

DRAFT DISADVANTAGED BUSINESS ENTERPRISE (DBE)

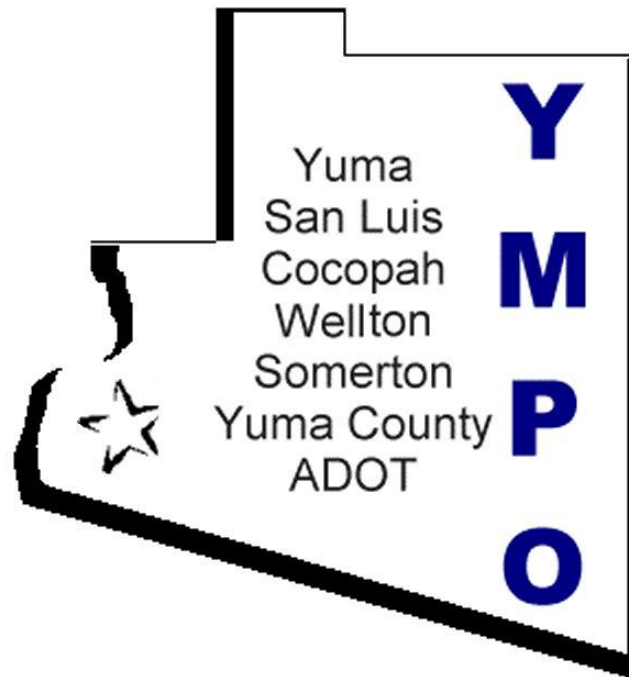
PROGRAM

YUMA

METROPOLITAN

PLANNING

ORGANIZATION



January 20, 2010

Yuma Metropolitan Planning Organization DBE Program

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**YUMA METROPOLITAN PLANNING ORGANIZATION (YMPO)
DISADVANTAGED BUSINESS ENTERPRISE (DBE) PROGRAM**

OBJECTIVES/POLICY STATEMENT

The Yuma Metropolitan Planning Organization (YMPO) has established a Disadvantaged Business Enterprise (DBE) program in accordance with regulations of the U.S. Department of Transportation (DOT), 49 CFR Part 26, and as a condition to receiving Federal financial assistance from the USDOT, YMPO has signed an assurance that it will comply with 49 CFR Part 26.

It is the policy of the YMPO to ensure that DBEs, as defined in part 26, have an equal opportunity to receive and participate in DOT-assisted contracts. It is also our policy-

1. To ensure nondiscrimination in the award and administration of DOT-assisted contracts in the DOT's highway, and transit financial assistance programs,
2. To create a level playing field from which DBEs can compete for DOT-assisted contracts;
3. To ensure that the DBE program is narrowly tailored in accordance with applicable law;
4. To ensure that only firms that fully meet 49 CFR Part 26 eligibility standards are permitted to participate as DBEs,
5. To help remove barriers to the participation of DBEs in DOT-assisted contracts; and
6. To assist in the development of firms that can compete successfully in the market place outside the DBE program.

Shelly Fairbrother, YMPO Executive Assistant, has been designated as the YMPO DBE Liaison Officer. In that capacity, Ms. Fairbrother, is responsible for implementing all aspects of the DBE program. Implementation of the DBE program is accorded the same priority as compliance with all other legal obligations incurred by YMPO in its financial assistance agreements with the Department of Transportation.

The YMPO will disseminate this policy statement to the YMPO Executive Board and all the employees of our organization. YMPO will distribute this statement to DBE and non-DBE business communities that perform work on DOT-assisted contracts, as part of our normal bidding process and by placing it on our web site at www.ympo.org, and by making it available in the YMPO office.

Charlene FitzGerald, Executive Director

Date: _____

DEFINITION OF TERMS

The terms used in this program have the same meanings as defined in the CFR Title 49 Part 26.5.

NONDISCRIMINATION

YMPO will never exclude any person from participation in, deny any person the benefits of, or otherwise discriminate against anyone in connection with the award and performance of any contract covered by 49 CFR Part 26 on the basis of race, color, sex, or national origin.

In administering its DBE program, YMPO will not, directly or through contractual or other arrangements, use criteria or methods of administration that have the effect of defeating or substantially impairing accomplishment of the objectives of the DBE program with respect to individuals of a particular race, color, sex, or national origin.

DBE PROGRAM UPDATES

YMPO will continue to carry out this program until all funds from DOT financial assistance have been expended. YMPO will also provide updates to the DOT advising of significant changes in its DBE program.

QUOTAS

YMPO will not use quotas in any way in the administration of this DBE program. Quotas should not be confused with the DBE participation and activity **goals** as described herein.

