



Wisconsin Department of Transportation

Civil Rights Compliance

UCP Certification Manual



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CHAPTER 1 INTRODUCTION

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1.1 Overview

The Wisconsin Department of Transportation (WisDOT) has implemented Civil Rights Compliance, a state-of-the-art, web-based software system for payment tracking and labor compliance management. This system is designed to fulfill and streamline various federal and state reporting and monitoring requirements.

The system contains these major functions:

1. Payment Tracking – tracking and reporting actual payment transactions by prime and subcontractors.
2. Labor Compliance Management – provides electronic certified payroll and fringe benefit reporting by prime contractors and all subcontractors.
3. Uniform Certification Program – tracks certification status, processes annual affidavits, and recertifications. This manual outlines these processes.

WisDOT has worked with several contractors on the Marquette Interchange and four pilot projects around the state to ensure this system provides benefits to contractors as well as to WisDOT staff. Firms who have been primes on these projects include Marquette Constructors, Rock Roads Company, Arrow-Crete, A-1 Excavating, Midwest Rail, and Monarch Paving.

1.2 Suggested System Requirements

Although contractors can connect to WisDOT Civil Rights Compliance from any computer with Internet access, we recommend the following minimum requirements.

Processor: Pentium® III 933 MHz

Operating System: Windows® XP

Hard Disk: 500 MB free

RAM: 256 MB

Display: Super VGA (800x600) or higher resolution monitor

Web Browser: Internet Explorer 6.0

Internet Connection: 56,000 bps or faster modem, ISDN, DSL or LAN connection

1.3 Recommended Internet Settings

Before using the application, we recommend that you change your Internet Explorer cache and security settings. Additionally, it is important that if you have a pop-up blocker installed, you alter its use while using the application. The pop-

up blocker will prevent you from being able to view the registration renewal screen.

Cache Settings

TRS recommends that users change the cache setting to prevent web browsers from displaying “cached” (old data in memory) information. To edit these settings:

Open Internet Explorer.

1. From the “Tools” menu, select “Internet Options” to open the Internet Options window (Figure 1).
2. In the Internet Options window, select “General Tab” (Figure 2). From the select “Temporary Internet files select “Settings” to open the Settings window.
3. Verify that the setting for “Check for newer versions of stored pages:” is set to “Every visit to the page.” If not, select this option and click “OK” (Figure 3).
4. Click “OK” on the Internet Options window to complete cache settings update.

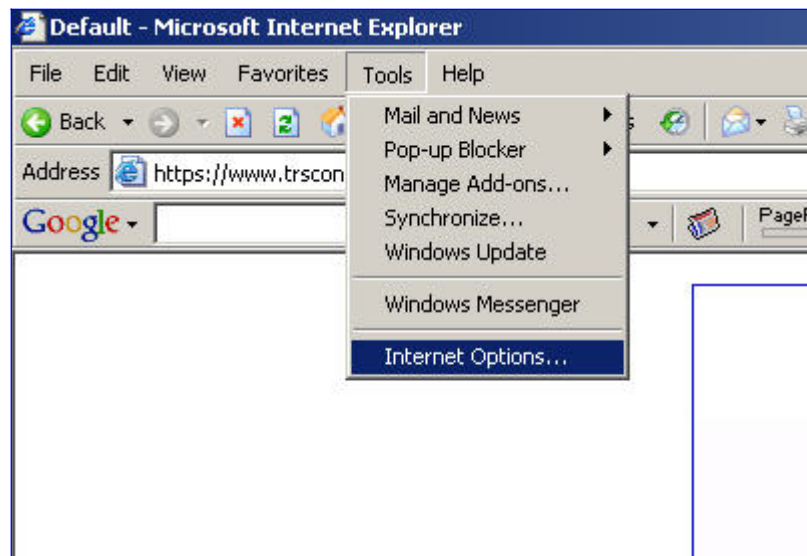


Figure 1 - Tools Menu, Internet Options

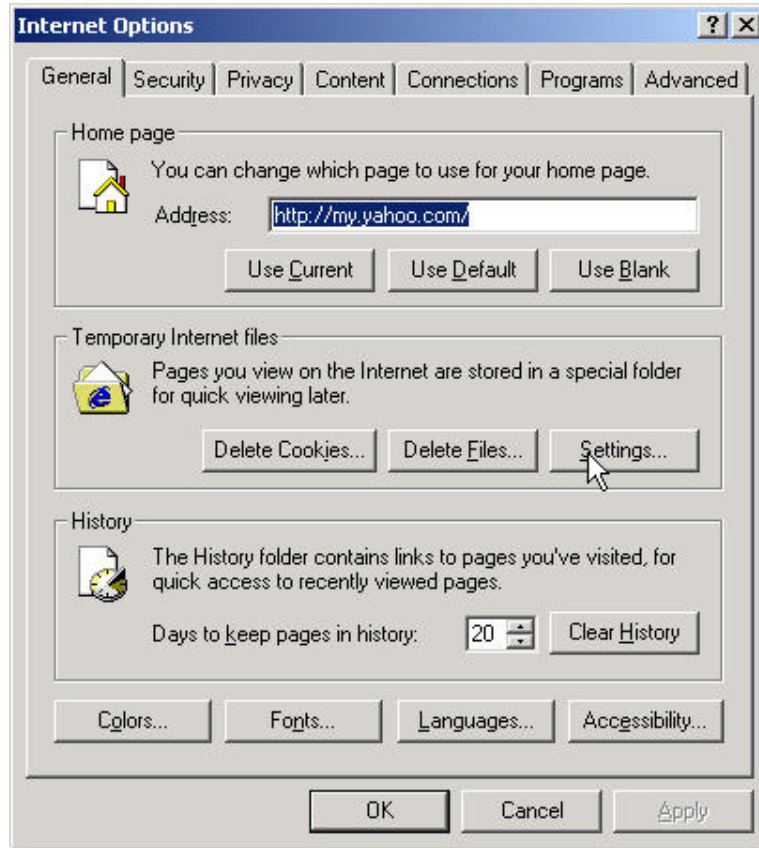


Figure 2 - Internet Options Window

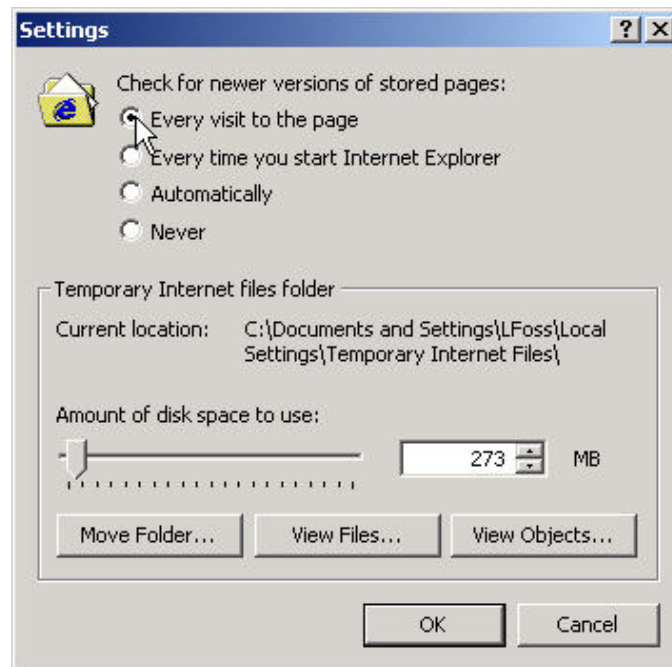


Figure 3 - Settings Window

1.4 Security Settings

TRS recommends adding the website address to your computer's "Trusted Sites" list on computers. This will help the website load more quickly. To edit the security settings:

1. Open Internet Explorer.
2. From the "Tools" menu, select "Internet Options" to open the Internet Options window.
3. In the Internet Options window click on the "Security" tab (Figure 4).
4. Click on the "Trusted Sites" icon and then click on the "Sites..." button to open the Trusted Sites window (Figure 5).
5. Type in the LCM website address, <https://www.triconsultants.com/WisDOT>, and click on "Add" and then click on "OK" to return to the Internet Options window (Figure 5).
6. Click "OK" on the Internet Options window to complete the recommended security settings update.

