

ARKANSAS STATE HIGHWAY AND TRANSPORTATION DEPARTMENT

Equipment and Procurement Division

REQUEST FOR PROPOSALS (RFP) No: 15-001P

Disadvantaged Business Enterprise Supportive Services Program

Proposals must be submitted
no later than 10:00 a.m. CDT
August 1, 2014

No submissions or modifications
will be accepted after this deadline.

To constitute a valid submission, proposal must:

- (1) Be submitted by the prescribed date and time (Paragraph 2.3),
- (2) Address all the requirements set forth herein, and
- (3) Contain Page 5 completed as indicated.

For further information regarding this RFP contact
Danny Keene, Division Head
Equipment and Procurement Division
at (501) 569-2672

Arkansas State Highway and Transportation Department
RFP Number 15-001P
Disadvantaged Business Enterprise Supportive Services Program

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ARKANSAS STATE HIGHWAY AND TRANSPORTATION DEPARTMENT

Request for Proposals Number 15-001P

Proposed Work Plan
for the
Disadvantaged Business Enterprise Supportive Services Program

Section 1.0 INTRODUCTION

- 1.1 **Scope of Proposal:** The Arkansas State Highway and Transportation Department, hereinafter called “AHTD” or “the Department,” is soliciting proposals to accomplish the Department’s Disadvantaged Business Enterprise Supportive Services Program (DBE/SSP) for Federal Fiscal Year 2015 (October 1, 2014 through September 30, 2015) with an option to renew for one year periods, upon mutual agreement, not to exceed four (4) additional years. The proposed DBE/SSP Desk Reference that includes the Statement of Work (SOW) is attached to, and made a part of, this request for proposals (RFP). Proposers may suggest revisions to the SOW, subject to Department approval. The successful consultant will be required to submit monthly or quarterly reports of program activities by the 15th day of the month covering the previous month’s or quarter’s activities.
- 1.2 **Point of Contact:** This Request for Proposals (RFP) is issued by the Arkansas State Highway and Transportation Department, Equipment and Procurement Division on behalf of the EEO/DBE Section, which are the points of contact for the Department during the submission and selection process. These two Divisions will administer any contract resulting from this RFP. Questions concerning this RFP should be addressed to the AHTD officials named below:

Questions concerning submission of a proposal in response to this RFP should be addressed to:

Danny Keene, Division Head
Equipment and Procurement
Arkansas State Highway and Transportation Department
P. O. Box 2261
Little Rock, AR 72203
Phone: (501) 569-2672
Fax: (501) 569-2679

Questions concerning technical content and requirements of this RFP should be addressed to:

Joanna P. McFadden Section Head
EEO/DBE Section
Arkansas State Highway and Transportation Department
P. O. Box 2261
Little Rock, AR 72203
Phone: (501) 569-2298
Fax: (501) 569-2695

Written inquiries are encouraged and will be answered in writing. Oral communications shall not be binding on the Department and can in no way modify the terms, conditions, or specifications of this RFP or relieve the successful consultant of any obligations resulting from this RFP. Proposers are expected to raise any questions they have concerning the RFP document at this point in the RFP process. In the event that it becomes necessary to provide additional clarifying data or information, or to revise any part of this RFP, revisions, amendments, or supplements will be provided to all recipients of this initial RFP and all who have requested information in writing.

- 1.3 **Qualifications:** Proposers should have knowledge of the Disadvantaged Business Enterprise Supportive Services Program and experience with similar programs.
- 1.4 **Information Restrictions:** All information received by AHTD regarding this RFP is restrictive and will not be available before award to the successful consultant.
- 1.5 **Choice of Law & Choice of Forum:** This RFP and any resulting contract shall be governed by and construed in accordance with the laws of the State of Arkansas. Any proceeding relating to any cause of action of any nature arising from or relating to this RFP or contract may be brought only before the appropriate forum in Pulaski County, Arkansas.
- 1.6 **Ethics:** *"It shall be a breach of ethical standards for a person to be retained, or to retain a person, to solicit or secure a State contract upon an agreement or understanding for a commission, percentage, brokerage, or contingent fee, except for retention of bona fide employees or bona fide established commercial selling agencies maintained by the contractor for the purpose of securing business."* Ark.Code.Ann. § 19-11-708(a).

Section 2.0 PREPARING AND SUBMITTING A PROPOSAL

- 2.1 **General Instructions:** The evaluation and selection of a consultant will be based on the information submitted in the proposal plus references and samples. Failure to respond to each of the requirements in the RFP may be the basis for rejecting a response.
- 2.2 **Incurring Costs:** The Department is not liable for any cost incurred by proposers in replying to this RFP.
- 2.3 **Time and Place for Submission of Proposals:** Proposers must submit a completed proposal, along with all materials required herein for acceptance of their proposal, prior to **10:00 a.m. CDT, on August 1, 2014.** RFP Number should be clearly marked on all packaging containing the proposal.

Mail To:
Arkansas State Highway
and Transportation Department
Equipment and Procurement Division
P.O. Box 2261
Little Rock, AR 72203

Deliver To:
Arkansas State Highway
and Transportation Department
Equipment and Procurement Division
11302 W. Baseline Road
Little Rock, AR 72209

- 2.4 **Late Proposals:** Proposals received after the date and hour established will be considered late and will be automatically disqualified. Late proposals will be returned unopened.

- 2.5 **Unsigned Proposals:** Page five of this RFP must be signed and included with proposal to constitute a valid submission. The signature must be original, in ink (not stamped or photocopied). Unsigned and improperly signed proposals will be automatically disqualified.
- 2.6 **Withdrawing or Modifying Proposals:** A proposal that has been submitted may be withdrawn, modified, or corrected by a proposer prior to the date and time set for submission. Telegrams or letters received before the date set for submission of proposals will be accepted and attached to the proposal, and the proposal will be considered withdrawn, modified, or otherwise changed accordingly. RFP Number should be clearly marked on all packaging/envelopes containing proposal documents. No proposal may be withdrawn, modified, corrected, or otherwise changed after the date and time set for submission.
- 2.7 **Assignment:** No award resulting from this RFP may be assigned, sold, or transferred without the prior written consent of AHTD. Furthermore, no obligation incurred pursuant to this RFP and resulting contract may be delegated without prior written consent of AHTD.
- 2.8 **Cancellation of Proposal:** The Department reserves the right to cancel any award without recourse upon written notice to the consultant.
- 2.9 **Default and Remedies:** Non-performance of any requirement, term or condition resulting from this RFP shall constitute default. Upon default, the Department shall issue a written notice of default providing a period in which the consultant shall have seven (7) days to cure said default. If the consultant remains in default beyond the seven (7) days, or if the default is repeated during the term of the contract or any extension thereof, the Department may, in its sole discretion, terminate the contract(s) or remaining portion thereof and exercise any remedy provided by law.
- 2.10 **References:** Proposers must submit a list of clients for whom Disadvantaged Business Enterprise Supportive Services Programs or similar programs have been performed. Any references should include a point of contact name, address, and telephone number. Information obtained from reference contacts may be used in determining the successful consultant.

Section 3.0 PRICING

- 3.1 **Pricing:** Proposers must submit a detailed budget for accomplishing the SOW. There will be no advance payment for start-up. Reimbursement will be based on expenditures and expenses incurred. Although cost of services will not be a consideration in selecting the DBE/SSP consultant, proposers should be aware that the total annual budget for this project will be the amount as shown in the budget or less depending on funding of the program from the Department of Transportation, Federal Highway Administration.

Section 4.0 EVALUATION AND AWARD

- 4.1 **Evaluation:** Proposals will be evaluated on the extent of services offered, ability to provide those services, references, and experience. A representative from the Programs and Contracts Division, a representative from the Construction Division and the Section Head-EEO/DBE will review the proposals received and may ask selected proposers to make a formal presentation to the DBE Advisory Committee.
- 4.2 **Award:** Any award will be made based upon the evaluation of all proposals received in response to this solicitation and the determination of the proposal or proposals considered to be the most advantageous to the State and DBEs. The Department reserves the right to accept or reject, in whole or in part, any and all proposals submitted; to award to more than one proposer; to waive any minor technicalities, when it is in the best interest of the State; and to negotiate the terms of the contract, including the award amount, with the selected proposer(s).

