

During the site visit, ask the recipient if any DBEs have been terminated or substituted on contracts with DBE goals. Review documentation related to removals of DBEs on contracts with DBE contract goals to determine if the following process was followed:

- The prime contractor notified the DBE (with a copy of the notice to the recipient) in writing of its intent to request substitution or termination and allowed the DBE five days to respond.
- The recipient granted the request for substitution or termination.
- The recipient required the prime contractor to make good faith efforts to find another DBE subcontractor to substitute for the original DBE.
- If the recipient requested documentation under this provision, the contractor submitted the documentation within 7 days, which may be extended for an additional 7 days if necessary, at the request of the contractor; and the recipient provided a written determination to the contractor stating whether or not good faith efforts have been demonstrated.

POTENTIAL DEFICIENCY DETERMINATIONS

The recipient is deficient if it does not have documentation of monitoring contractors and enforcing contract requirements to ensure that DBE commitments are met.

DEFICIENCY CODE DBE12-1: Insufficient documentation of monitoring DBE compliance of contractors

SUGGESTED CORRECTIVE ACTION: The recipient must submit documentation that it has updated the DBE program to reflect current monitoring procedures for contractors, along with evidence of implementation.

The recipient is deficient if it does not have documentation of monitoring that DBEs are actually performing work as detailed in contract documents.

DEFICIENCY CODE DBE12-2: Insufficient documentation of monitoring DBE work

SUGGESTED CORRECTIVE ACTION: The recipient must submit documentation that it has updated its DBE program to include a monitoring process and/or evidence of how it has implemented the monitoring process to ensure that DBEs are actually performing the stated work.

The recipient is deficient if it does not have documentation of written certifications of monitoring.

DEFICIENCY CODE DBE12-3: Insufficient documentation of written certifications of DBE monitoring

SUGGESTED CORRECTIVE ACTION: The recipient must submit evidence that it has implemented a process for making written certifications of monitoring.

The recipient is deficient if it does not have and/or has not implemented an active monitoring and enforcement process for compliance with prompt payment and prompt return of retainage.

DEFICIENCY CODE DBE12-4: Recipient not ensuring prompt payment

SUGGESTED CORRECTIVE ACTION: The recipient must submit documentation of a monitoring and enforcement process to ensure prompt payment and evidence of its efforts to ensure compliance with prompt payment and return of retainage requirements.

The recipient is deficient if it does not have documentation that, for contracts with a DBE goal, it is correctly implementing the required procedures for providing written consent to contractors requesting termination/substitution of a DBE after contract award.

DEFICIENCY CODE DBE12-5: Recipient does not implement DBE termination/substitution provisions

SUGGESTED CORRECTIVE ACTION: The recipient must submit procedures for ensuring good cause and due process provisions for termination or substitution of DBEs.

GOVERNING DIRECTIVE

49 CFR 26.37(b)

A recipient's DBE program must also include a monitoring and enforcement mechanism to ensure that work committed, or in the case of race-neutral participation, the work subcontracted, to all DBEs at contract award or subsequently is performed by the DBEs to which the work was committed or subcontracted to, and such work is counted according to the requirements of § 26.55. This mechanism must include a written verification that you have reviewed contracting records and monitored the work site to ensure the counting of each DBE's participation is consistent with its function on the contract. The monitoring to which this paragraph (b) refers may be conducted in conjunction with monitoring of contract performance for other purposes such as a commercially useful function review.

49 CFR 26.29

(a) You must establish, as part of your DBE program, a contract clause to require prime contractors to pay subcontractors for satisfactory performance of their contracts no later than 30 days from receipt of each payment you make to the prime contractor.

(b) You must ensure prompt and full payment of retainage from the prime contractor to the subcontractor within 30 days after the subcontractor's work is satisfactorily completed. You must use one of the following methods to comply with this requirement: (1) You may decline to hold retainage from prime contractors and prohibit prime contractors from holding retainage from subcontractors. (2) You may decline to hold retainage from prime contractors and require a contract clause obligating prime contractors to make prompt and full payment of any retainage kept by prime contractor to the subcontractor within 30 days after the subcontractor's work is satisfactorily completed. (3) You may hold retainage from prime contractors and provide for prompt and regular incremental acceptances of portions of the prime contract, pay retainage to prime contractors based on these acceptances, and require a contract clause obligating the prime contractor to pay all retainage owed to the subcontractor for satisfactory completion of the accepted work within 30 days after your payment to the prime contractor.

