

Humboldt County Disadvantaged Business Enterprise Program 2014

For the County of Humboldt, hereinafter referred to as “Recipient.” The use of personal pronouns “we” and “our”, refer to the County of Humboldt, its officials or employees.

Section 26.1, 26.23 Objectives/Policy Statement

The **Recipient** has established a Disadvantaged Business Enterprise (DBE) Program in accordance with regulations of the U.S. Department of Transportation (DOT), 49 CFR Part 26. The **Recipient** has received Federal financial assistance from the Department of Transportation, and as a condition of receiving this assistance, the **Recipient** has signed an assurance that it will comply with 49 CFR Part 26.

It is the policy of the **Recipient** to ensure that DBEs as defined in Part 26, have an equal opportunity to receive and participate in DOT–assisted contracts. It is also our policy:

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

The **Director of Public Works** has been delegated as the **Federal Aviation Administration (FAA)** DBE Liaison Officer. In that capacity, **the Director of Public Works** is responsible for implementing all aspects of the **FAA** DBE program. Implementation of the DBE program is accorded the same priority as compliance with all other legal obligations incurred by the **Recipient** in its financial assistance agreements with the **Federal Aviation Administration**.

Recipient has disseminated this policy statement to the **Humboldt County Board of Supervisors** and all of the components of our organization. We have distributed this statement to DBE and non-DBE business communities that perform work for us on DOT-assisted contracts **as posted on the County web-sight and at the airport’s business offices at the Arcata-Eureka Airport.**

Phillip Smith-Hanes, County Administrative Officer

Date

SUBPART A – GENERAL REQUIREMENTS

Section 26.1 Objectives

The objectives are found in the policy statement on the first page of this program.

Section 26.3 Applicability

The **Recipient** is the recipient of Federal airport funds authorized by 49 U.S.C. 47101, *et seq.*

Section 26.5 Definitions

The **Recipient** will use terms in this program that have the meaning defined in Section 26.5.

Section 26.7 Non-discrimination Requirements

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

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

Section 26.11 Record Keeping Requirements

Reporting to DOT: 26.11

(b) **The Recipient must** continue to provide data about **the** DBE Program to the Department as directed by DOT operating administrations.

The Recipient will report DBE participation to DOT/FAA as follows:

The Recipient will transmit to FAA annually on December 1, the “Uniform Report of DBE Awards or Commitments and Payments” form, found in Appendix B to this part. **The Recipient** will also report the DBE Contractor firms contact information either on the FAA DBE Contractor’s Form or other similar format.

The Recipient may transmit the information electronically via DOORS at
<http://osdbu.dot.gov/DOORS/Application/logon.aspx>

Bidders List: 26.11(c)

The **Recipient** will create and maintain a bidders list. The purpose of the list is to provide as accurate data as possible about the universe of DBE and non-DBE contractors and subcontractors who seek to work on **its** DOT-assisted contracts for use in helping to set **its**

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overall goals. The bidders list will include the name, address, DBE and non-DBE status, age of firm, and annual gross receipts of firms.

We will collect this information in the following ways:

By requiring California Department of Transportation (Caltrans) Exhibit 12-B Bidder's List of Subcontractors (DBE and Non-DBE), or its equivalent to be submitted with all requests for bids and/or proposals for construction contracts.

Section 26.13 Federal Financial Assistance Agreement

The **Recipient** has signed the following assurances, applicable to all DOT-assisted contracts and their administration:

Assurance: 26.13(a) - Each financial assistance agreement you sign with a DOT operating administration (or a primary recipient) must include the following assurance:

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

Contract Assurance: 26.13b

The **Recipient** will ensure that the following clause is included in each contract we sign with a contractor and each subcontract the prime contractor signs with a subcontractor:

The contractor, sub recipient, or subcontractor shall not discriminate on the basis of race, color, national origin, or sex in the performance of this contract. The contractor shall carry out applicable requirements of 49 CFR Part 26 in the award and administration of DOT-assisted contracts. Failure by the contractor to carry out these requirements is a material breach of this contract, which may result in the termination of this contract or such other remedy as the **Recipient** deems appropriate.

SUBPART B - ADMINISTRATIVE REQUIREMENTS

Section 26.21 DBE Program Updates

The **Recipient** will receive grant(s) for airport planning or development totaling \$250,000 in a Federal fiscal year. We will continue to carry out this DBE Program until all funds from DOT

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financial assistance have been expended. We will provide to DOT updates representing significant changes in the program for approval.

The **Recipient** is not eligible to receive DOT financial assistance unless DOT has approved our DBE Program and we are in compliance with it and this part. We will continue to carry out our program until all funds from DOT financial assistance have been expended.

Section 26.23 Policy Statement

The Policy Statement is elaborated on the first page of this DBE Program.

Section 26.25 DBE Liaison Officer (DBELO)

The **Recipient has** designated the following individual as the **FAA** DBE Liaison Officer:

*Director of Public Works
1106 Second Street,
Eureka, CA 95501-0579
(707) 839-5401
Fax (707) 839-3596
TMattson@co.humboldt.ca.us*

In that capacity, the DBELO is responsible for implementing all aspects of the DBE program and ensuring that the **Recipient** complies with all provision of 49 CFR Part 26. The DBELO has direct, independent access to the *Humboldt County Chief Administrative Officer* concerning DBE program matters. An organization chart displaying the DBELO's position in the organization is found in **Attachment 1** to this program.

The DBELO is responsible for developing, implementing and monitoring the DBE program, in coordination with other appropriate officials. **The DBELO has direct supervisory control over airport staff and access to Humboldt County Department of Public Works staff, County Administrative Staff, including County Counsel, as well as access to consulting legal or engineering firms to assist in the administration of the program.** The duties and responsibilities include the following:

1. Gathers and reports statistical data and other information as required by DOT.
2. Reviews third party contracts and purchase requisitions for compliance with this program.
3. Works with all departments to set overall annual goals.
4. Ensures that bid notices and requests for proposals are available to DBEs in a timely manner.
5. Identifies contracts and procurements so that DBE goals are included in solicitations (both race-neutral methods and contract specific goals) and monitors results.
6. Analyzes **Recipient's** progress toward attainment and identifies ways to improve progress.
7. Participates in pre-bid meetings.
8. Advises the CEO\governing body on DBE matters and achievement.
9. Determine contractor compliance with good faith efforts.
10. Provides outreach to DBEs and community organizations to advise them of opportunities.

11. **Assists in the Maintenance** of Recipient's updated directory on certified DBEs.

Section 26.27 DBE Financial Institutions

It is the policy of the *Recipient* to investigate the full extent of services offered by financial institutions owned and controlled by socially and economically disadvantaged individuals in the community, to make reasonable efforts to use these institutions, and to encourage prime contractors on DOT-assisted contracts to make use of these institutions. Information on the availability of such institutions can be obtained from the DBELO. The Caltrans' Disadvantaged Business Enterprise Program may offer assistance to the DBELO.

Section 26.29 Prompt Payment Mechanisms

The *Recipient* will include the following clause in each DOT-assisted prime contract:

A prime contractor or subcontractor shall pay to any subcontractor not later than 10-days of receipt of each progress payment, in accordance with the provision in Section 7108.5 of the California Business and Professions Code concerning prompt payment to subcontractors. The 10-days is applicable unless a longer period is agreed to in writing. Any delay or postponement of payment over 30-days may take place only for good cause and with the Recipient's prior written approval. Any violation of Section 7108.5 shall subject the violating contractor or subcontractor to the penalties, sanctions, and other remedies of that Section. This requirement shall not be construed to limit or impair any contractual, administrative, or judicial remedies, otherwise available to the contractor or subcontractor in the event of a dispute involving late payment or nonpayment by the contractor, deficient subcontractor performance, and/or noncompliance by a subcontractor. This clause applies to both DBE and non-DBE subcontractors.

In order to comply with 49 CFR 26.29, Recipient will:

Decline to hold retainage from prime contractors and prohibit prime contractors from holding retainage from subcontractors.

Recipient will consider a subcontractor's work is satisfactorily completed when all the tasks called for in the subcontract have been accomplished and documented as required by the *Recipient*. When *Recipient* has made an incremental acceptance of a portion of a prime contract, the work of a subcontractor covered by that acceptance is deemed to be satisfactorily completed.

