



U.S. Department  
of Transportation

**Federal Highway  
Administration**

# **FL & NY Civil Rights Major Projects Peer-Exchange**

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## **LESSONS LEARNED WEBINAR**

**WEDNESDAY, MAY 31<sup>ST</sup>, 2017**

# Peer-Exchange Group

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- Carey Shephard, Civil Rights Program Manager, Florida Division
- Marvin Williams, Major Projects Engineer, Florida Division
- Lamin Williams, Major Projects Engineer, Ohio Division
- Jennifer Smith, District Construction Services Manager, FDOT
- Marla Nance, Compliance Audit Manager, I4 Ultimate COS
- Christine Thorkildsen, Civil Rights Program Manager, New York Division
- Tracy Duval, DBE Program Analyst, HCR
- Kara Hogan, Civil Rights Specialist, New York Division

# Background & Purpose

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- The Civil Rights Major Projects Peer Exchange between Florida and New York began in 2013 as a means of sharing critical information on issues unique to major projects
- Today's webinar will share lessons-learned, as well as discuss the benefits of developing your own peer relationships

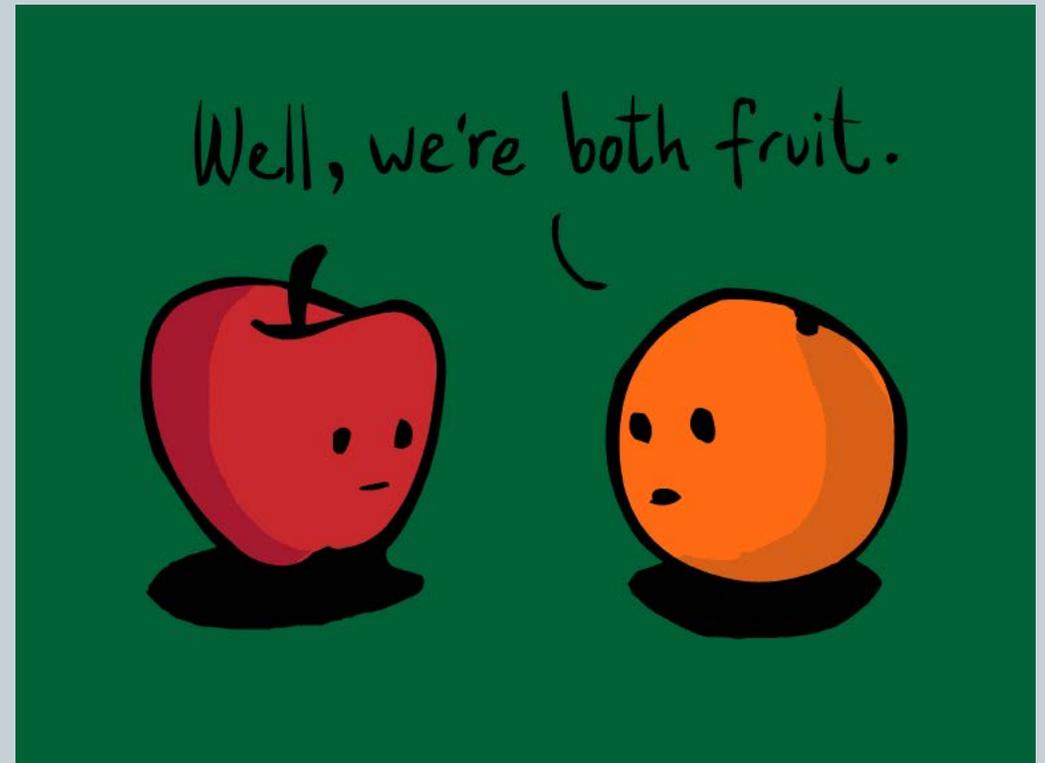


*April 2013 – HCR and NY Division tour I-595, an FDOT P3 with a cost of about \$1 Billion.*

# Apples to Oranges: Tips for Peer Exchanges

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- NY and FL were in the right place, right time for peer exchange
- Be critical in selecting peer relationships
- Get buy-in from Division leadership, HQ and state/local partners
- Have clear, reasonable objectives
- Be prepared to share what you learned



# Learning Objectives

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- Participants will understand some of the **Civil Rights oversight** challenges on major projects in areas including DBE, EEO/Contractor Compliance, OJT, and Supportive Services
- Participants will identify some of the lessons learned from the peer-exchange group

# Lessons Learned

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## I. Contract Language (RFP)



## II. Project Organizational Structure

## III. Oversight Compliance Processes

## IV. DBE Supportive Services

# The New NY Bridge



The New NY Bridge project is creating a state-of-the-art, twin-span replacement for the 3.1-mile Tappan Zee Bridge across the Hudson River.

- Contractor: Tappan Zee Constructors
- Owner: NYS Thruway Authority
- Cost: \$3.14 Billion
- Contract Type: Design Build
- DBE Goal: 10% (\$314M)
- TIFIA Loan: 1.6B
- Fast track Project – Permitted in 11 months

# Kosciuszko Bridge



The 1.1 mile eastbound viaduct is being completely replaced, with the new span being built alongside the current bridge. The portion over water will be a cable-stayed design. The new bridge will improve safety and reduce congestion through wider driving lanes, the addition of auxiliary lanes and shoulders, and a reduced grade which will make it easier for trucks to stay up to speed.

- Contractor: Skanska-Kiewitt-ECCO III (JV)
- Owner: New York State DOT
- Cost: \$554.7 Million
- Contract Type: Design Build
- DBE Goal: 14% (\$77.6M)
- Largest single contract ever undertaken by NYSDOT

# Goethals Bridge Replacement



The project will replace the existing Goethals Bridge which spans the Arthur Kill River on I-278 connecting Elizabeth, New Jersey and Staten Island, New York. The existing bridge, built in the 1920s, will be replaced with dual bridges and the original bridge demolished. It is anticipated that the two new spans will carry approximately 14 million vehicles annually.