(d) Your DBE program must include the mechanisms you will use for proactive monitoring and oversight of a prime contractor's compliance with subcontractor prompt payment and return of retainage requirements in this part. Reliance on complaints or notifications from subcontractors about a contractor's failure to comply with prompt payment and retainage requirements is not a sufficient monitoring and oversight mechanism.

49 CFR 26.53(f)

- (1) (i) You must require that a prime contractor not terminate a DBE or any portion of its work listed in response to paragraph (b)(2) of this section (or an approved substitute DBE firm per paragraph (g) of this section) without your prior written consent, unless you cause the termination or reduction. A termination includes any reduction or underrun in work listed for a DBE not caused by a material change to the prime contract by the recipient. This requirement applies to instances that include, but are not limited to, when a prime contractor seeks to perform work originally designated for a DBE subcontractor with its own forces or those of an affiliate, a non-DBE firm, or with another DBE firm.
- (2)) You may provide such written consent only if you agree, for reasons stated in your concurrence document, that the prime contractor has good cause to terminate the listed DBE or any portion of its work.
- (4) Before transmitting to you its request to terminate a DBE subcontractor or any portion of its work, the prime contractor must give notice in writing to the DBE subcontractor, with a copy to you sent concurrently, of its intent to request to terminate and the reason for the proposed request.
- (5) The prime contractor must give the DBE five days to respond to the prime contractor's notice and advise you and the contractor of the reasons, if any, why it objects to the proposed termination of its subcontract and why you should not approve the prime contractor's action. If required in a particular case as a matter of public necessity (e.g., safety), you may provide a response period shorter than five days.
- (6) In addition to post-award terminations, the provisions of this section apply to preaward deletions of or substitutions for DBE firms put forward by offerors in negotiated procurements.

DBE13. Does the recipient implement DBE certification standards and procedures in accordance with the DBE regulation?

BASIC REQUIREMENT

If recipients certify DBEs as a part of their state's UCP, they must use the correct forms, evaluate personal net worth of the owner(s), conduct site visits, make determinations timely, enter complete information into the UCP directory, and ensure that staff is trained.

APPLICABILITY

Recipients that certify DBEs

DETAILED EXPLANATION FOR REVIEWER

The correct instructions, forms, and document checklist to be used for DBE certification are located at US DOT's website. Certifying recipients are to use these documents unmodified unless modifications were approved by US DOT. Recipients are not to request PNW forms from owners that are not claiming social

and economic disadvantage, nor should they request PNW forms from persons who are not listed as comprising 51 percent or more of the ownership percentage of the applicant firm.

A site visit to the firm's principal place of business must be conducted. Site visits to job sites must be conducted if there are such sites on which the firm is working at the time of the eligibility investigation in the recipient's local area. If the DBE is located out of state, the recipient must obtain evidence that a certification site visit was conducted prior to the initial certification.

NOTE TO REVIEWER: Virtual site visits are permissible.

Determinations on certification applications received must be made within required timeframes from the date of receiving a complete application package; 90 days for initial home state certification and 60 days for interstate certification.

The UCP DBE directory must list each type of work for which a firm is eligible to be certified by using the most specific North American Industry Classification System (NAICS) code available to describe each type of work.

Recipient personnel that make certification determinations must successfully complete DBE certification web-based training provided by the National Highway Institute.