Arkansas State Highway and Transportation Department
Request for Proposals
Disadvantaged Business Enterprise Supportive Services Program

This Page MUST be completed, properly signed, and returned for proposal to be considered.

Section 5.0 OFFER AND ACCEPTANCE

5.1 Offer:

I, the undersigned, affirm that this proposal is made on behalf of the below-named individual/company, for whom I have legal authority to commit to the terms and conditions set forth in the RFP and this response, to which I/we agree to be bound if this proposal is found acceptable by the Department; and that this proposal is made without any collusion or coercion on the part of any person, firm, corporation or other entity.

Company: _____ Address: _____

Representative: _____ City: _____

Title: _____ Phone: _____ Fax: _____

Email: _____

Federal Tax ID or Social Security No.: _____

Signature: _____ Date: _____

(Must be legible, original and in ink, no photocopies)

5.2 Acceptance: (FOR AHTD USE ONLY)

Accepted: _____

By: _____ Date: _____

Reimbursement. The consultant will be reimbursed for actual, incurred, eligible expenses upon submission and approval of detailed invoices. Invoices may be submitted for any time frame not less than two weeks. The rates allowed for reimbursement of consultant’s expenses for mileage, meals and lodging will be as set forth in the AHTD Accounting Manual.

Costs associated with this program are subject to audit by AHTD or FHWA representatives during normal business hours. Appropriate receipts should be maintained by the consultant to support claimed expenses.

Termination Clause. This contract may be terminated by either party, with cause, upon giving the other party thirty (30) days written notice of intent to terminate.

Arkansas Highway and Transportation Dept.

Consultant

By: _____ By: _____
AHTD Official Consultant Representative

Type or Print Name Type or Print Name

Title Title

Date: _____ Date: _____

The consultant understands that the Arkansas State Highway and Transportation Department is an equal opportunity employer and therefore maintains a policy which prohibits unlawful discrimination based on race, color, creed, sex, age, national origin, physical handicap, disability, or any other consideration made unlawful by federal, state, or local laws. All such discrimination is unlawful and the consultant agrees during the term of the agreement that the consultant will strictly adhere to this policy in its employment practices and provision of services.

IMPLEMENTATION

Implementation

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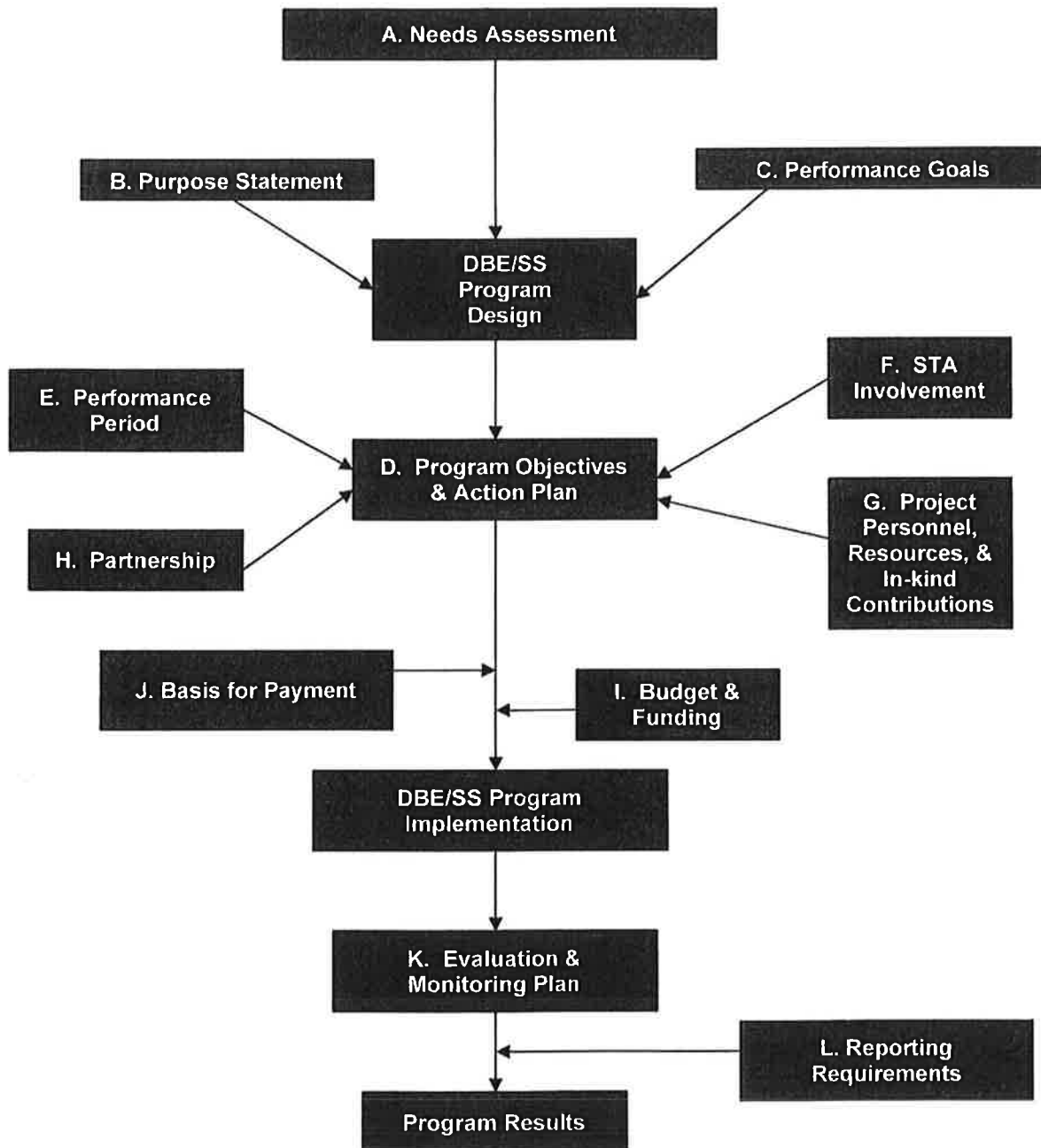
I. Statement of Work Overview

A fundamental part of any basic Disadvantaged Business Enterprise/Supportive Services (DBE/SS) program is a detailed work statement that must be included consistent with the Federal Highway Administration (FHWA) guidance in 23 CFR 230.204 Subpart (c)(g)(h). To receive DBE/SS funds, the State transportation agencies (STA) must submit a work statement to the Federal Highway Administration Division Office for approval. Funding is not awarded until the FHWA's Associate Administrator for Civil Rights has approved the Statement of Work (SOW) for the delivery of the STA's DBE/SS program.

Proposals submitted for DBE/SS funding are reviewed in terms of how well they can be expected to achieve results and on the degree to which they develop a performance-based statement of work that can be evaluated in terms of its accountability for the expenditure of public funds and its ability to accomplish the purposes of this program. The SOW must be signed and approved by a designated executive level officer at the STA and the FHWA Division Administrator or Assistant Division Administrator prior to transmittal to the Associate Administrator for Civil Rights.

Please note: ALL STATEMENTS OF WORK submitted to the Federal Highway Administration must be complete (including all program components). Incomplete Statements of Work will be returned without evaluation and may cause the State Transportation Agencies to forfeit their funding request for the current fiscal year.

II. Steps Involved in Creating a Successful DBE/SS Program



III. How to Create a Successful Statement of Work

A. NEEDS ASSESSMENT

1.1. DBE/SS Program Goal

The broad goal of the DBE/SS program is to provide services and activities that are designed to increase the total number of active DBE firms participating in the highway program and to contribute to the growth and eventual self-sufficiency of individual minority businesses. The overall goal is to ensure businesses achieve proficiency to compete, on an equal basis, for contracts and subcontracts without the assistance of the DBE/SS program.