Recipient will provide appropriate means to enforce the requirements of this section. These means include (to be included in the contract):

No retainage will be held by the agency from progress payments due to the prime contractor. Prime contractors and subcontractors are prohibited from holding retainage from subcontractors. Any delay or postponement of payment may take place only for good cause and with the agency's prior written approval. Any violation of these provisions shall subject the violating contractor or subcontractor to the penalties, sanctions, and other remedies specified in Section 7108.5 of the California Business and Professions Code. This requirement shall not be construed to limit or impair any contractual, administrative, or judicial remedies, otherwise available to the contractor or subcontractor in the event of a dispute involving late payment or nonpayment by the

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contractor, deficient subcontractor performance, and/or noncompliance by a subcontractor. This clause applies to both DBE and non-DBE subcontractors.

Section 26.31 Directory

The **Recipient** uses the State of California DBE directory, maintained by the State. The directory lists the firm's name, address, phone number, date of the most recent certification, and the type of work the firm has been certified to perform as a DBE. In addition, the directory lists each type of work for which a firm is eligible to be certified by using the most specific NAICS code available to describe each type of work.

The State of California revises the Directory **Daily**. The Directory may be found at:

http://www.dot.ca.gov/hq/bep/find_certified.htm

Section 26.33 Over-concentration

Recipient has not identified that over-concentration exists in the types of work that DBEs perform.

Section 26.35 Business Development Programs

Recipient has not established a business development program.

Section 26.37 Monitoring and Enforcement Mechanisms

The **Recipient** will take the following monitoring and enforcement mechanisms to ensure compliance with 49 CFR Part 26.

1. We will bring to the attention of the Department of Transportation any false, fraudulent, or dishonest conduct in connection with the program, so that DOT can take the steps (e.g., referral to the Department of Justice for criminal prosecution, referral to the DOT Inspector General, action under suspension and debarment or Program Fraud and Civil Penalties rules) provided in 26.107.
2. We will implement a monitoring and enforcement mechanism to ensure that work committed to DBEs at contract award or subsequently (i.e., as the result of modification to the contract) is actually performed by the DBEs to which the work was committed.
3. We will implement a monitoring and enforcement mechanism that will include written certification that we have reviewed contracting records and monitored work sites for this purpose. This will be accomplished by review of the contract proposal and subsequent work by the resident engineer or appointed contracting officer's representative
4. We will implement a mechanism that will provide for a running tally of actual DBE attainments (e.g., payment actually made to DBE firms), including a means of comparing

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these attainments to commitments. In our reports of DBE participation to DOT, we will show both commitments and attainments, as required by the DOT uniform reporting form.

Section 26.39 Fostering small business participation.

The **Recipient will structure the** contracting requirements to facilitate competition by small business concerns, taking all reasonable steps to eliminate obstacles to their participation, including unnecessary and unjustified bundling of contract requirements that may preclude small business participation in procurements as prime contractors or subcontractors.

SUBPART C – GOALS, GOOD FAITH EFFORTS, AND COUNTING

Section 26.43 Set-asides or Quotas

The **Recipient** does not use quotas in any way in the administration of this DBE program.

Section 26.45 Overall Goals

The **Recipient** will establish an overall DBE goal covering a three-year federal fiscal year period if we anticipate awarding FAA funded prime contracts exceeding \$250,000 during any one or more of the reporting fiscal years within the three-year goal period. In accordance with Section 26.45(f) the **Recipient** will submit its Overall Three-year DBE Goal to FAA by August 1 or as required by Attachment 7.

DBE goals will be established for those fiscal years we anticipate awarding DOT-assisted prime contracts exceeding \$250,000 during the three-year period. The DBE goals will be established in accordance with the 2-step process as specified in 49 CFR Part 26.45. If the **Recipient** does not anticipate awarding more than \$250,000 in DOT-assisted prime contracts during any of the years within the three-year reporting period, we will not develop an overall goal; however this DBE Program will remain in effect and the **Recipient** will seek to fulfill the objectives outlined in 49 CFR Part 26.1.

The first step is to determine the relative availability of DBEs in the market area, “base figure”. The second step is to adjust the “base figure” percentage from Step 1 so that it reflects as accurately as possible the DBE participation the recipient would expect in the absence of discrimination based on past participation, a disparity study and/or information about barriers to entry to past competitiveness of DBEs on projects.

In establishing the overall goal, **Recipient** will consult with minority, women’s and general contractor groups, community organizations, and other officials or organizations to obtain information concerning the availability of disadvantaged and non-disadvantaged businesses, the effects of discrimination on opportunities for DBEs, and the **Recipient’s** efforts to establish a level playing field for the participation of DBEs.

Following this consultation, we will publish a notice of the proposed overall goals, informing the public that the proposed goal and its rationale are available for inspection during normal business hours at **The Department of Public Works office, 1106 Second Street, Eureka** for 30 days following the date of the notice, and informing the public that the **Recipient** and DOT/FAA will accept comments on the goals for 45 days from the date of the notice. Notice will be issued in general circulation media and available minority- focus media and trade publications,

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websites. Normally, we will issue this notice by June 1 of the reporting period of the goal. The notice will include addresses to which comments may be sent and addresses where the proposal may be reviewed.

Our Overall Three-Year DBE Goal submission to DOT/FAA will include a summary of information and comments received, if any, during this public participation process and our responses.

We will begin using our overall goal on October 1 of the reporting period, unless we have received other instructions from DOT. If we establish a goal on a project basis, we will begin using our goal by the time of the first solicitation for a DOT-assisted contract for the project.

A description of the methodology to calculate the overall goal and the goal calculations can be found in **Attachment 2** to this program.

Section 26.47 Failure to meet overall goals.

The **Recipient** will maintain an approved DBE Program and overall DBE goal, if applicable as well as administer our DBE Program in good faith to be considered to be in compliance with this part.

If the **Recipient** awards and commitments shown on our Uniform Report of Awards or Commitments and Payments at the end of any fiscal year are less than the overall goal applicable to that fiscal year, we will do the following in order to be regarded by the Department as implementing your DBE Program in good faith:

- (1) Analyze in detail the reasons for the difference between the overall goal and our awards and commitments in that fiscal year;
- (2) Establish specific steps and milestones to correct the problems we have identified in our analysis and to enable us to meet fully your goal for the new fiscal year;
- (3) Recipient will submit, within 90 days of the end of the fiscal year, the analysis and corrective actions developed under paragraphs (c) (1) and (2) of this section to the FAA for approval.

Section 26.51(a-c) Breakout of Estimated Race-Neutral & Race-Conscious Participation

The breakout of estimated race-neutral and race-conscious participation can be found in the **Attachment A** to this program.

Section 26.51(d-g) Contract Goals

The **Recipient** will arrange solicitations, times for the presentation of bids, quantities, specifications, and delivery schedules in ways that facilitate participation by DBEs and other small businesses and by making contracts more accessible to small businesses, by means such as those provided under § 26.39..

If our approved projection under paragraph (c) of this section estimates that we can meet our entire overall goal for a given year through race-neutral means, we will implement our program

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without setting contract goals during that year, unless it becomes necessary in order meet our overall goal.

We will establish contract goals only on those DOT-assisted contracts that have subcontracting possibilities. We need not establish a contract goal on every such contract, and the size of contract goals will be adapted to the circumstances of each such contract (e.g., type and location of work, availability of DBEs to perform the particular type of work.)

We will express our contract goals as a percentage of **the total amount of a DOT-assisted contract.**

Section 26.53 Good Faith Efforts Procedures

Demonstration of good faith efforts (26.53(a) & (c))

The obligation of the bidder/offeror is to make good faith efforts. The bidder/offeror can demonstrate that it has done so either by meeting the contract goal or documenting good faith efforts. Examples of good faith efforts are found in Appendix A to Part 26.

The DBELO is responsible for determining whether a bidder/offeror who has not met the contract goal has documented sufficient good faith efforts to be regarded as **Responsive.**

We will ensure that all information is complete and accurate and adequately documents the bidder/offeror's good faith efforts before we commit to the performance of the contract by the bidder/offeror.

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Information to be submitted (26.53(b))

Recipient treats bidder/offers' compliance with good faith efforts' requirements as a matter of **Responsibility**.

Responsibility- Each solicitation for which a contract goal has been established will require the lowest, second lowest and third lowest bidders/offers to submit the following information within **four (4)** business days of being notified that they are the successful bidders, but before the contract is executed:

1. The names and addresses of DBE firms that will participate in the contract;
2. A description of the work that each DBE will perform;
3. The dollar amount of the participation of each DBE firm participating;
4. Written and signed documentation of commitment to use a DBE subcontractor whose participation it submits to meet a contract goal;
5. Written and signed confirmation from the DBE that it is participating in the contract as provided in the prime contractors commitment and
6. If the contract goal is not met, evidence of good faith efforts.