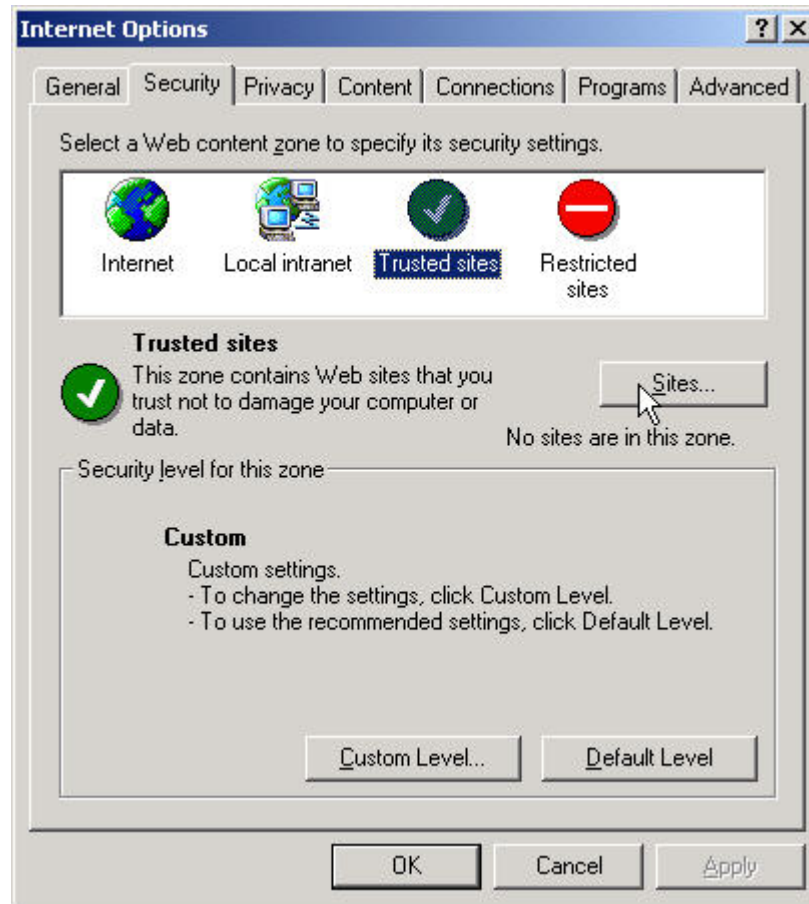


Figure 4 - Internet Options Window, Security Tab

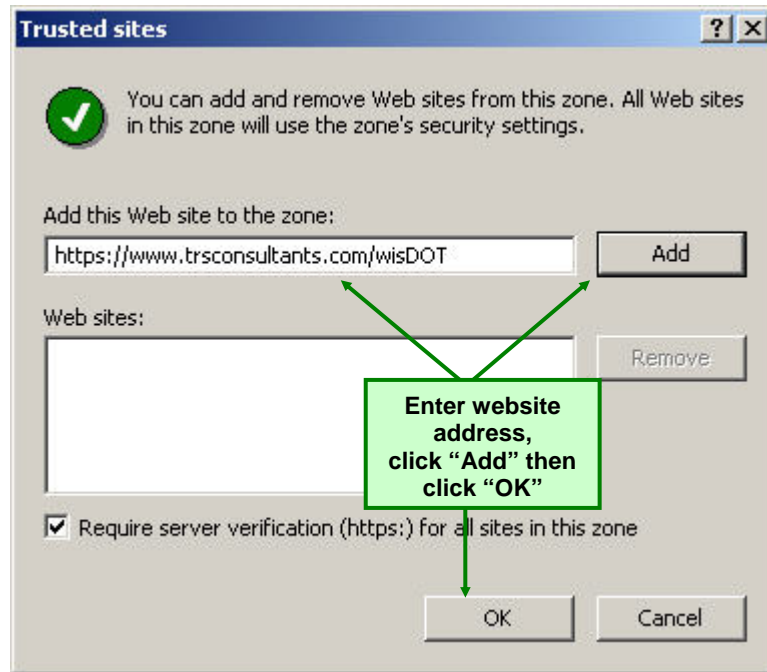


Figure 5 - Trusted Site Window

Note: User IDs cannot be changed. If this information needs to be changed, the Administrator will have to add a new user.

If you are a DBE owner, you must import a signature image in order to sign the annual affidavit online.

1.5 Registering with WisDOT Civil Rights Compliance

Note: If your DBE firm was approved as of Aug. 2006, you may disregard the remainder of this section.

All contractors who may perform work or provide services on WisDOT projects are required to register. Online registration must be completed before contractors can begin using the WisDOT Civil Rights Compliance System.

In addition, contractors assigned to a WisDOT project will have additional reasons to use this application all UCP DBE firms are managed through this system. Any firm providing labor on the project must also report payrolls. All first-tier subcontractors and all DBE firms must also acknowledge payments to ensure prompt payments are occurring.

All new UCP applicants should complete this process:

1. Type the following address into the internet browser address bar: <https://www.triconsultants.com/WisDOT/>. This will direct the browser to the home page for WisDOT Civil Rights Compliance (Figure 6).

Note: You may also use this web site to log in to the system. Once registered, just click “Login” and it will direct your browser to the login screen.

2. Select “Registration” to continue. This will take your browser to the first registration screen.



Figure 6 - WisDOT Civil Rights Compliance Home Page

3. The Registration information requested on the first registration screen is divided into two sections (Figure 7).

Note: All mandatory fields are shaded yellow. Complete all of the mandatory information on this screen.

- Company Profile

Note: The Address field should include the street address and the Address Continued field shall contain Suite #, Unit #, etc. If providing a P.O. Box, be sure to include “PO Box...” in the field.

Provide the zip code prior to indicating the city and state. If the zip code is within the State of Wisconsin, then the application will default to the associated city and state. If the zip code is outside Wisconsin, you will be asked to supply the city and state.



WisDOT Civil Rights Compliance Registration

Company Profile

Company Name: Doing Business As:
Address: Federal Employer ID#:
Address Contd: Vendor ID:
City: Phone:
State: Fax:
Zip: Firm Established: 
PO Box Address: Provide different City, State and Zip for PO Box Address

Payroll Contact

Salutation:
First Name: Last Name:
Title: Email Address:
Direct #: Cell Phone #:

Bidding Contact

Same as payroll contact

Salutation:
First Name: Last Name:
Title: Email Address:
Direct #: Cell Phone #:

Figure 7 - First Registration Screen

*When registering with the application, you must know your firm's Trns*Port Vendor ID number. If you are a new firm for the UCP and have not done past WisDOT work, use **** to tell the system to generate your firm an id. When you complete the registration, the system will display 3 letters and 3 numbers. You should note this 6-digit id on your UCP application.*

If you have any question about how complete this form should be, please see Figure 18. Please contact Tess Mulrooney via phone (608.267.4489) or e-mail (tess.mulrooney@dot.state.wi.us) if you need any help.



- Contact information

Many UCP firms may have no projects requiring payrolls. Yet, this is a required field just in case.

All registration and certification correspondence will be directed to the company Bidding Contact at the e-mail address provided in this section. Requests to provide quotes on projects may be directed to the bidding contact as well.

If your firm does not have at least one email account, you must acquire one before going any further. Each firm is required to have an e-mail address in order to register.

Two popular services are listed below. Follow the instructions on their website to set up a free new account.

Yahoo Mail: <http://mail.yahoo.com>

Hotmail: <http://www.hotmail.com>

These e-mail accounts will expire after six months of inactivity. You should be using them to monitor receive mail related to the certification process and receive possible notes from other registered firms. If you do not plan to use an account, don't create one.

4. Click "Next." Your web browser will now be directed to the second registration screen.
5. The second registration screen is divided into two sections (Figure 8).

- Company Information
 - Business Structure
 - Business Type

Note: Use Other Business Type if you are applying for DBE status in the Unified Certification Program and do not typically work on WisDOT projects.

- Business Role (for work in Wisconsin)

Note: Transit Service Operator means your firm runs a taxi, train, or bus service.

- Work Classifications (for work in Wisconsin)

6. Click "Next" to continue to the final step in the registration process.



Company Information

Business Structure:

Corporation Limited Liability Company
 Partnership Limited Liability Partnership
 Joint Venture Sole Proprietorship
 Other

Business Type:

Consultant Contractor
 Trucker Supplier
 Manufacturer Other Business Type

Business Role (Check all that apply):

Prime Contractor Subcontractor
 Prime Consultant Subconsultant
 Plan Holder Supplier
 Material Supplier Transit Service Operator

Work Classifications (Check all that apply):

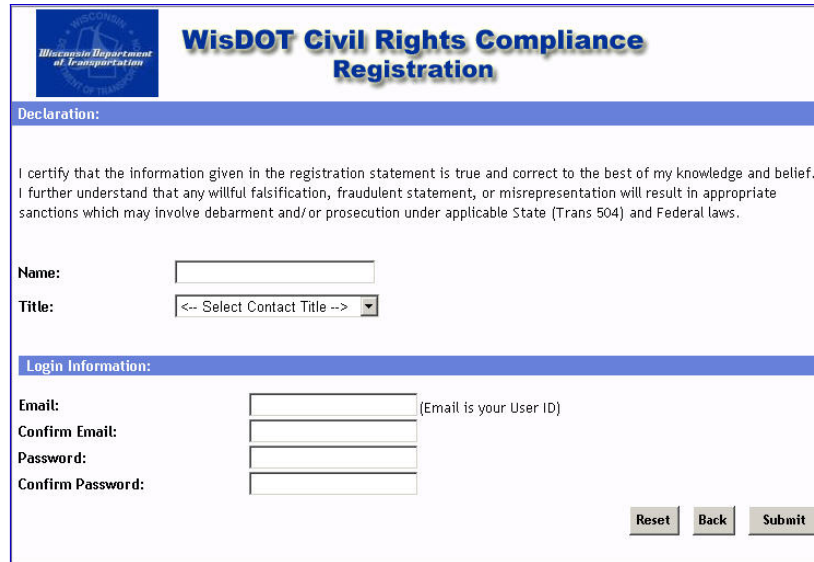
Accounting Services Advertising Services
 Aggregates Airport Construction
 Airport Electrical Architectural Consultant
 Asphalt Bridge Painting
 Building Construction Concrete
 Consultant Design Engineering
 Environmental Services Employment Services

Figure 8 - Second Registration Screen

7. The third registration screen is the final step in the registration process. This screen is divided into two sections (Figure 9).
 - Declaration – certification that the information provided on previous screens is correct
 - Login Information – select the e-mail address and password that will be used to log in to WisDOT Civil Rights Compliance in the future. This individual will receive frequent e-mails from the system about the status of payrolls, so the individual would likely be an office manager or payroll coordinator.

Note: This e-mail address must be unique across companies or divisions. It may be the same as one of the contact person’s e-mail account.

