

**FY 2020 - FY 2022  
DISADVANTAGED BUSINESS ENTERPRISE PROGRAM METHODOLOGY  
for**

**North Carolina Department of Transportation  
Public Transportation Division  
Raleigh, North Carolina**



**For Submission: August 1, 2019**

With Assistance from Ken Weeden & Associates, Inc.

***DBE Program Consultants***

***(April 24, 2020 in Response to FTA Concurrence letter dated 10-8-19)***

***Raleigh-Wilmington-Atlanta***

## **Introduction**

In fulfillment of the requirements of 49 CFR Part 26, the North Carolina Department of Transportation (NCDOT), through the Public Transportation Division, (PTD) has developed the proposed Overall Goal for qualifying Federal Transit Administration (FTA) funded projects and purchases from October 1, 2019 through September 30, 2022. The overall proposed goal for the FTA-funded projects is **1.9%**.

The Public Transportation Division, under the umbrella of the NCDOT, administers North Carolina's allocation of several funding programs, including the ones listed below;

1. **5307**
2. **5311**
3. **P2020**

The Division, on behalf of the NCDOT, receives and administers the funds according to the various FTA programmatic requirements. One of the requirements is developing and implementing the Disadvantaged Business Enterprise program as contained in regulations 49 CFR, Part 26. The development of overall triennial DBE goals is a regulatory compliance element required as a condition to receiving continued FTA assistance. The goal setting process for the Public Transportation Division (PTD) of NCDOT is explained herein, beginning below:

## **Goal Setting Process**

### *A. General*

The goal setting process presented in this document is consistent with the requirements and recommended format of USDOT regulations 49 CFR Part 26. Goal setting, according to USDOT regulations 49 CFR Part 26, is a two-step process. The first step is to obtain or develop a baseline goal for the "relative availability" of ready, willing and able DBE firms in the market area – in the case of any "State eligible" project expenditure, statewide, compared to all firms. Eligible expenditure refers to total grants expected to be awarded to the North Carolina Department of Transportation that have cumulative contracting opportunities of at least \$250,000 each year, excluding the acquisition of transit revenue vehicles. Since the overall goal covers three fiscal years, for purposes of planning, the estimated total FY 2020 federal funds will

be detailed, and then projected to be basically the same for the subsequent two fiscal years, i.e. FY 2021, and 2022. This will be the three-year DBE base. Notice Table 1, below:

Table 1:

<b>Federal Funding Program (FTA) Fiscal Year 2020</b>	<b>Amount:</b>	
5307	\$465,298	
5311	\$3,632,263	
P2020	\$1,290,749	
<b>Total</b>	<b>\$5,388,310</b>	<b>\$16,164,930-3yrs</b>

The total amount of estimated DBE-eligible FTA grant funding for FY 2020 is: **\$5,388,310**. If this annual funding level holds for the next three (3) years, then the total funding would be **\$16,164,930**.

The second step involves “adjusting” the baseline goal, if deemed necessary, to reflect specific additional factors that should be considered in refining the goal. This refinement could include the following:

- Assessing current capacity, as indicated by examining historic DBE participation rates for similar activities;
- Other information on statistical disparities between availability and utilization of DBE firms;
- And statistical or other quantifiable factors which reflect the impact of discrimination, such as difficulties in obtaining bonding, capitalization, etc.

All of the steps must be consistent with elements outlined in the federal regulations (49 CFR Part 26.45). A summary of this process includes the following:

### ***Goal Setting – Purchases***

Historically, the substantial majority of FTA grants have been used for administration and operating expenses, and vehicle purchases. As noted above, the Public Transportation Division expects to expend approximately **\$16,164,930** in DBE-eligible Federal grants between FY 2020 through 2022.

US DOT/ FTA has indicated that though these funds may not represent subcontracting opportunities in the conventional sense or as described in §49 CFR Part 26, (say, for airports or highways) since they are cumulative possible procurements which utilize federal funds, they too should be subject to DBE goal setting.

The NCDOT-Public Transportation Division is a direct recipient of the stated federal program funds, and subsequently passes the funding along to numerous sub recipients statewide, each year. The sub recipients submit program/project applications, including detailed budgets of how they intend to expend the funds during a budget year. To begin the goals analysis, each sub-recipient grant budget for FY 2020, was examined to identify potential purchasing opportunities. NCDOT has determined that the market area for purchases will be statewide (i.e. the state of North Carolina) since this is where a majority of the suppliers are located.

#### ***B. Baseline Goal Established:***

Next, the step one, or “base goal” is established by comparing the availability of DBE firms (as described in the NCDOT DBE directory) to the availability of all firms in the marketplace (as described in the 2018 U.S. County Business patterns from the U.S. Census Bureau).

The results of the comparative analysis are shown in Table 2b, below. The DBE relative availability is **0.8%**. To ensure that its Step 1 DBE Base Figure is accurate as possible the NC-PTD chose to use the additional step of weighting.

The results of the weighting analysis are shown in Table 2c, below. In all, the “weighted” DBE relative availability is **1.9%**. This, then is the step 1, or baseline DBE goal, using budget figures for the initial fiscal year, i.e. FY 2020, which will be applied by extension to funding for all three (3) years covered by the goal, FY 2020, 2021, and 2022.

