

**PUTNAM COUNTY'S
ANNUAL 2023, 2024, and 2025
DISADVANTAGED BUSINESS ENTERPRISE (DBE) GOAL**

Putnam County submits the following Disadvantage Business Enterprise (DBE) goal methodology for FFY 2023-2025 to the United State Department of Transportation (USDOT) Federal Transportation Administration (FTA) for review in accordance with 49 Code of Federal Regulations (CFR) Part 26. The goal will remain in effect until the next review cycle. Putnam County will make a good faith effort to meet the goal each year. To ensure the overall quality of the information and data used in the goal setting methodology, Putnam County will continue to review and amend its data collection process and analysis, as needed, and engage with stakeholders and the public.

Goal Setting Methodology

The regulations require recipients to set overall goals based on demonstrative evidence of the availability of DBEs relative to all businesses that are ready, willing, and able to participate on federally assisted contracts in the market area. To determine the DBE Base Figure, the 2022 North American Industry Classification System (NAICS) 6-digit codes, the 2020 Census Bureau County Business Patterns data and the New York State Unified Certification Program (NYSUCP) DBE Directory as the base figure of ready, willing, and able DBEs were utilized. Contracting data was used from the 2020-2022 time period to determine that 100% of Putnam County's contract awards/commitments went to firms located within New York State Department of Transportation's Region 8 (Columbia, Dutchess, Orange, Putnam, Rockland, Ulster, and Westchester). Therefore, the market area was determined to be within these seven (7) counties.

Amount of goal

Putnam County's overall DBE goal for the above federal fiscal years is expected to be 27.9%. This is exclusive of FTA funds to be used for the purchase of transit vehicles or right-of-way (ROW) or for operating assistance.

The amount of federally assisted contracts Putnam County expects to let during the 2023, 2024, and 2025 federal fiscal years includes Section 5307, Section 5339, Surface Transportation Program (STP), and Congestion Mitigation Air Quality (CMAQ) funding sources. The Federal share of the design and construction of the projects in federal fiscal years 2023-2025 is estimated to total \$10,982,400.

The total estimated project costs during the 2023-2025 time period include:

- Construction and inspection for Mahopac Falls Bikeway from Route 118 (Baldwin Place) to Myrtle Ave (Mahopac Falls) (total cost is \$2,000,000)
- Construction and construction inspection for Putnam Bikeway II Stage IV from Putnam Avenue at Route 6 to North Main Street (total cost is \$6,690,000).
- East Branch Croton River Bridge (Bridge 5) on Maybrook Bikeway (total cost is \$3,000,000)
- Empire State Trail – Access to NYS Route 312 and NYS Route 311 (total cost is \$650,000)
- Putnam County Transit Facility Reconstruction & Rehabilitation (total cost is \$1,388,000)

Given the total anticipated amount of funds to be \$13,728,000, of which the Federal share is \$10,982,400, we anticipate **Putnam’s Overall DBE Goal to be 27.9% or \$3,064,090, with a 18.97% race neutral goal and a 8.93% race conscious goal.**

Base Figure Calculation

To calculate the base figure, all reasonably anticipated FTA-assisted contracting opportunities were identified and quantified. We first researched whether any work by construction-based DBEs could be considered contracting opportunities. We reviewed the types of work for DBEs that could be done for the above contracts and selected engineering and inspection, surveying, road, bridge and trail construction, demolition, fencing, paving, striping, and work zone traffic control.

