



**TRB-DBE  
National DBE Program Manager Survey  
Fall 2008**

**Conducted by  
Center for Survey Research  
Institute of State and Regional Affairs  
The Pennsylvania State University**

**November 2008**

**WWW.TRBDBE.ORG**

## Acknowledgements

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Special thanks to Stephanie Wehnau, Assistant Director of the Center for  
Survey Research at Penn State for assistance with the questionnaire  
wording and administration of the web survey.

# TRB-DBE National DBE Program Manager Survey Report

## Background

The TRB-DBE Committee sponsored a web based survey of state DBE Program Managers that was conducted between September 15 and October 17, 2008. The purpose of the survey was to gauge the latest issues and concerns of the DBE program nationally and to use the results to stimulate directed research into the problems facing DBEs in general and the DBE program more specifically. The survey was conducted by the Center for Survey Research located at Penn State Harrisburg.

Twenty seven states and the District of Columbia responded (out of 52) which yielded a response rate of 54%. A copy of the email invitation to state DBE coordinators can be found in *Appendix A*. Follow-up reminder email can be found in *Appendix B*. A list of state DBE Program Managers that were invited to participate can be found in *Appendix C*. A copy of the Survey questions can be found in *Appendix D*. A content analysis of the survey responses can be found in *Appendix E*.

Survey questions focused on the following four topics:

1. Most important problems facing state DBE Programs
2. Race Conscious and Race Neutral goals for FHWA, FAA and FTA
3. Race Neutral Activities in state DBE Programs
4. Innovations in state DBE Programs

## Summary of Findings

### *1. Most Important Problems Facing State DBE Programs*

Sixty-nine individual responses were provided by states regarding problems facing the DBE Program. These responses have been organized into the following six topical areas:

- A. DBE Program Administration
- B. Issues with Federal Highway Administration
- C. Goal Setting Issues
- D. DBE Issues
- E. Majority Contractors
- F. Construction Related Issues on DBE Program

Specific responses follow organized by topical area:

#### A. DBE Program Administration

1. Insufficient staff to carry out responsibilities
2. Budget. The budget has impacted staffing and the undertaking of projects this year
3. Lack of funding and resource/staff
4. Staffing needs by states to monitor and administer the DBE program
5. The DBE Certifier position has been vacant for nearly a year. Certifications are therefore backlogged
6. Having a DBE staff of one that's within 1-2 years of retirement. It's never going to be a popular program. This program keeps being transferred around from one office to

- another. I think it's because once the new supervisor discovers all this program entails, they can't get rid of it fast enough
7. Separate MWBE goals from DBE project goals
  8. Marketing
  9. The need to complete a disparity study
  10. Failure of lead management to buy into the findings of disparity study
  11. Good Faith Effort Evaluation: Primes want DBE office to codify a numerical formula to help them create a level playing field. DBEs want more teeth in the program: require primes to list DBE and percentage with bid, denials when price is within 5% DBE office want proactive, early Prime DBE interaction for technical advice/assistance; challenge is how to credit meaningful effort
  12. How to bring on-board contracting officer to enforce administrative remedies when prime contractors are in non-compliance with DBE regulation
  13. Legal challenges and court decisions
  14. Need for more funding for the DBE Supportive Services program and a relaxation of the requirements to qualify for this type of funding. New requirements under previous civil rights director were determined to be onerous and impractical by many states
  15. No Supportive Services funding
  16. Recruiting new qualified DBE firms - due to PNW, and lack of willingness for a minority owned firm to fill out the required paperwork
  17. Poor recordkeeping does not keep a running tally of payments to DBE subcontractors. As such, most divisions do not know if they are meeting their annual overall goal
  18. Dealing with the every day challenges concerning administering the DBE program including good faith efforts, contract compliance and acceptance of program requirements, etc
  19. Guidance on how and when to include DBE contract goals
  20. In addition to the DBE goals and/or program there should be a Historically Under Utilized Business component. Most DBE's do not like the term "disadvantaged."
  21. Lack of consistency in certification standards between states

#### B. Issues with Federal Highway Administration

1. Getting goal approved by the FHWA
2. The difficulty with federal agencies to approve the goal setting methodology in the disparity study
3. Lack of support from the Nebraska Division FHWA office
4. Poor communication and inconsistent or nonexistent guidance from FHWA
5. Guidance on certification of DBE applicant who are not part of the presumed groups and who are not white males either
6. Stricter interpretation of federal regulations and tighter scrutiny of STA submissions by FHWA HQ
7. The new DBE/SS handbook is extreme overkill. Not knowing whether we'll get funded from year to year is very frustrating. This year we got what we asked for, but last year we originally got zero, then after re-submitting the work statement, got 100%. It left us dangling for several months and now I am always wondering if we'll get funded. It's been said that it was harder to get \$100,000 for DBE/SS than our entire construction budget. There doesn't seem to be any common sense here.

### C. Goal Setting Issues

1. In absence of disparity study we have had to set all goals race neutral and resulting DBE participation has decreased
2. Lack of race neutral activities.
3. Design Build - DBE goals are being met entirely through construction

### D. DBE Issues

1. DBEs ability to obtain bonding (two states indicated this response)
2. Access to capital
3. Assisting DBEs with access to credit and capital as well as bonding (two states indicated this response)
4. Cash Flow
5. Many of our DBE firms are stuck in the subcontracting arena due to bonding capacity issues
6. Building DBE capacity
7. Decreasing usage of DBEs by prime contractors since the implementation of a race/gender-neutral program
8. Encouraging more race-neutral DBE participation by contractors and consultants
9. Established and successful DBE firms are leaving the program. Newer DBE firms don't have the experience (and haven't been used since contractors would prefer to use DBE firms they have experience with)
10. The older DBEs are retiring and there are not many new firms coming on-line to take up the industry work. However, we are seeing this throughout the industry, not just with DBE firms
11. Firms graduating from the program are not being replaced by an equal number of new DBE's
12. Smaller DBE firms often are not capable of managing a business. They often know how to do the field work, but not the office work
13. Prime contractors are not eager to work with new DBEs
14. Primes are reluctant to use new subs
15. Lack of DBE prime contractors
16. Few or no DBEs certified for specialty work such as ITS
17. It appears that the majority of our DBE firms, both currently certified and new applications being received, are based in the consulting classifications and not in the construction industry classifications
18. Losing highway-related DBEs and gaining non-highway out-of-state DBEs. The number of certified firms has stayed about the same for the last 20 years, going up just slightly. We keep losing the ones we want to keep and getting applications from the ones we never use. The number of DBEs getting work on our fed-aid highway projects keeps going down. I think most of them drop their certification because they feel that the benefit does not outweigh the paperwork.
19. Not getting an influx of new DBEs
20. Would like to increase the number of ready, willing and able DBEs on Federal-aid construction projects
21. The white woman owned firms are getting the majority of the work committed to DBE firms