**Table 2a: Weight of each type of work by NAICS Code**

(% of funds = Amount of DOT funds per NAICS code / Total DOT funds)

NAICS Code	Project/Expense	Amount of DOT funds on project:	% of total DOT funds (weight)
236220	Building C+A2:A30nstruction	\$1,558,527	0.096
237310	Highway & Street	\$226,224	0.014
238210	Electrical Contractors	\$58,095	0.004
238290	Building Equipment Contractors	\$167,625	0.010
315190	Other Apparel Knitting Mills	\$385,983	0.024
323111	Commercial Printing	\$105,186	0.007
334290	Other Communications Equipment	\$1,010,463	0.063
334310	Audio & Video Equipment	\$180,165	0.011
423120	Motor Vehicle Supplies	\$70,434	0.004
423420	Office Equipment Merchant Wholesalers	\$6,813	0.000
423430	Computer & Computer Peripheral Equipment & Software	\$603,966	0.037
423610	Electrical Equipment & Supplies	\$8,400	0.001
423720	Plumbing & Heating Equipment	\$13,491	0.001
423850	Service Establishment Equipment & Supplies	\$950,160	0.059
423990	Other Miscellaneous Durable Goods	\$42,000	0.003
424120	Stationary & Office Supplies	\$409,251	0.025
442110	Furniture Stores	\$19,056	0.001
443142	Electronic Stores	\$61,107	0.004
511210	Software Publishers	\$58,770	0.004
524210	Insurance Agencies	\$4,507,503	0.279
532310	Rental Centers	\$19,500	0.001
532420	Office Machinery Equipment	\$100,761	0.006
541110	Law Offices	\$34,524	0.002
541211	Certified Public Accountants	\$332,133	0.021
541330	Engineering Services	\$91,200	0.006
541511	Custom Computer Programming Services	\$1,281,066	0.079
541513	Computer Facilities Management	\$4,800	0.000
541611	Admin Management & General Management Consulting	\$1,710,165	0.106
541840	Media Representatives	\$830,886	0.051
541890	Other Services related to Advertising	\$142,173	0.009
541990	All Other Professional, Technical, Scientific & Technical Services	\$222,807	0.014
561621	Security Systems Services	\$240,588	0.015
561720	Janitorial Services	\$215,472	0.013
561790	Other Services to Buildings & Dwellings	\$75,576	0.005
611430	Professional & Management Development Training	\$208,932	0.013
621999	All Other Miscellaneous Ambulatory Health Care Services	\$47,232	0.003
811212	Computer & Office Machine Repair & Maintenance	\$83,943	0.005
811213	Communication Equipment Repair & Maintenance	\$54,753	0.003
812320	Dry cleaning & Laundry Services	\$25,200	0.002
<b>Total</b>		<b>\$16,164,930</b>	<b>1.000</b>

Source: North Carolina Dept. of Transportation Directory of Firms, June 2019

**Table 2b: Relative Availability of DBE's by NAICS Code**  
 (Relative Availability = # DBE Firms by NAICS / All Firms by NAICS)

NAICS Code	Project/ Expense	DBE Firms	All Firms	Relative Availability
236220	Building Construction	18	1129	0.016
237310	Highway & Street	87	339	0.257
238210	Electrical Contractors	11	2497	0.004
238290	Building Equipment Contractors	1	199	0.005
315190	Other Apparel Knitting Mills	0	9	0.000
323111	Commercial Printing	1	538	0.002
334290	Other Communications Equipment	1	11	0.091
334310	Audio & Video Equipment	1	10	0.100
423120	Motor Vehicle Supplies	2	355	0.006
423420	Office Equipment Merchant Wholesalers	1	247	0.004
423430	Computer & Computer Peripheral Equipment & Software	1	192	0.005
423610	Electrical Equipment & Supplies	1	475	0.002
423720	Plumbing & Heating Equipment	1	203	0.005
423850	Service Establishment Equipment & Supplies	0	130	0.000
423990	Other Miscellaneous Durable Goods	1	247	0.004
424120	Stationary & Office Supplies	0	130	0.000
442110	Furniture Stores	0	989	0.000
443142	Electronic Stores	0	858	0.000
511210	Software Publishers	1	273	0.004
524210	Insurance Agencies	1	3874	0.000
532310	Rental Centers	0	83	0.000
532420	Office Machinery Equipment	0	20	0.000
541110	Law Offices	1	4092	0.000
541211	Certified Public Accountants	1	1572	0.001
541330	Engineering Services	18	1577	0.011
541511	Custom Computer Programming Services	4	1668	0.002
541513	Computer Facilities Management	4	164	0.024
541611	Admin Management & General Management Consulting	20	2478	0.008
541840	Media Representatives	3	38	0.079
541890	Other Services related to Advertising	3	225	0.013
541990	All Other Professional, Technical, Scientific & Technical Services	11	343	0.032
561621	Security Systems Services	3	207	0.014
561720	Janitorial Services	10	1904	0.005
561790	Other Services to Buildings & Dwellings	4	369	0.011
611430	Professional & Management Development Training	5	221	0.023
621999	All Other Miscellaneous Ambulatory Health Care Services	2	120	0.017
811212	Computer & Office Machine Repair & Maintenance	1	171	0.006
811213	Communication Equipment Repair & Maintenance	0	54	0.000
812320	Dry cleaning & Laundry Services	0	626	0.000
<b>Combined Totals</b>		<b>219</b>	<b>28,637</b>	<b>0.008</b>

