

Paperwork Reduction Act Burden Statement

A federal agency may not conduct or sponsor, and a person is not required to respond to, nor shall a person be subject to a penalty for failure to comply with a collection of information subject to the requirements of the Paperwork Reduction Act unless that collection of information displays a currently valid OMB Control Number. The OMB Control Number for this information collection is 2105-0586. Public reporting for this collection of information is estimated to be approximately 317 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, completing and reviewing the collection of information.

All responses to this collection of information are mandatory under 49 CFR § 26.11; the nature and extent of confidentiality to be provided, if any under 49 CFR §§ 26.109(b). Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden to: Information Collection Clearance Officer, Departmental Office of Civil Rights, 1200 New Jersey Ave, Washington, D.C. 20590.

Privacy Act Statement (5 U.S.C. § 552a, as amended):

AUTHORITY : 42 U.S.C. 2000d et seq., § 12101 et seq., 42 U.S.C. 6101 et seq.; 29 U.S.C. 794, 749d; 49 U.S.C. 47113; 42 U.S.C. 12101; 49 CFR Part 23; 49 CFR Part 26, and Executive Order 13160.

PURPOSE(S): DOT will use the information collected to respond to Disadvantaged Business Enterprise (DBE) and Airport Concession Disadvantaged Business Enterprise (ACDBE) inquiries and adjudicate appeals.

ROUTINE USE(S): In accordance with DOT's system of records notice, DOT/ALL-24 Departmental Office of Civil Rights, 76 FR 71108 (Nov. 16, 2011), the information provided may be disclosed to the U. S. Department of Justice, including United States Attorney's Offices, or other Federal agency conducting litigation or in proceedings before any court, adjudicative or administrative body, when it is necessary to the litigation and one of the following is a party to the litigation or has an interest in such litigation. A comprehensive list of routine uses can be found in DOT/ALL 24 and DOT's General Statement of Routine uses, 75 FR 82138 (Dec. 29, 2010). 77 FR 42796 (July 20, 2012), 84 FR 55222 (Oct. 15, 2019).

Uniform Report of DBE Awards or Commitments and Payments Form

**INSTRUCTIONS FOR COMPLETING THE UNIFORM REPORT OF DBE
AWARDS/COMMITMENTS AND PAYMENTS**

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 Part 26. All dollar values listed on this form should represent the DOT share attributable to the Operating Administration (OA): Federal Highway Administration (FHWA), Federal Aviation Administration (FAA) or Federal Transit Administration (FTA) to which this report will be submitted. Forms shown below are examples only. Reports must be submitted at the intervals required by, and in the format acceptable to, the Operating Administration concerned.

1. Indicate the DOT (OA) that provides your Federal financial assistance. If assistance comes from more than one OA, use separate reporting forms for each OA. If you are an FTA recipient, indicate your Vendor Number in the space provided.
2. If you are an FAA recipient, indicate the relevant AIP Numbers covered by this report. If you are an FTA recipient, indicate the Grant/Project numbers covered by this report. If more than ten attach a separate sheet.
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. For FHWA and FTA recipients, 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. If the report is due to the FAA, data should cover the entire fiscal year.
6. Provide the name and address of the recipient.
7. State your overall DBE goal(s) established for the Federal fiscal year of the report being submitted to and approved by the relevant OA. Your overall goal is to be reported as well as the breakdown for specific DBE Conscious and DBE Neutral projections. The DBE Conscious projection should be based on measures that focus on and provide benefits only for DBEs. The use of contract goals is a primary example of a DBE Conscious measure. The DBE Neutral projection should include measures that, while benefiting DBEs, are not solely focused on DBE firms. For example, a small business outreach program, technical assistance, and prompt payment clauses can assist a wide variety of businesses in addition to helping DBE firms.

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.

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 subcontracted 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.

8(E&F). This field is closed for data entry. DBE Neutral BE Neutral BE Neutral

8(G). From the total dollar amount awarded in item 8(C), provide the *dollar amount* awarded to certified DBEs through the use of DBE Neutral methods. See the definition of DBE 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 DBE 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 the 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.

9(A). If you fill 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 dollar 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 subcontracts assisted with DOT funds that were awarded or committed during this reporting period.

9(C). From the total dollar amount of subcontracts awarded/committed this period in item 9(A), provide the total dollar amount awarded in subcontracts to DBEs.

9(D). From the total number of subcontracts awarded or committed in item 9(B), specify the number of subcontracts awarded or committed to DBEs.

9(E). From the total dollar amount of subcontracts awarded or committed to DBEs this period, provide the amount in dollars to DBEs using DBE Conscious measures.

9(F). From the total number of subcontracts awarded or committed to DBEs this period, provide the number of subcontracts awarded or committed to DBEs using DBE Conscious measures.

9(G). From the total dollar amount of subcontracts awarded/committed to DBEs this period, provide the amount in dollars to DBEs using DBE Neutral measures.

9(H). From the total number of subcontracts awarded/committed to DBEs this period, provide the number of subcontracts awarded to DBEs using DBE Neutral measures.

9(I). Of all subcontracts awarded this reporting period, the percentage going to DBEs calculate. Divide the dollar amount in item 9(C) by the dollar amount in item 9(A) to derive this percentage. Round the percentage to the nearest tenth.