NAICS Code	Description of Work	Total funds per NAICS Code	FTA Funding per NAICS Code	% of FTA (weight)
541330	Engineering Services	Total= \$1,716,000 \$800,000 (Putnam IV) \$391,000(Mahopac Falls) \$500,000 (Bridge #5) \$25,000 (Empire State Trail Access)	\$1,372,800	.1250
541360	Geophysical Surveying and Mapping Services (Surveying)	Total = \$232,000 \$200,000 (Putnam IV) \$32,000 (Mahopac Falls)	\$185,600	.0169
237310	Highway, Street & Bridge Construction	Total = \$9,090,000 \$5,130,000 (Putnam IV) \$1,339,000 (Mahopac Falls) \$1,996,000 (Bridge #5) \$625,000 (Empire State Trail Access)	\$7,272,000	.6622
238910	Site Preparation Contractors (Demolition)	Total = \$504,000 \$504,000 (Bridge #5)	\$403,200	.0367
561990	All Other Support Services (Flagging)	Total = \$480,000 \$400,000 (Putnam IV) \$80,000 (Mahopac Falls)	\$384,000	.0350
238990	All Other Specialty Trade Contractors (Fencing, Paving)	Total = \$318,000 \$110,000 & \$50,000 (Putnam IV) \$40,000 & \$118,000 (Mahopac Falls)	\$254,400	.0232

236220	Commercial & Institutional Building Construction	Total = \$907,744 Transit Facility (\$907,744)	\$726,195	.0661
238210	Electrical Contractors	Total = \$80,256 Transit Facility (Lighting \$80,256)	\$64,205	.0058
238220	Plumbing, Heating & Air-Conditioning	Total = \$400,000 Transit Facility (\$400,000)	\$320,000	.0291
Total Contract Funds		\$ 13,728,000	\$10,982,400	1

Next, DBE firms belonging to the above mentioned 2022 NAICS codes were identified through the NYS Unified Certification Program directory (<https://nysucp.newnycontracts.com/>) for Putnam County and the surrounding counties of Westchester, Rockland, Orange, Dutchess, and Fairfield, Connecticut. Then the total amount of firms belonging to the above mentioned NAICS codes in these counties, as found in the 2020 Census Bureau's County Business Patterns, were identified. The number of "willing and able" DBEs in the identified market was then divided by the total number of businesses in the market. This gave the relative availability of DBE firms in our market by NAICS code:

NAICS Code	Description of Work	Number of DBEs available to perform this work	Number of all firms available (including DBEs)	Relative Availability
541330	Engineering Services	16	331	4.83%
541370	Surveying and Mapping	7	53	13.21%
237310	Highway, Street & Bridge Construction	30	81	37.04%
238910	Site Preparation Contractors (Demolition)	21	333	6.31%
561990	All Other Support Services (Flagging)	2	92	2.17%
238990	All Other Specialty Trade Contractors (Fencing, Paving)	12	314	3.82%
236220	Commercial & Institutional Building Construction	9	307	2.93%
238210	Electrical Contractors	1	904	0.11%

238220	Plumbing, Heating & Air-Conditioning	3	1198	0.25%
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Finally, a weighted base figure was determined, taking into account the overall portion of funds and the availability of DBEs represented by each NAICS code:

NAICS Code	Description of Work	Weight	Availability of DBEs	Weighted Base Figure
541330	Engineering Services	.1250	.0483	0.0060
541370	Surveying and Mapping	.0169	.1321	0.0022
237310	Highway, Street & Bridge Construction	.6622	.3704	0.2453
238910	Site Preparation Contractors (Demolition)	.0367	.0631	0.0023
561990	All Other Support Services (Flagging)	.0350	.0217	0.0008
238990	All Other Specialty Trade Contractors (Fencing, Paving)	.0232	.0382	0.0009
236220	Commercial & Institutional Building Construction	.0661	.0293	0.0019
238210	Electrical Contractors	.0058	.0011	0.0000
238220	Plumbing, Heating & Air-Conditioning	.0291	.0025	0.0000
				TOTAL = 25.94%

Adjustment of Base Figure

FTA guidance suggests that, wherever possible, weighing the relative availability of firms in relation to the expected contract work should be used to ensure that the Step One Base Figure (25.94%) is as accurate as possible. Putnam County will use actual past participation in similar contracting opportunities to better gauge the availability of DBEs to compete for contracts. There are no recent disparity studies conducted in the market area which would give the County additional information in adjusting its goal.