DBE LIAISON OFFICER (DBELO)

YMPO has designated the following individual as its DBE Liaison Officer (DBELO): Shelly Fairbrother, Executive Assistant, 502 S. Orange Ave., Yuma, Arizona 85364, (928) 783-8911 sfairbrother@ympo.org. In that capacity, Ms. Fairbrother is responsible for implementing all aspects of the DBE program and ensuring that YMPO complies with all provisions of 49 CFR Part 26. Ms. Fairbrother has direct, independent access to the YMPO Executive Director. An organization chart displaying the Staff Organization of the YMPO is provided in Appendix A.

The DBELO is responsible for developing, implementing and monitoring the DBE program, in coordination with other appropriate officials. Duties and responsibilities include the following:

1. Gathers and reports statistical data and other information as required by DOT.
2. Reviews third-party contracts and purchase requisitions for compliance with this program.

3. Works with all relevant parties to set YMPO's overall annual DBE goals.
4. Ensures that proposal notices and requests for proposals (RFPs) are available to DBEs in a timely manner.
5. Identifies contracts and procurements so that DBE goals are included in solicitations (both race-neutral methods and contract-specific goals) and monitors results.
6. Analyzes the YMPO's progress toward goal attainment and identifies ways to improve progress.
7. Advises the Executive Director on DBE matters and achievement.
8. Participates with YMPO's legal counsel and project managers to determine contractor compliance with good faith efforts.
9. Provides DBEs with information and assistance in submitting proposals.
10. Maintains the YMPO's updated directory on certified DBE's.

FEDERAL FINANCIAL ASSISTANCE AGREEMENT ASSURANCE

YMPO will incorporate into its provisions the following assurance, applicable to all DOT-assisted contracts and their administration.

“The YMPO shall not discriminate on the basis of race, color, national origin, or sex in the award and performance of any DOT-assisted contract or in the administration of its DBE program or the requirements of 49 CFR part 26. The recipient shall take all necessary and reasonable steps under 49 CFR part 26 to ensure nondiscrimination in the award and administration of DOT-assisted contracts. The recipient's DBE program, as required by 49 CFR part 26 and as approved by DOT, is incorporated by reference in this agreement. Implementation of this program is a legal obligation and failure to carry out its terms shall be treated as a violation of this agreement. Upon notification to the YMPO of its failure to carry out its approved program, the Department may impose sanctions as provided for under part 26 and may, in appropriate cases, refer the matter for enforcement under 18 U.S.C. 1001 and/or the Program Fraud Civil Remedies Act of 1986 (31 U.S.C. 3801 et seq.).”

REQUIRED CONTRACT CLAUSES

YMPO will incorporate into each contract it signs with a Prime Contractor, and require in each subcontract that the Prime Contractor sign with a Subcontractor, the following assurance:

“The Contractor or Subcontractor shall not discriminate on the basis of race, color, national origin, or sex in the performance of this contract. The contractor shall carry out applicable requirements of 49CFR part 26 in the award and administration of DOT-assisted contracts. Failure by the contractor to carry out these requirements is a material breach of this contract, which may result in the

termination of this contract or such other remedy as the YMPO deems appropriate.”

PROMPT PAYMENT MECHANISMS

YMPO will incorporate the following prompt payment provision in its contracts:

“The contractor will pay subcontractors for satisfactory performance of contracts no later than fourteen (14) calendar days from the date that the contractor receives payment from YMPO. The contractor will also return retainage payments to the subcontractor within fourteen (14) calendar days from the date of satisfactory completion of work.”

In addition, the Prime Contractor will be requested to include the above language in the contracts with its subcontractors.

To comply with the intent of this provision:

Prime Contractors must:

Provide the name of the Prime’s contact and the address and phone number of its contact person to whom all invoices/billings statements must be sent.

Pay subcontractors and suppliers within fourteen (14) days of receipt of payment from YMPO.

Stipulate the reason(s) in writing to the subcontractor or supplier and to YMPO for not paying an invoice. Some possible reasons can be:

1. Failure to provide all required documentation
2. Unsatisfactory job performance
3. Disputed work
4. Failure to comply with other material provisions of the contract
5. Third-party claims filed or reasonable evidence that a claim will be filed
6. Reasonable evidence that the contract cannot be completed for the unpaid balance of the contract sum or a reasonable amount for retainage.

Subcontractors must:

Submit invoices or billing statements to the Prime Contractor’s designated contact person in an appropriate format and in a timely manner. The format and the timing of billing statements must be specified in the contract(s) between the Prime and the subcontractor(s).

YMPO will:

Investigate allegations of nonpayment by the contractor (i.e. may be the Prime Contractor or a Subcontractor).

Provide a written statement of the findings to the complainant within 15 working days of receipt of the complaint(s).

In circumstances where there is not a valid reason for nonpayment, YMPO may withhold payments for portion of the Prime Contractor's invoice.

