

## QUICK REFERENCE GUIDE (QRG) FOR CALCULATING DBE GOAL

### BACKGROUND

*NOTE: this QRG is relevant for contracts with an RFP only*

The Division of Transportation Planning – Office of Regional and Community Planning (ORCP) is responsible for administration of the federal Consolidated Planning Grant (CPG). The CPG fund sources and types are:

1. Federal Highway Administration (FHWA), Metropolitan Planning (FHWA PL)
2. Federal Transit Administration (FTA) Metropolitan Planning, Section 5303 (FTA § 5303)
3. FHWA State Planning & Research – Part 1, Strategic Partnerships Grants
4. FTA State Planning & Research, 5304 – Strategic Partnerships - Transit Grants (FTA § 5304)

The FHWA and FTA require administering agencies, such as ORCP, to ensure that subrecipients of CPG funds are in compliance with the U.S. Department of Transportation, Title 49 Code of Federal Regulation Part 26. [Part 26 of the Electronic Code of Federal Regulations](#) sets forth requirements for participation by disadvantaged business enterprises (DBE) in federal funding programs.

### PROCESS CHECKLIST

*NOTE: This is a quick reference guide only and not a comprehensive list of all the DBE program details. For questions, please contact the DBE inbox at [dotp.dbe@dot.ca.gov](mailto:dotp.dbe@dot.ca.gov). You can also visit the [Office Civil Rights \(OCR\)](#) website for additional information.*

- Calculate your DBE goal** – Local Agencies must submit a DBE Contract Goal for **all** contracts that are federally funded.

An excel spreadsheet, Exhibit 9-D ([Exhibit 9-D Sample](#)), has been developed to assist in calculating your contract goal.

Local agencies must review their Scope of Work and finalize their cost estimate for the project to complete an Exhibit 9-D. From the final cost estimate work items that will be done by the prime contractor and what work items can be subcontracted out, will be determined.

**NOTE:** It is strongly recommended to have a well-defined scope of work prior to calculating DBE goals. There are instructions in the worksheet, but the basic process is that you fill out any yellow cells only (see screenshots on the next page):

- a) List your contract tasks (and cost per task) in columns D & E
- b) In column G indicate with a “Y” if that task is likely to be performed by a subcontractor. If you answer yes:
  - i. Find the correct work category code to enter in column I. Use the “Work code” tab and do a search for key-words of that task

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Example: "Graphic" and you find work code I7336 in column A (see Typical Planning Work Codes Descriptions)

- ii. Go to the [DBE Search](#) page and click the "Access the DBE Query Form" link to search for available vendors that provide that service in your area. Enter District, select the correct "work category code" and click the blue "Search – Export Options"  
Example: District 1 for work code "I7336" will show 66 vendors
- iii. Enter that number (e.g. "66") in column J – If the number of available vendors is 7 or larger you enter "100%" in column K (if <7, leave blank)
- c) In column H indicate with a "Y" if that task is for purchasing material or Trucking (leave blank if the answer is NO), and if you answer yes:
  - i. If it is "Supply Material" enter 12% in column K
  - ii. If it is "Trucking" enter 10% in column K
- d) That's it! – your DBE goal is calculated automatically (**Bright Yellow cell**) This % is entered on your ADM0360, once OCR accepts it. Alisha will verify this and work with OCR to get it accepted and approved.

- **Submit your goal to the DBE inbox** – Make a PDF copy of the completed excel template and submit that along with a copy of your SOW: [dotp.dbe@dot.ca.gov](mailto:dotp.dbe@dot.ca.gov) (You can ask any questions regarding the template or work codes)

For agencies seeking a no-goal waiver, a justification must be approved by OCR.

The Goal Review process could take up to 10 business days—please allow this time in your RFP development stage.

- **Approval** – Once goals have been set and a contract has been executed between the Local Agency and the contractor/consultant, the Local Agency must send a completed form ADM- 0227F and Bidders List upon contract award to ensure the goal is the same that OCR approved. Those forms should be sent to the Caltrans Contract Manager in the district.

**IMPORTANT:** Do not share the goal or calculation process with anyone else, especially not any external resources

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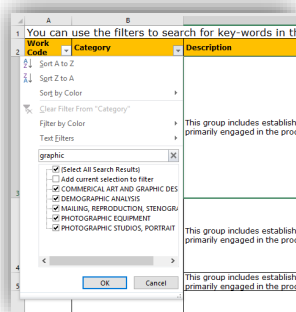
## SCREENSHOTS

### DBE goal calculation template (Excel)

DBE Goal calculation file (Template tab)

Item No.	Approx. Quant.	Meas. Unit	Item Description	Unit Price	Total	Likely to be Performed by Sub-contractor (Y=Yes)?	Trucking or Supply of Material Involved (Y=Yes)?	Work Category Code (enter a code if corresponding cell in either Column G or H is "Y")	Number of Available DBEs	DBE Work Factor (100% if DBEs ≥ 5 12% if supply component 10% if trucking component)	DBE Work Amount	Comment
1	1	Task	Management & Public Relations	\$23,750.00	\$23,750.00						\$0.00	
2	1	Task	Advertising	\$11,875.00	\$11,875.00						\$0.00	
3	1	Task	Photocopying, Duplication, Binding	\$2,375.00	\$2,375.00						\$0.00	
4	1	Task	Commercial Art and Graphic Design	\$4,750.00	\$4,750.00	Y		I7336	80	100%	\$4,750.00	
5	1	Task	Purchasing Mlvision cameras	\$4,750.00	\$4,750.00		Y			12%	\$570.00	
6				\$-	\$-						\$0.00	
7				\$-	\$-						\$0.00	
8				\$-	\$-						\$0.00	
9				\$-	\$-						\$0.00	
<b>WORK ITEM TOTAL</b>				<b>\$47,500.00</b>								
										<b>TOTAL DBE WORK AMOUNT</b>	\$5,520.00	
										<b>X 80% Factor</b>	X 80%	
										<b>DBE CONTRACT GOAL AMOUNT</b>	\$4,256.00	
										<b>DBE Goal Percentage</b>	<b>9%</b>	

DBE Goal calculation file (Work codes tab)



DBE Search form (available online from this link [DBE Search](#))