INDICATORS OF COMPLIANCE

- a. *Does the recipient use the Uniform Certification Application Form issued by the US DOT in October 2014, including the instructions and document checklist?*
- b. *Does the recipient use the required personal net worth (PNW) form issued by the US DOT in October 2014? If supplemental forms are used, were they approved by the concerned operating administration?*
- c. *Prior to making an initial certification for in-state applicants, does the recipient conduct site visits to the applicant firm's principal place of business and to a jobsite (if jobsite is in local area)?*
- d. *Within 30 days of receiving a new DBE application for an in-state firm, does the recipient notify the applicant that their application package is either complete or identify missing elements?*
- e. *Does the recipient make determinations on new in-state applications within 90 days of receiving a complete application package?*
- f. *Does the recipient make determinations on new interstate applications within 10 days of receiving a complete application package?*
- g. *If the recipient enters information directly into the UCP directory, does it include the North American Industry Classification System (NAICS) codes of DBEs in the UCP directory?*
- h. *Have the certifying staff completed required training?*

INSTRUCTIONS FOR REVIEWER

Review the State's Unified Certification Program (UCP) website to determine which entities within the state certify DBEs for the UCP.

Review the recipient's and/or its state's UCP website to:

- Verify that the application form available at <https://transportation.gov/DBEFORMS> is being used for initial (not interstate) certifications. During the site visit, review two certification files submitted and reviewed within the past year to verify that the correct application form was used.
- Verify that the PNW form available at <https://transportation.gov/DBEFORMS> is being used for initial (not interstate) certifications. During the site visit, review two certification files submitted and reviewed within the past year to verify that the correct PNW form was used.

During the site visit, review two recently completed initial certification files to verify that:

- onsite visits were conducted,
- the recipient responds to each applicant within 30 days from receipt of the application whether the application is complete and suitable for evaluation or what additional information or action is required, and
- after the recipient receives all the information required under 49 C.F.R. part 26, it makes decisions on applications for certification within 90 days.

During the site visit, review two recently completed initial certification files for interstate firms to verify that the recipient is making a certification decision on interstate applicants within 10 days of receiving the application.

In the case of both certification and interstate certifications, the response timelines are triggered only after an applicant has submitted all necessary information. It is important that a UCP document when it has received all the information from the applicant. The date of receipt should be recorded as the date the UCP physically or electronically receives the application, not when the UCP first reviews the application.

Each UCP must make the required changes to the existing UCP directory within 180 days after the effective date of the Final Rule or by November 5, 2024. However, UCPs should begin making changes as soon as practicable to ensure that the deadline is met. The statewide directory must be made available to the public electronically, on the Internet, and must allow the public to search and/or filter for the required data fields: (firm name, location, NAICS codes, and website) in addition to the types of work a firm seeks to perform. At their discretion, UCPs may ask firms to provide a link to their company websites and include relevant information they would like prime contractors to access.

UCP directories must clearly indicate those firms which are eligible only for counting on FAA-assisted contracting, since the adjusted DOT gross receipts cap set forth in § 26.65 (b) of Part 26 does not apply to the determination of a firm's eligibility for participation in FAA-assisted contracting. DBE firms working on FAA-assisted projects must meet the SBA size standards appropriate to the type of work based solely on the applicable NAICS code(s) standards

Review the UCP directory to determine if NAICS codes are included in the directory. Each state's UCP directory is available online. If the recipient enters information into the directory, during the site visit, review two recently completed certification files to verify that the recipient entered the correct NAICS codes into the UCP directory. During the certification application, an applicant firm selects which NAICS codes apply to their case. During their review, certifiers determine which NAICS codes the firm is certified for, which may be different than those requested by the applicant. The eligibility letter that is sent to a certified DBE should include those NAICS codes and should be reflected in the UCP directory.

Reviewers are to locate the firms' information in the directory and verify that all NAICS codes approved by certifiers have been included in the firms' descriptions.

Confirm that certification staff have taken the DBE/ACDBE Certification Training. This training is required for all staff that certify DBE businesses. Current staff must take the 9-module course prior to December 31, 2019. If hired after that date, verify new staff have taken the training. The course is available online [through](#) the National Highway Institute.

POTENTIAL DEFICIENCY DETERMINATIONS

The recipient is deficient if it does not require the use of the correct DBE certification application form.

DEFICIENCY CODE DBE13-1: Recipient does not use correct DBE certification application form

SUGGESTED CORRECTIVE ACTION: The recipient must submit evidence that it is using the correct certification forms.

The recipient is deficient if it does not require the use of the correct PNW form.

