



DBE Program Communications Findings
Final Report

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EXECUTIVE SUMMARY

U.S. Department of Transportation (US DOT) Disadvantaged Business Enterprise (DBE) program regulations require recipients of US DOT financial assistance, namely, state and local transportation agencies, to establish goals for the participation of disadvantaged entrepreneurs and certify the eligibility of DBE firms to participate in their US DOT-assisted contracts.

The Michigan Department of Transportation (MDOT) has established a DBE program in accordance with regulations of the U.S. Department of Transportation at 49 CFR Part 26. MDOT has received federal financial assistance from US DOT, and, as a condition of receiving this assistance, MDOT has signed an assurance that it will comply with 49 CFR Part 26.

A recent audit by the Federal Highway Administration (FHWA) with MDOT field engineers and other staff identified a need for improved communications with respect to the MDOT DBE program. Specifically, after interviewing four Resident and Project Engineers, it was evident that their level of engagement in the DBE program did not meet the minimum expectations, and the MDOT Construction Manual contained little or no references to the DBE requirements.

Recommendations from FHWA included developing clear procedures that define the contractual role of the Resident and Project Engineers in managing and overseeing the DBE requirements. Outside of the scope of this project, MDOT has already taken several actions to address this issue including:

- Developing and implementing DBE training for field office personnel
- Working with other MDOT stakeholders to include DBE program requirements in the MDOT Construction Manual

This project was undertaken to identify best practices and methods for communicating program roles and responsibilities, determine the level of knowledge about this program by key stakeholders, develop an action plan for communication, and identify effective communications tools to be used to educate and gain the support of stakeholders.

To address the research requirements, the project team conducted a literature review that included a review of existing state DOT programs; best practices for companies implementing supplier diversity programs; best practices for implementing organization-wide initiatives such as quality, sustainability and supplier diversity; and conducted a communications audit of MDOT DBE Program materials.

Following the literature review, the project team interviewed internal and external stakeholders including DBEs, non-DBEs, industry association stakeholders and other state DOT program personnel. These interviews guided the development of a survey for DBE and non-DBE contractors as well as a MDOT employee survey. The contractor survey was introduced at MDOT's DBE Program conference in Pontiac, MI in March 2012 then later emailed out to approximately 500 contractors. Roughly 175 contractor surveys were completed. The MDOT employee survey was emailed to approximately 2,500 employees and nearly 550 surveys were completed. The results of both surveys are summarized in the attached report.

Overall the project team assessed that the Office of Business Development has a very experienced team that excels in several areas including:

- Having a thorough and comprehensive understanding of the technical and regulatory requirements of the DOT's DBE Program. This assessment is supported by FHWA's own audit of MDOT's DBE Program, which identified several materials developed by OBD to explain the program procedures and requirements as being best-in-class.
- Having a robust and inclusive process for annual and project-specific goal setting. OBD's inclusion of MITA in the goal setting process though the joint development of a formula to help develop project specific goals should be considered a best-practice. Likewise in interviews with internal and external stakeholders, OBD demonstrated a commitment to continuous tracking and setting of goals based on the best data currently available.

The OBD Program office also appears to be a very helpful resource for DBEs, and focus a lot of effort on their communications efforts and support for DBE firms.

The area where we saw the most room for improvement was in internal communications. This assessment is consistent with FHWA's audit, which determined that MDOT Resident and Project Engineers were not aware of their roles and responsibilities as they appropriately should have been. It is further substantiated by the contractor and employee surveys which show a significant difference between how contractors and employees understand the program, their responsibilities, and the effectiveness of DBE program communications. MDOT has built a strong, defensible program that is responsive to the federal regulatory requirements that govern it, has done appropriate outreach to external shareholder audiences and now needs to make a similar effort to win-over internal skeptics. We find support for this argument in the contract and internal MDOT surveys which demonstrate that external shareholders – regardless whether they are DBE firms or non-DBE-firms – are better informed and more supportive of the DBE program than internal stakeholders. Specific program recommendations can be found in Implementation Plan section.

INTRODUCTION

Background on the U.S. DOT DBE Program¹

The U.S. Department of Transportation has had in effect for more than 20 years a policy of helping small businesses owned and controlled by socially and economically disadvantaged individuals, including minorities and women, participate in contracting opportunities created by financial assistance from US DOT to states and other agencies. The US DOT, through its Operating Administrations, distributes billions annually to help finance thousands of projects across the country. Approximately 85% of the assistance dollars is for construction. The major portion of the construction funds is allocated to state highway and transportation agencies for highway construction. The balance is provided to local public transit and airport authorities for mass transit and airport facilities.

In 1983, Congress enacted the first Disadvantaged Business Enterprise statutory provision. This provision required the US DOT to ensure that at least 10% of the funds authorized for the federal highway and transit financial assistance programs be expended with DBEs. In 1987, Congress re-authorized and amended the statutory DBE program. In the transportation legislation of that year, Congress, among

¹ Taken from U.S. Department of Transportation Office of Small Business Utilization website:
<http://osdbuweb.dot.gov/DBEProgram/dbeprogram.cfm>

other changes, added women to the groups presumed to be disadvantaged. Since 1987, US DOT has established a single DBE goal, encompassing both firms owned by women and minority group members.

Last year, the Congress reauthorized and the President signed legislation authorizing the DBE program. This regulation responds to over 900 public comments on two previous proposed rules. It also adheres to the points raised in numerous recent court cases dealing with the DBE program, including the Supreme Court's 1995 decision in *Adarand v. Peña*, and it addresses issues raised by Congress when the DBE program was reauthorized.

How the Program Works

Primarily three major US DOT Operating Administrations (OAs) are involved in the DBE program. They are the Federal Highway Administration, the Federal Aviation Administration and the Federal Transit Administration. The US DOT DBE program is carried out by state and local transportation agencies under the rules and guidelines in the Code of Federal Regulations. ([Title 49, Part 26](#)). The FAA also maintains a separate DBE program for concessions in airports under ([Title 49, Part 23](#)).

US DOT DBE regulations require recipients of US DOT financial assistance, namely, state and local transportation agencies, to establish goals for the participation of disadvantaged entrepreneurs and certify the eligibility of DBE firms to participate in their US DOT-assisted contracts.

Each US DOT-assisted state and local transportation agency is required to establish narrowly-tailored DBE goals. Then these US DOT-assisted agencies evaluate their US DOT-assisted contracts throughout the year and establish contract-specific DBE subcontracting goals where these goals are needed to ensure nondiscrimination in federally-assisted procurements. The level of DBE subcontracting goals may vary from their approved DBE goal however, at the end of the year the amount of contract/subcontract awards to DBEs should be consistent with the overall goal.

In order for small disadvantaged firms, including those owned by minorities and women, to participate in the US DOT-assisted contracts of state and local transportation agencies they must apply for and receive certification as a DBE. To be certified as a DBE, a firm must be a small business owned and controlled by socially and economically disadvantaged individuals. Recipients get information about firms through on-site visits, personal interviews, reviews of licenses, stock ownership, equipment, bonding capacity, work completed, resumes of principal owners, financial capacity, and type of work preferred.

Federal regulations identify roles and responsibilities of the recipient organizations in some areas, while providing a significant amount of leeway to states to design their own programs. Specific roles and responsibilities for the DBE program by federal requirement include:

- Recipients must transmit the Uniform Report of DBE Awards or Commitments and Payments at the intervals stated on the form; provide data about their DBE program to the US DOT as directed by US DOT operating administrations; and create and maintain a bidders list.
- Recipients must issue a signed and dated policy statement that expresses their commitment to their DBE program, states its objectives, and outlines responsibilities for its implementation. The statement must be circulated throughout the organization and to the DBE and non-DBE business communities that perform work on US DOT-assisted contracts.

- Recipients must have a DBE liaison officer, “who shall have direct, independent access to [the receipt agency’s] Chief Executive Officer concerning DBE program matters. The liaison officer shall be responsible for implementing all aspects of the DBE program.” The recipient agency must also have adequate staff to administer the program in compliance with this part.

In Michigan, the Michigan Unified Certification Program (MUCP) provides “one-stop” services for everyone seeking to be DBE certified. It makes decisions on behalf of all businesses in the state of Michigan that want to be certified DBEs and represents all US DOT funded agencies with DBE programs. In other words, firms certified as DBEs with the MUCP are eligible to work on any federally-funded airport, highway or transit contract, as a DBE.

To become certified by the MUCP, disadvantaged businesses must submit an application to one of the certifying agencies (i.e. Michigan Department of Transportation, Wayne County Human Relations Division, or Detroit Department of Transportation). To be certified, applicants must be a socially and economically disadvantaged small business concern where ownership and control of the business rests with the disadvantaged owner(s).

Statement of Problem

The Michigan Department of Transportation has established a Disadvantaged Business Enterprise program in accordance with regulations of the U.S. Department of Transportation at 49 CFR Part 26. MDOT has received federal financial assistance from US DOT, and, as a condition of receiving this assistance, MDOT has signed an assurance that it will comply with 49 CFR Part 26.

A recent audit by the Federal Highway Administration with MDOT field engineers and other staff identified a need for improved communications with respect to the MDOT DBE program. Specifically, after interviewing four Resident and Project Engineers, it was evident that their level of engagement in the DBE program did not meet the minimum expectations, and the MDOT Construction Manual contained little or no references to the DBE requirements.

Recommendations from FHWA included developing clear procedures that define the contractual role of the Resident and Project Engineers in managing and overseeing the DBE requirements. Outside of the scope of this project, MDOT has already taken several actions to address this issue including:

- Developing and implementing DBE training for field office personnel
- Working with other MDOT stakeholders to include DBE program requirements in the MDOT Construction Manual

In addition to identifying the need to develop procedures to define the roles of Resident and Project Engineers, the FHWA audit also identified several “best-practices” of MDOT that should be shared with other states. These “best-practices” include MDOT’s:

- Prompt Payment, Payment Statement Requirements for Primes, and Commercially Useful Function brochures
- Disadvantaged Business Enterprise Guide for DBEs and Primes Contractors
- DBE Program Procedure Manual, which is updated on an annual basis

This project was undertaken to identify best practices and methods for communicating program roles and responsibilities, determine the level of knowledge about this program by key stakeholders, develop an action plan for communication, and identify effective communications tools to be used to educate and gain the support of stakeholders.

About MDOT's DBE Program

MDOT's DBE Program is administered by the Office of Business Development (OBD), which is now part of MDOT's Operations Division. The OBD provides support to the state's DBE program under the guidance of the U.S. Department of Transportation. The overall goal of the DBE program is to ensure that firms owned and controlled by minorities, women and other socially and economically disadvantaged persons have the opportunity to grow and become self-sufficient, so that they are able to compete on an equal basis with non-disadvantaged businesses for contracts within the transportation industry.

Roles of the OBD include:

- Working with the Federal Highway Administration and other MDOT stakeholders to set annual DBE program goals as well as individual project goals for projects receiving funding
- Reviewing applications for DBE certification and re-certification, conducting on-site visits with potential DBE contractors, preparing certification review reports, and participating in Certification Review team meetings
- Preparing DBE certification approval letters and Notices of Intent to Deny certification
- Recruiting DBEs in an effort to create a larger pool of qualified DBE contractors and subcontractors and maintain a web-based database of DBE firms and their services
- Providing professional development assistance to DBEs through administration of federal supportive services grants
- Communicating project opportunities to DBEs
- Assisting in dispute resolution between non-DBE contractors and DBEs working on projects
- Tracking and reporting DBE utilization progress against project and annual goals
- Reviewing Good Faith Effort (GFE) waiver requests to ensure completeness of requests, investigating potential GFE-related issues at job sites, and providing training on GFE requirements for non-DBE contractors
- Reviewing contract compliance within the field services unit and making determinations whether DBEs are performing a Commercially useful Function (CUF)

In an effort to clarify some of the roles and responsibilities of the OBD, we have identified several misconceptions regarding the OBD and DBE program. We have also included subtle, but important distinctions between the "myths" and facts behind these statements:

- Myth: The OBD independently establish DBE annual program goals. Fact: The important qualifying word here is "independently." DBE annual program goals are established in collaboration with FHWA.
- Myth: The OBD independently establish DBE program goals for individual projects. Fact: Again, "independently," is the important qualifier. These goals are established by the Contract Selection Team (CST), which includes members from OBD as well as other MDOT stakeholders.

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- Myth: OBD is responsible for providing oversight on project managers to ensure that DBE goals are met on individual projects. Fact: This responsibility lies with the Bureau of Finance (Finance) – Contract Services Division (Contracts).
- Myth: OBD makes sourcing decisions on projects. Fact: For all construction projects, the project is awarded to the lowest bidder, unless they fail to meet the established DBE goal for the project or fail to obtain a goal modification as a result of making a Good Faith Effort, in which case the project would be awarded to the next lowest bidder.
- Myth: The OBD makes determinations regarding whether non-DBE contractors have made a Good Faith Effort to include DBE's in a project when requesting a waiver. Fact: OBD reviews the GFE waiver application for completeness. The determination whether or not the applicant has made a good faith effort is decided by a cross-functional committee at MDOT outside of the OBD.
- Myth: OBD pre-qualifies DBEs to perform specific duties. Fact: All contractors are pre-qualified by MDOT, and all contractors must meet the same qualifying requirements.

Goal Setting

An important responsibility of the MDOT OBD is to set annual and project specific DBE program goals in collaboration with the FHWA and other MDOT stakeholders respectively (see Appendix 1). Annual goals, which are set in three year intervals, are developed using a methodology that includes working with the FHWA, looking at race neutral and race conscious goals then establishing a base figure, which is adjusted slightly based on upcoming projects for the year. The FHWA recently lowered DBE participation goals, but placed greater expectations on states to meet their goals. MDOT's proposed overall goal for FY 2011 – 2013 was 10.18%²

Project specific goals are developed by the Contract Selection Team (CST), a regional and cross-functional group that includes staff from MDOT's OBD and the bureaus of Finance and Administration, Highways, Transportation Planning, and Aeronautics. The CST meets at least monthly to review project detail and assigns a DBE participation goal to suitable projects. For individual projects, criteria for goal setting includes a mix of qualitative variables such as, project dollar amount, availability of qualified DBEs, work classifications required, and non-qualitative variables such as community factors and historical results. To assist in determining the goal, the qualitative variables are fed into an algorithm jointly developed by OBD and the Michigan Infrastructure Transportation Association (MITA). The algorithm has been available as a goal development tool for the last 10-12 months, so it is too early to draw strong conclusions on its usefulness as a tool for achieving the overall objective of meeting the FHWA recognized annual DBE participation goal. The algorithm also suffers from the fact that it has not been developed to factor in trucking and material supply, which are two large areas of DBE participation in MDOT projects that use federal financial assistance.

Progress towards goals is tracked monthly through the submission of bi-weekly expense and subcontractor payment forms (Form 2124) by the prime contractors to the Construction Engineer and OBD. This monthly progress is incorporated into DBE goal setting decisions by the CST. Progress towards goals is reported to the FHWA every six months and informally discussed at the OBD staff meeting every two to three months. It is also shared with MDOT Chief Operating Officer, Greg Johnson, informally and at his executive staff meetings as requested. Goals may also be shared with other state executives and

² From Gregory C. Johnson, P.E. 2012 DBE/Small Business Development Conference Presentation, March 26, 2012.

legislators, MITA or the governor-appointed Transportation Commission on an as requested basis. Other external stakeholders typically learn about progress toward goals when new contracts containing DBE goals are let. At that time, progress toward the annual goal will be discussed as part of the rationale for the DBE goal for that project.

Good Faith Efforts

Good Faith Efforts play a significant role in MDOT's DBE Program and are worth mentioning in this report. Good Faith Effort waiver applications are submitted by non-DBE prime contractors when they are not able to meet the DBE requirements on a contract and want to get the requirement waived or reduced. From MDOT's perspective, the issue with GFE waivers is that although the federal regulations allow for states' to waive DBE requirements on specific projects – in fact the whole GFE process is a federal requirement³ – waiving DBE requirements on a specific project do not reduce the state's annual DBE participation goal. This means that DBE participation lost on one project would need to be made up on another, making subsequent DBE goals more difficult to obtain on subsequent projects when GFE waivers are approved.

OBD's role in the GFE waiver application process is to review waiver applications from prime contractors to ensure completeness, occasionally investigate claims made on the GFE waiver applications. OBD staff have also provided GFE waiver application process training for non-DBE primes and developed a sample GFE waiver application in collaboration with MITA, which is available on the MITA website.

According to internal and external stakeholder interviews, Michigan has recently begun experimenting with making good faith efforts a more rigorous requirement, which could lead to non-DBE primes losing contracts that would then be awarded to the next lowest bidder, if the next lower bidder was able to meet the DBE goal. This was mentioned as a "best-practice" of a neighboring state (Indiana) by a non-DBE prime contractor.

Communications

Figure 1 shows how information and DBE goals are shared by MDOT DBE program stakeholders. The US DOT FHWA requires state and local transportation agencies that receive federal assistance to establish goals for DBE participation and provides compliance oversight to MDOT. MDOT is responsible for setting annual goals in collaboration with FHWA as well as project specific goals, which are established by the CST. MDOT is also responsible for providing compliance reporting to FHWA. Project specific goals are included in project solicitations when projects are advertised, which is how DBE project goals get communicated to Project Managers, the Bureau of Finance Contract Management Division, and Prime Contractors.

With respect to communications to various stakeholders, the following information is communicated and processes are used by OBD:

FHWA:

- Progress toward annual goals is reported to the FHWA every six month using federally required reporting forms.

Internal Stakeholders:

³ Title 49: Transportation, Part 26, Section 53.

- New Employees receive information about the DBE program in the MDOT new employee orientation manual.
- DBE training has been rolled out to many MDOT employees that interface with contractors in field offices.
- Project-specific DBE goals are communicated to MDOT Project Managers/Field Engineers through the project specs.
- Progress toward annual goals is informally shared (approximately every two to three months) on a departmental level and with MDOT executives, the Governor’s office and the Transportation Commission as requested.

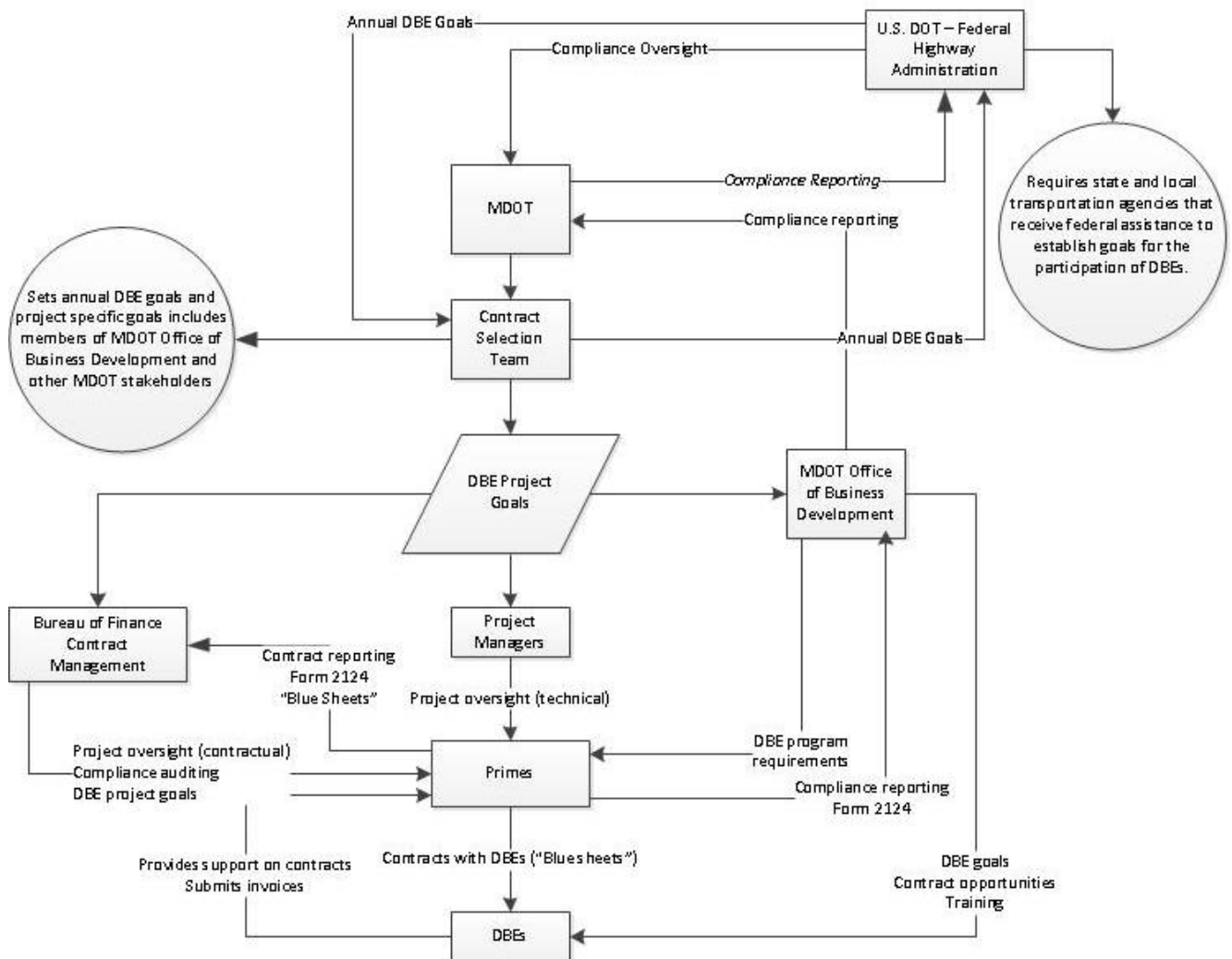


Figure 1: A Sample Communications Flow for the MDOT DBE Program

External Stakeholders (Both DBEs and Non-DBEs):

- New DBE Program information is shared as it becomes available (e.g. new policy or procedural changes resulting from changes in the federal regulation) or when that information is requested. The information can be conveyed via the website, an email or in-person via a meeting or training.

- MDOT’s DBE program goals are available on the DBE Program website and advertised each year, typically in a trade industry publication.
- OBD hosts an annual DBE Conference, which typically attracts more than 400 attendees, and periodically hosts additional matchmaker/networking events.
- Information about upcoming networking or training events is shared regularly via email as events are scheduled.
- OBD attends industry tradeshows and conferences to outreach to DBES and non-DBE firms.

External Stakeholders (non-DBEs and related associates):

- Progress toward annual goals is shared with program participants and stakeholders.
- Results/determinations on GFE waivers and GFE requirements are shared as required or requested.

External Stakeholders (DBEs):

- Newly certified DBEs are required to participate in MDOT’s DBE orientation program. This training includes information on DBE roles and responsibilities, MDOT’s contracting process, Prequalification process, requirements for maintaining DBE certification, Good Faith Effort process and waivers, Commercially Useful Function requirements, Title IV, DBE Supportive Service, Prompt Payment, reporting requirements, and general useful information about MDOT and the OBD.
- New contract opportunities are typically faxed or emailed to DBEs on a monthly basis.
- OBD provides five training courses to DBEs through Supportive Services grants. Those courses include DBE Orientation (see above), Construction Bid Preparation, Prequalification and Financial Management, Understanding MDOT and the Federal DBE Requirements, and Wage and Labor Compliance/Payroll Preparation.

PROJECT ACTIVITIES

Task 1: Literature Search

Environmental Scan of State DOT DBE Programs

The project team conducted an environmental scan of thirteen state’s websites: MI, WI, MN, MO, FL, IL, WA, CA, CO, CT, PA, VA, and HI (a State Environmental Scan report and summary excel spreadsheet are attached as Appendix 2). These states were recommended by OBD personnel based on their perceived strong DBE programs. The purpose of the scan was to identify and review the types of communications tools that these states were using, what information was being conveyed, and which audiences were targeted. The following findings were identified:

- Information is relatively consistent between all of the states; how it is presented varies by DOT.
- Focus appears to be on communications to/with DBEs; Colorado and California had the most communications directed toward primes.
- The types of training offered to DBEs appear to be similar between the states. However, many state DOTs have partnered with local colleges/universities for DBE training.
- There was little communication surrounding DBE success stories.

Additionally, the project team noted some preliminary "best practices" that were identified during our environmental scan of other state DOTs:

- CALTRANS DBE Outreach Plan: Developed by CALTRANS, California's DBE Outreach Plan is a document that provides recommendations for ways that primes can outreach to DBE suppliers. While we found that many states' DBE program offices interfaced with the prime contractor community through contractor associations, this document was a relatively rare example of a brochure designed to help prime contractors increase DBE contract participation.
- Virginia Department of Minority Business Enterprises (VDMBE) report: Virginia's 'Outreach Services' is charged with developing and implementing a statewide marketing plan to build awareness and promote the program. We found few states focused on marketing the promoting the efforts of the DBE program offices. Most states seemed to prefer to fly under the radar.
- WISDOT DBE Reporter Newsletter: Wisconsin's rebranded DBE program newsletter included success stories to promote program successes.
- Minnesota DBE Website: Minnesota's website was easy to find with link on main Minnesota state home page and easy to navigate with all information on one page.

Environmental Scan of non-DOT organizations Supplier Diversity Programs

In addition to the Environmental Scan of other state DOTs, the project team also researched best practices for companies implementing supplier diversity programs. Three companies' programs were examined: Lockheed Martin, Boeing and Ford. The companies were selected because they are prime contractors to the federal government and spend more than \$1 billion annually with minority and women-owned businesses. Following are some of the key findings:

- These companies' websites appear to be geared to a broader audience and were not as focused on communicating with the diverse businesses.
- In contrast to the state DOT websites, the non-DOT organizations provided more detailed information on the supplier diversity program itself, along with awards received and achievements attained (e.g. achievement towards goals).
- The non-DOT organizations also did more to promote the supplier diversity effort by showcasing success stories.

Literature Review

In addition to the completing an Environmental Scan, the team also researched best practices for implementing organization-wide initiatives such as quality, sustainability and supplier diversity. A list of researched publications is provided in Appendix 3.

The sources / findings relevant to communications include:

National Minority Supplier Development Council (NMSDC) – Best Practices in Minority Supplier Development 2010

- Corporate policy and management support for the program should be written and communicated clearly to all employees, suppliers/contractors and stakeholders; the strategy should be more than a social policy statement.
- The corporate plan should be reviewed by senior executive management on a regular basis. Further, there needs to be a regular forum for the program to be measured and discussed.

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- Comprehensive internal and external communications need to be established. Company-wide awareness using multiple communication tools is recommended; communication needs to be regular and new employees should be trained on the program.
- Establishing a mentor program is a best practice to consider.

Billion Dollar Roundtable Report

- By engaging all of the parties (customer, Tier 1s and Tier 2 diverse businesses) in a dialogue/communication on the topic, there is a better understanding amongst all about where are the issues and opportunities.

Telecommunication Industry Group Report

- Organizations need to develop and communicate a clear value proposition for the supplier diversity (or in this case, DBE) program.
- Strategic sourcing is recommended to maximize resources and target growth.
- There needs to be “teeth” in any Tier 2 (i.e. DBE) sourcing program (e.g. rewarding or penalizing the Tier 1s (i.e. prime contractors) for doing or not doing business with diverse suppliers).

Department of Defense TQM Strategy

- Relevant and comprehensive training is critical to the program’s success. While most of the DOD TQM training was classroom-based back in 1989, there are a variety of methods for effectively training today.

Productivity Management in State Governments

- By identifying and involving stakeholders in the program’s planning and delivery, organizations are better able to identify stakeholder needs and concerns. This is critical to stakeholder support and also results in more responsive programs. In addition, communications on why it matters is important to external stakeholders.

New Orleans RTA DBE Program Evaluation

- New Orleans established regular meetings to review the contract pipeline for DBE opportunities, which were subsequently communicated.
- DBE program personnel reviewed all low bids before Prime contractor selection to ensure DBE compliance. Further, project timelines were communicated to DBE program personnel so that DBEs were readily available. Both showcase the internal dialogue and communication taking place between the DBE office and rest of the organization.
- The report identified the types of information DBEs would like to see from state DOTs. In particular, DBEs were interested in project spending forecasts.
- Their program offered incentives to encourage Primes to use DBEs on their projects. Specifically they offered tax credits and lower retainage percentages, which resulted in a significant increase in utilization of DBEs. While programmatic, this is certainly a best practice.

Communications Audit

The project team conducted a communications audit of the materials that MDOT provided at the project kick-off meeting (see Appendix 4). The materials were presented as a representative and comprehensive collection of communication materials used by the DBE Program office. Below is some high level feedback:

- Overall the communications materials place a strong emphasis on policy and procedure. While this is not unique in general to the other state DOTs we reviewed, we believe that any communications effort would benefit from greater inclusion of the program's value proposition in the materials and messaging.
- The materials provided by the DBE program are primarily aimed at DBEs. We believe a more balanced approach between DBEs and other stakeholders would yield more favorable results with respect to communicating program goals and responsibilities to all parties.
- Internal communications tools were largely absent, either because they were not provided or because they do not exist.
- Recently completed MDOT training could benefit from simplification and focus (e.g. conveying the importance of the program and specific roles & responsibilities).

