

ATTACHMENT 4 - STEP-BY-STEP PROCESS FOR COMPLETING THE UNIFORM REPORT OF DBE COMMITMENTS/AWARDS AND PAYMENTS

The following information and steps describe the process Greater Roanoke Transit Company (GRTC) undertakes to develop the U.S. Department of Transportation (USDOT) Uniform Report, which is due semi-annually to the Federal Transit Administration (FTA). This process steps required to ensure data is properly collected, analyzed, and saved, and due dates to ensure the timely submittal of the Uniform Report to the FTA. A Schedule for preparing the Uniform Report is included. A summary level Uniform Report preparation process document link is provided; https://www.transit.dot.gov/sites/fta.dot.gov/files/docs/Uniform_Report_11-03-2014.pdf

Background Information and Resources

Reporting Periods

- October 1st through March 31st
 - For Direct FTA recipient funds, submit the Uniform Report electronically via the TrAMS system no later than June 1st.
 - For sub-recipient FTA funds, submit hard copy Uniform Reports for the reporting period to the Director of Finance no later than mid-May. Submit electronically via the TrAMS system no later than June 1st.

- April 1st through September 30th
 - For Direct FTA recipient funds, submit the Uniform Report electronically via the TrAMS system no later than December 1st.
 - For sub-recipient FTA funds, submit hard copy Uniform Reports for the reporting period to the Director of Finance no later than mid-November. Submit electronically via the TrAMS system no later than December 1st.

Electronically Submitted Reports via the TrAMS System

- FTA Grants
 - Including but not limited to:
 - FTA 5307
 - FTA 5339
 - The first Uniform Report is for 10/1 to 3/31 and must be submitted via the TrAMS System by June 1st
 - The second Uniform Report is for 4/1 to 9/30 and must be submitted via the TrAMS System by December 1st
 - These funds are to be reported together and submitted via the TrAMS System

Additional Information

- Primes and Subs can be counted for each Contract they are on.

GRTC Process to Complete Uniform Report of DBE Commitments/Awards and Payments

Step 1: Create New File Folders for the Reporting Period (Begin 10/1 for first reporting period and 4/1 for second reporting period)

Use the grants files folders located in the DFS folder labeled Capital Grants.

- Add a new folder for the FTA Grants for the specified reporting period.

Step 2: Identify Contracts covered under Grants (Begin within two weeks from Step 1)

- From the Contracts folders in DFS, click the Reports Tab.
- Run the following Reports:
 - Contract List Report
- Sort by Dollar Value:
 - Remove all those that have \$0 Dollar Value (ie: sponsorships, agreements, etc.).
- Sort by Contract type
 - Such as Revenue contracts, piggybacks, options, renewals, and paratransit contracts.
 - Purchase Orders
 - Remove all vehicle procurements.
- Sort by Funding type
 - Remove all contracts without Federal Grant funding.

Step 3: Complete the FTA Funded Contract Summary Spreadsheet (Complete within 4 weeks from start of process)

- Open the most recent completed Contract Summary Excel Spreadsheet, which can be found in GRTC's DFS folder under Purchasing1, Disadvantaged Business Enterprise Documents, then DBE Procurement Tally, delete the data and, resave it for the new Semi-Annual reporting period:
 - Add Contracts with Grant Funding to both the Executed and Completed Contract Information sections.
 - Refer to the Contract Folder for missing information.
 - Complete the *DBE Information* section.
 - Complete the *Funding Information* section.
 - If you cannot calculate the funding percentage, ask the Director of Finance.
 - Complete the *Prime Contract Amount (Federal Share)* section – Only the federal share in dollars should be reported.
 - Complete the *Subconsultant Contract Information & Amount (Federal Share)* section for both DBE and Non-DBE Subs - Only the federal share in dollars should be reported from the DBE Procurement Tally Report.
 - Ensure all formulas and calculations are correct.

Step 4: Complete Planning Grants Contract Summary Spreadsheet (Complete within 5 weeks from start of process)

- Open the most recent completed excel spreadsheet, delete the data and, resave it for the new Semi-Annual reporting period.
 - Add Contracts with Grant Funding to both the Executed and Completed Contract Information sections.
 - Complete the *DBE Information* section.
 - Complete the *Funding Information* section.
 - If you cannot calculate the funding percentage, ask the Project Manager.
 - Complete the *Prime Contract Amount (Federal Share)* section – Only the federal share in dollars should be reported.
 - Complete the *Subconsultant Contract Information & Amount (Federal Share)* section for both DBE and Non-DBE Subs - Only the federal share in dollars should be reported.
 - Ensure all formulas and calculations are correct.

