

5311 Recovery Act Workshop

Caltrans Division of Mass Transportation

DUNS & CCR NUMBERS

Question: Is the Central Contractor Registration (CCR) requirement new with the ARRA funding or has this been required for regular formula funds? Do county governments who will be subrecipients of 5311 funding need to register with CCR?

Answer: Under ARRA, all direct recipients and first tier sub-awardees (including both sub-recipients) and contractors must have DUNS and CCR registration (unless the applicant intends to pursue other Federal business, they do not have to complete the Online Representations and Certifications Application (ORCA)).

Question: Is there a threshold below which CCR registration is not required? For example, is CCR registration required for vendors of off-the-shelf equipment?

Answer: OMB has a threshold of \$25,000 for the purposes of Section 1512 reporting. OMB guidance allows grantees to aggregate sub-awards below that amount, we do not anticipate that CCR registration would be required for those sub-recipients and contractors. Purchases of off-the-shelf equipment from a vendor, for example an office supply store, would not trigger a requirement for the vendor to register, The expense would simply be included in total project costs and outlays, not treated as a separate procurement.

Question: CCR—do the requirements apply to prime contractors only or to subcontractors also?

Answer: Under ARRA, all direct recipients and first tier sub-awardees (including both sub-recipients and contractors) must have DUNS and CCR (unless the applicant intends to pursue other Federal business, they do not have to complete the Online Representations and Certifications Application (ORCA)).

Question: What is the Data Universal Numbering System (DUNS) Number?

Answer: The Dun & Bradstreet (D&B) DUNS Number is a unique nine-digit identification sequence, which provides unique identifiers of single business entities, while linking corporate family structures together. D&B links the D&B DUNS Numbers of parents, subsidiaries, headquarters and branches on more than 70 million corporate family members around the world. Used by the world's most influential standards-setting organizations, it is recognized, recommended and/or required by more than 50 global, industry and trade associations, including the United Nations, the U.S. Federal Government, the Australian Government and the European Commission. In today's global economy, the D&B DUNS Number has become the standard for keeping track of the world's businesses.

Question: Where does D&B get its data?

Answer: D&B has built the most extensive business information database in the world with over 100,000,000 companies. D&B collects and receives information from a broad array of sources, including:

- Direct investigations and interviews with the company principals.
- Payment and banking data from company suppliers, which provides over 639,000,000 experiences updated annually.
- Suits, liens, judgment, UCCs, business registrations, corporate details and bankruptcy filings from state and county courthouses, resulting in over 135,000,000 records on file.
- Corporate financial reports and filings within 48-72 hours of filing.
- Contracts, grants, loans and debarments from the federal government.
- 3,000,000 URLs on DUNS numbers.
- News and media sources.
- Telephone company data and print directories.

Question: How does D&B ensure the accuracy of its data?

Answer: To verify and ensure the highest data quality, D&B has patented matching technology to identify and consolidate data from multiple sources into one business file identified by the D&B DUNS® Number. The DUNS® Number also enables them to link and identify businesses within a corporate family.

D&B uses over 2,000 information computer validations to ensure a high standard of data quality. They also conduct manual validation checks and reviews. They evaluate data consistency and use sophisticated models to compare incoming data on a given business to the data received on similar businesses of the same industry, age and size. For example, can a grocery store with 5 employees do \$200,000,000 per year in sales? D&B also has sophisticated cross-check processes that identify potential duplicate businesses, and run their marketing database through address standardization and Zip+4 assignments every month.

For every business credit record, they cross check that new business with their public filing database of over 135,000,000 records and trade and banking database of 639,000,000 experiences. Every new piece of incoming information goes through their sophisticated match system to match it to an existing business credit file. The Severe Risk Department monitors business activity to identify potential frauds, overbuys or business failures. D&B has one department solely responsible for corporate linkages and family trees covering over 8,300,000 businesses/locations.

Question: How do I get a DUNS® Number or business listing with D&B?

Answer: You can request a **DUNS Number** <http://fedgov.dnb.com/webform> and start a credit file on the D&B Small Business Solutions site, or call the D&B Customer Resource Center at (800) 333-0505 if you have an expedited request.

Question: Am I committing to a contract or subscription to join?

Answer: No, you can become a registered member for free. You must register in order to purchase a product, however you do not have to subscribe to a monthly subscription.

Question: Who is required to register in the Central Contractor Registration (CCR)?

Answer: Since October 1, 2003, it is federally mandated that any organization wishing to do business with the federal government under a FAR-based contract must be registered in CCR before being awarded a contract. Under ARRA all recipients, sub-recipients, and contractors must have DUNS and CCR registration. You can find more information on CCR and the registration process in their **User's Guide** <http://www.ccr.gov/Handbook.aspx>

Question: What do I need to know about registering in CCR?