8. Passwords may be alphabetic, numeric, or alphanumeric. They are required to be at least three characters long. After filling out this information, click “Submit” to complete the registration process.



WisDOT Civil Rights Compliance Registration

Declaration:

I certify that the information given in the registration statement is true and correct to the best of my knowledge and belief. I further understand that any willful falsification, fraudulent statement, or misrepresentation will result in appropriate sanctions which may involve debarment and/or prosecution under applicable State (Trans 504) and Federal laws.

Name:

Title: <-- Select Contact Title -->

Login Information:

Email: (Email is your User ID)

Confirm Email:

Password:

Confirm Password:

Figure 9 - Third Registration Screen

When the registration is complete, an id consisting of 3 letters followed by 3 numbers will display.



CHAPTER 2 GETTING STARTED

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2.1 Introduction

Contractors should perform a number of tasks in order to prepare for renewing their company certification. These one-time tasks include adding users and importing a signature file for each owner.

If your firm performs labor or provides supplies for WisDOT projects, you will also need a manual for sublets payments and/or payroll. The final chapter of this manual provides a few more details.

2.2 Logging in to WisDOT Civil Rights Compliance

Open the Internet browser and type in the following website url in the address bar: <https://www.triconsultants.com/WisDOT>

1. Click the “Login” button.
2. Enter your User ID and Password and click “Submit” (Figure 10).

Note: Passwords are case sensitive.

The user id is an email address entered during the registration process on screen 3.



Figure 10 - Login Screen

2.3 Logging out of WisDOT Civil Rights Compliance

You may log out of WisDOT Civil Rights Compliance at any time by clicking “Logout” in the upper right hand corner of the screen (Figure 11).



Figure 11 - Logout



CHAPTER 3 NEW CERTIFICATION

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3.1 Introduction

The Wisconsin Uniform Certification Program has four partners sharing one database of DBE firms. These partners are Milwaukee County, Dane County, and the City of Madison. It is not anticipated that further counties or municipalities in Wisconsin will have their own databases of firms.

This application tracks firms from the time they apply to the UCP through the time they leave the program. The system will mail letters automatically via email to assist in making timelier responses. Possible letters you may receive are:

- Request for Additional Information Letter
- Notice to Deny Letter
- Informal Hearing Letter
- Certification Approval
- Certification Denial
- Withdrawal Notice

The e-mails will be sent to the person identified as the payroll contact on the registration. This data is stored at Company, Company Profile within the Civil Rights Compliance System and may be updated at any time during the year. The e-mails will have a return address of tess.mulrooney@dot.state.wi.us.

The remainder of this chapter will discuss each in turn.

3.2 New Certification Application

To begin the process, your firm must be registered, see Section 1.5. You should have a number of forms to complete. Because the federal government requires we use their forms without alteration, the new certification application is largely unautomated.

The list of forms you should complete includes:

- DBE UCP New Certification
- Requested Work Area and Geographical Form
- Contractor's Statement of Experience
- Personal Financial Statement

3.3 Request for Additional Information Letter

The desk audit may indicate several key documents are missing. This letter will tell you what to send to the appropriate UCP partner.

Figure 12 is an example letter showing the firm is assigned to WisDOT as a certifying partner.



Figure 12 – Request for Additional Information Letter

3.4 Notice of Intent to Deny Letter

Firms receiving the Request for Information Letter have 21 days to reply. If the firm fails to respond within 21 days, the agency may send a notice of intent to deny.

3.5 Informal Hearing Letters

If the agency completes their review of the application and does not find the firm eligible for DBE status, they will send a letter giving the DBE applicant the opportunity to schedule an informal hearing to appeal the decision. The “Informal Hearing” letter has two steps.

- a. Request an informal hearing
- b. WisDot will respond with a location of hearing letter.

3.6 Certification Approval

Once a contractor submits all of the information necessary, agency administrators will evaluate the application and choose to either approve or deny it. Once the approval letter is sent, the DBE application process is complete.

3.7 Certification Denial

There are three reasons in the DBE application process that can lead to a final denial letter.

- The contractor fails to respond with 21 days of the Notice of Intent to Deny.
- The contractor fails to respond within 15 days or elects not to request an informal hearing.
- The hearing committee elects to deny the application.

Once the final denial letter is sent, the DBE application process is complete.

3.8 UCP Directory

This directory allows any Civil Rights Compliance System user the ability to see all of the currently-certified firms. The list generates in NAICS-code order, then by firm name. Firms outside the system may view the same by using the UCP directory at www.triconsultants.com/wisdot.

To do this:

1. From the Civil Rights Compliance System’s home page, select “UCP Directory” (Figure 13).
2. Select the criteria for UCP Directory (Figure 14) or click on “Select NAICS Code” to display list of the codes (Figure 15).



Figure 13 – Select UCP Directory Screen

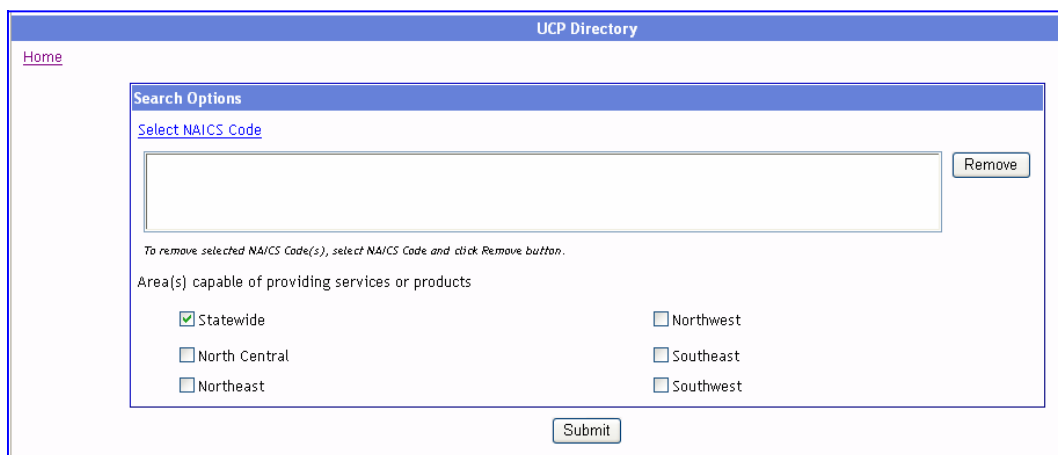


Figure 14 – Select Criteria for UCP Directory

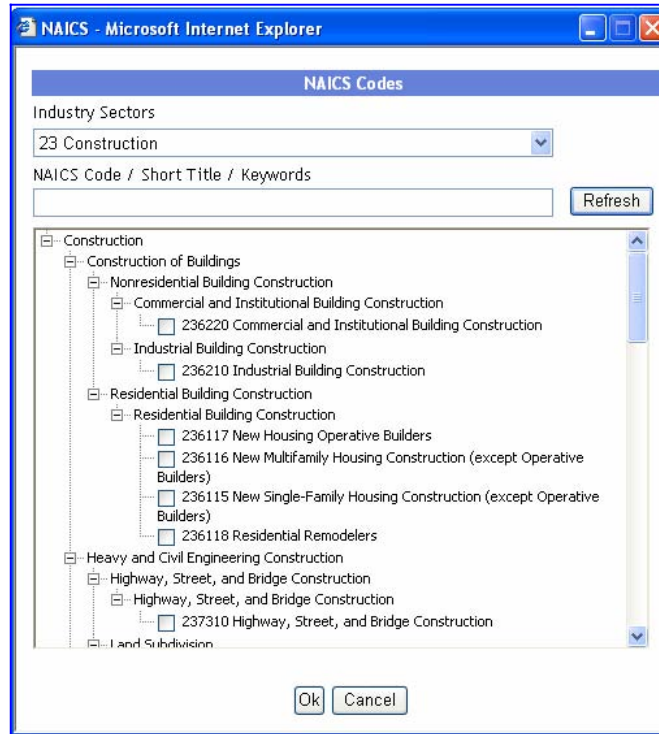


Figure 15 – Specify NAICS Values for Directory

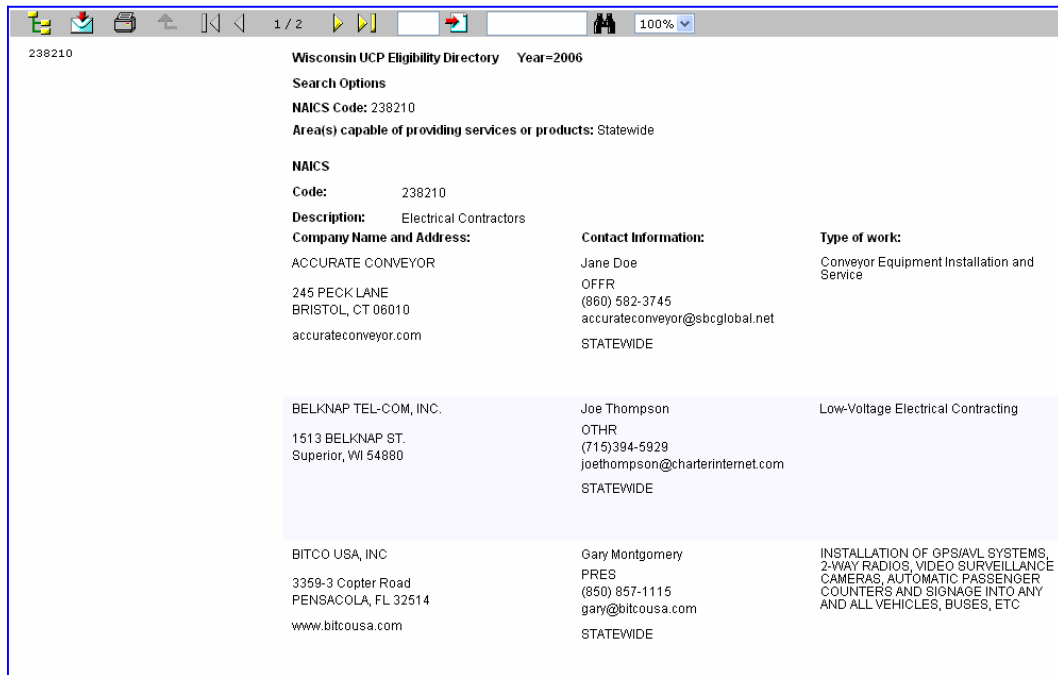


Figure 16 – UCP Directory



CHAPTER 4 ANNUAL AFFIDAVIT

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4.1 Overview

Each certified firm is required to be in annual contact with its certifying agency. During a normal five-year certification, this will mean completing an annual affidavit in years one, two, three, and four. If the certifying agency needs to rebalance its workload across the calendar year, this may extend a year or so.