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).

10(I). Of all contracts awarded this reporting period, calculate the *percentage* going to DBEs. Divide the total dollars awarded to DBEs in item 10(C) by the dollar amount in item 8(A) to derive this percentage. Round the percentage to the nearest tenth.

Section B: 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 number of prime contracts where work was performed during the reporting period.

18(B). Provide the total dollars paid to prime contractors for work performed on contracts during the reporting period. Payments by recipients for all work performed on the contract are made to the prime contractor, who in turn is obligated to promptly pay its DBE and non-DBE subcontractors. See 49 C.F.R. §26.29.

18(C). Provide the total number of prime and subcontracts that are currently being performed by DBE firms for which payments have been made. The number of contracts reported in item 18(C) may be larger, smaller, or the same as the number in item 18(A).

For example, assume that only one prime contract is underway during the reporting period:

If the prime contractor is a non-DBE with 3 DBE subcontractors, the number reported in item 18(C), will be higher than item 18(A).

If a non-DBE prime contract reported in item 18(A) has no DBE subcontractors, the number reported in item 18(C) will be less than item 18(A).

If the prime contract involves a DBE prime contractor with no DBE subcontractors, the number in item 18(A) and item 18(C) would be the same, with appropriate notation that item 18(C) includes a DBE prime contract.

18(D). Provide the total dollar amount paid to DBE firms currently performing work during this reporting period. If the prime contractor is a DBE, report only the total dollars paid to the DBE prime contractor who in turn is obligated to promptly pay its DBE subcontractors.

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 may be providing supplies or services on all three contracts. This field should only list the number of DBEs performing work.

18(F). Of all payments made during this period, calculate the percentage going to DBEs. Divide the total dollar value to DBEs in item 18(D) by the total dollars of all payments in item 18(B). Round the percentage to the nearest tenth.

Section C: 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 use DBE Conscious measures. DBE Conscious contracts are those with contract goals or another DBE Conscious measure.

19(B). Provide the total dollar value of prime contracts completed this reporting period that had DBE Conscious measures.

19(C). From the total dollar value of prime contracts completed this period in 19(B), provide the total dollar amount of dollars awarded or committed to DBE firms in order to meet the contract goals. This applies only to DBE Conscious contracts.

19(D). Provide the actual total DBE participation in dollars on the DBE Conscious contracts completed this reporting period.

19(E). Of all the contracts completed this reporting period using DBE Conscious measures, calculate the percentage of DBE participation. Divide the total dollar amount to DBEs in item 19(D) by the total dollar value provided in 19(B) to derive this percentage. Round to the nearest tenth.

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 DBE Neutral measures.

20(C). This field is closed.

21(A)-21(D). Calculate the totals for each column by adding the DBE Conscious and DBE Neutral figures provided in each row above.

21(C). This field is closed.

21(E). Calculate the overall percentage of dollars to DBEs on completed contracts. Divide the Total DBE participation dollar value in 21(D) by the Total Dollar Value of Contracts Completed in 21(B) to derive this percentage. Round to the nearest tenth.

22. Name of the Authorized Representative preparing this form.

23. Signature of the Authorized Representative.

24. Phone number of the Authorized Representative.

DISCLAIMER: All responses to this collection of information are mandatory under 49 CFR § 26.11.

UNIFORM REPORT OF DBE COMMITMENTS/AWARDS AND PAYMENTS											
Please refer to the instruction sheet for directions on filling out this form											
1	Submitted to (check only one)		FHWA	FAA	FTA - Recipient ID Number						
2	AIP Numbers (FAA Recipients); Grant Number (FTA Recipients):										
3	Federal Fiscal year in which reporting period falls		FY			4. Date This Report Submitted:					
5	Reporting Period		Report due June 1 (for period Oct 1-Mar 31)			Report due Dec 1 (for period April 1-Sep 30)			FAA annual report due Dec 1		
6	Name and address of Recipient:										
7	Annual DBE Goal(s):		DBE Conscious Projection:			DBE 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/DBE Conscious (dollars)	Total to DBEs/DBE Conscious (number)	Total to DBEs/DBE Neutral (dollars)	Total to DBEs/DBE Neutral (number)	Percentage of total dollars to DBEs
8	Prime contracts awarded this period		\$		\$				\$		
9	Subcontracts awarded/committed this period		\$		\$		\$		\$		
10	TOTAL				\$		\$		\$		
Payments Made this Period											
			A	B	C	D	E	F			
B	PAYMENTS ON ONGOING CONTRACTS		Total Number of Prime Contracts	Total Dollars Paid	Total Number of Prime and Subcontracts with DBEs	Total Payments to DBE firms	Total Number of DBE firms Paid	Percent to DBEs			
18	Prime and subcontracts currently in progress			\$		\$					
			A	B	C	D	E				
C	TOTAL PAYMENTS ON CONTRACTS COMPLETED THIS REPORTING PERIOD		Number of Contracts Completed	Total Dollar Value of Contracts Completed	DBE Participation Needed to Meet Goal (Dollars)	Total DBE Participation (Dollars)	Percent to DBEs				
19	DBE Conscious			\$	\$						
20	DBE Neutral			\$							
21	Totals			\$							
22	Submitted by:				23. Signature:				24. Phone Number:		