1.2. Purpose of the Needs Assessment

In order to achieve the broad DBE/SS program goal, STAs must determine what services would increase the participation of DBE firms in Federal-aid highway construction projects. For example, if less than 20 percent of a STA's certified DBE firms are receiving Federal-aid contracts, perhaps the STAs can target their DBE/SS efforts to increase that number. Thus, a needs assessment becomes the basis for developing a DBE/SS program that helps DBE firms participate, grow, diversify, and build capacity to successfully compete in the highway industry. These services should provide economic development for underprivileged communities and increase the pool of ready, willing, and able DBE firms in the highway industry.

In addition, the STAs must determine and describe the current barriers to the participation of DBE firms on Federal-aid highway construction projects.

A needs assessment will provide data from the target group and contractors identifying the barriers that hinder the target group's participation in Federal-aid highway construction projects, thereby, demonstrating the need for the DBE/SS program. The DBE/SS program **MUST** address these barriers by offering services/activities that offer solutions and enable the State Transportation Agencies to develop individualized DBE/SS programs for their community.

The needs assessment allows the FHWA to determine which programs are serving the greatest needs, i.e., the ones where the fewest qualified program participants are getting contracts.

1.3 Annual Data Collection from Participants

The needs assessment is conducted annually. Information is obtained from prime contractors, consultants, DBE firms and the local communities where the projects are located. The assessment includes projects that are proposed to start within the next 5 years.

Annual data can be collected from the following participants:

1. DBE firms participants
2. DBE service providers
3. Construction company owners
4. State construction and project engineers
5. Other DBE related entities/participant(s) including Unions, CCIAs, CBOs

1.4. Instruments to Collect Information

A variety of instruments can be used to collect information, including but not limited to, the following:

1. Surveys
2. Internal data collection
3. Interviews
4. Evaluations
5. Observations
6. Focus groups
7. Assessment of skills for targeted group

1.5. Questions the Needs Assessment MUST Answer

The needs assessment **MUST** answer the following questions in order to develop the DBE/SS Statement of Work:

1. Why are we implementing this program?
2. What **current** and **future** Federal-aid highway construction **projects** have been **identified in the community**?
3. What Federal-aid highway construction **contracts and subcontracts** have been **identified** based on the current and future jobs cited in question 2?
4. What skills/qualifications are required for the identified contracts and subcontracts cited in question 3?
5. What are the **current barriers** to DBE firms in participating on these Federal-aid highway construction projects and jobs?
6. What programs can be designed using information gathered in 4 and 5?

1.6. How to Identify DBE/SS services

How to identify the DBE/SS Services for the target groups' ability to perform highway construction jobs once community construction jobs have been identified:	
1.	Identify the DBE firms' current qualifications to perform the specific tasks required for the identified contracts.
2.	Develop a list of tasks and competencies needed by the contractors/ subcontractors in order to complete the job (identify established performance expectations).
3.	Identify the barriers to job performance (what is the difference between the current level of performance and the established performance expectations).
4.	Identify what tasks/competencies are the most important for achieving the DBE/SS goal.
5.	Develop DBE/SS programs that bundle the tasks identified in step 5 and hence, provide services that will reduce or eliminate the barriers identified.

The example of needs listed in the chart below represent the areas of needs where DBE/SS services can be utilized depending on the level of DBE firms' knowledge and experiences (**Basic level DBE firms** -- newly certified DBE firms, **Mid level DBE firms** – certified for more than 1 year, **Advanced level underutilized DBE firms** – certified and ready to perform on highway industry related contracts).

1.7. Examples of possible areas where assistance may be needed

Examples of Potential Recipients of Assistance and Possible Solutions	
Recipient	May need help in these areas
Basic Level DBE Firms	Budget Preparation, Business Plan Preparation, Decisionmaking Practices, Manpower Allocation, Networking, Payroll Preparation, Obtaining Working Capital, Organization Development, Safety Plan Development, Small Business Fundamentals, Software training, Time Management, Workers Compensation, etc.
Mid-Level DBE Firms	Accounting Software, Cash Flow Analysis, Contract Compliance Knowledge, Contract Performance Problem Resolution, Cost Reports (Preparation), Marketing Material Development, Marketing Plan and Outreach, Marketing Strategy, Determining Ongoing Project Requirements, Overhead Audit, Project Cost Comparison, etc.
Advanced Level Under-utilized DBE firms	Asset and Debt Management, Bond Packaging, Contract Estimating and Bidding, Credit Review and Credit Counseling, Executive Management, Insurance, Loan Packaging, Sub-contract development. Etc.

B. PURPOSE STATEMENT

The purpose statement is a **summary** that tells the **amount of money** the STA is **requesting**, **why** the money is being **requested** (services offered should be identified from current needs assessment) and what the money will be **used for**.

Example of a Purpose Statement

ABC State is requesting \$XXX,XXX in funding to enhance the growth and development of 50 under-utilized DBE firms by administering an Entrepreneurial Development Program to increase the capacity of participating DBE firms to successfully participate on highway contracts.

C. PROGRAM GOALS

Performance goals, developed annually, are anticipated and the desirable results of the project. These projects are based on the outcome of the needs assessment.

A performance-based program should be results-oriented. Establishing specific performance goals helps ensure accountability and enables the program administrator, the FHWA Division Offices and Headquarters, to document and assess the effectiveness of the program.

The DBE/SS program goal **MUST** address *the results that the under-utilized DBE firms are expected to achieve by the end of the performance period.*

Once goals are established, results-oriented objectives will drive the formulation of the plan for achieving these goals.

TIP: It is recommended that each DBE/SS program identify three to six goals, with each goal always having one to three measurable objectives.

Using the data collected from the needs assessment, the STA should identify the specific program goals for their DBE/SS program. Program goals identify where the DBE/SS program hopes to be at the end of the performance period and are **based on the problems identified in the needs assessment**.

DBE/SS PROGRAM GOALS MUST:

- Be written in one to two sentences.
- Be clear and concise.
- Do not have to include any measurements or timelines (these will be included in the program objectives).
- Goals should identify the targeted population.

TIP: Goals are where you want the targeted group to be at the end of the performance period.

Examples of Topics for PROGRAM GOALS*

1. Establish Mentor-Protégé program to help DBE firms move into non-traditional areas of work and/or compete in the marketplace outside the DBE program.
2. Provide business enhancement/development services to the underutilized DBE firms through Entrepreneurial Development Institute.
3. Provide targeted assistance to the DBE firms in securing bonds by developing a Bonding Program.
4. Establish Mobilization and Micro Lending Program to provide loans to DBE firms for contract start up and emergency working capital needs.
5. Provide assistance to DBE firms in loan packaging and financial management by creating Loan and Finance Program.
6. Provide Technical Assistance Program to develop and improve the capabilities of DBE firms in technical skills, which are involved in heavy and highway construction/construction-related services.
7. Provide Marketing/Networking Assistance (mainly for Mid level DBE firms).
8. Establish a program that would develop the sub-contractors to prime-contractors, graduating from the DBE Program.
9. Developing innovative gender and race-neutral business strategies is especially encouraged as described in (49 CFR 26, Appendix C).
10. Schedule and coordinate individualized training sessions with certified DBE firms to enhance technical expertise/credentials of DBE principals in areas such as cash management, business planning, independence, subcontract language, and legal issues (mainly for Basic level DBE firms).

*All of these performance goals/services should be connected to a Federal-aid highway construction project.

¹ Also see "Researching Your Market" by U.S. Small Business Administration – www.sba.gov/library/pubs/mt-8.txt

D. RESULT-ORIENTED OBJECTIVES and ACTION PLAN

4.1 RESULTS-ORIENTED OBJECTIVES: What are the major steps that the program will take in order to reach each goal?

The objectives, expressed numerically, serve as *benchmarks for what the program plans to achieve during the performance period*. The objectives must be *result-based* to demonstrate accountability.

Result-based objectives are specific, measurable, attainable and time-bound (*showing a measurable change* as a result of the DBE/SS program and *identifying a time period* for measurement of each objective).