- Contractor: Kiewitt-Weeks-Massman, AJV
- Owner: Port Authority of NY and NJ
- Cost: \$1.5 Billion
- Contract Type: P3 – Design-Build-Finance-Operate-Maintain
- DBE Goal: 10% (93.7M)
- TIFIA Loan: \$500M
- Developer to maintain for 35 years

# I-4 Ultimate



**'The Ultimate'** Reconstruct 21 miles of the Interstate 4 corridor including installation of 2 new express lanes (in each direction), replacement of 75 bridges, and complete reconstruction of 15 interchanges.

- Contractor: Skanska-Granite-Lane-JV
- Owner: Florida DOT
- Cost: \$2.3 Billion
- Contract Type: P3-Design-Build-Maintain
- DBE Aspirational Goal: 9% (276M)
- TIFIA Loan: \$954M
- Developer to maintain for 40 years

# LESSON ONE:

# Contract Language (RFP)

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# Compliance Specific Requirements

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- DBE plan required at time of award
- DBE goal broken up over multiple areas
- Prevailing wage rates – monitored daily by State DOL
- Establishes an audit plan for oversight of the Compliance Program
- Non-conformance point system
- Required amount of knowledge and experience for the compliance manager
- Compliance requirements referenced at the CFR level



# RFP Contract Language



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- Establish a contractual requirement for a Project Management Plan (PMP) that addresses the Contractor's QA/QC processes.
- Ask for DBE Plan at the time of Award.
- Don't miss the opportunity to set DBE goals across operations & maintain phases that are federally funded— maintain includes resurfacing and other activities that FHWA would participate in.
- Qualifications clearly defined in the contract documents for the staff of the oversight within the D/B concessionaire team.

## AND . . .

- Identify “Compliance Personnel” as key personnel.
- Insulate QA from the contractor who is paying for it.
- Consider specification requirements for electronic system (DBE counting, Payrolls, etc) and specify Owner as an additional owner of the documentation.
- Require a list of all subcontractors and suppliers to be maintained and supplied to Owner.



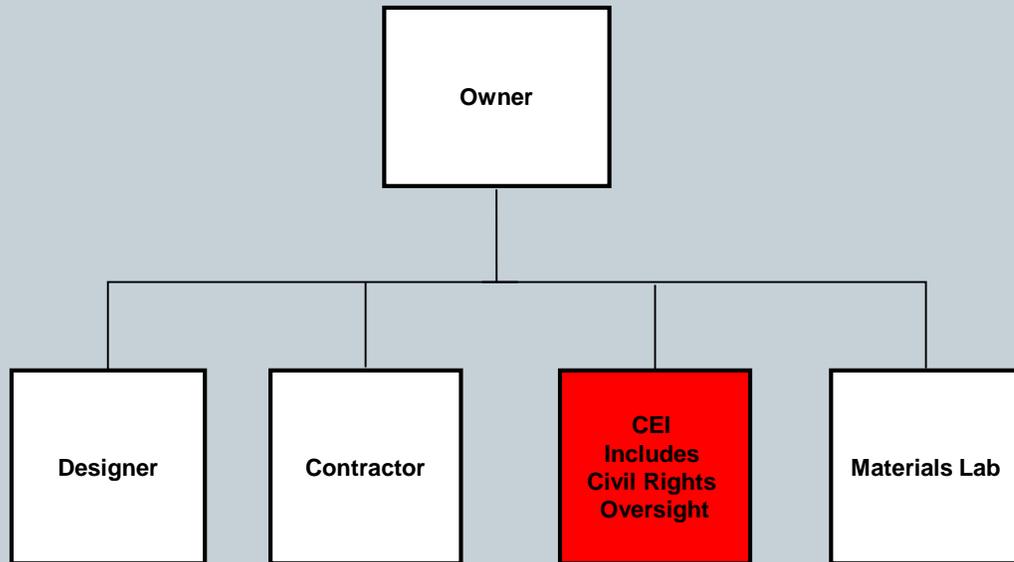
LESSON  
TWO:

