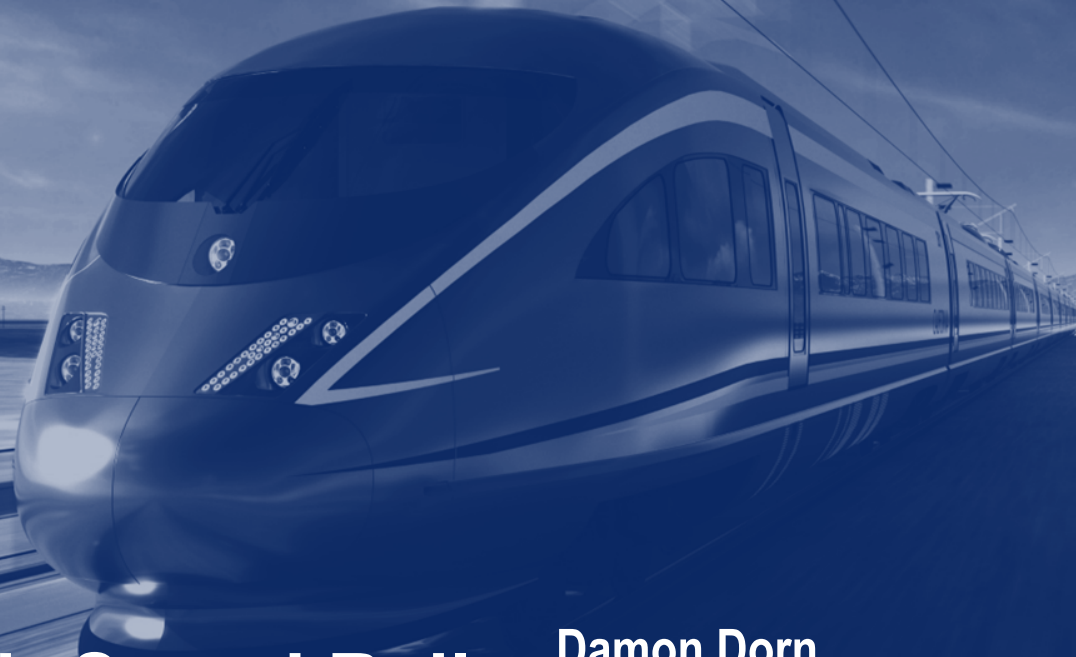




CALIFORNIA

High-Speed Rail Authority



California High-Speed Rail Small Business Workshop

Damon Dorn

Small Business Outreach Coordinator

Small Business Program

SBprogram@hsr.ca.gov

Workshop Agenda

Small Business Program Workshop

SMALL BUSINESS PROGRAM WORKSHOP

Monday, March 18, 2024

Agenda Item	Responsible Party
I. Introduction and Overview	Damon Dorn
II. Review of SB Presentation	Damon Dorn
III. Presentation on Compliance	Cyrita Pacheco
IV. Presentation on Federal Certifications	Department of Transportation (DOT)
V. Presentation on State Certifications	Department of General Services (DGS)
VI. Question & Answers	All

Small Business By the Numbers



SMALL BUSINESS PARTICIPATION

as of January 31, 2024

840 Certified Small Businesses working on the high-speed rail program statewide

291 Certified Disadvantaged Business Enterprises
103 Certified Disabled Veteran Business Enterprises

NORTHERN CALIFORNIA:

302 Certified Small Businesses

CENTRAL VALLEY:

223 Certified Small Businesses





SOUTHERN CALIFORNIA:

286 Certified Small Businesses

OUTSIDE OF CALIFORNIA:

29 Certified Small Businesses

Small Business Participation Goal Breakdown

 Blended State and Federal 	 100% State Funded	 100% Federal Funded (including grants)
<p style="text-align: center;">3%</p> <p>Disabled Veteran Business Enterprise (DVBE) goal, which will be applied across the total contract value.</p>	<p style="text-align: center;">3%</p> <p>DVBE goal</p>	<p style="text-align: center;">17%</p> <p>Disadvantaged Business Enterprise (DBE) goal</p>
<p style="text-align: center;">10%</p> <p>DBE goal, which will also be applied across the total contract value.</p>	<p style="text-align: center;">25%</p> <p>Small Business goal using all categories that qualify under the state standard, which includes certified Small Business and SB-PW.</p> <ul style="list-style-type: none"> Of that 25% we will designate 3% microbusiness 	
<p style="text-align: center;">25%</p> <p>Small Business goal using all categories that qualify under the state standard, which includes certified Small Business and SB-PW.</p> <ul style="list-style-type: none"> Of that 25% we will designate 3% microbusiness 		