Task 2: Cognitive Stakeholder Survey/Best Practices Survey

Other State DOTs

The project team conducted telephone and in-person interviews of DBE program personnel from other state DOTs. The purposes of these interviews were to identify the types of communications tools they use, what information they convey and to whom, the effectiveness of various tools, and any best practices in DBE program communications. The in-person interviews were conducted at the American Association of State Highway Transportation Officials (AASHTO) Civil Rights Conference held in Detroit, MI from August 5-8, 2012. The following states were participated in the phone or in-person interviews:

- | | | |
|---------------|-------------|----------------|
| • Alabama | • Florida | • Pennsylvania |
| • Colorado | • Illinois | • Washington |
| • Connecticut | • Minnesota | • Wisconsin |
| • Delaware | • Montana | • Virginia |

Based on the interviews, the team identified the following as Best Practices (more detail about these Best Practices can be found in the State Section below):

- Alabama initiated a pilot program where they took 4-5 active DBEs to meet with primes at their offices. As a result, prime contractors are more engaged in the DBE Program.
- Connecticut uses a train-the-trainer model to cascade information through the organization. They also use a facilitator to assist DBEs in the art of networking at matchmaker events. Connecticut identified their work with the Greater New England Minority Supplier Development Council, which makes resources available to ConnDOT DBEs at no charge, as a best practice as well.
- Delaware has integrated dialogue about the DBE program into their 'technical assistance meetings' with 10 to 15 of their largest prime contractors.

- Florida tracks progress towards annual DBE goals on a district-by-district basis and reports the results at monthly executive board meetings. Because DBE program goals are tracked this way, the department secretary is able to hold district secretaries responsible for the performance of their district. Because district secretaries are held accountable for the performance of their district, DBE utilization is often on the agenda when prime contractors meet with them. Another unique aspect of Florida's DBE program is the letter grades that are given to every prime contractor based on their DBE utilization performance. These letter grades (A through F) are available on FDOT's public internet and internal intranet sites. Additionally, FDOT conducts regional training to educate the RCS staff on new policies and procedures. The department has launched a new computer-based training program to augment ongoing training.
- Minnesota relies on its district field staff to be the program's "eyes and ears," in the field. Specifically, the field staff is required to notify the DBE program office when milestones occur for DBE-related activities, such as when DBE work on a project starts. Minnesota also contracts with a third-party to facilitate Stakeholder Collaborative meetings, which are community-based meetings for Minnesota's DBE program stakeholders. The facilitator chairs the meetings and is responsible for meeting scheduling, agendas, and minutes.
- In Pennsylvania, all DBE responsibilities are included in the Project Office Manual, 408 Spec Book (i.e. "Construction Manual") and Labor Contract Compliance Manual; and information in the manuals is reinforced during the annual "Winter Schools," which are conducted by the Engineering units of each district. Pennsylvania has also contracted with an outside vendor to provide supportive services, such as facilitating networking events, making introductions, and facilitating meetings.
- Washington hosted a series of local DBE Roundtables throughout the state, which were attended by the division administrator and the Civil Rights Division manager in each of the regions. The roundtables were viewed as being extremely successful in making regional officials aware of the challenges DBE firms face. Washington also has a DBE Advisory Board comprised of representatives of the minority and prime contractors' associations, which meets quarterly and makes informal recommendations.
- Wisconsin's DBE program office actively leverages the support of its FHWA office liaison to provide training to WisDOT's field staff. The DBE program office believes that when the training is delivered by FHWA or in partnership with FHWA, it gets more attention from the field staff than if WisDOT delivered the training on their own.

State Interviews

Feedback from the conference and interviews included the following:

- Alabama: Recognizing that their networking forums were not working, Alabama initiated a pilot program where they took 4-5 engaged DBEs to meet with primes at their offices. The result has been that primes are more engaged, and those primes will now contact the supportive services group when they are looking for a DBE for a specific project.

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- Colorado: Colorado sends a monthly report on DBE goal performance to the Chief Engineer, who has been very supportive.
- Connecticut: Connecticut's DBE program is organized under the Bureau of Finance and Administration, and reports to the Director of Contracts and Compliance in that bureau. The Connecticut DBE office relies primarily on project inspectors (PIs), which are organized under the Office of Construction, to act as their "eyes and ears," in the field. PIs are assigned to projects to assist with program monitoring and compliance. They conduct Commercially Useful Function (CUF) reviews, which are reported back to the DBE program office.

Training, which primarily focuses on regulatory changes, is accomplished through periodic meetings with the Office of Construction. A train-the-trainer model is used to cascade information through the organization. The DBE program office relies on a few individuals that they train. Those individuals will then either act as co-presenters with the DBE program office or will do the training on their own in the field.

Progress towards annual DBE goals are reported internally at the quarterly Commissioner's Office meeting and distributed throughout the Connecticut Department of Transportation (ConnDOT) at that time. Goals are also shared externally with minority and contractor associations – generally on request.

Connecticut uses a facilitator to assist DBEs in the art of networking at matchmaker events. They also hold an annual Small Business Summit and invite DBEs and primes to attend.

Connecticut identified their work with the Greater New England Minority Supplier Development Council (GNEMSD) as a best practice. GNEMSD makes resources available to ConnDOT DBEs at no charge.

- Delaware: The Delaware Department of Transportation (DelDOT) DBE program office has integrated dialogue about the DBE program into their technical assistance meetings with 10 to 15 of their largest prime contractors. This forum has proven to be effective in opening the line of communication between prime contractors and DelDOT regarding the program.
- Florida: Florida is 100 percent race-neutral for its DBE program goals. The Florida Department of Transportation (FDOT) has 250 resident compliance specialists (RCSs) that work at the field level and are responsible for DBE and equal opportunity (EO) compliance on every federal contract. The DBE/EO office sets the policies and procedures for the RCSs to follow and do periodic quality control audits to ensure RCS compliance with state requirements.

FDOT conducts regional training to educate the RCS staff on new policies and procedures. The department has also launched a new computer-based training program to augment ongoing training. Turnover is a significant issue, and District Contract Compliance Managers, who supervise the RCSs, are responsible for training new RCSs.

Progress towards annual DBE goals are tracked on a district-by-district basis and reported at monthly executive board meetings. Because DBE program goals are tracked on a district-by-

district basis, the department secretary is able to hold district secretaries responsible for the performance of their district. Performance against DBE program goals are also included in the job performance evaluations of the district secretaries. Because district secretaries are held accountable for the performance of their district, DBE utilization is often on the agenda when prime contractors meet with their district secretaries.

Another unique aspect of FDOT's DBE program is the letter grades that are given to every prime contractor based on their DBE utilization performance. These letter grades (A through F) are available on FDOT's public internet and internal intranet sites.

The FDOT DBE program office also meets often with the Florida Transportation Builders Association, which hands out awards to prime contractors for DBE utilization as part of their annual conferences.

- Illinois: A representative from Illinois Department of Transportation (IDOT) DBE program office participated in a phone survey. IDOT indicated that email and meetings were the most effective tools for communicating internally. They also indicated that the website, email, newsletters and meetings were effective tools to communicate externally.
- Minnesota: The Minnesota Department of Transportation (MnDOT) DBE program office is organized under the Small Business Contracting Office. Similar to Connecticut, MnDOT relies on its district field staffs to be the program's "eyes and ears," in the field. Specifically, the field staff is required to notify the DBE program office when milestones occur for DBE-related activities, such as when DBE work on a project starts. The field staff also notifies the DBE program office if they suspect that DBEs are not being properly utilized for trucking services or products that are being delivered to the work site, if those services or products are supposed to be supplied by a DBE as part of the contract. When the field staff reports potential issues on the work site regarding DBE utilization, the DBE program staff investigates.

Training has not been a priority for MnDOT to date, mainly due to the fact that MnDOT field employees tend to be extremely long-tenured.

MnDOT encourages stakeholder involvement through the "DBE Workforce Collaborative". This community-based meeting is for the stakeholders of MnDOT's DBE program to interface with the DBE program office and collaborate on solutions to mutual challenges. One specific responsibility of this group is to look at DBE contract goals and identify ways to maximize DBE participation on projects. The DBE Workforce Collaborative also provides program recommendations and can help shape policy. MnDOT contracts with a third-party to facilitate the meetings. The facilitator chairs the meetings and is responsible for scheduling, agendas and minutes. DBE goal progress is shared with the participants in the DBE Workforce Collaborative on a monthly basis.

MnDOT also recognizes outstanding prime contractors (identified by the DBE utilization performance) and outstanding DBEs through awards at its annual conferences and through case studies in quarterly newsletters.

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- Montana: The Montana DBE program office is organized under the executive director’s office. New policies and procedures are shared at the director’s bi-monthly meetings, which is attended by all of the department managers. Goals are also shared at the bi-monthly meetings, as well as with the local contractors’ associations.

Montana Department of Transportation (MDT) recently awarded a contract to the third lowest bidder, because it met the DBE goal for the project and the lowest two bidders did not. The low bidder contested the decision, but ultimately MDT’s decision was upheld. The result has been that prime contractors are now more engaged in the program and actively seek assistance from the DBE program office for identifying DBEs for projects with DBE goals.

- Pennsylvania: The Pennsylvania DBE program office is organized under the Bureau of Equal Opportunity (BEO). DBE program compliance on the work site is the responsibility of the project inspectors in charge (IICs), which are part of Construction. DBE program goals for individual projects are set by Design, which is organized under the Bureau for Highway Administration.

All DBE responsibilities are included in the Project Office Manual, 408 Spec Book (i.e. “Construction Manual”) and Labor Contract Compliance Manual. Information in the manuals is reinforced during the annual “Winter Schools,” which are conducted by the Engineering units of each district. The DBE program office provides DBE program training at the winter schools and specifically includes training IICs on their DBE program roles and responsibilities.

Performance against goals is tracked electronically through the Pennsylvania Department of Transportation’s (PennDOT) Electronic Contract Management System (ECMS), which is fed by data coming from each of the PennDOT’s 11 districts. Each project manager is required to input the contractual payment information into the ECMS, which generates a report for each district showing DBE participation program for each project – what the goal is, whether it is being met, what the shortfall is, good faith efforts that are made, etc. The report is delivered to the Division Chief of the DBE Unit, who reviews it with the Director of the BEO, who communicates up to the Deputy Secretary of Administration. Goals are also shared externally at quarterly contractors’ associations meetings.

PennDOT has contracted with an outside vendor to provide supportive services, such as facilitating networking events, making introductions, facilitating meetings, and small group meet and greets during pre-bid construction conferences and other DOT events. The supportive services vendor also has a profile of all of PennDOT’s stakeholders, which includes the stakeholder’s preferred method of communication (e.g. fax, email, etc.), and uses that profile to get information out to various stakeholders.

- Washington: The Washington DBE program office is organized under the Office of Equal Opportunity (EO), which reports directly to the Secretary of Transportation. DBE program compliance monitoring is accomplished through three regional EO office staff members as well as regional equal employment opportunity (OEE) officers that are not part of the EO staff and project engineers (PEs), who alert DBE program office staff if there is an issue in the field. Washington Department of Transportation (WSDOT) does annual training for the EEO officers and PEs in each of the regions and also holds regular meetings with the EEO officers. The

regional training typically is scheduled for multiple days and will include internal staff one day and external stakeholders the next. EEO officers and PEs also receive periodic program updates throughout the year. WSDOT also frequently leverages Federal Highway Administration (FHWA) staff for the training.

WSDOT's race conscience DBE program goals were the subject of a lawsuit, which the state initially won, but the ruling was later overturned in an appeal. Partly in response to the lawsuit, the state has hosted a series of local DBE Roundtables throughout the state. These roundtables were attended by the division administrator and the Civil Rights Division manager in each of the regions. The purposes of these roundtables were to:

- Inform the community about upcoming projects – including mega projects
- Provide DBEs with the opportunity to share their experiences with WSDOT executives

The roundtables were viewed as being extremely successful in making WSDOT executives and regional officials aware of the challenges DBE firms face.

WSDOT also has a DBE Advisory Board comprised of representatives of the minority and prime contractors' associations (e.g. Asphalt Paving Association, Northwest Minority Supplier Development Council, National Association for Minority Contractors, Tabor 100, etc.). The Advisory Board is state-wide with some members participating by phone and is ethnically diverse. The board meets quarterly and makes informal recommendations. WSDOT handles the agenda and administration of the board in-house.

To set up the board, WSDOT started by surveying the stakeholders to identify the issues that were important to them. Initially the meetings were educational to get everybody on the same page with respect to what the federal DBE program requirements are, what WSDOT was doing, and what its DBE program goals were. The membership, mission, purpose, and role of the advisory board were all planned internally in advance of bring the idea out of the DBE program office.

Overall, WSDOT's experience with the adversity board has been positive. It has reduced the amount of disagreement and conflict in Washington by giving stakeholders a voice in the decision making process.

- Wisconsin: Wisconsin's DBE program is housed under the Division of Transportation System Development – the second largest of their five divisions. Like Connecticut and Minnesota, Wisconsin Department of Transportation (WisDOT) relies on its project engineers to be its "eyes and ears," for DBE program compliance monitoring on the work site. This is done through reporting by project engineers in their daily project diaries – a WisDOT term for their online project reporting system. This is a way to document concerns that may happen on the worksite related to the DBE program.

WisDOT's DBE program office actively leverages the support of its FHWA office liaison to provide training to WisDOT's field staff. The DBE program office believes that when the training is delivered by FHWA or in partnership with FHWA, it gets more attention from the field staff than if WisDOT delivered the training on their own.

Progress against annual DBE program goals are reviewed in monthly internally Construction meetings as well as with the Department Administrator each month.

Stakeholder meetings are also held monthly and include internal and external stakeholders including DBE and prime contractor associations. The goal of these meetings is to improve the implementation of the DBE program so that it works for the department and the industry. The stakeholder group makes written recommendations to the Secretary's office, based on group consensus. By allowing all sides to provide input into the process, this monthly forum has had a positive impact on the program.

- Virginia: The Office of Civil Rights is part of the Virginia Department of Transportation's (VDOT) executive team, providing good internal support for the program. Progress toward goals is reported quarterly with an action plan required for any shortfalls. Virginia has also capitalized on the mega projects by including small and disadvantaged business goals in partner agreements.

Stakeholder Interviews

The project team conducted internal and external stakeholder interviews. The primary purposes of the interviews were to help develop the stakeholder surveys and ensure that the project team was asking the right questions and using terminology that would be readily understood by the target audience. Parts of these interviews were used to develop the description of the MDOT DBE program provided in the introductory section.

The following section provides a summary of some of the noteworthy comments from the stakeholder interviews.

From Stakeholder Interviews (Internal):

- Some of the internal staff voiced concerns that due to the nature of the program and opposition to programs of its nature (e.g. Prop 2), any communication about the program apart from the federal requirements (i.e. policy and procedure) would likely invite additional scrutiny that takes the staff away from their primary duties (at best) and could threaten the state's ability to receive federal highway matching funds (at worst).
- There was wide agreement that Greg Johnson has taken a more active interest in the DBE program than his predecessors.
- Program goals are tracked monthly, discussed in OBD Office staff meetings every 2-3 months, reported to FHWA every six months, shared with Greg Johnson informally, and available to a number of stakeholders on request (MITA, Transportation Commission, Governor, etc.) The Governor has requested that departments develop dashboards for reporting progress on projects, and progress toward the DBE goal could be a dashboard metric (along with GFE waivers received/accepted). There also seemed to be a considerable amount of disinterest in the metrics – many people said they "*probably* saw them, but did not recall, because they do not directly impact their job performance."
- Reporting or goals on a regular basis is an important element of a healthy DBE program and one we recommend.

- The OBD has started doing Local Agency Program training throughout the organization including the regional offices. Greg Johnson encouraged his organization to participate. Interviews suggest that most of the “rank and file” field engineers are attending the training, but the executives are not participating.
- MITA is an important external stakeholder and should be considered in any communications plans.

From Stakeholder Interviews (External):

- In general, the OBD Office is seen as a very helpful organization for DBEs, but less helpful for primes who typically go to MITA for information about the program.
- There was general agreement that successful DBEs were the ones who were active in networking, marketing themselves and responding to bids – but this was a small minority of the certified DBEs.
- The website was singled out for needing improvement – specifically more timely information.

MDOT Contractor Survey

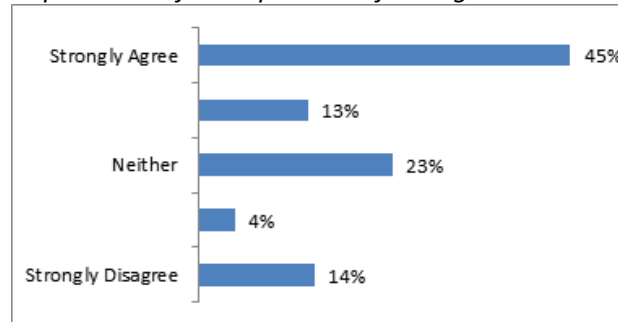
The project team developed a survey for contractors to MDOT to find out about their knowledge of and attitudes toward MDOT’s DBE Program. The survey was introduced at MDOT’s DBE Program Conference and was completed by approximately 110 prime and subcontractors including DBEs and non-DBEs. After the conference, the survey was emailed to approximately 500 MDOT contractors. In total, approximately 175 surveys were completed. The survey tool is provided in Appendix 5.

The project team cross tabulated the responses of the contractors that completed the survey at the DBE Conference versus the surveys that were completed via email and found no statistical difference between the two groups. The results of the combined survey are provided in Appendix 6. Some of the significant findings are provided below.

Based on responses to demographic questions, the majority of the respondents were non-white (54%), were male (52%), were subcontractors (50%) and owned or co-owned their businesses (70%), most of which achieved less than \$500k in revenue in 2011. Most of the respondents were DBEs (59%). Among those, 62% had been certified for more than three years.

As shown in Figure 2, a surprising number of respondents (41%) were not aware that Michigan’s DBE program was a requirement for receiving federal matching funds for FHWA projects. While more than half of the respondent either strongly agreed or agreed that they understood the DBE program was requirement for federal funding. We believe the percentage of strongly agrees and agrees should be much higher, given the fact that this statement should be an important foundational message of MDOT’s internal and external DBE

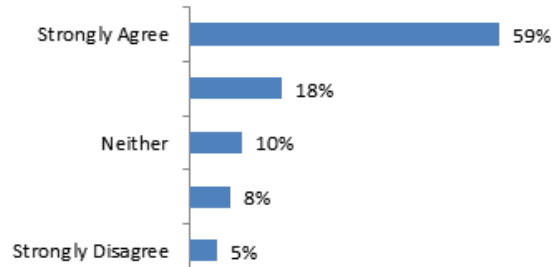
Figure 2: I understand that Michigan’s DBE program is a requirement for receiving federal Department of Transportation funding.



communications. DBEs were more likely to strongly agree or agree with this statement than non-DBEs by 66% versus 47% respectively.

Most (58%) of the respondents indicated that MDOT’s program policies and procedures were clear to them. Roughly the same percentage of DBEs and non-DBEs indicated this as well – indicating that there wasn’t a significant difference between DBEs and non-DBEs in responding to the question.

Figure 3: I believe there is a need for the DBE program.



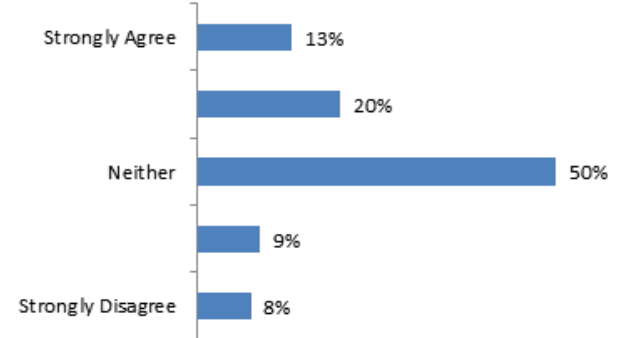
As shown in Figure 3, more than three-quarters (77%) of the respondents believe that there is a need for the DBE program. Among DBEs, the percentage of respondents agreeing to this statement (83%) was higher than those in the combined respondent results. However the majority of non-DBEs (61%) still agreed to this statement.

About two-thirds (67%) of the respondents indicated that they understood their role in ensuring that the state meets its DBE program goal. There was no significant difference between DBE and non-DBE respondents.

About two-thirds (67%) of the respondents indicated that they understood their role in ensuring that the state meets its DBE program goal.

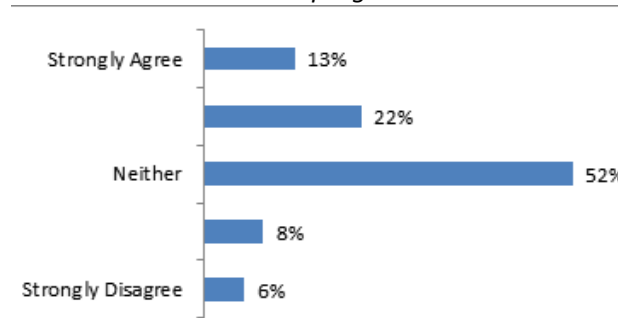
Approximately the same percentage of respondents, compared to the question above, felt that they would benefit from further training on MDOT’s DBE program (66%). DBEs were more likely (73%) than non-DBEs (66%) to agree or strongly agree.

Figure 4: I believe MDOT’s field/project engineers provide the appropriate level of support for the DBE Program.



Respondents were fairly evenly split on whether they agreed or disagreed that appropriate incentives exist to encourage prime contractors to meet their DBE goals – 39% to 34% respectively. Approximately one quarter of the respondents (26%) – neither agreed nor disagreed. Responses from DBEs and non-DBEs were consistent.

Figure 5: I believe MDOT’s regional DBE field technicians are an effective resource for resolving issues related to the DBE program.



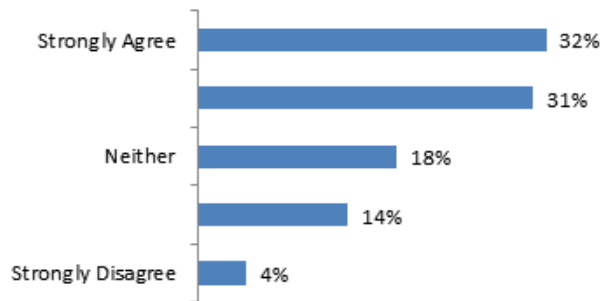
Based on the high percentage of respondents that neither agreed nor disagreed that MDOT field engineers provide the appropriate level of support for the DBE program, we are led to conclude that neither DBEs nor non-DBEs are familiar with the role of MDOT field engineers in the DBE program (Figure 4). For the same reasons, we conclude that neither DBEs nor Non-DBEs are familiar with the role of MDOT’s regional DBE field technicians in the DBE Program (Figure 5).

Most of the respondents were neutral (39%) on whether they believed MDOT’s pre-qualification

program for DBEs was effective. Among those that were not neutral, 44% either strongly agreed or agreed to this statement. There was a small difference among non-DBEs and DBEs on this issue with almost half of DBEs (49%) agreeing to the statement compared with only 35% of non-DBEs in agreement.

A solid majority of respondents agreed that prime contractors should be doing more to use DBEs on projects and DBEs should be doing more to market their services to primes – by 71% and 66% respectively. Not surprisingly, Non-DBEs were less likely than DBEs to believe that prime contractors should be doing more to use DBE on projects at 53% and 83% respectively. Non-DBEs and DBEs were more in agreement on whether DBEs should be doing more to market themselves to primes (69% versus 62%).

Figure 6: MDOT is effective when communicating information about the DBE Program.



Most of the respondents (63%) agreed that MDOT was effective in communicating information about the DBE program (Figure 7). DBEs were slightly more in agreement (64%) with this statement than non-DBEs.

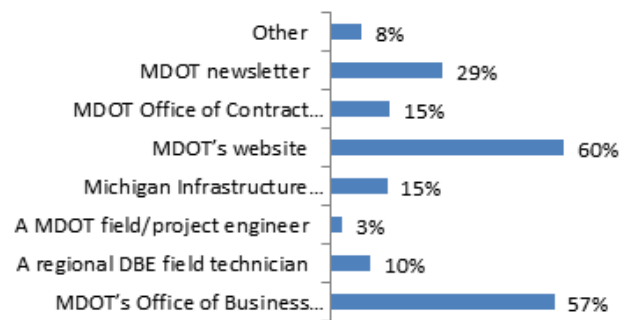
Within the last three years, a majority of the respondents (58%) had participated in DBE training from MDOT and attended one to three networking sessions (52%). Although, DBEs were far more likely to have attended a training session than a non-DBE – by 75% compared to 41%.

Among respondents that had attended a networking session in the last three years, most (56%) agreed that the events were effective in establishing relationships between primes and DBEs. Among the respondents that did not attend the networking sessions, the most likely reason was that they were not aware of them.

Only a third (31%) of respondents indicated that they believed MDOT provided enough opportunities for Primes and DBEs to establish working relationships. However there was a significant difference in responses from DBEs and non-DBEs. Only 21% of DBEs agreed that MDOT provides enough opportunities for DBEs and primes to work together, while 41% of non-DBEs agreed with the statement.

As shown in Figure 7, the majority of respondents indicated that their primary source of information about MDOT's DBE program was MDOT's website (60%) or OBD (57%). There was no significant difference in how DBEs or non-DBEs responded to this question.

Figure 7: What are your primary sources for information about MDOT's DBE program?



According to survey respondents, the top five topics of interest to DBE's are:

- Networking events
- Available DBE resources
- DBE program updates

- Technical training
- Profiles of DBEs for the purposes of identifying DBEs for potential subcontracting opportunities

The top five topics of interest to non-DBEs are:

- Networking events
- Available DBE resources
- DBE Program requirements
- Profiles of DBEs for the purposes of identifying DBEs for potential subcontracting opportunities
- Good faith effort (GFE) requirements

The top three preferred methods of receiving information regarding the DBE program for both DBEs and non-DBEs are:

- Email from OBD (75%)
- MDOT's website (52%)
- MDOT Newsletter (38%)

Recurring, written-in comments on how MDOT could improve its communication/program include:

- Need a better, more simple website with up-to-date information, including events
- Email is the preferred method of communication
- Require more incentive for primes to use DBEs

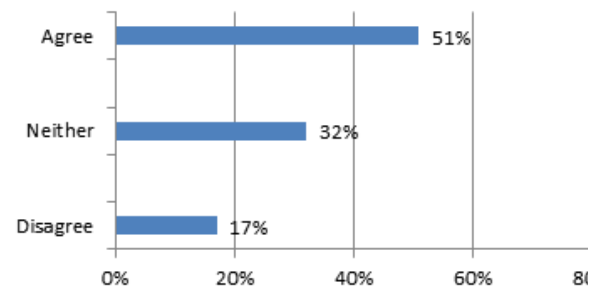
MDOT Employee Survey

The project team developed a survey for MDOT employees to find out about their knowledge of and attitudes toward MDOT's DBE Program. The survey was emailed to approximately 2,500 MDOT employees. In total, approximately 550 surveys were completed.

The project team tabulated the responses of the MDOT employees that interact regularly with contractors and consultants and the responses of MDOT employees that interact regularly with DBEs. There were several noteworthy differences in these groups from the general MDOT population. The results of the survey are provided in Appendix 7. Some of the significant findings are provided below.

Based on responses to demographic questions, the majority of the respondents were Caucasian (75%), were male (59%), and the majority worked in Highway Operations (55%). Most of the respondents interacted regularly with contractors and consultants, but did not interact regularly with DBEs (55%). Nearly half of the respondents worked in the University region (49%), worked for MDOT for more than 15 years (45%), and described their role as Manager/Supervisor or Professional (45%).

Figure 8: I understand that Michigan's DBE program is a requirement for receiving federal Department of Transportation funding



Similar to the contractor's survey, a surprising percentage (49%) of respondents did not know that Michigan's DBE program is a requirement for receiving federal Department of Transportation funding

(Figure 9). Among employees that worked with contractors and consultants, 57% were aware of the requirement, and among MDOT employees that worked with DBEs 70% were aware of the requirement. On the other hand that means almost one-third of MDOT employees that identify themselves as, “regularly interacting with DBEs,” did not agree that Michigan’s DBE program is a requirement for receiving federal Department of Transportation funding.

Less than one-third of MDOT employees agree that MDOT’s program policies and procedures were clear to them (Figure 10). Among employees that regularly interact with contractors and consultants, the percentage goes up to 37% who agree. Among MDOT employees who regularly interact with DBEs, slightly more than half (55%) agreed that MDOT’s program policies and procedures were clear to them.

