

13-1 Evaluate DBE Eligible Participation and OJT Achievement at Project Close-Out (RCRO)



Details

Responsible Parties

- Region Civil Rights Office (RCRO)

Revision Date of this Document

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Document Owner

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Procedure Objective

This document is intended to assist the Region Civil Rights Office, upon notification from the CDOT Project Engineer/Project Manager (PE/PM) that the project is complete, in determining if the contract DBE and OJT goals are fulfilled or if sanctions may be issued. It is recommended to complete the calculation once the semi-final pay estimate has been made to the Prime Contractor.

System Procedures

1. To determine if the DBE goal/commitment has been met on the contract, follow steps 2-11 of this process guide.
2. The RCRO shall review the approved DBE utilization plan for the contract. The contract DBE goal can be found in the contract's Project Special Provisions, DBE Contract Goal, and also on the B2GNow main tab for the contract.

Status: Open/New Spec. - With Audits			
Current Award: \$32,293,689			
➔ Goal:	9.00%	Total Paid:	\$28,985,123
% Credit:	14.45%	For Credit:	\$4,187,870

3. Review the approved utilization plan by logging into the B2GNow system at <http://cdot.dbesystem.com>. (steps 4-7 of this process guide)



4. In the gray toolbar on the left of the System Dashboard, click “Search,” then click “Proposals.”

cdot.dbesystem.com/FrontPage/DiversityMain.asp?XID=9200

The System Dashboard

Certification Stats

Currently Certified: **738**

Pending: **71** Renewing (< 3 mo): **152**

[Config](#)

Applications

	Pending Submission	Elec	Pending Receipt	Pending Processing
Total Apps	38	8	0	0
DBE Update	13	4	0	0
DBE New	17	0	0	0
ESB Update	1	3	0	0
Interstate App	4	0	0	0
ESB New	2	1	0	0

Cert App Questions

	# Apps
Pending Applicant Response	1
Pending Applicant Response - Past Due	1
Pending Document Receipt	0
Pending Review	1

[Config](#)

Certifications

	Total	< 7 days	> 7 days
Pending Staff Assignment	18	0	18
Pending Gross Receipts Review	5	2	3
Pending Screening of Supporting Documents	34	7	27
Pending Decision	2	0	2
Pending Directory	6	0	6


5. In the “Search Parameters” box, enter the CDOT 5-digit sub-account number associated with the contract in the “Proposal/Reference Number” field and click “Search.”

Users Vendors Contracts **Proposals** Outreach

Search for proposals. Enter information into any of the boxes below and click **Search**.

Search Clear Form

Search Parameters

PROPOSAL/REFERENCE NUMBER 

PROPOSAL TITLE/DESCRIPTION

PROPOSAL STATUS **All** ▼

STAFF CONTACT **None selected** ▼

SYSTEM TRANSACTION NUMBER

SPECIAL REQUIREMENTS **None selected** ▼

6. Click “UPs”

Actions	Proposal #	Title/Description
View Bids UPs	12345	summit test proposal

1 - 1 of 1 record displayed: Page **1** ▼

7. Click “View.”


Utilization Plans				
Actions	Phase, Version & Reference	Status	Dates	Contractor
View	Original test	Approved	Released: 4/11/2017 Due: 4/16/2017 Submitted: 4/11/2017 Reviewed: 4/11/2017	CDOT Prime

- Review the eligible participation in B2GNow for all of the committed DBEs on the project.
- Review all approved/rejected CDOT Form 1420s submitted for the project.
- Determine if there is an approved CDOT Form 1432 for all DBEs that are being counted as eligible participation toward the contract DBE goal.
- Determine the total earnings amount on the contract to be used as a denominator when determining if the DBE goal has been met. (Steps 11-14 of this process guide)

Note: The total earnings amount is the amount of the contract earned by the Prime Contractor, including approved Contract Modification Orders and approved force account work performed, but not including deductions for liquidated damages, price reduced material, work time violations, overweight loads or liens. The amount of the Contract