# Project Organizational Structure

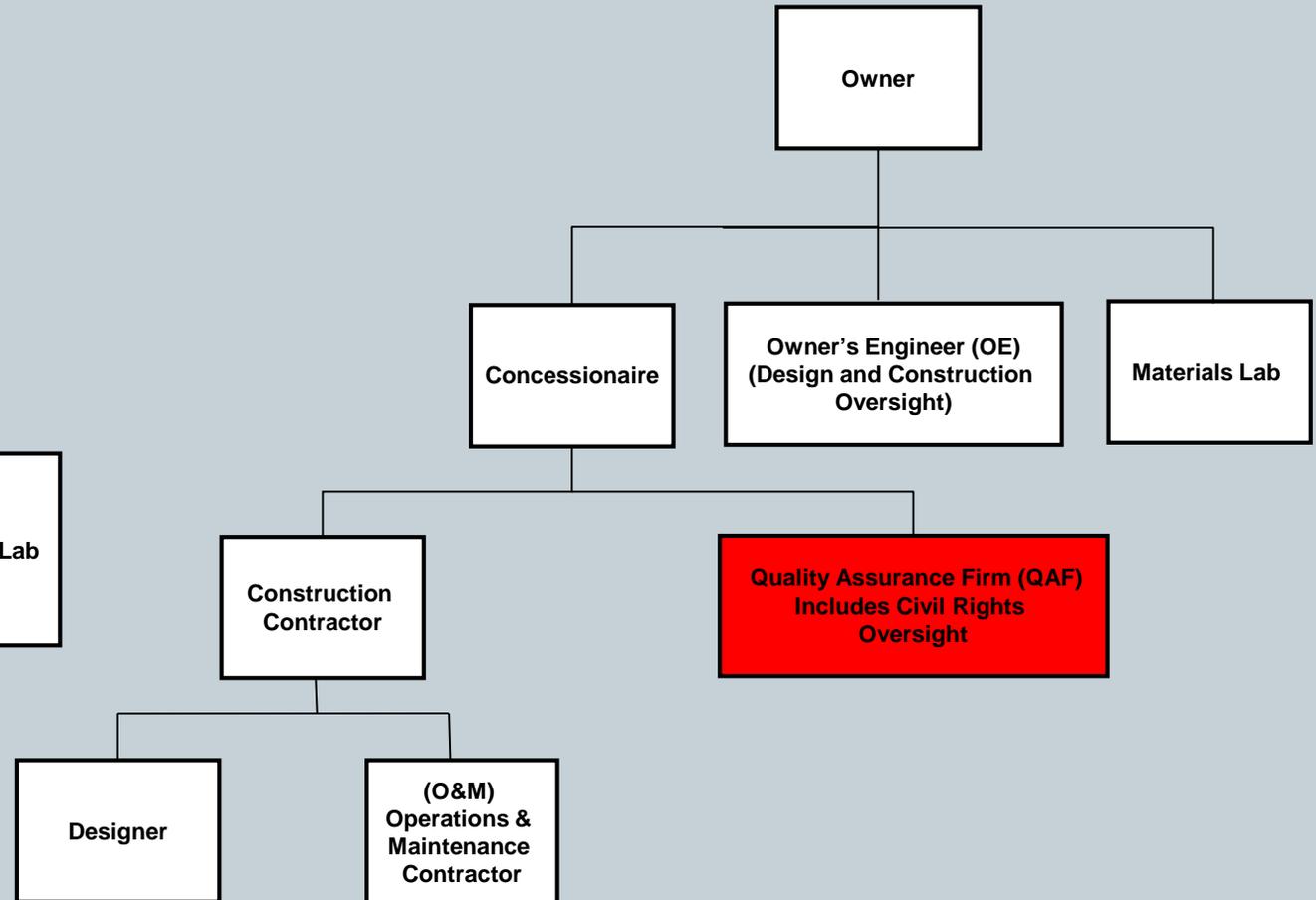


# Project Organizational Structure – Traditional vs P3 Model Contract Structure

## Traditional Contract Structure



## P3 Contract Structure



# Project Organizational Structure – Project Comparisons

	Projects			
Project	Tappan Zee Bridge (The New NY Bridge)	Goethals	K-Bridge	I-4 Ultimate
<b>State</b>	NY	NY/NJ	NY	FL
<b>Federal Funding</b>	TIFIA	TIFIA	Federal-Aid	TIFIA
<b>Contract Type</b>	Design Build	P3	Design Build	P3
<b>Contract Amount</b>	\$3.14 Billion	\$937 Million	\$555 Million	\$2.3 Billion
<b>Contractual Lines of Authority</b>				
<b>Owner</b>	NYS Thruway Authority*	Port Authority of NYNJ	NYSDOT	FDOT
<b>Owner's Engineer</b>	HNTB*	HNTB (Technical Oversight) AECOM (Program Mgmt)*		HNTB (Construction)* RS&H (Design)
<b>Developer/Concessionaire</b>		NYNJ Link Partnership		
<b>Design/Build Team: Lead Contractors - Designer</b>	- Tappan Zee Constructors (TZC) HDR	Kiewit-Weeks-Massman JV Parsons Transportation	Skanska/Kiewit/ECCO III (SKE)	Skanska-Granite- Lane (SGL) HDR/Jacobs JV
<b>O&amp;M</b>				
<b>Quality Assurance Firm (QA)</b>	Greenman-Pedersen	KS Engineers	STV*	Volkert*

\*Responsible for Civil Rights  
Oversight Component

# Project Organizational Structure – Lessons Learned

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## Risk Transfer :

- **Issue** - Owner's expectations for transfer of risk was not as successful in the area of Civil Rights resulting in budget overruns for Owner due to additional staffing efforts

# Project Organizational Structure – Lessons Learned

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## Roles and Responsibilities:

- **Issue** – Quality Assurance Firm does not fulfill audit role and is resistant to report Contractor issues identified.
- **Issue** – Concessionaire/Developer does not take ownership for resolution of issues between QAF and Contractor but rather serves in a passive role passing the issues onto the Contractor for resolution

# Project Organizational Structure – Solutions

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## Contract Language:

- Key Personnel position for a Civil Rights expert with certain experience requirements that requires Owner approval for both Contractor and Quality Assurance Firm
- Insulation (firewall) for Quality Assurance Firm requiring Owner approval before personnel changes occur
- Clear definition of Concessionaire/Developer roles and responsibilities for resolution of issues

# LESSON THREE:

## Oversight Compliance Processes



# Oversight of Project Data and Information

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## Massive amount of data on major projects to monitor:

- Prompt Payment
- Trucking
- EEO
- Commitments vs. Attainments
- Commitment to the Goal
- Tiering of subcontracting
- Certified payrolls (not just for Davis Bacon, but for DBE monitoring)
- Correspondence

# Electronic/Web-based Systems

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- Crucial to manage volume of data though not required
- Data systems should be prescribed in the RFP
  - By name
  - By system requirements
- Systems should be able to analyze data and create reports
- Ownership of systems should be the project sponsor
- All partners should have access to the systems at appropriate security levels to assure data is protected
- Limitations of electronic systems does not relieve sponsor or D/B of compliance

# Lessons Learned of Web-based Systems

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**Whether for DBE, Davis Bacon or other functions, there are systems available:**

- Every system has strengths and weaknesses
- Get a demo!
- Talk to current users
- FHWA does not promote one system over another
- Here are areas where electronic systems can make a difference:

# Prompt Payment

<u>Date Paid</u>	<u>Aged</u>	<u>Paid By</u>	<u>Paid To</u>	<u>Estimate #</u>	<u>Amount</u>	<u>Retained</u>	<u>Disbursed</u>	
07/31/2005		[REDACTED]	[REDACTED]		(\$23,386.66)	\$0.00	(\$23,386.66)	
07/31/2005		[REDACTED]	[REDACTED]		\$23,386.66	\$0.00	\$23,386.66	
02/16/2015		[REDACTED]	[REDACTED]		\$1,250.00	\$0.00	\$1,250.00	
04/04/2015		[REDACTED]	[REDACTED]		\$700.00	\$0.00	\$700.00	
04/10/2015		NYSDOT	[REDACTED]	001	\$200,058.10	\$0.00	\$200,058.10	
04/25/2015		NYSDOT	[REDACTED]	002	\$429,619.20	\$0.00	\$429,619.20	
05/09/2015		NYSDOT	[REDACTED]	003	\$403,429.64	\$0.00	\$403,429.64	
05/19/2015	10	[REDACTED]	[REDACTED]		\$9,297.87	\$0.00	\$9,297.87	** Late Payment **
05/28/2015		NYSDOT	[REDACTED]	004	\$361,850.10	\$0.00	\$361,850.10	
06/05/2015	8	[REDACTED]	[REDACTED]		\$4,565.63	\$0.00	\$4,565.63	** Late Payment **
06/10/2015	13	[REDACTED]	[REDACTED]		\$4,348.12	\$0.00	\$4,348.12	** Late Payment **



Very easy to determine late payments (and compliant with regulation)!

# Trucking

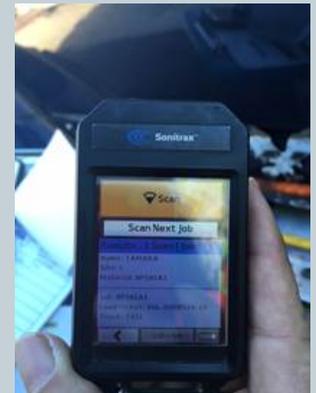
## Truck "Route Time" Report

Tickets from 4/11/16 to 4/16/16

Time from 4:00 to 21:00

Job #: **WALL106**

Ticket Number	Site	Material	Truck #	Date	Time	Elapsed Time
SGL-0042658-16	D	HOURLY	OnOff 407	4/12/2016	7:47:48 AM	
SGL-0042658-16	D	HOURLY	OnOff 407	4/12/2016	4:15:00 PM	
SGL-0042659-16	D	HOURLY	OnOff 407	4/15/2016	8:00:00 AM	
SGL-0042659-16	D	HOURLY	OnOff 407	4/15/2016	2:01:59 PM	
SGL-0042660-16	D	HOURLY	OnnOff 600	4/15/2016	7:30:00 AM	
SGL-0042660-16	D	HOURLY	OnnOff 600	4/15/2016	1:57:25 PM	
SGL-0042661-16	D	HOURLY	OnOff 593	4/15/2016	7:48:21 AM	
SGL-0042661-16	D	HOURLY	OnOff 593	4/15/2016	1:56:11 PM	

★ Over 250 trucks on this project to monitor!  
Scanning is efficient use of time and gives accurate data

# EEO

## Goal Report

From 12/1/2013 to 5/31/2016

Total Hours	Apprentice Hours	Apprentice %	Apprentice Goal	Minority Hours	Minority %	Minority Goal	Women Hours	Women %	Women Goal
<b>Project: Goethals Bridge Replacement</b>									
<b>Contractor: 50 States Engineering Corp.</b>									
5,059.50	0.00	0.00%	0.00%	49.00	0.97%	17.30%	41.00	0.81%	6.90%
<b>Contractor: ACI Structured Cabling Solutions LLC</b>									
452.00	0.00	0.00%	0.00%	108.00	23.89%	17.30%	16.00	3.54%	6.90%



**Calculates percentages and shows underutilization in red – easy to monitor**

# DBE Commitments and Attainments

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D/M/WBE Attainments

07/07/2016

All Contracts - Current

Awarded from Inception thru Today

Open Contracts, Region 8, Federal and Non-Federal Aid Contracts

## NEW NY BRIDGE

<u>Contract</u>	<u>Goal %</u>	<u>Type</u>	<u>GFE %</u>	<u>GFE</u>	<u>Contract \$</u>	<u>Goal \$</u>	<u>Commitments</u>	<u>Attainment</u>	<u>% Attained</u>	<u>Region</u>
D214134	10.00	DBE	0.00	Y	\$3,141,685,500	\$314,168,550	\$247,614,110	\$189,590,978	60.35	REGION 8
A. ESTEBAN & COMPANY, INC.				DBE	Male	HISPANIC/LATIN	\$471,966	\$433,075	0.14	
AB CONSULTING				DBE	Male	ASIAN	\$96,000	\$58,075	0.02	
ABKAELIN, LLC				DBE	Female	WHITE	\$276,726	\$205,588	0.07	
ACB ARCHITECTS, PLLC				DBE	Male	BLACK	\$84,666	\$84,666	0.03	
ADVANCED CONTRACTING CONCEPTS, INC.				DBE	Female	WHITE	\$2,298,772	\$2,190,788	0.70	
A-ECO CLEAN ENVIRONMENT LLC				DBE	Male	BLACK	\$105,000	\$54,989	0.02	
AEIS, LLC D/B/A ATLAS EVALUATION & INS				DBE	Female	ASIAN	\$2,799,128	\$2,570,665	0.82	
AI ENGINEERS, INC., P.C				DBE	Male	ASIAN	\$573,390	\$567,831	0.18	
ALCAIDE INC. D/B/A A&J CONSTRUCTION				DBE	Male	HISPANIC/LATIN	\$349,020	\$349,020	0.11	
AMERICAN INTERIOR RESOURCES, INC./DB/				DBE	Female	WHITE	\$0	\$0	0.00	
APPLE MAINTENANCE SERVICES, INC.				DBE	Male	HISPANIC/LATIN	\$484,999	\$373,519	0.12	
ARMAND RESOURCE GROUP, INC.				DBE	Male	BLACK	\$226,000	\$158,885	0.05	
AROLD CONSTRUCTION CO., INC.				DBE	Female	WHITE	\$448,500	\$77,210	0.02	
AXELA SERVICES, LLC				DBE	Female	WHITE	\$778,541	\$778,541	0.25	