Source: North Carolina Dept. of Transportation Directory of Firms, June 2019

**Table 2c: (Weight 2a) X (Availability 2b) = Weighted Base Figure**

NAICS Code	Project/ Expense	Weight	X	Availability	Weighted Base Figure
236220	Building Construction	0.096	X	0.016	0.002
237310	Highway & Street	0.014	X	0.257	0.004
238210	Electrical Contractors	0.004	X	0.004	0.000
238290	Building Equipment Contractors	0.010	X	0.005	0.000
315190	Other Apparel Knitting Mills	0.024	X	0.000	0.000
323111	Commercial Printing	0.007	X	0.002	0.000
334290	Other Communications Equipment	0.063	X	0.091	0.006
334310	Audio & Video Equipment	0.011	X	0.100	0.001
423120	Motor Vehicle Supplies	0.004	X	0.006	0.000
423420	Office Equipment Merchant Wholesalers	0.000	X	0.004	0.000
423430	Computer & Computer Peripheral Equipment & Software	0.037	X	0.005	0.000
423610	Electrical Equipment & Supplies	0.001	X	0.002	0.000
423720	Plumbing & Heating Equipment	0.001	X	0.005	0.000
423850	Service Establishment Equipment & Supplies	0.059	X	0.000	0.000
423990	Other Miscellaneous Durable Goods	0.003	X	0.004	0.000
424120	Stationary & Office Supplies	0.025	X	0.000	0.000
442110	Furniture Stores	0.001	X	0.000	0.000
443142	Electronic Stores	0.004	X	0.000	0.000
511210	Software Publishers	0.004	X	0.004	0.000
524210	Insurance Agencies	0.279	X	0.000	0.000
532310	Rental Centers	0.001	X	0.000	0.000
532420	Office Machinery Equipment	0.006	X	0.000	0.000
541110	Law Offices	0.002	X	0.000	0.000
541211	Certified Public Accountants	0.021	X	0.001	0.000
541330	Engineering Services	0.006	X	0.011	0.000
541511	Custom Computer Programming Services	0.079	X	0.002	0.000
541513	Computer Facilities Management	0.000	X	0.024	0.000
541611	Admin Management & General Management Consulting	0.106	X	0.008	0.001
541840	Media Representatives	0.051	X	0.079	0.004
541890	Other Services related to Advertising	0.009	X	0.013	0.000
541990	All Other Professional, Technical, Scientific & Technical Services	0.014	X	0.032	0.000
561621	Security Systems Services	0.015	X	0.014	0.000
561720	Janitorial Services	0.013	X	0.005	0.000
561790	Other Services to Buildings & Dwellings	0.005	X	0.011	0.000
611430	Professional & Management Development Training	0.013	X	0.023	0.000
621999	All Other Miscellaneous Ambulatory Health Care Services	0.003	X	0.017	0.000
811212	Computer & Office Machine Repair & Maintenance	0.005	X	0.006	0.000
811213	Communication Equipment Repair & Maintenance	0.003	X	0.000	0.000
812320	Dry cleaning & Laundry Services	0.002	X	0.000	0.000
<b>Total</b>					<b>0.019</b>
<b>Expressed as a % (*100)</b>					<b>1.9%</b>

Source: North Carolina Dept. of Transportation Directory of Firms, June 2019

**C. Adjustment of Step 1, Baseline Goal:**

The regulations (49 CFR Part 26.45 (d)) require **considerations** of certain data or factors in order to “adjust” the Step One base goal if necessary, to obtain the final or “Step Two” overall goal. The regulations further state that there are many types of evidence that must be considered when adjusting the base figure. These include:

1. *The current capacity of DBEs to perform work in your DOT-assisted contracting program, as measured by the volume of work DBEs have performed in recent years.*
2. *Evidence from disparity studies conducted anywhere within your jurisdiction, to the extent it is not already accounted for in your base figure.*

**1. Indicators of past DBE Participation:**

**Table 3: DBE Participation: NCDOT-PTD, FY 2016-FY 2018**

Report Period	Grant \$	DBE Goals			Accomplishments			Over/Under
		RC	RN	Total	RC	RN	Total	
FY 16-1	\$34,725,395	0.0%	1.9%	1.9%	0.1%	1.4%	1.5%	-0.4%
FY 16-2	\$62,621,908	0.0%	1.9%	1.9%	N/A	N/A	0.0%	-1.9%
FY 17-1	\$23,429,390	0.0%	1.9%	1.9%	0.0%	1.0%	1.0%	-0.9%
FY 17-2	\$33,400,641	0.0%	1.9%	1.9%	0.0%	1.5%	1.5%	-0.4%
FY 18-1	\$21,251,335	0.0%	1.9%	1.9%	0.2%	0.0%	0.2%	-1.7%
FY 18-2	\$497,208,450	0.0%	1.9%	1.9%	N/A	N/A	0.0%	-1.9%
<b>Median</b>		<b>0.0%</b>	<b>1.9%</b>	<b>1.9%</b>	<b>0.05%</b>	<b>1.2%</b>	<b>0.6%</b>	<b>-1.3%</b>

Source: NCDOT: Contractual Services Unit, and Ken Weeden & Assoc.

The reported accomplishments were all less than the approved overall goal for each year. The median attainment was 0.6%, with a -1.3% median under-attainment. If the previously calculated goal of 1.9% is adjusted by the median attainment of 0.6% (averaging the two figures), then the final overall goal *would* be 1.25%. However, this is not the final goal.

