

DBE Procedures

Agency Documents Reviewed By ADOT BECO

- DBE Procedures

Submit to ADOT LPA Section before October 6, 2023

Assessment Questions

| Question | Y/N | Document, Page, Paragraph <i>(To be completed by CA)</i> | Check if changed since 2019 <i>(CA to complete)*</i> | Item of Concern <i>(SME use only)*</i> |
|--|-----|---|---|---|
| Does the Agency have a plan for training DBE staff on managing federally funded projects? | | | | |
| Does the Agency follow the current ADOT FHWA DBE Plan? | | | | |
| Does the Agency follow the current DBE EPRISE (DBE contract language)? | | | | |
| Does the Agency have a DBE Liaison? | | | | |
| Do the DBE Procedures require the agency to: | | | | |
| Follow the most current DBE Plan, DBE EPRISE (DBE contract language). | | | | |
| Submit the required documents to ADOT BECO for Federal-aid Highway Program (FAHP) projects to be assessed for DBE Goal and ensuring the DBE Goal is "valid" for advertisement. | | | | |
| Obtain from BECO and provide to bidders and proposers all current BECO LPA Forms. | | | | |
| Include a "valid" DBE goal percentage in advertisement, solicitations, and contract documents. | | | | |
| Provide written notice to BECO and the ADOT PM immediately before termination of a FAHP contract related to the DBE Program. | | | | |
| Conduct a bid analysis process to justify the approval or rejection of submitted DBE Assurance Form and DBE Affidavits forms and request concurrence from ADOT BECO. | | | | |
| Ensure receipt of Bid Verification Notice from ADOT BECO before contract award. | | | | |
| Ensure Good Faith Effort (GFE) documentation is provided to meet requirements of EPRISE Specifications (as applicable). | | | | |

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|---|-----|---|---|---|
| Notify ADOT PM and ADOT BECO of contract award or rejection of bids. | | | | |
| Report contract awards to BECO by the 10th of the month following contract award. | | | | |
| Ensure committed DBEs subcontracts are provided to agency by prime at preconstruction meeting. | | | | |
| Monitor contract, contractor and subcontractor information, and report prime payments in the LPA DBE System in accordance with Prompt Payment & Payment Reporting Provisions. | | | | |
| Monitor and enforce the Prompt Payment & Payment Reporting Provisions for prime contractor payments to subcontractors. | | | | |
| Monitor DBE participation to ensure the Termination, Substitution, Reduction EPRISE specifications are met. | | | | |
| Monitor DBE utilization on projects, notifying ADOT BECO when aware of a potential issue that may affect DBE commitments made at award. | | | | |
| Conduct a Commercially Useful Function (CUF) review for each DBE on a FAHP project. | | | | |
| Obtain Certification of Final DBE Payment forms from prime contractor and determine if established DBE goal has been met. | | | | |
| Monitor FAHP contracts for compliance and consider imposing sanctions when a contractor fails to be in compliance with EPRISE specifications. | | | | |
| Monitor LPA DBE System in preparation for the semi-annual reporting by ensuring contract payments are up to date. | | | | |
| Ensure timely closeout of contracts in the LPA DBE System. | | | | |

See **Appendix B** for additional resources.

The Certification Acceptance Agency attests to the following (check the following applicable box):

| | |
|--------------------------|----------------------------|
| <input type="checkbox"/> | No changes made since 2019 |
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|--------------------------|--|
| <input type="checkbox"/> | The following changes since 2019 are noted above |
|--------------------------|--|

| Agency – Prepared by: | |
|------------------------------|--|
| Signature | |
| Printed Name | |
| Title | |
| Date | |

| ADOT – Reviewed by: | |
|----------------------------|--|
| Signature | |
| Printed Name | |
| Title | |
| Date | |

****Item of Concern Documentation:***