DEFICIENCY CODE DBE13-2: Recipient does not use correct DBE PNW form

SUGGESTED CORRECTIVE ACTION: The recipient must submit evidence that it is using the correct PNW forms.

The recipient is deficient if it does not conduct onsite visits prior to determining DBE eligibility and certification of applicants.

DEFICIENCY CODE DBE13-3: Recipient does not conduct onsite visits

SUGGESTED CORRECTIVE ACTION: The recipient must submit evidence that it documents the results of onsite visits conducted for applicants prior to making a determination of DBE eligibility.

The recipient is deficient if it enters information directly into the UCP directory and does not include correct NAICS codes in the UCP directory.

DEFICIENCY CODE DBE13-4: DBE directory does not include correct NAICS codes

SUGGESTED CORRECTIVE ACTION: The recipient must submit evidence that it is correctly entering NAICS code information into the UCP directory.

The recipient is deficient if it fails to review and respond to certification applications within the regulatory timeframes.

DEFICIENCY CODE DBE13-5: UCP does not perform timely review of certification applications

SUGGESTED CORRECTIVE ACTION: The recipient must develop procedures to track and perform timely review and response to DBE certification applications and submit evidence that it is implementing a timely review.

The recipient is deficient if it failed to train all certifying staff prior to December 31, 2019, or if it fails to require new staff are trained prior to reviewing certification applications.

DEFICIENCY CODE DBE13-6: UCP staff not trained

SUGGESTED CORRECTIVE ACTION: The recipient must submit certifications that staff have completed the 9-module DBE/ACDBE certification course available online through the National Highway Institute.

GOVERNING DIRECTIVE

49 CFR 26.81(g)

Each UCP must maintain a unified DBE directory containing, for all firms certified by the UCP (including those from other States certified under the provisions of this part), the information required by § 26.31. The UCP must make the directory available to the public electronically, on the internet. The UCP must update the electronic version of the directory by including additions, deletions, and other changes as soon as they are made

49 CFR 26.83(c)(2)

You must use the application form available at <https://transportation.gov/DBEFORMS> without change or revision. However, you may provide in your DBE program, with the written approval of the concerned operating administration, for supplementing the form by requesting specified additional information not inconsistent with this part.

49 CFR 26.67(a)(2)(ii)

You must require each individual who makes this certification to support it with a signed, notarized statement of personal net worth, with appropriate supporting documentation. To meet this requirement, you must use the DOT personal net worth form provided in Appendix G to this part without change or revision.

Where necessary to accurately determine an individual's personal net worth, you may, on a case-by-case basis, require additional financial information from the owner of an applicant firm (e.g., information concerning the assets of the owner's spouse, where needed to clarify whether assets have been transferred to the spouse or when the owner's spouse is involved in the operation of the company). Requests for additional information shall not be unduly burdensome or intrusive.

49 CFR 26.83(c)(1)(i)

A certifier must visit the firm's principal place of business, virtually or in person, and interview the SEDO, officers, and key personnel. The certifier must review those persons' résumés and/or work histories. The certifier must maintain a complete audio recording of the interview. The certifier must also visit one or more active job sites (if there is one). These activities comprise the "on-site review" (OSR), a written report of which the certifier must keep in its files. 49 CFR 26.83(k)

The certifier must advise each applicant within 30 days of filing whether the application is complete and suitable for evaluation and, if not, what additional information or action is required.

49 CFR 26.83(l)

As a recipient or UCP, you must advise each applicant within 30 days from your receipt of the application whether the application is complete and suitable for evaluation and, if not, what additional information or action is required.

49 CFR 26.85(d)

Confirmation of eligibility. Within 10 business days of receiving the documents required under paragraph (c) of this section, the additional UCP must confirm the certification of the DBE preferably by reference to the UCP directory of the JOC.

49 CFR 26.85

Certification. If the DBE fulfills the requirements of paragraph (c) of this section and the UCP confirms the DBE's certification per paragraph (d) of this section, the UCP must certify the DBE immediately without undergoing further procedures and provide the DBE with a letter documenting its certification.

49 CFR 26.31(b)

You must list each type of work a DBE and/or ACDBE is eligible to perform by using the most specific NAICS code available to describe each type of work the firm performs. Pursuant to § 26.73(a), your directory must allow for NAICS codes to be supplemented with specific descriptions of the type(s) of work the firm performs.