Commitment to Diversify

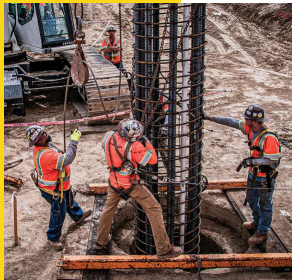
Small Business Certification Overview

Certifications That Count Toward the Overall Goal:

- **California Department of General Services**
 - Small & Micro Businesses (SB / MB)
 - Disabled Veteran Business Enterprises (DVBE)
 - Small Business for Public Works (SB-PW)

state
- **California Unified Certification Program**
 - Disadvantaged Business Enterprises (DBE)

federal



CONNECT HSR

High-Speed Rail Vendor Registry

Free Online Tool to Connect with Business Opportunities

Open to All Businesses, Large & Small

- **List Your Business:**
 - Type of Business
 - Services Offered or Supplies Sold
 - Service Counties
 - Certifications
- **Learn About:**
 - Future Contracting Opportunities
 - Trainings/Workshops
- **Register At:**
 - www.connecthsr.com



Contact Us



Small Business Program
California High-Speed Rail
SBprogram@hsr.ca.gov

Small Business Compliance

Cyrita Pacheco
Small Business Compliance Manager





Who is Compliance?



Monitor Prime SB Activity

- Calculate SB Utilization
 - 3 CPs
 - 33 PSs
 - Over 800 SBs
- Ensures
 - Kick Off/Pre Job
 - Review Agreements
 - Prompt Payment
 - CUF
- Reporting
 - SB Utilization
 - Diversity Breakdowns
 - Job Numbers
 - Revenue
 - Region
 - Certification Types

SB Program Reporting & Responsibility

Section V. Subpart E: Professional Services Provisions (PG 32)

Contractor Small Business Officer (SBO)

- Develop, implement & monitor SB Performance Plan
- Act as “lead” for contractor staff and subcontractors regarding SB Program goals/objectives
- Post SBs
- On-Site Monitoring
- Attend
 - Quarterly meetings with the SBCU regarding overall SB utilization and strategies to achieve the SB goals.
 - Attendance to at least two (2) Business Advisory Council (BAC) meetings per year.

Reports and submission

- Prepare and submit

- *Monthly (Due the 15th of each month)*

- *Form 103*
- *Prompt Payment and Retainage Report*
- *Monthly SB Narrative Reports*

- *Annually (Due August 1st)*

- *Annual Report - Due annually, 1st August*

- *As Needed*

- *Request to Add, Request to Substitute & Terminate*
- *SB Subcontract Agreements and SB purchase orders (POs)*
 - *Submitted within 14 working days*
 - *Payment Language*
- *Change Orders (CO)*



SB SUB Contractor Onboarding

- All SB Subs must:
 - *Be approved before work starts*
 - *Have Prompt Payment and flow down language in agreements*
 - *Sub Contractors are entitled to payments within 7 days*
 - Have verifiable Certification (CaleProcure or CUCP)
 - Be verified to perform the work identified **BEFORE** onboarding



Audit Training

- **Pre Award Reviews**
- **Direct costs vs indirect Costs**
- **Billable vs Non Billable Costs**

And much more!



Small Business Compliance

CALIFORNIA HIGH-SPEED RAIL



Headquarters

California High-Speed Rail Authority

770 L Street, Suite 800

Sacramento, CA 95814

www.hsr.ca.gov

Central Valley Regional Office

1111 H Street

Fresno, CA 93721





Disadvantaged Business Enterprise (DBE) Certification Overview



Learning Objectives

- Disadvantaged Business Enterprise (DBE)
Program Overview
- Benefits of Certification
- Eligibility Requirements
- FAQ and Resources



Disadvantaged Business Enterprise (DBE):

A for-profit small business concern where socially and economically disadvantaged individuals own at least a 51% interest, control management and daily business operations.



Disadvantaged Business Enterprises (DBE) Program:

A legislatively mandated program implemented by the states as a condition of receiving federal funds via the Federal Highway Administration (FHWA), Federal Transportation Administration (FTA) and Federal Aviation Administration who oversees the program for their respective areas.