Thirty days before your firm's registration and annual affidavit are set to expire, you will receive an email reminder to submit the affidavit. If the registration is not renewed and the annual affidavit is not submitted, your firm will become decertified. If you do not have access to a computer, please contact the certifying agency for assistance. While all four partners of the UCP have addresses at the bottom of the letter you will receive, read the signature title to respond to the appropriate address.

This chapter will outline the steps needed to complete the annual affidavit.

4.2 Annual Registration Renewal

Each year, WisDOT is asked to prepare a list of ready, willing, and able participants to work on its projects for DBE goal-planning purposes. This list includes all prime contractors, subcontractors, and suppliers. To ensure the accuracy of our list, contractors are required to renew their registration within the WisDOT Civil Rights Compliance application.

As soon as you log onto the Civil Rights Compliance System, your browser will face a pop-up window. You must have any pop-up blockers set to trust this site before continuing.

1. Click on “OK” to continue.



Figure 17 – Renew Registration Pop-up Screen

Note: Firefox as a browser will not allow you to log in. The browser will complain that your user id and password are not valid.

Company Profile	
Company Name:	Fence Masters, Inc.
Address:	4802 Marble Road
Address Contd:	
City:	Whitewater
State:	Wisconsin
Zip:	53190
PO Box Address:	
Created Date:	7/27/2006 12:46:24 PM
Doing Business As:	Fence Masters, Inc.
Federal Employer ID#:	23-20060727
Vendor ID:	FM001
Phone:	(262) 473-9918 (111)123-4567 / with extension (111)123-4567-890
Fax:	
Firm Established:	1/1/1999
<input type="checkbox"/> Provide different City, State and Zip for PO Box Address	
Payroll Contact	
Salutation:	Ms.
First Name:	Sally
Title:	Vice President
Direct #:	(262) 473-9918
Last Name:	Forth
Email Address:	sally@fencemx.com
Cell Phone #:	
Bidding Contact	
Salutation:	Mr.
First Name:	Warren
Title:	President
Direct #:	(262) 473-9918
Last Name:	Peace
Email Address:	warren@fencemx.com
Cell Phone #:	
Company Information	
Business Structure:	<input checked="" type="radio"/> Corporation <input type="radio"/> Limited Liability Company <input type="radio"/> Partnership <input type="radio"/> Limited Liability Partnership <input type="radio"/> Joint Venture <input type="radio"/> Sole Proprietorship <input type="radio"/> Other
Business Type:	<input type="radio"/> Consultant <input checked="" type="radio"/> Contractor <input type="radio"/> Trucker <input type="radio"/> Supplier <input type="radio"/> Manufacturer <input type="radio"/> Other Business Type
Business Role (Check all that apply):	<input type="checkbox"/> Prime Contractor <input checked="" type="checkbox"/> Subcontractor <input type="checkbox"/> Prime Consultant <input type="checkbox"/> Subconsultant <input type="checkbox"/> Supplier <input type="checkbox"/> Material Supplier <input type="checkbox"/> Transit Service Operator <input type="checkbox"/> Plan Holder
Work Classifications (Check all that apply):	<input type="checkbox"/> Accounting Services <input type="checkbox"/> Advertising Services <input type="checkbox"/> Aggregates <input type="checkbox"/> Airport Construction <input type="checkbox"/> Airport Electrical <input type="checkbox"/> Architectural Consultant <input type="checkbox"/> Asphalt <input type="checkbox"/> Bridge Painting <input type="checkbox"/> Building Construction <input type="checkbox"/> Concrete <input type="checkbox"/> Consultant <input type="checkbox"/> Design Engineering <input type="checkbox"/> Environmental Services <input type="checkbox"/> Employment Services <input type="checkbox"/> Equipment Supplier <input checked="" type="checkbox"/> Fencing <input type="checkbox"/> Geotechnical Services <input type="checkbox"/> Grading <input type="checkbox"/> Incidental Construction <input type="checkbox"/> Insurance <input type="checkbox"/> Landscaping <input type="checkbox"/> Lighting/Signals <input type="checkbox"/> Materials Sampling/Testing <input type="checkbox"/> Materials Supplier <input type="checkbox"/> Office Supply <input checked="" type="checkbox"/> Other Miscellaneous <input type="checkbox"/> Painting <input type="checkbox"/> Pavement Marking <input type="checkbox"/> Public Relations <input type="checkbox"/> Railroad Construction <input type="checkbox"/> Sewer/Utility <input type="checkbox"/> Steel Erection/Fabrication <input type="checkbox"/> Structures <input type="checkbox"/> Survey <input type="checkbox"/> Traffic Control/Signing <input type="checkbox"/> Transit Service Providers <input type="checkbox"/> Trucking <input type="checkbox"/> Vehicle and Building Maintenance <input type="checkbox"/> Vehicle Fuel/Supply

Figure 18 - Update Company Profile

2. Change any necessary information on the previous screen.

No. of Employees:	
Full Time:	<input type="text" value="2"/>
Part Time:	<input type="text" value="8"/>
Total:	<input type="text" value="10"/>
Website:	<input type="text"/>
Primary Activities of Firm:	<input type="text" value="TRUCKING"/>
No. of Owners:	<input type="text" value="1"/>
First Name:	<input type="text" value="SALLY"/>
Last Name:	<input type="text" value="FORTH"/>
Ethnicity:	<input type="text" value="White American"/>
Percentage Owned:	<input type="text" value="100"/> %
Net Worth:	<input type="text" value="460236.00"/>
Gender:	<input type="radio"/> Male <input checked="" type="radio"/> Female
Area(s) capable of providing services or products (from DT2188)	
<input checked="" type="checkbox"/> Statewide	
<input type="checkbox"/> North Central	
<input type="checkbox"/> Northeast	
<input type="checkbox"/> Northwest	
<input type="checkbox"/> Southeast	
<input type="checkbox"/> Southwest	
<input type="button" value="Renew"/>	

Figure 19 – DBE Section

3. You may change the number of employees and the web site. The remaining information only the certifying agency may change.
4. Many UCP application packages do not indicate which WisDOT regions a firm may wish to work in. As a result, most firms are marked for Statewide service. You may wish to call the certifying agency and request this be customized for your firm based on these regions.
5. Click on “Renew.”

Northwest:

These counties form the outer boundary: Ashland, Sawyer, Rusk, Taylor, Clark, Jackson, Trempealeau, Buffalo

North Central:

These counties form the outer boundary: Iron, Price, Lincoln, Marathon, Wood, Adams, Marquette, Green Lake, Waushara, Waupaca, Shawano, Menominee, Langlade, Florence, Forest

Northeast:

These counties form the inner boundary: Marinette, Oconto, Brown, Outagamie, Winnebago, Fond du Lac, Sheboygan

Southeast:

These counties are Ozaukee, Washington, Waukesha, Milwaukee, Racine, Kenosha, Walworth

Southwest:

These counties form the outer boundary: Rock, Jefferson, Dodge, Columbia, Sauk, Juneau, Monroe, LaCrosse

4.3 Annual Affidavit

Once your registration is renewed, you should immediately see the link in Figure 20. If not, then one of these conditions will be true:

- an additional user account needs to be created
- the existing entry from registration needs to have the Full Name modified
- the certifying agency failed to enter a owner's name

Contact Tess Mulrooney, 608 267 4489 or tess.mulrooney@dot.state.wi.us, to verify what the problem is and have it corrected.

1. Click on the link shown in Figure 20.




Figure 20 – Continue with Annual Affidavit

No Change Affidavit

I Sally Forth , swear¹ (or affirm) that there have been no changes in FENCE MASTERS , INC circumstances affecting its ability to meet the size, disadvantaged status, ownership, or control requirements of 49 CFR Part 26 and 13 CFR Part 121. I swear (or affirm) there have been no material changes in the information provided with FENCE MASTERS , INC application for certification, except for any changes about which I have provided written notice to WisDOT pursuant to 49 CFR § 26.83(i).

I swear (or affirm) that I am socially disadvantaged because I have been subjected to racial or ethnic prejudice or cultural bias, or have suffered the effects of discrimination, because of my identity as a member of one or more of the groups identified in 49 CFR § 26.5, without regard to my individual qualities. I further swear (or affirm) that my personal net worth does not exceed \$750,000.00 , and that I am economically disadvantaged because my ability to compete in the free enterprise system has been impaired due to diminished capital and credit opportunities as compared to others in the same or similar line of business who are not socially and economically disadvantaged.