22. Strong vertical construction activity reduces the number of DBE firms that are bidding on federal highway work
23. Apathy among DBE owners
24. DBE's do not consider it a success to graduate from the DBE program
25. DBE firms are disproportionately in traffic control
26. Once most firms have found their niche, there is no desire or incentive to diversify. This is not exclusive to DBE firms.
27. Desire to expand their business without the knowledge to identify which way to go
28. Difficult to get DBEs to participate in business development programs, training and matchmaker events
29. Passiveness by DBEs in participating in a race/gender-neutral program (not actively using DBE/SS)
30. Smaller DBE firms not wanting DBE SS assistance.

#### E. Majority Contractors

1. Follow through by contractors on their commitments prior to award
2. Good Faith Effort
3. Prime contractors are subbing out less work because of economic conditions
4. Lack of cooperation from Prime contractors

#### F. Construction Related Issues on DBE Program

1. Rising fuel cost and the subsequent rise in supply cost
2. Hyperinflation in the letting costs (fuel, material/supplies): more \$\$ than ever before but considerably less spending power; represents lowest purchasing power in 20 years. What will the impact be on the DBE program: goal enforcement, DBE achievement, DBE firm's ability to compete
3. Slow Economy

## ***2. Race Conscious and Race Neutral Goals for FHWA, FAA and FTA***

### **2009 FHWA Goals**

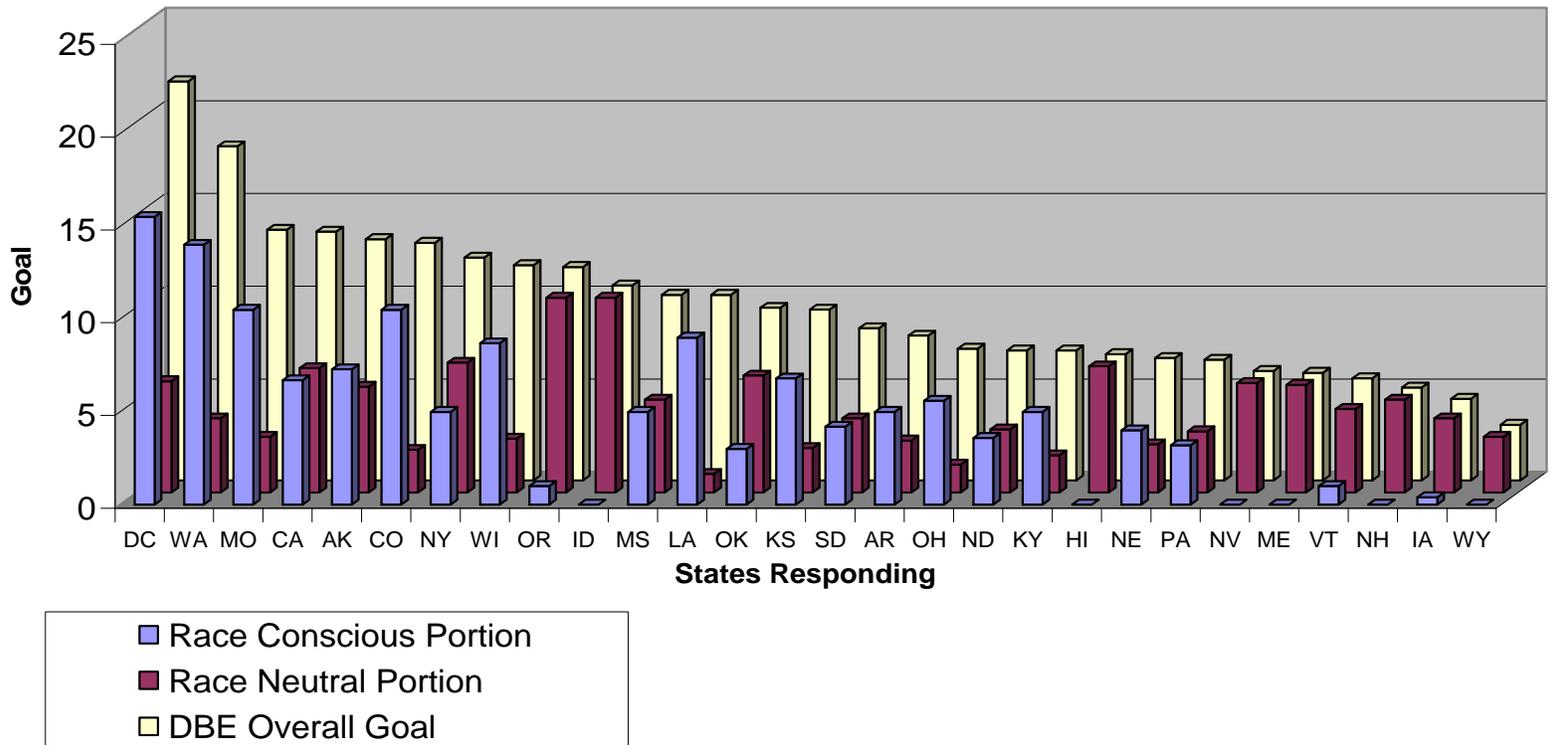
The 2009 FHWA Overall Goals reported by those responding ranged from a high of 21.5 (DC) to a low of 3.0 percent (WY). The 2009 FHWA Race Conscious portion ranged from a high of 15.5 (DC) to a low of zero percent (multiple states). The 2009 FHWA Race Neutral portion ranged from a high of 10.5 (OR & ID) to a low of 1 percent (LA).