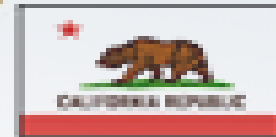
Disadvantaged Business Enterprise (DBE) Program Objectives

- Ensure nondiscrimination in the award and administration of United States Department of Transportation (US DOT) assisted contracts
- Create a level playing field on which DBEs can compete fairly.
- Ensure that the Department's DBE program is narrowly tailored in accordance with applicable law
- Ensure that firms that meet eligibility standards in the Code of Federal Regulations, 49 CFR 26.



Benefits of DBE Certification

- 1 DBE/ACDBE certifications are recognized by subrecipient local agencies in California.
- 2 Expands opportunities to participate on federally-funded contracts.
- 3 Become accessible to prime contractors needing to fulfill DBE participation goal requirements.
- 4 Listing on the official CUCP database.
- 5 Increases opportunities to network at events such as procurement fairs and pre-bids.



UNIFIED CERTIFICATION PROGRAM



California
Unified
Certification
Program
(CUCP)

Unified
Certification
Program
49 CFR §26.81

- As mandated by the United States Department Of Transportation (US DOT), California's Unified Certification Program (CUCP) is an agreement between multiple certifying agencies.
- The CUCP provides a public database to find DBEs. You can also view competitors profile information.



CUCP CERTIFYING AGENCIES

- California Department of Transportation (Caltrans)
- Bay Area Rapid Transit (BART)
- City of Fresno
- City of Los Angeles
- Los Angeles County Metropolitan Transportation Authority (METRO)
- San Francisco Municipal Transportation Agency (SFMTA)
- San Mateo County Transit District (SAMTRANS)
- San Diego County Regional Airport Authority (SDCRAA)
- San Francisco International Airport (SFO)
- Santa Clara Valley Transportation Authority (VTA)



DBE ELIGIBILITY REQUIREMENTS





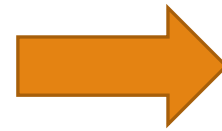
DBE Eligibility Overview

- Socially and Economically Disadvantaged
- Ownership
- Control
- Independence
- Personal Net Worth (PNW 1.32 million)
- Business Size as defined by the Small Business Administration (SBA)





Social and Economic Disadvantage

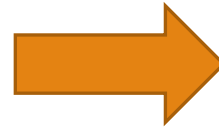


- Asian Pacific
- African American
- Hispanic
- Native American
- Subcontinent-Asian
- Women

Note: If you are not in one of the six groups that has a presumption of social and economic disadvantage, you may still be eligible for DBE certification. Refer to 49 CFR 26, Appendix E.



Ownership



To be a DBE, a firm must be at least 51% owned by socially and economically disadvantaged individual(s)



Control

51% owner(s)
must be able to
have the ability
and power to
make decisions
on
management,
policy and
operations

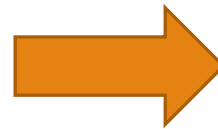


Independence

Only an
independent
business may
be certified as a
DBE



Personal Net
Worth (PNW)



The 51%
majority
owner(s) must
not exceed
PNW of \$1.32
million

Note: There may be some cases in which an individual whose PNW is less than \$1.32 million may not be regarded as economically disadvantaged. Refer to 49 CFR 26.67.



Business
Size



3-year average
gross receipts
cannot exceed
\$30.40 million
(varies by
industry)



APPLYING FOR DBE CERTIFICATION



Application Process Overview



Application is assigned to a certification analyst



Analyst conducts review for missing documentation and requests further clarification (if needed)



Site visit is scheduled and conducted



Analyst to conduct final review for eligibility recommendation



Certification determination completed

www.californiaucp.dbesystem.com/

California Unified Certification Program

Welcome to the California Unified Certification Program Certification Portal! The CAUCP is responsible for DBE certification in the state of California and provides firms with "one-stop" shopping.

To apply for DBE certification you may contact any one of the ten CUCP Certifying Partners - Los Angeles County Metropolitan Transit Authority (LA Metro), San Diego County Regional Airport Authority (SDCRAA), San Francisco Bay Area Rapid Transit District (BART), San Francisco International Airport (SFO), San Francisco Municipal Transportation Agency (SFMTA), San Mateo County Transit District (SAMTrans), Santa Clara Valley Transportation Authority (VTA), City of Los Angeles, City of Fresno, California Department of Transportation (Caltrans) - by clicking on their logo.

