

DBE Responsibilities Matrix

Any questions about the ECS DBE process can be directed to Mayline Hoaeae at mhoaeae@azdot.gov or ext. 7851.

Activity	ADOT Project Manager (PM)	ECS Contract Specialist (CS)	ECS DBE Compliance Specialist (DCS)	Civil Rights Office (CRO)	Consultant
I. PRE-ADVERTISEMENT					
PM Initiates Contract	<ul style="list-style-type: none"> ▪ Enter contract information into eCMS: Budget Tab -- Item #, Program FY, TRACS #, Fund Type, Amount (if applicable), Fed ID (if applicable) once federal approval is obtained. ▪ Complete Cost Estimate module in eCMS (if project specific contract). 	N/A	N/A	N/A	Work on "Good Faith Effort" (GFE) activities to locate DBEs to participate in project.
Project Specific Contract = Race-conscious (RC)	<ul style="list-style-type: none"> ▪ DCS contacts PM to jointly complete <i>DBE Goal Worksheet</i>. ▪ PM provides lists of discipline-specific work and corresponding dollar values according to the project or Scope of Work (SOW). 	N/A	Complete <i>DBE Goal Worksheet</i> and send to CRO.	Review <i>DBE Goal Worksheet</i> to determine DBE goal percentage and return completed worksheet to DCS. Timeframe is 10 business days.	
Non-Project Specific Contract = Race neutral (RN) (Supplemental Services/ Temp Tech Contracts)	No action needed.	N/A	Complete <i>DBE Goal Worksheet</i> and send to CRO.	Complete <i>DBE Goal Worksheet</i> and returns to DCS. Timeframe is 10 business days.	
Contract Language	N/A	Work with DCS to ensure DBE goal and correct DBE contract language (RC or RN) is used in (sample contract boilerplate) eSOQ Package.	Confirm DBE language (RC or RN) is used in eSOQ Package.	N/A	
SOQ Advertisement	N/A	Notify Contract Manager (CM) to upload eSOQ Package and include DBE goal on ECS website.	Input DBE goal into eCMS.	Assist Consultants in identifying certified DBEs.	
II. POST ADVERTISEMENT / SOLICITATION					
Pre-Submittal Meeting	Participate/make presentation at pre-submittal meeting, if needed.	Coordinate pre-submittal meeting and explain DBE goal, if needed. After pre-submittal meeting, answer SOQ questions via amendments.	Upload list of Consultants who have expressed interest in a project by downloading eSOQ Package.	N/A	Indicate plans for meeting DBE goals or show GFEs in SOQ.

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III. AFTER CONSULTANT SELECTION					
Contract Negotiations - Cost Proposal (CP) (Project-Specific Contracts)	Review and negotiate hours.	<ul style="list-style-type: none"> ▪ Review and approve Cost Proposal (CP) after considering Pre-Awards. ▪ Ensure DBE goal is reflected in CP. ▪ Forward a copy of CP, TO or CM with Affidavits to CRO for project specific contracts. Email to dgraham@azdot.gov and CC mboyles@azdot.gov. ▪ Please enter this naming scheme in the subject line of the email: <ul style="list-style-type: none"> - ECS (CP, TO# __, or CM# __) ▪ Affidavit, Contract # 20XX-XXX 	Work w/ CS in reviewing Cost Proposal (CP) to ensure CRO-approved DBE goal is reflected in CP.	Approve DBE goal, Affidavits and/or GFE and return to CS. <ul style="list-style-type: none"> ▪ Refer to Section VI. Dispute Process of this matrix, if CRO disapproves or Consultants protest. 	Submit required Prime and Subconsultant Affidavits and/or GFE form with CP Package.
Contract Advanced Notice to Proceed (ANTP)	Complete and secure approvals on ANTP form. <ul style="list-style-type: none"> ▪ Forward to CS. 	Review ANTP form for completeness. <ul style="list-style-type: none"> ▪ Forward to CRO for comment. 	N/A	Comment and return ANTP form to CS for ECS final approval.	Review and signs ANTP letter and returns to CS.
IV. NOTICE TO PROCEED - POST AWARD					
Create contract in ADOT DBE Management System	N/A	Send a copy of the NTP Letter to the DCS	Create contract in ADOT DBE system.	N/A	<ul style="list-style-type: none"> ▪ Enter all Subconsultants, DBEs and direct expense vendors including all lower-tier Subconsultants in ADOT DBE system before submitting the payment report. ▪ Upload Subconsultant Agreements for all Subconsultants. ▪ Ensure contact information for each firm is accurate to provide immediate response to automatic audit notifications.
Modifications/Task Order ANTP	Complete contract modification/task order ANTP form. <ul style="list-style-type: none"> ▪ Secure ADOT and consultant approvals. ▪ Forward to CS. 	Review ANTP for completeness and accuracy. <ul style="list-style-type: none"> ▪ Forward to CRO and CC DCS. 	Facilitate escalation process as necessary.	Comment and return ANTP form to CS.	Sign ANTP request form.
Throughout life of contract	<ul style="list-style-type: none"> ▪ Monitor DBE utilization to ensure compliance with the contract terms and conditions. ▪ If Mods are made, ensure DBE percentage usage is maintained. 	N/A	Monitor DBE usage through eCMS and ADOT DBE System.	Review Subconsultant Agreements with DBEs.	Must meet DBE goals listed in final CP (RC or RN). <ul style="list-style-type: none"> ▪ For RC, required to submit Subcontract Agreements with DBEs.

