

**DUCCI ELECTRICAL CONTRACTORS, INC.**  
**DIVERSITY CONTRACTING POLICY**

June 2020

## **DUCCI ELECTRICAL CONTRACTORS, INC. POLICY STATEMENT**

Ducci Electrical Contractors, Inc. (“Ducci”) constructs projects pursuant to contracts with state and local transportation agencies (individually and collectively referred to hereafter as “State Agency”). Some of these projects receive financial assistance from the United States Department of Transportation (“US DOT”) and/or state funding, and require that Ducci subcontract a portion of the work to disadvantaged business enterprises (“DBEs”) and other state certified small, minority, and women-owned businesses (“S/M/WBEs”). In addition, the State Agency may establish contract-specific DBE and/or S/M/WBE participation goals that Ducci must meet or show that it made good faith efforts (“Good Faith Efforts”) to satisfy. It is Ducci’s legal obligation to comply with regulations and contract terms that relate to DBE and/or S/M/WBE participation in the construction of these projects.<sup>1</sup>

All Ducci employees responsible for identifying, pursuing, and executing contracts with DBE and/or S/M/WBE requirements, and all Ducci employees responsible for oversight and assessment of DBEs and/or S/M/WBEs on Ducci projects, must perform their duties in conformance with this Policy. It is Ducci’s belief that employee compliance with these practices and procedures will assure that Ducci makes the best efforts possible to comply with the applicable DBE and S/M/WBE regulations. Failure by a Ducci employee to follow the practices and procedures established by this Policy will constitute a violation of Ducci corporate policy that may result in disciplinary action including possible dismissal.

This Policy seeks to be all-inclusive. However, Ducci employees may encounter circumstances that are not covered by the practices and procedures described herein. In that event, the employee should immediately contact the Corporate Compliance Officer for guidance.

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<sup>1</sup> The Federal Government’s DBE Regulations are contained in 49 CFR Part 26, and are available at [www.ecfr.gov](http://www.ecfr.gov).

## **I. FEDERAL DBE PROGRAM - BACKGROUND**

The Federal Government has established programs to increase the participation of companies owned by minorities, women, and disadvantaged individuals in public works projects funded, in whole or in part, with federal funds. The largest of these federal programs is the US DOT's DBE Program. The DBE Program applies to public works projects funded by the Federal Transit Administration ("FTA"), the Federal Highway Administration ("FHWA"), and the Federal Aviation Administration ("FAA"). The main objectives of the DBE Program are to:

1. Ensure non-discrimination in the award and administration of DOT-assisted contracts.
2. Ensure that small DBEs can compete fairly for federally funded transportation-related projects.
3. Ensure that only eligible firms participate as DBEs.
4. Help remove barriers to the participation of DBEs in DOT-assisted contracts.
5. Assist DBE firms in competing outside the DBE Program.

Many State and local governments have developed their own programs that often are based on or similar to US DOT's DBE Program. It is important that the project team understand which particular program is applicable to the project.

## **II. CONNECTICUT DBE PROGRAM - BACKGROUND**

Connecticut has a Unified Certification Program, which is a "one-stop shopping" DBE certification program. Only the Connecticut Department of Transportation may certify DBEs as qualified for its projects, in accordance with the Connecticut Unified Certification Program Manual.<sup>2</sup>

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<sup>2</sup> Available at <https://portal.ct.gov/DOT/Business/Contract-Compliance/DISADVANTAGED-BUSINESS-ENTERPRISE>.

Connecticut-based firms seeking DBE certification are required to complete the Uniform Certification Application, while non Connecticut-based firms that are DBE certified in their home state and are seeking DBE certification in Connecticut must complete and submit an Interstate Certification Request form. All certified DBEs are listed in Connecticut's DBE Directory, which is available at [https://biznet.ct.gov/DOT\\_DBE/dbesearch.aspx](https://biznet.ct.gov/DOT_DBE/dbesearch.aspx).