PROGRAM MONITORING

YMPO will implement appropriate mechanisms to ensure compliance with the party's requirements by all program participants. The mechanisms YMPO may use include, but are not limited to:

1. Notify subcontractors (DBE and Non-DBEs) of the Prime Contractor's responsibility for prompt payment and encourage subcontractors to notify YMPO in writing with any possible violations to the prompt payment mechanism.
2. Withholding payment from Prime Contractors who do not comply with the prompt payment provision noted above, where it has been determined by the YMPO DBELO that delay of payment to the subcontractor is not justified.
3. Stopping work on the contract until compliance issues are resolved.
4. Terminating the contract.

YMPO will verify that the work committed to DBEs at contract award is actually performed by DBEs. This will be accomplished by:

1. Requiring Prime Contractors to report DBE work performed in each monthly progress report along with an indication of the number of hours worked, any costs incurred and the amounts paid to the DBE(s).
2. Ensuring that DBE participation is credited toward the overall goal or contract goals only when payments are actually made to DBE firms.

DBE FINANCIAL INSTITUTIONS

It is the policy of the YMPO to investigate the full extent of services offered by financial institutions owned and controlled by socially and economically disadvantaged individuals in the community, to make reasonable efforts to use these institutions, and to encourage prime contractors on DOT-assisted contracts to make use of these institutions. YMPO has made the following efforts to identify and use such institutions: The YMPO conferred with the Civil Rights Office personnel at ADOT and determined that to date there are no available DBE financial institutions that can be used at this time.

DBE DIRECTORY REQUIREMENTS

YMPO uses the ADOT DBE directory of all firms eligible to participate as DBEs. The listing for each DBE company includes its name, address, phone number, fax number, e-mail, and type of services the firm has been certified to perform as a DBE. This list is updated frequently and is available at the YMPO office 502 S. Orange Ave. Yuma, AZ 85364. The directory may be found in Appendix B to this document.

OVERCONCENTRATION

When YMPO determines DBE firms are as overconcentrated in a certain type of work as to unduly burden the opportunity of non-DBE firms to participate in the highway or transit-planning program, it will develop procedures to address this. The procedures will be submitted to the appropriate operating administration for review and approval prior to implementation.

MENTOR-PROTÉGÉ PROGRAMS

YMPO does not have a business development or mentor-protégé program.

CALCULATING THE OVERALL DBE PROGRAM GOAL

YMPO has established an overall goal of 3.80% for DBE participation in ADOT-assisted contracts for FY 2009. This goal compares to the 4.00% goal established for FY 2006. The FY 2007 goal is based upon evidence of the availability of ready, willing, and able DBEs relative to all businesses ready, willing and available to participate on ADOT-assisted or USDOT assisted contracts. The goal reflects the level of DBE participation anticipated, absent the effects of discrimination.

YMPO has employed a two-step process to calculate its DBE program goal. The first step involves determining a base figure for the relative availability of DBEs in the area by using a proposer's list. This has been accomplished by:

1. Determining the number of DBEs that have submitted a proposal, was a sub-contractor, proposed subcontractor, or received an RFP on ADOT-assisted prime or subcontracts in Fiscal Years 2001-2009.
2. Determining the number of all businesses that have submitted proposals or received an RFP on ADOT-assisted prime contract or subcontract in Fiscal Years 2001-2009.
3. Dividing the number of DBE proposers by the number of total proposers.

The method identified above resulted in a base figure of 10.56%. Documentation of the proposer's lists, as mentioned, is included in **Appendix B & C**. The second step involved examining evidence available to determine what adjustment, if any, was needed to the base figure in order to arrive at the overall goal.

To determine what types of adjustments, if any, were needed to the base figure, three different sources of evidence were examined.

1. Base figure for availability of DBEs as previously listed, **10.56** percent. (See **Appendix B and C**)
2. The first evidence examined was the dollar value of contracts or sub contracts awarded to DBE proposers during the fiscal years 2001-2009 as a percentage of the total dollar value of all contracts awarded. This yielded a 12.62%, 8.31%, 8.70%, 2.51%, 0%, .96%, .52%, .50%, and .007%. DBE participation rate respectively and a **3.79%** average (see **Appendix D**).
3. The second evidence examined was the dollar value of contracts and sub contracts awarded to DBE proposers during fiscal year 2008 as a percentage of the total dollar value of all contracts awarded. This yielded a DBE participation rate of **.50%** (see **Appendix D**).
4. The third evidence examined was the dollar value of contracts and sub contracts awarded to DBE proposers during fiscal year 2009 as a percentage of total dollar value of all contracts awarded. This yielded a DBE participation rate of **.007%** (see **Appendix D**).

To calculate the YMPO DBE goal, the base figure and these three other pieces of evidence were used. The average of the measures (10.56%, 3.79%, .50%, and .007%) yielded a goal percent of **3.71%**.

Within Yuma County, there is no apparent source for information regarding the number of available DBEs. Within the state, the only single source of DBE certified businesses is the Arizona Department of Transportation (see **Appendix E**). The DBE participants in contracts for calendar years 2001-2009 were sub contractors from the Phoenix area or from southern California. Years 2001 and 2002 included DBE participants from Yuma, Arizona.