When asked whether they were comfortable explaining the program to others, only 20% of MDOT’s employees indicated they were. Among employees that interact with contractors and consultants that percentage improved slightly 29% and improved even more to 46% among employees who interact regularly with DBEs.

Figure 9: MDOT’s DBE program policies and procedures are clear to me.

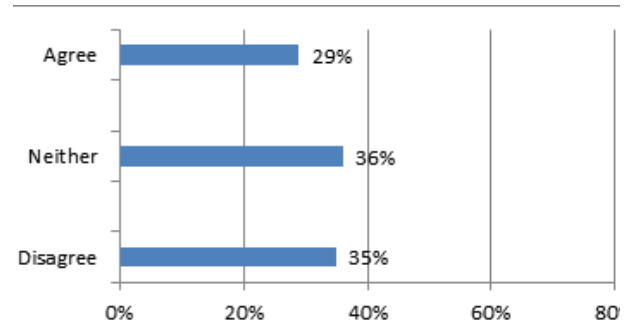
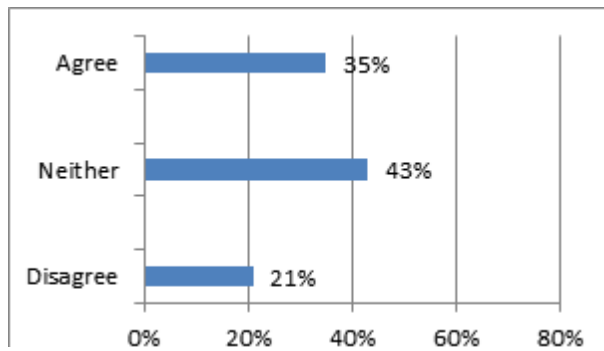


Figure 10: I believe there is a need for the DBE program.

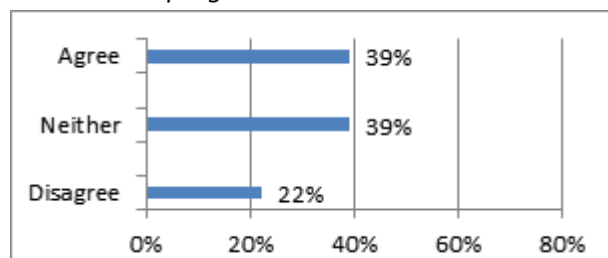


Another surprise in the employee survey results was that only about one-third of the employees believe that there is a need for the DBE program (Figure 10). Among employees that regularly interact with contractors and consultants that percentage improves slightly (40%). Among employees that regularly interact with DBEs, only 46% – less than half – believe that there was a need for the DBE program

Thirty-two percent of MDOT employees agree that they understood their role in ensuring that the state meets its DBE Program goals. Among

employees that interact regularly with contractors and consultants and interact regularly with DBEs, the percent agreeing improved to 41% and 60% respectively.

Figure 11: I would benefit from further training on MDOT’s DBE program.



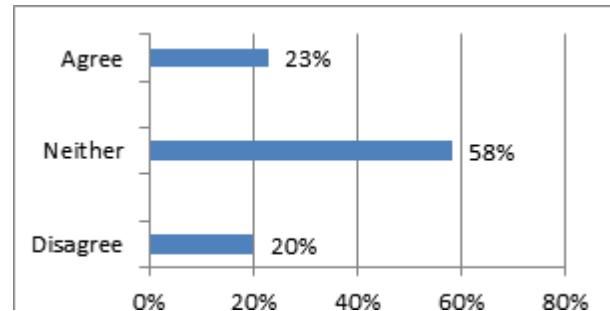
Among all MDOT employees, 26% indicated that they were comfortable explaining their role in supporting MDOT’s DBE program to others. Among MDOT employees that regularly interacted with contractors and consultants, 36% were comfortable explaining their role and 53% were comfortable explaining their role among employees that regularly interact with DBEs.

About four out of ten respondents (39%) indicated that they would benefit from further training on MDOT’s DBE program (Figure 11). Responses from employees that regularly interact with DBEs and other contractors and consultants were similar.

Only 23% of MDOT employees agree the incentives exist to encourage primes to meet their goals. This percentage was higher (36%) for those who interact with DBEs.

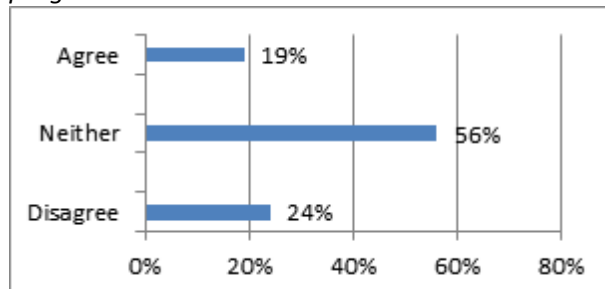
Similar to the contractors survey results, a significant number of MDOT employee respondents (61%) neither agreed nor disagreed that MDOT project engineers provide the appropriate level of support for the DBE program, which indicates that employees are likely not aware what role project engineers play in the DBE program. This was also consistent with employee responses regarding DBE field technicians, where 65% of employees neither agree nor disagree that they are an effective resource for resolving issues related to the DBE program.

Figure 12: I believe the DBE program is effective overall.



Employees that interacted regularly with DBEs were the most likely to believe that there are adequate resources to support the DBE program (41%).

Figure 13: The Office of Business Development is effective in communicating information about the program within MDOT



Only 23% of MDOT employees indicated that they believe the DBE program is effective overall (Figure 12). Among MDOT employees that regularly interacted with contractors and consultants this percentage improved slightly to 29%, and further improved among employees that regularly interact with DBEs (39%).

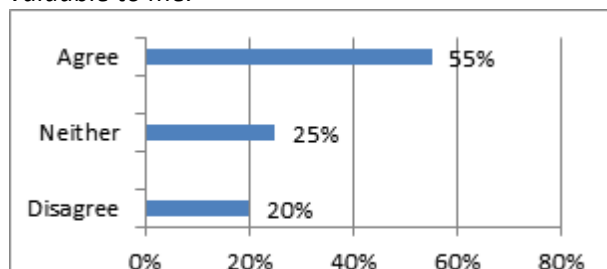
Among all MDOT employees, only 19% agree that the OBD is effective in communicating information about the program within MDOT (Figure 13), the percentage goes up to 25% of

employees who interact with contractors, and to 37% of employees who interact with DBEs.

Thirty-three percent of employees who interact with contractors agreed they would like to receive more information on the program. This was comparable for those who interact with DBEs.

Twenty-nine percent of employees would like more frequent info on the DBE program. This was comparable with those who interact with DBEs.

Figure 14: The DBE training I received was valuable to me.



Seventy-eight percent of the employees did not receive training about the program within the last 3 years, but the majority of employees who interact with contractors and/or DBEs did receive training – 86% and 75% respectively.

More than half (55%) of the employees who received training agreed that the training was valuable to them (Figure 14). This was comparable with those who interact with DBEs and other contractors.

The most likely reason given for not attending the training, was that it was not required for the position (61% all MDOT employees and 47% employees that interact with contractors).

According to survey respondents, the primary sources of information about MDOT’s DBE program are:

- MDOT’s website
- The Office of Business Development
- Other -- “coworkers” were the only repeated answer under “others”.

The top five topics of interest to respondents are:

- My roles and responsibilities
- Reasons for the DBE program
- DBE Program requirements
- Roles and responsibilities of all DBE program participants
- Case studies or success stories of DBE program participants

The top five preferred methods of receiving information regarding the DBE program or the Office of Business Development are:

- MDOT’s website (48%)
- Email from OBD (37%)
- MDOT Newsletter (29%)
- MDOT Training session (25%)
- Online video (14%)

Recurring, written-in comments on how MDOT could improve its communication/program include:

- More communications: Many employees indicated that they were not aware of what the OBD does and what are the requirements of the DBE program.
- Many employees recommended the development of an email distribution list (or Listserve) for interested employees with periodic updates.
- Several employees suggested including regular updates in the MDOT newsletter.
- Several employees also felt that improvements could be made in the communication process such as providing information that is clearer, more relevant and more timely.

Respondents were asked to identify any specific problems/issues with MDOT’s DBE program. The five issues most frequently identified in the write in comments include:

- Lack of respondent knowledge about the program, need for more training or lack of management support and resources for the program

- The need for better training or oversight of DBEs – which included limiting DBEs on bidding contracts for three years, better training on MDOT requirements and procedures, or DBEs not being able to adequately perform the work they are hired to do
- Prime contractors failing to meet their goals and requesting waivers
- Abuse of the system by DBE contractors/DBE contractors in name only
- The program itself was flawed from a policy perspective and should not exist

Respondents were also asked to identify ways that MDOT could improve the DBE program. The four suggestions most frequently provided in the write in comments include:

- Better training and more communication about the program to all MDOT staff was overwhelmingly identified as a way to improve program effectiveness.
- There were a large number of comments that could be characterized as, “improving program effectiveness.” These suggestions included reassigning oversight responsibility from TCS staff to OBD staff.
- Better training, oversight and qualifying DBEs to ensure that DBEs can perform the work they are hired to do and remove the ones that can’t.
- Eliminate the program entirely.

Combined Surveys

In addition to looking at the results from the contractors and employee surveys, the Project Team also cross tabulated the results from the two surveys. The following analysis compares the responses from the following groups:

- DBEs and Non-DBEs compared to MDOT employees
- DBEs and Non-DBEs compared to MDOT employees that interact with DBEs and MDOT employees that do not interact with DBEs
- All Contractors compared to MDOT employees that interact with contractors and MDOT employees that do not interact with contractors

Questions with statistically significant differences are shown below:

Q122: MDOT’s DBE program policies and procedures are clear to me.

- Both DBEs and Non-DBEs are more likely to agree with this statement than MDOT employees.
- MDOT employees that interact with DBEs and Non-DBEs (listed in order of agreement) are more likely to agree with this statement than MDOT employees that do not interact with DBEs.
- All Contractors are more likely to agree with this statement than MDOT employees that interact with contractors and MDOT employees that do not interact with contractors

Q123: I believe there is a need for the DBE program

- DBEs and Non-DBEs are more likely to agree with this statement than all MDOT employees.
- Non-DBEs are more likely to agree with this statement than MDOT employees that interact with DBEs and MDOT employees that do not interact with DBEs.
- All Contractors are more likely to agree with this statement than MDOT employees that interact with contractors and MDOT employees that do not interact with contractors.

Q124: I understand my role in ensuring that the state meets its DBE program goals.

- Both DBEs and Non-DBEs are more likely to agree with this statement than MDOT employees.
- All contractors are more likely to agree with this statement than MDOT employees that interact with contractors and MDOT employees that do not interact with contractors.

Q140: MDOT is effective when communicating information about the DBE Program.

- Both DBEs and Non-DBEs are more likely to agree with this statement than MDOT employees.
- Both DBEs and Non-DBEs are more likely to agree with this statement than MDOT employees that interact with DBEs and MDOT employees that do not interact with DBEs.
- All Contractors are more likely to agree with this statement than MDOT employees that interact with contractors and MDOT employees that do not interact with contractors.

Q16: Within the last three years, have you participated in DBE program training from MDOT?

- Both DBEs and Non-DBEs are more likely to have attended training than are MDOT employees.
- DBEs are more likely to have attended training followed by (in order) MDOT employees that interact with DBEs, Non-DBEs then MDOT employees that do not interact with DBEs.
- All contractors are more likely to have attended training than MDOT employees that interact with contractors and MDOT employees that do not interact with contractors.

Task 4: Analysis/Recommendations

Conclusions

Overall the project team assesses that the Office of Business Development has a very experienced team that excels in several areas including:

- Having a thorough and comprehensive understanding of the technical and regulatory requirements of the US DOT's DBE Program. This assessment is supported by FHWA's own audit of MDOT's DBE Program, which identified several materials developed by OBD to explain the program procedures and requirements as being best-in-class.
- Having a robust and inclusive process for annual and project-specific goal setting. OBD's inclusion of MITA in the goal setting process though the joint development of a formula to help develop project-specific goals should be considered a best-practice. Likewise in interviews with internal and external stakeholders, OBD demonstrated a commitment to continuous tracking and setting of goals based on the best data currently available.

The OBD Program office also appears to be a very helpful resource for DBEs, and focus a lot of effort on their communications efforts and support for DBE firms. For example, OBD's effort to distribute contract opportunities to DBE firms is consistent with one of the National Minority Supplier Development Councils best practices for developing a minority supplier development program.

The area where we saw the most room for improvement was in internal communications. This assessment is consistent with FHWA's audit, which determined that MDOT Resident and Project Engineers were not aware of their roles and responsibilities as they appropriately should have been. It is further substantiated by the contractor and employee surveys which show a significant difference between how contractors and employees understand the program, their responsibilities, and the effectiveness of DBE program communications. Internal interviews suggested that there was substantial

concern that communication about the program to some internal and external groups could hinder the effectiveness of the staff to perform their duties and administrate the program due to real opposition to the program that exists. Our assessment is that MDOT has built a strong, defensible program that is responsive to the federal regulatory requirements that govern it, has done appropriate outreach to external shareholder audiences and now needs to make a similar effort to win-over internal skeptics. We find support for this argument in the contract and internal MDOT surveys which demonstrate that external shareholders – regardless whether they are DBE firms or non-DBE-firms – are better informed and more supportive of the DBE program than internal stakeholders.

Recommendations

Our recommendations are as follows:

- Clarify MDOT's position on the DBE Program
- Increase reporting/communication of goals
- Increase participation by executive leadership
- Increase internal communications
- Increase recognition of participating firms
- Reorganize website materials

Clarify MDOT's position on the DBE Program

The fact that the DBE Program is a requirement for receiving federal highway transportation matching funds should be front and center in every piece of communication. As part of this we recommend distributing the following revised user-friendly policy statement to internal and external audiences:

The Michigan Department of Transportation (MDOT) Disadvantaged Business Enterprise (DBE) Program is a federally required program designed to ensure that firms owned and controlled by minorities, women, and other socially and economically disadvantaged persons have the opportunity to grow and become self-sufficient through participation in state and local procurement contracts.

This recommendation is consistent with the National Minority Development Council's Best Practices in Minority Supplier Development 2010 manual recommendation that corporate policy and management support for the program is written and communicated clearly to all employees, suppliers and stakeholders.

Further, OBD should be more transparent in what it does and does not do. It would be helpful for internal and external stakeholders to have a better understanding regarding how decisions are made and why. Our recommended method for accomplishing this is to develop an FAQ written in plain English and posted on the DBE Program website that addresses the following questions.

What is the MDOT DBE Program? *The Michigan Department of Transportation (MDOT) Disadvantaged Business Enterprise (DBE) Program is a federally required program designed to ensure that firms owned and controlled by minorities, women, and other socially and economically disadvantaged persons have the opportunity to grow and become self-sufficient through participation in state and local procurement contracts.*

Why does MDOT have a DBE program? The U.S. Department of Transportation (DOT) requires that state and local transportation agencies, such as MDOT, establish annual and contract-specific goals to ensure that DBE firms are able to participate in contracts that receive DOT financial assistance. The level of DBE subcontracting goals may vary from project-to-project however, at the end of the year, the amount of contract/subcontract awards to DBEs should be consistent with the overall annual goal.

The Federal Highway Administration (FHWA) is responsible for oversight of MDOT's DBE program. The Federal Aviation Administration and the Federal Transit Administration oversee similar programs administered by local airport authorities and transit systems.

The following soft goals should also be considered for inclusion in the FAQ:

While Michigan has made great progress towards true equal opportunity, much remains to be done. This is especially true in the transportation-related construction industries. While minorities represent more than 20% of the population, they own only 9% of all construction firms and receive only about 5% of construction receipts. While women represent over 50% of the population, women-owned construction firms receive only 48 cents of every dollar that we would expect them to receive given their availability in the marketplace. The DBE program works to remedy these inequalities. Moreover, when programs like the DBE program are eliminated or curtailed at the state and local level, participation by women- and minority-owned firms plummets. The bottom line is this: the DBE program is still needed today to remedy discrimination.

Who is responsible for administering the DBE Program at MDOT? At MDOT, the Office of Business Development (OBD) is responsible for administering MDOT's DBE Program, which includes compliance reporting, certifying DBE firms and interfacing with FHWA and MDOT's executive officers on program goals.

How are annual goals set? Annual goals, which are set in three year intervals, are developed in cooperation with FHWA through a methodology that looks at race neutral (not contract specific) and race conscious goals (contract specific) then establishes a base figure, which is adjusted slightly based on upcoming projects for the year.

How are project goals set? Project goals are developed by the Contract Selection Team, a cross-functional team that includes representative stakeholders from MDOT and local government transit agencies. For individual projects, criteria for goal setting includes project dollar amount, availability of qualified DBEs, location of project, work classifications required, and historical results among others. MDOT and the Michigan Infrastructure Transportation Association (MITA) have jointly developed a formula for assisting in the development of project-specific goals that is now being used on most construction projects.

How are DBE firms certified? In Michigan, DBE firms are certified by one of the three certifying agencies that are part to the Michigan Unified Certification Program (MUCP). These certifying agencies include: MDOT, Wayne County Human Relations Division, and Detroit Department of Transportation. To become certified, disadvantaged businesses must submit an application and be a socially and economically disadvantaged small business concern where ownership and control of the business rests with the disadvantaged owner(s). At MDOT, the OBD is responsible for DBE certification.

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Who pre-qualifies DBEs and how? DBE firms are pre-qualified using the same processes and standards as non-DBE firms. Unlike certification, which is used to establish whether a firm qualifies to participate in MDOT's DBE Program as a DBE, pre-qualification is not a separate process for DBE and non-DBE firms. At MDOT, the OBD is not responsible for DBE pre-qualification.

How are Good Faith Effort (GFE) modification waivers determined? MDOT contractors must submit GFE modification requests to MDOT for projects where they fail to meet the specified DBE goal. These are then reviewed by a cross-functional team which determines if the contractor made the necessary efforts to include DBEs in the project. Consequences for not meeting GFE requirements are enforced.

OBD's role in the GFE waiver application process is to review waiver applications from prime contractors to ensure completeness, occasionally investigate claims made on the GFE waiver applications, and work as a liaison between non-DBE prime contractors and DBE subcontractors to see if the problem can be solved on a local basis at the job site. OBD staff has also provided GFE waiver application process training for non-DBE primes, which is available on the MDOT website.

Increase reporting/communication of goals

We recommend increased reporting of progress toward DBE goals. This should be done internally on a quarterly basis and at least annually on an external basis. Internal reporting of DBE program goals should include reporting and discussion at COO Greg Johnson's executive staff meeting and inclusion in the department-wide newsletter at a minimum.

This recommendation is consistent with the National Minority Development Council's (NMSDC) Best Practices in Minority Supplier Development 2010 manual recommendation that the corporate plan should be reviewed by senior executive management on a regular basis. What gets measured, gets done. And, what is important to senior executive management is also what should be important to their employees.

External reporting of DBE goals should be clear and concise and modeled after established financial reporting norms. Achievement of goals was showcased repeatedly in the non-DOT organizations (i.e. Boeing, Ford and Lockheed Martin). We recommend requesting the support of MDOT's communications department for developing this press release-style document. Once the initial document is drafted, updating and distributing subsequent announcements should be fairly easy and streamlined.

Increased participation by executive leadership

It is important for the Governor, Director, and Chief Operating Officer to demonstrate leadership when it comes to supporting MDOT's DBE Program. This could include a cover letter to an employee training manual, a cover letter or supporting quote for training materials, or participation in DBE program conferences. Again, the NMSDC Best Practices in Minority Supplier Development identify top management commitment as a key factor in any program's success.

Increased internal communications

The contractor and employee surveys clearly highlighted the disparity in communication with the two groups. That is, contractors consistently rated DBE program communication higher than employees (even those employees who regularly dealt with contractors). Additionally, more contractors had a clearer understanding of the program requirements and their roles than MDOT employees. Further,

from the project team’s environmental scan, as well as during the interviews with OBD personnel, it became clear that the focus of the OBD’s communications is to DBEs.

The initial employee training effort launched by OBD following the FHWA audit is an excellent start to improving the program’s awareness and individual roles/responsibilities. However, the training should provide a clearer understanding of the purpose of the program so that individuals understand why it is important. The policy statement suggested should be repeated in all training materials consistently. More training is also required on organization and individual roles and responsibilities. Feedback from the surveys suggest that individuals think they could benefit from further training making them a receptive audience for this communication.

In addition to training, here are several other ways that MDOT could increase internal communications at low or no cost to the program:

- A summary of the final report on this project could be included in the Monday Memo with a link to the full report online
- The FAQ mentioned above could be distributed as a pdf to all MDOT employees
- Increase internal reporting of progress toward goals and greater senior executive involvement previously mentioned contain elements of internal communications activities
- Increased recognition of participating firms – mentioned below – could be included in the Monday Memo, creating an opportunity to increase communication about the program internally

Reorganization of website materials

MDOT’s DBE Program website has a considerable amount of material and resources. The site had two main pages – the DBE Program main page and MUCP program main page – which were easy to navigate through reciprocal links. While MDOT’s DBE Program over achieves in providing available resources, it would benefit from organizing the information into audience segments. The website was cited by both contractors and employees as the top resource for information on MDOT’s DBE program. Also consistent was feedback from both groups that it could benefit from simplification.

On the following pages, we have provided a simplified website layout for the MDOT DBE Program (Figure 15). The simplified website layout prominently features MDOT’s purpose statement at the top of the page, followed by the five most useful links. The Latest News with a link to Greg Johnson’s 2012 DBE Program Conference presentation is featured on the page along with Staff Directories and followed by pull down menus for Additional Resources and Forms and Instructions.

The next page shows a layout for a combined MUCP Welcome/Learn More Page (Figure 17). Currently, users who click on the Learn More link on the MDOT DBE Program page are directed to the Welcome page, which includes the welcome statement, additional links and the DBE Company Directory. Our revised layout recommends combining the Welcome/Learn More page, so that users who click the Learn More link on the DBE Program page will not have to click an additional link to arrive at their intended destination. The DBE Company Directory is now on its own page (Figure 18). The revised layout allows users looking for more information about the program to arrive at it in one click, and users interested in searching the DBE Company Directory to arrive at that in one click as well.

Figure 15: Simplified Website Layout

The screenshot shows the MDOT website layout. At the top is a blue header with the MDOT logo and the text "Department of Transportation". To the right of the logo are several small images of transportation infrastructure. Further right is the "MICHIGAN.GOV" logo with the text "Michigan's Official Web Site". Below the header is a navigation bar with links: "Michigan.gov Home", "MDOT Home", "Site Map", "Contact MDOT", "FAQ", and "State Web Sites". On the right side of the navigation bar is a search box with a "GO" button. On the left side is a vertical navigation menu with the following categories: "Doing Business", "Forms", "Contractor Services", "Disadvantaged Business Enterprise", "Design/Build", "Prequalification", "Bid Letting", "Payments & Awards", "Vendor/Consultant Services", "Local Agency Program", "Passenger Transportation", "Roads and Travel", "Rail and Public Transit", "Bridges, Borders and Ferries", and "News and Information". The main content area is titled "MDOT Disadvantaged Business Enterprise (DBE) Program" and contains the following text: "The MDOT Disadvantaged Business Enterprise (DBE) Program is a federally required program designed to ensure that firms owned and controlled by minorities, women, and other socially and economically disadvantaged persons have the opportunity to grow and become self-sufficient through participation in state and local procurement contracts." Below this text are several sub-sections: "How to Become DBE Certified", "DBE Directory Search", "FY2012 Program Goals", "Good Faith Effort Waiver Requirements", and "DBE Program FAQ". There is also a "Latest News" section with a paragraph about the 2012 MDOT DBE Program Conference and a link to a presentation. A "Contact Us" section includes links to "DBE Staff Directory" and "Construction Tech Directory". At the bottom of the main content area, there are two lines of text: "Additional Resources (Pull down menu, see below)" and "Forms and Instructions (Pull down menu, see below)".

<p>Additional Resources (Pull down menu)</p> <ul style="list-style-type: none"> DBE Program Procedures Prompt Payment Brochure Commercially Useful Function Brochure What DBE Need to Know Brochure Wanted Woman- and Minority Owned Business Brochure MDOT Construction Manual 	<p>Forms and Instructions (Pull Down Menu)</p> <ul style="list-style-type: none"> 0156A – DBE Educational/Training Program Disbursement 0168A – MDOT Vendor Availability Questionnaire 0171 – Association Membership Reimbursement Request 0173 – Subscription Services Reimbursement Request 0174 – Enterprise Commercially Useful Function Complaint 0178 – Disadvantaged Business Enterprise (DBE) Participation Instructions for Counting DBE Participation 0188 – Contractor Good Faith Effort Application 0195 – DBE Trucking Firm Effort Application 2124 – Prime Contractor Bi-Weekly Payment Statement 4101 – Heavy Construction Trucking Credit Worksheet Uniform Report of DBE Commitments/Awards and Payments Instructions for Completing Uniform Report Prime Consultant Statement Sample FTA Goals Reporting Letter Sample Grantee Uniform Letter
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Figure 16: Combined MUCP Welcome/Learn More Page

Department of Transportation
Michigan.gov Home | MUCP Home | Contact MUCP | MUCP Help

MICHIGAN MUCP
Unified Certification Program

News & Events
[DBE firms no longer certified with MDOT: The State of Michigan Bid System](#)
[Clinton Area Transit Soliciting Quotes for Items](#)
[New MDOT DBE Certification Firms](#)
[Information On How To Become Prequalified](#)
[Fraud and Abuse Hotline](#)
[New DBE Link For AER Advertisements/Projects](#)
[more news](#)

Important Links
[NAICS Definitions](#)
[Small Business](#)

Welcome
 Welcome to the Michigan Unified Certification Program (MUCP) website. This site provides a searchable directory of all current Michigan Disadvantaged Business Enterprise (DBE) certified firms. We have forms, applications, news, current events, other important websites, and information to help businesses working in Michigan.

The purpose of the MUCP is to provide "one-stop shopping" for everyone seeking to be certified. The MUCP makes decisions on behalf of all businesses in the state of Michigan that want to be certified DBEs and represents all USDOT funded agencies with DBE programs. In other words, firms certified as DBE's with the MUCP are eligible to work on any federally-funded airport, highway or transit contract, as a DBE.

Learn more about the program
Download forms

Learn How to Become Certified
 Disadvantaged businesses interested in being certified by the Michigan Unified Certification Program (MUCP) must submit an application to one of the [Certifying Agencies](#). Instructions and applications are available for you convenience on this website and may be printed. Applications may also be obtained by contacting any of the [Certifying Agencies](#).

The application must be mailed or physically delivered to one of the [Certifying Agencies](#). The application must be signed and notarized. The application must also be complete and include all of the supportive documentation. All applications will be reviewed and verified. Additional information may be requested and an on-site interview will be conducted prior to a final decision.

