the Florida Department of Transportation implements these federal regulations. In general, the State's DBE program mirrors the requirements of the federal program, but is analyzed and reported separately.

## **Section 2.2**

### **CERTIFICATION OF DBE's**

#### **2.2.1 General**

The U.S. Department of Transportation (USDOT) requires all recipients of FAA, FTA, and FHWA federal funds to participate in a Unified Certification Program (UCP) within their respective states. The UCP provides “one stop shopping” for all firms seeking certification as a DBE in Florida. Therefore, the DBE certification of a firm will be accepted by all USDOT recipients in Florida. Certifying members certify DBEs in accordance with 49 CFR Parts 23 and 26.

Businesses are certified as a DBE for specific types of work for which they have the knowledge and resources to perform. Each DBE certification includes specific NAICS Codes as well as FDOT Specialty codes indicating the area(s) of their work which may be counted toward DBE utilization; these areas may change over time.

When a contractor uses a DBE on a federal aid project, only a single DBE certification letter or certificate from a certifying member is needed.

The Department can only report the participation of DBE's that are certified in the Department's DBE Directory. See Section 2.5 and 2.6 for additional information on reporting requirements. If there are questions about a firm's certification status, contact the certifying member. A list of certifying members is listed on the FDOT Equal Opportunity Office web site.

#### **2.2.2 DBE Directory**

A single DBE Directory allows for the identification and location of a certified firm authorized to participate in Florida's DBE program. The DBE Directory can be found on the FDOT Equal Opportunity Website. The DBE Directory includes all companies and DBE's are specifically identified as such.

## **Section 2.3**

### **DBE AFFIRMATIVE ACTION PLAN**

#### **2.3.1 General**

Contractors are required to submit a DBE Affirmative Action Plan to ensure that all contractors doing business with the Department and their subcontractors are not discriminating on the basis of race, color, religion, national origin, disability, sex, or age in the administration of contracts with the Department.

#### **2.3.2 Disadvantaged Business Enterprise Affirmative Action Policy and Plan (DBE AA Plan)**

A sample DBE AA Policy and Plan is available on the FDOT Equal Opportunity Office website. The contractor's DBE AA Plan must include, at a minimum, the information contained in this sample. Plans that do not meet these mandatory requirements may not be approved.

A DBE Policy statement is included in the DBE AA Plan and it expresses the contractor's commitment to use Disadvantaged Business Enterprises in all aspects of contracting, outlines various levels of responsibility, and states the objectives of the program. The contractor's DBE Plan is to be circulated throughout the contractor's organization and to minority, female, and non-minority community and business organizations.

#### **2.3.3 DBE Liaison Officer**

The DBE Affirmative Action Plan includes identification of an appointed DBE Liaison Officer who is responsible for maintaining and monitoring the implementation of the Plan. This person will be the main contact for the Department for all issues related to the DBE Program and must be available to obtain any documents requested by the Department. The duties of the DBE Liaison Officer are included in the DBE AA Plan.

#### **2.3.4 Submission, Expiration and Renewal of DBE AA Plan**

Contractors bidding on FDOT contracts are to have an approved DBE Affirmative Action Plan on file with the FDOT Equal Opportunity Office before execution of a contract. DBE AA plans must be received with the contractor's bid or received by the FDOT Equal Opportunity office prior to the award of a contract.

DBE AA Plans are approved for a three (3) year period and should be updated prior to expiration or when there is a change in the DBE Liaison Officer and/or the Company official who signs the Plan.

E-mail the completed and signed DBE AA Plan to: [EEOforms@dot.state.fl.us](mailto:EEOforms@dot.state.fl.us).

The Department will review the policy, update department records, and issue a notification of approval or disapproval; a copy of the submitted plan will not be returned to the contractor.

### **2.3.5 Review and Compliance with DBE AA Plan**

The DBE Special Provisions included in executed contracts states that the DBE Affirmative Action Plan and commitment to carry out the plan is incorporated into and becomes a part of the awarded contract. The contractor's failure to keep these commitments is deemed noncompliance with the specifications and a breach of the contract.

The Department will monitor contractor compliance with the DBE specifications of the contract and the implementation of the contractor's DBE Affirmative Action Plan through formal reviews including contract compliance reviews. Additionally, contractors with low DBE participation will be subject to a Title VI assessment to ensure that discrimination is not the factor for the lack of DBE utilization on Department projects.

The contractor will make all records available to the Department upon request.

## **Section 2.4**

### **BID OPPORTUNITY LIST**

#### **2.4.1 General Information**

Federal regulations require the Department to create and maintain a bidders list. The purpose of the bidder's list is to provide as accurate data as possible about the universe of DBE and non DBE contractors and subcontractors who seek to work on federally-assisted contracts for use in helping to establish an annual DBE goal each year that would reflect the level of DBE participation expected absent the effects of discrimination. The Department uses a Bid Opportunity List to determine the number of ready, willing and able DBE's relative to all ready, willing and able businesses as the method to help determine the Department's annual DBE goal.

#### **2.4.2 Submission of Bid Opportunity List**

The Bid Opportunity List, FDOT Form 275-03-10 must be submitted to the Department in the bid or proposal package.

## **Section 2.5**

### **ANTICIPATED DBE PARTICIPATION**

#### **2.5.1 Purpose**

Prime contractors report to the Department the names of DBEs, type(s) of work or specialty code(s), and the dollars awarded to DBEs as a subcontractors on specific contracts. This information has many uses including reporting of FDOT's performance against its DBE Utilization goal and the grading of prime contractor DBE Utilization.

This information will be reported to the Federal Highway Administration and is the primary tracking mechanism used to measure the progress in achieving the Department's annual DBE goal. This information is also used to determine a contractor's annual letter grade based on DBE participation.

#### **2.5.2 Anticipated DBE Participation Statement: Initial Submission and Revisions**

FDOT Form 275-030-11A, Anticipated DBE Participation Statement (ADBEPS) is used by the prime contractor to report planned DBE utilization and utilization updates. The Anticipated DBE Participation Statement for Local Agency projects is FDOT Form 275-030-12.

The form must be submitted to the Resident Compliance Specialist at or before the Preconstruction Conference. District Compliance offices will ensure prompt submission of the ADBEPS to the Equal Opportunity Office within three (3) working days of that conference.

Primes are to include the dollars that a DBE is anticipated to earn for work they will perform with their own workforce and equipment. Work performed in the specialty area/NAICS code that a DBE is certified in may be counted. Work performed in a specialty area/NAICS code a DBE is not certified in will not be counted for DBE utilization.

As DBEs are added or removed from projects or as dollars to DBE subcontractors change, primes are to submit revised ADBEPS to the Resident Compliance Specialist as soon as changes occur to ensure reporting accuracy. Changes and updates to the ADBEPS should not be held for end-of contract submittals.

Prime contractors who are certified DBEs must submit an ADBEPS and specify the portion of the contract which will be performed directly by them with their own workforces. Other DBE subcontractors that the prime DBE anticipates using are also listed.

### 2.5.3 Counting a DBE's Participation

DBE Certification does not guarantee that the firm's work on a project will be counted as utilization towards FDOT's DBE goal. For services performed by a DBE firm to count toward the goal, the firm must perform a 'commercially useful function' and their work must be in the specialty area(s) for which the DBE firm is certified.

Some of the considerations used in determining what portion of a DBE's work on a project may be counted toward the DBE goal are listed in Table 2.5.1. The Table is not an exhaustive list. FDOT may request additional information from the prime contractor and or DBE firm in order to determine which portions of work may be included as DBE participation.

<b>Table 2.5.1 Determining What Portion of a DBE's Work May be Counted Toward the Goal</b>	
1.	The DBE firm is performing a 'commercially useful function'.
2.	The work is in the specialty area(s) for which the DBE is certified.
3.	The work is actually performed by the DBE's own workforces.
4.	Supplies and equipment purchased or leased by the DBE are not affiliated with the prime.
5.	The cost of supplies and materials obtained by the DBE for the work is counted including purchases and leased equipment
6.	Reasonable fees or commissions charged by a DBE firm for providing a bona fide service, or for providing bonds or insurance required for performance of a DOT contract may be counted. Examples of bona fide services includes professional, technical, consultant, or managerial services,
7.	The value of work the DBE subcontracts to others is counted only if the work is subcontracted to another DBE. Work subcontracted to non DBE's is not counted.

### 2.5.4 Newly Certified, Graduated and de-Certified DBE's

During the term of a contract, prime contractors may report the utilization of firms that become certified beginning with the date of their certification.

DBE firms that graduate from the DBE program during the term of contract may be reported as DBE utilization throughout the term of the contract. On subsequent projects, the graduated DBE does not count as utilization.

None of the work performed by a de-certified DBE may be counted as utilization.

## **Section 2.6**

### **REPORTING ACTUAL PAYMENTS**

#### **2.6.1 General**

CFR 49 Part 26 requires the Department to track actual payments as well as commitments to DBEs. Additionally, the Department's Standard Specifications requires the reporting of actual payments to DBE and MBE subcontractors in the Equal Opportunity Reporting ('EOR') system.