**2. Disparity Study:**

The NCDOT completed a Disparity Study in 2014. The report did provide some indicators of “availability” of minority and women-owned firms, i.e. 17.27%. However, the Study appeared to emphasize construction contractors, in various trades, and the professional services related to them. It is likely that the providers of goods and services shown in Table 2 were under-represented, if at all. Therefore, the



availability indication in the 2014 Disparity Study will not be considered as an “adjustment” factor for the PTD baseline goal.

D. *Final Overall Goal:*

After consideration of both the median reported historic attainment, and indication of availability as noted in the NCDOT Disparity Study, the initial goal will not be adjusted by either. Therefore, the initial step one goal of 1.9 is the final DBE goal for the NC Public Transportation Division for FY 2020-2022. This overall goal shall also be given to the NC-PTD sub-grantee agencies as part of their grant responsibility. A list of previous and potential future sub-grantees/subrecipients is included in the Attachments.

**Consultation**

§49 CFR Part 26.45 (g)(1) states:

*“In establishing an overall goal, you must provide for public participation. This public participation must include: Consultation with minority, women’s and general contractor groups, community organizations, and other officials or organizations which could be expected to have information concerning the availability of disadvantaged and non-disadvantaged businesses, the effects of discrimination on opportunities for DBEs, and your efforts to establish a level playing field for the participation of DBEs.”*

Further guidance on goal setting issued by the U.S. Department of Transportation indicates that:

- *“... the process of consultation involves a scheduled face-to-face conference or meeting of some kind with individuals or groups of interested persons for the purpose of developing and/or assessing a proposed goal and methodology and seeking information or advice before a decision is made...*
- *...Recipients should identify groups within their contracting market that are likely to have information relevant to the goal setting process or that have a stake in the outcome of the process. Those groups should be contacted and invited to participate in a face-to-face exchange (which may occur at a public meeting) aimed at obtaining the kind of information set out in the regulation regarding establishing the overall DBE goal...*
- *Consultation is expected to occur before the proposed goal is established and prior to publication of the proposed overall goal for inspection and comment by the general public...”*

A consultation plan was developed and implemented for the Public Transportation Division’s (PTD) new FY 2020-2022 3-year DBE goal. The PTD has sub recipients from all across the state of North

Carolina who receive grants and operate programs in most of the state’s 100 counties. In order to provide more opportunities for input from various sectors in the State, prior to the goal being “finalized”, a draft was developed, and “stakeholder” consultation meetings were held in four (4) different geographically dispersed cities across the state. All of the sub recipients were sent notices about the meetings with a notation that they should attend one that was convenient to them. All of the sub recipients will be responsible for implementing and helping to achieve the DBE goals developed and passed along by the state PTD, so they were invited to participate in the process. Also, notices were sent to other agencies, including the NC Institute of Minority Economic Development and the NC MWBE Coordinators Network. The schedule, as contained in the letter/notice, is shown in the Table 5, below:

**Table 5: Schedule for Initial Stakeholder Consultation Meetings: FY 2020-2022 DBE Goals**

Location/Host:	Date/Time	Meeting Location:	Local Contact Info
Jacksonville-Onslow Co.	Wed. July 10, 2019 10:30- 11:30	815 New Bridge Street, Jacksonville, North Carolina 28540 Johnson Boulevard Conference Room-City Hall	Anthony Prinz <a href="mailto:aprinz@jacksonvillenc.gov">aprinz@jacksonvillenc.gov</a> (910) 938-5292
Greenville-Pitt Co.	Wed. July 10, 2019 3- 4 p.m.	1717 West 5 <sup>th</sup> Street Greenville NC 27834. Annex building	Cam Coburn <a href="mailto:cam.coburn@pittcountync.gov">cam.coburn@pittcountync.gov</a> <b>(252) 902-2010</b>
Fayetteville -Cumberland Co	Thurs. July 11, 2019- 10:30-11:30	Fayetteville Area Syst of Transit 455 Grove Street Fayetteville, N C 28301	Randy Hume, <a href="mailto:rhume@ci.fay.nc.us">rhume@ci.fay.nc.us</a> (910) 433-1747
Hickory-Catawba Co.	Mon. July 15 <sup>th</sup> , 2:00- 3 p.m.	Western Piedmont Council of Governments	Western Piedmont COG Hickory, NC , 28603
Raleigh	(Webinar Only) link will be emailed.	Tues. July 23, 10:30-11:30 Highway Bldg.	Attend in person, or online via webinar.

A total of **13** persons attended the four (4) meetings, with various transportation agencies represented at each. At each meeting a detailed explanation of the background and reasons for the goal process, FTA requirements, and steps in the methodology, was presented by the Division’s DBE Consultant, and followed by an open Q and A session. These sessions are summarized in **Attachment 1**.

After the draft goal was developed, the notice of the goal was published announcing the goal and the availability of the goal document and a 30-day review and comment period (**See Attachment 1**). \_\_\_ comments were received as a result of this notice. Also, a second phase of consultation stakeholder

meeting was held after the notice was published. However, instead of several physical meetings in various locations, one central meeting was held in the capital city of Raleigh. All of the previous attendees being invited to attend either in person, or via call-in webinar. The webinar session was conducted by the Consultant and Central Office PTD staff on July 23, 2019. Notices were sent statewide via email. A total of **4** persons attended in person and **19** joined online, via the webinar. At this webinar stakeholder consultation meeting, a summary of the “final” goal process was presented, and input was sought during the Q and A session. There were several questions and comments/observations from the webinar attendees and some general discussion about the DBE program and its perceived complexity. Information on the July 23, 2019 meeting are also contained in **Attachment 1**.