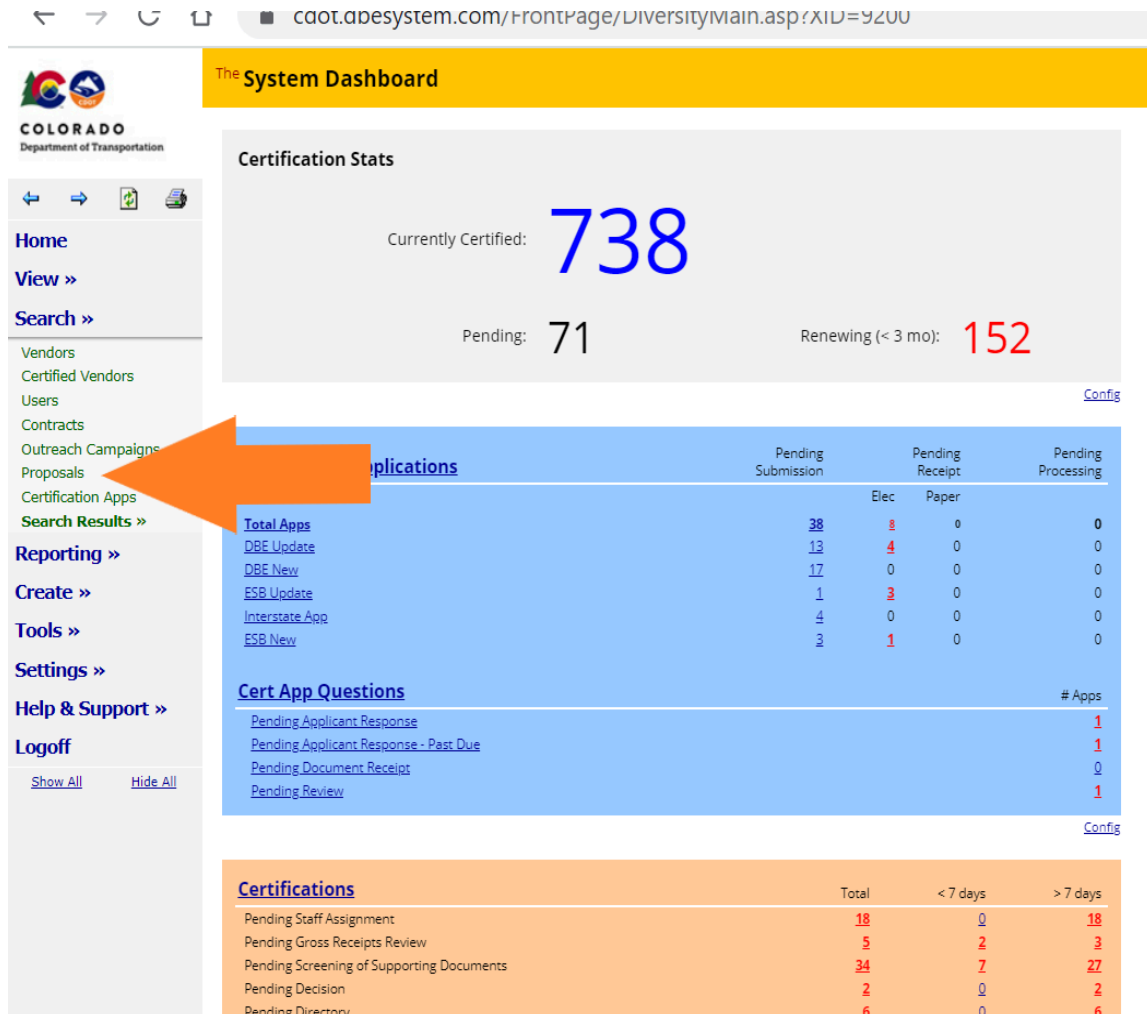
earned does not include plan force account items (i.e. OJT, pavement incentives, and other payment incentives).

12. The RCRO shall contact the PE/PM to determine what pay estimate number the semi-final pay estimate is. The RCRO shall go on the CDOT website and locate the semi-final [pay estimate](#) summary and select the applicable project ID.
13. The RCRO shall communicate with the PE/PM to ensure that the “Current Project Amount” on the semi-final pay estimate is accurate. This dollar amount includes the projected retainage that will be paid to the Prime Contractor as well. It is important that this figure be as accurate as possible as this is the figure that the DBE goal will be based off of.
14. To determine the “Total Earnings Amount,” follow steps 15-16 of this process guide.
15. Identify the Current Project Amount on the pay estimate

		CURRENT TOTAL	THIS ESTIMATE
	CURRENT PROJECT AMT: \$ 3,334,546.70 PARTICIPATING	\$ 270,995.02	\$ 37,807.00
	AWARD PROJECT AMT: \$ 2,739,142.00 NON-PARTICIPATING	2,913,511.68	85,901.76
	PERCENT COMPLETE: 95.50% TOTAL EARNINGS	3,184,506.70	123,708.76
	FUNDS AVAILABLE: \$ 150,040.00 STOCKPILED MATERIALS	0.00	0.00
		GROSS EARNINGS	123,708.76
	TOTAL CLAIMS: \$ 0.00 RETAINAGE	-41,087.13	0.00
		SECURITIES ENCUMBERED	0.00
		NET EARNINGS	123,708.76
		LIQUIDATED DAMAGES	0.00
		AUTOPAY ADJUSTMENT	0.00
		AMOUNT DUE	123,708.76
		OTHER ADJUSTMENTS	0.00
		PAYMENT DUE	\$ 123,708.76