Vendor Certification

Search our database of DBE/ACDBE certified vendors

[Find a California](#)

System Training

Learn how to fully utilize our system with a live trainer

[Training](#)

California Work Codes

Click the link below to view the California Work Codes Guide

[Work Code Guide](#)

UCP Members

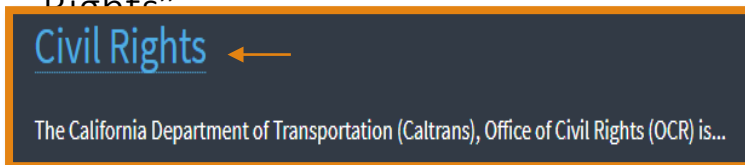




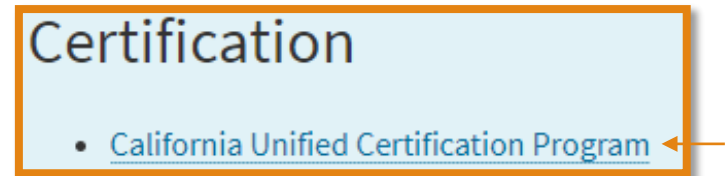
1. Start at Caltrans Website (<https://dot.ca.gov/>), then click “Programs”



2. Click “Civil Rights”



3. Click “California Unified Certification Program”

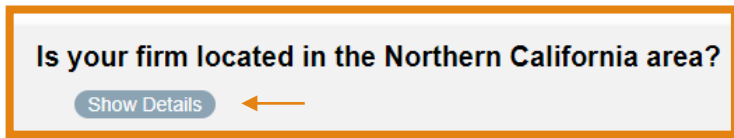


4. Click “Find a Certifying Agency”





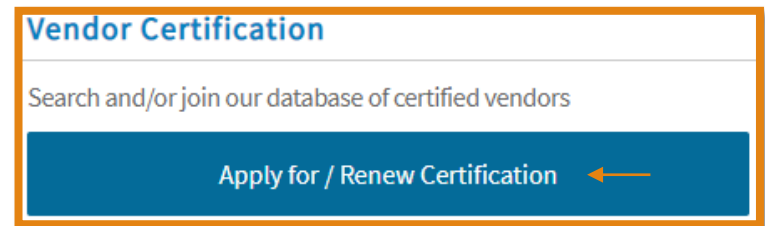
5. The Online Certification screen will populate, click “show details” under the “Is your firm located in the Northern California area?”



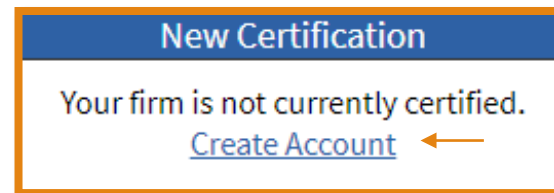
6. Click “California Department of Transportation”



7. Click “Apply for/Renew Certification”



8. The Online Certification screen will populate, click “Create Account”





Online Certification Account

- Tax ID
- Business Information
- Contact Information
- Company Contact Person





Key Reminders

- Complete application within 90 days
- DBE Application and Personal Net Worth Statement (PNW) must be signed and notarized
- Upload required documents
- You may use the direct link to access the system:
<https://caltrans.dbesystem.com/>





FREQUENTLY ASKED QUESTIONS (FAQ)



Is there a fee for Applying?

No, the only cost associated with the DBE certification is to notarize your application and PNW statement.

Can I mail my application?

At this time, all applications are to be submitted online at <https://caltrans.dbesystem.com/>.

How long does it take to get a response after I submit my application?

After Caltrans receives all complete and necessary paperwork, it can take up to one month.



CALTRANS RESOURCES





DBE Specific Resources

Certification “Analyst of the Day”

Monday-Friday
8:00AM – 5:00PM

(916) 324-1700

DBE.certification@dot.ca.gov

- US DOT DBE Program
<https://www.transportation.gov/civil-rights/disadvantaged-business-enterprise>
- DBE Federal Program
<https://www.fhwa.dot.gov/civilrights/programs/dbe/>