IMPORTANT: RESULT-ORIENTED OBJECTIVES need to be written in *specific* and *measurable terms* and have a given *time frame* for achievement.

4.1.1 Writing Program Objectives in Specific, Measurable Terms with Time Frames for Achievement

STEP 1. First restate each identified program goal.

STEP 2. Determine what services/activities the DBE/SS program will provide in order to reach each goal.

STEP 3. Determine a realistic and attainable measurement for achievement that the program should achieve by the end of the performance period.

STEP 4. Identify the specific time (date) each objective will be measured and achieved.

4.2. ACTION PLAN:

The action plan should *describe in detail* the process (**ALL** activities/services) that will be implemented in order to *achieve the program objective along with their performance measures*.

The action plan * **MUST** provide enough detail so that readers can easily understand the following:

- What services DBE firms will be receiving
- What the DBE firms will be doing
- What benefits DBE firms will be gaining from the services
- How the success and completion of this action will be measured

***Replication of the program should be possible based upon reading the action plan.**

Examples of Results-Oriented Objectives and Action Plan

Business Development Program

Objective: By March 2010, enhance the growth and development of 35-50 underutilized DBE firms involved in highway construction by providing them with business management assistance. Eighty percent of the firms should report positive business growth six months after completing the program.

Action Plan:

ACTIVITY	PERFORMANCE MEASURE(S)
<p>Enroll 35-50 DBE firms this year for Business Development Program to increase management and technical expertise of DBE firms</p> <p>Each firm will sign a formal agreement detailing the commitment, benefits, and expectations for firms participating in the program</p> <p>Based on the results of the Needs Assessment, identify the number of DBE firms that need business plans and are interested in developing one</p>	<ul style="list-style-type: none"> • # of DBE firms committed to participate in the program • # of DBE firms that submitted signed agreements • # of DBE firms assisted with business plan development • # of DBE firms assisted that develop a complete business plan
<p>Conduct a detailed and comprehensive needs assessment on each of the DBE firms participating in the Program</p> <p>Identify DBE firms who have common training needs</p>	<ul style="list-style-type: none"> • # of DBE firms in the Business Development Program that have completed a comprehensive needs assessment • # DBE firms and training needs identified
<p>Business Coaching: Develop pool of business analysts to work with DBE firms individually based on their individual needs assessment (e.g., business processes, technology, and other issues)</p> <p>Develop and conduct, workshops, seminars and training sessions to meet DBE training needs</p>	<ul style="list-style-type: none"> • # of DBE firms with completed individual needs assessments • # of relevant training opportunities offered. • # of participants attending training • # of participants completing training • 75 percent of DBE firms in the program will report higher gross income and net income one year after the program
<p>Marketing Program: Provide individualized assistance to participants to establish effective marketing strategies, products, and goals</p>	<ul style="list-style-type: none"> • # of DBE firms with marketing plans • # of DBE firms with marketing products

Examples of Results-Oriented Objectives and Action Plan

Bonding, Loan and Financial Management Program

Objective: By March 2010, provide technical assistance to at least 150 qualifying and underutilized DBE firms to obtain bonds, loans, and other financial assistance through Bonding and Loan Assistance Program.

Action Plan:

ACTIVITY	PERFORMANCE MEASURE(S)
Provide resources to address items identified in the business improvement plan for each firm participating in the program, ensuring that each firm in the program has a comprehensive business plan and the financial documents necessary to apply for financing or a surety bond.	<ul style="list-style-type: none"> • # of DBE firms receiving assistance • # of DBE firms that received assistance and completed bond and financial applications • # of DBE firms that are engaged in Bonding Program and/or Short-term lending program • # of DBE firms with an increase in bonding capacity • # of DBE firms financial packages funded • # of DBE firms with financial increases (line of credit, net income, cash balance)
Bonding Program: Develop partnership and strategies with surety firms that will allow DBE firms to begin establishing record of accomplishment for bonding.	<ul style="list-style-type: none"> • # of partnerships developed • # of DBE firms with increased bonding capacity
Financial Management Program: Provide qualified, industry-certified financial specialists to create effective financial management systems for DBE firms based on the DBE firms individual needs assessment.	<ul style="list-style-type: none"> • # of DBE firms proficient in self financial management • # of DBE firms skilled in computer-based financial management systems • # of DBE firms learning to develop their financial statements
Loan Program: Form consortium with Small Business Development Centers (SBDC), area lending and financial institutions to improve DBE firms loan approval rates. Include Small Business Administration (SBA), Rural Development Agencies, and other local initiatives designed to provide financial assistance to small business, separately or as part of consortium.	<ul style="list-style-type: none"> • # of partnerships developed • # of DBE's with increased access to capital

Examples of Results-Oriented Objectives and Action Plan

Mobilization and Micro Loan Fund Program

Objective: By March 2010, provide at least 15 DBE firms with emergency working capital loans so that they have adequate capital to mobilize on contracts once they are awarded.

Action Plan:

ACTIVITY	PERFORMANCE MEASURE(S)
Establish mobilization and micro lending program to provide loans to DBE firms for contracts start up and emergency working capital needs.	<ul style="list-style-type: none"> • Create all legal and administrative documents to establish lending program. • Approve at least five mobilization or emergency working capital loans for DBE firms participating in the program.

Mentor-Protégé Program

Objective: By March 2010, identify and establish partnerships with prime contractors to develop mentor-protégé relationships, create joint ventures, matchmaking opportunities.

Action Plan:

ACTIVITY	PERFORMANCE MEASURE
Identify 3-4 locally based prime contractors who will commit to participate in the program	<ul style="list-style-type: none"> • # of prime contractors who sign up for the program. • # of mentor-protégé relationships established

Technical Assistance Program

Objective: By March 2010, provide technical assistance to develop and improve the capabilities of at least 150 DBE firms in technical skills in order to increase the number of DBE firms bidding on Federal-aid highway projects.

Action Plan:

ACTIVITY	PERFORMANCE MEASURE
Provide DBE firms with estimating and bidding assistance to improve their success rate in obtaining contracts.	<ul style="list-style-type: none"> • # of DBE firms assisted • # of bids/quotes submitted on State Highway projects • # of DBE firms assisted that were awarded subcontracts
Increase the dollar amount and/or number of bids won by firms participating in the program.	<ul style="list-style-type: none"> • # of Federal-aid contracts awarded • # of DBE firms that won contracts • # of Federal-aid subcontracts awarded • # of DBE firms that won Federal-aid subcontracts

Examples of Results-Oriented Objectives and Action Plan

Capacity Building Program

Objective: By March 2010, increase the capacity of all the participating DBE firms by expanding their areas of work capability.	
Action Plan:	
ACTIVITY	PERFORMANCE MEASURE
Increase the total number of DBE work code areas DBE firms are certified to perform.	<ul style="list-style-type: none"> • # of DBE firms received assistance • # of DBE firms that increase their work code area where certified to perform

E. Performance Period

A DBE/SS work statement should clearly establish the beginning and ending date (performance period) for delivering specific services. It should also include a schedule that estimates when specific services or tasks will be provided or completed. The establishment of a specific performance period and delivery schedule for supportive services helps to determine progress, assess needs, and make necessary adjustments to the program to meet those needs.

The timeline portion of the scope of work must include the following information:

1. **Identify ALL key tasks or activities** that will be carried out to implement the program during the performance period.
2. Provide a realistic **timeframe** identifying when specific tasks will occur.
3. **Identify evaluation and monitoring instruments** that will be used to measure activities and provide dates for administration of these instruments.
4. **Identify dates for submission of evaluation and monitoring data results** to FHWA (usually these are required on a monthly or quarterly basis, and an annual report should be submitted within 60 days of the program's completion).