#### **2.6.2 Payment Reporting**

Prime contractors are required to report in the EOR system monies paid to DBE's for work performed in the area(s) they are certified from each monthly progress estimate. If money is not paid to the DBE during a month, the contractor need not enter 'zero-dollar' payments in the EOR system.

Local Agencies, not their prime construction contractors, enter all DBE payment information into the EOR System.

Resident Compliance Specialists ('RCS') monitor the EOR System monthly to confirm the reporting of required data. Payment reporting is an element in determining the prime contractors Past Performance Rating.

Only that portion of the payment associated with the performance of a commercially useful function by DBE's performing work in the area(s) for which they are certified are to be reported. Payments for the following should not be reported:

- Work performed by the DBE in areas for which they are not certified.
- Work subcontracted to non DBE's.

Payments, if recorded, will be 'zeroed out' if a commercially useful function cannot be determined or if the DBE (excluding DBE Truckers) does not self perform a minimum of 30% of their contract. The prime will enter a negative payment amount equal to the previously reported amount to reduce the countable participation to zero dollars (\$0.00).

#### **2.6.3 EOR System Access**

Refer to Workbook Section 1.3.4, How to Access the System; Addressing System Problems if you do not have access for entering payments, or are experiencing problems or have other questions.

## **Section 2.7**

### **MONITORING**

#### **2.7.1 General**

When a DBE participates in a contract, only the value of the work actually performed by the DBE is counted as DBE participation.

A DBE firm performs a commercially useful function (CUF) when it is responsible for execution of a distinct element of the work with its own workforce and it carries out its responsibilities by actually performing, managing and supervising the work involved.

Checks will be done, at a minimum, during each of the DBE's first three active months to determine if DBE's on federally funded contracts are performing a CUF. Additional CUF Monitoring Reports or other special reviews may be initiated and/or required. FDOT Form 275-021-18 'Commercially Useful Function DBE Monitoring Report' is used to record each observation and review. CUF's are performed on DBE primes and DBE subcontractors.

#### **2.7.2 Counting the Value of Work**

When a DBE participates in a contract, only the value of the work actually performed by the DBE is counted as DBE participation.

Count the entire amount of that portion of a construction contract that is performed by the DBE's own forces. Include the cost of supplies and materials obtained by the DBE for the work of the contract, including supplies purchased or equipment leased by the DBE (except supplies and equipment the DBE subcontractor purchases or leases from the prime contractor or its affiliate).

Count toward the DBE goal, the entire amount of fees or commissions charged by a DBE firm for providing a bona fide service, such as professional, technical, consultant, or managerial services, or for providing bonds or insurance specifically required for the performance of a DOT-assisted contract, provided they are reasonable and not excessive when compared with fees customarily allowed for similar services.

#### **2.7.3 Considerations in Determining Commercially Useful Function**

Count expenditures to a DBE contractor toward DBE goals only if the DBE is performing a commercially useful function on that contract. Considerations in determining commercially useful function include the following;

1. A DBE performs a commercially useful function when it is responsible for execution of the work of the contract and is carrying out its responsibilities by actually performing, managing, and supervising the work involved. To perform a commercially useful function, the DBE must also be responsible, with respect to materials and supplies used on the contract, for negotiating price, determining quality and quantity, ordering the material, and installing (where applicable) and paying for the material itself. To determine whether a DBE is performing a commercially useful function, you must evaluate the amount of work subcontracted, industry practices, whether the amount the firm is to be paid under the contract is commensurate with the work it is actually performing and the DBE credit claimed for its performance of the work, and other relevant factors.

2. A DBE does not perform a commercially useful function if its role is limited to that of an extra participant in a transaction, contract, or project through which funds are passed in order to obtain the appearance of DBE participation. In determining whether a DBE is such an extra participant, you must examine similar transactions, particularly those in which DBE's do not participate.

3. If a DBE does not perform or exercise responsibility for at least 30 percent of the total cost of its contract with its own work force, or the DBE subcontracts a greater portion of the work of a contract than would be expected on the basis of normal industry practice for the type of work involved, you must presume that it is not performing a commercially useful function. The 30% requirement does not apply to DBE Trucking.

4. When a DBE is presumed not to be performing a commercially useful function as provided in paragraphs 2 and 3, the DBE may present evidence to rebut this presumption. You may determine that the firm is performing a commercially useful function given the type of work involved and normal industry practices.

#### **2.7.4 DBE's Subcontracting work to others & Joint Ventures**

When a DBE subcontracts part of its work to another firm, the value of the subcontracted work is counted only if the work is subcontracted to another DBE. Work that a DBE subcontracts to a non DBE firm does not count toward DBE goals.

When a DBE performs as a participant in a joint venture, count a portion of the total dollar value of the contract equal to the distinct, clearly defined portion of the work of the contract that the DBE performs with its own forces toward DBE participation.

#### **2.7.5 Commercially Useful Function of DBE Trucking Companies**

Considerations in determining whether a DBE trucking company is performing a commercially useful function include the following:

1. The DBE must be responsible for the management and supervision of the entire trucking operation for which it is responsible on a particular contract, and

there cannot be a contrived arrangement for the purpose of reporting DBE participation.

2. The DBE must own and operate at least one fully licensed, insured, and operational truck used on the contract.
3. The DBE receives credit for the total value of the transportation services it provides on the contract using trucks it owns, insures, and operates using drivers it employs.
4. If a DBE leases trucks from another DBE firm, including an owner-operator who is certified as a DBE. The DBE who leases trucks from another DBE receives credit for the total value of the transportation services the lessee DBE provides on the contract.

The DBE may also lease trucks from a non DBE firm, including owner-operators. The value of services from non-DBE trucking may be equal to or be less than the value of services provided by all DBE trucks; the value of Non-DBE trucking cannot exceed the total value of DBE trucking.

Utilization credit is given only for the fee or commission associated with excess services provided by non-DBE trucking. These fees or commissions are stated in the trucking agreements.

**Example 5a:** DBE Firm X uses 3 of its own trucks on a contract and leases 2 trucks from another DBE firm; total DBE trucks on the contract equals 5. DBE firm X also leases 5 trucks from a non DBE. Total non DBE trucks are 5 which do not exceed the number of DBE trucks on the contract. All non DBE and all DBE trucks are counted for utilization.

**Example 5b:** DBE Firm T uses 2 of its own trucks on a contract and leases 1 truck from another DBE firm; total DBE trucks on the contract equal 3. DBE firm T also leases 5 trucks from a non DBE. Total non DBE trucks are 5 which exceed the 3 DBE trucks. Non DBE trucks are counted one for one equal to DBE trucks i.e. 3 and 3) and only the fees and commissions on the two excess non DBE trucks is counted for utilization. The dollar credit reported for the 5 non DBE trucks must not exceed the total value of trucking services provided by the 3 DBE trucks.

6. A lease must indicate that the DBE has exclusive use of and control over the truck. This does not preclude the leased truck from working for others during the term of the lease with the consent of the DBE, so long as the lease gives the DBE absolute priority for use of the leased truck. Leased trucks must display the name and identification number of the DBE.

### 2.7.5.1 DBE Trucking Recordkeeping

DBE Utilization that includes off-site hauling requires the submission to the RCS of a contractual document (sublet, subcontract, rental agreement etc.) describing the scope of trucking operations and the commissions/fee rate in order to verify DBE utilization calculations. Project staff may utilize the Trucker's Observation & Verification (Form 700-010-610) to verify both the owner operator and/or the DBE status of individual trucks.

Prime contractors reporting anticipated utilization for DBE trucking are required to submit each month a DBE Contractor Payment Ledger (FDOT Form 275-030-14) reflecting actual trucking operations. The report is due beginning with the first month and ending with the last; inactive months are reported as such

The DBE Contractor Payment Ledger, along with other records will enable confirmation of a commercially useful function and the accurate calculation of DBE Utilization as described in Section 2.7.5.

## **2.7.6 DBE Manufacturers and Suppliers**

Considerations in determining if expenditures with DBE's for materials or supplies may be counted for DBE utilization include the following:

1. If the materials or supplies are obtained from a DBE manufacturer, count 100 percent of the cost of the materials or supplies toward DBE participation. For purposes of this section, a regular dealer is a firm that owns, operates, or maintains a store, warehouse, or other establishment in which the materials, supplies, articles or equipment of the general character described by the specifications and required under the contract are bought, kept in stock, and regularly sold or leased to the public in the usual course of business.

- (a) To be a regular dealer, the firm must be an established, regular business that engages, as its principal business and under its own name, in the purchase and sale or lease of the products in question.

- (b) A person may be a regular dealer in such bulk items as petroleum products, steel, cement, gravel, stone, or asphalt without owning, operating, or maintaining a place of business, if the person both owns and operates distribution equipment for the products. Any supplementing of regular dealers' own distribution equipment shall be by a long-term lease agreement and not on an ad hoc or contract-by-contract basis.

- (c) Packagers, brokers, manufacturers' representatives, or other persons who arrange or expedite transactions are not regular dealers.

2. If the materials or supplies are purchased from a DBE regular dealer, count 60 percent of the cost of the materials or supplies toward DBE participation.