**Calculates percent attainment - great for monitoring overall progress towards the goal**

# Commitment to the Goal via Florida's EOC system



Florida Department of Transportation  
 Contract DBE Commitments and Payment Comparison  
 Contract : E5W13  
 Prime : I-4 MOBILITY PARTNERS OPCO LLC

<b>Total DBE Commitment Credit</b>	<b>Total DBE Payment Credit Amount</b>
\$97,515,821.56	\$34,995,371.03

## SUB AGREEMENT TOTALS

Sub	TIER	Hired By	DBE Commitment Credit Amount	DBE Payment Credit Amount	Difference
SKANSKA-GRANITE-LANE JOINT VENT	01	I-4 MOBILITY PARTNERS OPCO LLC			\$ .00
PRIME ELECTRICAL SERVICES INC	02	SKANSKA-GRANITE-LANE JOINT VENT	\$229,321.96	\$218,236.96	\$11,085.00
D&A CONSTRUCTION GROUP INC	02	SKANSKA-GRANITE-LANE JOINT VENT	\$438,253.00	\$438,253.00	\$ .00
WENDT PRODUCTIONS INC	02	SKANSKA-GRANITE-LANE JOINT VENT	\$315,269.81	\$315,269.81	\$ .00
LAKESIDE ELECTRICAL SERVICES	02	SKANSKA-GRANITE-LANE JOINT VENT	\$146,632.96	\$114,483.00	\$32,149.96
TIERRA INC	02	SKANSKA-GRANITE-LANE JOINT VENT	\$19,531,930.00	\$3,549,871.87	\$15,982,058.13
HDR ENGINEERING	03	SKANSKA-GRANITE-LANE JOINT VENT			\$ .00
TIERRA INC	04	HDR ENGINEERING	\$14,974,356.42	\$13,565,690.31	\$1,408,666.11
ILLUMINATION ARTS LLC	04	HDR ENGINEERING	\$351,120.00	\$283,854.25	\$67,265.75
MONTGOMERY CONSULTING GROUP INC	04	HDR ENGINEERING	\$267,291.50	\$267,291.50	\$ .00
ALL TRAFFIC DATA SERVICES	04	HDR ENGINEERING	\$66,900.00	\$66,900.00	\$ .00



Necessary to monitor overall commitment to the DBE goal in D/B  
 “anticipated commitments” vs “actual commitments”

