Instructions for Completing the Semi-Annual Report of Awards/Commitments and Payments

ODOT's transit subrecipients are expected to keep accurate data regarding their awards/commitments and payments. The semi-annual reporting process allows ODOT and FTA to review a snapshot of this data. Ultimately, the reporting process allows ODOT and FTA to determine whether or not ODOT has met its transit DBE goal.

The blank report form is available at http://www.dot.state.oh.us/Divisions/Planning/Transit/Pages/FormsTemplates.aspx (click on DBE Semiannual Reporting Form). (These instructions are also downloadable from this page.)

However, if you submitted a report in the last reporting period, you should request that ODOT send you a report form that is pre-populated with data from your past report(s).

Reporting Period

The current Reporting Period is October 1, 2015 – March 31, 2016. However, the report is intended to show everything from April 1, 2014 – March 31, 2016. Therefore, it is important that you do not delete any old report data. Add your new report data using the next available blank lines.

Instructions Tab

Enter your contact information in the specified cells.

Vendors Tab

In **column A**, Vendor Name, list all firms for which you had a P.O. or contract that was open at any time between April 1, 2014 and March 31, 2016. *If it's easier, just list all of your vendors.*

In **column B**, DBE Status, select whether the firm is Non-DBE or DBE. The only entries allowed in this field are:

- Non-DBE
- DBE

Only firms that appear in the Ohio UCP Certification Listing Report are DBE's. Hint: When searching this listing, you should only enter the first few letters/first word of the vendor's name. Leave the NAICS type and County fields and the checkboxes alone.

Sorting: You may sort your list of vendors by highlighting the blue cells (and only the blue cells) and using Excel's Sort feature.

ODOT Projects Tab

Important: you may exclude from this tab any ODOT project that was for vehicle(s) and only for vehicle(s).

In **column A**, ODOT Contract Number, list all of your ODOT contracts (e.g., 090-RTPX-14-0100). You may need to include a contract more than once, depending on the number of projects it has.

In **column B**, ODOT Project Number, enter the ODOT Project Number (UPIN) for each project (e.g., BCG0001993). These should exactly correspond with your list of projects in BlackCat. **5310, JARC, New Freedom agencies:** if your agency/project is not yet set up in BlackCat, you will need to make up the project numbers, by numbering them sequentially, for example.

For columns C through F, the information is in BlackCat and/or on your ODOT contract.

In **column C**, ALI, enter the ALI.

In **column D**, Description, enter the Description.

In **column E**, Project Budgeted Total Cost, enter the Project Budgeted Total Cost.

In **column F**, Project Federal Cost, enter the Project Federal Cost (i.e., the award amount).

In **column G**, Project Total Cost Incurred to Date, enter the Project Total Cost Incurred to Date. This information is in BlackCat and/or on your most recent ODOT invoice.

In **column H**, Project Federal Reimbursment to Date, enter the Project Federal Reimbursement to Date. This information is also in BlackCat and/or on your most recent ODOT invoice.

In **column I**, Date This Row Updated, enter today's date after updating the amounts in columns E through H.

Sorting: You may sort your list of projects by highlighting the blue cells (and only the blue cells) and using Excel's Sort feature.

AwardsCommitments Tab

Only enter actual awards/commitments as evidenced by a P.O. that you sent to the vendor and/or a contract with the vendor.

Enter all P.O.'s/contracts that were open at any time between April 1, 2014 and March 31, 2016.

- If the P.O./contract was awarded between April 1, 2014 and March 31, 2016, include it.
- If the P.O./contract was awarded before April 1, 2014, include it if the date of the final payment or the end date of the P.O./contract, whichever is later, was April 1, 2014 or later.
- If the P.O./contract was awarded on or after April 1, 2016, it is not necessary to include it (but it doesn't hurt if you do)

In **column A**, P.O. or Contract Number, enter the P.O. or Contract Number. Each P.O. or contract must have a unique number.

In **column B**, P.O. or Contract Award Date, enter the P.O. or Contract Award Date. The Award Date is most appropriately the date on the cover letter that accompanied the document when it was sent to the vendor. If no cover letter was used, then the award date is the P.O. date or the earliest signature date on the contract.

In **column C**, P.O. or Contract Award Type, enter the P.O. or Contract Award Type. The only entries allowed in this field are:

- Prime contract
- Subcontract

For a P.O., select Prime contract.