Step 5: Complete the Uniform Report of DBE Commitments/Awards and Payments (Complete three weeks before the due date – June 1/December 1)

- To complete the report, refer to data collected and calculated on the Contract Summary Spreadsheets.
- **Complete Sections 1-7**
 - Section 7 – This is GRTC’s annual DBE goal established for the Federal fiscal year. Overall Goal is to be reported as well as the breakdown for specific Race Conscious and Race Neutral Goals (both of which include gender-conscious/neutral goals)
 - The Race Conscious Goal consists of setting a specific DBE contract goal in procurements with FTA funding. When specific Contract Goals are used, prime contractors must either meet the goal by contracting with DBE firms or make good faith effort to meet the goal by advertising and contracting DBE firms.
 - The Race Neutral (RN) Goal consists of GRTC meeting a portion of the overall DBE goal through contracts without contract specific goals.
- **Section A – Awards/Commitments Made During This Reporting Period**

Prime Contracts Awarded this period

 - 8(A) – Enter the total dollar amount for all prime contracts assisted with the Grant this report is submitted for.
 - 8(B) - Enter the total number of all prime contracts assisted with the Grant this report is submitted for. If the prime is listed on two different contracts, they should be counted individually.
 - 8(C) - From the total dollar amount awarded in item 8(A), provide the dollar amount awarded to certified DBEs during this reporting period.
 - 8(D) - From the total number of prime contracts awarded in item 8(B), specify the number awarded to certified DBEs during this reporting period.
 - 8(E) - Blank.
 - 8(F) - Blank.
 - 8(G) - From the total dollar amount awarded in item 8(C), provide the dollar amount awarded to certified DBEs through the use of RN methods.
 - 8(H) - From the total number of prime contracts awarded in 8(D), specify the number awarded to DBEs through RN 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.

Subcontracts awarded/committed this period

- 9(A)-9(I) – Complete these sections 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(E) Provide the total dollar amount of DBEs that are race conscious; 9(F) Provide the total number of DBEs that are race conscious.
- 10(C)-10(I) -Add the DBEs awarded prime contracts and awarded or committed subcontracts according to columns C-I in Section A for a total per column.
- **Section B Breakdown by Ethnicity & Gender**
 - 11(A)- 16(A)- Provide the total dollar amount to DBEs that are women of each ethnicity group; Repeat this step for 11(B) – 16(B) for men, then in column 11(C) – 16(C) add each ethnicity group per lines (11-16) for women and men total to get the total dollar amount to DBEs. Repeat the same steps for the total number of DBEs for women in columns 11(D) – 16(D) and men in columns 11(E) - 16(E), then in column 11(F) – 16(F) add each ethnicity group per lines (11-16) for women and men total to get the total number of DBEs per ethnic group.
 - 17(A) - 17(F)- Add lines 11(A) to 16(A) to obtain the total dollar amount spent with women DBEs; Repeat this step for column 11(B)-16(B) and 11(C) -16(C), column 17(C) should be the total dollar amount spent with DBEs; Repeat the same steps for the total number of DBEs per women and men of a particular ethnic group.
- **Section C- Payments on ongoing contracts**
 - 18(A)- Provide the number of contracts that have been paid for the specified period to prime and subcontractors; 18(B) Provide the total dollars paid to prime and subcontractors for the specified period; 18(C) Provide the total number of contracts that were paid - how many were DBEs; 18(D) Provide the total payments to DBEs from the contracts paid in the specified time frame; 18(E) Provide the total number of DBEs paid in this specified time; 18(F) Of all the prime and subcontracts completed this reporting period, calculate the percentage of DBE participation. Divide the actual total dollar amount in 18(B) by the total dollar value provided in 18(D) to derive this percentage. Round to the nearest tenth. This section is for one-time payments or ongoing contracts.
- **Section D – Total Payments on Contracts Completed This Reporting**
 - Column A- Provide the number of contracts completed for race conscious, race neutral, then add the two together for 21(A);
 - Column B- Provide the total dollar value of contracts completed for race conscious, race neutral, then add the two together for 21(B);
 - 19(C)- Provide the DBE participation needed to meet the goal in dollars for race conscious contracts;
 - Column D- Provide the total DBE Participation in dollars for race conscious, race neutral, then add the two together for 21(D);
 - Column E- Provide the percent to DBEs by 19(F) of all the prime and subcontracts completed this reporting period, calculate the percentage of DBE participation. Divide the actual total dollar amount in 21(B) by the total dollar value provided in 21(D) to derive this percentage. Round to the nearest tenth. This section is for one-time payments or ongoing contracts.
- # 22 - Name of the Authorized Representative preparing this form.
- # 24 - Signature of the Authorized Representative.
- # 25 - Phone number of the Authorized Representative.

Step 6: Submit Completed Uniform Reports to Director of Finance

- Reports must be submitted to the Director of Finance 3 weeks prior to the June 1st and December 1st Uniform Report due dates.
- The Director of Finance will review and approve each report prior to final submittal to FTA via TrAMS.

Step 7: Submit Uniform Reports to FTA

- FTA Direct Recipient Grants – Submit Uniform Report electronically via the TrAMS System no later than June 1st and December 1st of each reporting period.
 - Including but not limited to:
 - FTA 5307 – Urbanized Area Formula Program
 - FTA 5339 – Bus and Equipment

GRTC reports are inclusive of sub-recipients and GRTC's purchased transportation provider's DBE participation.