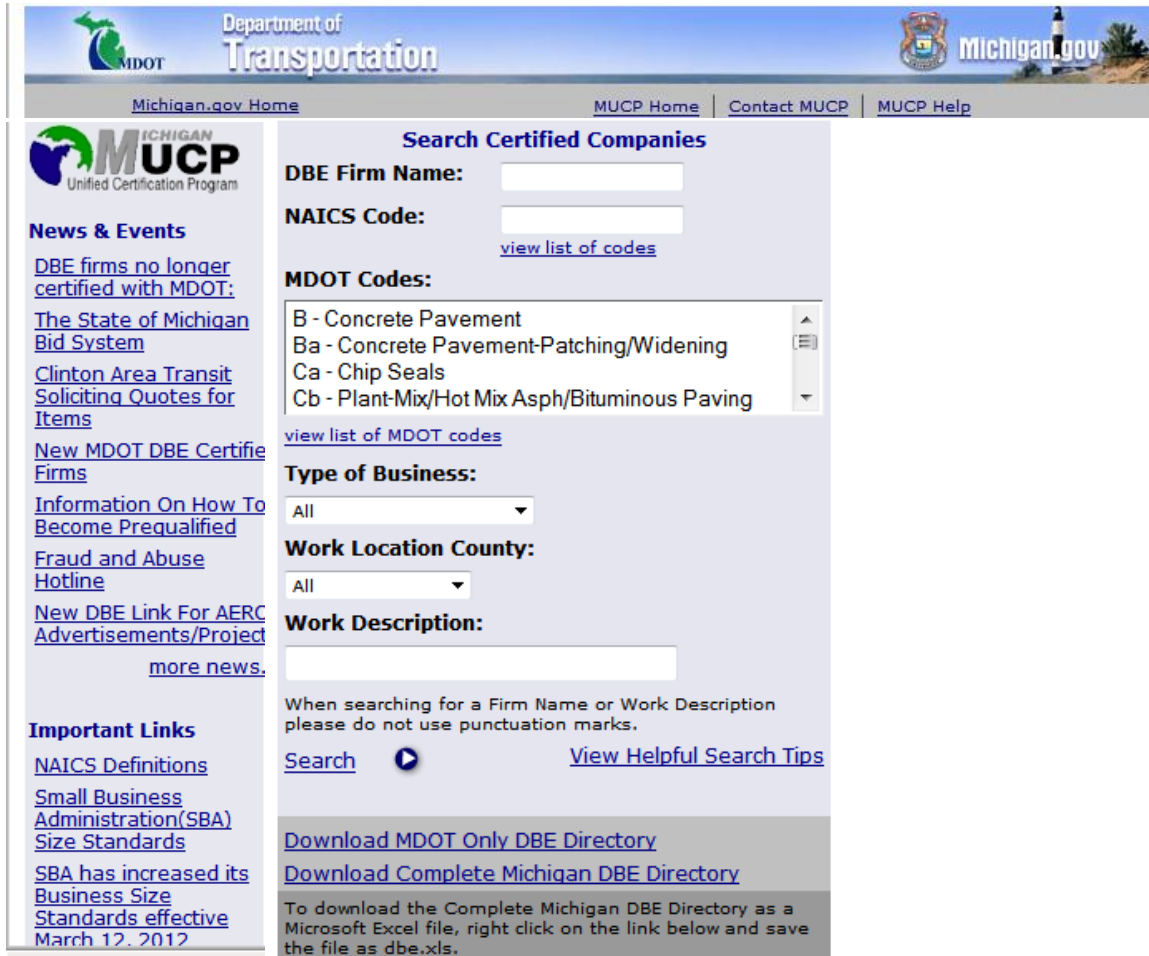
The integrity of the DBE program depends, to a large extent, upon the establishment of systematic procedures to ensure that only bona fide disadvantaged business firms are certified to participate in federally assisted programs. In essence, only small firms independently owned and controlled by socially and economically disadvantaged persons are eligible to participate in the US DOT's DBE program. The MUCP will use the following standards in establishing the eligibility of a DBE for certification in accordance with 49 CFR Part 26, formal US DOT guidance, and US DOT interpretations of the regulations contained in their appeal decisions.

Small Business Concern
 In order to be certified, a business must qualify as a small business concern as defined by the U.S. Small Business Administration regulations, 13 CFR Part 121, as amended. The applicable size standard for each applicant shall be determined by identifying the firm's primary area of work, locating the applicable North American Industry Classification System (NAICS) code, and applying the corresponding Small Business Administration (SBA) size standard. No business shall be considered small if average annual gross receipts of the business and its affiliates exceed \$17.42 million over the previous three fiscal years, even though receipts do not exceed the threshold for the applicable NAICS code. This maximum size standard is adjusted periodically to offset inflation.

Social and Economic Disadvantage Status
 All applicants for DBE certification must submit a signed, notarized certification that the presumptively disadvantaged owner is, in fact, socially and economically disadvantaged. Each individual whose ownership and control are relied upon for DBE certification must submit a signed, notarized statement of personal net worth (PNW), with appropriate supporting documentation. If the statement of PNW Form shows the individual's personal net worth exceeds \$750,000, less the individual's primary residence and the interest in the applicant business, they will not qualify for this program.

Ownership
 In establishing ownership, the MUCP is required by 49 CFR § 26.69 to consider all the facts in the record, viewed as a whole. To be an eligible DBE, a firm must be at least 51 percent owned by a socially and economically disadvantaged individual(s). To establish ownership, the socially and economically disadvantaged owner(s) must have made a "real and substantial" contribution to acquire their ownership interest in the firm. All applicants for certification shall be required to establish the source of their contribution(s) to acquire their ownership interest.

Figure 18: DBE Directory Page



Increase recognition of participating firms

Participation in the program should be recognized through the development of success stories for both DBE and non-DBE participating firms. These success stories could be included in internal and external MDOT newsletters and posted on the DBE program website. In addition, OBD could recognize leading DBE and non-DBE participating firms at their annual DBE conferences.

Proposed Algorithm for Computing the Science Portion of the Project Specific DBE Participation Goals

- Step 1: Run “Cost Summary by Proposal” statements for each project to generate engineer’s estimate, required work classifications, and percentage of total project for each work classification.
- Step 2: Review the Cost Summary by Proposal for prime contract (40%) work classifications. This amount will not be used in the calculation of the DBE goal. If there is more than one prime classification, the algorithm will be run for each prime classification. The lowest percentage will be used for this portion of the overall project goal. If the prime classification(s) amount is greater than 40%, the remaining portion of that work classification will be used in the calculation of the DBE goal.

- Step 3: Calculate the DBE multiplier using the following formula:

$$\frac{\# \text{ active preq \& cert DBE contractors in the project region per work classification}}{\# \text{ active preq subcontractors in the region per work classification (including DBEs)}}$$

Note: For purposes of this process, “active” is defined as the DBEs/non-DBEs working on a contract on which an estimate has been processed in the last two years.

- Step 4: For each work classification compute:

$$\$ \text{ value of work classification} \times \text{DBE multiplier} = \text{DBE } \$ \text{ value of work classification}$$

- Step 5: Compute Total Project DBE Participation Goal for contractors:

$$\frac{\text{Sum of all DBE } \$ \text{ values of work classifications}}{\text{Engineer’s estimate of project}}$$

Note: The use of active in this algorithm is not to be considered a bidders list as defined by 40 CFR 26.45(c)(2). The portion of DBEs who have been unable to secure a subcontract will be a part of the “art” portion of the DBE goal calculation. Other “art” portion considerations will include, but are not limited to, trucker and supplier opportunities, emerging new DBE contractors, community issues, political concerns, and historical DBE attainment in the area/work type.

Appendix 2

State Environmental Scan

1 Objective:

This write up intends to summarize and present all information available online regarding MI Dept. of Transportation DBE Program.

2 Michigan DOT DBE Program

2.1 Online Communication

Michigan DOT is using its website to communicate some of the necessary information related to DBEs. MDOT efforts in online distribution of materials are concentrated on two sites;

- 1) “Doing Business” section of the MDOT website (Figure 1.)
- 2) Michigan Unified Certification Program (MUCP) website (Figure 2.)

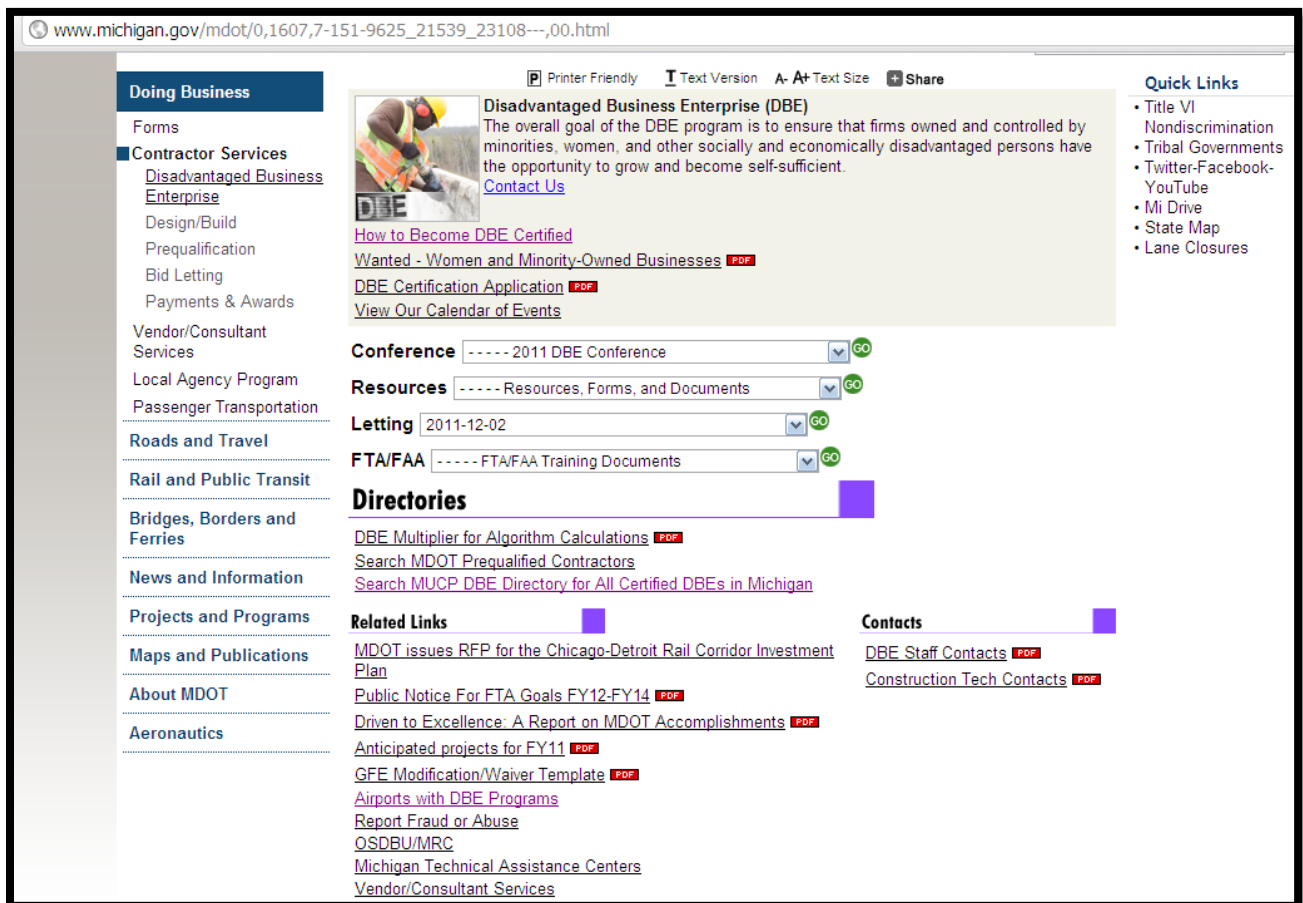


Figure 1: Doing Business and DBE related information

2.1.1 Doing Business Section

In “Doing Business” section of the MDOT website, there are several other pages and informational documents made available as listed below; where items a. through d. are explained in Table 1.

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Appendix 2

- a. Conference: It includes presentations during 2nd DBE Annual Small Business Training Symposium 10/25/11
- b. Resources: It includes forms and information needed for DBE certification
- c. Letting: It provides MDOT cost summaries for Primes by LETPROP and DBE Goal attainment during the period
- d. FTA/FAA: FTA/FAA training documents
- e. DBE Staff Contacts
- f. Related Links: it provides links to news, forms, reports, announcements, etc.

Category	About	Items Available	Description	Format	Audience?
Conference	It includes presentations during 2nd DBE Annual Small Business Training Symposium 10/25/11	DBE Fraud	Presentation about DBE frauds	.ppt	
		FHWA Report	Summary of DBE activities in MI	.ppt	
		MDOT Constitution Issues	Presentation on contract mod. Process e-signature	.ppt	
		Prompt Pay	Overview of payment process and prompt pay	.ppt	
		Re-Inventing MDOT	Overview of recent MDOT reorg.	.ppt	
Resources	It includes forms and information needed for DBE certification	FY2011 Goals Notice	MDOT proposing DBE goal of 10.5%	.pdf	
		2009 DBE Program Procedures	DBE Program Information	.pdf	
		DBE Participation Guide	DBE guide for DBEs and prime contractors	.pdf	
		Prompt Payment	Overview of special provision for prompt payment	.pdf	
		Supportive Service Change Letter FY11	Explaining changes in reimbursements	.pdf	
		Appendix A - Guidance Concerning Good Faith Efforts	Form	.pdf	
		0156A - DBE Educational/Training Program Reimbursement	Form	.pdf	
		0163 - Consultant Services Program Reimbursement	Form	.pdf	
		0168A - MDOT Vendor Availability Questionnaire	Form	.pdf	
		0171 - Association Membership Reimbursement Request	Form	.pdf	
		0173 - Subscription Services Reimbursement Request	Form	.pdf	
		0174 - Enterprise Commercially Useful Function Complaint	Form	.pdf	
		0178 - Disadvantaged Business Enterprise (DBE) Participation	Form	.pdf	
		0188 - Contractor Good Faith Effort Application	Form	.pdf	
0195 - DBE Trucking Firm Information Sheet	Form	.pdf			
2124 - Prime Contractor Bi-Weekly Payment Statement	Form	.pdf			
4101 - Heavy Construction Trucking Credit Worksheet	Form	.pdf			
Letting	It provides MDOT cost summaries for Primes by LETPROP and DBE Goal attainment during the period	Reports available from 01/10/10 through 02/12/12	-	.pdf	
FTA/FAA	FTA/FAA training documents	Uniform Report of DBE Commitments/Awards and Payments	Form	.pdf	
		Instructions for Completing the Uniform Report	-	.pdf	
		FTA/FAA Grantee Powerpoint	Overview of MUCP website/RN,RC contracts, etc.	.ppt	
		Commercially Useful Function Brochure	CUF Q&A sheet	.pdf	
		Prime Consultant Statement	Form	.pdf	
		Contractor Good Faith Effort Application	Form	.pdf	
		Sample FTA Goals Reporting Letter	Template request to forecast FTA funding for FY	.pdf	
		Smapple MDOT Grantee Uniform Letter	Instructions on how to fill out the grantee form	.pdf	
		What DBEs Need To Know	DBE Program guide for DBEs and prime contractors	.pdf	
		Reporting presentation 5/17/2010	Report DBE Awards/Commitments & Payment Req.	.pdf	
		Counting DBE Participation	How is DBE participation counted toward goals	.pdf	
		MDOT Vendor Availability Questionnaire	Form	.pdf	
MUCP Web Site Help	MUCP-DBE database search help	.pdf			
Prompt Payment Brochure	Payment statement requirements for primes	.pdf			

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Appendix 2

2.1.2 MUCP Section

In MUCP website (Figure 2.) there are also several pages and information documents made available as listed below:

- a. News and Events
- b. Learn more about the program: it provides a brief description of MDOT DBE program
- c. Learn how to become certified: it provides a list of DBE certifying and participating agencies in MI and a brief overview of MDOT DBE program
- d. HELP searching for DBE's: it provides a link to a 2page pdf file on how to search for DBE certified firms
- e. Download forms: it provides link to a series of form necessary for certification process. DBE Firms database search



Figure 2: MUCP Website

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The following table is compiled based on the information provided in MUCP website. It shows the three agencies that can provide DBE certification and other county, city, and airport agencies that participate in the DBE program in MI.

Table 1: List of certifying and participating agencies for the DBE program

Certifying Agencies		
Wayne County Human Relations Division	Detroit Department of Transportation (DDOT)	Michigan Department of Transportation (MDOT)
Participating but Non-Certifying agencies		
Suburban Mobility Authority for Regional Transportation (SMART)	Wayne County Airport Authority	Grand Rapids, The Interurban Transit Partnership
Ann Arbor Transportation	Battle Creek Transit Authority	Bishop International Airport
Blue Water Transit	Capitol City Airport	Cherry Capital Airport
Chippewa County International Airport	City of Holland	Detroit City Airport
Dickinson County Ford Airport	Flint Mass Transit Authority	Houghton County Memorial Airport
Jackson Transportation Authority	Kalamazoo Metro Transit	Kalamazoo/Battle Creek International Airport
Gerald R. Ford International Airport	Muskegon County Airport (MATS)	Muskegon Area Transit System
Niles/Buchanan (Dial A Ride)	Saginaw Transit Authority - Operations	Detroit Transportation Corporation (DTC)
Capital Area Transportation Authority		

The following (Table 2) summarizes the information made available through MUCP site regarding the forms required for DBE certification process.

Appendix 2

Table 2: Forms provided through MUCP website for DBE certification.

Items Available	Description	Format	Audience?
MDOT DBE APPLICATION	Application Form	.pdf	
MUCP DBE CERTIFICATION APPLICATION	Application Form	.pdf	
Annual DBE Renewal Affidavit	Application Form	.pdf	
Program Procedures 2009	DBE Program Information	.pdf	
49CFR Part 26 Federal DBE Program Regulations	-	.pdf	
DBE Supplier Question and Answer Brochure	2page Q&A sheet	.pdf	
MUCP DBE CERTIFICATION APPLICATION (Spanish)	Application Form	.pdf	
Special Provision for Prompt Payment	-	.pdf	
DBE Program Guide for DBE's and Prime Contractors	DBE Program Information	.pdf	
Additional Work Request Form	Application Form	.pdf	

3 Wisconsin DOT DBE Program

3.1 Online Communication

Wisconsin Department of Transportation (WisDOT) is utilizing a portion of its website to communicate the DBE program with its audience. WisDOT DBE website is compiled and designed in a brief yet concise manner to get the necessary information about the program to the stakeholders of DBE program. The following figure illustrates a snapshot of the website.

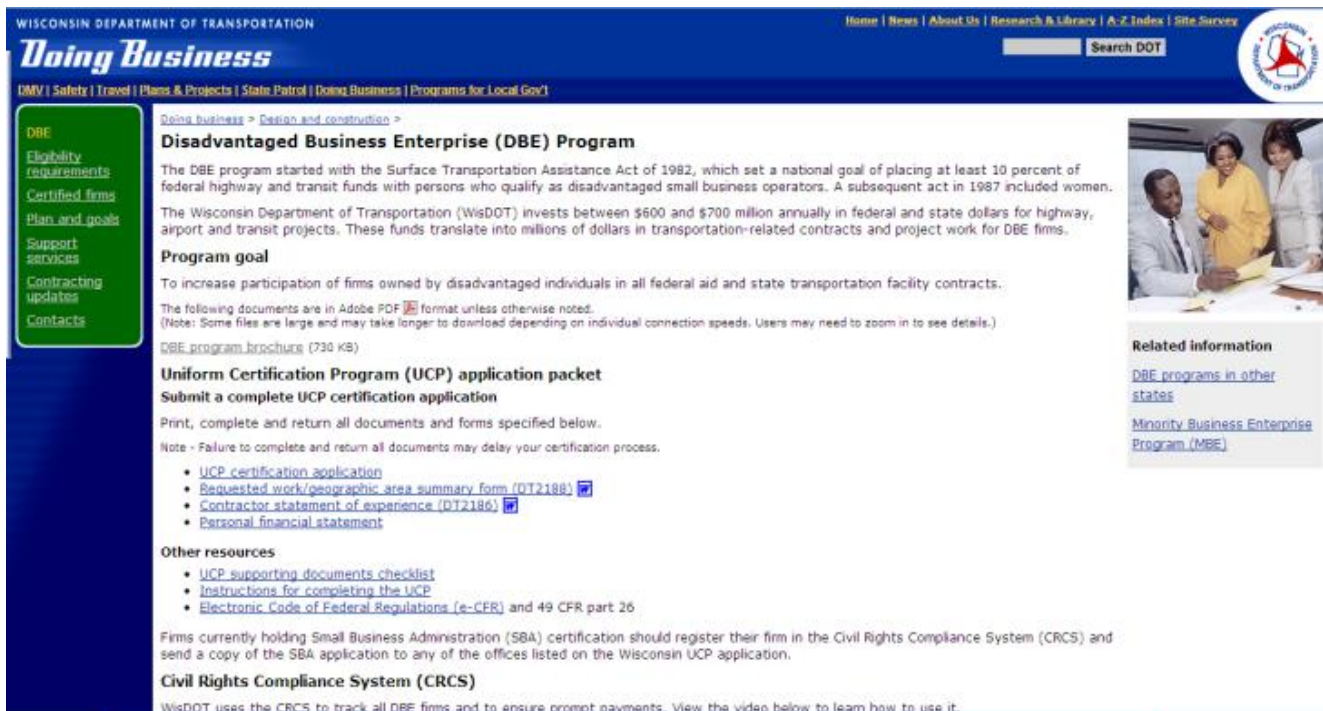


Figure 3: WisDOT DBE program page

In search of finding the DBE section of WisDOT, one may notice that it is not quite an easy endeavor, for someone for less than average internet search skills, to find it. The DBE section is found several layers within the main WisDOT website with no links available from the home page.

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3.2 DBE Section

Under the main page or otherwise DBE section, the program is briefly introduced, necessary documents required to apply for DBE status, Civil Right Compliance System (CRCS), and North American Industry Classification System (NAICS) DBE Listing are introduced.

3.3 Eligibility Requirements

At this section of the website, information is provided about what companies can qualify for DBE and which is followed by a document on certification definitions and eligibility standards.

3.4 Plans and goals

A document is provided that explains the proposed goals for FY2012 under FAA, FTA, and FHWA. This information is provided for viewing of the stakeholders so that they could provide comments and feedbacks and proposed goals, if any. However, there is no information of the goals from previous years and whether they were achieved or not.

3.5 Support Services

Once certified, the Wisconsin Department of Transportation (WisDOT) offers one-on-one consulting assistance regarding Management services in business plan development, Financial package preparation, Accounting systems, Bonding and marketing assistance, Technical assistance, and other support services to DBE firms. This section of the website provides the contact information, if a DBE would like to receive such services from WisDOT.

3.6 DBE Contracting Updates

2007 through 2009, WisDOT was issuing a newsletter titled as DBE Contracting Updates which had information regarding conferences, workshops, some contracting opportunities, and other news pertinent to DBE certified firms. Later on, this newsletter was rebranded DBE Reporter that featured success stories of DBEs as contractor or Primes working with DBEs, current projects and status updates, Training opportunities, list of certified DBEs active in each county, and so on. Nevertheless, there is no information available on projects earmarked with DBE participation in any sections of WisDOT DBE website.

4 Minnesota DOT DBE Program

4.1 Online Communication

Minnesota Department of Transportation (MnDOT) through its website works to provide socially and economically disadvantaged individuals with equal opportunities to obtain contracts and project work. Finding the DBE section of the website is effortless for someone with less than average internet search skills. The link to the DBE program is conveniently located in MnDOT main webpage. The following figure can provide an almost complete snapshot for the DBE program website.

4.1.1 The main page

At the DBE program main page, visitors can readily spot most of the necessary information that they may require. This section contains a survey that site visitors could use to provide feedback regarding their experience navigating the website and the ease in which they could find the required information. A rather unique feature, in contrast with WisDOT, is that MnDOT included its DBE office organizational chart that could be quite helpful for DBEs to better understand the program administrative structure.

Appendix 2



Figure 4: Mn/DOT DBE program page

As it can be seen from the above figure, there is link to a “Mini-Orientation” which at the time of compiling this report, there was no course listed under this link. Also a flowchart was uploaded that provided the process flow regarding Good Faith Process.

Yet another unique piece of information that found on Mn/DOT DBE program page was a notice regarding site visits of Office of Civil Rights (OCR) staffs, conducting compliance reviews. By this notice, Mn/DOT requested any and all contractors and subcontractors accommodate and cooperate with all activities related to compliance review efforts.

Under the Special Provision Training title, there are two pdf documents provided explaining in full length the policies regarding special provision. Also, an online training tool is provided which at the time of compiling this report, there was no training available through this tool.

4.2 Other sections

Given the amount of information available through this website, it is deemed suitable to address only the salient feature of the website and provide a list of topics and information covered.

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One unique feature of MnDOT DBE program website is to have Calendar of Events which makes information available on training and conferences easily available. MnDOT holds two business oriented workshops each month and information regarding each workshop is available on the calendar of events. Another unique piece of information available on the website is DBE Certification Appeal Program for those whose applications were rejected.

Last but not least a missing piece from this website, is the availability of MnDOT DBE newsletter only through 2010. There is no information provided on recent projects' status or any other similar information usually available through such special purpose newsletters.

The remaining sections of the website provide information on the following:

1. About the DBE Program
2. DBE Directory
3. Program Eligibility
4. Certification Process
5. Forms
6. Uniform Certification Program

5 Connecticut DOT DBE program

5.1 Online communication

The Connecticut DOT website has under the Doing Business With ConnDOT link a different resources for Contractors, consultants, Engineering and other resources and all of them contain the same link for the DBE program shown below, which makes it easier to be found by the different stakeholders in the DBE program.

5.2 The Main Page

Three main sections are included in the main page; first section includes the following:

- a) DBE Policy Statement of the program in general
- b) DBE Directory: Which is a search tool to find DBE companies based on specific categories.
- c) DBE Regulations: This is the "Code of Federal Regulations 49 CFR Part 26".
- d) DBE Supportive Services (described below).

5.3 DBE Supportive Services

Which is a link to the web page featuring partnership between The Connecticut Department of Transportation (ConnDOT) Division of Contract Compliance and Central Connecticut State University's Institute of Technology and Business Development (CCSU-ITBD) to host the Connecticut Business Opportunities and Workforce Development Center (CT BOWD CENTER) and administer business and workforce development services to certified DBE firms and to On-the-Job-Training program participants.

Among the services offered are:

- a) Financial management Services.
- b) Construction Management Services.
- c) Operational Management Services.
- d) Procurement.

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State of Connecticut Governor Dannel P. Malloy Search

DEPARTMENT OF TRANSPORTATION

Home About Us Press Releases Contact Us

PROGRAMS AND SERVICES PUBLICATIONS DOING BUSINESS WITH CONNDOT PERMITS & LICENSE INFO

Office of Contract Compliance

CONNECTICUT DEPARTMENT OF TRANSPORTATION
Bureau of Finance and Administration
WELCOME TO THE OFFICE OF CONTRACT COMPLIANCE

Disadvantaged Business Enterprise Program (DBE)

The Connecticut Department of Transportation is committed to the effective implementation of the Disadvantaged Business Enterprise (DBE) Program as defined in Title 49, Code of Federal (CFR) Part 26 and Part 23 for Airport Concessions. This program will be executed in accordance with the regulations of the United States Department of Transportation (DOT) as a condition of receiving DOT funding.

ConnDOT will not 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 or concession opportunity. ConnDOT 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 and ACDBE Programs or the requirements of 49 CFR Part 26 and 23. ConnDOT shall take all necessary and reasonable steps under 49 CFR Part 26 and 23 to ensure nondiscrimination in the award and administration of DOT-assisted contracts and concession opportunities.

For more information about the DBE Program or for a listing of Certified DBE firms please contact Ms. Shari Pratt at (860) 594-2171 or e-mail Shari.Pratt@ct.gov

- [DBE Policy Statement](#)
- [DBE Directory](#)
- [DBE Regulations](#)
- [DBE Supportive Services](#)

What's New!

- [Notice of Proposed Federal Aviation Administration DBE Goals](#)
- [Partnering with Communities to Assure Success in DBE Participation](#)

DBE Application Forms

- [Instructions \(PDF\) or \(MS Word DOC\)](#)
- [Affidavit](#)
- [Uniform Certification Application \(PDF\) or \(MS Word DOC\)](#)
- [Supporting Document Check List \(PDF\) or \(MS Word DOC\)](#)
- [Personal Financial Statement](#)
- [Application for Review of Pre-Award Good Faith Efforts.pdf](#)
- [Good Faith Effort Process.pdf](#)
- [DBE Frequently Asked Questions.pdf](#)
- [DBE O and A.docx](#)
- [CT Unified Certification - Airport Concessions \(ACDBE\)](#)
- [No Change Affidavit](#)

Figure 5: ConnDOT DBE program page

5.4 Other Sections and Info

1. "What's New" section includes:

- a) Notice of Proposed Federal Aviation Administration Goal for the period covering October 1, 2010 to September 30, 2013 (is not posted as of the date of writing this report).
- b) Partnering with Communities to Assure Success in DBE Participation: is a workshop is to introduce community partnering as a process to engage more women and minorities in construction careers and to improve the ability of DBE firms to compete for contracting opportunities on federal transportation projects. ConnDOT will be inviting community

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organizations, minority and women owned businesses, prime contractors, industry organizations, and other stakeholders to participate.

1. DBE Application Forms:
 - a. Instructions
 - b. Affidavit
 - c. Uniform Certification Application
 - d. Supporting Document Check List
 - e. Personal Financial Statement
 - f. Application for Review of Pre-Award Good Faith Efforts
 - g. Good Faith Effort Process
 - h. DBE Frequently Asked Questions
 - i. CT Unified Certification - Airport Concessions (ACDBE)
 - j. No Change Affidavit

6 Pennsylvania DOT DBE Program

6.1 Online communication

Can be found under PennDOT organizations (Bureaus and Offices). The “Bureau of Equal Opportunity” is responsible for ensuring the Department’s compliance with federal and state regulations regarding equal employment opportunity, contract compliance, and the participation of disadvantaged, minority and women-owned businesses on contracts awarded by the Department. The bureau is also responsible for ensuring the same compliance from contractors, consultants, manufacturers, suppliers and other business entities conducting business with the Department.