Twelve states had a race neutral goal larger than the race conscious portion, two states had equal portions for race neutral and race conscious goals and 14 states had a race conscious goal larger than the race neutral portion. The average goal for those responding was 9.4 overall, 4.8 race conscious and 4.6 race neutral.

Six states indicated that they had a FHWA race conscious goal of zero but no state had a FHWA race neutral goal of zero.

**Graph 1** (on the following page) depicts this variation in FHWA Goals by state.

**GRAPH 1: FHWA Goals 2009**



**2009 FAA Goals**

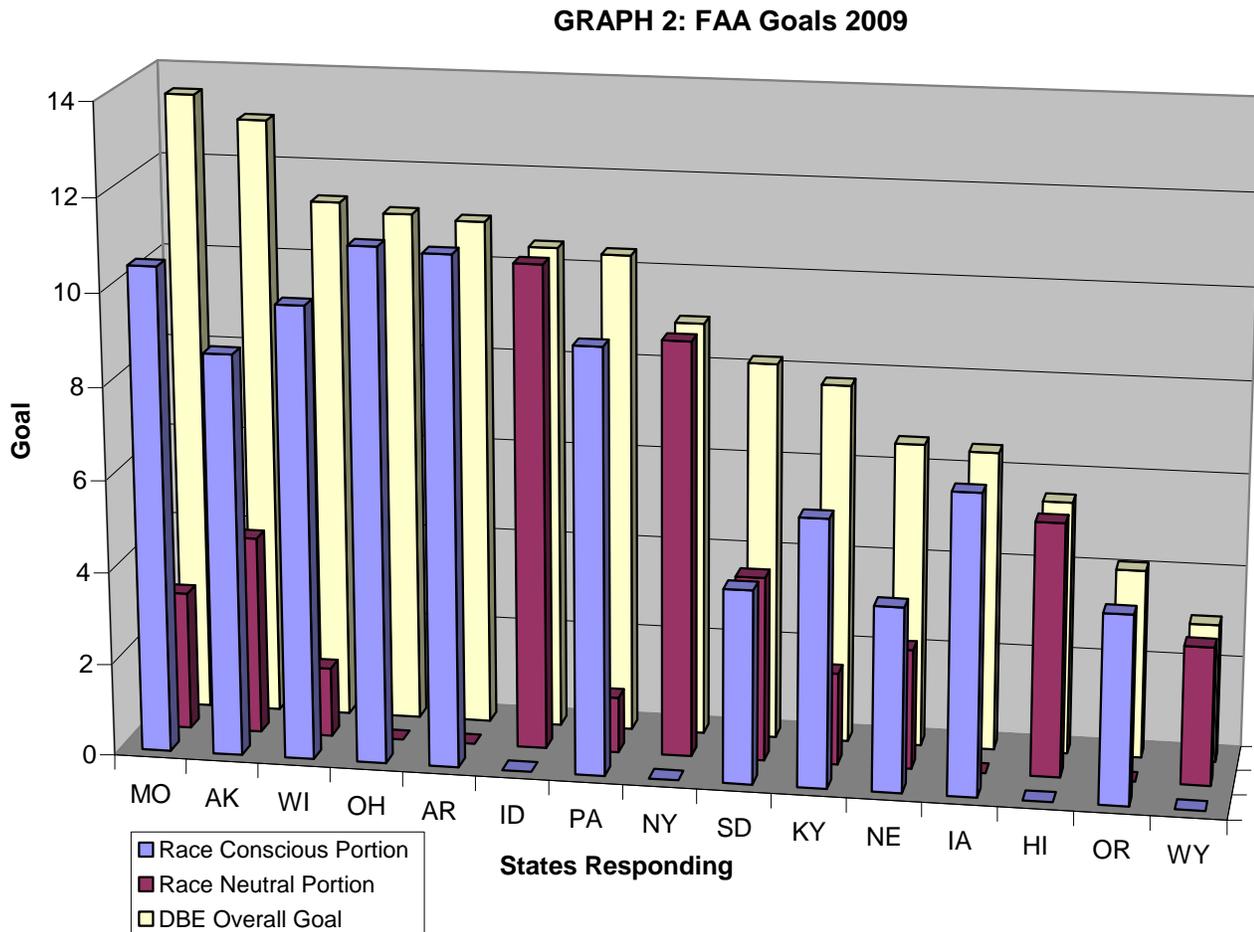
The 2009 FAA Overall Goals reported by those responding ranged from a high of 13.5 (MO) to a low of 3.0 percent (WY). The 2009 FAA Race Conscious portion ranged from a high of 11.1 (OH) to a low of zero percent (multiple states). The 2009 FAA Race Neutral portion ranged from a high of 10.5 (ID) to a low of zero percent (multiple states).

Four states had a race neutral goal larger than the race conscious portion, two states had equal portions for race neutral and race conscious goals and 11 states had a race conscious goal larger than the race neutral portion. The average goal for those responding was 8.8% overall, 5.7% race conscious and 3.1% race neutral.

Four states indicated that they had a FAA race conscious goal of zero and four states had a FAA race neutral goal of zero.

**Graph 2** (below) depicts this variation in FAA Goals.

*Please note: The FAA Goal submitted by MoDOT is the same numbers as in the FHWA Goal, because they haven't submitted an FAA goal separately.*