There are several local factors that contribute to the difficulty in obtaining DBE participants. Primarily, Yuma County is rural in nature with an estimated total population of 200,000 based on State of Arizona DES 2008 estimates and covers 5,500 square miles. The economy is based mostly on tourism and agriculture; however, the continued urban development is creating a demand for businesses and services more sophisticated and technical in nature. Furthermore, Yuma's remote location reduces the number of available DBE businesses to participate in county projects. The two largest population centers nearest Yuma in Arizona are Phoenix, located 175 miles away, and Tucson, located 240 miles away. These two population centers, accordingly, contain the largest number of DBE participants (see **Appendix E**).

PROCESS TO MEET THE OVERALL GOAL

YMPO submits its overall goal to ADOT on August 1 of each year.

Before establishing the overall goal each year, YMPO will review its DBE program goal and consult with ADOT, and Yuma County Chamber of Commerce, among others, to obtain information concerning the availability of disadvantaged and non-disadvantaged businesses.

Following this consultation, YMPO will publish a notice of the proposed overall goal in the *Yuma Sun*, informing the public that the proposed goal and its rationale are available for inspection. Inspection can be made during normal business hours at our office at 502 S. Orange Avenue, Yuma, Arizona for 30 days following the date of the notice. The notice will inform the public that YMPO will accept comments on the goals for 30 days from the date of the notice and include the address where comments may be sent and address (including office and web site) where the proposal may be reviewed. Normally the notice will be published by June 1 of each year.

The overall goal submission to ADOT will include a summary of information and comments received during this public participation process and YMPO responses. YMPO will begin using the respective goal on October 1 of each year, unless YMPO receives other instructions from ADOT.

Race Neutral and Race Conscious Participation:

YMPO will meet the maximum feasible portion of its overall goal by using race-neutral means of facilitating DBE participation. YMPO will use the following race-neutral means to increase DBE participation:

1. DBE participation on a prime contract that a DBE obtains through customary competitive bidding procedures.
2. DBE participation by encouraging prime contractors to subcontract portions of work they might otherwise perform with their own forces.
3. DBE participation by the inclusion of DBE's and other small businesses on mailing lists for contractors and/or bidders.
4. DBE participation on a subcontract from a prime contractor by dissemination to bidders on prime contracts, through print and electronic means, lists of the YMPO potential DBE subcontractors.

YMPO is committed to meeting its overall program goal of 3.71% DBE participation *with 3.04% from race-neutral measures and .76 % from race-conscious measures.*

In order to establish the race neutral figure, the YMPO considered DBE participation on YMPO projects where there were no DBE goals. The average DBE participation, race-neutral, in FY 99 and FY00 was 4.5% with 1.3% then needed from race-conscious measures (an approximate 80/20 weighting ratio) to meet a 5.8% goal.

The YMPO will adjust the estimated breakout of race-neutral and race-conscious participation as needed to reflect actual DBE participation and we will track and report race-neutral and race-conscious participation separately. For reporting purposes, race-neutral DBE participation includes, but is not necessarily limited to, the following:

1. DBE participation through a prime contract a DBE obtains through customary competitive bidding procedures;
2. DBE participation through a subcontract on a prime contract that does not have a DBE goal;
3. DBE participation on a prime contract exceeding a contract goal;

4. DBE participation through a subcontract from a prime contractor that did not consider a firm's DBE status in making the award.

Goal Achievement Summary

For FY 2009, the YMPO did not meet the established program goal of 3.71% because of the increase in the expenditures for the Yuma County Area Transit and Dial-A-Ride systems in comparison to the total DBE expenditures. Specifically, DBE spending was in 2007, totaled \$1,430,633 as compared to the overall dollar value of all contracts of \$2,741,615. This trend will continue for the next two years as the YCAT/DAR contract runs through 2008-2012 and it is not anticipated that YMPO will have any DBE eligible contracts issued 2008-2009.

However, YMPO considers it noteworthy that the local entities do place an emphasis on utilizing DBEs whenever possible for their projects. For example, the East Main Canal Bike Paths from 24th to 32nd and 32nd to 40th Street were constructed by the City of Yuma with a 6% DBE goal to the contractor. In addition, there was a 5% DBE goal on the 20th Street Bike Path and intersection improvements. PEG is also a DBE firm, and the City of Yuma contracted with them to provide \$500,000 in services in FY 2006 as well as 2007.

In order to increase the number of local DBE participants, YMPO is encouraging eligible business owners to apply for DBE certification and is expanding the existing eligible DBE participant list (Appendix B).

CONTRACT GOALS

YMPO will use contract goals to meet any portion of the overall goal YMPO does not project being able to meet using race-neutral means. Contract goals are established so that, over the period to which the overall goal applies, they will cumulatively result in meeting any portion of the YMPO overall goal that is not projected to be met using race-neutral means.