This program model encourages the use of a 1-year contract between STAs and FHWA with the option to extend for additional years. Options to extend the performance period for each additional year must be based upon satisfactory performance and available funding. This provision should be included in the work statement for approval by the FHWA Division Office each year. Alternate performance periods, such as 2-year periods, may be considered for approval on a case-by-case basis and if funding is available. Under no circumstances should the performance period and annual extensions extend for more than five (5) consecutive years. The following is a suggested general policy that should be adopted by the STAs and the FHWA Division Offices in the request for funds and approving DBE/SS Work Statements.

A contract with a consultant or a STA Contracting Officer must always establish a specific performance period. A provision for an extension can be included and must be based upon satisfactory performance and the receipt of DBE/SS funds. Satisfactory performance must be demonstrated by information contained in progress reports, feedback and input from DBE firms, and effective monitoring and evaluation by the STA and/or the FHWA.

F. State Transportation Agency Involvement

The STAs are encouraged to be actively involved in the DBE/SS program by providing staff, establishing procedures to develop, conduct, and administer programs, and/or providing funding to the program activities. In accordance with 23 CFR Pt. 230, and 49 CFR Pt. 26, each STA should have an adequately staffed Civil Rights Office, and specifically, a DBE Liaison Officer.

The STAs are not required to match the FHWA funds allocated to develop, conduct, and administer DBE/SS programs. However, the STAs are strongly encouraged to be actively involved in the delivery of supportive services programs to augment the activities and efforts financed with the FHWA funds. This can include staffing (part or full time) and any direct assistance.

The STAs may choose to utilize consultants or STA personnel to deliver the DBE/SS program. In either case, the STAs are ultimately responsible for delivering an effective DBE/SS program.

Principal Elements:

Activities that could be funded and carried out by the STAs to supplement DBE/SS efforts:

1. Develop a list of training needs through a survey of certified and potential DBE firms.
2. Develop and maintain a list of qualified trainers.
3. Identify and develop a list of potential sources of assistance to DBE firms.
4. Arrange for the use of the STA facilities and equipment. Track and record the type of training and assistance requested and provided to each DBE.
5. Design and administer DBE/SS programs that fit the needs of local DBE firms.
6. Market the program to the DBE community including maintenance of a website that DBE firms (and others) could access for on-line training.
7. Provide access to construction plans for upcoming projects (to save money, DBE firms could review plans and copy only those sheets that they are interested in).
8. Provide timely notification (email, telephone, fax, newsletter, etc.) to DBE firms concerning upcoming projects, training, and other activities.
9. Encourage DBE firms to participate in projects and activities as appropriate. Secure assistance/expertise from the STA project consultant personnel to provide any needed guidance during project construction.
10. Provide access to technology of interest to DBE firms, contractors, and consultants.

These program elements would reside within the STAs. An individual would have lead responsibility and draw on other resources as needed.

Funding:

The SOW **MUST identify** all **monetary** and **in-kind** resources (specify the name of the partner agencies, the type of funding and the dollar value of the contribution) (See Attachment C). In-kind funding includes human and material resources that the STA will make available to the DBE/SS program.

The STAs could, for the longer term, seek additional funding through the STA and legislature, i.e. seek funding through State sources other than the FHWA to make the program prudent— **strongly recommended by the FHWA. Potential sources for matching funds or in-kind contributions:**

1. **Personnel:** Individuals (i.e. Project Administrator and Project Director) who will provide direct or indirect services for the DBE/SS program but whose services will not be paid through the DBE/SS program's budget expenditures. This may include volunteers. Dollar amounts for each individual must be included.
2. **Fringe Benefits:** Fringe benefits for administrative, clerical, contracted, and facilities personnel. Eligible fringe benefits can be prorated based on the actual amount of time contributed to the DBE/SS program.
3. **Travel Expenses:** All travel must be related to the DBE/SS program and granted for key or ancillary personnel.
4. **Equipment:** Equipment must be existing or to be purchased*.
5. **Supplies:** Supplies must be on hand from existing inventory or newly purchased.
6. **Contractual:** Contracted consultants can lend their expertise and time to the DBE/SS program (pro bono services).
7. **Construction:** Infrastructure work can be donated by trade professionals or volunteers.
8. **Miscellaneous:** Utilities, telephone, printing, copying, postage and other costs can be a source of in-kind contributions.

If the STA purchases equipment – at the end of the program the equipment has to be returned to the FHWA, as it is government property if equipment is purchased with DBE/SS funds. However, the FHWA does not recommend using its funds to purchase any equipment for the DBE/SS program.

G. Project Personnel

7.1. Identify the DBE/SS Project Administrator*

Job Description: The DBE/SS project administrator is the individual who is **responsible for the management of the DBE/SS program**. The project administrator should allocate an adequate portion of his/her work time (depending on the individual program needs) to oversee the implementation of the DBE/SS program. In addition, the project administrator will attend meetings with personnel, the project director, and community organization partners.

*Resume for DBE/SS Project Administrator **MUST** be attached to SOW.

Duties: The project administrator is responsible for implementing the DBE/SS statement of work according to the funding requirements** of the FHWA's Office of Civil Rights.

All approved (funded) DBE/SS programs will receive a letter from the FHWA indicating any changes that **MUST be made on the DBE/SS SOW submitted. The project administrator is responsible for revising the SOW and implementing the program following the requirements of the FHWA's Office of Civil Rights.

7.2. Identify the DBE/SS Project Director***

Job Description: The DBE/SS project director is the individual who is **responsible for the day-to-day operation of the DBE/SS program**. In addition, the project director will attend meetings with personnel, the project administrator, and community organization partners (See Attachment D).

***Resume for DBE/SS Project Director **MUST** be attached to SOW.

Duties: The project director is responsible for implementing the DBE/SS statement of work according to the funding requirements**** of the Federal Highway Administration's Office of Civil Rights and reports directly to the project administrator.

****All approved (funded) DBE/SS programs will receive a letter from the FHWA indicating any changes that **MUST** be made on the DBE/SS SOW submitted. The project administrator is responsible for revising the SOW and implementing the program following the requirements of the FHWA Office of Civil Rights.

7.3. Identify any Additional DBE/SS Program Personnel who will be paid using the FHWA funding

List all other personnel who will be hired or assigned for implementation of the DBE/SS program. In addition, specify contact information (including phone numbers and email addresses) for all identified personnel.

7.4. Provide a Management Plan for DBE/SS Program Personnel (See Attachment E)

The program management plan identifies who is accountable to whom. The program management plan provides the FHWA with the names of personnel to contact should any questions arise regarding the DBE/SS program and its implementation.

Checklist for identifying Key DBE/SS Personnel*

- ✓ What are the project administrator's qualifications?
- ✓ What are the project director's qualifications?
- ✓ Who are the personnel who will carry out the day-to-day DBE/SS services/activities?
- ✓ Do the project personnel have extensive experience in the implementation of a DBE/SS program or related area?
- ✓ What percentage of time for each individual will be charged to the DBE/SS program?
- ✓ Is the time allocated for each individual sufficient in order to carry out the duties described in the DBE/SS SOW?
- ✓ Will individual's time be paid for with the Federal Highway Administration funding or through an in-kind contribution?
- ✓ What is each individual's line of accountability (who will each individual report to)?

*Include relevant work background, awards, acknowledgments, special recognitions, educational information, and any additional information that qualifies individuals for the positions.

H. PARTNERSHIPS

Frequently, in establishing programs to help DBE/SS firms bid for Federal or State highway construction contracts, partnerships are formed between collaborating partners. For example, the STAs may want to establish productive relationships with minority contractors, contractors associations, minority groups, minority institutes of higher education, or any other persons or organizations whose cooperation and assistance are likely to increase the opportunities for minority, women-owned, small or socially and economically disadvantaged businesses to compete for and to successfully complete contracts for highway related work.

Partnerships have been found to be useful in leading DBE firms to become self-sufficient. Partnerships can help provide monetary assistance, plan a successful program, provide necessary solutions, and collaborate to obtain resources for training. Thus, overall partnerships can increase opportunities for DBE firms to obtain highway construction work as contractors or subcontractors on both federally assisted contracts and State contracts.