**2009 FTA Goals**

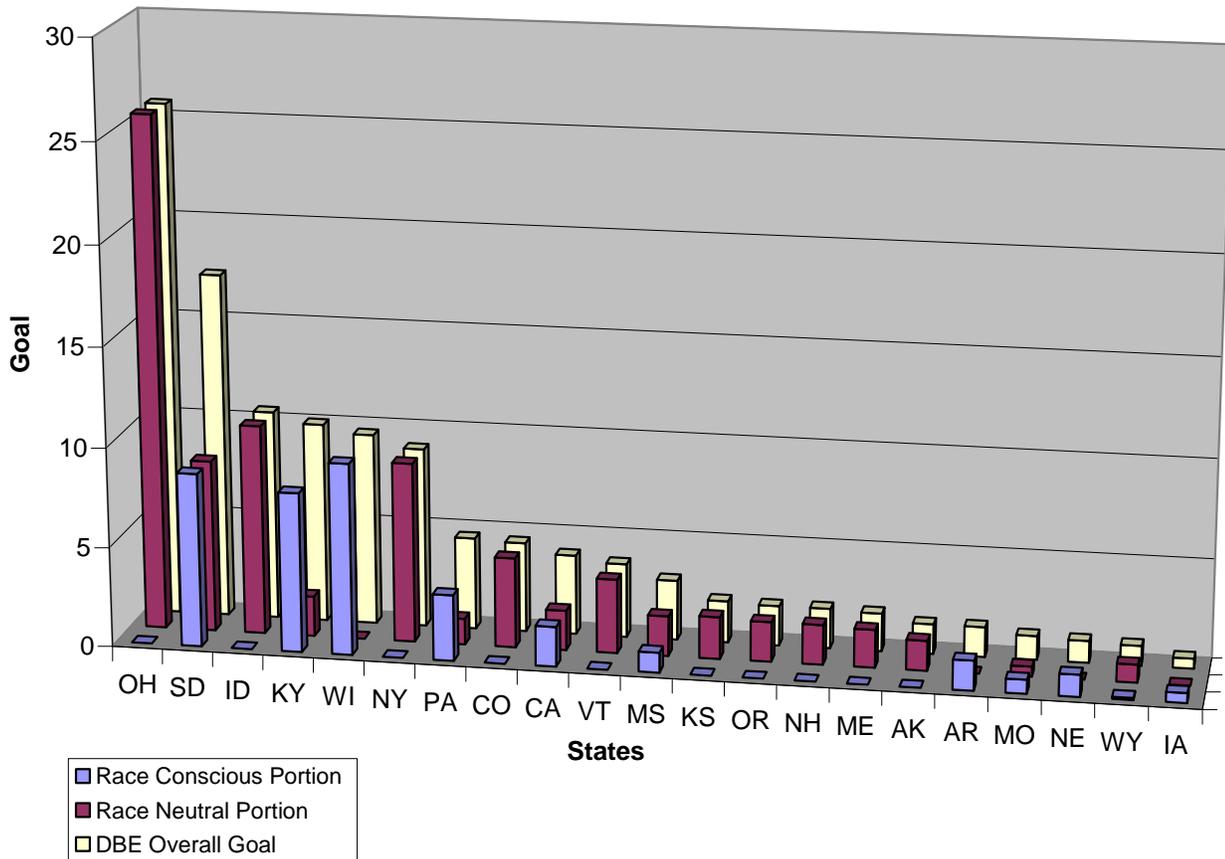
The 2009 FTA Overall Goals reported by those responding ranged from a high of 25.7 (OH) to a low of 0.5 percent (IA). The 2009 FTA Race Conscious portion ranged from a high of 9.6 (WI) to a low of zero percent (multiple states). The 2009 FTA Race Neutral portion ranged from a high of 25.7 (OH) to a low of zero percent (multiple states).

Twelve states had a race neutral goal larger than the race conscious portion, one state had equal portions for race neutral and race conscious goals and eight states had a race conscious goal larger than the race neutral portion. The average goal for those responding was 5.5% overall, 1.7% race conscious and 3.8% race neutral.

Ten states indicated that they had a FTA race conscious goal of zero and four states had a FTA race neutral goal of zero.

**Graph 3** (below) depicts this variation in FTA Goals.

**GRAPH 3: FTA Goals 2009**



### 3. Race Neutral Activities in state DBE Programs

Over 74 individual responses were provided regarding race neutral activities states are using in their DBE Program. These responses have been organized into the following four topical areas:

- A. Supportive Services/Training
- B. Administrative Actions
- C. DBE Initiated Success
- D. Marketing/Outreach

Specific responses follow:

**A. Supportive Services/Training**

1. Specialized assistance to DBE firms to identify strengths and weaknesses. Make the strengths stronger and weaknesses into strengths.
2. Technical outreach to firms.
3. Contractor education classes
4. Provide technical assistance and other services to increase the number of DBEs competing in the highway industry.
5. Technical assistance (two states indicated this response)
6. Training classes
7. Aggressive use of DBE supportive services
8. DBE Supportive Services: marketing and training grants, assistance with writing/designing SOQs, one-on-one business management assistance.
9. One-on-one business reviews and technical assistance to find out what's keeping DBEs from getting work and how to develop their business.
10. Develop and offer a Business Development Program to provide one-on-one assistance with business plans, etc.
11. DBE Business Enhancement through development of business websites
12. DBE Supportive Services: free plans specs, assistance with bidding & estimating, formal training workshops on project/contract specifications, Invitations to Bid from prime contractors.
13. Providing DBE supportive services to DBE contractors (ex. how to develop business plans, how to prepare financial statements, etc.)
14. Electronic Bidding subscriptions
15. Interactive DBE Website
16. Circulate a pamphlet that discloses upcoming DBE contracting opportunities, training classes in business management, etc.
17. A DBE/SS consultant with construction and engineering experience to give DBEs business advice, particularly in estimating and bidding and other business advice.
18. Continuous communication between primes and subcontractors, DBEs and non DBEs.
19. Seminars on business development
20. DBE Business Recruitment
21. Write articles highlighting newly certified firms, for publication in the Supportive Services Newsletter, so primes and large subcontractors can learn about the knowledge, skills, and abilities of the new DBE firms.
22. Supportive Service program in metropolitan area (where most DBE firms reside):  
Construction College - series of DOT-facilitated training that provides information about how to do business with WisDOT and best practices. Loan mobilization program - provides working capital to DBEs with DOT contracts; facilitated by consultant, minority bank community based organization. Financial management technical assistance for DBE firms facilitated by a consultant accounting firm.
23. Monthly newsletters and other ongoing communications providing information on contract opportunities, laws, and regulations affecting small businesses, small business programs and benefits, and outside training events benefiting small businesses.
24. Publication of Supportive Services Newsletter 2 weeks prior to each bid opening whereby primes advertise which jobs they are planning on bidding on. Copies are made available on our website and sent to all primes/subs/suppliers via our division's listserv.