3. With respect to materials or supplies purchased from a DBE which is neither a manufacturer nor a regular dealer, count the entire amount of fees or commissions charged for assistance in the procurement of the materials and supplies, or fees or transportation charges for the delivery of materials or

supplies required on a job site, toward DBE participation, provided you determine the fees to be reasonable and not excessive as compared with fees customarily allowed for similar services. Do not count any portion of the cost of the materials and supplies themselves toward DBE participation.

4. FDOT monthly and final estimates are referenced in verifying supplier quantities.

### **2.7.7 Contractor Records for Commercially Useful Function Verification**

Contractors are to maintain and make available to the Department when so requested, records substantiating the performance of commercially useful functions by DBE contractors and suppliers as part of their compliance with FDOT Specification 3-8, "Audit of Contractor's Records". Contractor records which may be reviewed to substantiate commercially useful function include, but are not limited to:

- Contracts, subcontracts, rental agreements
- Delivery Tickets
- Invoices
- Lease Agreements
- Hauling Tickets
- Contractor's Daily Trucking Record
- DBE Trucking Ledger
- Canceled checks
- Bank Records
- Equipment Titles of Ownership
- Material/Supply Agreements
- Payroll Records

Department records which will be reviewed to confirm commercially useful function include but are not limited to:

- Anticipated DBE Participation Statements
- Daily Reports and project photos
- EOR Subcontractor Payments
- Commercially Useful Function Monitoring Reports
- Trucker Observation and Verification
- DBE Trucking Ledger
- EEO/Labor Interviews
- Payroll records
- DBE Directory

## Section 2.8

### PRIME CONTRACTOR GRADING SYSTEM

#### 2.8.1 General

The Department's annual DBE goal is posted on the EOO Website. The Department tracks DBE participation monthly to monitor achievement. A Prime Contractor Grading System was implemented to reflect and highlight a contractor's commitment to using DBEs on Department projects. The grading scale is applied to all prime contractors with contract awards totaling \$1 million or more. Prime contractors awarded \$1 million or more are graded based on their DBE participation during the federal fiscal year (October 1 to September 30).

Additionally, routine Title VI Assessments on prime contractors are conducted where the Department determines that an unacceptable level (less than 2%) of DBE participation is noted on contracts. The purpose is to ensure that discrimination is not the factor for the lack of DBE utilization on Department projects.

#### 2.8.2 Grading Scale

Based on the ADBEPS reported to the Equal Opportunity Office, prime contractors receive a letter grade, A+ thru F. The letter grade is based on the prime contractor's total contracts awarded, total anticipated DBE participation, and DBE percentage during the reporting period. The grading scale is applied to all prime contractors with contract awards totaling \$1 million or more. Prime contractors with total contract awards below the \$1 million threshold do not receive a letter grade.

<b>A+</b>	<b>8.51% and Above</b>
<b>A</b>	<b>8.5% to 6.76%</b>
<b>B</b>	<b>6.75% to 5.01%</b>
<b>C</b>	<b>5.0% to 3.51%</b>
<b>D</b>	<b>3.5% to 1.51%</b>
<b>F</b>	<b>1.5% and Below</b>

The Department and the Districts issue various written and verbal communications to prime contractors regarding their companies' DBE achievements.

## **Section 2.9**

### **SUPPORTIVE SERVICES**

#### **2.9.1 General**

The Supportive Services Program is structured to promote the Department's efforts to provide customized training in the form of managerial and technical assistance to DBEs and small businesses in order to increase prime and subcontracting opportunities. The Department is committed to its efforts to promote meaningful participation by disadvantaged and small business contractors and consultants in highway construction projects throughout the State of Florida.

The primary goal of the Supportive Services Program is to increase the number of DBEs and small businesses participating in Department contracts and the percentage of dollars awarded to DBEs and small businesses by:

- Matching prime contractors/consultants with certified DBEs and small businesses as a subcontractor/sub-consultant/supplier;
- Assisting certified DBEs and small businesses in becoming prime contractors/consultants; and
- Assisting certified DBEs and small businesses in obtaining contracts as prime contractors/consultants on Department projects.

#### **2.9.2 DBE Supportive Services**

The Department provides supportive services to DBEs conducting business with or seeking to conduct business with the Department. Supportive services are those activities and services that are designed to contribute to the growth and eventual self-sufficiency of DBEs so that they may achieve proficiency in competing for contracts and subcontracts. The purpose of the DBE Supportive Services Program is to increase the number of certified DBEs participating in the highway program and to contribute to the growth and eventual self-sufficiency of DBE firms. The Department's statewide DBE Supportive Services provider provides managerial and technical assistance to certified DBEs participating in the highway program at no cost. Participation in the DBE Supportive Services Program is open to firms certified as a DBE by the Florida Unified Certification Program.

The DBE Supportive Services provider is available to assist prime contractors with locating DBEs on the Department's online business directory and matching primes with DBEs for subcontracting/sub consulting/supplier opportunities. Another opportunity for prime contractors to identify DBEs for subcontracting and consulting/supplier opportunities is to participate in DBE Matchmaker Conferences. The Department's DBE

Supportive Services provider is charged with planning, coordinating, and hosting a minimum of four (4) DBE Matchmaker Conferences statewide designed to assist DBEs in meeting with prime contractors to discuss future working relationships and to educate DBEs and non certified minority and women-owned firms about doing business with FDOT.

For more information or assistance regarding the DBE Supportive Services contact:

Blackmon Roberts Group  
902 S Florida Ave. • Suite 205  
Lakeland, Florida • 33803  
Telephone: 863.802.1280  
Fax: 863.802.1290  
[www.brgfl.com](http://www.brgfl.com)

### **2.9.3 Construction Management Development Program & Bond Guarantee Program**

The **Construction Management Development Program (CMDP)** is a voluntary program designed to improve and develop the skills of small business owners and managers enabling them to perform successfully on FDOT construction projects. Courses offered are *Business Management, Construction Accounting, Construction Math and Estimating, Contracts, Specification and Law, Scheduling for FDOT* and *Plan Reading for FDOT*. Participation in the CMDP is open to firms certified as a DBE by the Florida Unified Certification Program or a small business firm whose annual gross receipts do not exceed \$2 million dollars average over the last three year period.

The **Bond Guarantee Program (BGP)** is a financial support program which the State of Florida acts as a second surety, guaranteeing the construction bonds for DBEs working on FDOT projects. Participation in the BGP is limited to those DBEs who have been awarded a *Certificate of Proficiency* and have documented knowledge of the principals of construction bonding. Services under the BGP include: *Packaging Bond Applications, Construction Bond Principals Seminars and Overhead Audits*, a one time free service for DBEs seeking pre-qualification as a consultant.

For more information or assistance regarding the CMDP-BGP contact:

Florida A&M University Small Business Development Center  
2035 East Paul Dirac Drive, Suite 130, Morgan Building  
Tallahassee, Florida 32310  
Telephone: (850) 561-2393      Toll Free: (800) 226-3881  
Fax: (850) 561-2395      [www.sbdcatfam.u.org](http://www.sbdcatfam.u.org)

## Section 2.10

# DBE FORMS & DOCUMENTS

This is a list of forms and documents referenced in this chapter. Following this page, in numerical order are the forms.

### NUMERICAL SEQUENCE

<b>FDOT Form No.</b>	<b>Document Title</b>	<b>Work Book Section</b>
275-021-18	Commercially Useful Function DBE Monitoring Report	2.7
275-021-23	Anticipated DBE Participation Statement for Design-Build Projects	2.7
275-030-10	Bid Opportunity List	2.4
275-030-11A	Anticipated DBE Participation Statement	2.5
275-030-11B	DBE/AA Plan	2.3
275-030-12	Anticipated DBE participation Statement for Local Agency Program	2.5
275-030-14	DBE Contractor Payment Ledger	2.7.5
700-010-61	Trucker Observation and Verification	2.7.5

### ALPHABETICAL SEQUENCE

<b>Document Title</b>	<b>FDOT Form No.</b>	<b>Work Book Section</b>
Anticipated DBE Participation Statement	275-030-11A	2.5
Anticipated DBE Participation Statement for Design-Build Projects	275-021-23	2.7
Anticipated DBE participation Statement for Local Agency Program	275-030-12	2.5
Bid Opportunity List	275-030-10	2.4
Commercially Useful Function DBE Monitoring Report	275-021-18	2.7
DBE/AA Plan	275-030-11B	2.3
DBE Contractor Payment Ledger	275-030-14	2.7.5
Trucker Observation and Verification	700-010-61	2.7.5

STATE OF FLORIDA DEPARTMENT OF TRANSPORTATION

**COMMERCIALLY USEFUL FUNCTION (CUF) DBE MONITORING REPORT**

**SECTION 1: PROJECT IDENTIFICATION**

1. Financial Project No.	2. F.A.P. No.	3. Contract No.	4. County	5. District
6. Prime Contractor	7. FEID No.	8. Contract Begin Date	9. Est. Completion Date	10. Is Prime a DBE? <input type="checkbox"/> No <input type="checkbox"/> Yes