USDOT DBE Guidance (08/22/2018)

What steps should a UCP take to ensure that its DBE/ACDBE certification application review staff are properly trained? (Posted 08/22/2018)

- A UCP is responsible for ensuring and documenting the following:
 - The current certification application-review staff successfully complete all nine of the certification training modules provided by DOCR before they begin to review certification applications.
 - The current certification application-review staff view DOCR's "Recorded Presentation of the Rule," which describes changes to the DBE rules instituted through the DOT final rule issued October 2, 2014 (found at <https://www.transportation.gov/civil-rights/disadvantaged-business-enterprise/dbe-laws-policy-and-guidance>) before they begin to review certification applications.
 - The current certification application-review staff complete all new, revised, or updated training modules or materials when DOCR makes them available through its website.
 - Keeping accurate training records for all certification application-review staff.
- UCP Staff who have not documented their completion of the mandatory training and viewing of the "Recorded Presentation of the Rule," should not be permitted to review certification applications.

DBE14. Does the recipient perform oversight of its subrecipients for compliance with the DBE regulation?

BASIC REQUIREMENT

The recipient is responsible for ensuring that its subrecipients award and administer FTA-funded contracts in accordance with the requirements in 49 CFR Part 26 and 2 CFR Part 200.

APPLICABILITY

All recipients that have subrecipients

DETAILED EXPLANATION FOR REVIEWER

When a recipient passes through funding to a subrecipient, DBE requirements may apply to the subrecipient. Typically, this requirement would apply to any subrecipient which performs primary project activities normally performed by the recipient directly. In such circumstances, the subrecipient should meet Federal requirements contained in the FTA Master Agreement, including DBE. Furthermore, a recipient needs to have a mechanism in place to ensure subrecipient compliance.

As applicable, monitoring of compliance with DBE requirements may include a review of the subrecipient's procedures for developing project goals, monitoring contractor performance, determining good faith efforts, and/or reporting progress.

INDICATORS OF COMPLIANCE

- a. How does the recipient monitor subrecipients for:*
 - 1. Reporting*
 - 2. Contract goal-setting?*
 - 3. Good faith efforts?*
 - 4. Performance of contractors and DBEs?*

INSTRUCTIONS FOR REVIEWER

Request and review a listing of subrecipients. Identify subrecipients that had federally-funded contract opportunities since the last Comprehensive Review. Request and review the recipient's oversight procedures. Discuss with the recipient onsite and determine who monitors the subrecipients' compliance with the DBE program requirements. Examine reports and contract files to determine if the recipient is monitoring in accordance with its documented procedures.

For each subrecipient selected for a site visit, onsite:

Select one FTA-funded procurement and contract file.

- Review how the procurement was accounted for in the recipient's applicable DBE report to FTA.
- If the project had a DBE goal, verify the method the subrecipient used to establish the DBE goal for the project.
- If the project had a DBE goal, verify that the subrecipient only awarded the contract to the bidder that met the goal or made good faith efforts to meet the goal.

- Confirm the subrecipient's process for monitoring the performance of its contractors and enforcing contractual DBE requirements.
- If the project had a DBE goal, confirm the subrecipient's process for monitoring contractor's participation and achievements towards their DBE commitment.
- Verify how the subrecipient ensures that DBEs are performing a commercially useful function.
- Confirm that the subrecipient included prompt payment and return of retainage language in the federally funded contracts
- If the project had a DBE goal, verify that the prime contractor did not terminate or substitute a DBE subcontractor listed on a contract with a DBE goal without good cause and prior written consent.

POTENTIAL DEFICIENCY DETERMINATIONS

The recipient is deficient if it does not have documentation of monitoring subrecipients and enforcing contract requirements to ensure that DBE commitments are met.

DEFICIENCY CODE DBE14-1: Insufficient oversight of subrecipients for DBE requirements

SUGGESTED CORRECTIVE ACTION: The recipient must submit documentation that it has implemented a DBE monitoring program.