Answer: Anyone (sole proprietors, corporations, partnerships and governmental organizations) desiring to do business with the federal government or receiving ARRA funds must register in CCR.

Question: What data is needed to register in CCR?

Answer: CCR registrants are required to submit detailed information on their company in various categories. Additional, non-mandatory information is also requested. The **CCR User's Guide** <http://www.ccr.gov/Handbook.aspx> defines and details specific informational requirements. The User's Guide also provides guidelines on how to obtain unknown information. Categories of required and requested information include:

- General Information – Includes, but is not limited to, DUNS number, CAGE Code, company name, Federal Tax Identification Number (TIN), location, receipts, employee numbers, and web site address.
- Corporate Information – Includes, but is not limited to, organization or business type and SBA-defined socioeconomic characteristics.
- Goods and Services Information – Includes, but is not limited to, NAICS code, SIC code, Product Service (PSC) code, and Federal Supply Classification (FSC) code.
- Financial Information – Includes, but is not limited to, financial institution, American Banking Association (ABA) routing number, account number, remittance address, lock box number, automated clearing house (ACH) information, and credit card information.
- Point of Contact (POC) Information – Includes, but is not limited to, the primary and alternate points of contact and the electronic business, past performance, and government points of contact.
- Electronic Data Interchange (EDI) Information* – Includes, but is not limited to, the EDI point of contact and his or her telephone, e-mail, and physical address. (*Note: EDI Information is optional and may be provided only for businesses interested in conducting transactions through EDI.)
Users will be unable to submit their registration online unless all the mandatory information is provided.

Question: How do I register in CCR?

Answer: Step 1: Access the CCR online registration through the [CCR home page www.ccr.gov](#)/ Click on "Start New Registration." You must have a Data Universal Numbering System (DUNS) number in order to begin the registration process.

Step 2: Before registering in CCR, you will be asked to select one of the following:

- 1) I am not a U.S. Federal Government entity. *
- 2) I am a U.S. Federal Government entity, required by my trading partner to be registered in CCR (e.g. CAGE Code).
- 3) I am a U.S. Federal Government entity registering for intra-governmental transactions.

Please note that if you select #3, you will be directed to the federal Agency Registration (FedReg) system.

Step 3: Complete and submit the online registration. If you already have the necessary information on hand (see below), the online registration takes approximately one hour to complete, depending upon the size and complexity of your business or organization.

Question: What does it cost to register in CCR?

Answer: Because CCR is a federally mandated and funded program, there is no cost to registrants for registering in CCR.

Question: What steps do I need to take to ensure I am registered at CCR after receiving my DUNS number?

Answer: Once you have obtained a DUNS Number from D&B, you are eligible for CCR registration. Go to [CCR registration](#) and click "Start New Registration". Obtaining a DUNS Number does not automatically mean you are registered in CCR. A DUNS is what is required to start your CCR registration.

Question: What are my yearly renewal requirements? How do I keep my record active?

Answer: You must renew and revalidate your registration at least every 12 months from the date you previously registered. However, you are strongly urged to revalidate your registration more frequently to ensure that CCR is up to date and in sync with changes that may have been made to DUNS and IRS information. If you do not renew your registration, it will expire. An expired registration will affect your ability to receive contract awards or payments, submit assistance award applications via Grants.gov, or receive certain payments from some federal government agencies.