I specifically swear (or affirm) FENCE MASTERS , INC continues to meet the Small Business Administration (SBA) business size criteria and the overall gross receipts cap of 49 CFR Part 26 and FENCE MASTERS , INC average annual gross receipts (as defined by SBA rules) over the previous three fiscal years do not exceed \$19,570,000.00. I have mailed my tax returns to support this affidavit.

Signature:  Signature: Date: 9/25/2006

¹Knowingly and willfully providing false information to the Federal government is a violation of 18 U.S.C. Section 1001 (False Statements) and could subject you to fines, imprisonment or both.

Figure 21 –No Change Affidavit

2. Review the form.
3. Click “Sign” to electronically sign the report. A new window will open.

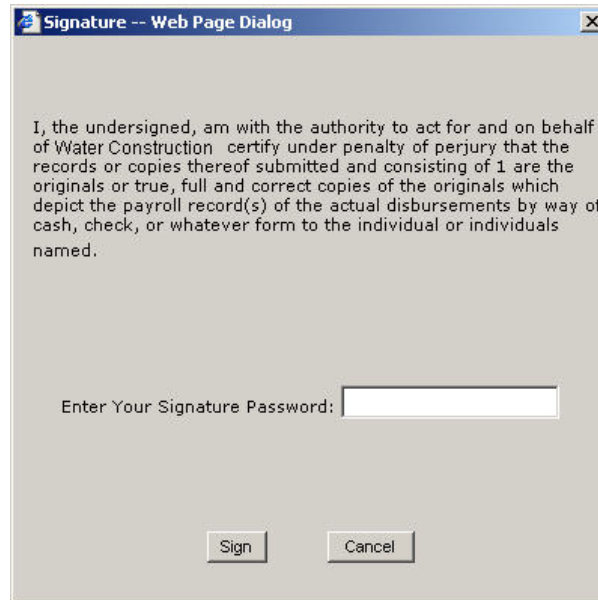


Figure 22 - CPR Signature Window

4. Type in your signature password and click “Sign” (Figure 22).


Note: All passwords are case sensitive.

No Change Affidavit

I Jeanie Pitts, swear¹ (or affirm) that there have been no changes in . FENCE MASTERS, INC. circumstances affecting its ability to meet the size, disadvantaged status, ownership, or control requirements of 49 CFR Part 26 and 13 CFR Part 121. I swear (or affirm) there have been no material changes in the information provided with JEANIE PITTS TRUCKING, INC. application for certification, except for any changes about which I have provided written notice to WisDOT pursuant to 49 CFR § 26.83(i).

I swear (or affirm) that I am socially disadvantaged because I have been subjected to racial or ethnic prejudice or cultural bias, or have suffered the effects of discrimination, because of my identity as a member of one or more of the groups identified in 49 CFR § 26.5, without regard to my individual qualities. I further swear (or affirm) that my personal net worth does not exceed \$750,000.00 , and that I am economically disadvantaged because my ability to compete in the free enterprise system has been impaired due to diminished capital and credit opportunities as compared to others in the same or similar line of business who are not socially and economically disadvantaged.

I specifically swear (or affirm) FENCE MASTERS, INC. continues to meet the Small Business Administration (SBA) business size criteria and the overall gross receipts cap of 49 CFR Part 26 and FENCE MASTERS, INC. average annual gross receipts (as defined by SBA rules) over the previous three fiscal years do not exceed \$19,570,000.00. I have mailed my tax returns to support this affidavit.

Signature:  Date: 11/01/2006

¹Knowingly and willfully providing false information to the Federal government is a violation of 18 U.S.C. Section 1001 (False Statements) and could subject you to fines, imprisonment or both.

Figure 23 – Annual Affidavit Summary Screen

5. Click “Submit” on the Annual Affidavit to submit it.

Note: A blank screen will result after you click submit.



Figure 24 - Blank Screen



6. Then mail a copy of the firm's most current year's federal taxes to the certifying agency.

Note: If your federal taxes are still being prepared for the year, please let the agency know when you expect to have them. They may request the prior year's taxes if they do not have them or may ask for a copy of the tax extension until the new year's are prepared.

Any of the following letters may be mailed to you:

- Affidavit Approval
- Intent to Expire
- Decertification
- Withdrawal

Each owner must sign their own affidavit. The certifying agency will have to ensure each owner has an account with either an email address or owner's name for their user id. Each account will have two passwords. One to log on, and one to sign the affidavit.



CHAPTER 5 RECERTIFICATION

In This Chapter

5.1	Introduction	31
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5.1 Introduction

A certification is in effect for five years from the date of certification. Occasionally the agency may alter the date to help balance their workload.

Annual registration renewal must take place. No form besides Personal Net Worth need be completed. These letters may be sent:

- Impending Expiration Notice
- Graduation Notice
- Request for Additional Information
- Notice of Intent to Decertify
- Notice of Personal Net Worth Denial
- Recertification Approval
- Notice of Decertification
- Application Withdrawal

5.2 Impending Expiration Notice

Thirty days before your firm's certification will expire, you will receive a letter like the one in Figure 25. You will need to renew your registration online, then complete a Personal Net Worth statement and mail it along with the prior year's federal taxes for your firm to the certifying agency.

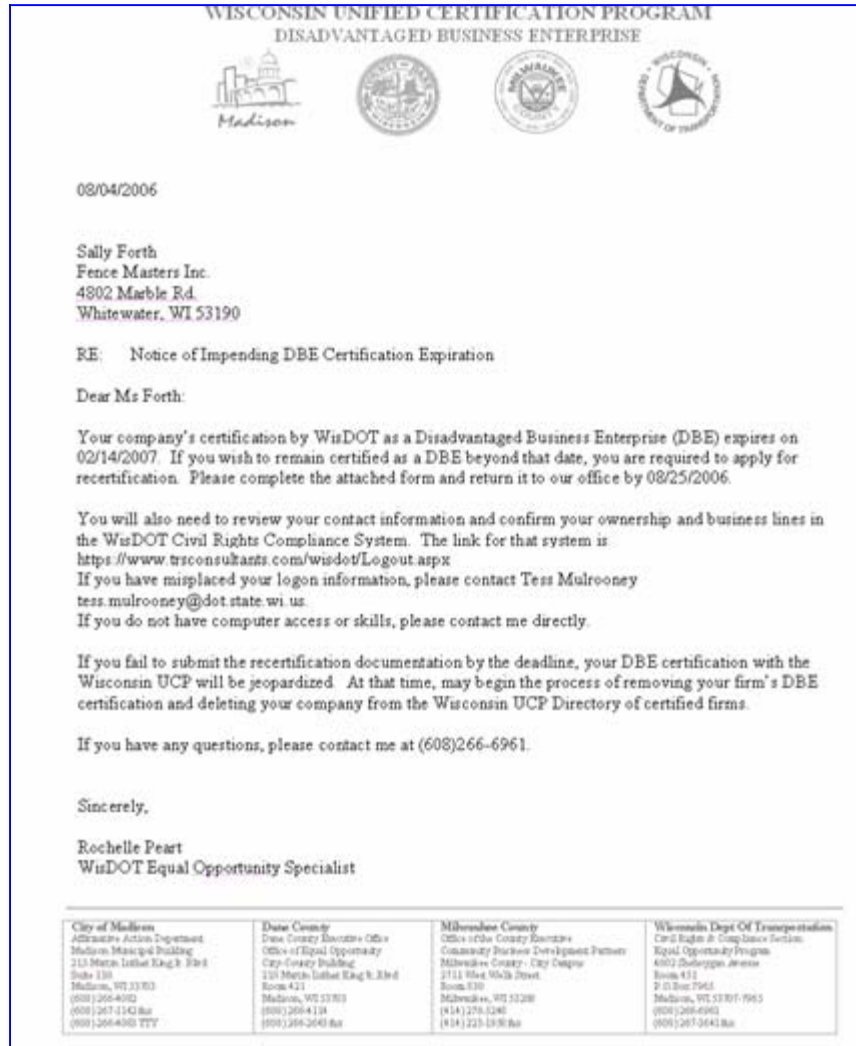


Figure 25 – Recertification Expiration Letter

5.3 Graduation Notice

The federal government has two guidelines for determining graduation from the program. SBA standards may come into play.

- o Employee size standard
- o Gross receipts average for three years (\$19,570,000).

Both standards depend on the type of worked performed. The Employee Size standard may vary from 100-500 employees. The gross revenue cap ranges from \$ 4 -19.57 million, using the average of the three most recent years.



5.4 Request for Additional Information

The desk audit may indicate several key documents are missing. This letter will tell you what to send to the appropriate UCP partner.

5.5 Application Withdrawal

Firms may withdraw their application at any time up to the point that a Notice of Intent to Deny letter is sent. Notify the certifying agency of your intent.

At least six months must elapse before reapplying to any of the certifying partners. The firm will start over with the new certification application.

5.6 Notice of Intent to Decertify

Firms receiving the Request for Information Letter have 21 days to reply. If the firm fails to respond within 21 days, the agency may send a notice of intent to deny. Also, if a company is found to be no longer eligible for DBE certification, the agency may send a notice of intent to deny.

5.7 Notice of Decertification

If the certifying agency does not receive all of the information requested, or your company is found to no longer be DBE eligible, your firm may continue working in Wisconsin, but it can no longer be considered a DBE.

5.8 Notice of Personal Net Worth Denial

Owners are not allowed to have a personal net worth of more than \$750,000, excluding equity in a primary residence and the value of the DBE company. The firm may continue working in Wisconsin, but it can no longer be considered a DBE.

