

September 18, 2012

To Prospective Proposal Applicants:

The Alabama Department of Transportation (ALDOT) is giving notice that we are in need of Request for Proposals (RFP) regarding the delivery of Supportive Services (SS) in the form of a Mentor Protégé Program for Disadvantaged Business Enterprises (DBE) within the state of Alabama.

Each proposal submitted will be reviewed for content and conformance to regulations found in 23 CFR 230, Subpart B. Proposals will also be reviewed and evaluated based on:

1. Adherence to the 10 page limit, which should be typewritten in 12 font and single spaced. The 10 page limit does not include the cover page.
2. A Program Summary: Include a description of your program inclusive of purpose, administrative costs (e.g. program staff and salaries, programmatic costs, etc.), and how it will address each identified need of the DBE firms within the state of Alabama based on an allocated funding amount of \$167,983.00. Identified needs of DBEs include items such as:
  - a. Ability to maintain their certification with ALDOT.
  - b. Ability to compete successfully in the marketplace outside the DBE program.
  - c. Abilities and skill levels assessed that merits serving in a learning capacity (protégé) and advancing the development of their businesses.
  - d. Abilities being enhanced educationally through exposure to successful business practices.
  - e. Ability to detect individuals that have requisite skills and proven business practices in the highway construction industry.
  - f. Ability to interact with individuals that can serve as mentors and educate DBEs for a defined period to attain proficient skills (e.g. financial, marketing, contract opportunity, etc.) that enhances acquiring work opportunities in the highway construction and related industries.
  - g. Ability to use skills obtained from mentors to review documents within project lettings, identifying work opportunities, and submitting more quotes to contractors desiring to bid as primes.
3. Program Duration: Include measures that outline length of program and responsibilities of participants. Measures entail:
  - a. A Mentor Protégé Program that has through the creation of required documents a duration period of twelve (12) months from the date the documents are signed.
  - b. Documents being reviewed by ALDOT prior to final signature for adherence to criteria outlined in 49 CFR Part 26 Appendix D that states the responsibilities of the Mentor and Protégé.

4. Program Goals and Metrics: The inclusion of procedures that allow for an internal inspection to determine the level of achievement for program goals and objectives. Additionally, include procedures that identify how the program will be measured in regards to achievement of stated goals during its duration. Performance measures will entail items such as:
  - a. Creation and usage of monthly reporting period.
  - b. Insertion of narrative statements that describe program activities on a weekly basis. Narrative also describes steps taken by the mentors to help the protégés with their assessed needs (e.g. financial, marketing, contract opportunities, etc.).
  - c. Completion of forms (e.g. contact forms, sign in sheets, etc.) that document weekly activities.
  - d. Satisfactory progress toward completing the plan (e.g. developmental plan) that cites activities (e.g. attendance at scheduled training sessions, usage of business related software, etc.) identified for completion by the protégé.
  - e. Increased financial/bonding capacity by protégé.
  - f. Increased number of projects by protégé with contractors other than mentor.
  - g. Increased number of quotes for work submitted by protégés to ALDOT.
  
5. Budget Summary includes narrative and justification: Development of a budget that provides for staffing inclusive of fringe benefits at a level not to exceed 41% of allocated funding amount, programmatic expenses (e.g. travel, materials and supplies, etc.), administrative costs at a level that does not exceed 15%, and justification for each desired budgetary line item.

Proposals submitted must follow the guidance as cited in the preceding statements and the 2012 Statement of Work instructions listed on the next page. Proposals must show receipt by ALDOT no later than October 12, 2012 at 5:00 p.m., and will be evaluated based on adherence to this standard. Please send your proposal via mail to:

Attn: Mr. John Huffman  
DBE Unit  
Personnel and Compliance Bureau  
Alabama Department of Transportation  
2720 Gunter Park Drive West  
Montgomery, Al 36109

Proposals sent by email to [huffmanjo@dot.state.al.us](mailto:huffmanjo@dot.state.al.us) must be received by 5:00 p.m. on October 12, 2012.

Please call (334) 244 - 6261, or email me at the address provided above if you have any questions or if you would like additional information.

# **FISCAL YEAR 2012 INSTRUCTIONS**

**For Preparing The**

**Disadvantaged Business Enterprise Supportive  
Services Program**

**Statement of Work**



**Prepared By:**

**Federal Highway Administration  
Office of Civil Rights**

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## PART 1: INSTRUCTIONS AND GUIDELINES

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*Note: Statement of Work should not exceed 10 pages*

### Section A: Scope of Work

This section of the statement of work (SOW) should include the following information:

- ✚ A purpose statement that provides a narrative summary including the amount of funding the State Transportation Agency is requesting, why the funding is being requested, and how the funding will be used. [Example: ABC State is requesting \$XXX,XXX in DBE/SS funding to implement a mentor-protégé program to increase DBE capacity by developing business and technical skills through linkages with prime contractors.]
- ✚ The performance period (not to exceed 1-year) should clearly establish the beginning and ending dates for delivering specific services.
- ✚ In the Statement of Work (SOW), please explain how the identified needs and/or barriers to the DBE community will be addressed in achieving the stated goals and expected results of the DBE/SS program. A needs assessment may be accomplished through a variety of means, including surveys, reviewing internal data about participation, and obtaining information from service providers, construction company owners, and State construction and project engineers who have knowledge about performance on highway construction projects.
- ✚ A clear and precise timeline that includes: 1) all key tasks or activities that will be carried out to implement the program; 2) when all key tasks or activities will be carried out over the performance period; and 3) quarterly dates for submission of evaluation and monitoring data results to FHWA. An annual report should be submitted to the Headquarters Office of Civil Rights 60 days after the program's completion.
- ✚ A clear and precise description of services to be provided that will contribute to the long-term development of DBEs and that assist DBEs to grow and become self-sufficient in order to achieve proficiency in competing for contracts and subcontracts. Some services that could be provided are technical assistance, managerial assistance, financial

assistance, outreach, training, capacity building or any other relevant activities that are consistent with FHWA guidance at 23 CFR 230.204(c)(g)(h).