Q & A Session



The End

CALIFORNIA DEPARTMENT OF GENERAL SERVICES



Office of Small Business
and Disabled Veteran
Business Enterprise Services

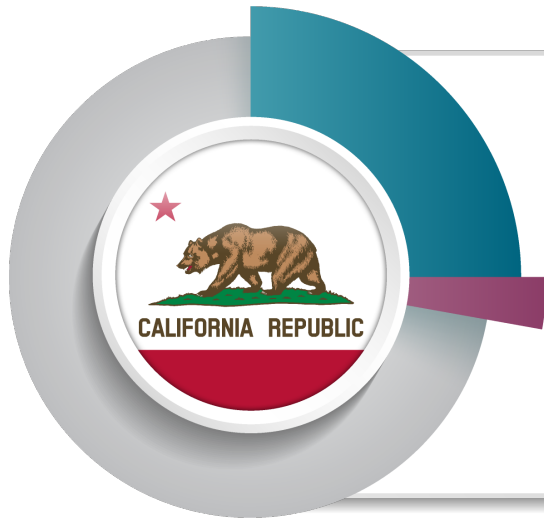
Instructor

Joann Patty

Business Outreach Liaison
Office of Small Business and DVBE Services
California Department of General Services

(279) 799-4024

Joann.Patty@dgs.ca.gov



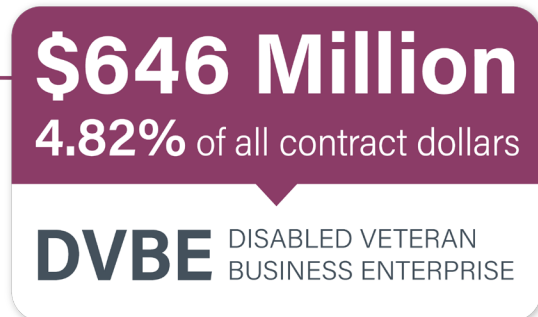
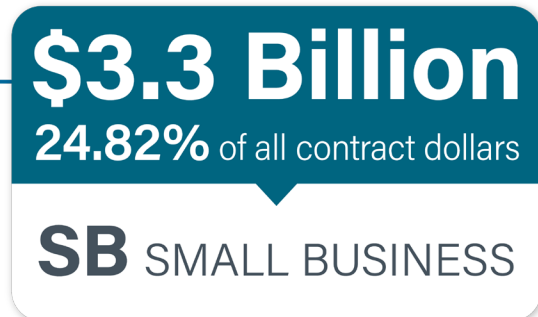
STATEWIDE PARTICIPATION GOAL

Small
Business

(SB) 25%

Disabled Veteran
Business Enterprise

(DVBE) 3%



2021-22 Fiscal Year



State Certifications

- ◆ Small Business (SB)
- ◆ Small Business for the Purposes of Public Works (SB-PW)
- ◆ Disabled Veteran Business Enterprise (DVBE)

Certification Benefits

- ◆ 5% bid preference for SBs
- ◆ Up to 5% incentive for DVBEs
- ◆ Exclusive contract opportunities
- ◆ Prompt Payment
- ◆ Reciprocity Partners
- ◆ Working with prime contractors



Small Business Eligibility Requirements

- ◆ Independently owned and operated
- ◆ Not dominant in field of operation
- ◆ Principal office located in California
- ◆ Owners (or officers for a corporation) domiciled in California
- ◆ 100 or fewer employees
- ◆ Gross Annual Receipts (GARs) less than \$16 million (with affiliates)
- ◆ *If a manufacturer, 100 or fewer employees and no GARs cap



Benefits of Certification Applying the SB Preference

Bidder A
Not a Certified SB

Bidder B
Is a Certified SB

Bids \$100,000

Bids \$102,000

Adjusted Bidder B Bid
=\$97,000

\$100,000

\$102,000

x .05 (5%)

- 5,000

\$ 5,000

\$ 97,000

Bidder A Bid = \$100,000

**Bidder B wins the contract for
the original amount of \$102,000.
It pays to get certified!!!**





Small Business – Public Works Eligibility Requirements

Same as SB requirements except...

- ◆ 200 or fewer employees
- ◆ Gross Annual Receipts (GARs) less than \$38 million (with affiliates)

SB and SB-PW

- ◆ Get one certification, not both
- ◆ Same benefits
- ◆ SB-PW is *only* for public works
- ◆ SB is for everything, *including* public works





DVBE Eligibility Requirements


- ◆ At least 10% service disabled
- ◆ Be at least 51% owned by disabled veterans (100% for LLCs)
- ◆ Veteran owner(s) must reside in California
- ◆ Managed and operated by disabled veterans
- ◆ Headquarters in US



Cal
eProcure
caleprocure.ca.gov



Cal eProcure

- ◆ Register your business
 - ◆ Apply for Certification
 - ◆ Find solicitations and contracts
 - ◆ Receive solicitation notifications
 - ◆ Appear in searches by state buyers
 - ◆ Post ads seeking prime or subcontracting
 - ◆ Access public procurement information
 - ◆ Get training and resources
 - ◆ No cost
- 



California State Government Marketplace

Your home for California's State Procurement and Certification Programs

California State Contracts Register (CSCR)

Search Bid Opportunities

[START SEARCH](#)

How do I...