In reviewing the past three-year period, the projects let during this period are similar to those to be let in FFY 2023-2025. Utilizing the median of past participation of 2020-2022 (29.86%) with our weighted base figure (25.94%) yields an adjusted figure of 27.9%. The County believes that the goal of 27.9% truly and accurately reflects the participation that would be expected absent the effects of discrimination.

Race-Neutral and Race-Conscious Participation

The race/gender-neutral goal in the past has been met by contracting directly with a DBE firm for engineering design and inspection services. During the past three-year period, Putnam County was unable to directly contract with a DBE firm that serves as prime construction contractor due to a lack of available firms in the area. To meet the DBE goals for the project, the County has established race/gender-conscious goals in the bid specifications for the overall construction project, and the prime contractor must make good faith efforts to reach that goal, including documenting those efforts. For the proposed contracts involved in this Goal Methodology, it is expected that Putnam County will attempt to directly contract with a contractor in the above described anticipated work. If the work needed is minimal and the proposed contract work primarily involving specialized bridge or road construction, the prime contractor may also hire DBE subcontractors to meet the required goal set in the bid documents for small business work such as landscaping, fencing, paving and or hauling. The contracts that require utilization of DBE subcontractors by the prime contractor are considered race/gender conscious attainments.

Basis for Estimated Race-Neutral and Race-Conscious Projections

The race-neutral projection is derived from the following:

1. Contracts wherein a race-neutral DBE firm is the prime or sub-contractor;
2. Contracts with an assigned DBE goal and in which DBE attainments exceed the DBE assigned goal, DBE attainment in excess of the DBE goal will be counted as race-neutral attainment;
3. Contracts that have an engineer's estimate of less than \$500,000 dollars typically do not have an assigned DBE goal - for those contracts, all DBE attainment will be counted as race-neutral attainment; and
4. Putnam County will meet the maximum feasible portion of its goal via race/gender-neutral means.

Below is a summary of Putnam County’s DBE participation over the previous three- year goal period.

	<i>2020 DBE Utilization</i>	<i>2021 DBE Utilization</i>	<i>2022 DBE Utilization</i>	<i>Total (2020-2022)</i>
<i>TOTAL Race/Gender Neutral</i>	<i>\$0</i>	<i>\$0</i>	<i>\$0</i>	<i>\$0</i>
<i>TOTAL Race/ Gender Conscious</i>	<i>\$169,769</i>	<i>\$1,455,558</i>	<i>\$44,968</i>	<i>\$1,670,295</i>
<i>TOTAL \$ for ALL PROJECTS</i>	<i>\$384,617</i>	<i>\$4,874,209</i>	<i>\$360,001</i>	<i>\$5,618,827</i>
<i>% Race/Gender Neutral Participation</i>	<i>0%</i>	<i>0%</i>	<i>0%</i>	<i>0% (3 year median)</i>
<i>% Race/Gender Conscious Participation</i>	<i>44.14%</i>	<i>29.86%</i>	<i>12.49%</i>	<i>29.86% (3 year median)</i>
<i>Total % DBE Participation</i>	<i>44.14%</i>	<i>29.86%</i>	<i>12.49%</i>	<i>29.86% (3 year median)</i>

To project the portion of Putnam County’s overall goal that can be met through race/gender neutral means, consideration of the “Tips for Goal-Setting in the DBE Program” from U.S. Department of Transportation was given.