YMPO will establish contract goals only on those ADOT-assisted contracts that have subcontracting possibilities. YMPO need not establish a contract goal on every such contract, and the size of contract goals will be adapted to the circumstances of each such contract. Goals will be established only to the extent necessary to meet our annual goal.

YMPO will express our contract goals as a percentage of the total amount of the ADOT-assisted contract. The contract goal where subcontractors are possible is the race-neutral element of 3.04%.

GOOD FAITH EFFORTS

YMPO will require that:

In RFPs:

1. Award of a contract will be contingent upon compliance with the provisions of CFR Title 49 Part 26.53.

2. All proposers will be required to include the following information in their proposal and if successful in their contract:
 - a. The names, addresses, telephone number, fax number, and e-mail of DBE firms, if any, that will participate in the contract
 - b. A clear and concise description of the work that each DBE will perform
 - c. The dollar amount of the participation of each DBE firm participating
 - d. Written documentation of the proposer's commitment to use a DBE subcontractor(s) whose participation it submits to meet a contract goal
 - e. If the contract goal is not met, evidence of good faith efforts to meet the goal
 - f. Name and address of all firms who quote to them on subcontracts for the project

If the successful proposer fails to meet the requirements noted above, YMPO will provide the proposer an opportunity for administrative reconsideration prior to awarding a contract. Based on evidence submitted, a written determination will be made as to whether or not the proposer met the goal (or made adequate good faith efforts to meet the goal).

YMPO will also include in prime contracts with a DBE goal, a provision stating that contractors shall not terminate a subcontractor for convenience and then perform the work of the terminated subcontractor with its own forces, or that of an affiliate, without the prior written consent of the YMPO DBELO. Where a Prime Contractor does terminate a subcontractor, or when a subcontractor fails to complete its work for any reason, the Prime Contractor will be required to make good faith efforts to find another DBE subcontractor to substitute for the original DBE to the extent necessary to meet the goal.

YMPO treats proposer's compliance with Good Faith Efforts as a matter of *responsiveness*. (*Non-responsiveness* is viewed as not meeting the terms of the contract.)

Demonstration of good faith efforts:

The obligation of the proposer is to make good faith efforts. The proposer can demonstrate that it has done this either by meeting the contract goal or by documenting good faith efforts. Examples of good faith efforts are found in Appendix A of part 26 in Title 49 of the Code of Federal Regulations.

The YMPO DBELO is responsible for notifying the YMPO Executive Director of situations where it appears that a proposer has not met the contract goal. If the proposer is using DBEs or made good faith efforts to meet the contract goal, administrative reconsideration will be provided (see the following section entitled "Administrative Reconsideration" for more details). During administrative reconsideration, the Executive Director will make a final determination as to whether the proposer made a good faith effort to meet the goal. YMPO will ensure that all information is complete and accurate and adequately documents the proposer's good faith efforts before YMPO commits to the performance of the contract by the proposer.

Administrative Reconsideration

Within seven (7) calendar days of being informed by YMPO that the proposer is not compliant because it has not documented sufficient good faith efforts, a proposer may request administrative

reconsideration. Proposers should make this request in writing to the attention of Shelly Fairbrother, YMPO DBE Liaison Officer at 502 South Orange Avenue, Yuma, Arizona 85364, (928) 783-8911, and sfairbrother@ympo.org. The reconsideration official (i.e. the Executive Director) will not play any role in the original determination by the DBELO that the proposer did not make sufficient good faith efforts.

As part of this reconsideration, the proposer will have the opportunity to provide written documentation or argument concerning the issue of whether it met the goal or made adequate good faith efforts to do so, or to have a personal meeting with the DBELO. The Executive Director will issue the proposer a final written decision on reconsideration, explaining the basis for his/her finding that the proposer did or did not meet the goal or make adequate good faith efforts to do so. The result of the reconsideration process is not administratively appealable.

Good Faith Efforts When a DBE is Replaced on a Contract

YMPO will require a contractor to make good faith efforts to replace a DBE that is terminated or has otherwise failed to complete its work on a contract with another certified DBE, to the extent needed to meet the contract goal. YMPO will require the Prime Contractor to notify the DBELO immediately of the DBE's inability or unwillingness to perform and provide reasonable documentation.

In this situation, YMPO will require the Prime Contractor to obtain YMPO's prior written approval of the substitute DBE and to provide copies of new or amended subcontracts, or documentation of good faith efforts. If the contractor fails or refuses to comply in the time specified, YMPO's Executive Director may issue an order stopping all or part of payment/work until satisfactory action has been taken or may withhold payments from the contractor. If the contractor still fails to comply, the Executive Director may terminate the contract.

COUNTING DBE PARTICIPATION

YMPO will count DBE participation toward the DBE goal in accordance with requirements identified in §26.55 of Title 49 of the Code of Federal Regulations.