### **Breakout of Race-Conscious and Race-Neutral Goals for FY 2020-2022**

Federal DBE regulations require that grant recipients like the Public Transportation Division meet the maximum feasible portion of its overall goal by using race-neutral means of facilitating DBE participation (hereafter referred to as race-neutral).

The Public Transportation Division estimates that, in meeting its overall goal of **1.9%**, it will obtain **1.2%** from race-neutral participation and **0.7%** through race-conscious (contract) measures. The reason for the projected split is data on DBE participation with PTD indicates the median race-neutral participation has been **1.2% in periods where there has been DBE participation**.

### **Public Notice**

As noted above, along with the consultation meetings, the Public Transportation Division published a notice of the proposed overall goal, informing the public that the proposed goal and its rationale were available for review and comment during normal business hours at the Public Transportation Division’s administrative office for 30 days following the date of the notice. The notice included an address (including an office) to which comments could be sent and an address where the proposal could be reviewed. This was part of the process used to establish the goals for FY 2020-2022.

### **Contract Goals**

The NC Public Transportation Division will use contract goals to meet any portion of the overall goal that it does not project being able to meet using race-neutral means. Contract goals are established so that,

over the period to which the overall goal applies, they will cumulatively result in meeting any portion of our overall goal that is not projected to be met through the use of race-neutral means.

The Public Transportation Division will establish contract goals only on those FTA-assisted contracts that have subcontracting or DBE procurement possibilities. A contract goal does not have to be established 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 and/or provide the particular good or service). The Public Transportation Division will express its contract goals as a percentage of the total contract amount.

# **Attachment 1**

**The NCDOT-Public Transportation DBE PROGRAM (PTD)  
FY 2020-2022 –Overall DBE Goal  
Stakeholder Activities**

**LETTER TO POTENTIAL HOSTS OF “OUTLYING” STAKEHOLDER MEETINGS, NC Public Transportation Division- FY 2020-2022 DBE Goal Methodology**

**June 21, 2019**

**NC Division of Public Transportation-DBE Overall Goal: FY 2020-2022**

*Letter from Ken Weeden & Associates, DBE Program Consultants.*

**Greetings, NC Transit Provider:**

The North Carolina Public Transportation Division (PTD), which manages numerous federal grants from the FTA, is developing a new 3-Year Overall DBE Goal for FY 2020-2022. a requirement of the USDOT-FTA Disadvantaged Business Enterprise (DBE) program. The plan is to be submitted to the FTA by August 1, 2019. Our company, **Ken Weeden & Associates, Inc.**, is assisting the Division with this important project. The goal development process requires *consultation* and seeking input from the *stakeholder* community. Part of the PTD Consultation Plan consists of meetings in various parts of the state where you and other stakeholders are invited to hear a brief presentation of the new **2020-2022** goal, its methodology, and to share with the PTD and the consultant, your valuable thoughts and input on the goal methodology process. The meetings should last about an hour. Our ***desired meeting locations and schedule*** is shown below. (We are flexible). We would like your assistance in confirming a date/time, and meeting location for your respective area. We will send out invitations from data lists provided by the PTD. Feel free to share with us your own contact lists, etc., to help identify other potential invitees.

**Desired Schedule: NC Public Transportation Division DBE Goal Methodology, FY 2020-2022**

Location/Host:	Date/Time	Meeting Location:	Local Contact Info
Jacksonville-Onslow Co.	Wed. July 10, 2019 10:30- 11:30		Jacksonville Transit
Greenville-Pitt Co.	Wed. July 10, 2019 3- 4 p.m.		Pitt County Transit
Fayetteville -Cumberland Co	Thurs. July 11, 2019- 10:30-11:30		FAST-Fayetteville Transit
Hickory-Catawba Co.	Mon. July 15 <sup>th</sup> , 2:00- 3 p.m.		Hickory Transit
Raleigh	(Webinar Only-)	NCDOT-Highway Building	NCDOT -NC Transit

We very much appreciate your cooperation. We will send invitation/notices to other transit providers, giving them the opportunity to have representation at a location/time that is convenient to them. If you have any questions, please direct them to me, Ken Weeden, at 910.547.8047, or [Kenneth-weeden@kwaplanning.com](mailto:Kenneth-weeden@kwaplanning.com) Thank you so very much for your cooperation.

**Kenneth Weeden**

DBE Programs Consultant  
910.547.8047-m  
[www.kwaplanning.com](http://www.kwaplanning.com)

**CONFIRMATION LETTER TO Actual Hosts of Outlying Stakeholder Meetings: NC PTD FY 2020-2022 DBE Goal Methodology:**

**July 1, 2019**

**NC Division of Public Transportation-DBE Overall Goal: FY 2020-2022**

*Letter from Ken Weeden & Associates, DBE Program Consultants.*

**Greetings, NC Transit Services Provider:**

Thank you *very* much for agreeing to host a Stakeholder Meeting as part of the development of The North Carolina Public Transportation Division’s (PTD) new 3-Year Overall DBE Goal for FY 2020-2022. This is a requirement of the USDOT-FTA Disadvantaged Business Enterprise (DBE) program. Our company, **Ken Weeden & Associates, Inc.**, is assisting the Division with this important project. The goal development process requires *consultation* and seeking input from the *stakeholder* community. We are conducting meetings in various parts of the state where you and other stakeholders are invited to hear a brief presentation of the new **2020-2022** goal, its methodology, and to share with the PTD your valued thoughts and input on the goal methodology process. The meetings should last about an hour. Our **confirmed meeting locations and schedule** are shown below. We are sending out invitations/announcements from data lists provided by the PTD. Feel free to share the announcements with your own contact lists of vendors, community agencies, etc., as potential invitees.