The SOW should identify all DBE/SS Program partners and include the following elements: organization name, organization location, organization role in project, terms of the services and/or monetary support they have agreed to supply, and how long they have agreed to continue the partnership in the future (See Attachment B).

In addition, the SOW **MUST** include an official letter from a chief officer of **EACH** partnership organization stating their commitment to the DBE/SS program and the services/monetary contribution the organization has agreed to furnish.

These are some of the partners who have been useful to past DBE projects: *American General Contractors (AGC), American Association of State Transportation Officials (AASHTO), American Road Builders and Transportation Association (ARTBA), and National Association of Minority Contractors (NAMC)*-- providing contract/subcontract information to DBE firms to help them find work.

***Banking Institutions and organizations like Small Business Administration and USDA (Rural Development Loan Program)* -- providing loans and/or loan assistance to DBE firms.**

***Bonding Companies like Small Business Administration* – providing bonding assistance to DBE firms by providing the needed bonds to get contracts.**

***Financial Management Organizations* -- providing assistance in record keeping, bookkeeping, payroll, etc., for struggling DBE firms.**

***Historically Black Colleges and Universities (HBCUs), Tribal Colleges and Universities, or any Minority Institute of Higher Education (MIHEs)* – providing training courses for DBE (sometimes free of charge) in marketing, curriculum assistance, business management, and other business related courses.**

***Private organizations* that have concentrations in management, marketing, and financial education, and companies concentrating in evolving computer and/or information sharing technology.**

***Contractors, private consultants* – administering the DBE/SS program.**

I. BUDGET AND FINANCIAL REQUIREMENTS

Purpose

The budget identifies how the requested funds will be used to implement the DBE/SS program. The DBE/SS program budget must be linked directly to the program's objectives and the services/activities identified to achieve those objectives.

The budget should forecast anticipated expenses. These anticipated expenses will be reviewed and evaluated by the FHWA to determine if the estimated costs and expenses are prudent, relevant and reasonable.

Budget Section of SOW***

The proposed budget should include the following three elements:

1. Budget Summary:

The budget summary is a skeletal outline showing how the DBE/SS program's total cost is allocated to line items. The budget summary should provide the main budget line item categories, identification of whether funds are in-kind* or requested and the total amounts for each category in a table format.

2. Budget Justification:

The budget justification (narration) follows the budget summary table in the DBE/SS SOW. Everything included in the budget justification should have been discussed previously in the DBE/SS SOW.

2.1. "Overhead" Expenses --

The FHWA does not have a checklist of allowable or disallowable expenditures for DBE/SS activities. Also, there are no specific requirements regarding the level of administrative costs versus services provided directly to clients. However, in approving the budget, the FHWA will review costs and determine if the expenses are reasonable.

As a rule, when "overhead" is submitted as a cost item, the FHWA will consider the following:

1. What does the overhead costs include (salaries, etc.), or how did they arrive at their overhead rate (percentage of salaries, etc.)?
2. Who has reviewed or approved the rate they are using, (another agency, etc.)? The budget should not include items that would duplicate those expenses reflected under the overhead rate.
3. If the overhead rate appears unrealistic, (as compared to the services being provided), negotiating a reasonable rate should be encouraged.

2.2. Expenses NOT funded –

While this is not a checklist, generally, DBE/SS funds should **NOT** be used for the following:

1. Salaries for a STA's staff to administer the DBE program.
2. Training for STA staff.
3. Equipment (computers, faxes, televisions, appliances, furniture, etc.).
4. Non-highway related activities.
5. Website development and maintenance.
6. Rent.
7. Certification/Supportive services towards certification.

Highway related activities generally include those activities that the STAs use in the design and construction of highway projects. With the limited amount of DBE/SS funds and the increased number of DBE firms certified by Uniform Certification Programs (UCP) who do not perform highway related work, the DBE/SS funds provided by the FHWA must target certified DBE firms who perform on highway or highway related work. This can include highway construction, Architecture and Engineering contracts, fee appraisers for right-of-way work, or whatever a firm does that is directly tied to something that is eligible for Federal-aid highway reimbursement under 23 USC.

Since there are limited DBE/SS funds available, and there are a good number of DBE firms already certified, the focus should be on providing the needed services (training, technical assistance, etc.) to help the certified firms grow and become more active on highway related projects. DBE/SS funds should not be used for activities related to certification and verification procedures, which are a required component of a DBE program.

3. Budget Categories:

3.1. Performance-based Budget:

A performance-based budget is useful because it identifies specific tasks and the dollar value associated with each. The tasks are specifically related to the Statement of Work, which is based upon a needs assessment. Payments are made based upon the completion of specific tasks. A performance-based budget also serves as a good monitoring tool because on a monthly or quarterly basis, it can be determined how much of the budget was expended; duration of the activity; and the dollar value of providing the most needed services. (See Attachment F - Sample format for a performance-based budget).

3.2. Operational-based Budget:

An operational budget includes line items of all expenses that are not tied to specific tasks. Program funds can be used to support the salary of a full-time or part-time coordinator used exclusively to administer an "in-house" DBE/SS program.

An operational budget generally includes items such as the following:

3.2.1. Salaries and Fringe Benefits

- Describe in detail the costs for the DBE/SS program staff and fringe benefits (Social Security, Unemployment Insurance, Medical Insurance, etc.) that will be paid from the FHWA funds, paid by the STA, and any other funds (that are **NOT the FHWA funds**) as well as the value of volunteer hours.
- DBE/SS program funds **CANNOT** be used to pay for salaries or training for the STA staff in administering an "in-house" DBE/SS program.

3.2.2. Requested Contributions

- Describe in detail any funds the DBE/SS program is seeking to obtain from outside organizations.

3.2.3. Travel

- Describe in detail any local travel (mileage reimbursement) or out-of-town travel that DBE/SS program personnel will be reimbursed for (including cost of transportation, lodging, meals, and ground transportation).
- In addition, include the number of trips planned, number of persons attending each trip, name of event, purpose of the trip, location, and other costs (include per diem -- the daily allowance given to DBE/SS personnel to spend on meals, lodging, and incidentals while traveling).

3.2.4. Equipment

- If the STA purchases equipment – at the end of the program the equipment has to be returned to the FHWA, as it is government property if equipment is purchased with DBE/SS funds. However, the FHWA does not recommend using its funds to purchase any equipment for the DBE/SS program

3.2.5. Supplies

- Identify all materials and supplies needed for the daily implementation of the DBE/SS program.
- Examples include office supplies, program supplies, copying and training supplies.

3.2.6. Contractual

- Identify any person hired for the DBE/SS program who is not a member of the DBE/SS program staff.
- Examples include accounting firms hired to handle fiscal reporting/money management; evaluation specialist hired to evaluate program; etc.

3.2.7. Other/Miscellaneous

- Identify any items necessary for implementing the DBE/SS program, which do not fit into any of the other categories.

List items by major type and show, in the budget narrative, how you arrived at the total sum requested.

3.2.8. Indirect Costs/Overhead

- Indirect costs cover services and products such as the telephone bill, utilities, maintenance costs, and insurance premiums.
- Indirect costs are usually calculated as a percentage of total direct costs and can range from 5 percent to 20 percent of the budget.

TIP: *To identify the dollar value for volunteer hours by State see the Independent Sector website at www.independentsector.org.

J. BASIS FOR PAYMENT

A separate invoice detailing performance or actual expenditures is required. An invoice based on performance-based budgets shall detail the specific elements of payments set out in the budget such as task, activities, the number of work hours used, dollar values, etc. An invoice based on operational budgets shall itemize the specific elements of payment set out in the budget such as salary, fixed/variable costs, marketing and equipment expenses, and shall include supporting documentation for each. Documentation is critical to support expenditures claimed and the authorization of payment.