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Add/Replace/Remove DBE	Sign the <i>Add or Replace Subconsultant Request Form</i> and obtain Group Manager's approval/signature and send to CS prior to making changes.	<ul style="list-style-type: none"> ▪ Send completed <i>Add Or Replace Subconsultant Request Form</i> to DCS. ▪ Enter approved Subconsultant in eCMS contract. 	<ul style="list-style-type: none"> ▪ Process the completed <i>Add Or Replace Subconsultant Request Form</i> and send to CRO for review and approval. ▪ After securing CRO's approval, send to ECS Director for final approval. ▪ Add approved Subconsultant to contract in DBE System. ▪ Return fully processed form back to CS. 	Determine the impact on changes to DBEs. Assist Consultants in connecting with other DBE firms.	Complete <i>Add Or Replace Subconsultant Request Form</i> and send to PM for approval prior to making any changes.
Payment Reports	Review and approve payment reports and ensure all Subconsultants (DBE and non-DBEs) payments are listed separately. <ul style="list-style-type: none"> ▪ Return to Consultants if payment reports are not listed separately. 	<ul style="list-style-type: none"> ▪ Review and approve payment reports. ▪ Enter all payment information in eCMS (Subconsultants, DBE, etc.). 	Monitor DBE usage (percentage) in eCMS. If DBE usage is lagging, check if there are GFE forms and/or contact Consultant or Subconsultant and document the DBE monitoring done.	<ul style="list-style-type: none"> ▪ Work with DBEs to confirm Subconsultants' payments on ADOT DBE System. ▪ Follow up with DBEs and Consultant as needed and advise DCS. 	<ul style="list-style-type: none"> ▪ Submit payment reports to ADOT within 30 days of receipt from all Subconsultant (DBEs and non-DBEs). ▪ Submit payment report monthly and identify all Subconsultant (DBE and non-DBE) direct expense made to vendors. ▪ Pay all Subconsultants (DBEs and non-DBEs) within 7 days in accordance with Arizona Prompt Payment Law (A.R.S. §28-411). ▪ Send payment reports to PM (list all Subconsultants [DBEs and non-DBEs] invoices separately). ▪ Respond to ADOT DBE System audit notifications by logging on to the system and to verify payments made for all Subconsultants and lower-tier Subconsultants. ▪ Respond to any messages or prompts from the ADOT DBE System. <u>All Subconsultants (DBE and non-DBE):</u> ▪ Respond to ADOT DBE System audit notifications by logging on to system to verify payments received from Consultants. ▪ Synchronize with Consultant's billing timeframe to ensure monthly invoicing and follow up regularly.