CERTIFICATION STANDARDS

YMPO will only use DBEs that have been certified as eligible by the City of Phoenix or ADOT in accordance with CFR Title 49 Part 26.61. The DBE is required to be certified at the time the contract is awarded.

The use of these two DBE Directories will enable YMPO to take advantage of the expertise and staff available in larger public agencies while avoiding the cost and staff effort to review and certify DBE firms.

RECORD KEEPING REQUIREMENTS

YMPO will create and maintain a **proposer's list database** (including DBEs and non-DBEs). The proposer's list will be comprised of firms that have expressed an interest in proposing on various projects at YMPO. Companies will be categorized by their specialized service area(s) and YMPO staff will be encouraged to notify these vendors regarding any related RFPs. The proposer's list database will include:

1. Firm's name, address, telephone number, fax number, and e-mail
2. Firm's status as a DBE or non-DBE
3. Firm's area(s) of expertise
4. Year formed and amount of the last years gross receipts

The proposer's list will be updated and maintained under the direction of the YMPO DBELO.

The purpose of this requirement is to allow use of the proposer's list approach to calculating overall goals.

MONITORING PAYMENTS TO DBEs

Contractors are required to submit to YMPO on a monthly basis a report indicating how much was earned by each DBE on the project and how much was paid to each DBE. The contractor must include information for all DBEs regardless of whether there was a goal on the project or if the DBE was used to meet the contract DBE goal. YMPO may verify payments with the DBEs.

YMPO will perform interim audits of contract payments to DBEs. The audit will review payments to DBE subcontractors to ensure that the actual amount paid to DBE subcontractors equals or exceeds the dollar amounts stated in the schedule of DBE Intended Participation.

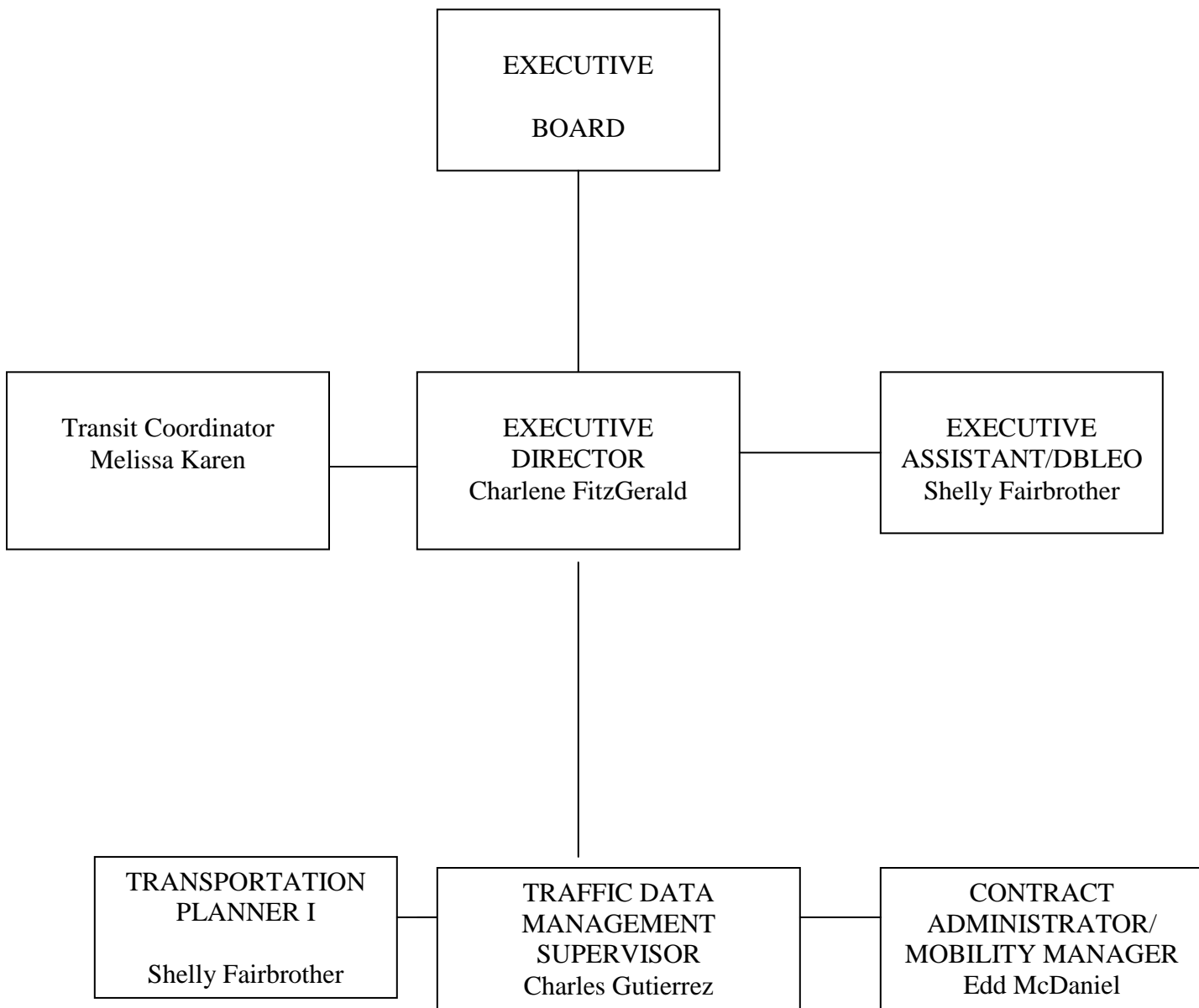
YMPO will require prime contractors to maintain records and documents of payments to DBEs for three years following the performance of the contract. Any authorized representative of YMPO or ADOT will make these records available for inspection upon request. This reporting requirement also extends to any certified DBE subcontractor.