**SECTION 2: DBE IDENTIFICATION**

11. DBE's FEID No.	12. DBE Co. Name
13. Mailing address & phone number used for project communication Phone ( )	
14. NAICS & Specialty Codes (from DBE'S Profile in FDOT DBE Directory)	NAICS / Specialty Code
15. DBE's function on this Contract <input type="checkbox"/> Subcontractor <input type="checkbox"/> Rental Agreement without operator <input type="checkbox"/> Rental Agreement with operator	16. DBE's Begin date
17. If DBE is a Subcontractor, Identify tier. <input type="checkbox"/> 1 <sup>st</sup> Tier <input type="checkbox"/> 2 <sup>nd</sup> Tier <input type="checkbox"/> 3 <sup>rd</sup> Tier <input type="checkbox"/> Prime	18. Name of company DBE is subordinate to (or 'Prime' if 1 <sup>st</sup> tier)

**SECTION 3: OBSERVATION OF DBE'S, WORK, WORKFORCE & EQUIPMENT**

19. Date Observed	20. Observer's Name (first & last)
21. Description of work being performed	
22. Foreman's name (first/last) & employer	NAME EMPLOYER
23. Number & type of workers (exclude foreman)	
24. Number and type of equipment & tools used <input type="checkbox"/> None	

TRUE	FALSE	25. WORKFORCE OF THE DBE:	TRUE	FALSE	26. EQUIPMENT OF THE DBE:
		A. Uniforms have DBE's Co. name <input type="checkbox"/> No uniforms			A. Name is painted or a permanent decal <input type="checkbox"/> No name on any <input type="checkbox"/> No name on some
		B. Only Workers/Foremen from the DBE company are performing the work			B. Name on equipment is DBE Co. name (box 12)
		C. DBE appears to control/supervise their own work			C. DBE appears to be using their own equipment

27. OBSERVER'S COMMENTS:  None

**SECTION 4: DBE ADMINISTRATIVE REVIEW**

28. Date Reviewed	29. Reviewer's Name:	30. ADBEPS amount
-------------------	----------------------	-------------------

TRUE	FALSE	31. Observ. VS Payrolls, Daily Work Report, Bizweb	TRUE	FALSE	32. DBE Sublet & ADBEPS Data
		A. DBE's Payroll reflects no. & type or workers in #23			A. Observed work is included in DBE's certified areas (Box 14)
		B. Daily Diary reflects foreman (#22) and workers (#23)			B. Observed work is listed on the ADBEPS
		C. Payrolls from other contractors do not include the names of the DBE's employees or the DBE's foreman			C. DBE has not subcontracted to other companies.. If False (DBE has subcontracted work to others) list the companies DBE-Y or N
		D. Payments to DBE are in EOR System <input type="checkbox"/> Too close to DBE's begin date (see Box 16)			

33: REVIEWER'S COMMENTS  None

34. Attachments: Mark 'Y' or 'NA'	Daily Work Report	DBE's Certified payroll
	Certification of Sublet Work w/ Schedule A	Notice of Rental Agreements
	Notification for Use of Temporary Employment Agency	DBE Directory- print out of DBE's
	EOR payment screens	Photos of DBE's work

**SECTION 5: RECORD OF REPORT REVIEW**

35. Title	36. First &- last name-print/type	37. Signature	38. Date	39. Recorded data reflects CUF <input type="checkbox"/> more investigation <input type="checkbox"/> Yes
Proj Adm.				<input type="checkbox"/> more investigation <input type="checkbox"/> Yes
DCCM				<input type="checkbox"/> more investigation <input type="checkbox"/> Yes

STATE OF FLORIDA DEPARTMENT OF TRANSPORTATION

**State of Florida Department of Transportation  
 Commercially Useful Function (CUF) DBE Monitoring Report Instructions for Completing Form**

**Scope:** This form is used on Federally Assisted Construction Projects, including ARRA & LAP, to affirm the commercially useful function characteristics of Disadvantaged Business Enterprise ('DBE') subcontractors.

<b>When is form 275-021-18 used?</b>	<b>DBE Prime or DBE Subcontractor (any tier)</b>	<b>DBE Trucker- (any tier)</b>	<b>DBE Material Supplier or DBE Manufacturer</b>
Federally funded ('FAP') Construction Project	Yes	No	No
State Funded Construction Project	No	No	No
Professional Services Company on: State funded or FAP Construction Project	No	No	No
Professional Services Company on State funded or FAP Professional Services Contract	No	No	No

**General:**

- The purpose of this form is to record data evidencing compliance or non compliance with DBE program requirements. One day's observation of one DBE company is recorded on a form.
- If observation covers more than one day, a form is used for each day.
- If more than one DBE firm is observed on a day, a form is completed for each DBE company each day.

**Form Preparation:**

- The RCS should complete Sections 1 and 2 and Box 36 in Section 5 as soon as a DBE is listed on an Anticipated DBE Participation Statement (forms 275-030-12 or 275-030-11A).
- At least three (3) copies should be made of the prepared form and they should be organized in such a manner that the RCS can readily distribute a copy of the form to a field inspector as soon as it is determined the DBE is active on the project.
- Following the first observation, the RCS distributes the form at least two more times (each succeeding month) so that a minimum of three (3) forms are completed during the DBE's first three active months.

**Field Observation:**

- The inspector (or other FDOT representatives in the field) completes Section 3 of the form based on their actual observation of the DBE's workforce, supervisor, equipment and work performed on a single day.
- The completed form is returned to the RCS.

**Administrative Review:**

- The RCS should promptly review the Observation section when the report is turned in and request any clarification.
- Section 4 is completed by the RCS once the DBE's certified payroll for the date observed is received; which may be up to two weeks after the observation.
- Several project records (Box 34) are referenced by the RCS in completing Section 4 and they are attached to the completed form when it is referred to the Project Administrator and District Contract Compliance Manager for signature and review.

**Section 1: Project Identification**

- Box 1: **Fin. Proj No.** – The Financial Project Number
- Box 2: **FAP No.** – The Federal Aid Project Number assigned to federally funded projects
- Box 3: **Contract No.**- the project's contract number
- Box 4: **County** – County or counties project work is being performed in
- Box 5: **District** – The FDOT District number designation where the project is located (Districts are 1-7, and the Turnpike District).
- Box 6: **Prime Contractor Name** – The name of the prime contractor.
- Box 7: **FEID No.** – The Prime contractor's Federal Identification Number
- Box 8: **Contract Begin Date**- starting Month/day/year
- Box 9: **Estimated Completion Date**- Month/day/year the contract is expected to be complete  
 Note: this box may require updating during the term of the project
- Box 10: **Is Prime a DBE?** Refer to DBE Directory and indicate yes or no

**Section 2: DBE Identification**

- Box 11: **DBE's FEID No.** The DBE contractor's Federal Identification Number
- Box 12: **DBE Co. Name** – Name of the DBE firm.
- Box 13: **DBE'S mailing address and phone used for project communication:** Street, city, state, zip code and full phone number of DBE
- Box 14: **NAICS / Specialty Codes:** Refer to the DBE Directory data for the DBE firm and record each of their NAICS Specialty codes (up to 6)
- Box 15: **DBE's function on this contract:** Mark the appropriate function
- Box 16: **DBE's Begin Date** – Month/day/year DBE began work on the contract
- Box 17: **If DBE is a subcontractor, identify their tier** (1<sup>st</sup> tier is directly under the prime)
- Box 18: **Name of Contractor DBE is Subordinate to:** Mark prime if first tier or indicate the name of the firm the DBE is subordinate to

STATE OF FLORIDA DEPARTMENT OF TRANSPORTATION

**Section 3: Observation of DBE's Work and Workforce**

This is a record of activity observed throughout one work day or at single time on one day.

**OBSERVATION OF WORK**

Box 19: Date observed: Month/day/year work was observed

Box 20: Observer's Name: first and last name of observer for the Department

Box 21: Description of Work Performed: brief statement of the work the DBE was seen performing.

Box 22: Foreman's name (first/last) and their employer. Ask the foreman for this information. If there is no foreman, provide the name of the individual directing the work.

Box 23: Number and type of workers (exclude the foreman) List the number and type of workers engaged in the work e.g. common, skilled, equipment operator.

Box 24: Number and type of equipment and hand tools in use Mark none or list the number and type e.g., 1-concrete vibrator, 1-water truck, 2-hammers etc.

**Box 25: OBSERVATION OF DBE'S WORKFORCE** Three questions are asked to determine if the DBE appears to be employing their own workers Mark true or false to each.

- A. Uniforms have DBE's Co. name – may also mark 'no uniforms'
- B. Only Workers/foreman of from the DBE Company are performing the work; Workers, foremen and/or superintendents of other subs or the prime not involved in the work of the DBE.
- C. DBE appears to control/supervise their own work

**Box 26: OBSERVATION OF EQUIPMENT DBE IS USING** Three questions are asked to determine if the DBE appears to have its own equipment and is not using the equipment of the prime or another subcontractor. Mark True or False

- A. Name is painted or a permanent decal –may also mark 'no name on any equipment' or 'no name on some'
- B. Name (on equipment) is the DBE's company name (box 12)
- C. DBE appears to be using their own equipment

Box 27: Observer comments: Mark 'None' or clarify data/ note concerns

**Section 4: DBE Administrative Review**

Box 28: Date Reviewed: month/day/year Section 4 is being completed

Box 29: Reviewer's Name: first and last name of person completing Section 4; usually, the RCS

Box 30: ADBEPS Amount: The dollar amount for this DBE on the most recent Anticipated DBE Participation Statement (ADBEPS)

**Box 31: OBSERVATION VS PAYROLLS, DAILY WORK REPORT & BIZWEB** Four questions are asked comparing the observation to project records. Mark true or false to each. The following records are needed for this section: DBE's payroll that includes Observation date, Daily Work Report for Observation Date, EOR screen print for payment period(s) associated with observation date.