In **column D**, Prime Contract Number, an entry is only needed if you selected Subcontract in column C, in which case you would enter the Contract Number of the Prime Contract for which this subcontract is associated.

In **column E**, ODOT Project Number, enter the ODOT Project Number. The ODOT Project Number must match one of the ODOT Project Numbers listed in column B of the ODOT Projects tab.

In **column F**, Description, enter a description of the goods/services being procured under this P.O. or contract. It helps if no two descriptions are alike (e.g., Oil Changes—2014, Oil Changes—2015).

In **column G**, Vendor Name, enter the Vendor Name. The Vendor Name must match one of the Vendors listed in column A of the Vendors tab.

In **column H**, P.O. or Contract DBE Methods, enter the DBE methods used. The only entries allowed in this field are:

- Race Neutral methods
- Race Conscious methods

At this time no subrecipient is using Race Conscious methods, so enter Race Neutral methods.

In **column I**, DBE Ethnicity-Gender, enter the DBE Ethnicity-Gender. Refer to the Vendor tab. If the Vendor tab shows Non-DBE, then put Non-DBE in this field as well. If the Vendor tab shows DBE, use the Ohio UCP Certification Listing Report to determine the firm owner's ethnicity-gender. The only entries allowed in this field are:

- Black American Woman
- Black American Man
- Hispanic American Woman
- Hispanic American Man
- Native American Woman
- Native American Man
- Asian-Pacific American Woman
- Asian-Pacific American Man
- Subcontinent Asian American Woman
- Subcontinent Asian American Man

- Non-Minority Woman
- Non-Minority Man
- Non-DBE

In **column J**, P.O. or Contract Award Amount (Total), enter the P.O. or Contract amount.

In **column K**, Amount to Be Subcontracted (Total), enter the amount of the contract that will be subcontracted.

In **column L**, Date P.O. or Contract Completed, enter the date of the final payment or the end date of the P.O./contract, whichever is later.

The process for entering subcontracts is the same. Remember that the sum of the subcontract Award Amounts must equal the associated prime contract's Amount to Be Subcontracted.

Sorting: You may sort your list by highlighting the blue cells (and only the blue cells) and using Excel's Sort feature.

Question: What if some of my agency's P.O.'s are for internal use only, i.e., they're never sent to the vendor?

Answer: Those P.O.'s would not be included.

Question: What if my agency requires a contract and a P.O. for the same purchase?

Answer: Report one or the other, not both.

Payments Tab

Enter **all** payments up through and including March 31, 2016, on **all** P.O.'s and contracts included on the AwardsCommitments tab.

Payments should be entered individually—one payment per line. If, however, you prefer to aggregate payments, you may do so but *you will need to submit separate documentation showing the individual payment amounts and dates*.

If aggregating payments, do so using the following periods:

- Apr. 1, 2014-Sep. 30, 2014
- Oct. 1, 2014-Mar. 31, 2015
- Apr. 1, 2015-Sep. 30, 2015
- Oct. 1, 2015-Mar. 31, 2016

In **column D**, P.O. or Contract Number, enter the P.O. or Contract Number. The number must match one of the P.O. or Contract Numbers listed in column A of the AwardsCommitments tab.

In **column E**, Payment Number, enter the Payment Number. This is an optional field that you can use if it helps you keep track of what you've entered.

In **column F**, This Payment Line Is an Aggregation of Individual Payments (y/n), enter y if the payment information you are entering is an aggregation of individual payments. Otherwise, enter n. *(If you aggregate payment information, you will need to submit separate documentation showing the individual payment amounts and dates.)*

In **column G**, Payment Date, enter the payment date. If aggregating, use the date of the latest payment.

In **column H**, Payment Amount (Total), enter the payment amount.

In **column I**, Subcontracted Amount (Total), enter the amount of this payment that went to a subcontractor (if any).

The process for entering subcontractor payments is the same.

Sorting: You may sort your list by highlighting the blue cells (and only the blue cells) and using Excel's Sort feature.

<u>Report Tab</u>

In **cell H6**, enter today's date after having completed the rest of the report.

In **cell G7**, select the current reporting period (Oct. 1, 2015-Mar. 31, 2016).

In **cell C8**, enter your agency's name and complete address.