5.9 Recertification Approval

If all documentation is in order and you are found to be eligible, you will receive a letter stating that your firm's certification is good for another five years.



CHAPTER 6 OTHER SYSTEM USES

In This Chapter

6.1	Introduction	35
6.2	Sublets – Payments – Payrolls	35
6.3	Bidder's List	35
6.4	TrANS Graduate Report	39
6.5	Apprentice Report	40

6.1 Introduction

WisDOT has programs to manage two types of special employees. These are Department of Workforce Development apprentices and Transportation Alliances for New Solutions (TrANS) graduates. Various community-based organizations around the state participate in preparing future employees for WisDOT-type projects. If your firm is looking for additional employees, you may wish to examine these two options.

6.2 Sublets – Payments – Payrolls

Beginning in Oct, 2006, all firms participating on WisDOT projects must:

- register their firms
- assign all subcontractors to the project at their proper tier level
- record payment to all first-tier subcontractors or DBE's at any tier
- record payment receipt data if a DBE or a first-tier subcontractor
- enter electronic payrolls if participating on any of the Marquette Interchange Projects
- ensure all subcontractors are registered

6.3 Bidder's List

For years, firms have tried to contact one another with faxes and telephone calls to try to determine who may be interested in helping share the workload for delivering a particular WisDOT project. Use of this system allows firms to now use electronic mail to assist in this effort.

DBE firms are welcome to use this searching tool to solicit work from potential firms which might hire them. Keep in mind that WisDOT's primary bidding cycle for highway work is the second Tuesday of each month.

Between the end of each month and that letting date may not be a good time to make contact.

1. From Report on the main menu, click "Bidder's List" to begin the search (Figure 26).

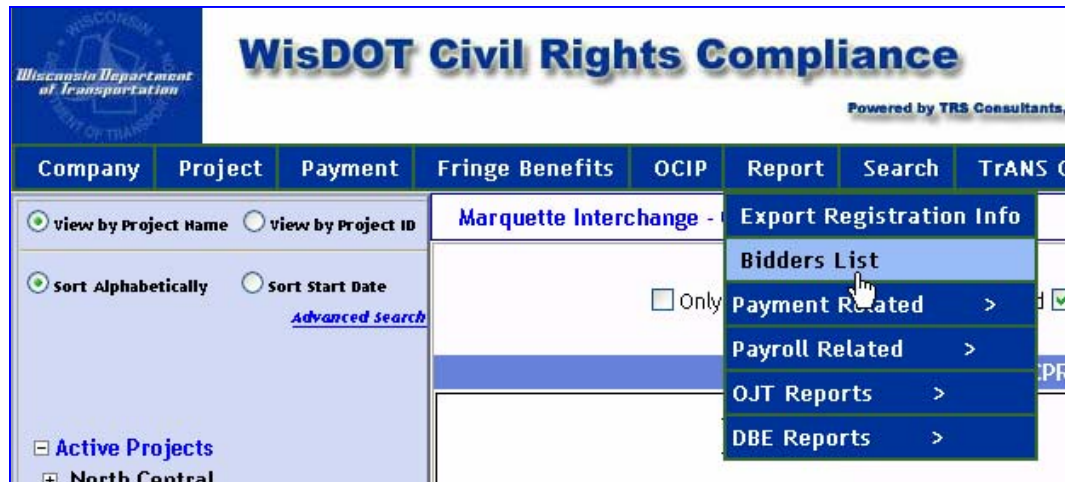


Figure 26 – Select Bidder’s List

Note: If you wish to solicit in firms outside Wisconsin, scroll the state list all of the way to the top and choose Select Any State.

- Using Figure 25’s screen, you can search for a particular firm, firms, in a specific city or zip code, as well as identify whether you are seeking a race-conscious or a race-neutral list of firms.
- If these options aren’t detailed enough, then click on “Advanced Search Options” to specifically search for a firm by its type of work (Figure 26).



Figure 27 – Basic Search for Bidders

Note: As firms registered throughout 2004 and 2005, not all of these options were available. If you cannot find a firm you expect to see, we may have to ask them to revise their Work Classifications list. They can do this under Company-Company Profile.

- Select the categories and/or business type of firms you are interested in getting in touch with.

5. Click on “Search.”

Advanced Search Options

Business Type (Select One)

Consultant
 Contractor
 Trucker
 Supplier
 Manufacturer
 Other Business Type

Work Classifications (Select One or More)

<input type="checkbox"/> Accounting Services	<input type="checkbox"/> Advertising Services	<input type="checkbox"/> Aggregates
<input type="checkbox"/> Airport Construction	<input type="checkbox"/> Airport Electrical	<input type="checkbox"/> Architectural Consultant
<input type="checkbox"/> Asbestos Abatement	<input type="checkbox"/> Asphalt	<input type="checkbox"/> Bridge Painting
<input type="checkbox"/> Building Construction	<input type="checkbox"/> Clearing & Grubbing	<input type="checkbox"/> Computing Services
<input type="checkbox"/> Concessionaire	<input type="checkbox"/> Concrete	<input type="checkbox"/> Consultant
<input type="checkbox"/> Crash Cushions	<input type="checkbox"/> Culverts	<input type="checkbox"/> Design Engineering
<input type="checkbox"/> Employment Services	<input type="checkbox"/> Environmental Services	<input type="checkbox"/> Equipment Supplier
<input type="checkbox"/> Erosion Control	<input type="checkbox"/> Fencing	<input type="checkbox"/> Geotechnical Services
<input type="checkbox"/> Grading	<input type="checkbox"/> Incidental Construction	<input type="checkbox"/> Insurance
<input type="checkbox"/> Iron Work	<input type="checkbox"/> Janitorial Services	<input type="checkbox"/> Joint Sawing
<input type="checkbox"/> Landscaping	<input type="checkbox"/> Lighting/Signals	<input type="checkbox"/> Material Supplier
<input type="checkbox"/> Materials Sampling/Testing	<input type="checkbox"/> Office Supply	<input type="checkbox"/> Other Miscellaneous
<input type="checkbox"/> Painting	<input type="checkbox"/> Pavement Marking	<input type="checkbox"/> Public Relations
<input type="checkbox"/> Railings	<input type="checkbox"/> Railroad Construction	<input type="checkbox"/> Retaining Walls
<input type="checkbox"/> Sewer/Utility	<input type="checkbox"/> Staking	<input type="checkbox"/> Steel Erection/Fabrication
<input type="checkbox"/> Structures	<input type="checkbox"/> Survey	<input type="checkbox"/> Traffic Control/Signing
<input type="checkbox"/> Transit Service Provider	<input type="checkbox"/> Trucking	<input type="checkbox"/> Turbidity Barriers
<input type="checkbox"/> Vehicle & Building Maintenance	<input type="checkbox"/> Vehicle Fuel/Supply	

Figure 28 – Advanced Search for Bidders

DBE	Company	Bid Contact	Phone	Email	City	Zip	Work Classification(s)
Y	Adaptive Electrical Controls, Inc.					53122	Lighting/Signal
Y	BELKNAP TEL-COM, INC.					54880	Lighting/Signal
Y	CW ENTERPRISE ELECTRIC COMPANY, INC.					53186	Lighting/Signal

DBEs: 3
Non-DBEs: 0
Total Firms: 3

Figure 29 –Bidders List Search Results

6. You may continue to refine your search criteria if you did not receive the results you expected. Click on “Search Companies.”
7. You have the options to print the list of firms meeting the criteria or exporting the data to an Excel spreadsheet file.

Exporting: Change the radio button to save “All” and identify a file type (Figure 30).

Note: Choose Excel 2000 Data Only or you will only get a formatted report.



Figure 30 –Select Bidder’s List Export Type

8. To send an e-mail to these firms, click on the e-mail column of text and copy the values. Paste these into an e-mail note; you may have to add either a comma or a semi-colon between each firm's name, depending on your e-mail system.

Consider whether or not you wish to send a note to several firms at once; if so, check your e-mail system's documentation on how to send a Blind Carbon Copy message (Figure 31).

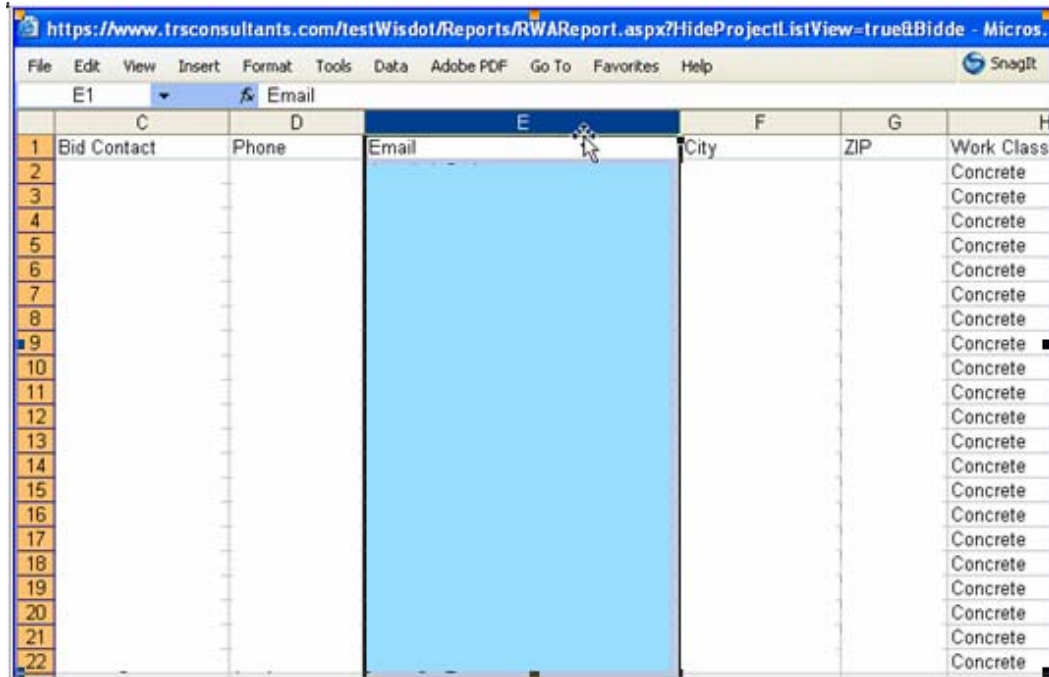


Figure 31 –Copy Bidders’ E-mail Addresses

9. When the file is saved, this view will close.
10. Click on “Home” to return to the CPR Log screen.

Note: These columns have been purposely cleared for documentation purpose only.