CONFIDENTIALITY

YMPO will safeguard from disclosure to third parties information that may reasonably be regarded as confidential business information, consistent with Federal, state and local law. Notwithstanding any contrary provisions of state or local law, YMPO will not release personal financial information submitted in response to the personal net worth requirement to a third party (other than ADOT) without the written consent of the submitter.

APPENDIX A

YMPO STAFF ORGANIZATION



APPENDIX B

Number of DBE Candidates (**Bold**) to Total Number of Candidates for YMPO Projects with ADOT-Assisted Funds

All Access Media	Kenney Aerial Mapping Inc.
Arcadis Geraghty & Miller	KJN and Associates Inc
Arizona Bus Sales	KSWT Channel 13
ASL Consulting Engineers	KYMA Channel 11
Apogee/Hagler Bailley Services Inc	Lee Engineering
Associated Transportation Engineers	Leigh, Scott & Cleary Inc
Ayres	Lumbard & Associates
AZTEC Engineering	Lima & Associates
Barton Aschman Assoc., Inc.	Logan Simpson Design
Byrne, Benesch, Villarrel, PC	MegEcon Consulting
Best Consulting Inc.	Metro Counters
Boyle Engineering Corporation	Metro Valley
BRW INC.	Michael Baker Jr., Inc.
Burgess & Niple	Micon, Inc.
Carter & Burgess Inc.	Moore & Associates
Castle Rock Consultants Inc.	Mosaic Analytical Planning
Castro Engineering	Mountain States Printing
Catalina Engineering Inc	Nicklaus Engineering Inc
Coach & Transit Inc.	Parson-Brinckerhoff Inc
Crain & Associates	Partners for Strategic Action Inc
Consultant Engineering, Inc.	Presnell Associates Inc
Dahl-Robbins & Associates Inc.	United Civil Group
David Evans and Associates	RAE Consultants, Inc
DMJM	Saguaro Transportation Services
Don Peterson Engineers, Inc.	SAIC Inc.
First Transit	San Luis-Yuma Transit
Fox Channel 9	Stanley Consultants Inc.
ENTRANCO	Sunset Bus Sales
Gannett Fleming, Inc.	TASK Engineering Inc
HDR	Traffic Research & Analysis Inc.
Heinfeld & Meech	Transit Plus Inc.
Huitt- Zollars, Inc	Principle Engineering Group
Kay Transportation	

APPENDIX C

Number of DBE Candidates to Total Number of All Candidates FY00, FY01, FY02, FY03, FY04, FY05, FY06, FY07, FY08, FY09

Name of Project	#	#	Total
	DBEs	Non-DBEs	All Candidates
Traffic Safety Studies	0	24	24
Multi-Modal Transportation Center	2	27	29
Regional Transportation Plan	7	42	49
Dial-A-Ride	2	7	9
Valley Transit	0	6	6
Bus Purchase	0	16	16
Transit Study	2	4	6
Traffic Safety Village	1	1	2
Yuma Consortium	0	1	1
	15	128	142
			<u>10.56%</u>

APPENDIX D

Dollar Value of DBE Sub Contracts Awarded to Dollar Value of All Contracts Awarded

FY 01

Name of Project	# DBEs	# Non-DBE	DBE Dollar Value	Non-DBE Dollar Value	Total Dollar Value
Regional Transportation Plan	2	1	\$16,977	\$100,054	\$117,031
Port of Entry	0	1	0	\$60,000	\$60,000
Dial-A-Ride	0	1	0	\$335,667	\$336,667
Valley Transit	1	0	\$81,604	0	\$81,604
Bus Purchase	0	1	0	\$185,755	\$185,755
Totals			\$98,581	\$681,476	\$781,057

12.62%

FY 02

Name of Project	# DBEs	# Non-DBE	DBE Dollar Value	Non-DBE Dollar Value	Total Dollar Value
Regional Transportation Plan	0	1	0	\$7,718	\$7,718
Transit Study	1*	0	\$46,628	0	\$46,628
Dial-A-Ride	0	1	0	\$401,742	\$401,742
Valley Transit	0	1	0	\$240,242	\$240,242
Traffic Safety Village	1	0	\$12,222	0	\$12,222
Totals			\$58,850	\$649,702	\$708,552

8.31%

* California DBE has applied for ADOT DBE Classification.