### **III. WHAT IS A DBE?**

#### **A. DBE Criteria**

To qualify as a DBE, a firm must be:

1. A for profit business.
2. A small business under the U.S. Small Business Administration's ("SBA") size standards for the firm's primary North American Industrial Classification System ("NAICS") Code.<sup>3</sup>
3. At least 51% owned by one or more individuals who are both socially and economically disadvantaged. For corporations, at least 51% of the stock must be owned by one or more socially and economically disadvantaged individuals.
4. Managed and controlled by one or more socially and economically disadvantaged individuals who own the company.
5. Certified as a DBE by the appropriate State Agency. Work performed by a firm not certified as a DBE cannot be counted toward the DBE Goal even if the firm is owned by a socially and economically disadvantaged individual and even if the firm is certified by a State or local program as an S/M/WBE.

#### **B. Affiliation**

In addition, a firm does not qualify as a DBE if it is affiliated with a non-DBE firm. A DBE is an affiliate of a non-DBE firm when the non-DBE firm directly or indirectly controls the DBE's management and operations. Examples of control over a DBE include: supervising the performance of the DBE's scope of work; providing the work force that performs the DBE's scope

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<sup>3</sup> "Primary industry classification" means the NAICS designation that the DBE identifies as best describing its primary business. Ducci will only receive DBE credit toward achieving a DBE goal for work performed by a DBE who is certified as a DBE for the type of work being performed.

of work (including by the non-DBE terminating its employees and having the DBE rehire them); or providing the financing that the DBE requires to be able to perform the scope of work. Ducci employees must not take actions that can be interpreted as controlling a DBE — and must not take actions that would suggest that a DBE is an affiliate of Ducci.

#### **IV. WHO IS SOCIALLY AND ECONOMICALLY DISADVANTAGED?**

To qualify as a DBE, a firm must be at least 51% owned and controlled by one or more socially and economically disadvantaged individuals. The DBE Regulations define a “socially and economically disadvantaged individual” as an individual who is a U.S. citizen (or lawfully admitted permanent resident) and who has been subjected to racial or ethnic prejudice or cultural bias within American society because of their identity as a member of a group and without regard to their individual qualities. The social disadvantage must be connected to circumstances beyond the individual’s control.

An individual who is a member of one of the following groups is presumed to be socially and economically disadvantaged<sup>4</sup>:

1. Black/African American;
2. Hispanic - including persons of Mexican, Puerto Rican, Cuban, Dominican, Central or South American, or other Spanish or Portuguese derivation, regardless of race (this category does not include natives of Spain or Portugal);
3. Native American;
4. Asian-Pacific American, including persons whose origins are from Japan, China, Taiwan, Korea, Burma (Myanmar), Vietnam, Laos, Cambodia (Kampuchea), Thailand, Malaysia, Indonesia, the Philippines, Brunei, Samoa, Guam, the U.S. Trust Territories of the Pacific Island (Republic of Palau), the Commonwealth of the Northern Marianas Islands, Macao, Fiji, Tonga, Kiribati, Juvalu, Nauru, Federated States of Micronesia, or Hong Kong;

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<sup>4</sup> The presumption of social disadvantage may be rebutted.

5. Subcontinent Asian American, which includes persons whose origins are from India, Pakistan, Bangladesh, Bhutan, the Maldives Islands, Nepal or Sri Lanka; or
6. Women.

Notably, an individual that is born in a particular country is not necessarily a member of one of these groups.

Other individuals can qualify as socially and economically disadvantaged on a case-by-case basis.

The disadvantaged owner of a firm must certify that his/her personal net worth does not exceed \$1.32 million, excluding the individual's ownership interest in the firm and equity interest in his/her primary residence. The DBE Regulations contain detailed instructions on how net worth is calculated.