6.4 TrANS Graduate Report

Firms employing this special type of apprentice are entitled to a reimbursement for every hour the employee works. A list of all of the graduates is available within the system if you wish to do some recruiting. TrANS Grads are trained to provide general labor services for WisDOT projects.

After logging on:

1. Simply choose the word “Report” on the dark-blue main menu.
2. The next option you wish to select is “TrANS Grad Report.”



Figure 32 – Select Trans Grad Report Screen

3. If you wish to be more selective by region of the state, then specify which TrANS Program Provider’s graduates you wish to see.

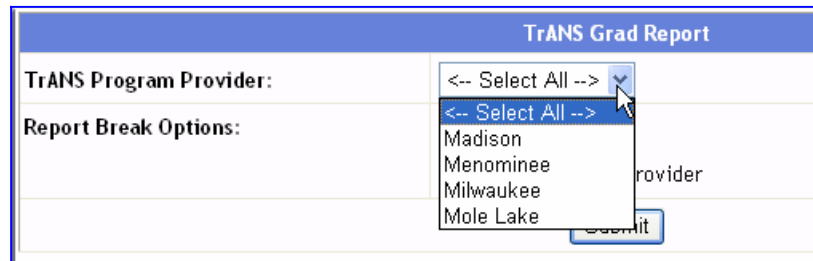


Figure 33 – TrANS Program Selection Screen

The report will show you all graduates for the selected provider(s).

6.5 Apprentices Report

As of January 1, 2006, the governor has placed a priority on hiring up to 30% apprentices on every project receiving state funding. Types of apprentices include:

- iron workers
 - carpenters
 - operating engineers
 - electricians
 - craft laborers
 - heavy equipment operators
1. After logging on, simply choose the word “Report” on the dark-blue main menu.
 2. The next option you wish to select is “Apprentice Overall Report.”

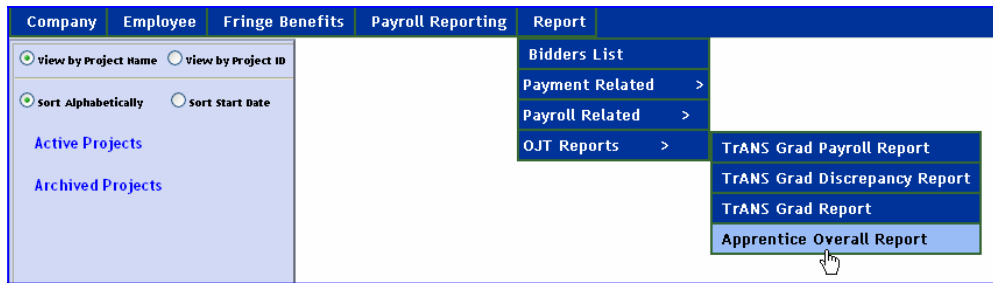


Figure 34 – Select Apprentice Overall Report

3. Then identify the craft for which you wish to see apprentices.

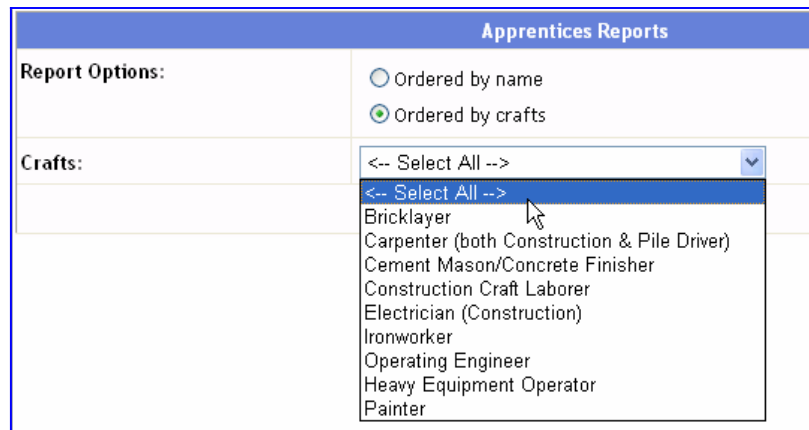


Figure 35 – Select Craft



CHAPTER 7 TRUCKING SCHEDULE

In This Chapter

7.1	Introduction	43
7.2	Schedule Due Notification	43
7.3	Revising Schedule	49
7.4	What Next?	50

7.1 Introduction

Once a year in the winter months, each of the UCP partners' firms are required to complete a trucking schedule. These are technically good for only six months, but one could argue that is a harsh winter's toll on the construction season. Firms are told they must revise the report within two weeks of taking on new leases or acquiring or selling trucks of their own.

As new applicants apply to the program, they submit a paper version of the Trucking Schedule. The UCP Cert Team member who is approving your firm should enter the data, scan in your signature, etc. for the initial year. In subsequent years, firms will revise the prior year's data and submit new schedules.

7.2 Schedule Due Notification

The system will identify all DBE firms, including all partners' firms, which have checked that they provide trucking services on their registration screens. The system will e-mail the firms each year on February 17 that they need to complete their schedule online. Those firms which haven't submitted a schedule by March 19 will receive a reminder. This section will explain how you would submit a new schedule.

1. From the UCP menu, select "Trucking Schedules."



Figure 36 – Select Trucking Schedules Screen

2. Select "Edit" to begin entering the new year's schedule.

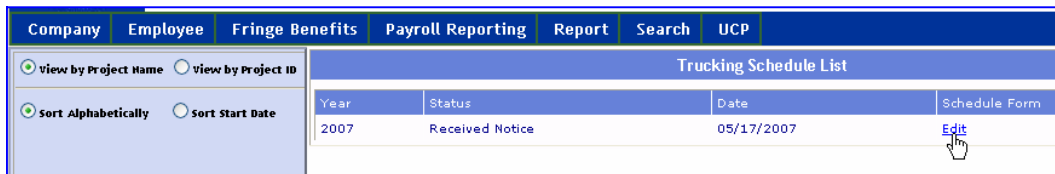


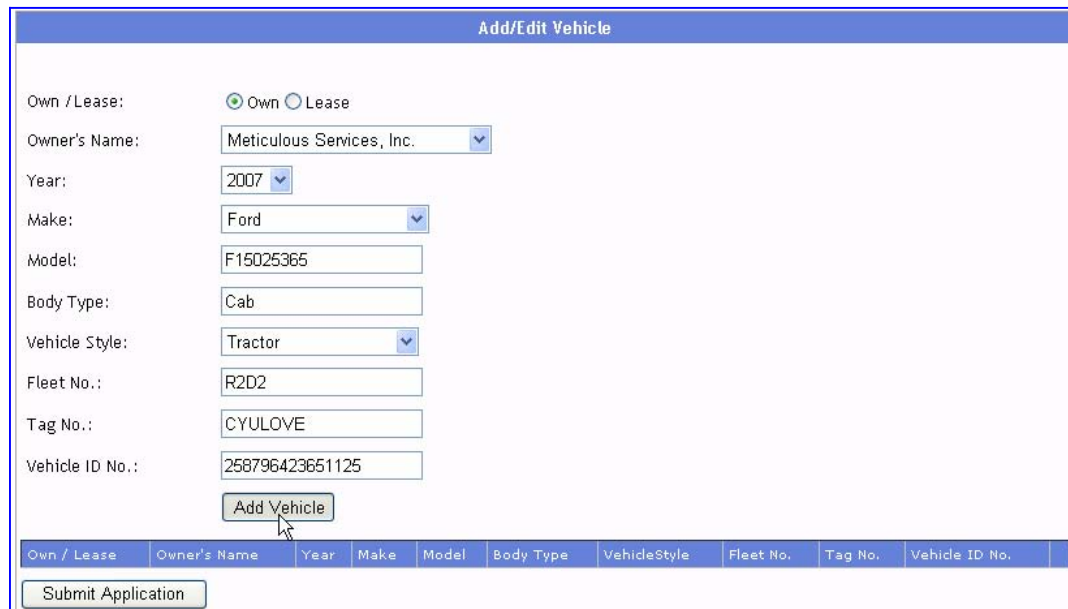
Figure 37 – Click on Edit Screen

3. Begin entering information about a new truck.

Sometimes these descriptions might be confusing. This should give you some hints of what might be needed.

- The model number is often something like F150
- The body type might be dump or cab chassis.
- The fleet number is a way you identify one of your trucks from another.
- The tag number is the license plate.
- The vehicle ID number, or VIN, is the department's Division of Motor Vehicles registration key.