# Commitment to the Goal by Spreadsheet

Reporting Period: 2016-02 T2C WBS Final.xlsx

Tappan Zee Constructors  
DBE Program - DBE Participation Schedule

(A) RFP Information											(B)	(C)	(D)	(E)	(F)
TZC RFP #	DBE Plan Work Area	Successful Subcontractor	RFP Description	RFP Status	Notice of Interest Date	RFP Issue Date	Pre Bid Meeting Date	Proposal Due Date	Contract Award Date	Forecast Date to Realize Anticipated DBE Commitment	Contract Value Achieved (\$)	DBE Commitments Achieved (\$)	Anticipated DBE Commitments Remaining (\$)	Met DBE Plan Target for DBE Commitments	Notes
2	1	HDR	Design & Engineering Services	Awarded	N/A	Nov 2012	Nov 2012	Nov 2012	Nov 2012	2017 Q4	\$ 175,488,072.00	\$ 17,593,524.81	\$ -	✓	Forecast date to realize DBE participation refers value in column (D)
XX	1	Various DBE Suppliers/Fabricators	Various Suppliers/Fabricators	Refer to DBE Manufacturing Breakouts Table for Details.							\$ -	\$ -	\$ -	✓	Suppliers/Fabricators have yet to work in this DBE Plan Work Area.
TOTALS											\$ 175,488,072.00	\$ 17,593,524.81	\$ -		
ABOVE SECTION IS DBE PLAN WORK AREA: DESIGN															
7	2	Greenman Pedersen, Inc.	Quality Assurance/Program Monitoring	Awarded	N/A	Jan 2013	Jan 2013	Jan 2013	Jan 2013	N/A	\$ 48,288,080.00	\$ 13,400,000.00	\$ -	✓	
125	2	Quality Principles LLC	QA/QC Principles LLC	Awarded	N/A	Apr 2013	Apr 2013	Apr 2013	Apr 2013	N/A	\$ 81,470.00	\$ 81,470.00	\$ -	✓	
8	2	Lifo Engineers	Quality Control	Awarded	N/A	Jun 2013	Jun 2013	Jun 2013	Jun 2013	N/A	\$ 27,897,701.62	\$ 4,612,978.49	\$ -	✓	
231	2	GZA GeoEnvironmental of NY	Design QC - Piledriving	Awarded	N/A	Feb 2014	Feb 2014	Apr 2014	Apr 2014	N/A	\$ 1,395,000.00	\$ -	\$ -	✓	
268	2	KTA-Tator Engineering	Painting Inspection	Awarded	N/A	N/A	N/A	N/A	Nov 2014	N/A	\$ 4,687,660.00	\$ 200,000.00	\$ -	✓	
244	2	KTA-Tator Engineering	Painting Consultant	Awarded	Feb 2014	Feb 2014	Feb 2014	Feb 2014	Feb 2014	N/A	\$ 155,200.00	\$ -	\$ -	✓	
XX	2	Various DBE Suppliers/Fabricators	Various Suppliers/Fabricators	Refer to DBE Manufacturing Breakouts Table for Details.							\$ -	\$ -	\$ -	✓	Suppliers/Fabricators have yet to work in this DBE Plan Work Area.
TOTALS											\$ 82,505,111.62	\$ 18,294,448.49	\$ -		
ABOVE SECTION IS DBE PLAN WORK AREA: QA/QC															
112	3	Impact Environmental Consulting, Inc.	Offsite Trucking	Awarded	N/A	Aug 2013	Aug 2013	Aug 2013	Aug 2013	2018 Q2	\$ 7,147,729.00	\$ 2,946,393.00	\$ 1,553,607.00		Forecast date to realize DBE participation refers value in column (D)
199	3	LB Electric	4" Conduit, Existing Bridge	Awarded	N/A	Dec 2013	Dec 2013	Dec 2013	Dec 2013	N/A	\$ 315,013.00	\$ 315,013.00	\$ -	✓	
218	3	Jorney Excavating	Tree Removal	Awarded	Nov 2013	Nov 2013	Nov 2013	Jan 2014	Jan 2014	N/A	\$ 258,188.00	\$ 258,188.00	\$ -	✓	
54	3	Safety Marking, Inc.	Pavement Marking Work	Awarded	Dec 2013	Jan 2014	Jan 2014	Feb 2014	Apr 2014	N/A	\$ 628,324.50	\$ -	\$ -	✓	
157	3	KMETZ, Inc.	Borings - Westchester Side	Awarded	N/A	Sep 2013	Sep 2013	Feb 2013	Apr 2014	N/A	\$ 621,202.00	\$ -	\$ -	✓	
61	3	Kiewit Infrastructure	Westchester Landing Drill Shaft	Awarded	Feb 2014	Feb 2014	Feb 2014	Mar 2014	May 2014	N/A	\$ 1,760,960.00	\$ -	\$ -	✓	
247	3	Hager-Richter Geoscience	Geophysical Rock Profiling	Awarded	N/A	Feb 2014	Mar 2014	Mar 2014	May 2014	N/A	\$ 40,800.00	\$ 40,800.00	\$ -	✓	
195	3	Ticon New York	Permanent Asphalt & Milling	Awarded	Feb 2014	Apr 2014	Apr 2014	Apr 2014	May 2014	N/A	\$ 2,870,982.25	\$ -	\$ -	✓	
253	3	GRL Engineers, Inc.	WEAP Analysis	Awarded	N/A	Dec 2012	May 2014	May 2014	May 2014	N/A	\$ 83,000.00	\$ -	\$ -	✓	
277	3	Arben Group, LLC	Emergency VMS Removal	Awarded	TBD	TBD	TBD	TBD	Sep 2014	N/A	\$ 63,200.00	\$ -	\$ -	✓	
275	3	Northeast Structural	Westchester & Rockland Gantry Removal	Awarded	Jun 2014	Aug 2014	N/A	N/A	Sep 2014	N/A	\$ 140,882.12	\$ 140,882.12	\$ -	✓	
321	3	Precision Concrete LLC	Concrete Pumping	Awarded	Jun 2014	N/A	N/A	N/A	Oct 2014	2016 Q4	\$ 157,027.00	\$ 157,027.00	\$ 42,973.00		Forecast date to realize DBE participation refers value in column (D)
31	3	JP Hogan Coring and Sawing Corp.	Sawcutting	Awarded	Jul 2014	Aug 2014	Sep 2014	Sep 2014	Oct 2014	N/A	\$ 225,621.40	\$ 225,621.40	\$ -	✓	
58	3	Mohegan Associates, Inc.	Gantry Installation	Awarded	Sep 2014	Sep 2014	N/A	N/A	Oct 2014	2015 Q2	\$ 1,599,332.00	\$ 1,599,332.00	\$ -	✓	
264	3	Iron Lady	Rebar Installation	Awarded	Jun 2014	N/A	N/A	N/A	Jan 2015	2015 Q2	\$ 804,547.00	\$ 804,547.00	\$ -	✓	Awarded, value of \$596,000 listed in column (D) has been removed.
350	3	DOT Core Drilling, Inc.	Diamond Grinding AETC Precast Slabs	Awarded	Apr 2015	May 2015	N/A	Jun 2015	Aug 2015	N/A	\$ 52,500.00	\$ -	\$ -	✓	
TBD	3	Miller Marine, Inc.	Towing - Push Bool Tug	Awarded	TBD	TBD	TBD	TBD	TBD	N/A	\$ 654,955.00	\$ -	\$ -	✓	
XX	3	Various DBE Suppliers/Fabricators	Various Suppliers/Fabricators	Refer to DBE Manufacturing Breakouts Table for Details.							\$ 3,295,180.05	\$ 3,080,302.72	\$ 3,206,292.43	✓	Value in column (D) represents unpaid value of issued POs.
326	3	TBD	Landscaping - Grassing	RFP Under Development	TBD	TBD	TBD	TBD	2018 Q2	TBD	\$ -	\$ -	\$ 800,000.00		Reduced from \$1,000,000 as scope was split - see C-365.
327	3	TBD	Fencing - Guardrail - Attenuators - Land	RFP Under Development	TBD	TBD	TBD	TBD	2017 Q4	TBD	\$ -	\$ -	\$ 300,000.00		
328	3	TBD	Install RBWR11 Wall Panels	RFP Under Development	TBD	TBD	TBD	TBD	2016 Q4	TBD	\$ -	\$ -	\$ 1,000,000.00		



Necessary to monitor overall commitment to the DBE goal in D/B  
 “anticipated commitments” vs “actual commitments”