**Confirmed Schedule: NC Public Transportation Division DBE Goal Methodology, FY 2020-2022**

Location/Host:	Date/Time	Meeting Location:	Local Contact Info
Jacksonville-Onslow Co.	Wed. July 10, 2019 10:30- 11:30	815 New Bridge Street, Jacksonville, North Carolina 28540 Johnson Boulevard Conference Room-City Hall	Anthony Prinz <a href="mailto:aprinz@jacksonvillenc.gov">aprinz@jacksonvillenc.gov</a> (910) 938-5292
Greenville-Pitt Co.	Wed. July 10, 2019 3- 4 p.m.	1717 West 5 <sup>th</sup> Street Greenville NC 27834. Annex building	Cam Coburn <a href="mailto:cam.coburn@pittcountync.gov">cam.coburn@pittcountync.gov</a> <b>(252) 902-2010</b>
Fayetteville -Cumberland Co	Thurs. July 11, 2019- 10:30-11:30	Fayetteville Area Syst of Transit 455 Grove Street Fayetteville, N C 28301	Randy Hume, <a href="mailto:rhume@ci.fay.nc.us">rhume@ci.fay.nc.us</a> (910) 433-1747
Hickory-Catawba Co.	Mon. July 15 <sup>th</sup> , 2:00- 3 p.m.	Western Piedmont Council of Governments	<b>Western Piedmont COG Hickory, NC , 28603</b>
Raleigh	(Webinar Only) link will be emailed.	Tues. July 23, 10:30-11:30 Highway Bldg.	<b>Attend in person, or online via webinar.</b>

If you have any questions, please direct them to me, Ken Weeden, at 910.547.8047, or [Kenneth-weeden@kwaplanning.com](mailto:Kenneth-weeden@kwaplanning.com). Thank you so very much for your cooperation.

**Kenneth Weeden**

DBE Programs Consultant

910.547.8047-m

[www.kwaplanning.com](http://www.kwaplanning.com)

**(Copied from PowerPoint Presentation Cover Slide for each Location, except for the Webinar)**

**The NCDOT-Public Transportation DBE PROGRAM (PTD)  
FY 2020-2022 –Overall DBE Goal  
Stakeholder Presentation**

**Three-Year Overall Goal Development  
Stakeholder Consultation Meetings**

- **Jacksonville, NC**
- **Greenville NC**
- **Fayetteville NC**
  - **Hickory NC**
- **-Raleigh NC- Webinar**

**July 10-11th; July 15<sup>th</sup>, and 22<sup>nd</sup>, 2019**

**With Assistance from:  
Ken Weeden & Associates, Inc.**



**MEETING Number 1:** North Carolina Department of Transportation -Public Transportation Division-  
FY 2020-2022, Disadvantaged Business Enterprise (DBE) Goal Methodology- Stakeholder Meetings:

**Jacksonville, NC -July 10, 2019 (morning)**

**(See Sign-In Sheet, Attached)**

PowerPoint presentation on DBE Goal Methodology, by Ken Weeden & Associates, Inc.-DBE Program Consultants:

**SUMMARY COMMENTS/QUESTIONS:**

1. We have such low DBE availability in the Jacksonville-Onslow County area.
2. We don't contract out a lot of stuff.
3. The biggest single issue is, people who have small businesses just don't want to go through the "process" of being certified. We have very few "certified" DBE firms.
4. The few certified firms in our area, prefer to work on the Marine Corps base at Camp LeJeune.
5. Operationally, there are only three (3) ...?
6. Certification itself, is an obstacle. It is too long a process. It is discouraging.
7. The State (PTD) doesn't achieve its own DBE goal; it's the subrecipients who must achieve the DBE goal for the State.

**Question:** Does the State (PTD) convey its DBE goals to Onslow Transit? Answer: No.

8. The State "encourages" us to use DBE firms for purchases and we have to submit participation reports, but they don't tell us "how", or what we can do, to achieve DBE goals.
9. They have not done a good enough job conveying the DBE message to and/or helping the subrecipients.

**MEETING Number 2:** North Carolina Department of Transportation -Public Transportation Division-  
FY 2020-2022, Disadvantaged Business Enterprise (DBE) Goal Methodology- Stakeholder Meetings:

**Greenville, NC -July 10, 2019 (afternoon)**

**(See Sign-In Sheet, Attached)**

PowerPoint presentation on DBE Goal Methodology, by Ken Weeden & Associates, Inc.-DBE Program  
Consultants:

**SUMMARY COMMENTS/QUESTIONS:**

1. **Question:** Is there a way to “Source” certain projects only to DBE firms, prior to a general solicitation? This could help in meeting DBE goals.