- A. DBE's Payroll reflects no. & type of workers in #23
- B. Daily diary reflects foreman (#22) and workers (#23)
- C. Payrolls from other contractors do not include the names of the DBE's employees or the DBE's foreman
- D. Payments to DBE are in EOR System: Mark 'too close to begin date' if there are no payments. Note that payments may start 30-90 days after the DBE's begin date.

**Box 32. DBE Sublet & ADBEPS Data** Three questions are asked to determine if the DBE is doing the work intended in the sublet. Mark yes or no

- A. Observed work is included in DBE's Certified Areas: compare observed work ( box 21, 23, 24) with NAICS code description
- B. Observed work is listed on ADBEPS: Compare observed work ( box 21, 23, 24) with description on ADBEPS form
- C. The DBE has not subcontracted to other companies.

If the DBE has subcontracted to other companies, mark FALSE and name the company and indicate if that company is a DBE

**Box 33 Reviewer's Comments** Mark 'None' or clarify data/ note concerns

**Box 34: Attachments** Collect pertinent documents. Note that some, such as the Rental Agreement or Temporary Agency forms may not apply.

- Daily Work Report (from Site manager or Construction Dashboard) or Daily Report of Construction (700-010-13)
- Certification of Sublet Work involving DBE' with Schedule A (700-010-36)
- Notification for Use of Temporary Employment Agency/Day Laborers Involving DBE (275-021-15)
- EOR payment screens for months following Observation Date- including screens showing zero payment
- DBE's certified payroll/Wage and Hour record (700-010-69)
- Notice of Rental Agreements involving DBE (700-010-11)
- DBE Directory- print out of DBE's 'Profile' screen
- Photos of DBE's work on Observation date (if available)

Mark Y (yes) or NA to indicate if the document is or is not attached.

	Daily Work Report
	Certification of Sublet Work w/ Schedule A
	Notification for Use of Temporary Employment Agency
	EOR payment screens

	DBE's Certified payroll
	Notice of Rental Agreements
	DBE Directory- print out of DBE's
	Photos of DBE's work

**Section 5: Record of Report Review**

Box 35: The RCS completes box 36 – names of reviewers-Project Administrator and the District Contract Compliance Manager,

Once all data in Sections 1 through 4 are complete, submit the CUF form along with the attachments marked Y in Box 34 to the Project Administrator and then to the District Contract Compliance Manager. When the form and its attachments is returned and signed by both, retain the form and the attachments as one document package. If either party marks "More Investigation" in Box 38 coordinate a review meeting with the Project Administrator and DCCM.

STATE OF FLORIDA DEPARTMENT OF TRANSPORTATION  
**ANTICIPATED DBE PARTICIPATION STATEMENT**  
**FOR**  
**DESIGN-BUILD CONTRACTS**

275-021-23  
 EQUAL OPPORTUNITY OFFICE  
 (pending Mar. 2012)

(Page 1 of 2)

## DESIGN PORTION

1. FINANCIAL PROJECT NO.	2. F.A.P NO.	3. CONTRACT NO.	4. COUNTY(IES)	5. DISTRICT	
6. PRIME CONTRACTOR NAME			7. FEID NUMBER		
8. TOTAL CONSTRUCTION DOLLAR AMOUNT (Excluding Design)			9. REVISION? ___ IF YES, REVISION NUMBER: ___		
10. IS THE PRIME CONTRACTOR A FLORIDA CERTIFIED 'DBE'? (Disadvantaged Business Enterprise)?		<input type="checkbox"/> NO <input type="checkbox"/> YES	11. TOTAL FDOT CONTRACT DOLLAR AMOUNT (DESIGN+CONSTRUCTION) \$ _____		
<b>12. ANTICIPATED DBE SUBCONTRACTS FOR BUILD PORTION:</b>					
DBE SUBCONTRACTOR OR SUPPLIER		TYPE OF WORK, NAICS AND FDOT SPECIALTY CODE(S)	DOLLAR AMOUNT	PERCENT OF CONTRACT DOLLARS	
A	NAME:  FEID:	WORK:  NAICS CODE: SPEC CODE:			
B	NAME:  FEID:	WORK:  NAICS CODE: SPEC CODE:			
C	NAME:  FEID:	WORK:  NAICS CODE: SPEC CODE:			
D	NAME:  FEID:	WORK:  NAICS CODE: SPEC CODE:			
E	NAME:  FEID:	WORK:  NAICS CODE: SPEC CODE:			
F	NAME:  FEID:	WORK:  NAICS CODE: SPEC CODE:			
G	NAME:  FEID:	WORK:  NAICS CODE: SPEC CODE:			
H	NAME:  FEID:	WORK:  NAICS CODE: SPEC CODE:			
<b>BUILD PORTION</b>			<b>TOTAL BUILD PORTION</b>	<b>TOTAL PERCENT OF CONTRACT</b>	
<b>DESIGN PORTION</b>			<b>TOTAL DESIGN PORTION</b>	<b>TOTAL PERCENT OF CONTRACT</b>	
<b>TOTAL AMOUNT ( DESIGN + BUILD)</b>			<b>TOTAL DOLLARS TO DBE'S</b>	<b>TOTAL PERCENT OF CONTRACT</b>	

**PLEASE COMPLETE 'BUILD PORTION' ON NEXT PAGE**

STATE OF FLORIDA DEPARTMENT OF TRANSPORTATION  
**ANTICIPATED DBE PARTICIPATION STATEMENT**  
**FOR**  
**DESIGN-BUILD CONTRACTS**

275-021-23  
 EQUAL OPPORTUNITY OFFICE  
 (pending Mar. 2012)

(Page 2 of 2)

## BUILD PORTION

1. FINACIAL PROJECT NO.	2. F.A.P NO.	3. CONTRACT NO.	4. COUNTY(IES)	5. DISTRICT

6.LEAD DESIGN CONSULTANT NAME	7. FEID NUMBER

8.TOTAL DESIGN DOLLAR AMOUNT	9. REVISION? __ IF YES, REVISION NUMBER: _____

10. IS THE LEAD DESIGN CONSULTANT A FLORIDA CERTIFIED 'DBE'? (Disadvantaged Business Enterprise)?	<input type="checkbox"/> NO	
	<input type="checkbox"/> YES	

**11. ANTICIPATED DBE SUBCONTRACTS FOR DESIGN PORTION:**

	DBE SUBCONSULTANT	TYPE OF WORK, NAICS AND FDOT SPECIALTY CODE(S)	DOLLAR AMOUNT	PERCENT OF CONTRACT DOLLARS
<b>A</b>	NAME:  FEID:	WORK:  NAICS CODE: SPEC CODE:		
<b>B</b>	NAME:  FEID:	WORK:  NAICS CODE SPEC CODE:		
<b>C</b>	NAME:  FEID	WORK:  NAICS CODE SPEC CODE:		
<b>D</b>	NAME:  FEID:	WORK:  NAICS CODE SPEC CODE:		
<b>E</b>	NAME:  FEID:	WORK:  NAICS CODE SPEC CODE:		
			TOTAL DOLLARS TO DBE'S	TOTAL PERCENT OF CONTRACT
			<b>\$</b>	

**THE FOLLOWING SECTIONS ARE TO BE COMPLETED BY  
 PRIME CONSTRUCTION CONTRACTOR**

12. SUBMITTED BY	13.DATE	14. TITLE OF SUBMITTER
15. EMAIL ADDRESS OF SUBMITTER	16. FAX NUMBER	17. PHONE NUMBER

**NOTE: THIS INFORMATION IS USED TO TRACK AND REPORT ANTICIPATED DBE PARTICIPATION IN ALL STATE AND FEDERALY FUNDED FDOT CONTRACTS. THE ANTICIPATED DBE AMOUNT IS VOLUNTARY AND WILL NOT BECOME A PART OF THE CONTRACTUAL TERMS. THIS FORM MUST BE SUBMITTED AT OR BEFORE THE PRECONSTRUCTION OR PRE WORK CONFERENCE. FDOT STAFF FORWARDS THE FORM TO THE EQUAL OPPORTUNITY OFFICE.**

**THE FOLLOWING SECTIONS ARE FOR FDOT USE**

<b>DISTRICT:</b>	18. PROCESSED BY	19. DATE TO EO OFFICE	20. LETTING DATE	21. EXECUTED DATE	22. PRECON CONF DATE
	23. SUBMITTED TO EO BY	<input type="checkbox"/> FAX <input type="checkbox"/> EMAIL <input type="checkbox"/> SHARED FOLDER			

<b>EO OFFICE</b>	24. INCLUDED IN DBE PARTICIPATION REPORT OF M/D/Y	
------------------	---	--

STATE OF FLORIDA DEPARTMENT OF TRANSPORTATION  
**CONSTRUCTION CONTRACTORS  
BID OPPORTUNITY LIST**

275-030-10  
EQUAL OPPORTUNITY OFFICE  
02/08

Please complete and mail or fax to:  
Equal Opportunity Office  
605 Suwannee St., MS 65  
Tallahassee, FL 32399-0450  
TELEPHONE: (850) 414-4747  
FAX: (850) 414-4879

This information may also be included in your bid or proposal package.