The State Agency that certifies a DBE determines whether the owner is socially and economically disadvantaged. However, if a Ducci employee receives credible evidence that raises questions regarding the identity of the actual owner of the DBE or the eligibility of the DBE, those facts must be promptly reported to the Corporate Compliance Officer, Ducci's anonymous Ethics Hotline at 833-940-2873, or Ducci's anonymous online reporting system, available at [www.lighthouse-services.com/duccielectrical](http://www.lighthouse-services.com/duccielectrical). Ducci may continue to use the DBE to satisfy DBE goals unless the appropriate State Agency terminates the certification of the DBE.

## **V. DBE GOALS & GOOD FAITH EFFORTS**

Contracts awarded to non-DBEs will have DBE subcontracting goals. Ducci will be required to make Good Faith Efforts to award a specified percentage of the contract value to DBEs. The DBE Goals can vary from project to project. The contracting agency will require Ducci to submit its proposed plan for DBE participation either at time of bid, or no later than 5 days after bid opening. If Ducci achieves the DBE Goal for a project, Ducci will have demonstrated that it

has made a Good Faith Effort. If, however, the DBE Goal is not met, Ducci will have to document the Good Faith Efforts it undertook to try to obtain DBE participation sufficient to meet the DBE Goal.

It is critical that Ducci document all efforts it makes to try to obtain DBE participation.

The types of activities that constitute Good Faith Efforts include:

1. Identifying specific types of work that can be awarded to DBEs. Keep in mind that some customers will expect Ducci, when necessary, to divide work items into smaller, economically feasible pieces and to subcontract work that Ducci otherwise might self-perform to facilitate DBE participation. Smaller subcontract packages may increase the cost of the work, but that extra cost does not justify a failure to divide the work (unless the additional costs are unreasonable or would hurt the performance of the contract). When dividing work packages, Ducci should consider establishing flexible delivery and performance timeframes that encourage and facilitate DBE participation.
2. Identifying potential DBEs by checking the appropriate State or local DBE Directory as well as performing Ducci's general outreach and marketing research efforts. These efforts should include developing relationships with organizations that may assist with identifying DBE contractors, such as the Minority Contractors Council, Connecticut Minority Supplier Council, The Greater New England Minority Supplier Development Council, The Small Contractor Development Program in City of New Haven, and The Regional Alliance for Small Contractors.
3. Soliciting the interest of certified, qualified, and capable DBEs through all reasonable and available means. This should include attending pre-bid meetings and business matchmaking events where DBEs will be present; attending DBE association functions; advertising in trade journals, newspapers, and periodicals advising DBEs of the opportunity to bid on the project; and contacting the DBEs in the DBE Directory.
4. Providing interested DBEs with adequate information about the relevant project in a timely manner so that the DBEs can bid on the work.
5. Sending an initial solicitation to the identified DBEs requesting that the DBEs indicate their interest in bidding and identify the scope of work they want to bid on.
6. Following-up by contacting all DBEs that did not respond to the initial solicitation. The preferred method for this follow-up is by telephone. Follow-up telephone calls should be documented. It is a best practice to follow-up at least three times.
7. Verifying that the DBE currently is certified for the type of work it proposes to perform.
8. Negotiating in good faith with interested DBEs.

9. Contacting minority/women community organizations, minority/women contractors' groups, and local, State, and Federal minority/women business assistance offices for assistance in recruiting DBEs if Ducci experiences difficulty in achieving DBE Goals.<sup>5</sup>

When unable to meet a DBE goal, do not reject a DBE bid proposal or quote without a sound business reason based on a thorough investigation of the DBE's capabilities. When attempting to document Good Faith Efforts, the following are not considered legitimate causes for rejecting or terminating a DBE: standing within its industry, membership in specific groups, organizations, or associations, political or social affiliations, or an inability to identify unionized employees.