FY 03

Name of Project	# DBEs	# Non-DBE	DBE Dollar Value	Non-DBE Dollar Value	Total Dollar Value
Regional Transportation Plan	1	1	\$14,500	\$234,398	\$248,898
Transit Study	1	0	\$57,200	\$0	\$57,200
Dial-A-Ride	0	1	\$0	\$312,010	\$312,010
Valley Transit	0	1	\$0	\$393,011	\$393,011
Traffic Safety Village	1	0	\$18,857	\$0	\$18,857
Totals			\$90,557	\$939,419	\$1,029,976

8.70%

FY 04

Name of Project	# DBEs	# Non-DBEs	DBE Dollar Value	Non-DBE Dollar Value	Total Dollar Value
Regional Transportation Plan	1	1	\$17,750	\$223,190	\$240,940
Saguaro Dial-A-Ride/YCAT	0	1	\$0	\$357,123	\$357,123
Valley Transit YCAT	0	1	\$0	\$180,385	\$180,385
Yuma Consortium YCAT	0	1	\$0	\$28,990	\$28,990
Castro Engineering TSV	1	0	\$2,610	\$0	\$2,610
Totals			\$20,360	\$789,688	\$810,048

2.51%

FY 05

Name of Project	# DBEs	# Non-DBEs	DBE Dollar Value	Non-DBE Dollar Value	Total Dollar Value
Regional Transportation Plan	1	1	\$12,800 ^A	\$237,412	\$250,212
Saguaro Dial-A-Ride	0	1	\$0	\$378,559	\$378,559
Yuma Consortium/YCAT	0	1	\$0	\$558,871	\$558,871
Totals			\$0	\$1,174,842	\$1,187,642

0%

^AValue of the DBE portion contracted but will not be awarded until FY 2006.

FY 06

Name of Project	# DBEs	# Non-DBEs	DBE Dollar Value	Non-DBE Dollar Value	Total Dollar Value
Regional Transportation Plan	1	1	\$12,800	\$106,456	\$119,212
Saguaro Dial-A-Ride	0	1	\$0	\$429,430	\$429,430
YCAT	0	1	\$0	\$778,351	\$778,351
FY 2006 Air Quality Model	0	1	\$0	\$9,850	\$9,850
Totals			\$12,800	\$1,324,043	\$1,336,843

.96%

FY 07

Name of Project	# DBEs	# Non-DBEs	DBE Dollar Value	Non-DBE Dollar Value	Total Dollar Value
Regional Transportation Plan	1	1	\$5,213.50	\$101,243	\$106,456
YCAT/Saguaro Dial-A-Ride	1	0	\$1,425,420	\$0	\$1,425,420
FY 2007 Air Quality Model	0	1	\$0	\$10,000	\$10,000
Heinfeld & Meech/Acct	0	1	\$0	\$0	\$0
Lumbard & Associates/Audit	0	1	\$0	\$17,100	\$17,100
Arizona Bus Sales	0	1	\$0	\$1,182,639	\$1,182,639
Totals			\$1,430,633	\$1,310,982	\$2,741,615

.52%**FY 08**

Name of Project	# DBEs	# Non-DBEs	DBE Dollar Value	Non-DBE Dollar Value	Total Dollar Value
Regional Transportation Plan	1	2	\$0	\$32,716	\$32,716
YCAT/Saguaro Dial-A-Ride	1	0	\$572,248	\$0	\$572,248
YCAT/KAY Dial-A-Ride	0	1	\$0	\$335,775	\$335,775
Heinfeld & Meech/Acct	0	1	\$0	\$37,132	\$37,132
Lumbard & Associates/Audit	0	1	\$0	\$22,300	\$22,300
Arizona Bus Sales	0	1	\$0	\$139,646	\$139,646
Totals			\$572,248	\$567,572	\$1,139,817

.50%**FY 09**

Name of Project	# DBEs	# Non-DBEs	DBE Dollar Value	Non-DBE Dollar Value	Total Dollar Value
Regional Transportation Plan	2	1	\$22,280	\$251,063	\$273,343
YCAT/Kay Dial-A-Ride	0	1	\$0	\$2,397,978	\$2,397,978
FY 2009 Air Quality Model	0	1	\$0	\$0	\$0
Heinfeld & Meech/Acct	0	1	\$0	\$57,362	\$57,362
Lumbard & Associates/Audit	0	1	\$0	\$10,220	\$10,220
Arizona Bus Sales	0	1	\$0	\$88,280	\$88,280
Totals			\$22,280	\$2,804,903	\$2,827,183

*Should be noted Kay Transportations is obtaining its certification

.007%

APPENDIX E

DBE Directory of Arizona Department of Transportation Referenced Latest Version