---

Prime Contractor/Consultant: \_\_\_\_\_

Address/Telephone Number: \_\_\_\_\_

Bid/Proposal Number: \_\_\_\_\_

Quote Submitted MM/YR: \_\_\_\_\_

49 CFR Part 26.11 requires the Florida Department of Transportation to develop and maintain a "bid opportunity list." The list is intended to be a listing of all firms that are participating, or attempting to participate, on DOT-assisted contracts. The list must include all firms that bid on prime contracts, or bid or quote subcontracts and materials supplies on DOT-assisted projects, including both DBEs and non-DBEs. For consulting companies this list must include all subconsultants contacting you and expressing an interest in teaming with you on a specific DOT assisted project. Prime contractors and consultants must provide information for Nos.1, 2, 3 and 4 and should provide any information they have available on Numbers 5, 6, 7, and 8 for themselves, and their subcontractors and subconsultants.

1. Federal Tax ID Number: \_\_\_\_\_
2. Firm Name: \_\_\_\_\_
3. Phone: \_\_\_\_\_
4. Address: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_
5. Year Firm Established: \_\_\_\_\_

6.  DBE  
 Non-DBE
7.  Subcontractor  
 Subconsultant

8. Annual Gross Receipts  
 Less than \$1 million  
 Between \$1 - \$5 million  
 Between \$5 - \$10 million  
 Between \$10 - \$15 million  
 More than \$15 million

- 
1. Federal Tax ID Number: \_\_\_\_\_
  2. Firm Name: \_\_\_\_\_
  3. Phone: \_\_\_\_\_
  4. Address: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_
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-

STATE OF FLORIDA DEPARTMENT OF TRANSPORTATION  
**CONSTRUCTION CONTRACTORS  
BID OPPORTUNITY LIST**

275-030-10  
EQUAL OPPORTUNITY OFFICE  
02/08

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-

STATE OF FLORIDA DEPARTMENT OF TRANSPORTATION  
**CONSTRUCTION CONTRACTORS**  
**BID OPPORTUNITY LIST**

275-030-10  
EQUAL OPPORTUNITY OFFICE  
02/08

1. Federal Tax ID Number: \_\_\_\_\_
2. Firm Name: \_\_\_\_\_
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  5. Year Firm Established: \_\_\_\_\_

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STATE OF FLORIDA DEPARTMENT OF TRANSPORTATION  
**ANTICIPATED DBE PARTICIPATION ('ADBEPS') STATEMENT**

275-030-11  
 EQUAL OPPORTUNITY OFFICE  
 (pending Mar. 2012)

1. FINACIAL PROJECT NO.	2. F.A.P NO.	3. CONTRACT NO.	4. COUNTY(IES)	5. DISTRICT
6. PRIME CONTRACTOR NAME			7. PRIME's FEID NUMBER	
8. CONTRACT DOLLAR AMOUNT			9. ADBEPS REVISION? <input type="checkbox"/> NO <input type="checkbox"/> YES If yes, revision number _____	
10. IS THE PRIME CONTRACTOR A FLORIDA CERTIFIED 'DBE'? (Disadvantaged Business Enterprise)? <input type="checkbox"/> NO <input type="checkbox"/> YES		11. IS THE WORK OF THIS CONTRACT: <input type="checkbox"/> CONSTRUCTION <input type="checkbox"/> MAINTENANCE <input type="checkbox"/> OTHER		

**12. ANTICIPATED DBE SUBCONTRACTS:**

	DBE SUBCONTRACTOR OR SUPPLIER COMPANY NAME AND FEID NUMBER	TYPE OF WORK, NAICS AND FDOT SPECIALTY CODE(S)	DOLLAR AMOUNT	PERCENT OF CONTRACT DOLLARS
<b>A</b>	NAME:  FEID:	WORK:  NAICS CODE: SPEC CODE:		
<b>B</b>	NAME:  FEID:	WORK:  NAICS CODE: SPEC CODE:		
<b>C</b>	NAME:  FEID:	WORK:  NAICS CODE: SPEC CODE:		
<b>D</b>	NAME:  FEID:	WORK:  NAICS CODE: SPEC CODE:		
<b>E</b>	NAME:  FEID:	WORK:  NAICS CODE: SPEC CODE:		
			12F. TOTAL DOLLARS TO DBE'S	12G. TOTAL PERECENT OF CONTRACT

13. SUBMITTED BY	14. DATE	15. TITLE OF SUBMITTER
16. EMAIL ADDRESS OF SUBMITTER		17. FAX NUMBER
		18. PHONE NUMBER

**NOTE: THIS INFORMATION IS USED TO TRACK AND REPORT ANTICIPATED DBE PARTICIPATION IN ALL STATE AND FEDERALY FUNDED FDOT CONTRACTS. THE ANTICIPATED DBE AMOUNT IS VOLUNTARY AND WILL NOT BECOME A PART OF THE CONTRACTUAL TERMS. THIS FORM MUST BE SUBMITTED AT OR BEFORE THE PRECONSTRUCTION OR PRE WORK CONFERENCE. FDOT STAFF FORWARDS THE FORM TO THE EQUAL OPPORTUNITY OFFICE.**

**THE FOLLOWING SECTIONS ARE FOR FDOT USE**

	19. PROCESSED BY	20. DATE TO EO OFFICE	21. LETTING DATE	22. EXECUTED DATE	23. PRECON CONF DATE
DISTRICT:					
	24. SUBMITTED TO EO BY <input type="checkbox"/> FAX <input type="checkbox"/> EMAIL <input type="checkbox"/> SHARED FOLDER				

EO OFC	25. INCLUDED IN DBE PARTICIPATION REPORT OF M/D/Y			
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## DBE AFFIRMATIVE ACTION PLAN

### POLICY STATEMENT

It is the policy of \_\_\_\_\_ that disadvantaged businesses, as defined by 49 CFR **Part 26, Subpart D** and implemented under Rule Chapter 14-78, F.A.C., shall have the **opportunity** to participate as subcontractors and suppliers on all contracts awarded by the Florida Department of Transportation.

The requirements of Rule Chapter 14-78, F.A.C., shall apply to all contracts entered into between the Florida Department of Transportation and \_\_\_\_\_ .  
Subcontractors and/or suppliers to \_\_\_\_\_ will also be bound by the requirements of Rule Chapter 14-78 F.A.C.

\_\_\_\_\_, and its subcontractors shall take all necessary and reasonable steps in accordance with Chapter 14-78, F.A.C., to ensure that disadvantaged businesses have the **opportunity** to compete and perform work contracted with the Florida Department of Transportation.

\_\_\_\_\_, and its subcontractors shall not discriminate on the basis of race, color, religion, national origin, disability, sex, or age in the administration of contracts with the Department of Transportation.

\_\_\_\_\_, has designated and appointed a Liaison Officer to develop, maintain, and monitor the DBE Affirmative Action Plan implementation. The Liaison Officer will be responsible for disseminating this policy statement throughout \_\_\_\_\_ and to disadvantaged controlled businesses. The statement is posted on notice boards of the Company.

X \_\_\_\_\_, President

X \_\_\_\_\_  
Date

## **I. DESIGNATION OF LIAISON OFFICER**

\_\_\_\_\_ will aggressively recruit disadvantaged businesses as subcontractors and suppliers for all contracts with the Florida Department of Transportation. The Company has appointed a Liaison Officer to develop and maintain this Affirmative Action Plan in accordance with the requirements of Rule Chapter 14-78, F.A.C.

The Liaison Officer will have primary responsibility for developing, maintaining, and monitoring the Company's utilization of disadvantaged subcontractors in addition to the following specific duties:

- (1) The Liaison Officer shall aggressively solicit bids from disadvantaged business subcontractors for all Florida Department of Transportation contracts;
- (2) The Liaison Officer will submit all records, reports, and documents required by the Florida Department of Transportation, and shall maintain such records for a period of not less than three years, or as directed by any specific contractual requirements of the Florida Department of Transportation.

The following individual has been designated Liaison Officer with responsibility for implementing the Company's affirmative action program in accordance with the requirements of the Florida Department Transportation.

(Liaison Officer's Name)  
(Your Company's Name)  
(Your Company's Address)  
(Phone Number for Liaison Officer)  
(Enter FEIN or Tax Id Number)

## **II. AFFIRMATIVE ACTION METHODS**

In order to formulate a realistic Affirmative Action Plan, \_\_\_\_\_ has identified the following known barriers to participation by disadvantaged subcontractors, before describing its proposed affirmative action methods:

1. Lack of qualified disadvantaged subcontractors in our specific geographical areas of work;
2. Lack of certified disadvantaged subcontractors who seek to perform Florida Department of Transportation work;
3. Lack of interest in performing on Florida Department of Transportation contracts;
4. Lack of response when requested to bid;
5. Limited knowledge of Florida Department of Transportation plans and specifications to prepare a responsible bid.

