



**Civil Rights Requirements
Uniform Report Local Assistance**

**Please mute your phones until the
question and answer session**

Tammy Mancinelli – Asst. Division Administrator, Civil Rights Division
LaVara Neumon – DBE Analyst, Civil Rights Division
May 2018
VDOT

Civil Rights Requirements

Topics for Discussion

- **Locality - Responsibilities**
- **Timeline for Submittal**
- **Completing the Uniform Report of DBE Awards/Commitments & Payments**

Introductory Requirements

Recipients of Department of Transportation (DOT) funds are expected to keep accurate data regarding the contracting opportunities available to firms paid for with DOT dollars. Failure to submit contracting data relative to the DBE program will result in noncompliance with CFR 49, Part 26. All dollar values listed on uniform report form should represent the DOT share attributable to the Operating Administration

Locality Requirements

- **The Locality will submit to their appropriate District Civil Rights Office their Uniform Report; the report is a snapshot for each project in which Federal funds were utilized during the reporting period**
- **Uniform Report of DBE Awards/Commitments & Payments Review**
 - **Specified areas must be filled out accurately**
 - **DBE Firms listed – check the Department of Small Business and Supplier’s Diversity website to ensure the firms listed are certified DBE firms**
 - **Amount columns are accurate**
- **Ensure the form has all the requested information provided before final submittal. It is very important to keep a record copy of all payments, in case of possible audit purposes**

Timeline for Report Submittal

- **Reporting Periods are Semi-Annually**
 - (Oct 1st – Mar 31st)
 - (Apr 1st – Sep 30th)
- (Oct 1st – Mar 31st) Report, is due to appropriate district by May 1
- (Apr 1st – Sep 30) Report, is due to appropriate district by Nov 1 – this will be the first report submission requirement for localities

Timeline for Report Submittal

- **All localities with active contracts that use federal funds must submit the DBE Uniform Report.**
- **If the locality has an active project but there were no expenditures during the reporting period, a “No Activity” report must be submitted.**

UNIFORM REPORT OF DBE COMMITMENTS/AWARDS AND PAYMENTS									
Please refer to the Instructions sheet for directions on filling out this form									
1 Submitted to (check only one):		<input type="checkbox"/> FHWA		<input type="checkbox"/> FAA		<input type="checkbox"/> FTA--Recipient IDNumber			
2 AIP Numbers (FAA Recipients); Grant Number (FTA Recipients):									
3 Federal fiscal year in which reporting period falls:					4 Date This Report Submitted:				
5 Reporting Period		<input type="checkbox"/> Report due June 1 (for period Oct. 1-Mar. 31)			<input type="checkbox"/> Report due Dec. 1 (for period April 1-Sept. 30)			<input type="checkbox"/> FAA annual report due Dec. 1	
6 Name and address of Recipient:									
7 Annual DBE Goal(s):		Race Conscious Projection			Race Neutral Projection			OVERALL Goal	

Awards/Commitments this Reporting Period

		A	B	C	D	E	F	G	H	I
A	AWARDS/COMMITMENTS MADE DURING THIS REPORTING PERIOD (total contracts and subcontracts committed during this reporting period)	Total Dollars	Total Number	Total to DBEs (dollars)	Total to DBEs (number)	Total to DBEs /Race Conscious (dollars) <i>*(Project with Goals)</i>	Total to DBEs/Race Conscious (number) <i>(Projects with Goals)</i>	Total to DBEs/Race Neutral (dollars) <i>(Projects without Goals)</i>	Total to DBEs/Race Neutral (number) <i>(Projects without Goals)</i>	Percentage of total dollars to DBEs
	8 Prime contracts awarded this period							0	0	
	9 Subcontracts awarded/committed this period			0	0					
	10 TOTAL			0	0	0	0	0	0	