The following steps represent the funding mechanism:

- DBE/SS funds are made available to the Headquarters Office of Civil Rights by an FHWA Form-370 from the FHWA's Office of Budget.
- DBE/SS proposals and accomplishment reports from States are reviewed and evaluated by the FHWA Headquarters Office of Civil Rights.
- Based on the evaluations, the Headquarters Office of Civil Rights makes decisions for approving proposals and allocating supportive services funds.
- Upon allocation by the FHWA Headquarters Office of Civil Rights, the Office of Finance is asked to enter the allocated dollar amount in Funds Management Information System (FMIS)² making money available for the allocation to individual FHWA Division Offices for distribution to the STA.
- Upon receipt of approval, money can be obligated by the STA by its authorization from the Division Office.
- Point of obligation is when the FHWA Division Office approves the work statement, FHWA Headquarters concurs in the work statement, and the work is authorized by the Federal/State Stewardship Agreement.
- Money once obligated remains obligated until it's either deobligated or expended by the STA during the life of the project.
- Federal-aid funds are paid on a reimbursement basis based on a monthly billing by the STA

² FMIS system is the controlling financial accounting system that tracks authorization, obligation, deobligation and unobligation of funds.

Once these funds have been allocated, they remain on the books until expended. These funds are considered no-year funds, which means funds must be obligated by the end of the fiscal year allocated, but they don't have to be spent during that fiscal year. Each year, the FHWA Headquarters Office of Civil Rights contacts the Divisions to ascertain if any funds on the books can be released back to Headquarters. If the State/Division chooses to release funds, these funds are to be reallocated to States that might be in need of additional funding for the year.

The State Transportation Agencies are responsible for adhering to their State procurement and contracting requirements. Suggested references:

- The Uniform Audit & Accounting Guide, which is prepared by the American Association of State Highway and Transportation Officials (AASHTO) (This may be accessed at www.transportation.org).
- The Federal Acquisition Regulation (FAR), Part 31 (These regulations may be viewed at www.arnet.gov/far/authority.html).
- The State Procurement Requirements (You may access this via the Internet or ask your State Highway Department for assistance in locating these guidelines.)

This list is not all-inclusive.

K. EVALUATION and MONITORING PLAN

The evaluation/monitoring plan is one of the most important portions of the SOW. The FHWA requires all recipients of funding to use one or more evaluation/monitoring instruments, which track progress and demonstrate achievement of the program objectives. It is necessary to help ensure the quality of the DBE/SS Program through communication, follow-up, and adjustments. The monitoring and evaluation must identify needed improvements, document effectiveness, and assess results of measures.

The DBE/SS SOW **MUST** include a narrative explaining the evaluation/ monitoring plan that will be implemented for the DBE/SS program. This plan should include how data will be gathered, evaluated, and monitored. In addition, copies of the evaluation/monitoring instruments **MUST** be attached to the SOW.

IMPORTANT: All DBE/SS programs approved for funding must show accountability for the Federal dollars they receive. This will be achieved through on-going evaluation, monitoring and analysis of the DBE/SS program.

To ensure effectiveness of the DBE/SS program, the STAs should maintain a sufficient level of oversight over supportive services consultants (if any) to measure progress and address shortfalls. Likewise, the FHWA Division Office, through its oversight and stewardship responsibilities, should conduct periodic reviews of the STA's DBE/SS program.

Evaluation/Monitoring Plan* MUST include the following:

1. A review of each program objective and a narrative explaining how you will determine whether each objective has been achieved (what evidence will demonstrate that program objectives have been achieved).
2. The type of information you will collect for evaluation purposes.
3. Identification of the frequency for which the information will be collected (monthly or quarterly).
4. Identification of the person(s) responsible for collecting the information.
5. Identification of the person(s) responsible for analyzing the information and reporting the results to FHWA.

***Evaluation/Monitoring Instruments MUST be attached to your SOW (for examples of evaluation plans see W.K. Kellogg Foundation: www.wkkf.org)**

Examples of Monitoring Tools:

1. Questionnaire sent to DBE firms
2. Progress reports and feedback
3. Onsite visits to DBE firms
4. Surveys to evaluate DBE satisfaction
5. Analysis of participant's beginning status vs. ending status
6. On-going and routine contacts of DBE/SS consultants
7. DBE evaluation of supportive service provider for performance period (at least annually). Evaluations should be sent to the STA. For in-house programs, the evaluation should be sent to the FHWA Division Office.

L. REPORTING REQUIREMENTS for Program Goals and Objectives

Performance goal(s) and objective(s) data **MUST be completed and submitted to the FHWA on a quarterly basis as well as in an annual performance report** upon the completion of the 1-year program implementation.

The DBE/SS SOW report **MUST** describe the data collection process and analysis methods that will be used to measure each program objective.

The DBE/SS SOW report **MUST** describe the extent to which progress has been made in achieving the program's written objectives, as well as, any problems and possible solutions for overcoming those problems.

The reports should include the following:

1. Identify each objective and the **progress achieved** as of the reporting date (Data showing progress should be measurable and include numerical data, include the number of participants the program impacted, how the program impacted them, what overall difference did the program make, etc.).
2. Identify all successes to date for the DBE/SS program (What did you accomplish?).
3. Identify any problems to date for the DBE/SS program and offer possible solutions in overcoming these problems (What changes could be made to improve the program? Is this program worth funding again?).
4. Include any additional information (i.e. questions, concerns, improvements/recommendations for administration of the program, etc.) that might be helpful.

IV. Unsolicited Proposals

The unsolicited proposal is the formal means by which ideas are brought to the attention of the FHWA, submitted in the hope that the Government will contract with the offeror for further research on, or development of, the ideas it contains. An unsolicited proposal is a written offer to perform a proposed task or effort that is innovative and unique, initiated and submitted to the FHWA by a prospective contractor without a solicitation from the FHWA, with the objective of obtaining a contract. The proposal generally presents ideas in sufficient detail to allow a determination that the proposed work could enhance, benefit, and provide valuable input to some area of the FHWA responsibility.

The staff in the FHWA Headquarters Office of Civil Rights is responsible for reviewing and evaluating unsolicited proposals submitted for DBE/SS program funding.

Instructions for submittal of unsolicited proposals can be found on the FHWA website at: www.fhwa.dot.gov/aaa/gtup.htm.

V. Non-Traditional Consultation and Research Based Proposal

Under 23 CFR Pt. 230, Subpart B, DBE/SS funds can be used to provide services and activities in connection with minority business enterprise programs that are designed to increase the total number of minority businesses active in the highway program and contribute to the growth and eventual self-sufficiency of individual minority businesses so that such businesses may achieve proficiency to compete, on an equal basis, for contracts and subcontracts. These services can extend to conducting research studies and providing contractual services that can aid in increasing the representation and utilization of small businesses owned by women, minorities and economically/socially disadvantaged firm owners interested and involved in highway construction contracting. Thereby, these services address the historical under-representation and under-utilization of these groups in highway construction contracting activities.

The services under this category are:

- Proposals by MIHEs requesting research projects promoting minority participation in transportation are submitted to FHWA for funding approval. These initiatives are authorized under Executive Order 13256- Historically Black Colleges and Universities³ (HBCU), Executive Order 13230- Educational Excellence for Hispanic Americans,⁴ Executive Order 13270- Tribal Colleges and Universities,⁵ and Executive Order 12928- Small Business Owned and Controlled by Socially and Economically Disadvantaged Individuals, HBCUs and Minority Institutions of Higher Education⁶ (MIHE). The DBE/SS program objective, in compliance with these Executive Orders, is to increase the participation of HBCUs and other MIHEs in all phases of FHWA Federal and Federal-aid programs with special emphasis on research and technology programs. Please note that DBE/SS funds cannot be used to pay stipends.
- Analyze the existing DBE/SS program and the data available nationwide and design new innovative DBE/SS programs and/or enhance the currently administered programs at the national level. These efforts would be targeted towards eliminating barriers faced by DBE firms in the program and be designed to ensure that all participating firms have an equal opportunity to participate in DOT assisted contracts and/or research projects.
- Provide consultation services to maximize existing resources and develop and maintain databases to enhance the effectiveness of DBE programs.
- Develop the database architecture for storing basic biographic, demographic, affiliation, and research expertise data about DBE participants.
- Oversee the management of the DBE/SS program in various States and provide program expertise and technical assistance in further enriching the program.
- Provide project management services directed at the analysis of the availability, representation and utilization of Minority Groups and DBE contractors. This would also include collection and analysis of data relating to the certified DBE contractors and conduct a study to remove barriers for them.