**MEETING Number 3:** North Carolina Department of Transportation -Public Transportation Division-  
FY 2020-2022, Disadvantaged Business Enterprise (DBE) Goal Methodology- Stakeholder Meetings:

**Fayetteville, NC -July 11, 2019**

**(See Sign-In Sheet, Attached)**

PowerPoint presentation on DBE Goal Methodology, by Ken Weeden & Associates, Inc.-DBE Program  
Consultants:

**SUMMARY COMMENTS/QUESTIONS:**

1. My concern is, what can DO to meet the State's DBE goal?
2. A big issue around here is, there aren't enough certified DBE firms.
3. Minority firms are hesitant to go through the certification process. It is viewed as very "invasive"

**MEETING Number 4:** North Carolina Department of Transportation -Public Transportation Division-  
FY 2020-2022, Disadvantaged Business Enterprise (DBE) Goal Methodology- Stakeholder Meetings:

**Hickory, NC -July 22, 2019**

**(See Sign-In Sheet, Attached)**

PowerPoint presentation on DBE Goal Methodology, by Wilfred Nixon, of Ken Weeden & Associates, Inc.-DBE Program Consultants:

**SUMMARY COMMENTS/QUESTIONS:**

1. Has the personal net worth cap to be DBE certified always been \$1.32 million?  
The cap was increased from \$750,000 to \$1.32 million on February 28, 2011.
2. What type of purchases are included to determine if a Grantee has to submit a DBE goal?  
If a Grantee anticipates awarding \$250,000 or more in prime contracts or purchases in a Federal fiscal year, they are required to submit a DBE goal.
3. Is the August 1<sup>st</sup> due date for the DBE goal firm?  
Yes, an extension can be requested.
4. Do SBEs count toward the DBE goal?  
No, only firms certified as DBEs by the NC UCP.
5. How often should our DBE program be updated?  
When there are changes to the regulations or changes that affect how the Grantee administers its program.
6. It would be good if subrecipients knew of NCDOT-PTD's goal.
7. It is difficult to meet our DBE goal because some DBEs have prices that are two or three times more than non-DBEs.
8. Does NCDOT-PTD send out a list of the DBELOs from subrecipients? This would give DBEs looking to do business with the state contacts in their region.

**MEETING Number 5:** North Carolina Department of Transportation -Public Transportation Division-  
FY 2020-2022, Disadvantaged Business Enterprise (DBE) Goal Methodology- Stakeholder Meetings:

**Raleigh, NC -July 23, 2019**

**(See Sign-In Sheet, Attached)**

PowerPoint presentation on DBE Goal Methodology, by Ken Weeden, of Ken Weeden & Associates, Inc.-DBE Program Consultants: In addition to **four (4)** in-person attendees in the Webinar room, there were **19** online attendees at the last meeting in Raleigh.

**SUMMARY COMMENTS/QUESTIONS:**

1. What is the WBE goal?  
There is no WBE goals for federal projects, only DBE goals.
2. What has been the goal attainment?  
Reviewed attainment slides.
3. NCDOT representatives are very responsive.
4. Events are mostly for construction services.  
Historically goals are not set for professional services firms.
5. As a prime do you have to have preapproved rates?  
Unaware of preapproved rates. There is a prequalification.
6. Are there different overall goals for each specific NAICS code?  
No, it is up to each individual recipient to meet the goal.
7. Are there consequences for PTD
8. not meeting goals?  
Yes, required to submit a shortfall analysis and correction action plan to FTA as to why goals were unmet.

**A listing of the online attendees, is shown on the next page:**

<b>Webinar Participants: NC PTD DBE</b>		
<i>Raleigh, NC-7-23/19</i>		
Kenneth Weeden	<a href="mailto:kenneth-weeden@kwaplanning.com">kenneth-weeden@kwaplanning.com</a>	
Blair Chambers	<a href="mailto:tbchambers@ncdot.com">tbchambers@ncdot.com</a>	
<b>Alleghany in Motion</b>		
Judy Heleine	<a href="mailto:jheleine@ces-group.net">jheleine@ces-group.net</a>	
<b>Kelly Walker</b>		
Latoya Gordon	<a href="mailto:Lgordon@city.fayetteville.nc.us">Lgordon@city.fayetteville.nc.us</a>	
Lisa Martin	<a href="mailto:martinlandscaping@rocketmail.com">martinlandscaping@rocketmail.com</a>	
<b>Randy Shank</b>		
Shawn Patch	<a href="mailto:spatch@newsouthassoc.com">spatch@newsouthassoc.com</a>	
<b>Supriya Raghaw</b>		
Zira Rhodes	<a href="mailto:zinar@wcchs.org">zinar@wcchs.org</a>	
Cherie Hampton	<a href="mailto:cherie@jwhamptoncompany.com">cherie@jwhamptoncompany.com</a>	
Cassandre Haynesworth	<a href="mailto:chaynesworth@ncdot.gov">chaynesworth@ncdot.gov</a>	
Jeff Cockerham	<a href="mailto:jcockerham@yveddi.com">jcockerham@yveddi.com</a>	
<b>Caller 11</b>		
<b>Caller 14</b>		
<b>Caller 15</b>		
Wilfred Nixon	<a href="mailto:wilfred-nixon@kwaplanning.com">wilfred-nixon@kwaplanning.com</a>	
Senia Hernandez	KWA-ATL-Intern	

CONNECT NCDOT  
BUSINESS PARTNER RESOURCES

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Connect NCDOT

## DBE Goals and Reporting

### 2020-2022 DBE Goal Methodology (FTA)

Connect NCDOT > Doing Business > Public Trans > DBE Goals and Reporting

#### DBE Federal Requirements

[DBE Goal Announcement 20190801](#)

[NCDOT Transit FY 2020 - 2022 DBE Goal](#)

#### PTD – Document Library

Resource documents and materials for Business Partners and Transit Providers.