# Tiering

	Tony Dragone tony.dragone@alimakhek.com P 203-513-3155, F 203-924-0000	<a href="#">Payments</a> <a href="#">Profile</a> <a href="#">Email</a>				0.07%	\$369,277	
1	<b>Allan Briteway Electrical Utility Contractor, Inc. (Subcontractor)</b> Shari Carter scarter@allanbriteway.com P 973-781-0022, F 973-781-1744	<a href="#">Info</a> <a href="#">Payments</a> <a href="#">Profile</a> <a href="#">Email</a>	No	Sub	No	0.30% 0.40%	\$2,831,272 \$2,159,457	\$0
2	<b>Linden Electrical Wholesalers, Inc (Regular Vendor)</b> Lucas Henry Luke@Luken.NYC P 646-874-3578, F 908-241-7875	<a href="#">Info</a> <a href="#">Payments</a> <a href="#">Profile</a> <a href="#">Email</a>	✓	Reg. Dealer 60%	✓ DBE	0.00% 0.01%	\$30,461 \$30,461	\$18,276
2	<b>Montana Datacom (Regular Vendor)</b> Jamie Annunziato jamie@montanadata.com P 917-699-3779	<a href="#">Info</a> <a href="#">Payments</a> <a href="#">Profile</a> <a href="#">Email</a>	✓	Reg. Dealer 60%	✓ DBE	0.01% 0.01%	\$79,763 \$72,512	\$43,507
1	<b>AMY S GREENE ENVIRONMENTAL CONSULTANTS, INC. (Professional Service Agreement)</b> Amy Greene mail@amygreene.com P 908-788-9676, F 908-788-6788	<a href="#">Info</a> <a href="#">Payments</a> <a href="#">Profile</a> <a href="#">Email</a>	✓	Sub 100%	✓ DBE	0.05% 0.01%	\$449,398 \$62,025	\$62,025
1	<b>Applied Foundation Testing (Professional Service Agreement)</b> Tom Santee tsantee@testpile.com P 919-803-5890, F 919-803-5892	<a href="#">Info</a> <a href="#">Payments</a> <a href="#">Profile</a> <a href="#">Email</a>	No	Sub	No	0.06% 0.08%	\$560,688 \$429,156	\$0
1	<b>Atlantic Concrete Cutting Inc. (Subcontractor)</b>	<a href="#">Info</a> <a href="#">Payments</a>	✓	Sub 100%	✓ DBE	0.00% 0.00%	\$10,748 \$0	\$0



Keeps track of DBE credit and multi levels of tiering!



# OJT

## I-4 Ultimate Quality Assurance OJT Report

Inspector	Date	Time	Area	Trainee	Narrative
[REDACTED]	06/22/2016	04:22 PM	3	[REDACTED]	[REDACTED] was on site this afternoon
[REDACTED]	06/22/2016	04:22 PM	3	[REDACTED]	[REDACTED] was on site this afternoon
[REDACTED]	06/22/2016	04:21 PM	3	[REDACTED]	[REDACTED] was on site this afternoon
[REDACTED]	06/22/2016	04:21 PM	3	[REDACTED]	[REDACTED] was on site this afternoon
[REDACTED]	06/22/2016	04:18 PM	2	[REDACTED]	Observed [REDACTED] utilizing a shovel to spread backfill prior to compaction

 **Data on each trainee – Easy to monitor # hours to graduation**

# OJT

Area:  Status:  Day/Night:  Name:

Trainee Name	Supervisor Name	Trainee Area	Trainee Classification	Trainee Status	Day/Night	Open Trainee Info
[REDACTED]	[REDACTED]	MOT	Traffic Control Specialist	Graduated		<input type="button" value="Open Info"/>
[REDACTED]	[REDACTED]	2	Instrument Person	Enrolled	Daytime	<input type="button" value="Open Info"/>
[REDACTED]	[REDACTED]	3	Flagger	Enrolled	Daytime	<input type="button" value="Open Info"/>
[REDACTED]	[REDACTED]	1	Instrument Person	Graduated		<input type="button" value="Open Info"/>