In view of the barriers to disadvantaged businesses stated above, it shall be the policy of \_\_\_\_\_ to provide opportunity by utilizing the following affirmative action methods to ensure participation on the contracts with the Florida Department of Transportation. \_\_\_\_\_ will:

1. Provide written notice to all certified DBE subcontractors in the geographical area where the work is to be subcontracted by the Company;
2. Advertise in minority focused media concerning subcontract opportunities with the Company;
3. Select portions of work to be performed by DBEs in order to increase the likelihood of meeting contract goals (including, where appropriate, breaking down contracts into economically feasible units to facilitate DBE participation);

4. Provide adequate information about the plans, specifications, and requirements of the contract, not rejecting subcontractors without sound reasons based on a thorough investigation of their capabilities;
5. Waive requirements of performance bonds where it is practical to do so;
6. Attend pre-bid meetings held by the Florida Department of Transportation to apprise disadvantaged subcontractors of opportunities with the Company;
7. Follow up on initial solicitations of interest to DBE subcontractors to determine with certainty whether the DBE company is interested in the subcontract opportunity.

\_\_\_\_\_ understands that this list of affirmative action methods is not exhaustive and will include additional approaches after having established familiarity with the disadvantaged subcontracting community and/or determined the stated approaches to be ineffective.

### **III. IMPLEMENTATION**

On contracts with specific DBE goals, \_\_\_\_\_ will make every effort to meet contract goals as stated by utilizing its affirmative action methods. On projects with no specific goals, the Company will, as an expression of good faith, seek to utilize DBE subcontractors where work is to be subcontracted.

### **IV. REPORTING**

\_\_\_\_\_ shall keep and maintain such records as are necessary to determine the Company's compliance with its DBE Affirmative Action Plan.

The Company will design its record keeping system to indicate:

1. The number of DBE subcontractors and suppliers used by the Company, identifying the items of work, materials and services provided;
2. The efforts and progress being made in obtaining DBE subcontractors through local and community sources;
3. Documentation of all contracts, to include correspondence, telephone calls, newspaper advertisements, etc., to obtain DBE participation on all Florida Department of Transportation projects;
4. **The Company shall comply with Florida Department of Transportation's requirements regarding payments to subcontractors including DBEs for each month (estimate period) in which the companies have worked.**

### **V. DBE DIRECTORY**

\_\_\_\_\_ will utilize the DBE Directory published by the Florida Department of Transportation.

The Company will distribute Form Number 275-030-01, Schedule A Certification Form Number 1, to potential DBE contractors and assist in their completion.

STATE OF FLORIDA DEPARTMENT OF TRANSPORTATION  
**ANTICIPATED DBE PARTICIPATION STATEMENT ('ADBEPS')**  
**LOCAL AGENCY PROGRAM**

275-030-12  
 EQUAL OPPORUTNITY OFFICE  
 (pending Mar. 2012)

1. FDOT LAP AGREEMENT #	2. FINANCIAL PROJECT #	3. FDOT LAP AGREEMENT AMOUNT (\$)	4. LOCAL AGENCY'S CONTRACT # WITH PRIME
5. LOCAL AGENCY NAME		6. PRIME CONTRACTOR NAME	
			7. FEID NUMBER OF PRIME
8. CONTRACT DOLLAR AMOUNT WITH PRIME			9. FEID NUMBER OF LOCAL AGENCY
10. IS THE PRIME CONTRACTOR A FLORIDA CERTIFIED 'DBE'? (Disadvantaged Business Enterprise?) <input type="checkbox"/> NO <input type="checkbox"/> YES		11. IS THE WORK OF THIS CONTRACT: <input type="checkbox"/> CONSTRUCTION <input type="checkbox"/> MAINTENANCE <input type="checkbox"/> OTHER	

12. ADBEPS REVISON?  NO  YES If yes, revision number \_\_\_\_\_

**13. ANTICIPATED DBE SUBCONTRACTS:**

	DBE SUBCONTRACTOR OR SUPPLIER COMPANY NAME AND FEID NUMBER	TYPE OF WORK, NAICS AND FDOT SPECIALTY CODE(S)	DOLLAR AMOUNT	PERCENT OF CONTRACT DOLLARS
<b>A</b>	NAME:  FEID:	WORK:  NAICS CODE: SPEC CODE:		
<b>B</b>	NAME:  FEID:	WORK:  NAICS CODE: SPEC CODE:		
<b>C</b>	NAME:  FEID:	WORK:  NAICS CODE: SPEC CODE:		
<b>D</b>	NAME:  FEID:	WORK:  NAICS CODE: SPEC CODE:		
<b>E</b>	NAME:  FEID:	WORK:  NAICS CODE: SPEC CODE:		
			12F TOTAL DOLLARS TO DBE'S	12G TOTAL PERCENT OF CONTRACT

**SECTION TO BE FILLED BY PRIME CONTRACTOR**

14. SUBMITTED BY	15. DATE	16. TITLE OF SUBMITTER
17. EMAIL ADDRESS OF PRIME CONTRACTOR SUBMITTER		18. FAX NUMBER
		19. PHONE NUMBER

**SECTION TO BE FILLED BY LOCAL AGENCY**

20. SUBMITTED BY	21. DATE	22. TITLE OF SUBMITTER
23. EMAIL ADDRESS OF SUBMITTER		24. FAX NUMBER
		25. PHONE NUMBER

**NOTE: THIS INFORMATION IS USED TO TRACK AND REPORT ANTICIPATED DBE PARTICIPATION IN ALL STATE AND FEDERALY FUNDED FDOT CONTRACTS. THE ANTICIPATED DBE AMOUNT IS VOLUNTARY AND WILL NOT BECOME A PART OF THE CONTRACTUAL TERMS. THIS FORM MUST BE SUBMITTED AT OR BEFORE THE PRECONSTRUCTION. FDOT STAFF FORWARDS THE FORM TO THE EQUAL OPPORTUNITY OFFICE.**

**THE FOLLOWING SECTIONS ARE FOR FDOT USE**

DISTRICT:	26. PROCESSED BY	27. DATE TO EO OFFICE	28. EXECUTED DATE (LAP AGREEMENT)	29. EXECUTED DATE BETWEEN LOCAL AGENCY & PRIME	30. PRECON CONF DATE
	31. SUBMITTED TO EO BY <input type="checkbox"/> FAX <input type="checkbox"/> EMAIL <input type="checkbox"/> SHARED FOLDER				
EO OFC	32. INCLUDED IN DBE PARTICIPATION REPORT OF M/D/Y				



STATE OF FLORIDA DEPARTMENT OF TRANSPORTATION

**TRUCKER OBSERVATION & VERIFICATION**

**SECTION 1: PROJECT IDENTIFICATION**

1. Financial Project No.	2. F.A.P. No.	3. Contract No.	4. County	5. District
6. Prime Contractor Name		7. FEID No.		

**SECTION 2: TRUCKING FIRM IDENTIFICATION**

8. What is the name of the Trucking company as shown on a subcontract, rental agreement or purchase order?

9. On this contract, what is the arrangement for this trucking firm?

<input type="checkbox"/> Not known	<input type="checkbox"/> Subcontractor Subordinate to:	<input type="checkbox"/> Purchase order Initiated by:	<input type="checkbox"/> Rental Agreement Lessee:
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**SECTION 3: IDENTIFICATION OF TRUCK DRIVER (TD) & TRUCK OWNERSHIP**

OBSERVER	10. Date Observed			11. Observer's Name (print first/last)	
	12. Vehicle Tag #	13. Tag's State <input type="checkbox"/> Florida <input type="checkbox"/> _____	14. Truck USDOT/ Permit #	15. Company Name displayed on the Truck	16. How is name displayed? <input type="checkbox"/> removable <input type="checkbox"/> permanent <input type="checkbox"/> other _____
DRIVER	17. Name on driver's license (first/last)		18. Type of CDL License <input type="checkbox"/> Class A <input type="checkbox"/> Class C		19. State issuing License <input type="checkbox"/> FL <input type="checkbox"/> _____
OWNER	20. Owner's Name on Registration <input type="checkbox"/> same as #17		21. Vehicle description, make & year		
MATERIAL IN TRUCK	22. Describe the material being hauled				
23. ACTIVITY	<input type="checkbox"/>	(a) Working within the project limits	<input type="checkbox"/>	(d) From Commercial Plant/pit to Project (skip to 4C)	
	<input type="checkbox"/>	(b) Hauling within the project limits	<input type="checkbox"/>	(e) Haul from Project to commercial plant/pit (skip to 4C)	
	<input type="checkbox"/>	(c) From/to Project from/to dedicated or adjacent facility	<input type="checkbox"/>	(f) Haul from project to some other place (skip to 4C)	
	<input type="checkbox"/>		<input type="checkbox"/>	(g) Supplier- drop off & go (skip to 4C)	