Utilizing the FTA’s Formula for Calculating the RN/ RC Split:

$$1. \text{ Relative RN Attainment} = \frac{\text{RN Attainment (\%)} (0.0\%)}{\text{Overall DBE Achievement by \% (29.86\%)}} = 0.0\%$$

$$2. \text{ Absolute RN Attainment} = \text{RN Attainment by \% (0\%)} \times \text{Proposed Overall Goal by \% (27.9\%)} = 0\% \text{ RN}$$

$$3. \text{ RC Split} = \text{Proposed Overall Goal by \% (27.9\%)} - \text{Absolute RN Attainment by \% (0\%)} = 27.9\% \text{ RC}$$

Using this formula produces a 0% race neutral goal and a 27.9% race conscious goal. However, 49 CFR 26.51 requires that the County meet the maximum feasible portion of our overall goal by

using race-neutral means of facilitating DBE participation. Per “Tips for Goal-Setting in the DBE Program” from U.S. Department of Transportation, to calculate the race/gender neutral and race/gender-conscious split, consideration of past history of inability to achieve goals through race/gender means should be employed. this calculation was made based upon this summary’s Race/Gender Neutral totals being listed as “0” for each year of the 2020-2022 triennial period. Using that “0” figure will yield only additional “0”s for each step of the formula for calculating the RN/RC Split. However, the TOTAL Race/Gender Neutral row of data on the above-referenced summary, would be in reference to DBE Prime contracts and does not reflect the fact that total DBE participation exceeded the three-year period’s overall goal of 9.66% for each year. Therefore, it is more appropriate to calculate the proposed RN/RC split using the amount by which Putnam County exceeded its overall DBE goal in this previous three-year period.

According to the U.S. Department of Transportation’s **Tips for Goal-Setting in the Disadvantaged Business Enterprise (DBE) Program,**

“The amount by which you exceeded your overall goals in past years can be a useful tool in helping you project the race/gender-neutral participation you can expect in the future. For example, suppose that your past year’s goal was 20%, but you obtained 30% DBE participation. The 10% difference between goal and achievement represents participation that went beyond what you told contractors they should do in order to meet the 20% goal. This 10% participation, then, was not made necessary by race/gender-conscious provisions of your program. It may be reasonable for you to assume, as you make your projected split between race/gender-neutral and race/gender-conscious measures for next year, that contractors will again be able to achieve 10% participation over and above the race/gender-conscious portion of your overall goal. If your overall goal were again 20%, this could be evidence supporting a decision for projecting 10% race/gender-neutral and 10% race/gender-conscious split for the coming year.

Your projected split will probably be more accurate if you use past participation data from more than one year. As noted in point #5 under "Adjustments Based on Past Participation," it is advisable to calculate the median of the past years' participation. For example, if your goal was 20% in each of the past three years, and your achievements were 21%, 22%, and 30%, the median amount by which you exceeded your goal was 2% (i.e., the median of 1%, 2% and 10%). You could then use this figure as evidence supporting a projection of 2% race/gender-neutral participation for the coming year.”

If Putnam County’s triennial DBE goal (overall) for 2020-2022 was 9.66%; (RN 7.35%; RC 2.31%) and the median total DBE participation was 29.86%, then 20.2% is the amount by which the overall goal was exceeded.

Utilizing 20.2% for the Relative RN Attainment for the formula for calculating the RN/RC split results in the following:

1. Relative RN Attainment =

RN Attainment (%) 20.2

_____ = .68 (%)

Overall DBE Achievement (%) 29.86

2. Absolute RN Attainment =

RN Attainment by % (.68) X Proposed overall goal by % (27.9) = 18.97(%)

3. RC Split =

Proposed overall goal by % (27.9) – Absolute RN Attainment by % (18.97) = 8.93(%)

This results in a proposed race-neutral/race-conscious split of 18.97% and 8.93%, respectively.