4. Click on "Add Vehicle."



Own / Lease	Owner's Name	Year	Make	Model	Body Type	VehicleStyle	Fleet No.	Tag No.	Vehicle ID No.
-------------	--------------	------	------	-------	-----------	--------------	-----------	---------	----------------

Figure 38 – Add Vehicle Information Screen

5. The truck will then appear under the column headings you see just above "Submit Application."

To edit or delete information about a truck, use the lower section of the screen to accomplish this.

6. If you select Edit, your browser will display the data.

Add/Edit Vehicle

Own / Lease: Own Lease

Owner's Name: Meticulous Services, Inc. ▼

Year: 2007 ▼

Make: <-- Select Maker --> ▼

Model:

Body Type:

Vehicle Style: <-- Select Style --> ▼

Fleet No.:

Tag No.:

Vehicle ID No.:

Own / Lease	Owner's Name	Year	Make	Model	Body Type	VehicleStyle	Fleet No.	Tag No.	Vehicle ID No.	
Own	Meticulous Services, Inc.	2007	Ford	F15025365	Cab	Tractor	R2D2	CYULOVE	258796423651125	Edit Delete

Figure 39 – Trucking Schedule History Screen

7. Make any necessary changes.

Trucking Schedule Maintenance

Add/Edit Vehicle

Own / Lease: Own Lease

Owner's Name: Meticulous Services, Inc. ▼

Year: 2007 ▼

Make: Ford ▼

Model: F15025365

Body Type: Cab

Vehicle Style: Tractor ▼

Fleet No.: R2D2

Tag No.: CYULOVE

Vehicle ID No.: 258796423651125

Own / Lease	Owner's Name	Year	Make	Model	Body Type	VehicleStyle	Fleet No.	Tag No.	Vehicle ID No.	
Own	Meticulous Services, Inc.	2007	Ford	F15025365	Cab	Tractor	R2D2	CYULOVE	258796423651125	Edit Delete

Figure 40 –Click on Update Screen

8. Click on “Update” to save the changes.

Add/Edit Vehicle

Own /Lease: Own Lease

Owner's Name: ▼

Year: ▼

Make: ▼

Model:

Body Type:

Vehicle Style: ▼

Fleet No.:

Tag No.:

Vehicle ID No.:

Own / Lease	Owner's Name	Year	Make	Model	Body Type	VehicleStyle	Fleet No.	Tag No.	Vehicle ID No.	
Own	Meticulous Services, Inc.	2007	Ford	F15025365	Cab	Tractor	R2D2	CYU LOVE	258796423651125	Edit Delete

Figure 41 – Click on Delete Screen

9. To delete a truck, click on “Delete.”

10. Confirm only if you wish to delete the truck.

Add/Edit Vehicle

Own /Lease: Own Lease

Owner's Name: ▼

Year: ▼

Make: ▼

Model:

Body Type:

Vehicle Style: ▼

Fleet No.:

Tag No.:

Vehicle ID No.:

Microsoft Internet Explorer [X]

? Delete this item ?

Own / Lease	Owner's Name	Year	Make	Model	Body Type	VehicleStyle	Fleet No.	Tag No.	Vehicle ID No.	
Own	Meticulous Services, Inc.	2007	Ford	F15025365	Cab	Tractor	R2D2	CYU LOVE	258796423651125	Edit Delete

Figure 42 – Confirm to Delete Screen

SCHEDULE OF OWNED/LEASED VEHICLES FOR DBE CREDIT (2007)

FIRM NAME: Meticulous Services, Inc. Approval Date: _____

TOTAL OWNED: 1 Total Leased: 0

Own / Leased	Owner's Name	Year	Make	Model
Own	Meticulous Services, Inc.	1994	Ford	F150

I understand that only the trucks listed above may be used to perform work for credit towards DBE goals. I further agree to submit a revised schedule within two weeks of a change in owned or leased vehicles.

Authorized Signature: _____

Signature -- Web Page Dialog

I, the undersigned, am with the authority to act for and on behalf of Meticulous Services, Inc. certify under penalty of perjury that the records or copies thereof submitted and consisting of 1 are the originals or true, full and correct copies of the originals which depict the payroll record(s) of the actual disbursements by way of cash, check, or whatever form to the individual or individuals named.

Enter Your Signature Password:

ID no. 9m0079wb

Further

Figure 45 – Enter your Signature Password, click on Sign Screen

14. Click on “Submit” to complete the schedule.

SCHEDULE OF OWNED/LEASED VEHICLES FOR DBE CREDIT (2007)

FIRM NAME: Meticulous Services, Inc. Approval Date: _____

TOTAL OWNED: 1 Total Leased: 0 Total for DBE Credit : 1

Own / Leased	Owner's Name	Year	Make	Model	Body Type	Vehicle Style	Fleet No.	Tag No.	Vehicle ID no.
Own	Meticulous Services, Inc.	1994	Ford	F150	CAB	Truck	23	CYULUK	rec280d029m0079wb

I understand that only the trucks listed above may be used to perform work for credit towards DBE goals. I further agree to submit a revised schedule within two weeks of a change in owned or leased vehicles.

_____ 06/11/2007
 Signature: Date

Figure 46 – Submit Schedule Screen

15. Click on Back if you need to make further changes.

7.3 Revising Schedule

1. From the UCP menu, select “Trucking Schedules”.



Figure 47 – Select Trucking Schedules

2. Click on “Modify” to begin the process.



Year	Status	Date	Schedule Form
2007	Approved	05/25/2007	View Modify

Figure 48 – View or Modify Trucking Schedule Screen

3. A pop-up message will appear to confirm modification. Click on “OK” to confirm or “Cancel” if you do not wish to modify.



Figure 49 – Click on OK Screen

4. Scroll to the bottom of the screen to begin to make changes. See Figure 50.
5. Choose either Edit or Delete for a specific truck and make the appropriate changes and save.

Own / Lease	Owner's Name	Year	Make	Model	Body Type	Vehicle Style	Fleet No.	Tag No.	Vehicle ID No.	
Own	Patriot Truck Service, Inc	2003	Mack	Granit	Dump	Quad axle, tandem	41S1	RB9053	1M2AG11C93M006905	Edit Delete
Own	Patriot Truck Service, Inc	1996	Mack	CL	Dump	Quad axle, tandem	41S2	RB9053	1M2AD09C4TW003549	Edit Delete
Own	Patriot Truck Service, Inc	1997	Mack	CL	Dump	Quad axle, tandem	41S3	RB9054	1M2AD09C9VW005719	Edit Delete
Leased	Wayne Shunk	1997	Peterbilt	?	Dump	Quad axle, tandem	10611	RB-3980	1NPFLU0X42N436939	Edit Delete
Own	Patriot Truck Service, Inc	1999	Mack	CL	Dump	Quad axle, tandem	4155	RB7024	1M2AD62C6XW009260	Edit Delete
Leased	Asphalt Contractors	2000	Mack	CL	Dump	Quad axle, tandem	10603	?	1M2AD62C0TW003710	Edit Delete
Own	Patriot Truck Service, Inc	2001	Mack	CL	Dump	Quad axle, tandem	4159	RB6513	1M2AD62C31MO11566	Edit Delete
Leased	Asphalt Contractors	2004	Mack	CL	Dump	Quad axle, tandem	10602	SB-2455	1M2AD62C9VW004888	Edit Delete
Own	Patriot Truck Service, Inc	2007	Mack	Granit	Dump	Quad axle, tandem	4150	RB12061	1M2AL02C87M003763	Edit Delete
Leased	Jaws, LLC	2004	Mack	Granit	Dump	Quad axle, tandem	8016	RB9055	1M2AG11C54M008443	Edit Delete
Leased	Stephens Delivery LLC	2006	Mack	Granit	dump	Quad Dump	10983		1M2AL02C16M003649	Edit Delete
Leased	STEPHENS EXPRESS TRUCKING, LLC	1997	Kenworth	T800	DUMP	Quad Dump	11156		1NKPL20X9VJ734783	Edit Delete
Leased	Jeff Yaeger	1994	Mack	CL	Dump	Tri/Tri Axle	4158	QB7508	1M2AD09C9RW001806	Edit Delete
Own	Patriot Truck Service, Inc	1995	Mack	CH	Dump	Tractor & Trailer	8860	T515556	1M2AA13YSSW056309	Edit Delete
Leased	Jaws, LLC	1999	Mack	CL	Dump	Quad axle, tandem	4148	RB8217	1M2AD09C7XW007942	Edit Delete

Figure 50 – Edit or Delete Trucking Schedule Screen

7.4 What Next?

WisDOT staff will await the arrival of your firm's leases in the mail. When they have arrived, staff will compare what they see in the system with the packet of materials. While they are doing nothing, you will see the message shown in Figure 51.

Trucking Schedule List			
Year	Status	Date	Schedule Form
2007	Submitted(Awaiting Approval)	06/05/2007	View

Figure 51 – Awaiting Approval Screen

When your schedule has been approved, you will see the screen change to this.

Trucking Schedule List			
Year	Status	Date	Schedule Form
2007	Approved	05/25/2007	View Modify

Figure 52 – Approved Trucking Schedule List Screen

In the past, WisDOT mailed out letters of approval. The department will no longer be doing this as contractors will have the ability to see the summarized version of all submitted schedules. You will no longer have to provide documentation to others.

If no further changes occur throughout the year, then you need do nothing further until the next year's notice arrives. Some efforts have been made to pair DBE trucking firm's annual registration renewal, annual affidavit, and truck schedule all at the same time.