Document and keep records of all the Good Faith Efforts that Ducci made to locate and contract with certified DBEs. Examples of the types of documents are: copies of the solicitations sent to DBEs; solicitation logs with the names and addresses of DBEs that were contacted and the date(s) of contact; all outreach efforts (*e.g.*, flyers for DBE events, newspaper and/or trade journal advertisements, etc.); bids and quotes received from DBE; a log of all telephone outreach to DBEs; and a written record of the basis for not selecting DBEs that submitted bids or quotes. These documents will be maintained in the contract file and provided to the Corporate Compliance Officer in the event that Ducci falls short of DBE goals.

The contracting agency ultimately will make the decision as to whether Ducci made Good Faith Efforts. When making this determination, the contracting agency will review whether the other bidders met the DBE Goal. If the apparent successful bidder failed to meet the DBE Goal but other bidders met it, the contracting agency will determine that the apparent successful bidder did not make Good Faith Efforts and not award it the contract.

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<sup>5</sup> 49 CFR Part 26, Appendix A has additional information on Good Faith Efforts.



## **VI. DBE UTILIZATION PLAN**

When a contract has a DBE Goal, Ducci will be required to submit a DBE utilization plan. The plan usually requires that Ducci identify the DBEs it proposes to use on the project, the scope of their work, and the dollar value of their subcontract or purchase order. The estimating department must develop a DBE utilization plan that is consistent with the contract requirements and DBE Program.

In preparing the utilization plan, the following steps should be taken:

1. Identify the specific DBE Goal.
2. Review, if necessary, the DBE Regulations' counting rules. See, § VII, below.
3. Determine if the DBEs intend to subcontract any portion of their work to non-DBEs and remove the dollar value of that work from the DBE participation amount.
4. If the anticipated participation does not meet or exceed the DBE Goal, the estimating department should review the Good Faith Efforts taken and determine if there are additional efforts that can be made.

## **VII. COUNTING DBE PARTICIPATION & COMMERCIALY USEFUL FUNCTION**

### **A. Counting Participation**

The DBE Program has rules for how much participation can be counted depending upon the type of DBE being used. The DBE Program counting rules are as follows:

1. Count DBE participation at all tiers.
2. Only count the value of the work actually performed by the DBE. If the DBE subcontracts part of the work to another firm, the value of that subcontracted work can be counted only if the DBE subcontracts to another certified DBE. Work that a DBE subcontracts to a non-DBE cannot be counted.
3. For construction subcontracts, count the entire portion of the subcontract that is performed by the DBE's own forces.
4. For furnish and install subcontracts, count the cost of the materials the DBE purchases if the materials are incorporated by the DBE into its work; the DBE did not purchase or lease the materials from the prime contractor or any of the prime contractor's affiliates; *and* the

DBE negotiated the price of the materials, determined the quality and quantity of the materials, ordered the materials, and paid for the materials.

5. For professional services contracts, count the entire amount of the fees or commissions charged by the DBE as long as the fee or commission is reasonable and not excessive compared with fees or commissions customarily charged for similar services. Note that the socially and economically disadvantaged owner of the DBE must have all licenses required to provide the services being rendered and must manage the performance of the services by the DBE's employees.
6. For supply purchases, count 100% of the cost of the materials or supplies if the DBE is the manufacturer. A manufacturer is the firm that operates or maintains a factory or establishment that produces, on the premises, the materials, supplies, articles, or equipment purchased.
7. For supply purchases, count 60% of the cost of the materials or supplies when buying from a DBE regular dealer. A regular dealer is determined on a case-by-case basis considering the value of the work actually performed by the DBE. The operation of a regular dealer must be clearly distinguishable from that of a packager, broker, or manufacturer's representative and must not constitute a pass through from a non-DBE supplier. The State Agency will certify suppliers as regular dealers when the State Agency believes they qualify.
8. For supply purchases, count only the fee or commission paid to the DBE when buying from DBE packagers, brokers, manufacturers' representatives, or anyone else who is not the manufacturer or a regular dealer.
9. For DBE joint ventures, Ducci can take DBE credit only for the portion of the total dollar value of the joint venture contract that is equal to the distinct, clearly defined portion of the work performed by the DBE with its own forces. Ducci cannot take credit for the portion of the work performed by the non-DBE joint venture partner.
10. Work performed by a firm not certified as a DBE cannot be counted toward the satisfaction of DBE goals, even if the firm is owned by a socially and economically disadvantaged individual and is certified as an MBE or WBE pursuant to a State or local minority business program.