The County will therefore employ the following measures to encourage and facilitate race neutral DBE participation:

1. Arranging solicitations, times for the presentation of bids, quantities, specifications, and delivery schedules in ways that facilitate participation by DBEs and other small businesses and by making contracts more accessible to small businesses
2. Reducing bonding requirements and providing services to help DBEs, and other small businesses, obtain bonding and financing;
3. Providing technical assistance and other services through the Putnam County Department of Planning, Development & Public Transportation;
4. Ensuring the inclusion of DBEs, and other small businesses, on recipient mailing lists for bidders; ensuring the dissemination to bidders on prime contracts of lists of potential subcontractors;
5. Ensuring distribution of the County's DBE directory, through print and electronic means, to the widest feasible pool of potential prime contractors;
6. Identifying subcontracting opportunities in bid documents and offering assistance to prime contractors in finding suitable DBE subcontractors

Contract goals will be used to meet any portion of the overall goal that the County does not project being able to meet using race-neutral means. Contract goals are established so that, over the period to which the overall goal applies, they will cumulatively result in meeting any portion of our overall goal that is not projected to be met through the use of race-neutral means.

DBE Goal Methodology Process and Public Outreach

Based on the DBE Program rules, Putnam County will continue to submit its DBE goal on a 3-year cycle. The next DBE goal methodology will be submitted to FTA on/ about August 1, 2024.

Based on feedback from FTA regarding our DBE outreach, additional public outreach and consultation sessions were conducted in the past few years. Putnam County updated its website

to establish a standalone Civil Rights webpage at www.putnamcountyny.com/civil-rights/. Putnam County Department of Planning, Development & Public Transportation held a DBE Public Consultation meeting to facilitate receiving input from business and community members, as well as to inform and engage with the public on the proposed DBE Program Plan and Federal Fiscal Years 2023-2025 Disadvantaged Business Enterprise (DBE) Triennial Goal Methodology. The consultation session was held at the Putnam County Transit Facility, located at 841 Fair Street, Carmel, NY 10512 on Tuesday, July 12, 2022 from 2pm to 4 p.m. The public consultation session was conducted in an open house format. Staff members from the Department of Planning, Development & Public Transportation were in attendance and available to review documents, answer questions and receive public comments. This DBE consultation session was advertised in local newspapers, on the County website and via email blasts to local contractors, local and County government officials, DBE businesses, local Chambers of Commerce and the EDC and IDA. Additionally, the DBE Goal Methodology and updates to the DBE Program Plan were reviewed and public comments were solicited at a public meeting held on July 21, 2022 by the Putnam County Legislature.

Public comments on Putnam County's revised DBE Program Plan and the FFY 2023-2025 DBE Goal Methodology will be open from June 15, 2022 until July 30, 2022. The proposed goal and its rationale will be available for review during normal business hours (at the address below) for more than 30 business days (excludes Saturday, Sunday, and holidays). The DBE goal described herein was advertised in local newspapers and is permanently posted on the Putnam County website at the following location: [Civil Rights - Putnam County Online \(putnamcountyny.com\)](http://www.putnamcountyny.com/civil-rights/)

If you wish to comment on the proposed goal and its rationale, both may be inspected during normal business hours at the address below (excludes Saturday, Sunday, and holidays). The DBE goal described herein will be advertised in local newspapers and permanently posted on the Putnam County website at the following location: <http://www.putnamcountyny.com/civil-rights/>. In addition, public outreach will be conducted throughout the year and the DBE Goal Methodology will be circulated by the County Purchasing Department with local contractors and vendors. The DBE Goal Methodology was adopted by the County and no public comments have been made to date.

Putnam County supports DBE business utilization and has regular outreach to small business owners and contractors through the Putnam County EDC, Putnam County Chambers of Commerce, and Putnam County Highway Department to encourage DBE and/ or M/WBE participation. For construction project RFPs, DBE directories are also distributed to promote small business DBE utilization, and the Purchasing Department directly sends DBE firms in the relevant NAICS Codes all relevant RFP announcements.

Comments will be accepted on the goal and rationale:

By e-mail to: Barbara.Barosa@putnamcountyny.gov

or by regular mail to:

DBE Program Officer
Putnam County Department of Planning, Development and Public Transportation
841 Fair Street
Carmel, NY 10512