Administrative reconsideration (26.53(d))

Within **four (4)** business days of being informed by Recipient that it is not **Responsible** because it has not documented sufficient good faith efforts, a bidder/offers may request administrative reconsideration. Bidder/offers should make this request in writing to the following reconsideration official: **Director of Public Works at 1106 Second Street, Eureka, CA 95501 (Fax: (707) 445-7409)**. The reconsideration official will not have played any role in the original determination that the bidder/offers did not document sufficient good faith efforts.

As part of this reconsideration, the bidder/offers will have the opportunity to provide written documentation or argument concerning the issue of whether it met the goal or made adequate good faith efforts to do so. The bidder/offers will have the opportunity to meet in person with our reconsideration official to discuss the issue of whether it met the goal or made adequate good faith efforts to do. We will send the bidder/offers a written decision on reconsideration, explaining the basis for finding that the bidder did or did not meet the goal or make adequate good faith efforts to do so. The result of the reconsideration process is not administratively appealable to the Department of Transportation.

Good Faith Efforts when a DBE is replaced on a contract (26.53(f))

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

In this situation, we will require the prime contractor to obtain our prior approval of the substitute DBE and to provide copies of new or amended subcontracts, or documentation of good faith efforts.

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We will provide such written consent only if we agree, for reasons stated in our concurrence document, that the prime contractor has good cause to terminate the DBE firm. For purposes of this paragraph, good cause includes the following circumstances:

- (1) The listed DBE subcontractor fails or refuses to execute a written contract;
- (2) The listed DBE subcontractor fails or refuses to perform the work of its subcontract in a way consistent with normal industry standards. Provided however, that good cause does not exist if the failure or refusal of the DBE subcontractor to perform its work on the subcontract results from the bad faith or discriminatory action of the prime contractor;
- (3) The listed DBE subcontractor fails or refuses to meet the prime contractor's reasonable, non-discriminatory bond requirements.
- (4) The listed DBE subcontractor becomes bankrupt, insolvent, or exhibits credit unworthiness;
- (5) The listed DBE subcontractor is ineligible to work on public works projects because of suspension and debarment proceedings pursuant to 2 CFR Parts 180, 215 and 1,200 or applicable state law;
- (6) We have determined that the listed DBE subcontractor is not a responsible contractor;
- (7) The listed DBE subcontractor voluntarily withdraws from the project and provides to us written notice of its withdrawal;
- (8) The listed DBE is ineligible to receive DBE credit for the type of work required;
- (9) A DBE owner dies or becomes disabled with the result that the listed DBE contractor is unable to complete its work on the contract;
- (10) Other documented good cause that we have determined compels the termination of the DBE subcontractor. Provided, that good cause does not exist if the prime contractor seeks to terminate a DBE it relied upon to obtain the contract so that the prime contractor can self-perform the work for which the DBE contractor was engaged or so that the prime contractor can substitute another DBE or non-DBE contractor after contract award.

Before transmitting to us its request to terminate and/or substitute a DBE subcontractor, the prime contractor must give notice in writing to the DBE subcontractor, with a copy to us, of its intent to request to terminate and/or substitute, and the reason for the request.

The prime contractor must give the DBE five days to respond to the prime contractor's notice and advise us and the contractor of the reasons, if any, why it objects to the proposed termination of its subcontract and why we should not approve the prime contractor's action. If required in a particular case as a matter of public necessity (*e.g.*, safety), we may provide a response period shorter than five days.

In addition to post-award terminations, the provisions of this section apply to pre-award deletions of or substitutions for DBE firms put forward by offerors in negotiated procurements.

If the contractor fails or refuses to comply in the time specified, our contracting office will issue an order stopping all or part of payment/work until satisfactory action has been taken. If the contractor still fails to comply, the contracting officer may issue a termination for default proceeding.

Section 26.55 Counting DBE Participation

We will count DBE participation toward overall and contract goals as provided in 49 CFR 26.55. We will not count the participation of a DBE subcontract toward a contractor's final compliance with its DBE obligations on a contract until the amount being counted has actually been paid to the DBE.

SUBPART D – CERTIFICATION STANDARDS

Section 26.61 – 26.73 Certification Process

It is the Bidder's responsibility to verify that the DBE firm is certified as DBE at date of bid opening. A list of DBEs certified by the California Unified Certification Program as well as information on how to become a certified DBE is available at:

http://www.dot.ca.gov/hq/bep/find_certified.htm

SUBPART F – COMPLIANCE AND ENFORCEMENT

Section 26.109 Information, Confidentiality, Cooperation

We will safeguard from disclosure to third parties information that may reasonably be regarded as confidential business information, consistent with Federal, state, and local law.

Monitoring Payments to DBEs

We will require prime contractors to maintain records and documents of payments to DBEs for three years following the performance of the contract. These records will be made available for inspection upon request by any authorized representative of the Recipient or DOT. This reporting requirement also extends to any certified DBE subcontractor.

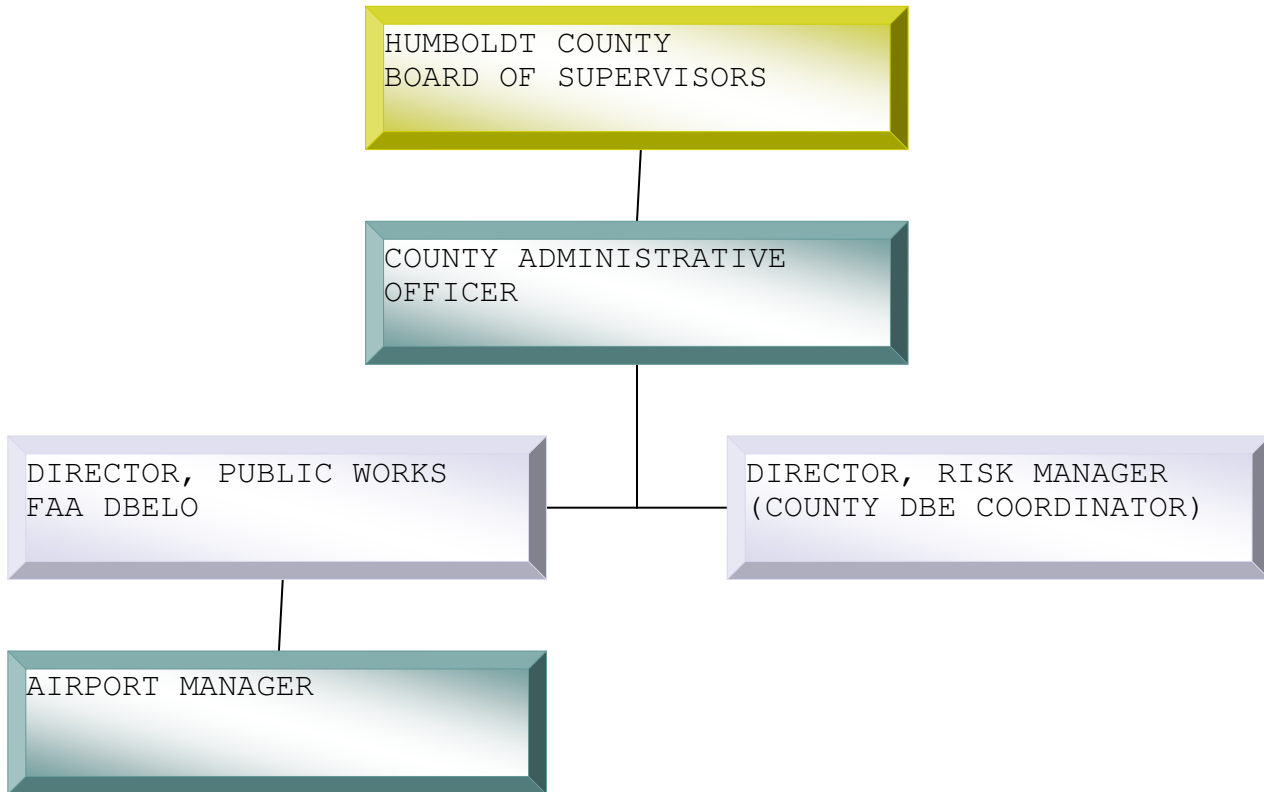
We will perform interim audits of contract payments to DBEs. The audit will review payments to DBE subcontractors to ensure that the actual amount paid to DBE subcontractors equals or exceeds the dollar amounts stated in the schedule of DBE participation.