## **B. Administrative Actions**

1. Mentor Protege Program (two states indicated this response)
2. History notes that 2% DBE participation is obtained in our contracts without intervention. However, selecting solicitations, times for the presentation of bids, quantities and specifications, and delivery schedules to facilitate DBE and other small business participation.
3. Pre-bid registration by all primes and subcontractors over \$500,000 so that DBE subcontractors and suppliers know who to bid to.
4. Enhancement projects
5. Dissemination of information at pre-bid conferences.
6. Unbundling projects
7. Encourage DBE to bid prime by offering debundling.
8. Contract packaging: unbundling, right-sizing opportunities to promote economic development opportunities evaluation of risk and opportunity associated with contract packaging options.
9. Provisional Prequalification - This program allows a prequalified subcontractor to perform work that they are not currently prequalified to perform. This Program enables a prequalified subcontractor to be trained in a different work classification, once they perform satisfactorily in that work classification.
10. We have race neutral DBE goals on consultant contracts and consultant engineering agreements.
11. Count when contractors to use DBE firms when there is no goal.
12. Smaller contracts for DBEs to bid on as prime contractors.
13. Count when contractors to use DBE firms in excess of the goal that has been set on the project.
14. Assisting prime contractors with DBE contacts
15. We set bi-annual goals for our contractors to achieve DBE participation.
16. Emerging Small Business Program
17. Contract Matchmaking
18. All monies committed or subcontracted to a DBE firm above the goal is counted as R/N
19. Direct contact by our office with apparent low-bid prime contractor requesting any additional items of work which may be sub-contracted out. Then our office will notify the appropriate DBEs of additional bid opportunities.
20. Matchmaking breakfasts
21. Partnering with other local jurisdictions that have DBE programs on outreach and training efforts
22. Encourage prime to maximize DBE utilization above and beyond the DBE goal.
23. Encouraging the contractor to provide additional work to DBEs
24. Provide our certified DBEs with contracting tools, including the Bid Express Small Business Tab, and e-mail weekly info on bid opportunities.
25. Selected consultant engineering agreements with a narrow scope of work are restricted to proposal by only small firms; this results in opportunities for small firms, most of whom are DBEs, to submit proposals as prime consultants. This program is known as the Small Firm Opportunity Program.
26. Implement a small business enterprise program.
27. Training primes and subs on various business centers, such as plan reading, bidding and estimating, and job costing.

28. Recognize contractors' efforts to use DBE firms on non-goal and non-federal aid contracts.
29. Incentives to primes and subs through our race-neutral ESB program (many of which are DBE firms)
30. Our state uses electronic bidding so there is very little face-to-face contact between primes/subs/suppliers in comparison to pre-electronic bidding process.
31. Setting DBE goals on a project by project basis and setting 0 goals on some projects where DBE participation is then counted as race neutral. Requiring contractors to submit plans on how they will attain DBE participation
32. Encourage and provide networking opportunities between DBE and nonDBE contractors.
33. Encouraging DBEs to bid as primes

### **C. DBE Initiated Success**

1. DBEs performing more work than original DBE commitments (two states indicated this response)
2. DBE participation on non-DBE goal projects (two states indicated this response)
3. DBEs performing as prime contractors (three states indicated this response)

### **D. Marketing/Outreach**

1. Meeting with prime contractors and providing copies of DBE directory and access on-line to the DBE directory as well.
2. On-line DBE directory with photos of DBEs to put a face to the name.
3. Direct email notification to all DBE of new construction projects. Projects also indicating which prime contractors that have taken sample proposals.
4. Participate in a network of business development and technical assistance partners (other state and federal agencies, CBOs, etc.) to offer training, matchmaker, and networking events to promote government contracting and greater participation by DBEs and small businesses.
5. Providing bidders list to DBE contractors so they can seek subcontracting opportunities.
6. Marketing Outreach: DOT facilitation networking between prime and DBE contractors at contract information meetings, mandatory pre-bids, use of speed networking. Bulls eye marketing to DBE firms: 5 timed contacts regarding upcoming opportunities using rotation of emails, phone calls, responsive technical assistance.
7. Outreach
8. DBE conference
9. We conduct networking events for firms in the highway construction and civil engineering industries

## ***4. Innovations in state DBE Programs***

Twelve states provided responses regarding innovations in their state DBE Programs.

Specific responses follow:

1. During the project goal setting process we identify DBE firms that may be able to meet the goal on the individual projects. Once the project goals are set a letter is sent to all contractors who have purchased plans for the project identifying possible DBE firms who

are qualified to do the type of work on that project who have previously done similar work in a similar area. In addition a letter is also sent to each of the DBE firms notifying them of the upcoming project. This is an attempt to assist contractors in identifying DBE firms and assist the DBE firms in identifying contractors to whom they may want to submit a quote. On all projects of \$10M or greater, we hold an outreach event at the pre-bid meeting. We invite DBE firms who are qualified to perform work on the project from all over the state. At the meeting we have the DBE firms introduce themselves and give a brief description of the type of work they perform. At the conclusion of the meeting, the contractors and DBE firms have the opportunity to speak with one another. It is an attempt to give the DBE firms an opportunity to meet and talk with contractors who will be bidding on the job. **(Ohio)**

2. We open our technical assistance and various training opportunities to all consulting and construction firms, whether prime or subs. We have a Contractor/SHA Co-op Meeting each quarter that includes discussion of the DBE program, the annual goals, and what progress is being made throughout the year. This meeting includes all the stakeholders. **(Wyoming)**
3. To assist DBE's statewide with contracting opportunities, the External Civil Rights Office provides DBE Supportive Services to minority and women owned businesses that will give guidance in bid preparation, bonding, financing, business development, and building business relationships. **(Missouri)**
4. A job shadowing program developed by our DBE/SS consultant where a DBE who wants to expand their line of work is paired up with a company from another state (not a competitor) to help show them the ropes. It is particularly good because this other company can tell the DBE from their own experience what to expect. In order to work, you have to involve out-of-state companies who will not be threatened by helping this company become a potential competitor. **(South Dakota)**
5. CDOT Bidders Loop: <http://www.dot.state.co.us/EEO/Loop/> **(Colorado)**
6. We think our pre-bid sign-in requirements are extremely informative for all bidders and quoters. It facilitates a level of communication that is often lost with the advent of electronic bidding. **(North Dakota)**
7. Have a DBE Program Fraud Hotline to report any abuses to the program. **(Washington State)**
8. Mobilization loans to DBEs **(Arkansas)**
9. Bulls eye marketing strategy. Speed networking at contracting meetings. Contract unbundling analysis. Committee facilitation for EJ and DBE. **(Wisconsin)**
10. DBE/SS works extensively with other state and federal programs in providing joint business trainings and assistance. (Includes SBA, PTACs, SBDCs, TEROs, and other 501(c) non-profits.) **(Idaho)**
11. We utilize auditors to analyze PNW financial information. We provide 1-on-1 assistance at outreach events for DBE certification application (we also have an auditor in attendance for financial questions). We conduct targeted outreach to DBEs to encourage them to expand their certification listing via credentialing for materials testing and sampling. **(New York)**

## **Appendix A**

Initial Email invitation to State DBE Program Managers to Participate in Survey sent on 9/15.