GOVERNING DIRECTIVE

2 CFR 200.332 Requirement for pass-through entities

All pass-through entities must: (e) Monitor the activities of a subrecipient as necessary to ensure that the subrecipient complies with Federal statutes, regulations, and the terms and conditions of the subaward. The pass-through entity is responsible for monitoring the overall performance of a subrecipient to ensure that the goals and objectives of the subaward are achieved. In monitoring a subrecipient, a pass-through entity must: (1) Reviewing financial and performance reports. (2) Ensure that the subrecipient takes corrective action on all significant developments that negatively affect the subaward. Significant developments include Single Audit findings related to the subaward, other audit findings, site visits, and written notifications from a subrecipient of adverse conditions which will impact their ability to meet the milestones or the objectives of a subaward. When significant developments negatively impact the subaward, a subrecipient must provide the pass-through entity with information on their plan for corrective action and any assistance needed to resolve the situation. (3) Issue a management decision for audit findings pertaining only to the Federal award provided to the subrecipient from the pass-through entity as required by § 200.521..

49 CFR 26.37 What are a recipient's responsibilities for monitoring the performance of other program participants?

(a) A recipient must implement appropriate mechanisms to ensure compliance with the requirements in this part by all program participants (e.g., applying legal and contract remedies available under Federal, State, and local law). The recipient must set forth these mechanisms in its DBE program.

(b) A recipient's DBE program must also include a monitoring and enforcement mechanism to ensure that work committed, or in the case of race-neutral participation, the work subcontracted, to all DBEs at contract award or subsequently is performed by the DBEs to which the work was committed or subcontracted to, and such work is counted according to the requirements of § 26.55. This mechanism must include a written verification that you have reviewed contracting records and monitored the work site

to ensure the counting of each DBE's participation is consistent with its function on the contract. The monitoring to which this paragraph (b) refers may be conducted in conjunction with monitoring of contract performance for other purposes such as a commercially useful function review.

(c) You must effectively implement the following running tally mechanisms:

(1) With respect to achieving your overall goal, you must use a running tally that provides for a frequent comparison of cumulative DBE awards/commitments to DOT-assisted prime contract awards to determine whether your current implementation of contract goals is projected to be sufficient to meet your annual goal. This mechanism should inform your decisions to implement goals on contracts to be advertised according to your established contract goal-setting process.

(2) With respect to each DBE commitment, you must use a running tally that provides for a frequent comparison of payments made to each listed DBE relative to the progress of work, including payments for such work to the prime contractor to determine whether the contractor is on track with meeting its DBE commitment and whether any projected shortfall exists that requires the prime contractor's good faith efforts to address to meet the contract goal pursuant to § 26.53(g)..

ISSUES/AREAS OF CONCERN FOR FTA AWARENESS

Did background research and/or onsite observations support any of the concerns below:

- Have any oversight reviews, audits, or investigations of the recipient conducted since the last Comprehensive Review (including Disadvantaged Business Enterprise reviews, UCP reviews and the most recent Comprehensive Review) identified significant deficiencies, material weaknesses, and/or repeat deficiencies in the area of DBE?
- Are any oversight reviews, audits, or investigations scheduled during this Federal fiscal year?
- If conducted, has a recent (since the last Comprehensive Review) Procurement System Review identified any issues related to DBE in the "Other Matters" section?
- If the recipient has entered into a DBE conciliation agreement with the FTA, what progress has been made towards satisfying the terms of that agreement?
- Did the recipient experience difficulty resolving or closing any DBE oversight review, investigation, or audit deficiencies or findings (e.g., late or insufficient submissions)? Are any deficiencies or findings currently open?
- Are any issues related to DBE indicated in the recipient Oversight Assessment Tool (OAT)?
- Have DBE complaints been filed with FTA against the recipient? If yes, have all such complaints been resolved?
- Were program revisions noted by FTA made but do not appear to meet the intent of FTA's comments?
- Has the DBE program been updated since March 1, 2025?