ATTACHMENTS

- Attachment 1 Organizational Chart
- Attachment 2 Bidder's List Collection Form (Caltrans list of subcontractors Part 1 & 2)
- Attachment 3 Demonstration of Good Faith Efforts or Good Faith Effort Plan - Form 1 & 2
- Attachment 4 Exhibit 15-H (Caltrans) DBE Information – Good Faith Efforts
- Attachment 5 Overall Goal Calculations
- Attachment 6 Public Participation
- Attachment 7 DBE Goal Scheduled Submittals

ATTACHMENT 1

Organizational Chart



LIST OF SUBCONTRACTORS (DBE and NON-DBE) - PART I

PROJECT NUMBER

The bidder shall list all subcontractors in accordance with Title 49, Section 26.11 of the Code of Federal Regulations. **Photocopy this form for additional firms.**

Firm Name/ Address/ City, State, ZIP	Phone/ Fax	Annual Gross Receipts	Description of Portion of Work to be Performed	Local Agency Use Only (Certified DBE?)
<i>Name</i>	<i>Phone</i>	< \$1 million		<input type="checkbox"/> YES
		< \$5 million		<input type="checkbox"/> NO
<i>Address</i>	<i>Fax</i>	< \$10 million		If YES, DBE#
		< \$15 million		
<i>City State ZIP</i>		> \$15 million		Age of Firm
<i>Name</i>	<i>Phone</i>	< \$1 million		<input type="checkbox"/> YES
		< \$5 million		<input type="checkbox"/> NO
<i>Address</i>	<i>Fax</i>	< \$10 million		If YES, DBE#
		< \$15 million		
<i>City State ZIP</i>		> \$15 million		Age of Firm
<i>Name</i>	<i>Phone</i>	< \$1 million		<input type="checkbox"/> YES
		< \$5 million		<input type="checkbox"/> NO
<i>Address</i>	<i>Fax</i>	< \$10 million		If YES, DBE#
		< \$15 million		
<i>City State ZIP</i>		> \$15 million		Age of Firm
<i>Name</i>	<i>Phone</i>	< \$1 million		<input type="checkbox"/> YES
		< \$5 million		<input type="checkbox"/> NO
<i>Address</i>	<i>Fax</i>	< \$10 million		If YES, DBE#
		< \$15 million		
<i>City State ZIP</i>		> \$15 million		Age of Firm

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LIST OF SUBCONTRACTORS (DBE and NON-DBE)- PART II

PROJECT NUMBER

The bidder shall list all subcontractors who provided a quote or bid **but were not selected to participate as a subcontractor** on this project. This is required for compliance with Title 49, Section 26 of the Code of Federal Regulations. **Photocopy this form for additional firms.**

Firm Name/ Address/ City, State, ZIP	Phone/ Fax	Annual Gross Receipts	Description of Portion of Work to be Performed	Local Agency Use Only (Certified DBE?)
<i>Name</i>	<i>Phone</i>	< \$1 million		<input type="checkbox"/> YES
		< \$5 million		<input type="checkbox"/> NO
<i>Address</i>	<i>Fax</i>	< \$10 million		If YES, DBE#
		< \$15 million		
<i>City State ZIP</i>		> \$15 million		Age of Firm
<i>Name</i>	<i>Phone</i>	< \$1 million		<input type="checkbox"/> YES
		< \$5 million		<input type="checkbox"/> NO
<i>Address</i>	<i>Fax</i>	< \$10 million		If YES, DBE#
		< \$15 million		
<i>City State ZIP</i>		> \$15 million		Age of Firm
<i>Name</i>	<i>Phone</i>	< \$1 million		<input type="checkbox"/> YES
		< \$5 million		<input type="checkbox"/> NO
<i>Address</i>	<i>Fax</i>	< \$10 million		If YES, DBE#
		< \$15 million		
<i>City State ZIP</i>		> \$15 million		Age of Firm
<i>Name</i>	<i>Phone</i>	< \$1 million		<input type="checkbox"/> YES
		< \$5 million		<input type="checkbox"/> NO
<i>Address</i>	<i>Fax</i>	< \$10 million		If YES, DBE#
		< \$15 million		
<i>City State ZIP</i>		> \$15 million		Age of Firm

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ATTACHMENT 3

Demonstration of Good Faith Efforts - Forms 1 & 2

[Forms 1 and 2 *will* be provided as part of the solicitation documents.]

FORM 1: DISADVANTAGED BUSINESS ENTERPRISE (DBE) UTILIZATION

The undersigned bidder/offeror has satisfied the requirements of the bid specification in the following manner (please check the appropriate space):

_____ The bidder/offeror is committed to a minimum of _____ % DBE utilization on this contract.

_____ The bidder/offeror (if unable to meet the DBE goal of _____%) is committed to a minimum of _____% DBE utilization on this contract and **must submit Exhibit 15-H documenting** good faith efforts.

Name of bidder/offeror's firm: _____

State Registration No. _____

By _____ Title _____
(Signature)

FORM 2: LETTER OF INTENT

Name of bidder/offeror's firm: _____

Address: _____

City: _____ State: _____ Zip: _____

Name of DBE firm: _____

Address: _____

City: _____ State: _____ Zip: _____

Telephone: _____

Description of work to be performed by DBE firm:

The bidder/offeror is committed to utilizing the above-named DBE firm for the work described above. The estimated dollar value of this work is \$ _____.

Affirmation

The above-named DBE firm affirms that it will perform the portion of the contract for the estimated dollar value as stated above and that the firm is DBE certified to perform the specific trades.

By _____
(Signature)

Date: _____

(Title)

If the bidder/offeror does not receive award of the prime contract, any and all representations in this Letter of Intent and Affirmation shall be null and void.

[Submit this page for each DBE subcontractor.]

**ATTACHMENT 4
EXHIBIT 15-H DBE INFORMATION – GOOD FAITH EFFORTS**

The County of Humboldt established a Disadvantaged Business Enterprise (DBE) goal of **XXXX%** for this project. The information provided herein shows that a good faith effort was made.

Lowest, second lowest and third lowest bidders shall submit the following information to document adequate good faith efforts. Bidders should submit the following information even if the “Local Agency Bidder DBE Commitment” form indicates that the bidder has met the DBE goal. This will protect the bidder’s eligibility for award of the contract if the administering agency determines that the bidder failed to meet the goal for various reasons, e.g., a DBE firm was not certified at bid opening, or the bidder made a mathematical error.

Submittal of only the “Local Agency Bidder DBE Commitment” form may not provide sufficient documentation to demonstrate that adequate good faith efforts were made.

The following items are listed in the Section entitled “Submission of DBE Commitment” of the Special Provisions:

- A. The names and dates of each publication in which a request for DBE participation for this project was placed by the bidder (please attach copies of advertisements or proofs of publication):

Publications	Dates of Advertisement
_____	_____
_____	_____
_____	_____

- B. The names and dates of written notices sent to certified DBEs soliciting bids for this project and the dates and methods used for following up initial solicitations to determine with certainty whether the DBEs were interested (please attach copies of solicitations, telephone records, fax confirmations, etc.):

Names of DBEs Solicited	Date of Initial Solicitation	Follow Up Methods and Dates
_____	_____	_____
_____	_____	_____
_____	_____	_____

- C. The items of work which the bidder made available to DBE firms including, where appropriate, any breaking down of the contract work items (including those items normally performed by the bidder with its own forces) into economically feasible units to facilitate DBE participation. It is the bidder's responsibility to demonstrate that sufficient work to facilitate DBE participation was made available to DBE firms.