# OJT

TRAINEE ID #	CLASSIFICATION	Area	Minimum Required Training Hours	Maximum Training Hours	Race	Sex	OJT INTERVIEW CONDUCTED	ENROLLMENT FORM APPROVED	ID CARD ISSUED	Actual Start Date	TESTING DATE(S)	GRADUATION DATE	TERMINATION DATE	Termination Voluntary/ In-Voluntary	Reason for Termination	Hours Accumulated at Termination
7823	Erosion Control Specialist	2	250	350	Hispanic	Male	9/28/2015	10/9/2015	10/9/2015	10/12/2015	1/20/2016	2/29/2016				
9725	Flagger	3	150	250	White	Female	5/17/2016	5/18/2016	5/18/2016							
8650	Pipe Layer	2	250	400	Hispanic	Male	3/16/116	3/21/2016	3/21/2016	3/30/2016						
6854	Rough Roller Operator	4	250	400	White	Female	7/13/2015	7/15/2015	7/15/2015				11/3/2015	Voluntary	Quit	82.50
2874	Front End Loader Operator	3	250	500	American Indian	Female	5/26/2016	5/26/2016	5/26/2016							
8427	Instrument Person	2	250	400	Black	Male	6/2/2016	6/9/2016	6/9/2016							
5158	Carpenter Bridge	1	350	700	Hispanic	Male	5/18/2016	5/23/2016	5/23/2016							
1389	Carpenter Bridge	1	350	700	2 or more races	Male	11/20/2015	11/30/2015	11/30/2015	12/1/2015	3/28/2016	5/9/2016				
1389	Pile Driver Leadsman	1	200	400	2 or more races	Male	5/18/2016	5/23/2016	5/23/2016							
5390	Earth Wall Erector	2	300	500	Black	Male	3/16/2016	3/21/2016	3/21/2016				4/15/2016	Voluntary	Employee Resigned	44.50
2272	Carpenter Bridge	2	350	700	Black	Male	1/22/2016	1/29/2016	1/29/2016	2/2/2016			5/2/2016	Voluntary	Employee Resigned	103.00
8633	Erosion Control Specialist	1	250	350	Black	Male	8/19/2015	8/24/2015	8/24/2015	8/28/2015	11/18/2015	12/22/2015				
8633	Pipe Layer	1	250	400	Black	Male	1/6/2016	1/13/2016	1/13/2016	1/13/2016	3/9/2016	4/18/2016				
8633	Carpenter Bridge	1	350	700	Black	Male	5/18/2016	5/23/2016	5/23/2016							
8406	Erosion Control Specialist	2	250	350	Black	Male	3/21/2016	3/23/2016	3/23/2016	3/23/116						
4889	Pipe Layer	3	250	400	Black	Male	7/21/2015	7/24/2015	7/24/2015	7/27/2015	10/26/2015	11/30/2015				
1007	Pipe Layer	1	250	400	White	Male	9/28/2015	10/29/2015	10/29/2015	11/2/2015	1/5/2016	2/16/2016				
1007	Front End Loader Operator	1	250	500	white	Male	5/18/2016	5/23/2016	5/23/2016							
4260	Earth Wall Erector	3	300	500	Black	Male	10/6/2015	10/9/2015	10/9/2015	10/12/2015	1/4/2016	2/16/2016				
4260	Front End Loader Operator	3	250	500	Black	Male	2/5/2016	3/9/2016	3/9/2016	Not Started			3/30/2016	In-Voluntary	Work Schedule	-
9888	Front End Loader Operator	3	250	500	Black	Female	5/17/2016	5/18/2016	5/18/2016							
9755	Erosion Control Specialist	3	250	350	Black	Male	5/17/2016	5/18/2016	5/18/2016							
3113	Pipe Layer	3	250	400	Hispanic	Male	7/13/2015	7/15/2015	7/15/2015	7/20/2015	10/26/2015	11/30/2015				
3113	Earth Wall Erector	3	300	500	Hispanic	Male	2/15/2016	3/9/2016	3/9/2016	3/13/2016	5/12/2016	5/13/2016				
7683	Earth Wall Erector	3	300	500	Hispanic	Male	4/8/2016	4/18/2016	4/18/2016	4/20/2016						
302	Rough Roller Operator	2	250	400	2 or more races	Male	9/1/2015	9/8/2015	9/8/2015	9/14/2015			2/1/2016	In-Voluntary	No Call-No Show	62.00
5096	Instrument Person	2	250	400	Hispanic	Male	11/5/2015	11/13/2015	11/13/2015	11/16/2015	1/20/2016	2/29/2016				
5096	Carpenter Bridge	2	350	700	Hispanic	Male	5/9/2016	5/9/2016	5/9/2016							
4770	Rough Roller Operator	2	250	400	Black	Male	3/24/2016	3/28/2016	3/28/2016	4/4/2016						
2217	Carpenter Bridge	3	350	700	Hispanic	Male	8/17/2015	9/8/2015	9/8/2015	9/14/2015	1/25/2016	2/29/2016				
8050	Traffic Control Specialist	MOT/Equipment Department	250	350	2 or more races	Male	5/25/2016	5/26/2016	5/26/2016							
6029	Carpenter Bridge	1	350	700	Hispanic	Male	2/1/2016	2/2/2016	2/2/2016	2/2/2016	4/15/2016	5/9/2016				
3412	Flagger	4	150	250	Black	Male	12/15/2015	1/5/2016	1/5/2016	1/13/2016			4/8/2016	Voluntary	Employee Resigned	152.00
5411	Pipe Layer	2	250	400	Hispanic	Male	3/10/2016	3/16/2016	3/16/2016	3/29/2016						
3043	Pipe Layer	3	250	400	Black	Male	5/12/2016	5/18/2016	5/18/2016							

# System Checks

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- **Data is only useful if it is:**
  - Accurate
  - Complete
  - Timely
- **Must be manually checked randomly:**
  - CUF interviews/worksite reviews
  - Examination of documents supporting CUF
  - Random follow-up calls with subs to check prompt pay
  - Excel spreadsheet of commitments/attainments/tiering

# Summary of Data Collection Systems:

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**Electronic systems are necessary to manage the volume of data:**

- Not all systems provide the data you need
- Demo the system
  - How is data presented
  - Who has access
  - Who provides training
- Define the system in the RFP
- Don't assume data is accurate

# LESSON FOUR:

## DBE Supportive Services



# DBE Supportive Services

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- The DBE Supportive Services (DBE/SS) program authorizes FHWA to allocate \$10M annually among State DOTs to administer programs that assist DBEs and other women and minority owned firms.
- As of Fiscal Year 2015, every State DOT requesting FHWA DBE/SS funds must include a Business Development Program (BDP) component as part of their proposal.
- The goal of a BDP is to evaluate and provide a structured process for DBEs to receive firm-specific training and technical assistance to increase opportunities for successful participation as primes or subcontractors on highway-related contacts.

# DBE Supportive Services and Major Projects

- Some State DOTs use their DBE/SS funds strategically by tying BDPs to Major Projects
- State DOTs determine what type of work items will be required on an upcoming project, then structures training to help ensure DBEs are ready to meet those needs
- Effective BDPs evaluate individual DBEs to provide individualized training in areas of weakness to build the firm's capacity to increase opportunities of being selected to work on the project and, once on the project, to succeed

# DBE Supportive Services and Major Projects

- Florida uses support services strategically by targeting a substantial portion to Major Projects
- Virginia and a few other states contractually require ongoing support of DBEs and small businesses by the state AND contractor (leveraging resources)
- Contractor sponsored support services help DBEs succeed without crossing the CUF threshold
- Regardless, support for businesses should be early, broad and ongoing

# Questions?



# Closing Remarks



**DAVID PINCKNEY, ACTING NATIONAL DBE PROGRAM MANAGER,  
FEDERAL HIGHWAY ADMINISTRATION  
OFFICE OF CIVIL RIGHTS**

**LATOYA JOHNSON, MAJOR PROJECTS DISCIPLINE MANAGER,  
FEDERAL HIGHWAY ADMINISTRATION  
OFFICE OF PROGRAM ADMINISTRATION**

# Closing Remarks



**The purpose of this webinar was to:**

- Showcase the value of peer exchanges
- Provide real examples on a topic of national interest
- Provide contacts and resources
- Energize the audience—this can be done