

FINAL REPORT - UTILIZATION OF UNDERUTILIZED/DISADVANTAGED BUSINESS ENTERPRISES (U/DBE) AND SMALL BUSINESS (SB), FIRST-TIER SUBCONTRACTORS

Contract No.	County	Location	Project Description			Federal Aid Project No.		Administering Agency		Contract Completion Date				
Task/Job Order No.										Task/Job Order Completion Date				
Prime Consultant/Contractor (Company Name)	Prime Consultant/Contractor Business Address			Business Ownership by Minority Code						Final Contract or Task/Job Order Amount \$				
	Address:			BA - Black American	NA - Native American	APA - Asian Pacific American								
	City, State, Zip Code:			W - Woman	HA - Hispanic American	SCA - Subcontinent Asian American			Federal Share \$					
SUBCONTRACTOR	CERTIFICATE		TOTAL PAYMENTS			TOTAL PAYMENTS BY MINORITY GROUP						Date Work Complete	Date of Final Payment	Description of Work Performed & Material Provided
	SB Cert #	DBE Cert #	SB*	DBE*	UDBE* (FTA Only)	APA	BA (UDBE)	HA (UDBE)	NA (UDBE)	SCA (UDBE)	W (UDBE)			
Name _____														
Address _____														
Name _____														
Address _____														
Name _____														
Address _____														
Name _____														
Address _____														
Name _____														
Address _____														
Total Payments			\$	\$	\$	\$	\$	\$	\$	\$	\$			
Original UDBE/DBE/SB Commitment												DBE Goal Attainment	0%	
												UDBE Goal Attainment	0%	
												SB Participation	0%	

\*If Sub is both SB, DBE & UDBE enter the total dollar amount in all three fields

The decision of which column to be used for entering the UDBE/DBE dollar value is based on what program(s) the firm is certified. This program status is determined by the Caltrans Civil Rights Certification Unit based on ethnicity, gender, ownership, and control issues at time of certification. DBE program status may be obtained by accessing the Civil Rights website DBE, SWBE DBE, SMBE, SWBE (www.dot.ca.gov/hq/bep/) and downloading the Calcert Extract or by calling (916) 227-2207.

List all first-tier subconsultants, SB, DBEs, and Underutilized DBEs, regardless of tier, whether or not the firms were originally listed for goal credit. If actual U/DBE utilization (or item of work) was different than that approved at time of award, provide comments on a separate page. List actual amount paid to each entity.

I CERTIFY THAT THE ABOVE INFORMATION IS COMPLETE AND CORRECT		
CONSULTANT REPRESENTATIVE NAME	BUSINESS PHONE NUMBER	DATE
TO THE BEST OF MY KNOWLEDGE THE ABOVE INFORMATION IS COMPLETE AND CORRECT		
RTPA PROJECT MANAGER'S NAME	BUSINESS PHONE NUMBER	DATE

**INSTRUCTIONS**

Final Report – Utilization of Underutilized/Disadvantaged Business Enterprise (U/DBE) and Small Business, First-Tier Subcontractors

The form requires information from the RTPA contract.

**CONTRACT INFORMATION**

The Contract/Task/Job Order fields are shown in green in the example.

Enter the following information:

- Contract No.:** RTPA contract number
- County:** County in which work was performed
- Location:** Location in which work was performed
- Project Description:** Provide a brief description of the project (project title)
- Federal Aid Project No.:** Contact Director of Finance & Administration if unknown
- Administering Agency:** RTPA
- Contract Completion Date:** As applicable
- Final Contract Amount \$:** Inclusive of all amendments/change orders
- Federal Share \$:** Contact Director of Finance & Administration, if unknown

The screenshot shows the top portion of the form. The 'Contract Information' section, including fields for Contract No., County, Location, Project Description, Federal Aid Project No., Administering Agency, Contract Completion Date, Final Contract Amount, and Federal Share, is highlighted in green. Below this is a table for 'Subcontractors' with columns for Name, UDBE, DBE, SDB, and various commitment percentages.

**PRIME CONSULTANT/CONTRACTOR INFORMATION**

The Prime Consultant/Contractor fields are shown in blue in the example.

Enter the following information:

- Prime Consultant/Contract:** Prime company name
- Business Address:** Address, City, State, & Zip Code
- Business Ownership by Minority Code:** If applicable. This section is used to

The screenshot shows the 'Prime Consultant/Contractor Information' section highlighted in blue. This includes fields for the company name, business address, and business ownership by minority code. The 'Subcontractors' table below is partially visible.

...s to a minority group.

**SUBCONTRACTOR/SUBCONSULTANT INFORMATION**

The Prime Consultant/Contractor fields are shown in purple in the example.

Enter the following information:

- Subcontractor**
- Name:** Subcontractor/Subconsultant company name
- Address:** Subcontractor/Subconsultant Address, City, State, & Zip Code
- Original UDBE/DBE/SB Commitment:** Commitment and not advertised

The screenshot shows the 'Subcontractor/Subconsultant Information' section highlighted in purple. This includes fields for the subcontractor's name, address, and original commitment. The 'Subcontractors' table below is partially visible.



**Date:** Enter the date the form was completed and verified.

Form 1042-B (2019) Instructions for Beneficiaries		
1. U.S. TIN	2. U.S. Name	3. U.S. Address
4. Country Code	5. Country Name	6. Country Address
7. Taxpayer Identification Number	8. Taxpayer Name	9. Taxpayer Address
10. Taxpayer Country Code	11. Taxpayer Country Name	12. Taxpayer Country Address

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Name _____															
Address _____															
Total Payments			\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -				
Original UDBE/DBE/SB Commitment															

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DBE Goal Attainment \_\_\_\_\_ 0%  
 UDBE Goal Attainment \_\_\_\_\_ 0%  
 SB Participation \_\_\_\_\_ 0%

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Name _____														
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		Total Payments	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	DBE Goal Attainment	0%	
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