Items of Work	Bidder Normally Performs Item (Y/N)	Breakdown of Items	Amount (\$)	Percentage Of Contract
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____

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- D. The names, addresses and phone numbers of rejected DBE firms, the reasons for the bidder's rejection of the DBEs, the firms selected for that work (please attach copies of quotes from the firms involved), and the price difference for each DBE if the selected firm is not a DBE:

Names, addresses and phone numbers of rejected DBEs and the reasons for the bidder's rejection of the DBEs:

Names, addresses and phone numbers of firms selected for the work above:

- E. Efforts made to assist interested DBEs in obtaining bonding, lines of credit or insurance, and any technical assistance or information related to the plans, specifications and requirements for the work which was provided to DBEs:

- F. Efforts made to assist interested DBEs in obtaining necessary equipment, supplies, materials or related assistance or services, excluding supplies and equipment the DBE subcontractor purchases or leases from the prime contractor or its affiliate:

- G. The names of agencies, organizations or groups contacted to provide assistance in contacting, recruiting and using DBE firms (please attach copies of requests to agencies and any responses received, i.e., lists, Internet page download, etc.):

Name of Agency/Organization	Method/Date of Contact	Results

- H. Any additional data to support a demonstration of good faith efforts (use additional sheets if necessary):

NOTE: USE ADDITIONAL SHEETS OF PAPER IF NECESSARY.

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ATTACHMENT 5

Section 26.45: Overall DBE Three-Year Goal Methodology

Name of Recipient: Humboldt County Department of Public Works, Aviation Division

Goal Period: October 1, 2013 through September 30, 2016 (Federal FY-2014/16)

DOT-assisted contract amount: FY-20XX _____
FY-20XX _____
FY-20XX _____

Total _____

Overall Three-Year Goal: _____%, to be accomplished through ___% RC and ___% RN
(Note: the goal is a weighted percentage based upon the programmed contract amounts for each year)

Total dollar amount to be expended on DBE's: _____

Describe the Number and Type of Projects that the airport anticipates awarding:

Projects Fiscal Year #1

1. i.e. *Apron Rehabilitation - \$30,000,000*
2. i.e. *Electrical Upgrade – \$4,700,000*
- 3.

Projects Fiscal Year #2

- 1.
- 2.
- 3.

Projects Fiscal Year #3

- 1.
- 2.
- 3.

Market Area: The County of Humboldt maintains a bidder's list of prime contractors and subcontractors that have bid on Federal and State construction projects within the past ten years. Of the 134 contractors on the 2014 bidder's list, the majority of the contractors are from Humboldt County though many subcontractors are located in the adjoining counties (Del Norte, Trinity, Shasta, and Mendocino). The total size of the market area (five counties) is over 15,000 square miles or nearly twice the size of Los Angeles and San Diego Counties combined.

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Step 1. Analysis: Actual relative availability of DBE's

The Department of Public Works has used Caltrans' CALBE work codes on its contracts for over twenty years. That is; each contract bid item has both a numeric and a description code that corresponds to sections within Caltrans' Standard Specifications. NAICS item codes have a corresponding CALBE work code as shown below:

NAICS/CALBE CORRESPONDANCE TABLE

CALTRANS SECTION	CALBE/CALTRANS	NAICS	DESCRIPTION
Temporary Items	07xxxx	238990	Scaffold erecting and dismantling
Traffic Control w/ Const Signs	12xxxx	237310	Sign erection, highway, roads street or bridge
Existing Facilities	15xxxx	238910	Demolition, building and structure
Clear and Grub	16xxxx	238910	Land clearing
Earthwork	19xxxx	238910	Excavation contractors
Erosion Control	20xxxx	237990	Sediment control system construction
ASB, AB, etc.	22xxxx-29xxxx	237310	Grading, highway, road, street and airport runway
Asphalt Concrete	37xxxx, 39xxxx	237310	Asphalt paving (i.e., highway, road, street, public sidewalk)
Concrete Pavement	40xxxx-42xxxx	237310	Concrete paving (i.e., highway, road, street, public sidewalk)
Piling	49xxxx	238910	Foundation drilling contractors
Prestressed Concrete	50xxxx	238120	Precast concrete panel, slab, or form installation
Structure Concrete	51xxxx, 73xxxx	238120	Structural steel contractors
Reinforcing Steel	52xxxx	238120	Reinforcing rod, bar, mesh and cage installation
Shotcrete, Sealing	53xxxx, 54xxxx	238110	Gunning shotcrete
Steel Structures	55xxxx, 75xxxx	238120	Rebar contractors
Signs	56xxxx	237310	Sign erection, highway, roads street or bridge
Timber Structures	57xxxx	237990	Retaining walls, anchored (e.g., with piles, soil nails, tieback anchors)
Clean, Paint Steel	59xxxx	238120	Structural steel contractors
Pipes, Appurtenances	62xxxx-70xxxx	237310	Culverts, highway, road and street, construction
Slope Protection	72xxxx	237990	Riprap installation
Fencing	80xxxx	238990	Fence installation (except electronic containment fencing for pets)
Monuments	81xxxx	541370	Surveying and Mapping (except Geophysical) Services
Markers, Delineators	82xxxx	237310	Highway line painting
MBGR, Barriers	83xxxx	237310	Guardrail construction
Pavement Striping, Markings	84xxxx, 85xxxx	237310	Painting lines on highways, streets and bridges
Traffic Signals, Lighting	86xxxx	238210	Highway, street and bridge lighting and electrical signal installation
Design Consultants	87xxxx	541330	Engineering Services
Miscellaneous	99xxxx		Mobilization

As noted previously, the Department of Public Works maintains a bidder's list which contains the contractors and subcontractors bid for each (CALBE) contract item. The bidder's list also notes if the contractor/subcontractor is a certified DBE contractor and the Calcert number. The bidder's list is augmented with DBE contractors from the Calcert list that reside in the market area described above. The Calcert database contains information as to which NAICS items that the DBE contractor is available to bid on. This information is used to complete the DBE's information on the bidder's list, a portion of the bidder's list shown below. For example, AC Dike Company of Lincoln, CA is a certified DBE subcontractor (Cert. No. 219, Female, and Caucasian) that bid on a project on 7/1/2011 for work items 19xxx (Excavating & Grading), and 37xxx (Asphalt Paving). For work item, the total number of contractors and DBE contractors is tallied. That is for work item 19xxx, there are a total of 74 contractors of which 17 are DBE contractors. The ratio of DBE contractors per total number of contractors is the DBE Base Figure. For work item 19xxx, this is 17/74 or 23%. Note that for some items there are neither contractors or subcontractors as the Department has not offered contracts containing this item or that there are no DBE contractors available to work on this item.

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Step 2. Analysis: Adjustments to Step 1 base figure.

After calculating a base figure of the relative availability of DBEs, evidence was examined to determine what adjustment (if any) was needed to the base figure in order to arrive at the overall goal. From 2009 to 2012, the total amount awarded for each Calcert item was tallied along with the amount that was awarded to DBE firms. The ratio of DBE dollars awarded to total contract dollars indicates the past participation ratio per Calcert bid item. This is used to reduce the Base Figure. For item number 19xxx, the Base Figure of 23% is reduced has a past participation rate of 26.9% so that the Race Conscious Goal for item number 19xxx is 0.0%. The adjustments to step 1 is shown below.