Dear DBE Program Director,

My name is Eugene Johnson and I am the Director of the Bureau of Equity and Environmental Services in the Wisconsin Department of Transportation. I have also served for the last two years as the Chairperson of the Transportation Research Boards DBE Subcommittee (TRB-DBE Subcommittee). (Committee website can be found at [www.trbdbbe.org](http://www.trbdbbe.org)). The TRB-DBE Subcommittee serves as an open forum for parties involved in Disadvantaged Business Enterprises (DBE/MBE/WBE) issues in transportation. One of the committee's primary functions is to encourage research for the purpose of promoting innovation and progress in DBE programs.

At this year's meeting, which was held in Washington DC on January 14, 2008, the committee proposed conducting a survey to gauge the latest issues and concerns of the DBE program nationally. It is hoped that this survey can be performed annually and that the results will be used to stimulate directed research into the problems facing DBEs in general and the DBE program specifically. The success of this project is dependent upon your cooperation. Please take the few moments necessary to share your thoughts and opinions with us by completing the short survey which can be found at [www.TRBDBEsurvey.info](http://www.TRBDBEsurvey.info). Please feel free to share this survey with your colleagues for their input. Your response is appreciated no later than October 17, 2008. The survey results may be published on the TRB-DBE Subcommittee website.

Thank you,  
Eugene Johnson  
TRB-DBE Committee Chairperson

## Appendix B

Follow-Up Email invitation to State DBE Program Managers to Participate in Survey  
Follow-up reminders to those not completing survey sent on 9/22, 9/29, 10/6 and 10/13 (Final Reminder) and is shown below:

**REMINDER: Your response is appreciated no later than October 17, 2008.**

Dear DBE Program Director,

My name is Eugene Johnson and I am the Director of the Bureau of Equity and Environmental Services in the Wisconsin Department of Transportation. I have also served for the last two years as the Chairperson of the Transportation Research Boards DBE Subcommittee (TRB-DBE Subcommittee). (Committee website can be found at [www.trbdbbe.org](http://www.trbdbbe.org)). The TRB-DBE Subcommittee serves as an open forum for parties involved in Disadvantaged Business Enterprises (DBE/MBE/WBE) issues in transportation. One of the committee's primary functions is to encourage research for the purpose of promoting innovation and progress in DBE programs.

At this year's meeting, which was held in Washington DC on January 14, 2008, the committee proposed conducting a survey to gauge the latest issues and concerns of the DBE program nationally. It is hoped that this survey can be performed annually and that the results will be used to stimulate directed research into the problems facing DBEs in general and the DBE program specifically. The success of this project is dependent upon your cooperation.

Please take the few moments necessary to share your thoughts and opinions with us by completing the short survey which can be found at [www.TRBDBEsurvey.info](http://www.TRBDBEsurvey.info). Please feel free to share this survey with your colleagues for their input. Your response is appreciated no later than October 17, 2008. The survey results may be published on the TRB-DBE Subcommittee website.

Thank you,  
Eugene Johnson  
TRB-DBE Committee Chairperson

## Appendix C

List of State DBE Program Managers asked to participate in the survey

First	Last	Title	State
John	Huffman	DBE Coordinator	Alabama DOT
Jon	Dunham	Manager, Civil Rights Office	Alaska DOT
Lisa	Wormington	DBE Liaison Officer, Civil Rights Office	Arizona DOT
James	Moore	Section Head EEO/DBE	Arkansas State Highway & Transportation Dept.
Olivia	Fonseca	Deputy Director, Civil Rights Program, MS-79	California CALTRANS
Greg	Diehl	Supervisor, DBE Certification	Colorado DOT
Diane	Donato	Director, Office of Equal Opportunity Assurance	Connecticut DOT
Richard	Rexrode	DBE Program Manager	Delaware DOT
Francisco	Gonzalez	Equal Opportunity Specialist	District of Columbia DOT
John	Goodeman	DBE Certification Manager EEO	Florida DOT
Patricia	Fowler	DBE Assistant Administrator	Georgia DOT
Melanie	Martin	DBE Program Manager	Hawaii DOT
Julie	Caldwell	EEO Contract Compliance Officer & Chairperson, DBE Certification Committee	Idaho Transportation Department
Paul	Cerpa	Director	Illinois Office of Business & Workforce Diversity
Ronald	Minnis	Deputy Commissioner, Minority and Women's Business Enterprises	Indiana DOT
Roger	Bierbaum	Contracts Engineer	Iowa DOT
Doria	Watson	Civil Rights Administrator	Kansas DOT
Melvin	Bynes	DBE Branch Manager, Office of Business & Occupational Development	Kentucky Transportation Cabinet
Staci	Messina	Compliance Programs Director	Louisiana DOT & Development
Jackie	LaPerriere	EEO Civil Rights Office	Maine DOT
Zenita	Hurley	Director, Office of Minority Businesses Enterprise	Maryland DOT
Mark	Waterbury	Director of Certification	Massachusetts SOMWBA
Pat	Collins	Administrator, EEO Office	Michigan DOT
Joanne	Wagner	Director, Office of Equal Opportunity and Contract Management	Minnesota DOT
Stacey	Slay	DBE Coordinator, Office of Civil Rights	Mississippi DOT
Lester	Woods	External Civil Rights Administration	Missouri Highway & Dept. of Transportation
Sheila	Cozzie	Chief, Civil Rights Bureau	Montana DOT
Joe	Kisicki	DBE Civil Rights Coordinator	Nebraska NDOR
Roc	Stacey	Contract Compliance Manager, DBE Program	Nevada DOT
Jay	Ankenbrock	DBE Coordinator	New Hampshire DOT
Linda	Errico	Division of Civil Rights/Affirmative Action	New Jersey DOT
Jimmy	Gomez	Chief, EEO Program Bureau	New Mexico State Highway & Transportation Dept.
G.	Marion	Director, Civil Rights Bureau	New York Office of Audit & Risk Management Svs.
Queen	Crittendon	Director, Office of Civil Rights & Business Development	North Carolina DOT
Deborah	Igoe	Director, Civil Rights Division	North Dakota DOT
Deborah	James	Manager, External Civil Rights, Office of Contracts	Ohio DOT