Ducci cannot count work performed by a DBE toward the satisfaction of a goal until Ducci pays the DBE for the work performed.

### **B. Commercially Useful Function**

Before taking credit for any DBE participation, Ducci must verify that the DBE has performed a Commercially Useful Function ("CUF"). A DBE performs a CUF when it performs,

manages and supervises its employees who are performing the scope of work required by the subcontract with Ducci. Some of the factors to be considered when determining if a DBE has performed a CUF are:

1. The amount of work the DBE further subcontracts and whether that amount is consistent with normal industry practices.
2. Whether the amount the DBE is paid under the contract is commensurate with the work that is actually being performed and credited towards the DBE Goal.
3. Whether the DBE's role is limited to that of an extra participant in a transaction, contract, or project through which funds are passed in order to obtain the appearance of DBE participation. In other words, was the DBE's role only an arrangement to give the appearance of meeting the DBE Goal?
4. Whether the DBE acted as a "front" for a non-DBE firm by serving as a conduit through which funds are passed to give the appearance of DBE participation, when the work is actually being performed by a non-DBE firm.
5. Is a DBE subcontractor performing or exercising responsibility for at least 30% of the total cost of its subcontract with its own work force, or is the DBE subcontracting a greater portion of the work of the subcontract than would be expected on the basis of normal industry practice for the type of work involved? If either is happening, there is a presumption that the DBE is not performing a CUF.
6. In order for a DBE trucking company to be performing a CUF:
  - a. The DBE trucking company must be responsible for the management and supervision of the entire trucking operation.
  - b. The DBE trucking company must own and operate at least one fully licensed, insured, and operational truck used on the contract.
  - c. If a DBE trucking company leases trucks from another DBE trucking firm, credit for the value of the trucking services provided by both DBE trucking companies can be taken.
  - d. If a DBE trucking company leases trucks from a non-DBE trucking firm, including a non-DBE owner-operator, credit can be taken for the value of the trucking services provided that the trucks are operated by the DBE trucking company's employees.
  - e. If a DBE trucking company leases trucks from a non-DBE trucking firm and the trucks are not operated by the DBE trucking company's employees, credit can only be taken for the value of the trucking services provided by the non-DBE trucking firm up to the

value of the trucking services that are being provided by the DBE trucking company. After that, credit only can be taken for the fee or commission paid as a result of the lease arrangement. Note that written consent may be required from the appropriate agency.

Example: DBE Trucking Firm 1 uses two of its own trucks on a subcontract with Ducci. It leases two trucks from DBE Trucking Firm 2 and six trucks equipped with drivers from a non-DBE trucking firm. Ducci will receive credit for the value of trucking services provided by DBE Trucking Firm 1 and DBE Trucking Firm 2, and may also be awarded DBE participation credit for the value of transportation services provided by four of the six trucks provided by the non-DBE. DBE credit can be awarded only for the fees or commissions Trucking Firm 1 paid to lease the remaining two truck from the non-DBE.

7. If a DBE loses its certification before completing the scope of its work, credit can be taken only for the work performed before the DBE certification was terminated. There is an exception when a DBE's certification is Summarily Suspended because of the death or incarceration of its owner. In that instance, DBE credit will be given for the remainder of the project if the certification is Summarily Suspended.