Sell to the State

Register in Cal eProcure to receive bid notifications. Search for bid opportunities in the California State Contracts Register (CSCR). >



Get Certified

Learn about California's Small Business (SB) and Disabled Veteran Business Enterprise (DVBE) certification program and apply for SB/DVBE certifications. >



Find Public Procurement Information

Access records on what state agencies have purchased. Search for SB/DVBE suppliers, state contracts and bid opportunities. >



Find Training and Resources

Learn how to do business with the state of California. Access training resources, watch instructional videos, attend an outreach event. >

Login

User ID

Password

This is a State of California computer system, which may be accessed and used only for official Government business by authorized personnel. You are advised to read the [Privacy Policy](#) regarding the personally identifiable information that we collect, maintain, and use. Unauthorized access or use of the computer system may subject violators to criminal, civil, and/or administrative action. All information on this computer system may be intercepted, recorded, read, copied, and disclosed by and to authorized personnel for official purposes, including criminal investigations. Access or use of this computer system by any person whether authorized or unauthorized constitutes consent to these terms. Any email notifications of bid opportunities provided hereunder are strictly complimentary. The State of California does not guarantee bidders will receive such notices, and bidders interested in participating in upcoming bids are obliged to actively check the [Cal eProcure website](#) for information about such procurements. By logging in I agree to comply with [System Use and Privacy Policy of the Financial Information System for California](#).

 Login

 New Bidder Registration

 Existing Supplier Registration

[I forgot my password](#)





Supplier Diversity Information

- ◆ Ethnicity, Race, gender, sexual orientation
- ◆ Voluntary
- ◆ Change or remove any time
- ◆ No contracting preference
- ◆ Displayed on certification profile
- ◆ www.dgs.ca.gov/PD-Supplier-Diversity-Program



California State Government Marketplace

Your home for California's State Procurement and Certification Programs

California State Contracts Register (CSCR)

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Existing Supplier Registration

[I forgot my password](#)

California State Government Marketplace

Your home for California's State Procurement and Certification Programs

California State Contracts Register (CSCR)

Search Bid Opportunities

[START SEARCH](#)

Welcome to your WorkCenter

Manage your account, certifications, and bid activity

User ID
TEST7

Bidder/Supplier ID
BID0056770

Show Less -

Certifications

Cert. ID 2008705

LOUISE KURASHIGE

Outreach Test Co
OSDSHELP@DGS.CA.GOV
916/375-4940

[Edit Bidder Account](#)

No Certification Record

[Get Started](#)

[View My Public Certification Profile](#) [Manage Certification](#)

My Account

[Edit Account](#)

[Manage Notification Profile](#)

[Manage Diversity Information](#)

Certification

[Apply For Certification](#)

[View My Public Certification Profile](#)

SB/DVBE Certification

California's Small Business (SB) and Disabled Veteran Business Enterprise (DVBE) Certification Programs

Get Certified

[How to certify your business on Cal eProcure \(video instructions\)](#)

Before you begin...

- 1 Read the eligibility requirements for the [Small Business](#) and [DVBE](#) certifications
- 2 Be prepared to add [Keywords](#) and [UNSPSCs](#) in the application
- 3 Be prepared to upload the following documents (other documents may be required based on your business structure):
 - Complete Federal Tax returns (last 3 years or the number of years the firm has been in business, if less than three) for applicant firm and affiliate(s) which includes all pages, forms, schedules and statements.
 - IRS verification of your business's TIN (tax identification number)
 - Quarterly Contribution Return & Report of Wages - Continuation (Form DE 9C) for business and affiliates for the four most recently completed quarters, if the firm has employees
 - Award of Entitlement, eBenefits Service/Benefit Verification, or Retired/Retainer letter (DVBE only)
 - For a full list of required documents:
 - [Small Business Document Requirements](#)
 - [DVBE Document Requirements](#)

[GET CERTIFIED \(APPLY OR REAPPLY\)](#)

Benefits of Certification

- Inclusion in the state's goal to spend 25 percent of all contract dollars with Small Businesses and 3 percent with DVBEs

Schedule a Consultation

- Introduction to state contracting
- Cal eProcure registration and certification
- Update Cal eProcure profiles
- Find contract opportunities



CALIFORNIA DEPARTMENT OF GENERAL SERVICES



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