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Susan	McClune	Transportation Manager, Regulatory Services Division	Oklahoma DOT
C.	Miller	Small Business Programs Manager	Oregon DOT Office of Civil Rights
Jocelyn	Harper	Director, Bureau of Equal Opportunity	Pennsylvania DOT
Ana	Del Moral	DBE Coordinator, Civil Rights Office	Puerto Rico DOT and Public Works Highway and Transportation Authority
Vanessa	Crum	Administrator	Rhode Island DOT
Vivian	Patterson	Acting Director, DBE Program Development	South Carolina DOT
Denise	Voorhes	DBE Liaison Officer	South Dakota DOT
James	Dossett	Director, Business Opportunity Program Section	Texas DOT
Denice	Graham	Civil Rights Manager, Civil Rights Section	Utah DOT
Lori	Valburn	Civil Rights & Labor Compliance Chief	Vermont Agency of Transportation
Sharon	Challenger	Civil Rights Program Manager	Virgin Islands DOT
Doretha	Davis	DBE Coordinator	Virginia DOT
Brenda	Nnambi	Director	Washington DOT Office of Equal Opportunity
Drema	Smith	Director, EEO Division	West Virginia Division of Highways
Michele	Carter	Civil Rights and Compliance Section Manager	Wisconsin DOT
Nora	Lyon	DBE/EEO Officer	Wyoming DOT

## Appendix D Survey Instrument:

### INTRO

Welcome to the Transportation Research Board's DBE Subcommittee Annual Web Survey! This site is hosted by the Center for Survey Research at Penn State Harrisburg on behalf of the TRB-DBE subcommittee. The purpose of this survey is to gauge the latest issues and concerns of the DBE program nationally. Your participation is voluntary, and the survey will take about 5 minutes to complete. The information that you provide will help us to promote innovation and progress in DBE programs. Your response is appreciated no later than October 17, 2008. The survey results may be published on the TRB-DBE Subcommittee website. Please click "Next" to continue.

Please click "Next" to continue ..... 1

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### 2:

### DIREC

Questions about the TRB-DBE Subcommittee should be directed to: Eugene Johnson, Wisconsin Department of Transportation (Chairperson of Committee) Email: eugene.johnson@dot.state.wi.us Phone: 608-267-9527 Questions or difficulties with the survey should be directed to: Stephanie L. Wehnau, Center for Survey Research at Penn State University Email: slh227@psu.edu Phone: 717-948-6429 Please click "Next" to continue.

Please click "Next" to continue ..... 1

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### 3:

### Q01A

What are the three most important problems currently facing your state's DBE program? Your responses for this question will NOT be attributed to your state and will only be released in summary form.

Problem 1:

Please click "Next" to continue .....

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### 4:

### Q01B

Problem 2:

Please click "Next" to continue .....

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### 5:

### Q01C

Problem 3:

Please click "Next" to continue .....

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### 6:

### T01

Responses to all remaining questions will be attributed to your state. The next questions ask you about your state's current FHWA DBE goal (for Goal Year 2009). Please click "Next" to continue.

Please click "Next" to continue ..... 1

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### 7:

### Q02B

What is the race conscious portion of the FHWA goal? Enter percent up to 1 decimal. For example: 10.3% or 2.0%.

**8:** **Q02C**  
What is the race neutral portion of FHWA goal? Enter percent up to 1 decimal. For example: 10.3% or 2.0%.

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**9:** **Q02D**  
State's current FHWA DBE goal

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**10:** **Q02E**  
According to your answers, your state's current FHWA goal is <Q02D>%. If this is NOT correct, please go back and change your answers to the previous questions. Please click "Next" to continue .....

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**11:** **T02**  
The next questions ask you about your state's current FAA DBE goal (for Goal Year 2009). Please click "Next" to continue.  
Please click "Next" to continue ..... 1

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**12:** **Q02F**  
What is the race conscious portion of the FAA goal? Enter percent up to 1 decimal. For example: 10.3% or 2.0%.

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**13:** **Q02G**  
What is the race neutral portion of FAA goal? Enter percent up to 1 decimal. For example: 10.3% or 2.0%.

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**14:** **Q02H**  
State's current FAA DBE goal

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**15:** **Q02I**  
According to your answers, your state's current FAA goal is <Q02H>%. If this is NOT correct, please go back and change your answers to the previous questions. Please click "Next" to continue .....

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**16:** **T03**  
The next questions ask you about your state's current FTA DBE goal (for Goal Year 2009). Please click "Next" to continue.  
Please click "Next" to continue ..... 1

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**17:** **Q02J**  
What is the race conscious portion of the FTA goal? Enter percent up to 1 decimal. For example: 10.3% or 2.0%.

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**18:** **Q02K**  
What is the race neutral portion of FTA goal? Enter percent up to 1 decimal. For example: 10.3% or 2.0%.