## **VIII. VERIFYING DBE PERFORMANCE**

During contract performance, Ducci employees responsible for oversight of the performance of DBEs must take a proactive approach to assuring that there is compliance with the DBE Regulations. This includes:

1. DBEs performing work must be required to submit proof that their DBE certification is current and this documentation must be preserved for a possible post performance audit.
2. Through observation and applying practical knowledge of the practices and procedures of the construction industry, Ducci employees must assess whether DBEs are performing CUFs consistent with the scopes of work of their contracts or subcontracts with Ducci. This includes verifying that the workers on-site are employees of the DBE and that the materials being incorporated into the work were purchased by the DBE and are being installed by the DBE's employees.
3. When materials and supplies are purchased from a DBE, Ducci employees should regularly spot check the following to document that the DBE is performing a CUF, and maintain a record of the documentation:
  - a. Shipping information and manifests which specify the date, location, materials, address, destination and method of shipment.
  - b. A detailed and itemized list of the materials or supplies ordered.

- c. Manufacturer's information for all materials or supplies ordered.
- d. Warehouse information pertinent to the materials or supplies ordered.

Below is some general guidance on what a DBE should be doing:

1. A DBE is expected to furnish the tools, equipment, materials, and labor necessary to perform its scope of work.
2. A DBE must employ and manage the labor that performs the scope of work required by the contract or subcontract with Ducci. A DBE's certified payroll must reflect that the labor performing the subcontract scope of work in the field are DBE employees, not workers on loan from a non-DBE firm.
3. A DBE can lease equipment for its exclusive use pursuant to a long-term lease and contingent upon the equipment being operated by the DBE's employees and leased with DBE funds. A long term lease is at least 12 months.
4. Ducci cannot lease its equipment to a DBE unless it deducts the amount paid for the rental by the DBE because a prime contractor cannot give this form of assistance to a DBE and then receive credit for the value of the assistance toward the satisfaction of a DBE Goal.
5. A DBE should use its own small tools and supplies, not those owned by Ducci. At the jobsite, the DBE's tools and supplies should be kept separate from those owned by Ducci to the extent possible and practical,.
6. A DBE must have a supervisor or foreman present at the jobsite who manages the performance of the DBE's work.
7. If the owner of a DBE is a family-member or otherwise has a close relationship with a Ducci employee, that fact must be disclosed to the Corporate Compliance Officer, who will assess whether a conflict of interest is present.
8. Under no circumstances should Ducci employees direct or instruct a DBE to employ certain workers on a Ducci project.

Emergency situations may necessitate that Ducci perform a DBE's scope of work. If this occurs, Ducci must immediately notify the State Agency that the emergency has occurred, that all or a portion of a DBE's scope of work will be or was performed by Ducci, and that Ducci will deduct an appropriate amount from the value of the work performed by DBE. Ducci must document the work performed and itemize the total direct cost of equipment, labor, supplies, etc.

Ducci must then issue a change order to reduce the DBE subcontractor's scope of work and subcontract dollar amount. Lastly, Ducci must make Good Faith Efforts to contract for additional DBE participation if the credit reduces the DBE participation below the DBE Goals. These practices should only be followed when there is a true emergency. Typical performance problems will not justify Ducci performing a DBE's scope of work.

#### **IX. TERMINATION AND/OR SUBSTITUTION OF DBES**

Termination of a DBE subcontractor is not an easy process and generally should only be done as a last resort. If termination is necessary, Ducci must:

1. Comply with the subcontract provisions regarding termination.
2. Inform the State Agency about concerns with a DBE's poor or unacceptable performance prior to seeking termination. The State Agency will have to approve the DBE termination.
3. Give the DBE notice of its deficient performance and an opportunity to cure the deficiencies before seeking termination.

If the DBE is terminated, Ducci may have to replace the DBE with one or more new DBEs to satisfy the DBE Goals. This usually requires Ducci to provide the State with advance notice of the substitution and the State's approval of the new DBE subcontractor.