Figure 6: PennDOT DBE program page

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6.2 Contract Compliance Division

Maintains the commitment and responsibility to ensure highway construction and non-construction firms are adhering to their EEO and EO contractual obligations, ensuring that all activities and operations are conducted in a non-discriminatory fashion and ensuring equal opportunities for minorities and women. Contains the following documents:

- a) [External equal employment opportunity plan](#)
- b) [highway construction contractors monthly EEO report \(eo-400\)](#)
- c) [statewide minority and female resource directory](#)

6.3 The DBE/Title VI Division

Maintains a level playing field within PennDOT and the Federal and State Highway Projects it supports. The DBE Section has a commitment to guaranteeing DBEs the opportunity to participate in contracts and subcontracts. It also strives to increase minority, woman, and disadvantaged male participation within the construction industry. The Title VI Section ensures that the values of Title VI of the Civil Rights Act of 1964 are supported. Title VI also investigates accusations of illegal discrimination against individuals attempting to participate in PennDOT programs, activities, and services. Both sections include the following information:

- a. [DBE Policy Statement](#)
- b. [DBE Supportive Services Center](#) The Center's mission is to provide services that will enable highway applicable DBEs to acquire the proficiency, expertise and experience necessary to compete, on an equal basis, with non-DBEs for federally-assisted PennDOT highway contracts and subcontracts.
- c. [DBE Methodology And Goal](#)

6.4 Unified Certification Program (PAUCP)

Similar to the MUCP, a regulation requires all Pennsylvania agencies receiving U.S. DOT funding to band together and develop/implement/maintain a Unified Certification Program (UCP) to ensure “one stop shopping” for DBE certification.

6.5 Forms

- a. [DBE Commercially Useful Function Report \(EO-354\)](#)
- b. [Highway Contractor's On-The-Job Training Program Approval Form \(EO-363\)](#)
- c. [Trainee Enrollment Form \(EO-364\)](#)
- d. [Highway Contractor's Monthly Training Report \(EO-365\)](#)
- e. [DBE Participation for Federal Projects \(EO-380\)](#)
- f. [Highway Construction Contractors Monthly EEO Report \(EO-400\)](#)
- g. [Monthly DBE/MBE/WBE Status Statement \(EO-402\)](#)
- h. [Title VI Discrimination Complaint Form \(EO-478\)](#)
- i. [State Minority and Female Resource Directory \(PUB-610\)](#)
- j. [PA UCP Application](#)
- k. [PA UCP Recertification Application](#)
- l. [PA UCP Affidavit of No Change](#)

7 Virginia DOT DBE Program

7.1 Online communication

DMBE is responsible for the administration of two certification programs: the Small, Women- and Minority-owned Businesses under Virginia’s “SWaM” Procurement Initiative and the federal U.S. Department of Transportation’s Disadvantaged Business Enterprise “DBE” Program.

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The screenshot shows the Virginia DOT DBE program website. At the top, there is a navigation bar with 'Virginia.gov' and links for 'Online Services', 'Commonwealth Sites', 'Help', and 'Governor'. A search bar is located on the right. Below this is a banner for 'DMBE SWaM Small, Women & Minority Owned' with a photo of diverse people. The main content area is divided into three columns. The left column is a navigation menu with links like 'About Us', 'SWaM Certification', 'DBE Certification', etc. The middle column contains a 'Welcome' message, a list of two certification programs (SWaM and DBE), and 'Important information' regarding email updates and procurement opportunities. The right column is titled 'What's Hot' and lists links for 'SWaM Certification Application Status', 'SWaM Dashboard', 'SWaM Plan', etc. At the bottom of the page, there is a 'Live Help' button and a 'DMBE' logo with the tagline 'ACCESS VIRGINIA'S OPPORTUNITIES'.

Figure 7: Virginia DOT DBE program page

7.2 Finding Work with VDOT

Finding work is done through eVA, Virginia's electronic commerce initiative. By registering the company on the eVA Web site, the company is able to stay up-to-date on all of VDOT's procurement opportunities and bid on the jobs that the company wants most. And because eVA is a statewide application, registering just once will allow the company to compete for jobs not only from VDOT, but from all other state agencies as well.

7.3 Outreach

The DMBE has four (4) core program areas: Certification, Procurement Reporting and Coordination, Outreach and Administrative Services.

The **Outreach** Service Area is charged with the following:

- a. Developing and implementing a statewide marketing plan to improve the DMBE's image, and promote its services and programs
- b. Participating in and collaborate with state agencies to promote SWaM and DBE participation
- c. Providing SWaM and DBE (or eligible vendors) with certification, management and technical assistance
- d. Developing outreach collaborations between federal, state, and local governments, and non-governmental entities
- e. Providing guidance and one-on-one counseling to vendors, procurement officials, agencies, and executives.

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Appendix 2**8. Hawaii DOT DBE Program****8.1. Online communication**

Information about the DBE program is found under “Doing Business” section in the Hawaii DOT website. The program is part of the Office of Civil Rights that eliminates unlawful discrimination against individuals in HDOT's services and activities.

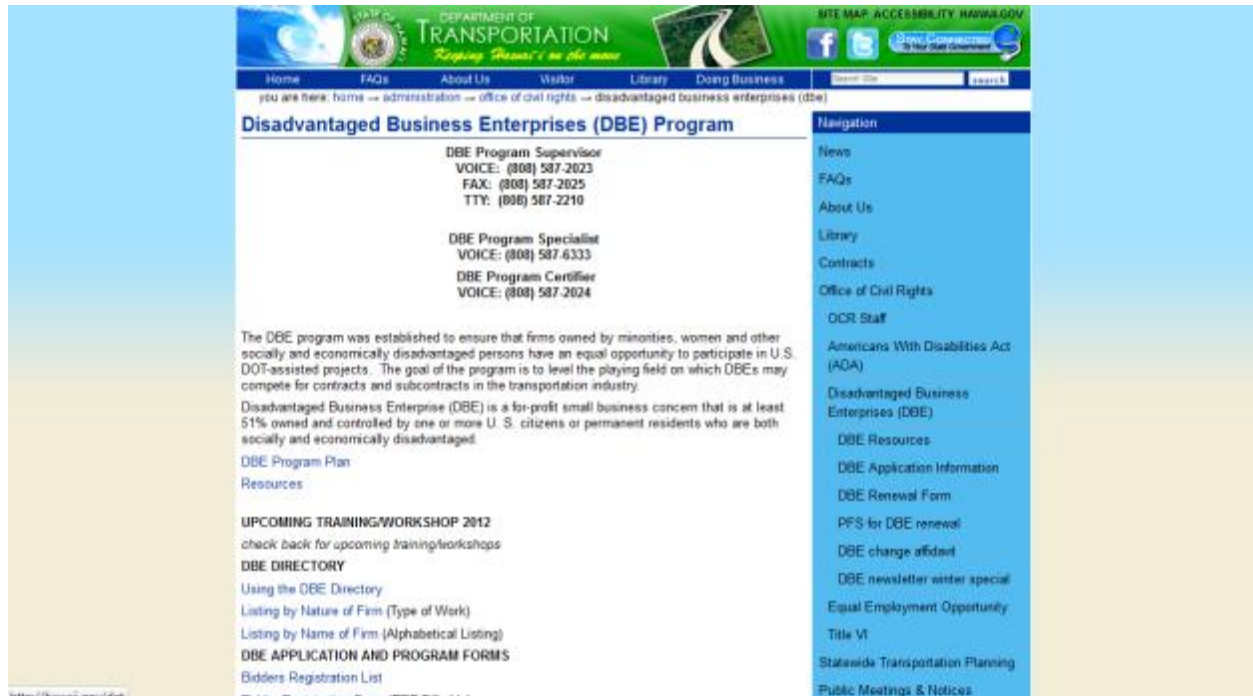


Figure 8: Hawaii DOT DBE program page

All the information about the program is on the front page and contains the following sections:

- a) DBE Directory
- b) DBE applications and forms
- c) DBE supportive services (contains only the quarterly news letters)
- d) Upcoming training and workshops

8.2 Small Business Transportation Resource Center (SBTRC)

The SBTRC serves the Southwest Region which includes Arizona, California, Hawaii and Nevada. It helps DBEs qualify and connect to transportation contracts, and utilize services and other resources such as general business counseling. The US Department of Transportation's Office of Small and Disadvantaged Business Utilization (DOT/OSDBU) was created as part of the Small Business Act (SBA) to ensure that small and disadvantaged businesses are provided maximum practicable opportunity to participate in the agency's contracting process.

9. Colorado DOT DBE Program**9.1 Online Communication**

Information about the Colorado DOT DBE program can be accessed from the CDOT website or through a special link which is “coloradOBDe.org”. The program through CDOT is part of the “Equal Opportunity” section under the Business Center link.

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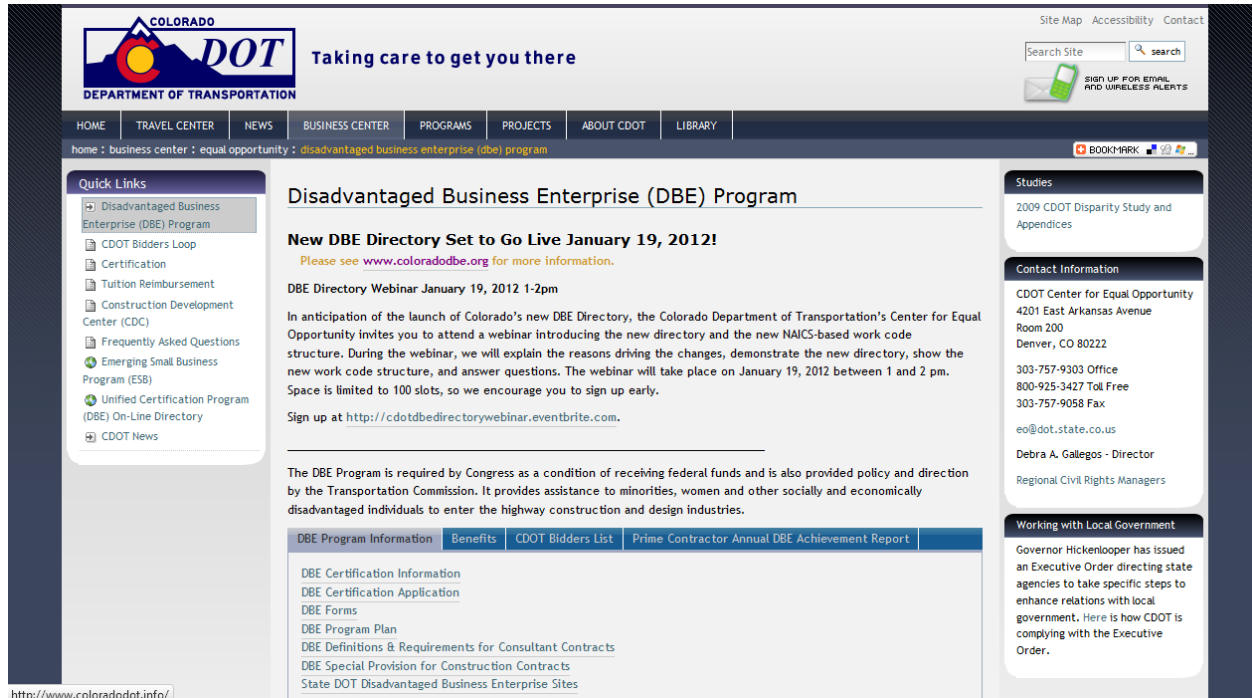


Figure 9: Colorado DOT DBE program page

9.2 DBE Program information

Contains the following information:

- a) Applications and forms.
- b) DBE program plan
- c) DBE regulations and requirements
- d) Overall DBE goals

9.3 Annual Prime Contractor DBE Achievement Report

CDOT engaged several stakeholders to assist in creating a report that would help convey a prime contractor's ongoing commitment to achieve required levels of Disadvantaged Business Enterprise (DBE) participation on CDOT highway construction projects. CDOT will be publishing an updated report on an annual basis. CDOT will use information contained in these reports as part of its Good Faith Effort review process per its current DBE standard special provision.

9.4 Webinar

In anticipation of the launch of Colorado's new DBE Directory, the Colorado Department of Transportation's Center for Equal Opportunity launched a webinar introducing the new directory and the new NAICS-based work code structure. During the webinar, they explained the reasons driving the changes, demonstrated the new directory, showed the new work code structure, and answered questions.

9.5 Construction Development Center

The Center was established in 1996 through CDOT's supportive services/ technical assistance contract with Metropolitan State College's School of Business to:

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- a) Promote growth and self-sufficiency for DBEs, Emerging Small Businesses (ESBs) and other small businesses through a range of technical assistance and supportive services.
- b) Increase the total statewide number of DBEs and prequalified firms in CDOT's Construction and Design Program.
- c) Provide access to project plans and business development information.

9.6 Other sections

9.6.1 Benefits

Lists the benefits of becoming a certified DBE for the CDOT, it includes tuition reimbursement, special mailings, loans and the use of CDOT's Construction Development center and the CDOT's pay Estimates website.

9.6.2 Pay Estimates

To locate a project pay estimates by a project code (also known as subaccount number,) or by searching project location.

10. California DOT (Caltrans) DBE Program

10.1 Online communication

Information about the DBE program at the "Caltrans" website is located under the Office of Business & Economic Opportunity (OBEO) section. The office is dedicated to increasing the participation of small business (SB), disadvantaged business enterprise. (DBE), and disabled veteran business enterprises (DVBE) firms in both Federal and State contracting and procurement.



Figure 10: CALTRANS DBE program page

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10.2 DBE Program goal and Methodology

Contains three main documents:

- a) 2010 Goal & Methodology to FHA
- b) Availability and Disparity Study (contains detailed quantitative availability studies and surveys, marketplace data analysis and regression studies)
- c) Past documents

10.3 2010 DBE Business Outreach Plan

Contains the following points/requirements:

- a) Solicit DBE participation and sub bids
- b) Advertisements
- c) Contacting other resources
- d) Providing project information
- e) Providing DBEs with assistance
- f) Additional support services

10.4 DBE Program Revisions

Revisions and amendments to the “49 CFR part 26” affecting reporting, DBE directory, goals and other DBE program characteristics.

10.5 Other sections

Other sections include:

- a) California Unified Certification Program information
- b) Overview of DBE certification
- c) DBE Certification Forms

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Appendix 3

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“Best Practices In Minority Supplier Development-Guidelines” National Minority Supplier Development Council (NMSDC) 2010

“Delivering on The Promise: Strengthening the Disadvantaged Business Enterprise Program of the New Orleans Regional Transit Authority” Metro-Source, LLC March, 2010

“A Win-Win: Companies Thrive, Communities Get a Boost With Supplier Diversity” Supplier Diversity, DiversityInc 2012 < <http://diversityinc.com/supplier-diversity/a-win-win-companies-thrive-communities-get-a-boost-with-supplier-diversity/>>

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Appendix 4

Communications Audit:

ASG Renaissance conducted a communications audit of the materials that MDOT provided at the project kick-off meeting. The materials were presented as a representative and comprehensive collection of communication materials used by the DBE Program office. All materials were reviewed. Descriptions of the materials and comments are provided.

Significant findings from the 2005 and 2008 DBE and Prime contractor surveys are included in the comments section.

Overall the communications materials place a strong emphasis on policy and procedure. While this is not unique in general to the other state DOTs we reviewed, we believe that any communications effort would benefit from greater inclusion of the program's value proposition in the materials and messaging.

The materials provided by the DBE program are primarily aimed at DBEs. We believe a more balanced approach between DBEs and other stakeholders would yield more favorable results with respect to communicating program goals and responsibilities to all parties.

This summary document also captures some of the preliminary "best practices" that we identified during our environmental scan of other state DOTs.

Type	Title	Description	Target Audience	Comments
Brochures				
	DBE PROGRAM OVERVIEW	Provides brief program description, objectives and definitions	DBEs	
	DBE Recruiting Brochure "Take a look at MDOTs DBE program"	Provides information about what the program is, how to become certified, needed services and support offered	DBEs	

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	DBE MDOT Programs Brochure	Provides information about MDOT programs to support DBEs such as: <ul style="list-style-type: none"> o Road Construction Apprenticeship Readiness Program (RCAR) o DBE Resource Center located in the new Detroit Mexicantown International Welcome o Transportation and Civil Engineering (TRAC) Program for middle and high school students o Mentor/Protégé Program o Small Project DBE Goal Setting Pilot Process 	DBEs	
	DBE Small Business Size Standards Brochure	Provides information about DBE small business size limits and instructs DBEs how to get more information about NAICS Codes	DBEs	
	DBE Commercially Useful Function Brochure	Provides in Q&A format information about the regulatory requirements of using DBEs to fulfill a commercially Useful Function.	Primes/ DBEs	
	Office of Business Development Basic Training Curriculum	Provides information about the five core curriculum courses offered by the OBD to assist DBEs	DBEs	Including of white male on cover might confuse some non-qualifying applicants.
	MDOT is Looking for You	DBE recruitment flyer (pdf)	DBEs	
	MUCP Search Help	Provides helpful instructions for using the websites MUCP directory to search for DBEs	Primes/ Field Staff (?)	
	PAYMENT STATEMENT REQUIREMENTS FOR PRIMES	provides information about the prompt payment requirements	Primes/ DBEs	
	Special Provision for prompt payment	Provides redress information regarding the failure of primes to provide prompt payment	DBEs/Primes	
	Regional offices	Map	DBEs/ Primes/ Others	
	Transportation and Civil Engineering (TRAC) Pipeline Internship Program Brochure	Provides information about the TRAC Pipeline Internship for High School Juniors and Seniors.	Others	

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Form/ Application				
	Application form letter	Participation in the Disadvantaged Business Enterprise (DBE) Unified Certification Program (UCP) requires an annual review. The Annual Affidavit & Personal Financial Statement must be signed, dated, and notarized.	DBEs	
	Application form	Application for DBE certification	DBEs	
Other				
	US DOT 49 CFR Part 26, as amended	Describes the regulatory requirements of 49 CFR Part 26, as amended in June 2003 presented as a Q&A document.	DOTs and other regulated agencies	
	MUCP DBE Directory	Business listing with contact information, NAICS codes and work descriptions	Primes/ DBEs/ Internal/ Others	
	MDOT Offices	Org Chart	Internal	
	OBD Org Chart	Org Chart	Internal	
Training Materials				
	DBE Orientation booklet	Includes agenda, slides and notes pages for OBD's DBE program orientation, contact lists, maps, association membership reimbursement program application, training application, consulting services application, MDOT prequalification program	DBEs	
	Supportive Services Change Letter	Describes changes to the Supportive Services Program	DBEs	
	DBE Program Procedures booklet	Provides information about the DBE program including legislative authority/requirement, DBE definition, certification procedures, CUF requirements, goals (pages 31-35),	DBEs/ Primes	

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	DBE Program Guide for DBEs & Prime Contractors	Provides information about the DBE program requirements, Commercially useful function requirements, DBE trucking requirements, and other policies and procedures	DBEs/ Primes	
Examples of Best Practices from Other MDOTs				
	Caltrans DBE Outreach Plan	Provides a plan and suggestions for Primes to outreach to DBEs.	Primes	MDOT communication to primes is rare. Caltrans takes the approach of providing helpful information (a more collaborative mindset).
	A Disparity Study for the Commonwealth of Virginia	Commitment from the top leadership is core element of most summaries of best practices in SWaM programs		
	Virginia Department of Minority Business Enterprise	The Outreach Service Area is charged with the following: Developing and implementing a statewide marketing plan to improve the DMBE's image, and promote its services and programs		Promotes a positive view of the organization, which positively influences stakeholder buy-in and acceptance
	Virginia Department of Minority Business Enterprise	Progress report on Virginia DBE goals.		Includes case studies of DBEs and purchasing agencies, which personalizes the program.
	WisDOT DBE Reporter Newsletter	Rebranded newsletter from WisDOT		DBE Reporter that featured success stories of DBEs as contractor or Primes working with DBEs
	Ethnic minority small businesses Qualitative research report	2008 ARC study of minority firms in the UK.		Action Plan: Raise Awareness, Develop Key messages, Develop Relevant Marketing Materials, Develop Tool Kit of Training Pack for local staff
	Minnesota DBE Website	Easy to find and well organized with everything needed on one page		

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	ConnDOT	Partnering with Communities to Assure Success in DBE Participation is a workshop to introduce community partnering as a process to engage more women and minorities in construction careers and to improve the ability of DBE firms to compete for contracting opportunities on federal transportation projects		Community organizations , minority and women owned businesses, prime contractors , industry organizations, and other stakeholders are invited to participate
	Colorado DOT Annual Prime Contractor DBE Achievement Report	CDOT engaged several stakeholders to assist in creating a report that would help convey a prime contractor's ongoing commitment to achieve required levels of Disadvantaged Business Enterprise (DBE) participation on CDOT highway construction projects		
	Colorado DOT Webinar	In anticipation of the launch of Colorado's new DBE Directory, the Colorado Department of Transportation's Center for Equal Opportunity launched a webinar introducing the new directory and the new NAICS-based work code structure. During the webinar, they explained the reasons driving the changes, demonstrated the new directory, showed the new work code structure, and answered questions.		

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Appendix 5

MDOT Contractor's Survey



Note: This survey is designed for MDOT contractors and sub-contractors only.

1. With respect to MDOT contracts, are you primarily a prime contractor (contracted directly to MDOT) or a subcontractor (contractor to MDOT through another company)?

- Contractor
- Subcontractor
- Other

2. Is your company a certified Disadvantaged Business Enterprise (DBE)?

- Yes
- No

3. Which best describes your role within the company?

- Owner/Co-Owner
- Executive
- Manager
- Project Leader
- Estimator
- Other _____

4. Please select your gender:

- Male
- Female

5. Please select your ethnicity: (Optional)

- African American
- Asian Indian
- Asian Pacific
- Hispanic
- Native American
- Caucasian
- Other _____

6. How much did your firm earn in annual revenue last year?

- Less than \$500,000
- \$500,001 - \$1 Million
- \$1 Million - \$10 Million

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- \$10 Million - \$50 Million
- \$50 Million - \$250 Million
- More than \$250 Million

Knowledge/Attitudes about the DBE Program

Using the rating scale:

1=Strongly Disagree, 2=Disagree, 3=Neither Agree nor Disagree, 4= Agree, 5= Strongly Agree

Please answer the questions below:

7. I understand that Michigan’s DBE program is a requirement for receiving federal Department of Transportation funding.

Strongly Disagree		Neither Agree nor Disagree		Strongly Agree
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

8. MDOT’s DBE program policies and procedures are clear to me.

Strongly Disagree		Neither Agree nor Disagree		Strongly Agree
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

9. I believe there is a need for the DBE program.

Strongly Disagree		Neither Agree nor Disagree		Strongly Agree
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

10. I understand my role in ensuring that the state meets its DBE program goals.

Strongly Disagree		Neither Agree nor Disagree		Strongly Agree
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

11. I would benefit from further training on MDOT’s DBE program.

Strongly Disagree		Neither Agree nor Disagree		Strongly Agree
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

12. I believe the appropriate incentives exist to encourage prime contractors to meet their DBE goals.

Strongly Disagree		Neither Agree nor Disagree		Strongly Agree
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

13. I believe MDOT’s field/project engineers provide the appropriate level of support for the DBE Program.

Strongly Disagree		Neither Agree nor Disagree		Strongly Agree
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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14. I believe MDOT’s regional DBE field technicians are an effective resource for resolving issues related to the DBE program.

Strongly Disagree		Neither Agree nor Disagree		Strongly Agree
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

15. I believe that MDOT’s per-qualification program for DBEs is effective.

Strongly Disagree		Neither Agree nor Disagree		Strongly Agree
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

16. I believe that prime contractors should be doing more to use DBEs on projects.

Strongly Disagree		Neither Agree nor Disagree		Strongly Agree
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

17. I believe DBEs should be doing more to market their services to primes.

Strongly Disagree		Neither Agree nor Disagree		Strongly Agree
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Current Communication Views

Using the rating scale:

1=Strongly Disagree, 2=Disagree, 3= Neither Agree nor Disagree, 4= Agree, 5= Strongly Agree

Please answer the questions below:

18. MDOT is effective when communicating information about the DBE Program.

Strongly Disagree		Neither Agree nor Disagree		Strongly Agree
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

19. Within the last three years, have you participated in DBE program training from MDOT?

- Yes
- No (If no, skip questions 20 and 21.)

20. How was that training/information delivered? Check all that apply:

- Online through MDOT’s website
- As a hard copy presentation or report mailed to me
- In person at a training session
- At a project or internal company meeting
- Other _____

21. The DBE training I received was valuable to me.

Strongly Disagree		Neither Agree nor Disagree		Strongly Agree
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-

22. Within the last three years, have you attended any networking events for prime contractors and DBEs?

- Yes
 No (If no, skip questions 23 and 24.)

23. How many networking events have you attended?

- 1-3
 4-9
 10-15
 More than 15

24. Overall, these networking events were effective in establishing relationships between primes and DBEs.

Strongly Disagree Neither Agree nor Disagree Strongly Agree

-

(If you answered question 24, please skip to question 26.)

25. Why haven't you attended?

- I've attended session(s) in the past and did not find them valuable.
 I don't think they would be valuable.
 I have not received information about networking sessions.
 I've been too busy to attend any networking sessions.
 The networking sessions are never held in my area.
 Other _____

26. I believe that MDOT provides enough opportunities for primes and DBEs to establish working relationships.

Strongly Disagree Neither Agree nor Disagree Strongly Agree

-

27. What are your primary sources for information about MDOT's DBE program? (You may check more than one)

- MDOT's Office of Business Development (OBD)
 A regional DBE field technician
 A MDOT field/project engineer
 Michigan Infrastructure Transportation Association (MITA)
 MDOT's website
 MDOT Office of Contract Management or a project contract manager
 Newsletter
 Other _____

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Future communication Preferences

28. What topics related to MDOT's DBE Program are you interested in learning about? (Please select all that apply.)

- Reason for the DBE program
- DBE program requirements
- Roles and responsibilities of DBE program stakeholders
- Profiles of DBEs for the purpose of identifying DBEs for potential subcontracting opportunities
- Case studies or success stories for DBE program stakeholders
- Good Faith Effort (GFE) requirements
- Available DBE Program resources
- DBE Program updates
- Networking events
- Technical Training
- Other _____

29. How would you like to receive future information about MDOT's DBE Program? (Please select all that apply.)

- MDOT's Website
- E-mail from MDOT's OBD
- MDOT's newsletter
- MDOT Presentation/Report
- MDOT training session
- MITA training session
- Project/Internal company meeting
- Online video
- Text Message alerts
- Social Media
- Other

30. How can MDOT improve its communication with your firm regarding the DBE program?

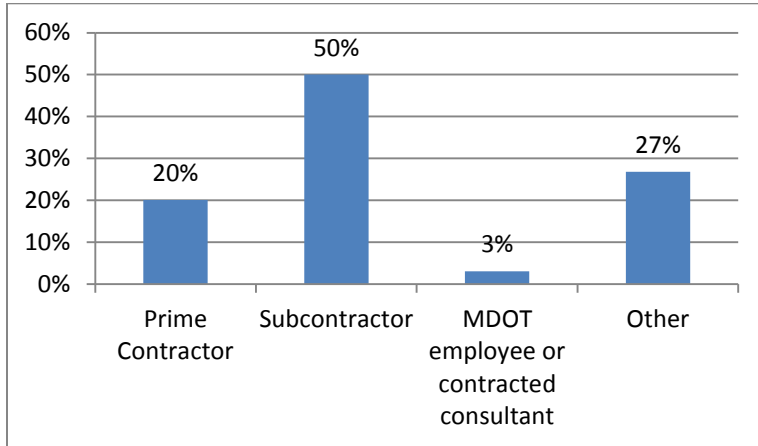
31. How can MDOT improve the effectiveness of the DBE program?

Thank you for your time. We will be contacting you for the internal MDOT stakeholder shortly. Thanks!

Appendix 6

Combined Contractor Survey Results

With respect to MDOT contracts, are you primarily a prime contractor (contracted directly to MDOT)...

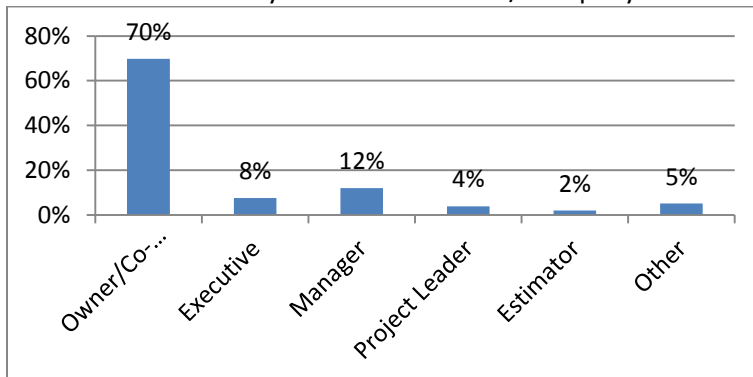


Is your company a certified / Disadvantaged Business Enterprise (DBE)?