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**19:** State's current FTA DBE goal **Q02L**

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**20:** According to your answers, your state's current FTA goal is <Q02L>%. If this is NOT correct, please go back and change your answers to the previous questions. Please click "Next" to continue ..... **Q02M**

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**21:** Please list up to three race neutral activities that your state is using to satisfy some or all of the DBE Goal. Race neutral activity 1: Please click "Next" to continue ..... **Q03A**

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**22:** Race neutral activity 2: Please click "Next" to continue ..... **Q03B**

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**23:** Race neutral activity 3: Please click "Next" to continue ..... **Q03C**

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**24:** Please list any innovations in your program that you wish to share with other states. Please click "Next" to continue ..... **Q04**

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**25:** Please list your name, title, and email address: Name: **Q05A**

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**26:** Title **Q05B**

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**27:** Email address: **Q05C**

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**28:** Please list the website address where you publish your current DBE goal and/or goal related documents. Your response will be attributed to your state. **Q06**

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**29:** Thank you for your time! The survey results may be published on the TRB-DBE Subcommittee website. Please click "Next" to submit your survey. Complete..... **INT99**

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## **Appendix E**

### **Content Analysis (Conducted by Ralph Sanders, WISDOT)**

#### ANALYSIS AND INTERPRETATION OF DATA

The data obtained from the TRB-DBE National DBE Program Manager survey included a section where the respondents were asked to provide their views, opinions and critical insights regarding their specific state DBE Program. The content of the response and statements presented a very thick, rich and informative description of how the DBE Program Manager assessed the problems, limitations, and innovations facing the DBE Program. In this narrative, one approach to analyze the descriptive information gathered will be discussed and presented.

The analytic processes used in this phase of the study attempt to provide a mechanism for the reviewer to view the interrelated task of integration of the content of analysis that was provided by the DBE Program Manager's comments and statements. Therefore, the approach being deployed is referred to as "content analysis". Content Analysis is the analysis of text documents. The analysis can be quantitative, qualitative, or both. The process is basically an indexing of a variety of key words. Indexing of this nature can be seen in a variety of automated methods for rapidly indexing text documents. For instance, "Key Words in Context (KWIC) analysis is a computer software program that organizes the text data. A computer program scans the text and indexes all key words. For this study, KWIC was not utilized based on the time and the constraint of programming the software to identify the "exception dictionary" or simply stated, the context of the meaning of the words used in the content of the statement.

In conducting the content analysis, the reviewer was limited specifically to the types of information specific to the available text supplied. For instance, the text that was evaluated is specific to the following topical areas contained in the survey. The topical areas contained in this section of the study are:

Section 1    Most Important Problems Facing State DBE Programs.  
              Subpart A.    DBE Program Administration.

- Subpart B. Issues with FHWA
- Subpart C. Goal Setting Issues
- Subpart D. DBE Issues
- Subpart E. Majority Contractors
- Subpart F. Construction Related Issues on DBE Programs

The second tier of comments and statements that will be indexed for conducting the context analysis will focus on Section 3 of the survey. The topical areas contained in this section of the study are:

- Section 3 Race Neutral Activities in State DBE Programs.
  - Subpart A. Supportive Services/Training
  - Subpart B. Administrative Actions
  - Subpart C. DBE Initiated Success
  - Subpart D. Marketing/ Outreach

The third tier of comments and statements that was indexed for conducting the context analysis focused on Section 4 of the survey. The topical areas contained in this section of the study are:

Section 4 Innovations In State DBE Programs.

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|-----------------|---------------------|
| 1. Ohio         | 6. North Dakota     |
| 2. Wyoming      | 7. Washington State |
| 3. Missouri     | 8. Arkansas         |
| 4. South Dakota | 9. Wisconsin        |
| 5. Colorado     | 10. Idaho           |
|                 | 11. New York        |

The analyst attempt to be cautious and careful as to only reporting on the data contained for this part of the data analysis. There was a election not to utilized a computer program for this content analysis mainly because of the limitation of a computer program inability to determine the statements or comment that someone meant by a term or phrase. It is relatively easy in keyword content analysis to misinterpret as a result contributed to the computer program did not take into account the subtleties of the meaning correctly.

SUMMARY OF KEYWORD FINDINGS

The following keyword findings provided a very tight narrowed viewed as to how the DBE Program Managers frequency of response(s) collected were dispersed attributing to the most frequent word.

		<u>KEYWORD</u>
<b>Section 1</b>	<b>Most Important Problems Facing State DBE Programs.</b>	
Subpart A.	DBE Program Administration.	STAFFING*
Subpart B.	Issues with FHWA	GOAL SETTING*
Subpart C.	Goal Setting Issues	GOALS*
Subpart D.	DBE Issues	BONDING*
Subpart E.	Majority Contractors	(EVEN)
Subpart F.	Construction Related Issues on DBE Programs	COST*

The second tier of keywords contained in this section of the study are:

		<u>KEYWORD</u>
<b>Section 3</b>	<b>Race Neutral Activities in State DBE Programs.</b>	
Subpart A.	Supportive Services/Training	BUSINESS*
Subpart B.	Administrative Actions	DBE*
Subpart C.	DBE Initiated Success	DBE*
Subpart D.	Marketing/ Outreach	DBE*

The third tier of keywords in Section 4 of the survey are:

		<u>KEYWORD</u>
<b>Section 4</b>	<b>Innovations In State DBE Programs.</b>	
1.	OHIO	DBE, FIRMS*
2.	WYOMING	MEETING, INCLUDES*
3.	MISSOURI	BUSINESS/DBEs*
4.	SOUTH DAKOTA	ORDER*
5.	COLORADO	LOOP*
6.	NORTH DAKOTA	(EVEN)
7.	WASHINGTON STATE	(EVEN)
8.	ARKANSAS	(EVEN)
9.	WISCONSIN	(EVEN)
10.	IDAHO	(EVEN)
11.	NEW YORK	AUDITORS*

(\*Note: The caption EVEN denotes that there were no one keyword that had a increased frequency in the respondents comment(s).

## CONCLUSION

A major asset to this application is that the study's content analysis has the advantaged of being unobtrusive is as that it did not require the researcher, analyst, or other members of the team to interact with the population of interest. The content analysis for this study provides an alternative consideration as to the interpretation of the data collected from this survey. In essence, the State DBE Program Managers indicated that staffing, goal setting, goals, bonding, cost, business, DBE(s) firms, meeting, includes, order, loop and auditors as the keywords imbedded in their comments and statement as being recurring concerns and interest. More detailed information can be reviewed in the Appendix for the Frequency Analysis and Summary Statement Tally.

In conclusion, the analyst viewed this process as both interesting and enlighten as to how State DBE Program Managers view the topical areas as it relates to Disadvantaged Business Enterprise Programming.