- Is the current DBELO in the same organizational position as noted in the recipient's latest approved DBE program? If not, notify the RCRO for their future follow up.
- If the DBELO is the procurement director, is there a process in place to ensure the resolution of any potential conflicts of interest?
- Has the recipient or FTA received any bid protests related to DBE issues?
- Does the recipient appear to have adequate resources and provide sufficient training to manage the DBE program?
- If the recipient is using on-call or open-ended type contracting, how is it reporting these awards on its Uniform Reports?
- Have DBE subcontractors notified the recipient about issues with prompt payment or return of retainage?
- Any potential issues or concerns about the recipient's DBE program or its implementation not covered previously in this section?
- Are there any issues identified in review of the DBE program that are not otherwise addressed in the questions of this review area?
- If the recipient or a subrecipient set a project-specific DBE goal on a project, or a goal on a transit vehicle procurement, did it receive prior FTA approval?

REFERENCES

1. 2 CFR Parts 200 and 1201, "Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards"
2. 49 CFR Part 26, "Participation by Disadvantaged Business Enterprises in Department of Transportation Financial Assistance Programs"

USEFUL WEBLINKS

1. FTA DBE Website
2. Official Questions and Answers for DBE Program Regulation (49 CFR Part 26)
3. USDOT DBE COVID-19 Guidance
4. Coronavirus Aid, Relief, and Economic Security Act
5. FTA's Frequently Asked Questions From FTA Grantees Regarding Coronavirus Disease 2019
6. Notice of Concurrence
7. Emergency Relief rule

EXHIBIT 10.1 DBE THREE-YEAR GOAL ATTAINMENT (1 of 3)*Note: This table is to be completed by the reviewer.*

Fiscal Year 20XX Goal: Fiscal Year 20XX RC Goal:		1	2	3 (1+2)
	DBE Uniform Report	June 1	Dec. 1	Totals
A.	Total dollars awarded to DBE Prime Contractors (<i>Line 8C</i>)	-	-	-
B.	Total dollars awarded to DBE Subcontractors (<i>Line 9C</i>)	-	-	-
C.	Total dollars awarded to DBEs (A3+B3)			-
D.	Total prime contract dollars awarded (<i>Line 8A</i>)	-	-	-
E.	Total Race Conscious contracting dollars awarded to DBEs (<i>Line 10E</i>)	-	-	-
F.	Annual Percentage of awards using Race Conscious goals (E3/D3)			-
G.	Annual Percentage Awarded (C3/D3)			-

EXHIBIT 10.1 DBE THREE-YEAR GOAL ATTAINMENT (2 of 3)

Note: This table is to be completed by the reviewer.

Fiscal Year 20XX Goal: Fiscal Year 20XX RC Goal:		1	2	3 (1+2)
	DBE Uniform Report	June 1	Dec. 1	Totals
A.	Total dollars awarded to DBE Prime Contractors (<i>Line 8C</i>)	-	-	-
B.	Total dollars awarded to DBE Subcontractors (<i>Line 9C</i>)	-	-	-
C.	Total dollars awarded to DBEs (A3+B3)			-
D.	Total prime contract dollars awarded (<i>Line 8A</i>)	-	-	-
E.	Total Race Conscious contracting dollars awarded to DBEs (<i>Line 10E</i>)	-	-	-
F.	Annual Percentage of awards using Race Conscious goals (E3/D3)			-
G.	Annual Percentage Awarded (C3/D3)			-

EXHIBIT 10.1 DBE THREE-YEAR GOAL ATTAINMENT (3 of 3)*Note: This table is to be completed by the reviewer.*

Fiscal Year 20XX Goal: Fiscal Year 20XX RC Goal:		1	2	3 (1+2)
	DBE Uniform Report	June 1	Dec. 1	Totals
A.	Total dollars awarded to DBE Prime Contractors (<i>Line 8C</i>)	-	-	-
B.	Total dollars awarded to DBE Subcontractors (<i>Line 9C</i>)	-	-	-
C.	Total dollars awarded to DBEs (A3+B3)			-
D.	Total prime contract dollars awarded (<i>Line 8A</i>)	-	-	-
E.	Total Race Conscious contracting dollars awarded to DBEs (<i>Line 10E</i>)	-	-	-
F.	Annual Percentage of awards using Race Conscious goals (E3/D3)			-
G.	Annual Percentage Awarded (C3/D3)			-