Yes 59%

No 41%

Which best describes your role within the / company?



Please select your gender:

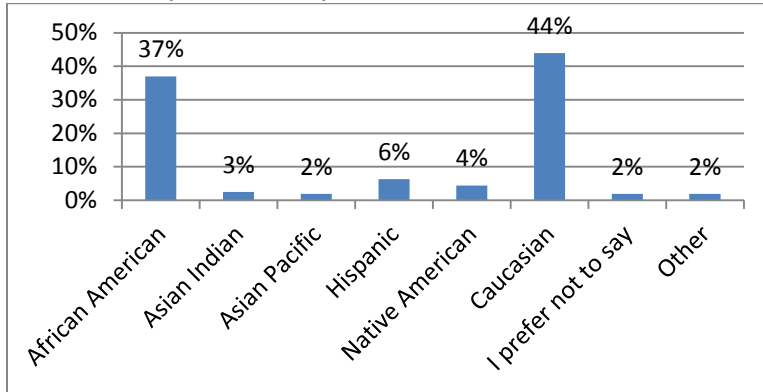
Male 52%

Female 48%

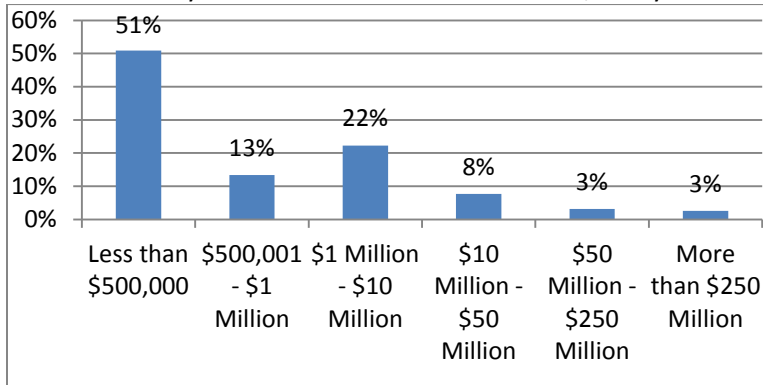
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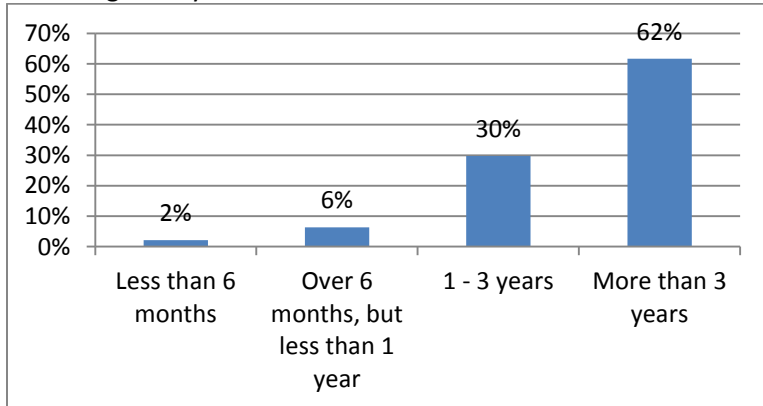
Please select your ethnicity:



How much did your firm earn in annual revenue / last year?

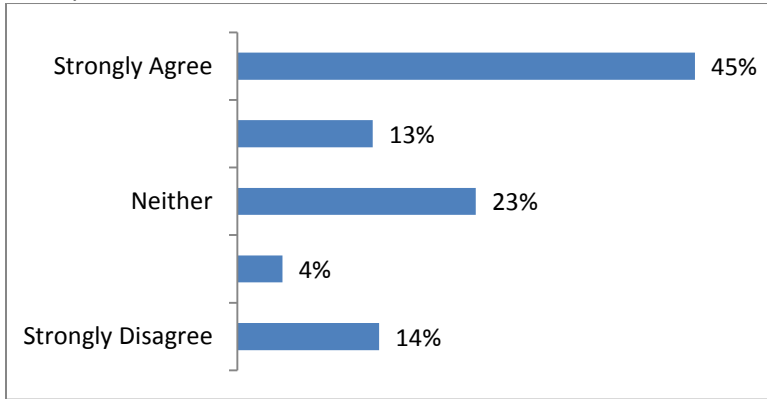


How long have you been certified as a DBE?

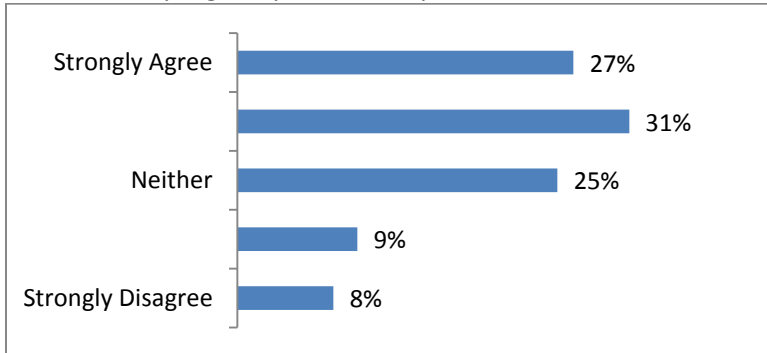


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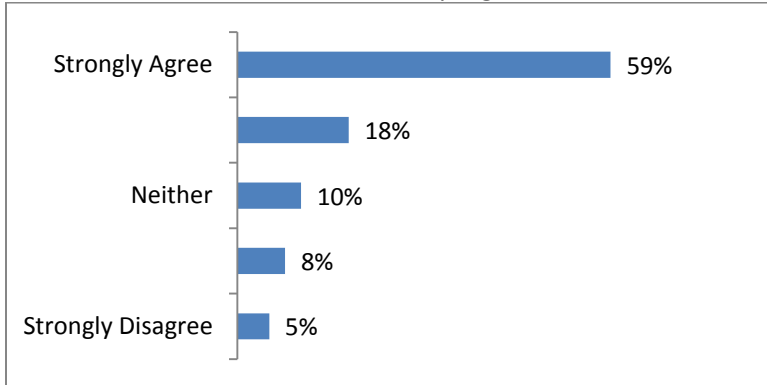
I understand that Michigan’s DBE program is a / requirement for receiving federal Department of Transp...



MDOT’s DBE program policies and procedures are / clear to me.

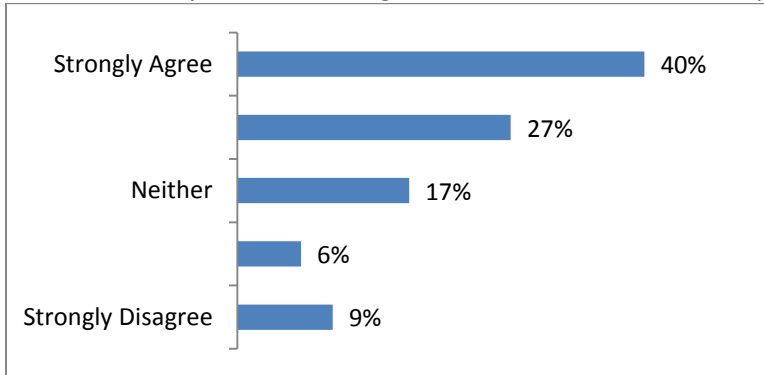


I believe there is a need for the DBE program.

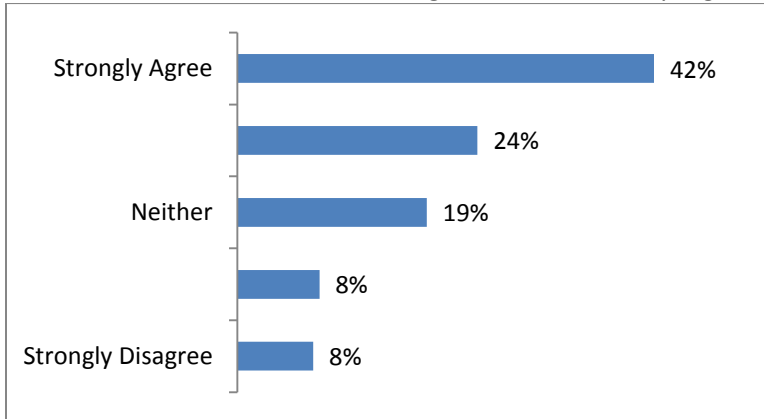


Appendix 6

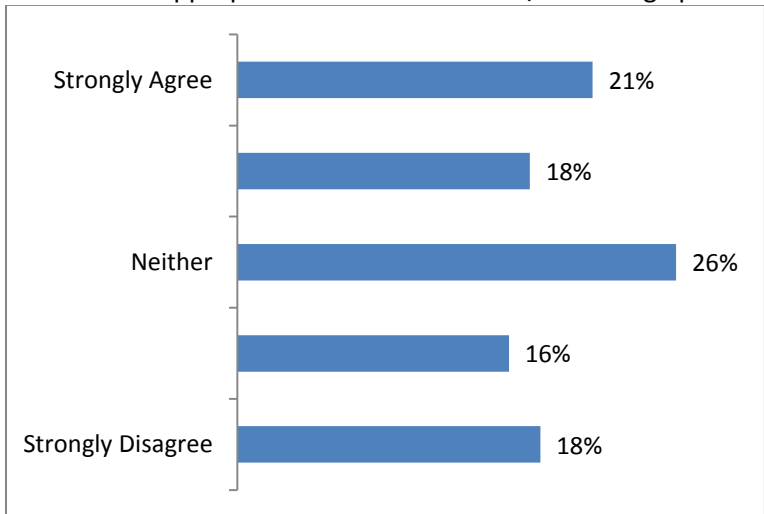
I understand my role in ensuring that the state / meets its DBE program goals.



I would benefit from further training on MDOT's / DBE program.

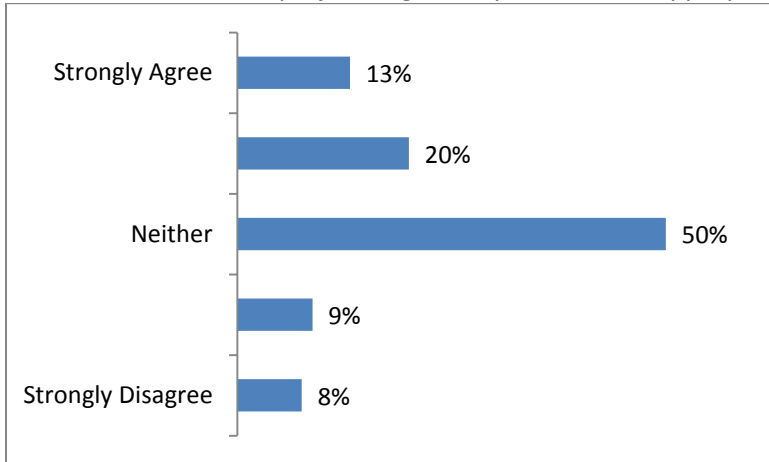


I believe the appropriate incentives exist to / encourage prime contractors to meet their DBE goals.

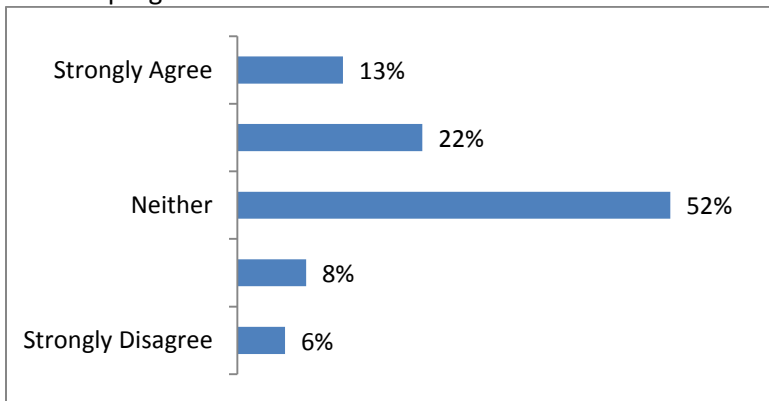


Appendix 6

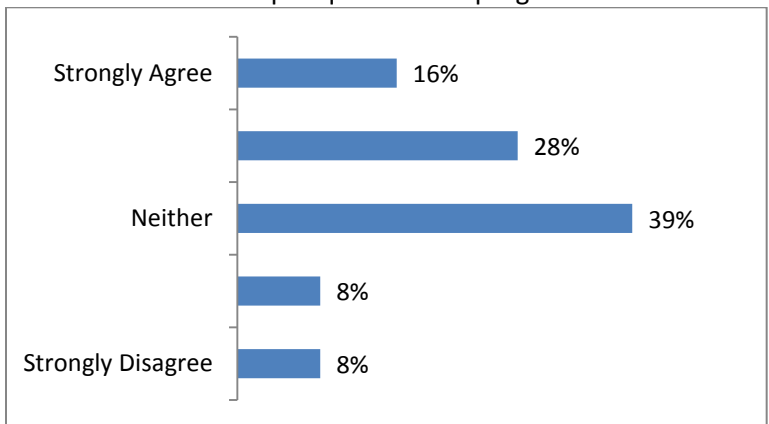
I believe MDOT’s field/project engineers provide / the appropriate level of support for the DBE Program



I believe MDOT’s regional DBE field technicians are an effective resource for resolving issues related to the DBE program



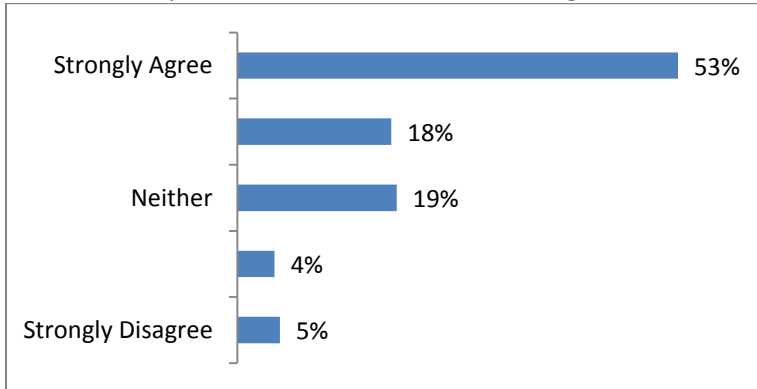
I believe that MDOT’s per-qualification program for DBEs is effective



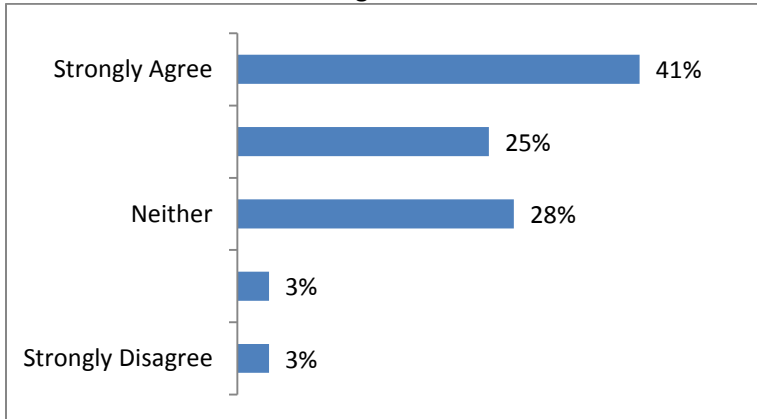
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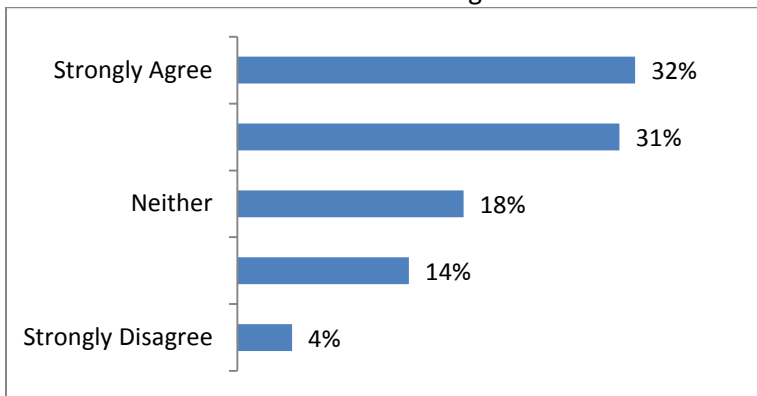
I believe that prime contractors should be doing more to use DBEs on projects



I believe DBEs should be doing more to market their services to primes



MDOT is effective when communicating information about the DBE Program



Within the last three years, have you participated in DBE program training from MDOT?

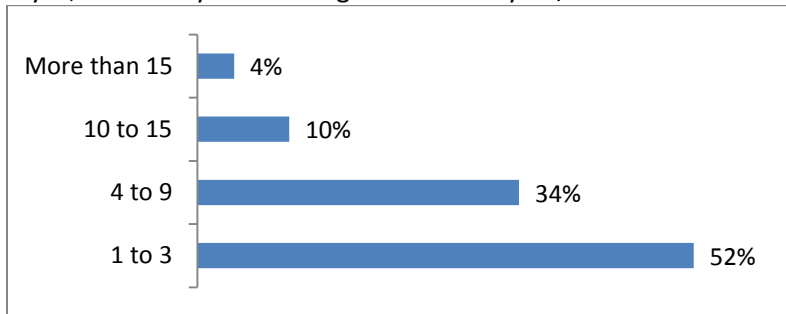
Yes 58%

No 42%

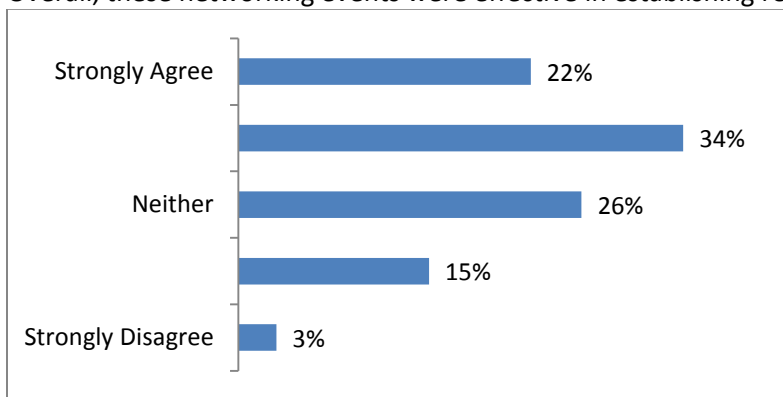
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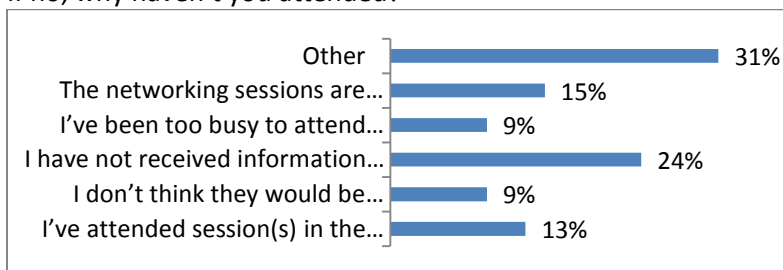
If yes, how many networking events have you / attended?



Overall, these networking events were effective in establishing relationships between primes and DBE



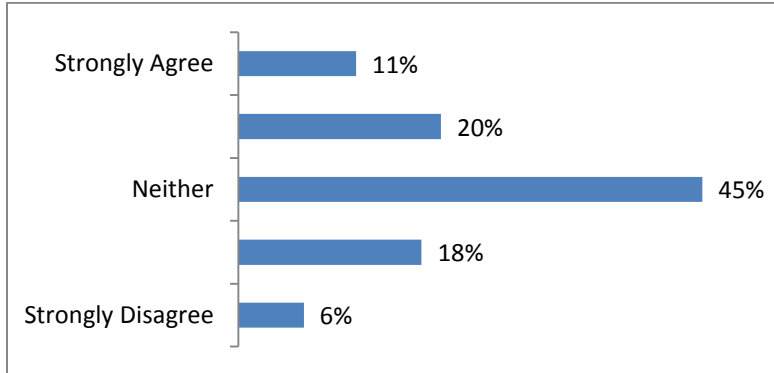
If no, why haven't you attended?



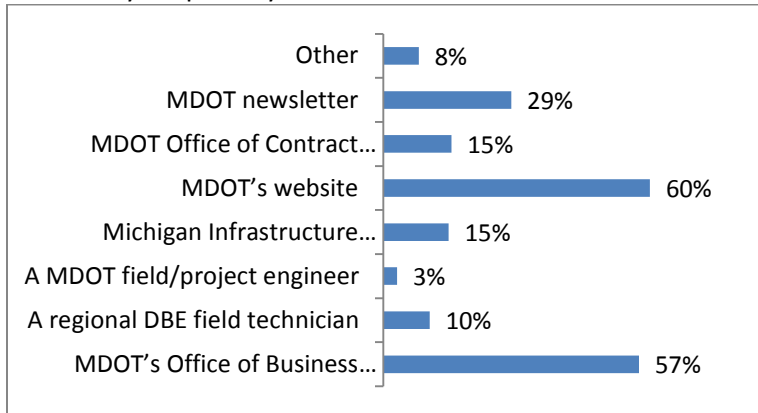
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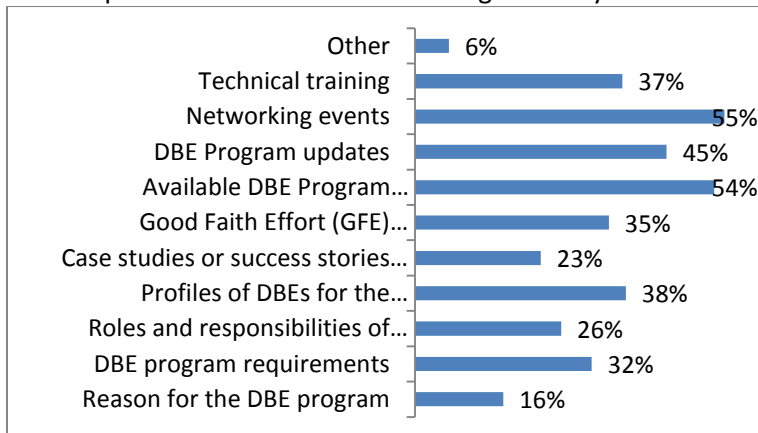
I believe that MDOT provides enough / opportunities for primes and DBEs to establish working relationships



What are your primary sources for information about MDOT's DBE program?



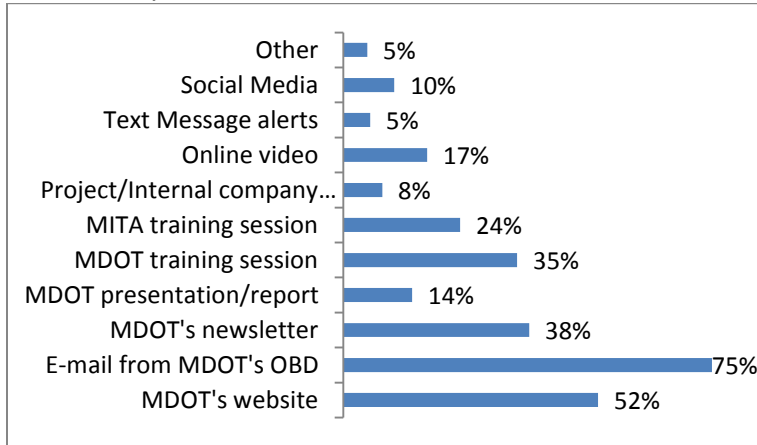
What topics related to MDOT's DBE Program are you interested in learning about?



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How would you like to receive future information about MDOT’s DBE Program?

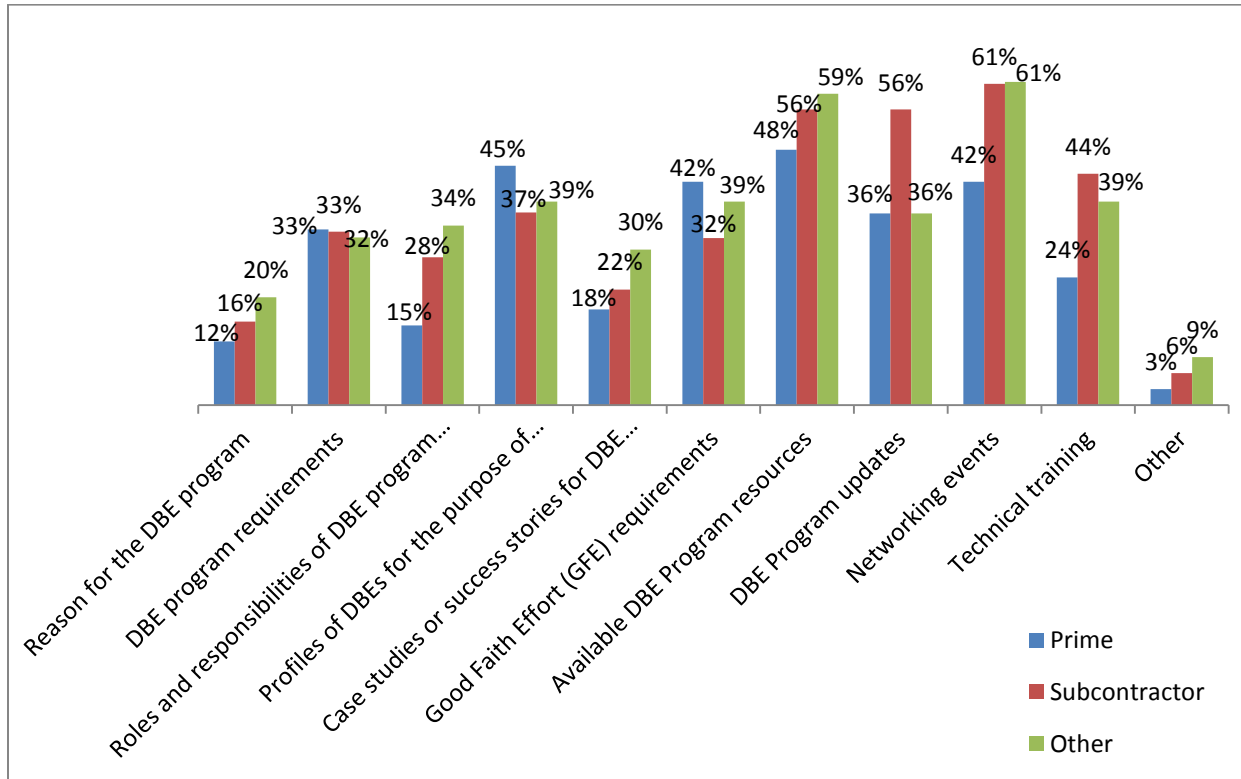


For each of Primes, Subcontractors and “others” group the respondents were most interested in:

	Prime	Subcontractor	Other
Reason for the DBE program	12%	16%	20%
DBE program requirements	33%	33%	32%
Roles and responsibilities of DBE program stakeholders	15%	28%	34%
Profiles of DBEs for the purpose of identifying DBEs for potential subcontracting opportunities	45%	37%	39%
Case studies or success stories for DBE program stakeholders	18%	22%	30%
Good Faith Effort (GFE) requirements	42%	32%	39%
Available DBE Program resources	48%	56%	59%
DBE Program updates	36%	56%	36%
Networking events	42%	61%	61%
Technical training	24%	44%	39%
Other	3%	6%	9%

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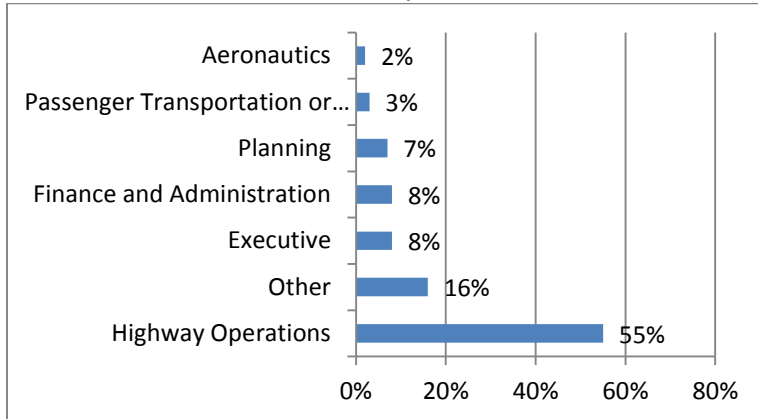
Appendix 6



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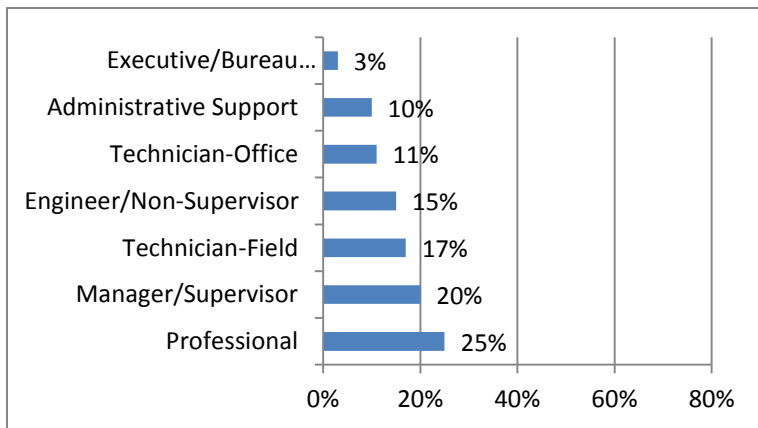
Employee Survey

1- In which MDOT office/area do you work?