B BREAKDOWN BY ETHNICITY & GENDER		Contracts Awarded to DBEs this Period					
		A	B	C	D	E	F
		Total to DBE (dollar amount)			Total to DBE (number)		
		Women	Men	Total	Women	Men	Total
11	Black American						
12	Hispanic American						
13	Native American						
14	Asian-Pacific American						
15	Subcontinent Asian Americans						
16	Non-Minority						
17	TOTAL						

Payments Made this Period

C PAYMENTS ON ONGOING CONTRACTS (report activity of ongoing contracts)		A	B	C	D	E	F
		Total Number of Contracts	Total Dollars Paid	Total Number of Contracts with DBEs	Total Payments to DBE firms	Total Number of DBE firms Paid	Percent to DBEs
18	Prime and sub contracts currently in progress						

D TOTAL PAYMENTS ON CONTRACTS COMPLETED THIS REPORTING PERIOD		A	B	C	D	E
		Number of Contracts Completed	Total Dollar Value of Contracts Completed	DBE Participation Needed to Meet Goal (Dollars) <i>(Amount Required for Projects With Goals)</i>	Total DBE Participation (Dollars)	Percent to DBEs
19	Race Conscious <i>(With Goals)</i>					
20	Race Neutral <i>(Without Goals)</i>					
21	Totals	0	0		0	
22 Submitted By:		24. Signature:			25. Phone Number:	

Instructions on Completing Uniform Report

- #3. Specify the Federal fiscal year (i.e., October 1-September 30) in which the covered reporting period falls
- #4. State the date of submission of this report
- #5. Check the appropriate box that indicates the reporting period that the data provided in this report covers. If this report is due June 1, data should cover October 1 - March 31. If this report is due December 1, data should cover April 1 - September 30
- #6. Provide the name and address of the recipient

Instructions on Completing Uniform Report

- **Section A: Awards and Commitments Made During this Period**
- The amounts in items 8(A)-10(I) should include all types of prime contracts awarded and all types of subcontracts awarded or committed, including: professional or consultant services, construction, purchase of materials or supplies, lease or purchase of equipment and any other types of services. All dollar amounts are to reflect only the Federal share of such contracts and should be rounded to the nearest dollar
- Line 8: Prime contracts awarded this period: The items on this line should correspond to the contracts directly between the recipient and a supply or service contractor, with no intermediaries between the two
- #8(A). Provide the total dollar amount for all prime contracts assisted with DOT funds and awarded during this reporting period. This value should include the entire Federal share of the contracts without removing any amounts associated with resulting subcontracts

Instructions on Completing Uniform Report

- #8(B). Provide the total number of all prime contracts assisted with DOT funds and awarded during this reporting period
- #8(C). From the total dollar amount awarded in item 8(A), provide the dollar amount awarded in prime contracts to certified DBE firms during this reporting period. This amount should not include the amounts sub contracted to other firms
- #8(D). From the total number of prime contracts awarded in item 8(B), specify the number of prime contracts awarded to certified DBE firms during this reporting period

Instructions on Completing Uniform Report

- #8(G). From the total dollar amount awarded in item 8(C), provide the dollar amount awarded to certified DBEs through the use of Race Neutral methods. See the definition of Race Neutral in item 7 and the explanation in item 8 of project types to include
- #8(H). From the total number of prime contracts awarded in 8(D), specify the number awarded to DBEs through Race Neutral methods
- #8(I). Of all prime contracts awarded this reporting period, calculate the percentage going to DBEs. Divide the dollar amount in item 8(C) by the dollar amount in item 8(A) to derive this percentage. Round percentage to the nearest tenth
- Line 9: Subcontracts awarded/committed this period: Items 9(A)-9(I) are derived in the same way as items 8(A)-8(I), except that these calculations should be based on subcontracts rather than prime contracts. Unlike prime contracts, which may only be awarded, subcontracts may be either awarded or committed