## **Section B: Program Goals and Objectives**

Program goals and desirable results should be established for the performance period. These goals and results should be based on the barriers and issues identified in the needs assessment. Establishing specific program goals and results facilitates assessing the effectiveness of the DBE/SS program. Goals and anticipated results should be written in specific, measurable terms with time frames for achievement.

### **PART 2: BUDGET SUMMARY AND JUSTIFICATION**

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*Note: Statement of Work should not exceed 10 pages*

The budget summary is needed and outlines how the DBE/SS program's total cost is allocated by line items. This summary should be in table format and include:

- ✚ Main budget line item categories;
- ✚ Identification of in-kind funds and/or services; and,
- ✚ Total amount for each category in table format.

There are two budget categories operational and performance-based. Following is a brief description of each kind of budget:

- ✚ **A Performance-based budget** is useful because it identifies specific tasks and the dollar amount associated with each task. The tasks are specifically related to the statement of work, which is based on the needs assessment. Payments are made based upon the completion of specific tasks. A performance-based budget also serves as a good monitoring tool because on a monthly or quarterly basis, it can be determined how much of the budget has been expended; duration of the activity; and, the dollar value of providing the most needed services.
- ✚ **An Operational-based budget** is a budget that includes line items of all expenses that are not tied to specific tasks. Program funds can be used to support the salary of a full-time or part-time coordinator used exclusively to administer an "in-house" DBE/SS program.

When formulating your budget, be aware that the amount requested should be the same as the amount reflected in your purpose statement. The total dollar amount in your budget summary and the amount requested in your purpose statement should match. **If these amounts differ, your SOW will not be reviewed any further for funding consideration.**

In addition to the budget summary, a narrative explaining, in detail, how the funds requested will be used should be provided. This narrative should correspond to the information provided in your budget summary and provide further information on each line item submission. **The FHWA Division Office should carefully review the budget to ensure that the estimated costs and expenses are relevant before the SOW is submitted to HCR.**

### **PART 3: EVALUATION AND MONITORING**

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*Note: Statement of Work should not exceed 10 pages*

Program monitoring and evaluation is necessary to help ensure the quality of the DBE/SS program through communication, follow-up, and adjustments. The monitoring and evaluation must assess the results of the project, document effectiveness, and identify needed improvements.

To ensure effectiveness of the DBE/SS program, STAs should maintain a sufficient level of oversight over any supportive services consultants to measure progress and address shortfalls. The FHWA Division Office, through its oversight and stewardship responsibilities, should conduct periodic reviews of the STA's DBE/SS program.

The evaluation and monitoring plan should include:

- ✚ A review of each program objective and a narrative explaining how it will be determined whether each objective has been achieved.
- ✚ The type of information to be collected for evaluation purposes.
- ✚ Identification of the frequency with which the information will be collected (monthly or quarterly)
- ✚ Identification of the person(s) responsible for collecting the information
- ✚ Identification of the person(s) responsible for analyzing information and reporting the results to FHWA.

While it may be difficult to measure results of specific supportive service activities, accomplishments can be measured that correlate with the services provided.

## **PART 4: REPORTING REQUIREMENTS**

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*Note: Statement of Work should not exceed 10 pages*

Quarterly reports are required to be sent to the FHWA Division Office (may be emailed) and must include sufficient data and narrative to help evaluate performance, identify problems, and recommend solutions. At a minimum, the reports must include accomplishments for each goal and anticipated result. An annual report is required to be sent to the Headquarters Office of Civil Rights 60 calendar days after the end of the fourth quarter and must include:

- ✚ A comprehensive account of accomplishments [For example: How many DBE firms were assisted? How many DBE firms were awarded contracts on Federal-aid highway construction projects? Did the STA partner with other organizations to implement the DBE/SS program, and, if so, what are those organizations and how did they contribute to the success of the program?];
- ✚ Any concerns identified and resolutions implemented [For example: Were there any logistical or resource obstacles that prevented the program from meeting its performance measures? Did the STA underestimate the amount of funding needed to accomplish its performance objectives?];
- ✚ Recommendations for improvement; and,
- ✚ Any other items impacting the DBE/SS program.

## **CLOSING**

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*Note: Statement of Work should not exceed 10 pages*

These guidelines reflect changes to the DBE/SS program and have eliminated some previous components, i.e. STA Involvement, Project Personnel, Partnerships, and Basis of Payment. The FHWA frequently receives requests for information about the DBE/SS program from the Office of the Secretary of the USDOT, Congressional Committees, and other Federal and State entities. Therefore, although these components have been eliminated to streamline the process, STAs should consider maintaining this information on file to support their program efforts.