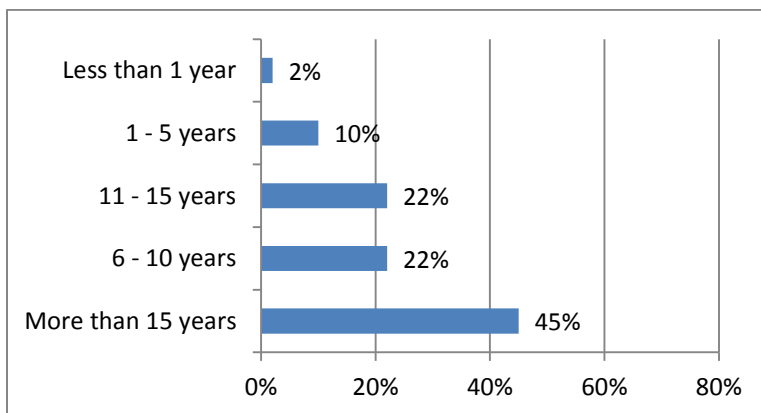


(Other included: Highway Development, Design and Construction)

2- Which best describes your role in MDOT?



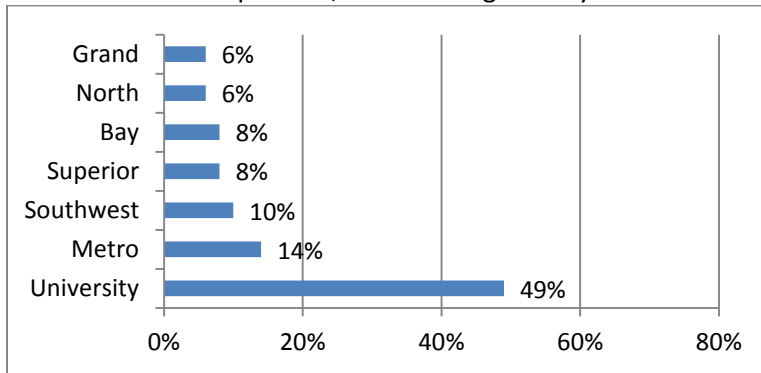
3- How many years have you worked for MDOT?



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4- Based on the map above, in which Region do you work most frequently?



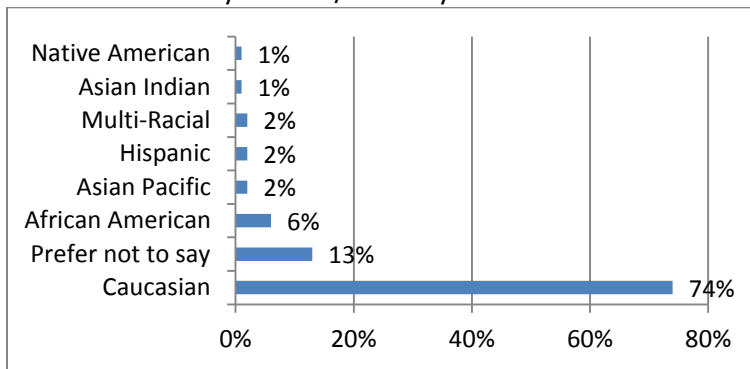
5- Please indicate your gender

Male: 59%

Female: 34%

Prefer not to say: 7%

6- Please indicate your race/ethnicity:



7- In your job do you interact regularly with contractors and consultants?

Yes: 57%

No: 43%

8- Do you interact regularly with Disadvantaged Business Enterprises (DBEs)?

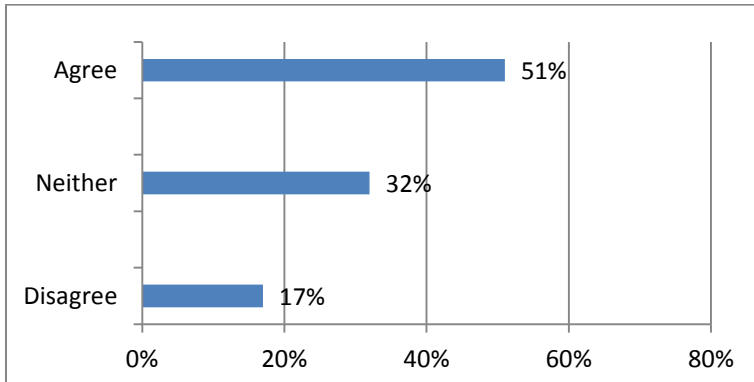
Yes: 45%

No: 55%

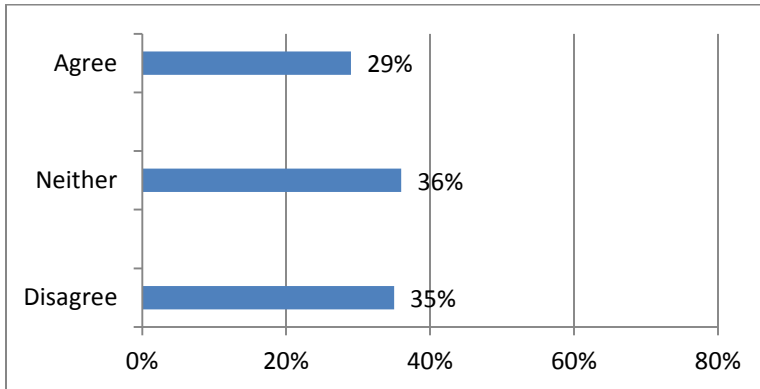
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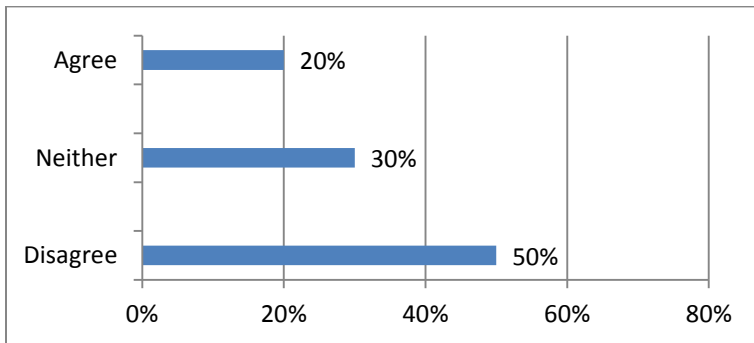
9- I understand that Michigan’s DBE program is a requirement for receiving federal Department of Transportation funding



10- MDOT’s DBE program policies and procedures are clear to me

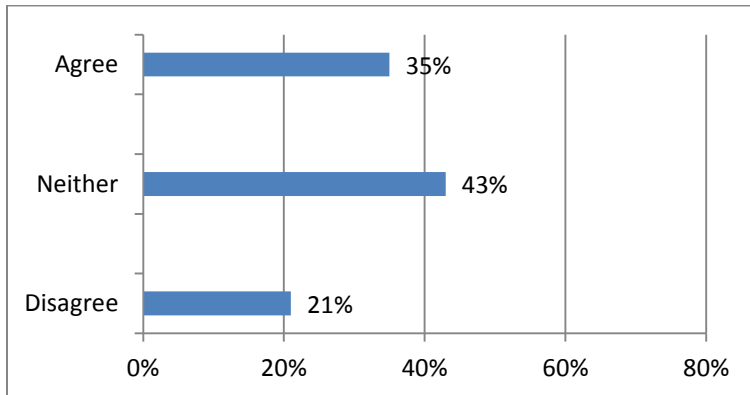


11- I am comfortable explaining MDOT's DBE program to others

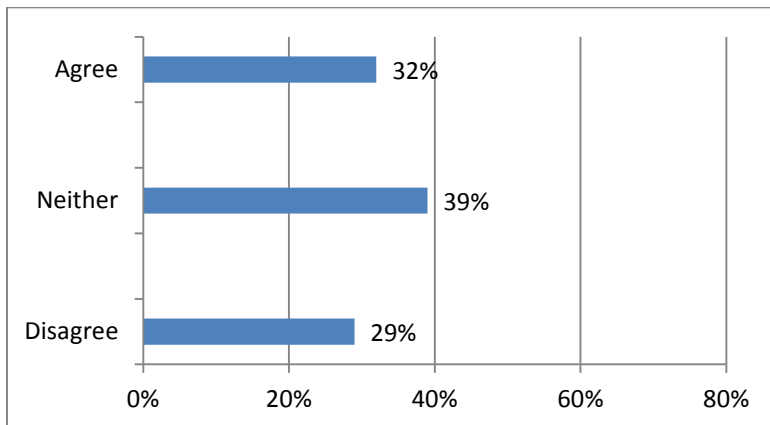


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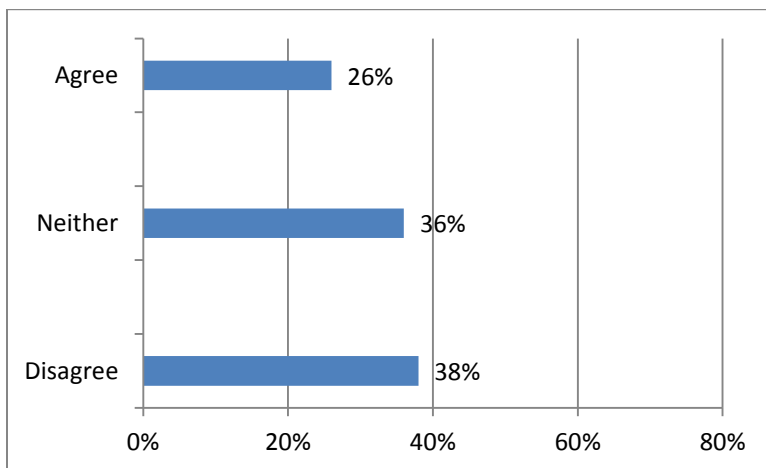
12- I believe there is a need for the DBE program



13- I understand my role in ensuring that the state meets its DBE program goals



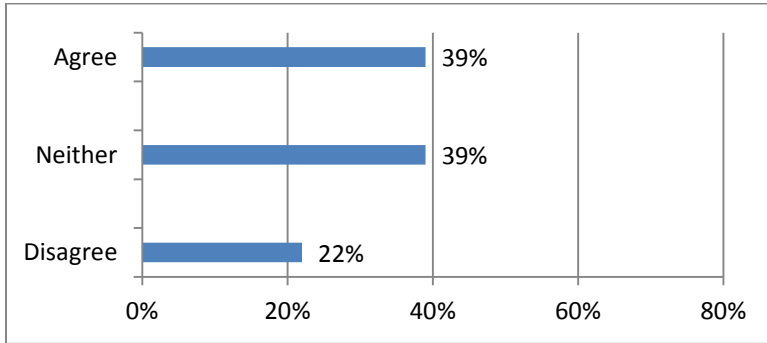
14- I am comfortable explaining my role in supporting MDOT's DBE program to others



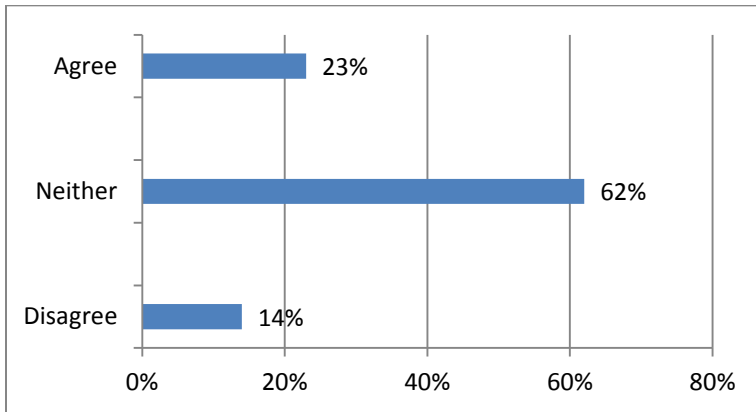
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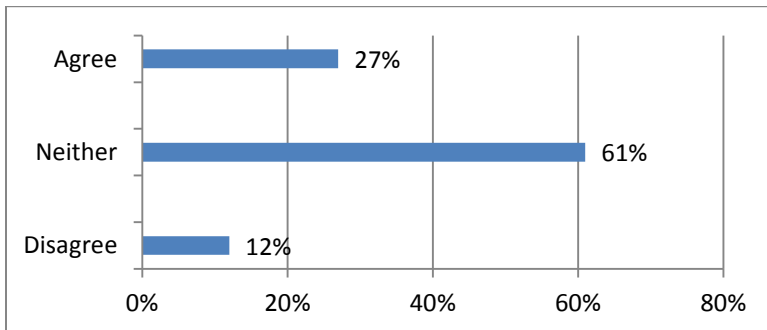
15- I would benefit from further training on MDOT's DBE program



16- I believe the appropriate incentives exist to encourage prime contractors to meet their DBE goals



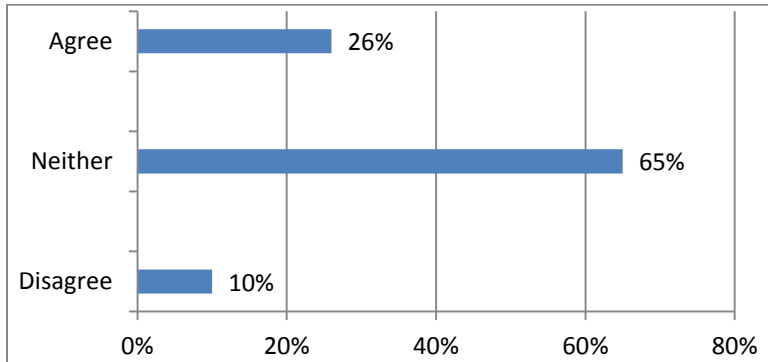
17- I believe MDOT's project engineers provide the appropriate level of support for the DBE program



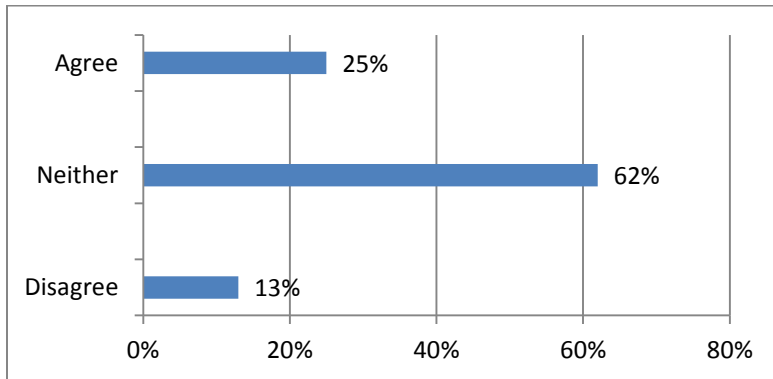
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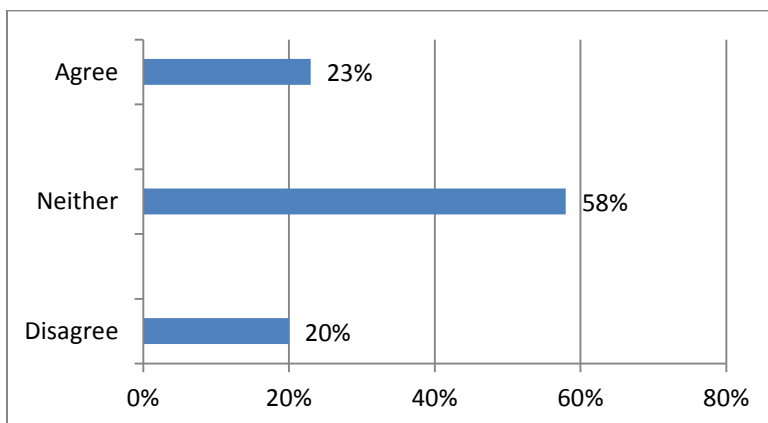
18- I believe MDOT's regional DBE technicians are an effective resource for resolving issues related to the DBE program



19- I believe that there are adequate resources to support the DBE program/address DBE related issues



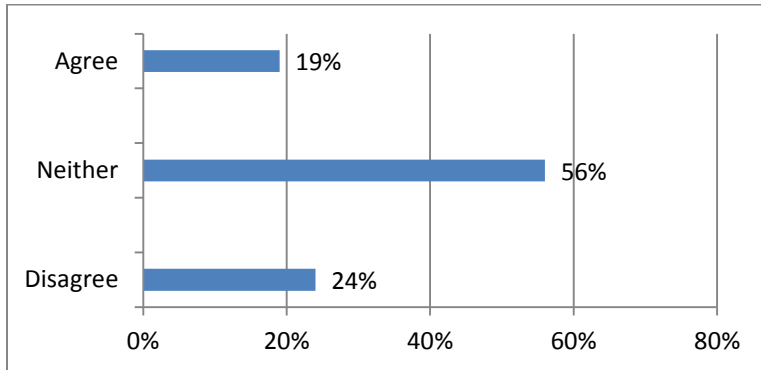
20- I believe the DBE program is effective overall



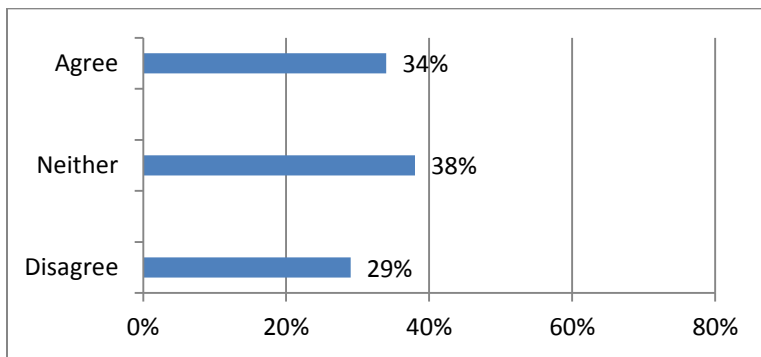
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Current Communication Views:

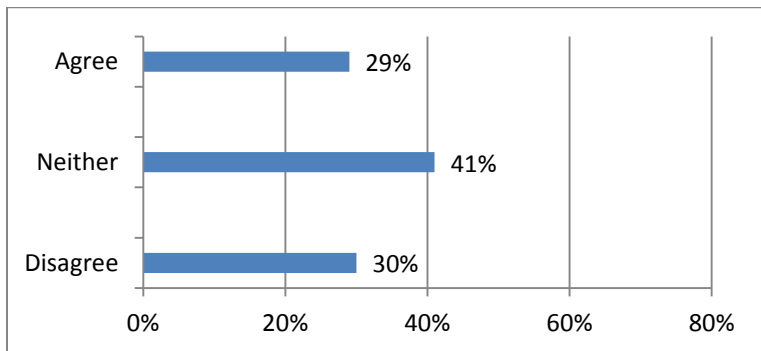
21- The Office of Business Development (OBD) is effective when communicating information about the DBE program within MDOT



22- I would like to receive more detailed information on MDOT's DBE program



23- I would like to receive more frequent information on MDOT's DBE program



24- Within the last three years, have you participated in DBE program training?

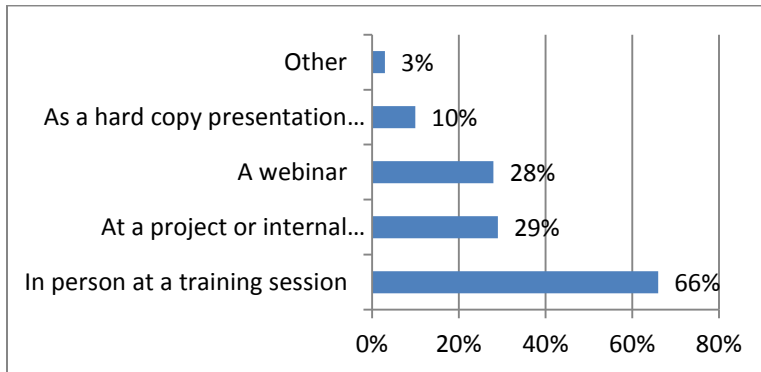
Yes: 22%

No: 78%

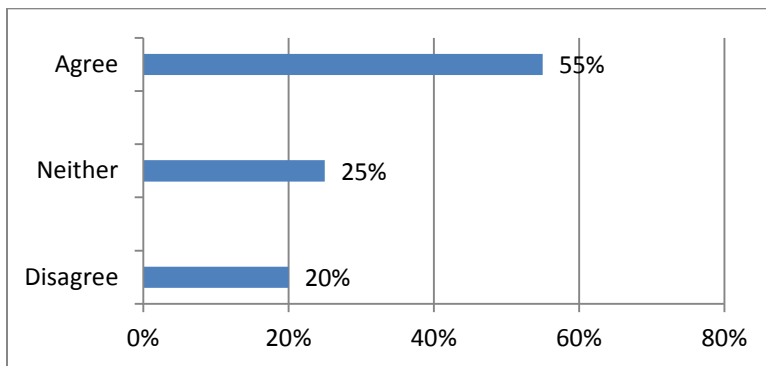
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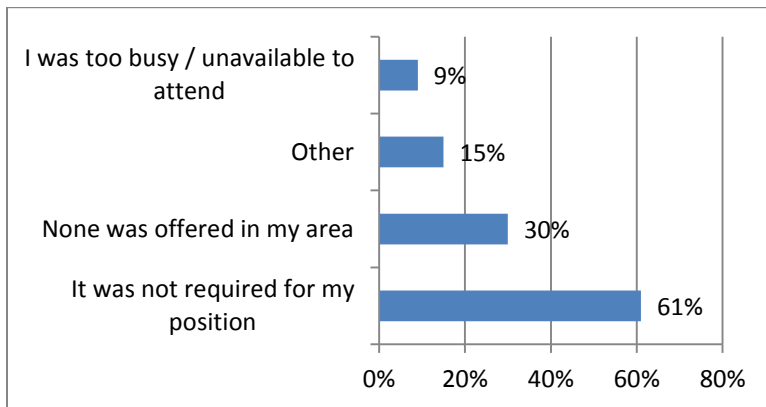
25- How was that training/information delivered? (Check all that apply)



26- The DBE training I received was valuable to me



27- If no, why haven't you attended?

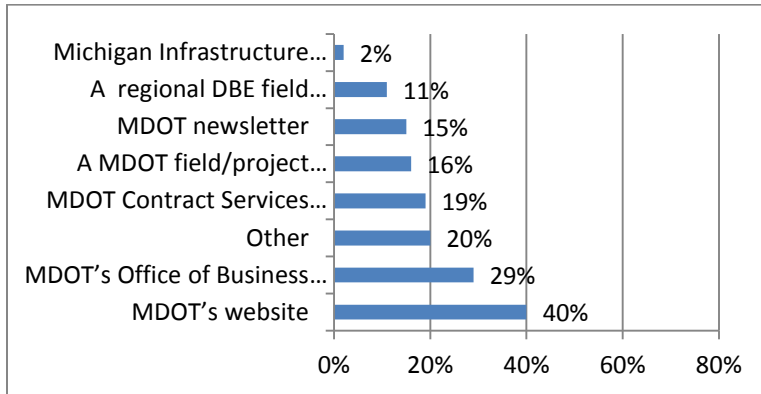


(Majority of "others" were because the employee was not aware of the training).

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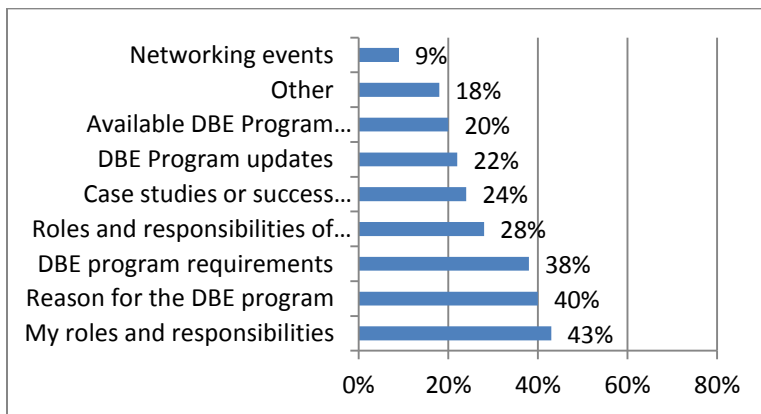
28- What are your primary sources for information about MDOT's DBE program? (You may check more than one)



(“Other” had only one repeated answer which was “coworkers”)

Future Communication Preferences:

29- What topics related to MDOT's DBE Program are you interested in learning about (Please select all that apply)

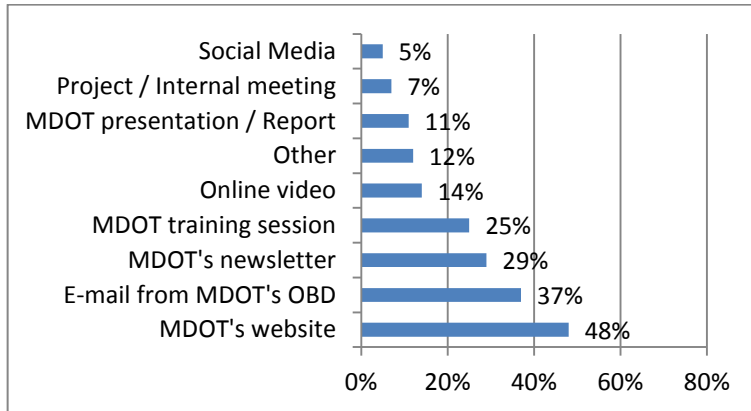


(majority of others was “None”)

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30- How would you like to receive future information about MDOT's DBE Program or the Office of Business Development? (please select all that applies)



(majority of others were "no" and "none")

31- Do you currently work in the field

Yes: 38%

No: 62%

Appendix 8

Combined Results:

In addition to looking at the results from the contractors and employee surveys, the Project Team also examined the results from the two surveys using Analysis of Variance (ANOVA). ANOVA is a technique to test if the means from two or more groups are equal⁴ and is used as a statistical tool to compare differences in demographic groups. It is used here to compare the responses of various contractor and employee groups on particular variables. The following analysis compares the responses from the following groups:

- Conference attendees with email respondents (Contractors)
- DBE with Non-DBE
- Contractors with Non-contractors
- DBEs and Non-DBEs compared to MDOT employees
- DBEs with Non-DBEs with Interacting (DBE) MDOT employees with Non-interacting (DBE) MDOT employees
- Prime contractors with Subcontractors with MDOT employees
- Prime contractors with Subcontractors with Interacting (DBE) MDOT employees with Non-interacting (DBE) MDOT employees
- Contractors with Interacting (Contractor) MDOT employees and Non-interacting (Contractor) MDOT employees
- MDOT Interacting (Contractor) with MDOT Non-Interacting (Contractor) with Prime Contractor with Sub Contractor

Questions with statistically significant differences are show below:

Conference attendees with email respondents (Contractors)

There were no differences ($p < .01$) among those who attended the conference and those who took the survey online.

Conference attendees with email respondents (Contractors)		N	Mean
I understand that Michigan’s DBE program is a requirement for receiving federal Department of Transp...	Event Survey	104	3.66
	Emailed Survey	54	3.80
	Total	158	3.71
MDOT’s DBE program policies and procedures are clear to me.	Event Survey	104	3.57
	Emailed Survey	54	3.65
	Total	158	3.59
I believe there is a need for the DBE program.	Event Survey	104	4.18
	Emailed Survey	54	4.20

⁴ [1] StatSoft Inc., ANOVA/MANOVA, <http://www.statsoft.com/textbook/stanman.html#basic>.