Instructions on Completing Uniform Report

- #9(A). If filling out the form for general reporting, provide the total dollar amount of subcontracts assisted with DOT funds awarded or committed during this period. This value should be a subset of the total dollars awarded in prime contracts in 8(A), and therefore should never be greater than the amount awarded in prime contracts. If filling out the form for project reporting, provide the total dollar amount of subcontracts assisted with DOT funds awarded or committed during this period. This value should be a subset of the total dollars awarded or previously in prime contracts in 8(A). The sum of all subcontract amounts in consecutive periods should never exceed the sum of all prime contract amounts awarded in those periods
- #9(B). Provide the total number of all sub contracts assisted with DOT funds that were awarded or committed during this reporting period
- #9(C). From the total dollar amount of sub contracts awarded/committed this period in item 9(A), provide the total dollar amount awarded in sub contracts to DBEs

Instructions on Completing Uniform Report

- 9(D). From the total number of sub contracts awarded or committed in item 9(B), specify the number of sub contracts awarded or committed to DBEs
- #9(E). From the total dollar amount of sub contracts awarded or committed to DBEs this period, provide the amount in dollars to DBEs using Race Conscious measures
- #9(F). From the total number of sub contracts awarded or committed to DBEs this period, provide the number of sub contracts awarded or committed to DBEs using Race Conscious measures
- #9(G). From the total dollar amount of sub contracts awarded/committed to DBEs this period, provide the amount in dollars to DBEs using Race Neutral measures

Instructions on Completing Uniform Report

- 9(H). From the total number of sub contracts awarded/committed to DBEs this period, provide the number of sub contracts awarded to DBEs using Race Neutral measures
- Line 10: Total contracts awarded or committed this period. These fields should be used to show the total dollar value and number of contracts awarded to DBEs and to calculate the overall percentage of dollars awarded to DBEs
- 10(A)-10(B). These fields are unavailable for data entry
- 10(C – H). Combine the total values listed on the prime contracts line (Line 8) with the corresponding values on the subcontracts line (Line 9)

Instructions on Completing Uniform Report

Section C: Payments on Ongoing Contracts

- Line 18(A – E). Submit information on contracts that are currently in progress. All dollar amounts are to reflect only the Federal share of such contracts, and should be rounded to the nearest dollar
- #18(A). Provide the total dollar amount paid to all firms performing work on contracts
- #18(B). Provide the total number of contracts where work was performed during the reporting period

Instructions on Completing Uniform Report

- #18(C). From the total number of contracts provided in 18(A) provide the total number of contracts that are currently being performed by DBE firms for which payments have been made
- #18(D). From the total dollar amount paid to all firms in 18(A), provide the total dollar value paid to DBE firms currently performing work during this period
- #18(E). Provide the total number of DBE firms that received payment during this reporting period. For example, while 3 contracts may be active during this period, one DBE firm may be providing supplies or services on all three contracts. This field should only list the number of DBE firms performing work

Instructions on Completing Uniform Report

Section D: Actual Payments on Contracts Completed this Reporting Period

- This section should provide information only on contracts that are closed during this period. All dollar amounts are to reflect the entire Federal share of such contracts, and should be rounded to the nearest dollar
- #19(A). Provide the total number of contracts completed during this reporting period that used Race Conscious measures. Race Conscious contracts are those with contract goals or another race conscious measure
- #19(B). Provide the total dollar value of prime contracts completed this reporting period that had race conscious measures
- #19(C). From the total dollar value of prime contracts completed this period in

Instructions on Completing Uniform Report

- 19(D). Provide the actual total DBE participation in dollars on the race conscious contracts completed this reporting period
- #20(A)-20(E). Items 21(A)-21(E) are derived in the same manner as items 19(A)-19(E), except these figures should be based on contracts completed using Race Neutral measures
- 21(A)- 21(D). Calculate the totals for each column by adding the race conscious and neutral figures provided in each row above

Instructions on Completing Uniform Report

- 23. Name of the Authorized Representative preparing this form
- 24. Signature of the Authorized Representative
- 25. Phone number of the Authorized Representative

**Submit your completed report to your District Civil Rights Office.

Questions

LaVara Neumon

LaVara.Neumon@vdot.Virginia.gov

804-786-2293

WRAP UP