To ensure that we follow the rules and regulations for terminating and/or replacing a DBE, notify the Corporate Compliance Officer in advance of taking any such actions.

#### **X. STATE AND LOCAL SMALL BUSINESS, WOMEN-OWNED BUSINESS, AND MINORITY BUSINESS ENTERPRISES PROGRAMS**

As discussed above, federal DBE rules apply when federal funds are involved in a project. In addition, states have their own diversity contracting programs and requirements that can apply when they fund a project.

Ducci operates primarily in the State of Connecticut. However, requirements can vary from state to state — and even within a state. For example, municipalities like the City of New

Haven and entities like the Port Authority of New York and New Jersey have their own requirements. It is important that you speak with the Corporate Compliance Officer whenever undertaking a state or local project to ensure that we are aware of and following the proper requirements.

Connecticut has a Supplier Diversity Program (also known as the SBE/MBE Program) that is designed to enhance business opportunities for small businesses and minority-owned businesses — including women-owned businesses and businesses owned by individuals with a disability. A small business is a business that maintains its principal place of business in the state, has gross revenues not exceeding \$15 million in the most recently completed fiscal year, and is independent. A minority-owned business is a small business that is at least 51% owned and controlled by either minority individuals, women, or individuals with a disability.

For Ducci to receive SBE/MBE credit, its supplier or subcontractor must be certified as a qualified SBE or MBE by the Connecticut Department of Administrative Services, Office of Supplier Diversity. Certifications are valid for two years, after which the company must be recertified to maintain its SBE/MBE status. Certified companies are listed in the Directory of Certified SBE/MBE Companies, which is available at <https://biznet.ct.gov/SDSearch/SDSearch.aspx>.

Connecticut and other states each establish goals for purchases from small businesses and/or disadvantaged business enterprises. In order to meet their goals, they may set-aside procurements for small businesses, or require contractors to subcontract to or purchase from eligible SBEs, MBEs or other disadvantaged businesses based on a percentage goal that can vary from project to project. It is important that you review all solicitation and contract documents for

such requirements — and reach out to the Corporate Compliance Officer with any questions concerning those requirements.

## **XI. REPORTING SUSPECTED VIOLATIONS & CONSEQUENCES OF NONCOMPLIANCE**

Onsite project staff may be the first to identify potential violations of the applicable DBE requirements. The consequences for violations of the DBE requirements are potentially detrimental to Ducci and our employees — including serious civil or even criminal penalties and the loss of the right to perform future Federal or State contracts. Therefore, all potential violations must be reported.

There are a number of ways an employee can report suspected violations of the DBE requirements, including:

1. Telling your immediate supervisor; or
2. Contacting the Corporate Compliance Officer; or
3. Contacting the anonymous Ducci Ethics Hotline at 833-940-2873; or
4. Contacting Ducci's anonymous online reporting system at [www.lighthouse-services.com/duccielectrical](http://www.lighthouse-services.com/duccielectrical).

Ducci will not retaliate or penalize any employee for reporting a suspected violation of the DBE or State Program Regulations.

If you have any questions about this Policy, please contact: Corporate Compliance Officer Holly Mamuya.



**EMPLOYEE CERTIFICATION**

I have carefully read Ducci’s Disadvantaged Business Enterprise (“DBE”) Policy and understand its provisions. I further understand that any violation of the responsibilities described in the policy can lead to disciplinary action, up to and including dismissal from Ducci. If I suspect there is or has been a violation of the DBE or State Programs Regulations, I will report my concerns in accordance with the Policy.

\_\_\_\_\_  
Employee Name (print)

\_\_\_\_\_  
Employee Signature

\_\_\_\_\_  
Job Title

\_\_\_\_\_  
Date

**ACKNOWLEDGEMENT RECEIVED (to be filled out by Ducci)**

Date: \_\_\_\_\_

Company Authorized Signature: \_\_\_\_\_

Company Authorized Name (print): \_\_\_\_\_