³ Executive Order 13256 –Historically Black Colleges and Universities (HBCU) provides for a structured effort to help HBCUs access to federally funded programs, to strengthen the capacity of HBCUs to provide quality education, to increase the participation of HBCUs in Federal programs and activities and to set annual procurement goals for awarding grants, contracts, and co-op agreements.

⁴ Executive Order 13230 –Educational Excellence for Hispanic Americans provides for increasing opportunities for Hispanic Americans participation in and benefit from Federal educational programs and to enhance the capacity of Hispanic Serving Institutions (HSIs) to educate the Latino community.

⁵ Executive Order 13270 –Tribal Colleges and Universities (TCUs) ensures that TCUs are fully recognized and establishes a mechanism for increasing TCUs access to Federal resources.

⁶ Executive Order 12928 –Promoting Procurement with Small Businesses Owned and Controlled by Socially and Economically Disadvantaged Individuals, HBCUs and Minority Institutions to establish participation goals for HBCU and Other MIHE and to develop and implement plans to fulfill the procurement participation goal.

The proposals should be submitted in the form of an annual Statement of Work (SOW) following the guidance described in the earlier sections (How to Create SOW) to the Federal Highway Administration Division Office for approval. Funding is not awarded until the Federal Highway Administration's Associate Administrator for Civil Rights has concurred on the approved contract between the FHWA and the STA for the delivery of the STA's DBE/SS program.

Resources for DBE/SS Program

- Federal Highway Administration Office of Civil Rights --
• www.fhwa.dot.gov/civilrights/
- DBE/SS Regulation (23 CFR 230B) --
<http://fhwainter.fhwa.dot.gov/legsregs/directives/fapq/cfr0230b.htm>
- United States Small Business Administration -- www.sba.gov
- Disadvantaged Business Enterprise (DBE) Program--
<http://osdbu.dot.gov/OSDBUSERVICES/DBEPROGRAM/tabid/75/Default.aspx>
- USDA Rural Development Loan Program -- www.rurdev.usda.gov/
- The Surety Bond Guarantee (SBG) Program -- www.sba.gov/osq/mission.html
- Small Business Centre, London -- www.sbcentre.ca/
- Small Business Center Network --
[www.ncccs.cc.nc.us/Business and Industry/sbcnmainpage.htm](http://www.ncccs.cc.nc.us/Business_and_Industry/sbcnmainpage.htm)
 - Iowa Workforce Development (IWD) -- www.iowaworkforce.org/
 - Indiana Workforce Development -- www.in.gov/dwd/
 - The Iowa Small Business Development Centers (SBDC) -- www.iabusnet.org/
 - NYC Business Resource Center --
www.nypl.org/research/sibl/smallbiz/sbrc/Pages/index.cfm
- Small Business Development Centers -- www.sba.gov/sbdc/
- Small Business Development Centers at UNF --
www.sbdc.unf.edu/about/sbdc_overview.htm
- The W.K. Kellogg Foundation -- www.wkkf.org
- National Center for the Dissemination of Disability Research -- www.ncddr.org
- Centers for Disease Control and Prevention -- www.cdc.gov/eval/resources.htm
- U.S. Department of Housing and Urban Development:
www.ngma-grants.org/docs/2004conference/attachments/sessionE3.ppt#1
- Independent Sector website at www.independentsector.org
- The Uniform Audit & Accounting Guide -- www.transportation.org
- The Federal Acquisition Regulation (FAR) Part 31 -- www.arnet.gov/far/authority.html

VI. SOW ATTACHMENTS

ATTACHMENT A

LOGIC MODEL FORMAT

Program Implementation Plan			Program Anticipated Outcomes	
Resources	Activities/ Services	Objectives	Goals	Impact
<ul style="list-style-type: none"> List all of the resources needed to operate the DBE/SS program. Resources include: staff, money, volunteers, facilities, equipment, supplies, community partnerships. 	<ul style="list-style-type: none"> List all of the planned activities/ services (ones listed on the timeline). Identify what the DBE/SS program will do with the resources in order to fulfill your goals. 	<ul style="list-style-type: none"> List the objectives that will be the direct results of the activities/ services provided. 	<ul style="list-style-type: none"> Anticipated benefits for the target group as a result of the program activities/ services. Include all short-term, mid-term, long-term goals that are anticipated during and after the program's implementation. 	<ul style="list-style-type: none"> List the intended changes to the targeted population, community, partners, etc. as a result of the program's implementation.

Internet resources for help in creating Logic Models:

- National Center for the Dissemination of Disability Research: www.ncddr.org
- Centers for Disease Control and Prevention: www.cdc.gov/eval/resources.htm
- U.S. Department of Housing and Urban Development: www.nqma-grants.org/docs/2004conference/attachments/sessionE3.ppt#1
- W.K. Kellogg Web site: www.wkkf.org

PARTNERSHIPS

Partnerships	Services/ Contributions	Time Commitment to DBE/SS Program
<ul style="list-style-type: none"> • Include the following information for EACH partner: 1. Organization Name 2. Contact person 3. Contact information (email and phone) 4. Location 	<ul style="list-style-type: none"> • What has partner committed to provide the DBE/SS program? <p><u>Examples:</u></p> <p>ABC Company has committed to provide cash support in the amount of \$ to be used for</p> <p>ABC Company has committed to provide meeting space to be used for...</p> <p>ABC Company has committed to provide # of volunteers to provide....</p> <p>ABC Company has committed to provide technical assistance to be used for...</p> <p>ABC Company has committed to provide construction equipment to be used for...</p> <p>ABC Company has committed to provide construction training to be used for....</p>	<ul style="list-style-type: none"> • How much time has the partner committed to the DBE/SS program (the entire performance period, beyond the performance period, etc.)? • Give a reference number indicating where the official letter of commitment can be found in the DBE/SS SOW.

AVAILABLE RESOURCES: CASH AND IN-KIND

Resource Agency Name	Cash Contribution	In-Kind Contribution*
<ul style="list-style-type: none"> Record all resources name (monetary and in-kind) that will contribute to the DBE/SS program. Resources should include all organizations/persons who are helping to implement the DBE/SS program by contributing cash or in-kind services. 	<ul style="list-style-type: none"> Specify the dollar amount for all cash contributions. Identify monetary State funding that can be contributed to the DBE/SS program. 	<ul style="list-style-type: none"> Specify the value in dollars for all in-kind donations. In-kind resources includes administrative services, access to materials and supplies, use of equipment and facilities, printing support services, etc. which will be available to the DBE/SS program and its personnel at no cost.

TIP: *To determine the *dollar value for volunteer hours by State* see the Independent Sector website at www.independentsector.org

Attachment D

PERSONNEL PLAN

PERSONNEL ASSIGNED	HOURS ASSIGNED TO PROGRAM IMPLEMENTATION	FUNDING SOURCE (FHWA or In-Kind)	QUALIFICATIONS
<ul style="list-style-type: none">• Provide name of person assigned to position.• Provide contact information for each individual (phone, email).	<ul style="list-style-type: none">• Provide the time required for each individual assigned to implement the program.• Provide time in hours per week.	<ul style="list-style-type: none">• Provide the funding source for the time.• FHWA or In-Kind.	<ul style="list-style-type: none">• Provide person's relevant work experience and/or educational and professional achievements.

MANAGEMENT PLAN

DBE/SS PROGRAM			
TITLE _____			
Position	Hours Per Week On Program Implementation	Reports To	Funded By
<ul style="list-style-type: none"> • Identify title of position. • Indicate in () the number of people that will fill each position. 	<ul style="list-style-type: none"> • Specify the time allocation for each individual. 	<ul style="list-style-type: none"> • Identify to whom this individual will report. 	<ul style="list-style-type: none"> • Specify how the position will be funded.