code_desc	code	code	code	% DBE/TOTAL	Total Awards	DBE AWARDS	Non_DBE AWARDS	DBE 12 AWARDS	Non_DBE 12 AWARDS	DBE 12 AWARDS	Non_DBE 12 AWARDS	DBE 11 AWARDS	Non_DBE 11 AWARDS	DBE 10 AWARDS	Non_DBE 10 AWARDS	DBE 9 AWARDS	Non_DBE 9 AWARDS
Safety, Mat'ls & Supplies	6	60,000	70,000	0.00%	\$ 40,000	\$ -	\$ 40,000	\$0	\$0	\$0	\$0	\$0	\$40,000	\$0	\$0	\$0	\$0
Erosion Mgt. & Preparation	7	70,000	120,000	9.43%	\$ 927,860	\$ 87,529	\$ 840,331	\$7,734	\$18,581	\$36,100	\$20,571	\$10,000	\$639,119	\$8,110	\$137,360	\$25,585	\$24,700
Traffic Cntl/Const Signs	12	120,000	150,000	16.46%	\$ 1,433,138	\$ 235,934	\$ 1,197,204	\$68,770	\$365,120	\$24,412	\$105,074	\$33,232	\$480,610	\$52,150	\$110,390	\$57,370	\$136,010
Remove, Reset, Modify Facilities	15	150,000	160,000	13.48%	\$ 1,039,573	\$ 140,152	\$ 899,421	\$37,625	\$97,378	\$32,220	\$141,168	\$28,446	\$357,124	\$15,661	\$127,322	\$26,200	\$176,429
Clear and Grub	16	160,000	180,000	45.15%	\$ 328,446	\$ 148,300	\$ 180,146	\$88,500	\$74,100	\$7,300	\$6,500	\$17,000	\$57,280	\$15,500	\$13,566	\$20,000	\$28,700
Dust Pallative	18	180,000	190,000	0.00%	\$ -	\$ -	\$ -	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Excavation & Grading	19	190,000	200,000	26.94%	\$ 3,196,458	\$ 861,064	\$ 2,335,394	\$133,620	\$634,060	\$187,837	\$137,313	\$50,055	\$928,003	\$147,605	\$362,038	\$341,947	\$273,980
Erosion Control	20	200,000	220,000	34.89%	\$ 257,933	\$ 90,005	\$ 167,928	\$48,405	\$55,596	\$17,800	\$16,770	\$6,000	\$62,063	\$9,300	\$15,656	\$8,500	\$17,843
Agg. Base, Etc.	22-29	220,000	370,000	15.11%	\$ 1,592,162	\$ 240,632	\$ 1,351,530	\$89,856	\$641,641	\$23,386	\$74,781	\$22,320	\$216,695	\$49,445	\$345,511	\$55,625	\$72,902
HMA Paving & Seal Coats	37,39	370,000	400,000	11.87%	\$ 6,056,480	\$ 718,696	\$ 5,337,784	\$402,428	\$851,928	\$63,455	\$671,193	\$83,080	\$1,228,476	\$72,658	\$1,306,629	\$97,075	\$1,279,558
Concrete Paving & Sealing	40-42	400,000	490,000	0.00%	\$ 345,837	\$ -	\$ 345,837	\$0	\$267,117	\$0	\$78,720	\$0	\$0	\$0	\$0	\$0	\$0
Piling	49	490,000	500,000	16.91%	\$ 930,286	\$ 157,286	\$ 773,000	\$0	\$0	\$157,286	\$0	\$0	\$773,000	\$0	\$0	\$0	\$0
Prestressed Concrete	50	500,000	510,000	0.00%	\$ -	\$ -	\$ -	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Structural Concrete	51	510,000	520,000	44.55%	\$ 1,458,763	\$ 649,851	\$ 808,912	\$4,152	\$7,000	\$365,850	\$3,500	\$20,400	\$787,412	\$0	\$8,600	\$259,449	\$2,400
Reinforcing Steel	52	520,000	530,000	23.00%	\$ 520,290	\$ 119,670	\$ 400,620	\$15,000	\$0	\$69,480	\$6,120	\$0	\$394,500	\$0	\$0	\$35,190	\$0
Shotcrete & Sealing	53,54	530,000	550,000	0.00%	\$ -	\$ -	\$ -	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Steel Structures	55	550,000	560,000	0.00%	\$ 194,840	\$ -	\$ 194,840	\$0	\$0	\$0	\$0	\$0	\$194,840	\$0	\$0	\$0	\$0
Signs (comb 12 & 56)	56	560,000	570,000	13.82%	\$ 74,625	\$ 10,316	\$ 64,309	\$9,516	\$3,634	\$0	\$2,750	\$0	\$0	\$800	\$0	\$0	\$57,925
Timber Structures	57	570,000	590,000	0.00%	\$ 24,120	\$ -	\$ 24,120	\$0	\$0	\$0	\$0	\$0	\$24,120	\$0	\$0	\$0	\$0
Clean, Paint Steel	59	590,000	620,000	0.00%	\$ 150,000	\$ -	\$ 150,000	\$0	\$0	\$0	\$0	\$0	\$150,000	\$0	\$0	\$0	\$0
Pipes, Culverts, Etc.	62-71	620,000	720,000	24.02%	\$ 1,578,746	\$ 379,268	\$ 1,199,478	\$46,240	\$399,913	\$71,480	\$69,374	\$92,885	\$462,681	\$57,798	\$141,871	\$110,865	\$125,639
Slope Protection	72	720,000	730,000	24.40%	\$ 343,164	\$ 83,730	\$ 259,434	\$2,150	\$46,351	\$39,380	\$96,756	\$0	\$38,706	\$7,200	\$48,770	\$35,000	\$28,850
Concrete Curbs & Walks	73	730,000	750,000	40.78%	\$ 1,109,991	\$ 452,697	\$ 657,294	\$331,497	\$180,197	\$0	\$205,101	\$69,600	\$122,340	\$51,600	\$81,001	\$0	\$68,655
Steel Frames & Grates	75	750,000	800,000	14.71%	\$ 69,905	\$ 10,284	\$ 59,621	\$1,060	\$5,200	\$0	\$4,330	\$8,585	\$48,891	\$0	\$0	\$639	\$1,200
Fencing	80	800,000	810,000	9.38%	\$ 42,915	\$ 4,025	\$ 38,890	\$0	\$2,120	\$1,540	\$0	\$0	\$14,020	\$2,485	\$22,750	\$0	\$0
Monuments	81	810,000	820,000	100.00%	\$ 600	\$ 600	\$ -	\$0	\$0	\$600	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Markers, Delineators	82	820,000	830,000	57.03%	\$ 50,847	\$ 29,000	\$ 21,847	\$0	\$8,867	\$0	\$0	\$0	\$9,100	\$29,000	\$3,880	\$0	\$0
MBGR, Barriers	83	830,000	840,000	28.75%	\$ 506,463	\$ 145,611	\$ 360,852	\$14,000	\$64,361	\$52,313	\$0	\$0	\$250,015	\$2,825	\$30,140	\$76,473	\$16,336
Pavement Striping, Markings	84,85	840,000	860,000	13.45%	\$ 279,148	\$ 37,552	\$ 241,597	\$29,272	\$45,651	\$0	\$52,093	\$6,435	\$25,400	\$1,845	\$56,063	\$0	\$62,390
Traf Signals/Lighting	86	860,000	870,000	22.62%	\$ 247,140	\$ 55,900	\$ 191,240	\$38,500	\$0	\$0	\$0	\$17,400	\$155,000	\$0	\$0	\$0	\$36,240
Design Consultants	87	870,000	960,000	0.00%	\$ 4,000	\$ -	\$ 4,000	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$4,000
Trucks, Rentals & Demolition	96, 97	960,000	980,000	0.00%	\$ -	\$ -	\$ -	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Miscellaneous Structures	98	980,000	990,000	0.00%	\$ -	\$ -	\$ -	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Heavy Equip. Rental & Demolition	99	990,000	999,000	0.00%	\$ -	\$ -	\$ -	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Mobilization	999999	999,000	1,000,000	15.27%	\$ 1,389,652	\$ 212,154	\$ 1,177,498	\$5,523	\$1,922	\$8,000	\$75,006	\$4,531	\$733,882	\$24,100	\$65,257	\$85,000	\$91,431
total				20.13%	\$24,193,382	\$4,870,256	\$19,323,126	\$1,373,848	\$3,980,736	\$1,243,439	\$1,767,121	\$469,969	\$8,193,277	\$548,082	\$2,876,804	\$1,234,918	\$2,505,188

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Further, there are no applicable disparity studies for the local market area or recent legal case information available from the State of California Department of Transportation to show any evidence of barriers to entry or competitiveness of DBEs in Humboldt County.

An examination of the anticipated projects for each fiscal year, the availability of the DBE firms by trade classification and the volume of work performed by DBE firms over previous years is shown below:

Fiscal Year #1

For FY-20XX, we anticipate the award of the following:

CALBE Work Category Description	CALBE WORK CODES	EST. COST Project xxx	EST. COST Project yyyy	TOTAL COST PER WORK CODE	Tot. No. of CONT. (2013)	No. of DBE CONT. (2013)	DBE BASE FIGURE (B/A)	PAST PARTICIPATION BY DBE PRIME CONTRACTORS (2009-2013)	Race Conscious Goal (C-D)	WEIGHTED DBE GOAL (C*E)
Safety, Mat'ls & Supplies	6			\$ -	2	1	50.0%	0.0%	50.0%	\$ -
Erosion Mgt. & Preparation	7			\$ 8,500	68	12	17.6%	9.4%	8.2%	\$ 698
Traffic Cntl/Const Signs	12			\$ 24,200	79	14	17.7%	16.5%	1.3%	\$ 305
Remove, Reset, Modify Facilities	15			\$ 36,885	64	8	12.5%	13.5%	0.0%	\$ -
Clear and Grub	16			\$ 5,000	62	11	17.7%	45.2%	0.0%	\$ -
Dust Pallative	18			\$ -	0	0	0.0%	0.0%	0.0%	\$ -
Excavation & Grading	19			\$ -	74	17	23.0%	26.9%	0.0%	\$ -
Erosion Control	20			\$ -	67	11	16.4%	34.9%	0.0%	\$ -
Agg. Base, Etc.	22-29			\$ 18,400	73	16	21.9%	15.1%	6.8%	\$ 1,252
HMA Paving & Seal Coats	37,39			\$ 31,250	78	16	20.5%	11.9%	8.6%	\$ 2,702
Concrete Paving & Sealing	40-42			\$ -	17	2	11.8%	0.0%	11.8%	\$ -
Piling	49			\$ -	12	1	8.3%	16.9%	0.0%	\$ -
Prestressed Concrete	50			\$ -	0	0	0.0%	0.0%	0.0%	\$ -
Structural Concrete	51			\$ 4,000	30	2	6.7%	44.5%	0.0%	\$ -
Reinforcing Steel	52			\$ -	21	1	4.8%	23.0%	0.0%	\$ -
Shotcrete & Sealing	53,54			\$ -	5	0	0.0%	0.0%	0.0%	\$ -
Steel Structures	55			\$ -	6	1	16.7%	0.0%	16.7%	\$ -
Signs (comb 12 & 56)	56			\$ 8,500	25	3	12.0%	13.8%	0.0%	\$ -
Timber Structures	57			\$ -	3	0	0.0%	0.0%	0.0%	\$ -
Clean, Paint Steel	59			\$ -	3	0	0.0%	0.0%	0.0%	\$ -
Pipes, Culverts, Etc.	62-71			\$ 3,000	65	7	10.8%	24.0%	0.0%	\$ -
Slope Protection	72			\$ -	54	8	14.8%	24.4%	0.0%	\$ -
Concrete Curbs & Walks	73			\$ 184,500	32	6	18.8%	40.8%	0.0%	\$ -
Steel Frames & Grates	75			\$ 1,000	32	3	9.4%	14.7%	0.0%	\$ -
Fencing	80			\$ -	29	3	10.3%	9.4%	1.0%	\$ -
Monuments	81			\$ -	7	0	0.0%	100.0%	0.0%	\$ -
Markers, Delineators	82			\$ -	23	6	26.1%	57.0%	0.0%	\$ -
MBGR, Barriers	83			\$ -	38	5	13.2%	28.8%	0.0%	\$ -
Pavement Striping, Markings	84,85			\$ 18,635	42	6	14.3%	13.5%	0.8%	\$ 155
Traf Signals/Lighting	86			\$ -	17	2	11.8%	22.6%	0.0%	\$ -
Design Consultants	87			\$ -	6	1	16.7%	0.0%	16.7%	\$ -
Trucks, Rentals & Demolition	96, 97			\$ -	0	0	0.0%	0.0%	0.0%	\$ -
Miscellaneous Structures	98			\$ -	0	0	0.0%	0.0%	0.0%	\$ -
Heavy Equip. Rental & Demolition	99			\$ -	28	4	14.3%	0.0%	14.3%	\$ -
Mobilization	999999			\$ 17,190	69	12	17.4%	15.3%	2.1%	\$ 365
TOT. EST. PROJECT COST-->	Total			\$361,060	PROJECT DBE GOAL --->	1.5%		TOTAL	\$ 5,477	

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Fiscal Year #2

For FY-20XX, we anticipate the award of the following:

CALBE Work Category Description	CALBE WORK CODES	EST. COST Project xxx	EST. COST Project yyyy	TOTAL COST PER WORK CODE	Tot. No. of CONT. (2013)	No. of DBE CONT. (2013)	DBEBASE FIGURE (B/A)	PAST PARTICIPATION BY DBE PRIME CONTRACTORS (2009-2013)	Race Conscious Goal (C-D)	WEIGHTED DBE GOAL (C*E)
Safety, Mat'ls & Supplies	6			\$ -	2	1	50.0%	0.0%	50.0%	\$ -
Erosion Mgt. & Preparation	7			\$ 8,500	68	12	17.6%	9.4%	8.2%	\$ 698
Traffic Cnt/Const Signs	12			\$ 24,200	79	14	17.7%	16.5%	1.3%	\$ 305
Remove, Reset, Modify Facilities	15			\$ 36,885	64	8	12.5%	13.5%	0.0%	\$ -
Clear and Grub	16			\$ 5,000	62	11	17.7%	45.2%	0.0%	\$ -
Dust Pallative	18			\$ -	0	0	0.0%	0.0%	0.0%	\$ -
Excavation & Grading	19			\$ -	74	17	23.0%	26.9%	0.0%	\$ -
Erosion Control	20			\$ -	67	11	16.4%	34.9%	0.0%	\$ -
Agg. Base, Etc.	22-29			\$ 18,400	73	16	21.9%	15.1%	6.8%	\$ 1,252
HMA Paving & Seal Coats	37,39			\$ 31,250	78	16	20.5%	11.9%	8.6%	\$ 2,702
Concrete Paving & Sealing	40-42			\$ -	17	2	11.8%	0.0%	11.8%	\$ -
Piling	49			\$ -	12	1	8.3%	16.9%	0.0%	\$ -
Prestressed Concrete	50			\$ -	0	0	0.0%	0.0%	0.0%	\$ -
Structural Concrete	51			\$ 4,000	30	2	6.7%	44.5%	0.0%	\$ -
Reinforcing Steel	52			\$ -	21	1	4.8%	23.0%	0.0%	\$ -
Shotcrete & Sealing	53,54			\$ -	5	0	0.0%	0.0%	0.0%	\$ -
Steel Structures	55			\$ -	6	1	16.7%	0.0%	16.7%	\$ -
Signs (comb 12 & 56)	56			\$ 8,500	25	3	12.0%	13.8%	0.0%	\$ -
Timber Structures	57			\$ -	3	0	0.0%	0.0%	0.0%	\$ -
Clean, Paint Steel	59			\$ -	3	0	0.0%	0.0%	0.0%	\$ -
Pipes, Culverts, Etc.	62-71			\$ 3,000	65	7	10.8%	24.0%	0.0%	\$ -
Slope Protection	72			\$ -	54	8	14.8%	24.4%	0.0%	\$ -
Concrete Curbs & Walks	73			\$ 184,500	32	6	18.8%	40.8%	0.0%	\$ -
Steel Frames & Grates	75			\$ 1,000	32	3	9.4%	14.7%	0.0%	\$ -
Fencing	80			\$ -	29	3	10.3%	9.4%	1.0%	\$ -
Monuments	81			\$ -	7	0	0.0%	100.0%	0.0%	\$ -
Markers, Delineators	82			\$ -	23	6	26.1%	57.0%	0.0%	\$ -
MBGR, Barriers	83			\$ -	38	5	13.2%	28.8%	0.0%	\$ -
Pavement Striping, Markings	84,85			\$ 18,635	42	6	14.3%	13.5%	0.8%	\$ 155
Traf Signals/Lighting	86			\$ -	17	2	11.8%	22.6%	0.0%	\$ -
Design Consultants	87			\$ -	6	1	16.7%	0.0%	16.7%	\$ -
Trucks, Rentals & Demolition	96, 97			\$ -	0	0	0.0%	0.0%	0.0%	\$ -
Miscellaneous Structiures	98			\$ -	0	0	0.0%	0.0%	0.0%	\$ -
Heavy Equip. Rental & Demolition	99			\$ -	28	4	14.3%	0.0%	14.3%	\$ -
Mobilization	999999			\$ 17,190	69	12	17.4%	15.3%	2.1%	\$ 365
TOT. EST. PROJECT COST-->	Total			\$361,060			PROJECT DBE GOAL --->	1.5%	TOTAL	\$ 5,477

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Fiscal Year #3

For FY-20XX, we anticipate the award of the following:

CALBE Work Category Description	CALBE WORK CODES	EST. COST Project xxx	EST. COST Project yyyy	TOTAL COST PER WORK CODE	Tot. No. of CONT. (2013)	No. of DBE CONT. (2013)	DBE BASE FIGURE (B/A)	PAST PARTICIPATION BY DBE PRIME CONTRACTORS (2009-2013)	Race Conscious Goal (C-D)	WEIGHTED DBE GOAL (C*E)
Safety, Mat'ls & Supplies	6			\$ -	2	1	50.0%	0.0%	50.0%	\$ -
Erosion Mgt. & Preparation	7			\$ 8,500	68	12	17.6%	9.4%	8.2%	\$ 698
Traffic Cntl/Const Signs	12			\$ 24,200	79	14	17.7%	16.5%	1.3%	\$ 305
Remove, Reset, Modify Facilities	15			\$ 36,885	64	8	12.5%	13.5%	0.0%	\$ -
Clear and Grub	16			\$ 5,000	62	11	17.7%	45.2%	0.0%	\$ -
Dust Palliative	18			\$ -	0	0	0.0%	0.0%	0.0%	\$ -
Excavation & Grading	19			\$ -	74	17	23.0%	26.9%	0.0%	\$ -
Erosion Control	20			\$ -	67	11	16.4%	34.9%	0.0%	\$ -
Agg. Base, Etc.	22-29			\$ 18,400	73	16	21.9%	15.1%	6.8%	\$ 1,252
HMA Paving & Seal Coats	37,39			\$ 31,250	78	16	20.5%	11.9%	8.6%	\$ 2,702
Concrete Paving & Sealing	40-42			\$ -	17	2	11.8%	0.0%	11.8%	\$ -
Piling	49			\$ -	12	1	8.3%	16.9%	0.0%	\$ -
Prestressed Concrete	50			\$ -	0	0	0.0%	0.0%	0.0%	\$ -
Structural Concrete	51			\$ 4,000	30	2	6.7%	44.5%	0.0%	\$ -
Reinforcing Steel	52			\$ -	21	1	4.8%	23.0%	0.0%	\$ -
Shotcrete & Sealing	53,54			\$ -	5	0	0.0%	0.0%	0.0%	\$ -
Steel Structures	55			\$ -	6	1	16.7%	0.0%	16.7%	\$ -
Signs (comb 12 & 56)	56			\$ 8,500	25	3	12.0%	13.8%	0.0%	\$ -
Timber Structures	57			\$ -	3	0	0.0%	0.0%	0.0%	\$ -
Clean, Paint Steel	59			\$ -	3	0	0.0%	0.0%	0.0%	\$ -
Pipes, Culverts, Etc.	62-71			\$ 3,000	65	7	10.8%	24.0%	0.0%	\$ -
Slope Protection	72			\$ -	54	8	14.8%	24.4%	0.0%	\$ -
Concrete Curbs & Walks	73			\$ 184,500	32	6	18.8%	40.8%	0.0%	\$ -
Steel Frames & Grates	75			\$ 1,000	32	3	9.4%	14.7%	0.0%	\$ -
Fencing	80			\$ -	29	3	10.3%	9.4%	1.0%	\$ -
Monuments	81			\$ -	7	0	0.0%	100.0%	0.0%	\$ -
Markers, Delineators	82			\$ -	23	6	26.1%	57.0%	0.0%	\$ -
MBGR, Barriers	83			\$ -	38	5	13.2%	28.8%	0.0%	\$ -
Pavement Striping, Markings	84,85			\$ 18,635	42	6	14.3%	13.5%	0.8%	\$ 155
Traf Signals/Lighting	86			\$ -	17	2	11.8%	22.6%	0.0%	\$ -
Design Consultants	87			\$ -	6	1	16.7%	0.0%	16.7%	\$ -
Trucks, Rentals & Demolition	96, 97			\$ -	0	0	0.0%	0.0%	0.0%	\$ -
Miscellaneous Structures	98			\$ -	0	0	0.0%	0.0%	0.0%	\$ -
Heavy Equip. Rental & Demolition	99			\$ -	28	4	14.3%	0.0%	14.3%	\$ -
Mobilization	999999			\$ 17,190	69	12	17.4%	15.3%	2.1%	\$ 365
TOT. EST. PROJECT COST-->	Total			\$361,060	PROJECT DBE GOAL --->		1.5%	TOTAL	\$ 5,477	

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The proposed Overall DBE Goals are as follows:

- Fiscal Year #1 – xxx% Total Award Amount Expected \$xxxxx Total DBE award amount \$yyyy
- Fiscal Year #2 - xxx% Total Award Amount Expected \$xxxxx Total DBE award amount \$yyyy
- Fiscal Year #3 - xxx% Total Award Amount Expected \$xxxxx Total DBE award amount \$yyyy

Our proposed overall three year goal will be reflected as a weighted percentage of the three year's goals or:

$\$Tot. DBE / \$Tot. Award$

Breakout of Estimated “Race and Gender Neutral” (RN) and “Race and Gender Conscious” (RC) Participation.
26.51(b) (1-9)

The recipient will meet the maximum feasible portion of its overall goal by using RN means of facilitating DBE participation.

1. **Arranging solicitations, times for the presentation of bids, quantities, specifications, and delivery schedules in ways that facilitates DBE, and other small businesses, participation;**
2. **Providing technical assistance and other services;**
3. **Carrying out information and communications programs on contracting procedures and specific contract opportunities;**
4. **Ensuring distribution of DBE directory, through print and electronic means, to the widest feasible universe of potential prime contractors;**

The **Recipient** will adjust the estimated breakout of RN and RC DBE participation as needed to reflect actual DBE participation (see Section 26.51(f)) and track and report RN and RC participation separately. For reporting purposes, RN DBE participation includes, but is not necessarily limited to, the following: DBE participation through a prime contract obtained through customary competitive procurement procedures; DBE participation through a subcontract on a prime contract that does not carry a DBE goal, DBE participation on a prime contract exceeding a contract goal and DBE participation through a subcontract from a prime contractor that did not consider a firm's DBE status in making the award.

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ATTACHMENT 6

PUBLIC PARTICIPATION

Consultation: Section 26.45(g)(1).

The **Humboldt County Department of Public Works** submits its overall DBE three-year goal to DOT on August 1 as required by the set schedule.

Before establishing the overall goal, the **Department of Public Works** will consult with the **Humboldt County Chamber of Commerce**, the **California Department of Transportation Division of Aeronautics**, and the **California Office of Business and Economic Opportunity** without limiting consultation to these persons or groups, to obtain information concerning the availability of disadvantaged and non-disadvantaged businesses, the effects of discrimination on opportunities for DBEs, and the **Department of Public Works'** efforts to establish a level playing field for the participation of DBEs

Following the consultation, we will publish a notice in the **Times Standard** of the proposed overall goal, informing the public that the proposed goal and its rationale are available for inspection during normal business hours at the airport administration building for 30 days following the date of the notice, and informing the public that the **Department of Public Works** and DOT will accept comments on the goals for 45 days from the date of the notice

Our overall goal submission to DOT will include a summary of information and comments received during this public participation process and our responses, if any.

The following comments were received:

OR

No comments have been received.

Sample Public Notice Language:

PUBLIC NOTICE

The **County of Humboldt** hereby announces its fiscal year 20__ goal of ___% for Disadvantaged Business Enterprise (DBE) airport construction projects. The proposed goals and rationale is available for inspection between 8:00 a.m. and 5:00 p.m., Monday through Friday at **1106 Second Street, Eureka, CA 95501-0579** for 30 days from the date of this publication.

Comments on the DBE goal will be accepted for 45 days from the date of this publication and can be sent to the following:

**Director of Public Works,
Humboldt County Department of Public Works
1106 Second Street,
Eureka, CA 95501-0579**

or

**Office of Civil Rights, AWP-9
Federal Aviation Administration
P.O. Box 92007
Los Angeles, CA 90009-2007**

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ATTACHMENT 7

DBE Goal Scheduled Submittals

Airport Type	Region	Date Due (Goal Period)	Next Goal Due (Goal Period)
Large & Medium Hub Primary	All Regions	August 1, 2010 (2011/2012/2013)	August 1, 2013 (2014/2015/2016)
Small Hub Primary	All Regions	August 1 2011 (2012/2013/2014)	August 1, 2014 (2015/2016/2017)
Non-Hub Primary	All Regions	August 1 2012 (2013/2014/2015)	August 1, 2015 (2016/2017/2018)
Non-Primary (GAs, Relievers and State DOTs)	Alaskan, Eastern, & Great Lakes	August 1 2010 (2011/2012/2013)	August 1, 2013 (2014/2015/2016)
Non-Primary (GAs, Relievers and State DOTs)	New England, Northwest Mountain, & Southern	August 1 2011 (2012/2013/2014)	August 1, 2014 (2015/2016/2017)
Non-Primary (GAs, Relievers and State DOTs)	Central, Southwest, and Western-Pacific	August 1 2012 (2013/2014/2015)	August 1, 2015 (2016/2017/2018)