**SECTION 4: ADMINISTRATIVE REVIEW**

P P R A O Y P R E O R L	<b>SECT. 4A</b> VALID OWNER OPERATOR (O-O)	24. Date Reviewed	25. Reviewer's Name (print first/last)
		26. Does the TD qualify as an Owner-Operator (box 17 = box 20)? <input type="checkbox"/> No -Go to Sect 4B <input type="checkbox"/> Yes -Go to # 27	
	If 23 (d),(e),(f) or (g) is checked Skip Sect 4B; Go to Sect .4C	<b>SECT. 4B</b> DRIVER IS NOT AN OWNER OPERATOR; DRIVER IS EMPLOYEE OF A COMPANY	27. If #26 Yes, is the TD's name (box 17) on a payroll for the observed date (box 10) with full name and 'Owner Operator' noted-(no other pay details required) <input type="checkbox"/> No -issue Notice of Non Compliance <input type="checkbox"/> Yes -Go to Sect.4C
28. Did Company in box 8 submit a payroll for a week that includes the date observed (box 10)? <input type="checkbox"/> No-a payroll including date observed was not received. Issue Notice for Non Receipt of Payroll. Go to Sect. 4C <input type="checkbox"/> Yes-Go to #29			
29. If #28 Yes, is the TD named in box 17 included on the payroll for the day observed (box 10)? <input type="checkbox"/> No- not listed for date observed. Issue Payroll Violation code 7. Go to Sect. 4C <input type="checkbox"/> Yes-Go to #30			
30. Is the correct TD classification shown (box 21) and is their payroll record complete and accurate? <input type="checkbox"/> No: improper classification and/or other errors. Issue Payroll Viol. Go to Sect. 4C <input type="checkbox"/> Yes-Go to Sect 4C.			
D C B R E E D I T	<b>SECT. 4C</b> IS SUBCONTRACTOR OR OWNER OPERATOR A DBE?	31. Is the Co. ( box 8) or owner ( box 20) reported as a DBE in the FDOT DBE Directory? <input type="checkbox"/> No <input type="checkbox"/> Yes-Go to #32	
		32. Is the Co. (Box 8) or owner (box 20) on the ADBEPS? <input type="checkbox"/> No- contact prime to update ADBEPS <input type="checkbox"/> Yes-Go to #33	
		33. Is a payment recorded for this company (box 8) or /owner (box 20) in the EOR System? <input type="checkbox"/> No- contact prime <input type="checkbox"/> Yes (end)	

## State of Florida Department of Transportation Trucker Observation and Verification

### General:

- The purpose of this form is to record the driver and owner of a truck on the project, determine if payroll is properly submitted for the driver, and determine if the trucking activity should be included in the DBE utilization.
- An observer, usually an inspector, records information regarding the truck and then stops the truck and asks the driver to produce their driver's license and vehicle registration.

### Form Preparation:

- The RCS completes Sections 1 and 2 and gives the form to an observer (usually an inspector) who will go to the project site to observe and record data. The observer completes Section 3 and returns the form to the RCS. The RCS completes Section 4 once payrolls are received for the week that includes the observation date.

### Field Observation:

- An observer (usually an inspector or another FDOT representative who goes to the project site) completes Section 3 of the form based on their actual observation of the truck and the documents produced by the driver
- The observer returns the completed form to the RCS.

### Administrative Review:

- This section has two distinct purposes: Sections 4A & 4B are completed once certified payrolls for the date observed are received.
  - Section 4A and 4B confirm if the truck driver's payroll record was properly received if they were determined to be an owner operator (section 4A) of an employee (section 4B)
  - Section 4C determines if the trucking company or the owner operator are certified FDOT DBE's listed as such in the FDOT DBE directory. If a certified DBE, they are included in the Anticipated DBE participation statement and payments are recorded in EOR system

### Section 1: Project Identification (completed by RCS)

**Box 1: Fin. Project No.** – The Financial Project Number

**Box 2: F.A.P. No.** – The Federal Aid Project Number assigned to federally funded projects. Leave Blank or insert N/A when training is performed on state funded projects.

**Box 3: Contract No.** - The project contract number

**Box 4: County** – County or counties project work is being performed in

**Box 5: District** – The Department's District Number Designation for this project.

**Box 6: Prime Contractor Name** – The name of the prime contractor.

**Box 7: FEID No.** – The contractor's Federal Identification Number

### Section 2: Trucking Firm Identification

**Box 8: What is the name of the Trucking Company as shown on a subcontract, rental agreement Or purchase order?** Complete this based on project records (sublet, rental agreement or purchase order)

**Box 9: On this contract, what is the arrangement for this trucking firm?** Check one: If the trucking firm is a subcontractor, indicate who they are subordinate to; if a Purchase order, state who initiated it or if a Rental, indicate the Lessee.

### Section 3: Identification of Truck Driver and Truck Ownership

This section is completed at the project site by an observer, usually the inspector. The operation of the truck is observed to determine its markings, materials and operation and then the observer approaches the driver and asks to see the driver's license and vehicle registration.

#### OBSERVER INFORMATION

**Box 10: Date Observed-** Month/day/year of this observation

**Box 11: Name of Observer** (first/last) - First and Last name of person doing the observation

#### TRUCK INFORMATION- Based on observation of vehicle

**Box 12: Vehicle Tag #** – Enter the number as displayed on the trucks' license plate

**Box 13: Tag's State** – e State issuing the license tag. Check Florida or indicate name of issuing state

**Box 14: Truck's USDOT #/Permit No.-** Enter USDOT No. or permit no; usually on exterior of the truck door(s).

**Box 15: Company name displayed on the Truck** – Record the company name on the truck

**Box 16: How is name displayed** – Check appropriate box or state other method

**DRIVER INFORMATION- based on license produced by the driver**

**Box 17: Name on Driver's License (first/last)** – Record the driver's name as it is shown on their Driver's License

**Box 18: Type of CDL Driver License** – Check class of license shown on the license. **NOTE:** If the trucker is improperly licensed, the observer is to notify the Project Administrator for communication to the Prime Contractor,

**Box 19: State Issuing License** –Check Florida or indicate name of issuing state

**OWNER INFORMATION- based on vehicle registration produced by the driver**

**Box 20: Owner's Name on Registration:** full name as shown on registration; may be a company or an individual. Mark 'same as #17' if registration name and driver's license names are identical with no variation.

**Box 21: Vehicle Description, Make & Year** – Enter a description of the vehicle (type of truck, number of axles) and the Make & year as shown on the vehicle registration

**MATERIAL HAULED**

**Box 22: Describe the Material being hauled** – Enter the material the truck is hauling (asphalt, pipe, debris, etc.)

**23. ACTIVITY**

Chose (a) to (g) that best describes the hauling activity. **NOTE: 'Skip to 4C' Is instructions for the person completing Section 4, Administrative Review** – More information regarding these hauling activities is in the EEO Construction Contract Compliance Workbook, Table1.7.4.1.

**Section 4: Administrative Review**

**GENERAL: For each question, check YES or NO and then follow the directions provided thereafter**

**Box 24: Date of Administrative review;** occurs after receipt of certified payrolls for the date observed (Box 10). **Note:** The reviewer, upon receipt of the form from the observer, should immediately confirm that data in Section 3 is complete and understandable. The Administrative review is completed week(s) later.

**Box 25: First and last name of person completing the Administrative review section;** usually an RCS.

**PROPER PAYROLLS:**

Complete this section once payrolls have been received for the week that includes the Observation Date (Box 10)

The "PROPER PAYROLL" has two parts:

4A is for payroll verification of owner operators

4B is for payroll verification of a drivers who is an employee of a company

If #23(e), (f) or (g) is checked, SKIP "PROPER PAYROLL 4A and 4B" and GO TO 4C

**SECTION 4A: VALID OWNER-OPERATOR (O-O)**

**Box 26: Does the Truck Driver (TD) qualify as an Owner-Operator ( Box 17=Box 20)?** The driver is an owner operator if the drivers' full name as shown in box 17 is equal to/the same as the name of the vehicle's owner as shown in box 20.

**Box 27. If #26 yes, is the TD's name (box 17) on a payroll for the observed date (box 10) with full name And 'Owner Operator' noted-(no other pay details required)**

**SECTION 4B: DRIVER IS NOT AN OWNER OPERATOR; EMPLOYEE OF A COMPANY**

**Box 28: Did Company in box 8 submit a payroll for a week that includes the date observed (box 10)?**

**Box 29: If #28 yes, is the TD named in box 17 included on the payroll for the day observed (box 10)?**

**Box 30: Is the correct TD classification shown (box 21) and is their payroll record complete/ accurate?**

**DBE CREDIT:**

Complete this section to determine if the company or owner operator is a certified DBE and if so, is properly listed on the Anticipated DBE Participation Statement (FDOT FORM 275-030-11A or 275-030-12) and payments to the DBE are recorded in the Equal Opportunity Reporting System ('EORS')

**SECTION 4C: IS SUBCONTRACTOR OR OWNER OPERATOR A DBE**

**Box 31: Is the Co. (Box 8) or owner (Box 20) reported as a DBE in the FDOT DBE Directory?**

**Box 32: Is the Co. (Box 8) or owner (Box 20) on the ADBEPS?**

**Box 33: Is a payment recorded for this company (box 8) or /owner (box 20) in the EOR System?**