Federal Required and Other Model Contract Clauses

| | Rolling Stock | Operating | Construction | Consultant Services | Research | Goods | Prof Svc |
|--|---------------|-------------|--------------|---------------------|-------------|-------------|-------------|
| 1. Fly America - Required for air transportation. | | | | | | | |
| 2. Buy America | >\$100,000 | | >\$100,000 | | | >\$100,000 | |
| 3. Charter Bus and School Bus | | X | | | | | |
| 4. Cargo Preference - Required for all contracts involving equipment, materials, or commodities which may be transported by ocean vessels. | | | | | | | |
| 5. Seismic Safety | | | New Bldg | | | | |
| 6. Energy Conservation | X | X | X | X | X | X | X |
| 7. Clean Water | >\$100,000 | >\$100,000 | >\$100,000 | >\$100,000 | >\$100,000 | >\$100,000 | >\$100,000 |
| 8. Bus Testing | X | Turnkey | | | | | |
| 9. Pre-Award and Post Delivery Audit | X | Turnkey | | | | | |
| 10. Lobbying | >\$100,000 | >\$100,000 | >\$100,000 | >\$100,000 | | >\$100,000 | >\$100,000 |
| 11. Access to Records and Reports | | X | X | X | | | X |
| 12. Federal Changes | X | X | X | X | X | X | X |
| 13. Bonding | | | >\$100,000 | | | | |
| 14. Clean Air | >\$100,000 | >\$100,000 | >\$100,000 | >\$100,000 | >\$100,000 | >\$100,000 | >\$100,000 |
| 15. Recycled Products | * >\$10,000 | * >\$10,000 | * >\$10,000 | * >\$10,000 | * >\$10,000 | * >\$10,000 | * >\$10,000 |
| 16. Davis-Bacon and Copeland Anti-Kickback Acts | | | >\$2,000 | | | | |
| 17. Contract Work Hours and Safety Standards Act | | | >\$100,000 | | | | |
| 19. No Government Obligation to Third Parties | X | X | X | X | X | X | X |
| 20. Program Fraud and False or Fraudulent Statements and Related Acts | X | X | X | X | X | X | X |
| 21. Termination | >\$10,000 | >\$10,000 | >\$10,000 | >\$10,000 | >\$10,000 | >\$10,000 | >\$10,000 |
| 22. Government-wide Debarment and Suspension (Nonprocurement) | >\$25,000 | >\$25,000 | >\$25,000 | >\$25,000 | >\$25,000 | >\$25,000 | >\$25,000 |
| 23. Privacy Act | X | X | X | X | X | X | X |
| 24. Civil Rights | X | X | X | X | X | X | X |
| 25. Breaches and Dispute Resolution | >\$100,000 | >\$100,000 | >\$100,000 | >\$100,000 | >\$100,000 | >\$100,000 | >\$100,000 |
| 26. Patent and Rights in Data | | | | | X | | |
| 27. Transit Employee Protective Agreements | | X | | | | | |
| 28. Disadvantaged Business Enterprise (DBE) | X | X | X | X | X | X | X |
| 30. Incorporation of Federal Transit Administration Terms | X | X | X | X | X | X | X |
| 31. Drug and Alcohol Testing | | X | | | | | |

*Procurement of items designated by EPA - 40CFR247

RASTO:Procurement:ProceduresFTA Required Clauses Chart.xlsorms

APPENDIX B.16**PIGGYBACKING WORKSHEET**

Definition: *Piggybacking is the post-award use of a contractual document/process that allows someone who was not contemplated in the original procurement to purchase the same supplies/equipment through that original document/process. ("FTA Dear Colleague" letter, October 1, 1998).*

In order to assist in the performance of your review, to determine if a situation exists where you may be able to participate in the piggybacking (assignment) of an existing agreement, the following considerations are provided. Ensure that your final file includes documentation substantiating your determination.

| WORKSHEET | YES | NO |
|---|------------|-----------|
| 1. Have you obtained a copy of the contract and the solicitation document, including the specifications and any Buy America Pre-award or Post-Delivery audits? | | |
| 2. Does the solicitation and contract contain an express "assignability" clause that provides for the assignment of all or part of the specified deliverables? | | |
| 3. Did the Contractor submit the "certifications" required by Federal regulations? See BPPM Section 4.3.3.2. | | |
| 4. Does the contract contain the clauses required by Federal regulations? See BPPM Appendix A1. | | |
| 5. Were the piggybacking quantities included in the original solicitation; i.e., were they in the original bid and were they evaluated as part of the contract award decision? | | |
| 6. If this is an indefinite quantity contract, did the original solicitation and resultant contract contain both a minimum and maximum quantity, and did these represent the reasonably foreseeable needs of the parties to the contract? | | |
| 7. If this piggybacking action represents the exercise of an option in the contract, is the option provision still valid or has it expired? | | |
| 8. Does your State law allow for the procedures used by the original contracting agency: e.g., negotiations vs. sealed bids? | | |

| WORKSHEET | | YES | NO |
|------------------|--|------------|-----------|
| 9. | Was a cost or price analysis performed by the original contracting agency documenting the reasonableness of the price? Obtain a copy for your files. | | |
| 10. | If the contract is for rolling stock or replacement parts, does the contract term comply with the five-year term limit established by FTA? See FTA Circular 4220.1F, Chapter IV, 2 (14) (i). | | |
| 11. | Was there a proper evaluation of the bids or proposals? Include a copy of the analysis in your files. | | |
| 12. | If you will require changes to the vehicles (deliverables), are they “within the scope” of the contract or are they “cardinal changes”? See BPPM Section 9.2.1. | | |

Note: This worksheet is based upon the policies and guidance expressed in (a) the FTA Administrator's "Dear Colleague" letter of October 1, 1998, (b) the *Best Practices Procurement Manual*, Section 6.3.3—*Joint Procurements of Rolling Stock and “Piggybacking,”* and (c) FTA Circular 4220.1F.