16. Identify the plan force account items on the pay estimate such as the F/A On-the-Job Trainee pay item, F/A Quality Incentive Payment, F/A Asphalt Pavement Incentive Smoothness, and any other incentive items. Add these figures together.
Note: As an option, the RCRO can use the Total Earnings Amount Worksheet, on the third page of the Civil Rights Certificate of Compliance (Final Close-Out) form, as a tool for identifying the total earnings amount.
17. If it is determined at the time of the semi-final pay estimate that the DBE commitment and/or the DBE goal has not been met, the RCRO shall contact the PE/PM for further inquiry to the Prime Contractor. In order for the payments to count as eligible participation to the DBEs, payment must be made (and not just owed). The Prime Contractor (or sub-prime) shall complete the release of retainage process for the DBE firms and report the final payments in B2GNow in order for the RCRO to complete the final close-out process resulting in the final retainage to be paid to the Prime Contractor.
18. To determine if the contract OJT goal has been met on the contract, follow steps 19-26 of this process guide.

19. Review the contract OJT goal by locating the OJT project special provision included in the contract spec package by logging into the B2GNow system at <http://cdot.dbesystem.com>. (steps 20-25 of this process guide)
20. In the gray toolbar on the left of the System Dashboard, click “Search,” then click “Proposals.”



The screenshot shows the CDOT DBE System Dashboard. The left sidebar contains a navigation menu with links: Home, View », Search », Vendors, Certified Vendors, Users, Contracts, Outreach Campaigns, Proposals, Certification Apps, Search Results », Reporting », Create », Tools », Settings », Help & Support », and Logoff. An orange arrow points to the 'Proposals' link. The main content area displays 'Certification Stats' with 'Currently Certified: 738', 'Pending: 71', and 'Renewing (< 3 mo): 152'. Below this is a table of 'Applications' with columns for Pending Submission, Pending Receipt (Elec, Paper), and Pending Processing. The table lists various application types and their counts. Below the applications table is a 'Cert App Questions' section with a list of questions and their counts. At the bottom is a 'Certifications' table with columns for Total, < 7 days, and > 7 days.

Applications	Pending Submission	Pending Receipt	Pending Processing
		Elec	Paper
Total Apps	38	8	0
DBE Update	13	4	0
DBE New	17	0	0
ESB Update	1	3	0
Interstate App	4	0	0
ESB New	3	1	0

Cert App Questions	# Apps
Pending Applicant Response	1
Pending Applicant Response - Past Due	1
Pending Document Receipt	0
Pending Review	1

Certifications	Total	< 7 days	> 7 days
Pending Staff Assignment	18	0	18
Pending Gross Receipts Review	5	2	3
Pending Screening of Supporting Documents	34	7	27
Pending Decision	2	0	2
Pending Directory	6	0	6

21. In the “Search Parameters” box, enter the CDOT 5-digit sub-account number associated with the contract in the “Proposal/Reference Number” field and click “Search.”

22. Click “View”

Search: Proposals [Help & Tools](#)

[Users](#) [Vendors](#) [Contracts](#) [Proposals](#) [Outreach](#)


To **resort** click column title. To **filter** click drop down menu.

Actions	Proposal #	Title/Description	Status	Due Date	Created	Contact
View Bids UPs	Test	Test			7/18/2018	Erica Downey

1 - 1 of 1 record displayed: Page [1](#)

[Search Again](#) [Save Search Parameters](#)

23. Click “View Proposal.”

 [View Proposal](#) [Edit Proposal](#) [Copy Proposal](#) [Delete Proposal](#)

24. Click “View Public Attachments” under the “Proposal Summary” section.

Proposal Summary

ATTACHED FILE(S) [View Public Attachments](#)

25. The contract OJT goal is located in the “On the Job Training Contract Goal” project special provisions.
26. Review all approved CDOT Form 832s on the project.
27. Check if a CDOT Form 1336 has been submitted for the project and review the form, if applicable, to determine if the request resulted in an approval or denial of an OJT goal waiver.
28. If it has been determined that a payment reduction should be applied for the contract DBE goal and/or OJT goal, send an email to the CDOT Project Engineer/Project Manager with a detailed explanation of non-compliance along with the recommended dollar amount of payment reduction/disincentive.
29. If additional information regarding a potential payment reduction/disincentive is provided by the CDOT PE/PM, go to process guide 13-2.
30. If no payment reduction/disincentives are identified, go to process guide 13-3.
31. The Region Civil Rights Office has successfully completed the review in determining if the contract DBE and OJT goals are fulfilled or if financial disincentives are recommended to be issued.