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	Total	158	4.19
I understand my role in ensuring that the state meets its DBE program goals.	Event Survey	105	3.79
	Emailed Survey	54	3.89
	Total	159	3.82
I would benefit from further training on MDOT's DBE program.	Event Survey	105	3.99
	Emailed Survey	54	3.54
	Total	159	3.84
I believe the appropriate incentives exist to encourage prime contractors to meet their DBE goals.	Event Survey	105	3.13
	Emailed Survey	54	2.96
	Total	159	3.08
I believe MDOT's field/project engineers provide the appropriate level of support for the DBE Program...	Event Survey	105	3.30
	Emailed Survey	54	3.09
	Total	159	3.23
I believe MDOT's regional DBE field technicians are an effective resource for resolving issues related...	Event Survey	105	3.31
	Emailed Survey	54	3.20
	Total	159	3.28
I believe that MDOT's per-qualification program for DBEs is effective.	Event Survey	103	3.29
	Emailed Survey	54	3.46
	Total	157	3.35
I believe that prime contractors should be doing more to use DBEs on projects.	Event Survey	103	3.98
	Emailed Survey	54	4.31
	Total	157	4.10
I believe DBEs should be doing more to market their services to primes.	Event Survey	104	4.00
	Emailed Survey	54	3.91
	Total	158	3.97
MDOT is effective when communicating information about the DBE Program.	Event Survey	104	3.66
	Emailed Survey	54	3.85
	Total	158	3.73
Overall, these networking events were effective in establishing relationships between primes and DBE...	Event Survey	71	3.63
	Emailed Survey	32	3.47
	Total	103	3.58
I believe that MDOT provides enough opportunities for primes and DBEs to establish working relations...	Event Survey	104	3.04
	Emailed Survey	54	3.28
	Total	158	3.12

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DBE with Non-DBE

Q122: MDOT's DBE program policies and procedures are clear to me.

- DBEs are higher than are Non-DBEs.

Q123: I believe there is a need for the DBE program.

- DBEs are higher than are Non-DBEs.

Q124: I understand my role in ensuring that the state meets its DBE program goals.

- DBEs are higher than are Non-DBEs.

Q140: MDOT is effective when communicating information about the DBE program.

- DBEs are higher than are Non-DBEs.

Q16: Within the last three years, have you participated in DBE program training from MDOT?

- DBEs are more likely to have attended training than are Non-DBEs.

Q141: The DBE training I received was valuable to me.

- DBEs are higher than are NonDBEs.

DBE with NonDBE		N	Mean
Q14 I understand that Michigan's DBE program is a requirement for receiving federal Department of Transp...	DBE	96	3.81
	Not DBE	622	3.58
	Total	718	3.61
Q122 MDOT's DBE program policies and procedures are clear to me.	DBE	97	3.64
	Not DBE	621	2.96
	Total	718	3.05
Q123 I believe there is a need for the DBE program.	DBE	97	4.47
	Not DBE	621	3.24
	Total	718	3.41
Q124 I understand my role in ensuring that the state meets its DBE program goals.	DBE	97	3.82
	Not DBE	622	3.09
	Total	719	3.19
Q126 I believe the appropriate incentives exist to encourage prime contractors to meet their DBE goals.	DBE	97	2.95
	Not DBE	613	3.12
	Total	710	3.09
Q128 I believe MDOT's field/project engineers provide the appropriate level of support for the DBE Program...	DBE	97	3.24
	Not DBE	613	3.18

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	Total	710	3.19
Q129 I believe MDOT’s regional DBE field technicians are an effective resource for resolving issues related...	DBE	96	3.32
	Not DBE	613	3.20
	Total	709	3.21
Q140 MDOT is effective when communicating information about the DBE Program.	DBE	94	3.78
	Not DBE	611	2.97
	Total	705	3.07
Q16 Within the last three years, have you participated in DBE program training from MDOT?	DBE	95	1.31
	Not DBE	611	1.75
	Total	706	1.69
Q141 The DBE training I received was valuable to me.	DBE	43	4.00
	Not DBE	141	3.45
	Total	184	3.58

Contractors with Non-contractors

Q122: MDOT’s DBE program policies and procedures are clear to me.

- Contractors are higher than are Non-contractors.

Q123: I believe there is a need for the DBE program.

- Contractors are higher than are Non-contractors.

Q124: I understand my role in ensuring that the state meets its DBE program goals.

- Contractors are higher than are Non-contractors.

Q140: MDOT is effective when communicating information about the DBE program.

- Contractors are higher than are Non-contractors.

Q16: Within the last three years, have you participated in DBE program training from MDOT?

- Contractors are more likely to have attended training than are Non-contractors.

Contractors with Non-contractors		N	Mean
Q14 I understand that Michigan’s DBE program is a requirement for receiving federal Department of Transp...	Contractor	119	3.74
	Non Contractor	556	3.58
	Total	675	3.61
Q122 MDOT’s DBE program policies and procedures are clear to me.	Contractor	119	3.66
	Non Contractor	556	2.89
	Total	675	3.03

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Q123 I believe there is a need for the DBE program.	Contractor	119	4.28
	Non Contractor	556	3.19
	Total	675	3.38
Q124 I understand my role in ensuring that the state meets its DBE program goals.	Contractor	119	3.96
	Non Contractor	556	3.01
	Total	675	3.17
Q126 I believe the appropriate incentives exist to encourage prime contractors to meet their DBE goals.	Contractor	119	3.07
	Non Contractor	547	3.11
	Total	666	3.10
Q128 I believe MDOT's field/project engineers provide the appropriate level of support for the DBE Program...	Contractor	119	3.22
	Non Contractor	547	3.18
	Total	666	3.19
Q129 I believe MDOT's regional DBE field technicians are an effective resource for resolving issues related...	Contractor	119	3.30
	Non Contractor	547	3.20
	Total	666	3.22
Q140 MDOT is effective when communicating information about the DBE Program.	Contractor	117	3.74
	Non Contractor	545	2.88
	Total	662	3.04
Q16 Within the last three years, have you participated in DBE program training from MDOT?	Contractor	118	1.38
	Non Contractor	545	1.78
	Total	663	1.71
Q141 training I received was valuable to me.	Contractor	46	3.91
	Non Contractor	122	3.51
	Total	168	3.62

DBEs with Non DBEs with MDOT employees

Q122: MDOT's DBE program policies and procedures are clear to me.

- Both DBEs and NonDBEs are higher than are MDOT employees.

Q123: I believe there is a need for the DBE program

- DBEs are higher than are NonDBEs and MDOT employees.
- NonDBEs are higher than are MDOT employees.

Q124: I understand my role in ensuring that the state meets its DBE program goals.

- Both DBEs and NonDBEs are higher than are MDOT employees.

Q140: MDOT is effective when communicating information about the DBE Program.

- Both DBEs and NonDBEs are higher than are MDOT employees.

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Appendix 8Q16: *Within the last three years, have you participated in DBE program training from MDOT?*

- DBEs are more likely to have attended training than are NonDBEs and MDOT employees.
- NonDBEs are more likely to have attended training than are MDOT employees.

DBEs with Non DBEs with MDOT employees		N	Mean
Q14 I understand that Michigan's DBE program is a requirement for receiving federal Department of Transp...	DBE	96	3.81
	Not DBE	66	3.55
	MDOT Employee	556	3.58
	Total	718	3.61
Q122 MDOT's DBE program policies and procedures are clear to me.	DBE	97	3.64
	Not DBE	65	3.54
	MDOT Employee	556	2.89
	Total	718	3.05
Q123 I believe there is a need for the DBE program.	DBE	97	4.47
	Not DBE	65	3.72
	MDOT Employee	556	3.19
	Total	718	3.41
Q124 I understand my role in ensuring that the state meets its DBE program goals.	DBE	97	3.82
	Not DBE	66	3.85
	MDOT Employee	556	3.01
	Total	719	3.19
Q126 I believe the appropriate incentives exist to encourage prime contractors to meet their DBE goals.	DBE	97	2.95
	Not DBE	66	3.17
	MDOT Employee	547	3.11
	Total	710	3.09
Q128 I believe MDOT's field/project engineers provide the appropriate level of support for the DBE Program...	DBE	97	3.24
	Not DBE	66	3.17
	MDOT Employee	547	3.18
	Total	710	3.19
Q129 I believe MDOT's regional DBE field technicians are an effective resource for resolving issues related...	DBE	96	3.32
	Not DBE	66	3.17
	MDOT Employee	547	3.20
	Total	709	3.21
Q140 MDOT is effective when communicating information about the DBE Program.	DBE	94	3.78
	Not DBE	66	3.64
	MDOT Employee	545	2.88
	Total	705	3.07

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Q16 Within the last three years, have you participated in DBE program training from MDOT?	DBE	95	1.31
	Not DBE	66	1.56
	MDOT Employee	545	1.78
	Total	706	1.69
Q141 The DBE training I received was valuable to me.	DBE	31	3.97
	Not DBE	4	4.00
	MDOT Employee	122	3.51
	Total	157	3.61

DBEs with Non DBEs with Interacting (DBE) MDOT employees with Non-interacting (DBE) MDOT employees

Q122: MDOT's DBE program policies and procedures are clear to me.

- DBEs, Non-DBEs, and MDOT interacting employees are higher than are MDOT Non-interacting employees.

Q123: I believe there is a need for the DBE program.

- DBEs are higher than are Non-DBEs, MDOT interacting employees, and MDOT Non-interacting employees.

Q140: MDOT is effective when communicating information about the DBE program.

- DBEs and Non-DBEs are higher than are MDOT interacting employees and MDOT Non-interacting employees.

Q16: Within the last three years, have you participated in DBE program training from MDOT?

- DBEs are more likely to have attended training than are Non-DBEs and MDOT Non-interacting employees.
- Non-DBEs are more likely to have attended training than are MDOT Non-interacting employees.
- MDOT interacting employees are more likely to have attended training than are MDOT Non-interacting employees.

DBEs with Non DBEs with interacting (DBE) MDOT employees with Non-interacting(DBE) MDOT employees		N	Mean
q14 I understand that Michigan's DBE program is a requirement for receiving federal Department of Transportation Funding	DBE	96	3.81
	Not DBE	66	3.55
	MDOT Employee Interact	151	3.89
	MDOT Employee No Interact	179	3.50
	Total	492	3.69
Q122 MDOT's DBE program policies and procedures are clear to me.	DBE	97	3.64
	Not DBE	65	3.54

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	MDOT Employee Interact	151	3.45
	MDOT Employee No Interact	179	2.84
	Total	492	3.28
Q123 I believe there is a need for the DBE program.	DBE	97	4.47
	Not DBE	65	3.72
	MDOT Employee Interact	151	3.21
	MDOT Employee No Interact	179	3.13
	Total	492	3.50
Q124 I understand my role in ensuring that the state meets its DBE program goals.	DBE	97	3.82
	Not DBE	66	3.85
	MDOT Employee Interact	151	3.60
	MDOT Employee No Interact	179	2.94
	Total	493	3.44
Q126 I believe the appropriate incentives exist to encourage prime contractors to meet their DBE goals.	DBE	97	2.95
	Not DBE	66	3.17
	MDOT Employee Interact	149	3.18
	MDOT Employee No Interact	177	3.18
	Total	489	3.13
Q128 I believe MDOT's field/project engineers provide the appropriate level of support for the DBE Program...	DBE	97	3.24
	Not DBE	66	3.17
	MDOT Employee Interact	149	3.30
	MDOT Employee No Interact	177	3.16
	Total	489	3.22
Q129 I believe MDOT's regional DBE field technicians are an effective resource for resolving issues related...	DBE	96	3.32
	Not DBE	66	3.17
	MDOT Employee Interact	149	3.34
	MDOT Employee No Interact	177	3.24
	Total	488	3.28
Q140 MDOT is effective when communicating information about the DBE Program.	DBE	94	3.78
	Not DBE	66	3.64

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	MDOT Employee Interact	149	3.15
	MDOT Employee No Interact	176	2.86
	Total	485	3.23
Q16 Within the last three years, have you participated in DBE program training from MDOT?	DBE	95	1.31
	Not DBE	66	1.56
	MDOT Employee Interact	149	1.47
	MDOT Employee No Interact	176	1.85
	Total	486	1.59
Q141 training I received was valuable to me.	DBE	31	3.97
	Not DBE	4	4.00
	MDOT Employee Interact	79	3.61
	MDOT Employee No Interact	26	3.12
	Total	140	3.61

Prime contractors with Subcontractors with MDOT employees.

Q122: MDOT's DBE program policies and procedures are clear to me.

- Primes and Subcontractors are higher than are MDOT employees.

Q123: I believe there is a need for the DBE program.

- Primes and Subcontractors are higher than are MDOT employees.

Q124: I understand my role in ensuring that the state meets its DBE program goals.

- Primes and Subcontractors are higher than are MDOT employees.

Q140: MDOT is effective when communicating information about the DBE program.

- Primes and Subcontractors are higher than are MDOT employees.

Q16: Within the last three years, have you participated in DBE program training from MDOT?

- Primes and Subcontractors are more likely to have attended training than are MDOT employees.

Prime contractors with Subcontractors with MDOT employees.		N	Mean
Q14 I understand that Michigan's DBE program is a requirement for receiving federal Department of Transp...	Prime Contractor	36	3.72
	Subcontractor	83	3.75
	MDOT Employee	556	3.58

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	Total	675	3.61
Q122 MDOT's DBE program policies and procedures are clear to me.	Prime Contractor	36	3.58
	Subcontractor	83	3.70
	MDOT Employee	556	2.89
	Total	675	3.03
Q123 I believe there is a need for the DBE program.	Prime Contractor	36	3.89
	Subcontractor	83	4.45
	MDOT Employee	556	3.19
	Total	675	3.38
Q124 I understand my role in ensuring that the state meets its DBE program goals.	Prime Contractor	36	4.22
	Subcontractor	83	3.84
	MDOT Employee	556	3.01
	Total	675	3.17
Q126 I believe the appropriate incentives exist to encourage prime contractors to meet their DBE goals.	Prime Contractor	36	3.25
	Subcontractor	83	2.99
	MDOT Employee	547	3.11
	Total	666	3.10
Q128 I believe MDOT's field/project engineers provide the appropriate level of support for the DBE Program...	Prime Contractor	36	3.03
	Subcontractor	83	3.30
	MDOT Employee	547	3.18
	Total	666	3.19
Q129 I believe MDOT's regional DBE field technicians are an effective resource for resolving issues related...	Prime Contractor	36	3.11
	Subcontractor	83	3.39
	MDOT Employee	547	3.20
	Total	666	3.22
Q140 MDOT is effective when communicating information about the DBE Program.	Prime Contractor	36	3.61
	Subcontractor	81	3.80
	MDOT Employee	545	2.88
	Total	662	3.04
Q16 Within the last three years, have you participated in DBE program training from MDOT?	Prime Contractor	36	1.50
	Subcontractor	82	1.33
	MDOT Employee	545	1.78
	Total	663	1.71
Q141 training I received was valuable to me.	Prime Contractor	8	3.75
	Subcontractor	23	4.17
	MDOT Employee	122	3.51
	Total	153	3.62

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Prime contractors with Subcontractors with Interacting (DBE) MDOT employees with Non-interacting (DBE) MDOT employees

Q122: MDOT’s DBE program policies and procedures are clear to me.

- Primes, Subcontractors and MDOT interacting employees are higher than are MDOT Non-interacting employees.

Q123: I believe there is a need for the DBE program.

- Primes are higher than are MDOT Non-interacting employees.
- Subcontractors are higher than are MDOT interacting employees and MDOT Non-interacting employees.

Q124: I understand my role in ensuring that the state meets its DBE program goals.

- Primes, Subcontractors and MDOT interacting employees are higher than are MDOT Non-interacting employees.

Q140: MDOT is effective when communicating information about the DBE program.

- Primes are higher than are MDOT Non-interacting employees.
- Subcontractors are higher than are MDOT interacting employees and MDOT Non-interacting employees.

Q16: Within the last three years, have you participated in DBE program training from MDOT?

- Primes, Subcontractors, and MDOT interacting employees are more likely to have attended training than are MDOT Non-interacting employees.

Prime contractors with Subcontractors with Interacting(DBE) MDOT employees with Non-interacting MDOT(DBE) employees.		N	Mean
Q14 I understand that Michigan’s DBE program is a requirement for receiving federal Department of Transp...	Prime Contractor	36	3.72
	Subcontractor	83	3.75
	MDOT Employee Interact	151	3.89
	MDOT Employee NO Interact	179	3.50
	Total	449	3.69
Q122 MDOT’s DBE program policies and procedures are clear to me.	Prime Contractor	36	3.58
	Subcontractor	83	3.70
	MDOT Employee Interact	151	3.45
	MDOT Employee NO Interact	179	2.84
	Total	449	3.27
Q123 I believe there is a need for the DBE program.	Prime Contractor	36	3.89
	Subcontractor	83	4.45
	MDOT Employee Interact	151	3.21

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	MDOT Employee NO Interact	179	3.13
	Total	449	3.46
Q124 I understand my role in ensuring that the state meets its DBE program goals.	Prime Contractor	36	4.22
	Subcontractor	83	3.84
	MDOT Employee Interact	151	3.60
	MDOT Employee NO Interact	179	2.94
	Total	449	3.43
Q126 I believe the appropriate incentives exist to encourage prime contractors to meet their DBE goals.	Prime Contractor	36	3.25
	Subcontractor	83	2.99
	MDOT Employee Interact	149	3.18
	MDOT Employee NO Interact	177	3.18
	Total	445	3.15
Q128 I believe MDOT's field/project engineers provide the appropriate level of support for the DBE Program...	Prime Contractor	36	3.03
	Subcontractor	83	3.30
	MDOT Employee Interact	149	3.30
	MDOT Employee NO Interact	177	3.16
	Total	445	3.22
Q129 I believe MDOT's regional DBE field technicians are an effective resource for resolving issues related...	Prime Contractor	36	3.11
	Subcontractor	83	3.39
	MDOT Employee Interact	149	3.34
	MDOT Employee NO Interact	177	3.24
	Total	445	3.29
Q140 MDOT is effective when communicating information about the DBE Program.	Prime Contractor	36	3.61
	Subcontractor	81	3.80
	MDOT Employee Interact	149	3.15
	MDOT Employee NO Interact	176	2.86
	Total	442	3.19
Q16 Within the last three years, have you participated in DBE program training from MDOT?	Prime Contractor	36	1.50
	Subcontractor	82	1.33
	MDOT Employee Interact	149	1.47
	MDOT Employee NO Interact	176	1.85
	Total	443	1.60
Q141 training I received was valuable to me.	Prime Contractor	8	3.75
	Subcontractor	23	4.17

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	MDOT Employee Interact	79	3.61
	MDOT Employee NO Interact	26	3.12
	Total	136	3.62

Contractors with Interacting (Contractor) MDOT employees and Non-interacting (Contractor) MDOT employees

Q122: MDOT’s DBE program policies and procedures are clear to me.

- Contractors are higher than are Interacting MDOT employees and Non-interacting MDOT employees.
- Interacting MDOT employees are higher than Non-interacting MDOT employees.

Q123: I believe there is a need for the DBE program.

- Contractors are higher than are Interacting MDOT employees and Non-interacting MDOT employees.

Q124: I understand my role in ensuring that the state meets its DBE program goals.

- Contractors are higher than are Interacting MDOT employees and Non-interacting MDOT employees.
- Interacting MDOT employees are higher than Non-interacting MDOT employees.

Q140: MDOT is effective when communicating information about the DBE program.

- Contractors are higher than are Interacting MDOT employees and Non-interacting MDOT employees.
- Interacting MDOT employees are higher than are Non-interacting MDOT employees.

Q16: Within the last three years, have you participated in DBE program training from MDOT?

- Contractors are more likely to have attended training than are Interacting MDOT employees and Non-interacting MDOT employees.
- Interacting MDOT employees are more likely to have attended training than are Non-interacting MDOT employees.

Contractors with Interacting(Contractor) MDOT employees with Non-interacting (Contractor) MDOT employees		N	Mean
q14 I understand that Michigan’s DBE program is a / requirement for receiving federal Department of Transp...	MDOT Interacting Contractor	330	3.68
	MDOT Non-Interacting Contractor	226	3.45
	Contractor	119	3.74
	Total	675	3.61
q122 MDOT’s DBE program policies and /procedures are / clear to me.	MDOT Interacting Contractor	330	3.12
	MDOT Non-Interacting Contractor	226	2.56
	Contractor	119	3.66
	Total	675	3.03

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q123 I believe there is a need for the DBE program.	MDOT Interacting Contractor	330	3.17
	MDOT Non-Interacting Contractor	226	3.21
	Contractor	119	4.28
	Total	675	3.38
q124 I understand my role in ensuring that the state / meets its DBE program goals.	MDOT Interacting Contractor	330	3.24
	MDOT Non-Interacting Contractor	226	2.66
	Contractor	119	3.96
	Total	675	3.17
q126 I believe the appropriate incentives exist to / encourage prime contractors to meet their DBE goals.	MDOT Interacting Contractor	326	3.18
	MDOT Non-Interacting Contractor	221	3.01
	Contractor	119	3.07
	Total	666	3.10
q128 I believe MDOT's field/project engineers provide / the appropriate level of support for the DBE Progra...	MDOT Interacting Contractor	326	3.22
	MDOT Non-Interacting Contractor	221	3.12
	Contractor	119	3.22
	Total	666	3.19
q129 I believe MDOT's regional DBE field technicians are / an effective resource for resolving issues relat...	MDOT Interacting Contractor	326	3.29
	MDOT Non-Interacting Contractor	221	3.07
	Contractor	119	3.30
	Total	666	3.22
q140 MDOT is effective when communicating information / about the DBE Program.	MDOT Interacting Contractor	325	2.99
	MDOT Non-Interacting Contractor	220	2.73
	Contractor	117	3.74
	Total	662	3.04
q16 Within the last three years, have you / participated in DBE program training from MDOT?	MDOT Interacting Contractor	325	1.68
	MDOT Non-Interacting Contractor	220	1.92
	Contractor	118	1.38
	Total	663	1.71
q141 The / DBE training I received was valuable to me.	MDOT Interacting Contractor	105	3.49
	MDOT Non-Interacting Contractor	17	3.65
	Contractor	46	3.91
	Total	168	3.62

MDOT Interacting (Contractor) with MDOT Non-Interacting (Contractor) with Prime Contractor with Sub Contractor

Q122: MDOT's DBE program policies and procedures are clear to me.

- Interacting MDOT employees, primes, and subcontractors are higher than are Non-interacting MDOT employees.
- Subcontractors are higher than are Interacting MDOT Employees.

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Q123: *I believe there is a need for the DBE program.*

- Subcontractors are higher than are Non-interacting MDOT employees
- Primes and Subcontractors are higher than are Interacting MDOT employees.

Q124: *I understand my role in ensuring that the state meets its DBE program goals.*

- Interacting MDOT employees are higher than are Non-interacting MDOT employees.
- Primes and Subcontractors are higher than are Interacting MDOT employees and Non-interacting MDOT employees.

Q140: *MDOT is effective when communicating information about the DBE program.*

- Primes and Subcontractors are higher than are Interacting MDOT employees and Non-interacting MDOT employees.

Q16: *Within the last three years, have you participated in DBE program training from MDOT?*

- Subcontractors are more likely to have attended training than are Interacting MDOT employees.
- Primes, Subcontractors, and Interacting MDOT employees are more likely to have attended training than are Non-interacting MDOT employees.

MDOT Interacting(Contractor) with MDOT Non-interacting(Contractor) with Prime Contractor with Sub Contractor		N	Mean
q14 I understand that Michigan’s DBE program is a / requirement for receiving federal Department of Transp...	MDOT Interacting Contractor	330	3.68
	MDOT Non-interacting Contractor	226	3.45
	Prime Contractor	36	3.72
	Sub-Contractor	83	3.75
	Total	675	3.61
q122 MDOT’s DBE program policies and procedures are / clear to me.	MDOT Interacting Contractor	330	3.12
	MDOT Non-interacting Contractor	226	2.56
	Prime Contractor	36	3.58
	Sub-Contractor	83	3.70
	Total	675	3.03
q123 I believe there is a need for the DBE program.	MDOT Interacting Contractor	330	3.17
	MDOT Non-interacting Contractor	226	3.21
	Prime Contractor	36	3.89
	Sub-Contractor	83	4.45
	Total	675	3.38
q124 I understand my role in ensuring that the state / meets its DBE program goals.	MDOT Interacting Contractor	330	3.24
	MDOT Non-interacting Contractor	226	2.66
	Prime Contractor	36	4.22
	Sub-Contractor	83	3.84
	Total	675	3.17
q126 I believe the appropriate incentives	MDOT Interacting Contractor	326	3.18

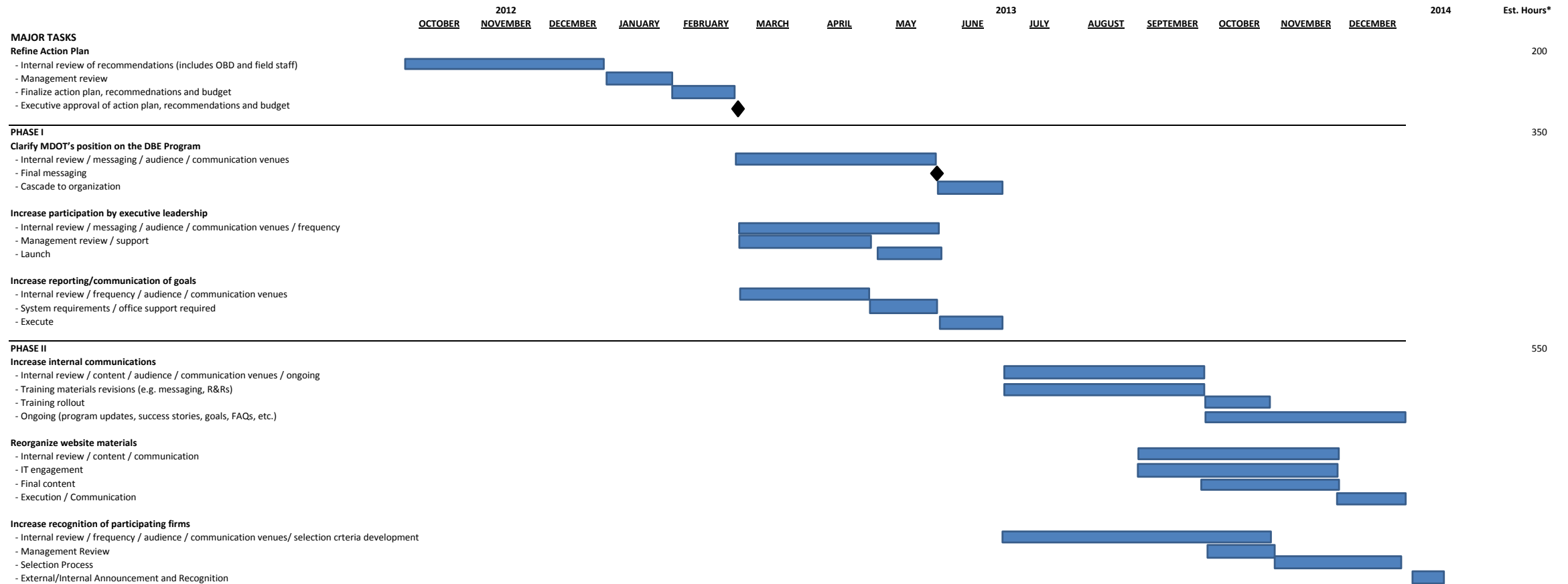
MDOT DBE Program Communications Findings – Final Report

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Appendix 8

exist to / encourage prime contractors to meet their DBE goals.	MDOT Non-interacting Contractor	221	3.01
	Prime Contractor	36	3.25
	Sub Contractor	83	2.99
	Total	666	3.10
q128 I believe MDOT's field/project engineers provide / the appropriate level of support for the DBE Progra...	MDOT Interacting Contractor	326	3.22
	MDOT Non-interacting Contractor	221	3.12
	Prime Contractor	36	3.03
	Sub-Contractor	83	3.30
Total	666	3.19	
q129 I believe MDOT's regional DBE field technicians are / an effective resource for resolving issues relat...	MDOT Interacting Contractor	326	3.29
	MDOT Non-interacting Contractor	221	3.07
	Prime Contractor	36	3.11
	Sub-Contractor	83	3.39
Total	666	3.22	
q140 MDOT is effective when communicating information / about the DBE Program.	MDOT Interacting Contractor	325	2.99
	MDOT Non-interacting Contractor	220	2.73
	Prime Contractor	36	3.61
	Sub-Contractor	81	3.80
Total	662	3.04	
q16 Within the last three years, have you / participated in DBE program training from MDOT?	MDOT Interacting Contractor	325	1.68
	MDOT Non-interacting Contractor	220	1.92
	Prime Contractor	36	1.50
	Sub-Contractor	82	1.33
Total	663	1.71	
q141 The / DBE training I received was valuable to me.	MDOT Interacting Contractor	105	3.49
	MDOT Non-interacting Contractor	17	3.65
	Prime Contractor	11	3.36
	Sub-Contractor	35	4.09
Total	168	3.62	

Figure 19: MDOT DBE Program - Internal Communication Action Plan



*Assumes small team (4-5) lead by 1-2 people with additional stakeholder (10-20) input as needed