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V. TASK ORDER PROCESSING					
Review and Approval of TO	<ul style="list-style-type: none"> ▪ Negotiate final cost and approve each task order (keeping in mind the contract's DBE goal and the required DBE Affidavits are attached). ▪ Send all required task order documents to CS. <ul style="list-style-type: none"> - TO by Contract Modification - Scope of Work - Cost Proposal - DBE Prime & Sub Affidavits and/or GFE Form 	<ul style="list-style-type: none"> ▪ Review task order documents for accuracy and completeness to ensure they meet contract requirements. ▪ Send all task order documents to DCS. <ul style="list-style-type: none"> - Cost Proposal Summary - DBE Prime & Affidavits and/or GFE Form 	<ul style="list-style-type: none"> ▪ Send task order documents to CRO 	<ul style="list-style-type: none"> ▪ Review and approve or disapprove the TO for DBE utilization. ▪ Send DBE determination to CS within 10 business days. 	N/A
CRO Approval	N/A	<ul style="list-style-type: none"> ▪ Notify PM once CRO's approval is received for the TO. ▪ Request Finance to set aside funding, obtain signature and execute the TO. ▪ Notify PM and Consultant of TO approval. 	N/A	Send TO documents to CS for final processing.	N/A
VI. DISPUTE PROCESS					
CRO Disapproval (Affidavits and GFEs)	N/A	Notify PM and Consultant of CRO disapproval.	N/A	Send disapproval cover letter to CS.	Three (3) options after receipt of disapproval notification: 1) Make the required changes per CRO. 2) Withdraw TO or contract modification. 3) Request dispute escalation in writing to DCS within 5 calendar days of notification. (The burden is on the consultant to provide documentation that they met GFE.)
Dispute Escalation (Four (4) possible levels)	Attend dispute escalation meeting.	N/A	Schedule and facilitate dispute escalation meeting.	Attend dispute escalation meeting.	Attend dispute escalation meeting.
Dispute Escalation Meeting Decision (Approval or Disapproval)	Options if CRO disapproved: 1) Go with the next highest ranked firm. 2) Await decision of next dispute escalation level (if applicable) or await for final resolution.	<ul style="list-style-type: none"> ▪ Process TO or contract modification if CRO approves. ▪ Do not process TO or contract modification if CRO disapproves. 	Schedule and facilitate dispute escalation meeting.	Make decision and notify Consultant, PM, CS and DCS within 5 calendar days.	Three (3) options after receipt of disapproval notification: 1) Make required changes per CRO decision. 2) Withdraw TO or contract modification. 3) Request next level dispute escalation in writing to DCS within 5 calendar days from CRO's determination.

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VII. CONTRACT CLOSEOUT					
Final Payment and Certification of Payments to DBE Firms	Review and approve final payment.	Review final payment and <i>Certification of Payments to DBE Firms</i> form. <ul style="list-style-type: none"> ▪ Return payment to Consultant if form is missing. ▪ Forward to DCS. 	Review form for completeness. <ul style="list-style-type: none"> ▪ Reconcile payments in eCMS and the DBE System. ▪ Forward to CRO. 	Review and comment for DBE final payment compliance. <ul style="list-style-type: none"> ▪ Forward to CS and cc DCS. 	Submit final payment and <i>Certification of Payments to DBE Firms</i> form for each DBE with final payment to PM.
Initial Closeout Letter (ICL)	Confirm work is complete to the satisfaction of the State by completing the <i>Contract Status Form</i> (CSF) (3rd box of the form is checked).	<ul style="list-style-type: none"> ▪ Generate and send <i>Initial Closeout Letter</i> (ICL) to Consultant upon receipt of CRO's DBE final payment compliance notification. ▪ Initiate final Consultant Evaluation in eCMS. 	<ul style="list-style-type: none"> ▪ Confirm and document DBE usage in eCMS. ▪ Send all <i>Certification of Payments to DBE Firms</i> forms to CRO. 	N/A	Send ICL response to ECS Compliance Branch with completed <i>Certification of Payments to DBE</i> form for each DBE firm.