#### PTD – Quick Links

- [Public Transportation events on the NCDOT Event Calendar](#)
- [PTD Intern & Apprenticeship Program Video](#)
- [Statewide Benefits of Transit by Transit System](#)
- [PTD Conferences](#)
- [Volkswagen Settlement](#)

connect.ncdot.gov

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**NOTICE TO THE PUBLIC:**  
**August 1, 2019**

**DISADVANTAGED BUSINESS ENTERPRISE (DBE) GOAL**  
for Federal Fiscal Years 2020-2022

**North Carolina Department of Transportation**  
Public Transportation Division

The North Carolina Department of Transportation hereby publishes proposed overall goals for its federal Disadvantaged Business Enterprise (DBE) Program for FY 2020 - 2022 for the Public Transportation Division. The proposed goal is for USDOT/FTA funded projects in FY 2020 - 2022. The proposed goal is:

NCDOT DIVISION	PROPOSED FY 2020 - 2022 OVERALL GOAL
Public Transportation Division	1.9%

The methodology used in developing this goal is available for inspection during normal business hours, until **August 30, 2019** at the following location:

**Division of Public Transportation:**  
Administrative offices of the Public Transportation Division, 1 S. Wilmington St.  
Raleigh, NC 27603. The Public Transportation Division will receive and consider public comments on the proposed goal until August 30, 2019. Comments may be delivered to the Public Transportation Division at the above address. For additional information and questions, please contact Tammy Montanez at (919) 707-4687.

**Comments for the Public Transit Division DBE goal may be mailed to following address:**

NCDOT – Division of Public Transit  
Attention: Tammy Montanez  
1550 Mail Service Center  
Raleigh, NC 27699-1550

All comments must be received by 4:30 p.m. on August 30, 2019.

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**NOTICE TO THE PUBLIC:**

**August 1, 2019**

**DISADVANTAGED BUSINESS ENTERPRISE (DBE) GOAL**

**for Federal Fiscal Years 2020-2022**

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NCDOT – Division of Public Transit  
Attention: **Tammy Montanez**  
1550 Mail Service Center  
Raleigh, NC 27699-1550

**All comments must be received by 4:30 p.m. on August 30, 2019.**



**Attachment 2**  
**List of Subrecipients**

**NCDOT-PUBLIC TRANSPORTATION DIVISION:  
Subrecipient Listings-Potential Subgrantees: FY-2020, 2021, and 2022**

Buncombe County	Union County	Goldsboro-Wayne Co.
Cherokee County	Alamance (ACT)	Greene County
Clay County	Burlington Transit	Greenville Area Transit
Jackson County	Caswell County	Jacksonville Transit
Macon County	Chatham Transit Network	Lenoir County
Madison County	Guilford County	Martin County
Mountain Projects Inc. Haywood Co.	High Point Transit	Onslow United Transit System, Inc.
Swain County Focal Point on Aging Inc.	Lee County (COLTS)	Pitt County/Pitt Area Transit System
Transylvania County	Moore County	Albemarle Regional Health Services (ICPTA)
Western Carolina Community Action Inc.	Orange County	Choanoke Co.(CPTA)
Alleghany County	Randolph County (RCATS)	Dare County
AppalCART Boone	Rockingham (ADTS)	Gates County
Ashe County	Bladen County (BARTS)	Hyde County / Tyrrell Co
Avery Co. (ACT)	Cumberland Transit	Washington County (Riverlight Transit)
Cleveland County Inc.	Harnett County	Graham County
Gaston County	Hoke County	Asheville Redefines Transit
Gastonia City	Richmond Interagency Transportation, Inc.	Cape Fear Co. - WAVE
Iredell County (ICATS)	Robeson County (SEATS)	Chapel Hill Transit
Lincoln County	Sampson County	Charlotte Area Transit System
McDowell County Transit	Scotland County (SCATS)	Concord CK Rider
Mitchell County	Brunswick Transit System, Inc.	Durham County
Polk County	Columbus County	Eastern Band Cherokee Indians
Rutherford County	Pender Adult Services Inc.(PAS)	Fayetteville Area System of Transit
Western Piedmont Regional	Johnston County Area Transit (JCATS)	Go Cary
Wilkes Transportation Authority (WTA)	Kerr Area (KARTS)	Go Durham
Yancey County Transportation	Person County (PATS)	Go Raleigh
Davidson County	Tar River Transit	Go Triangle
Winston-Salem Transit Authority (WSTA)	Wake Coordinated Trans Services (WCTS) (GoWake)	Greensboro Transit Authority
Yadkin Valley Econ Dev Dist (YVEDDI)	Wilson City / County	Hendersonville
Anson County	Beaufort County	Mecklenburg County (MTS)
Cabarrus County	Carteret County	Piedmont Authority for Regional Transportation
Rowan County (RTS)	Craven (CARTS)	Salisbury
Stanly County (SCUSA)	Duplin County	