



CALIFORNIA

High-Speed Rail Authority



California High-Speed Rail Small Business Workshop

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Small Business Advocate
Small Business Program
SBAadvocate@hsr.ca.gov

Workshop Agenda

Small Business Program Workshop

SMALL BUSINESS PROGRAM WORKSHOP

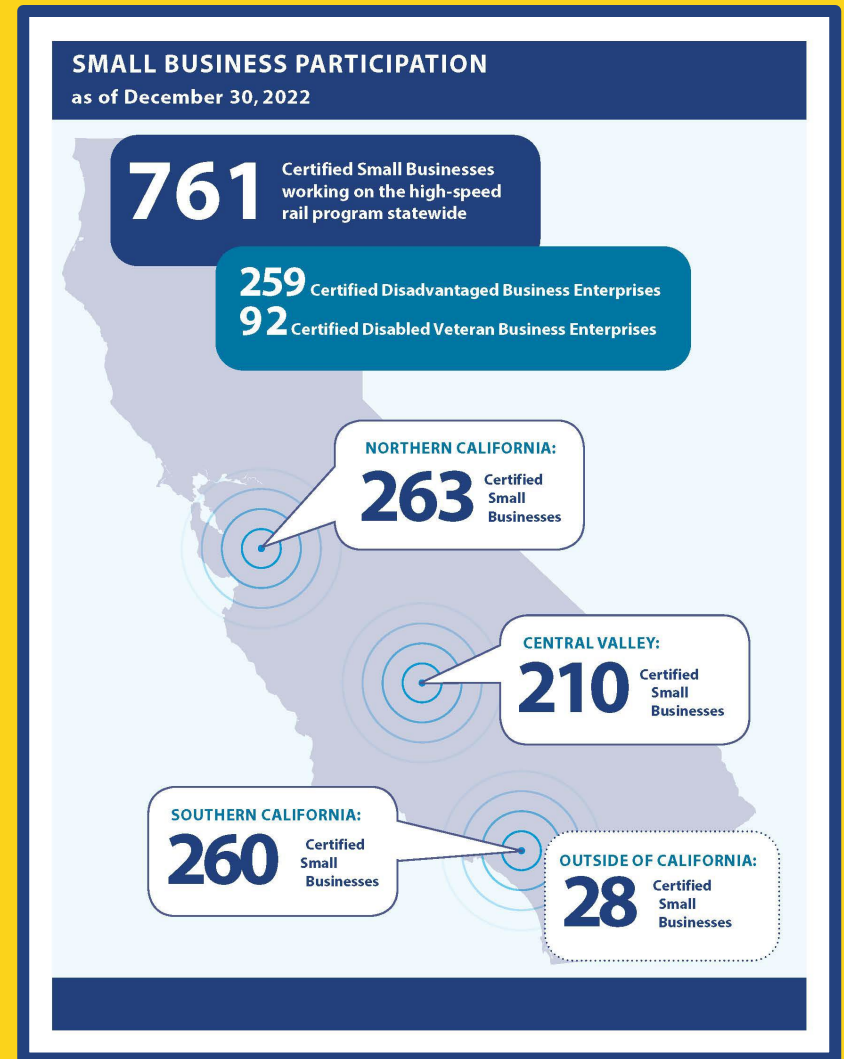
Tuesday, March 7, 2023

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

Small Business By the Numbers

30% Goal Small Business Participation

- **761 Small Businesses**
 - » **10% DBE**
(Disadvantaged Business Enterprises)
 - » **3% DVBE**
(Disabled Veteran Business Enterprises)



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



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

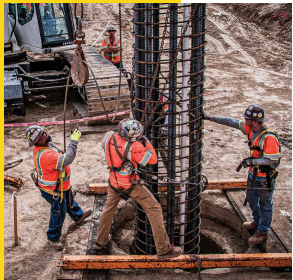
- **California Unified Certification Program**

- Disadvantaged Business Enterprises (DBE)

federal

- **US Small Business Administration**

- 8(a) Disadvantaged Business Program



Small Business Compliance

Cyrita Pacheco
Small Business Compliance Manager



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)*



Thank you
and
Questions



CALIFORNIA

High-Speed Rail Authority



How to do Business with California State Government



Sell to the State



**Small Business /
Disabled Veteran
Business Enterprise**



**Get Public
Procurement
Information**

How to do Business with California State Government

Joann Patty

Business Outreach Liaison

Office of Small Business and DVBE Services

California Department of General Services

Joann.Patty@dgs.ca.gov

BusinessOutreach@dgs.ca.gov

State Certifications

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

Small Business Certification Requirements

- Must be independently owned and operated
- Cannot be dominant in field of operation
- Principal office located in California
- Owners (or officers in the case of a corporation) domiciled in California
- And, together with affiliates, be either:
 - a business with 100 or fewer employees; have gross annual receipts of \$16 million or less (averaged over the previous 3 tax years) or,
 - a manufacturer with 100 or fewer employees

Small Business - Public Works Certification Requirements

- Requirements are the same as those for Small Business and must:
 - Be a Business with 200 or fewer employees,
 - Have Gross annual receipts of \$37 million or less (averaged over the previous 3 tax years)

DVBE Eligibility Requirements

For DVBE certification purposes, a "disabled veteran" is:

- A veteran of the U.S. military, naval, or air service
- Must have a service-connected disability of at least 10% or more
- The veteran must reside in California

DVBE Eligibility Requirements

- Your business must be at least 51% owned by one or more disabled veterans
- Limited Liability Companies (LLCs) must be wholly owned by one or more disabled veterans
- Daily business operations must be managed and controlled by one or more disabled veterans.
- The disabled veteran(s) who manages and controls the business is not required to be business owner(s).
- The home office must be located in the U.S. The home office cannot be a branch or subsidiary of a foreign corporation, foreign firm, or other foreign based business.

Certification Benefits

- Inclusion to California state's goals: 25% of all contracts with SBs and 3% with DVBEs
- Access to contract opportunities exclusively available to SBs and DVBEs
- 5% SB bid preference on applicable solicitations
- Up to 5% DVBE incentive on applicable solicitations
- Prompt Payment Act
- Reciprocity Partners
- Prime contractors can get your SB/DVBE benefits when they subcontract with your business

Commercially Useful Function (CUF)

Laws

- Small Business: Government Code 14837(d)(4)(A)
- DVBEs: Military and Veterans Code 999(b)(5)(B)
- CUF penalties and sanctions - MVC 999.9(a)

You perform CUF if your business is:

- Executing a distinct element of the work
- Performing, managing, or supervising the work
- Performing work that is normal for the firm's business services and functions
- Negotiating price, determining quality and quantity, ordering, installing, and making payment
- Not subcontracting a portion of the work greater than expected by industry practices

Commercially Useful Function (CUF)

Your business does not perform CUF if you are:

- An extra participant in a transaction, contract, or project through which funds are passed in order to obtain the appearance of SB/DVBE participation.
- Not being used to perform the work as stipulated in the bid.
- No longer used to provide goods/services listed in initial bid response.

California State Government Marketplace

Your home for California's State Procurement and Certification Programs

California State Contracts Register (CSCR)

Search Bid Opportunities

Q 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](#)



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 -

LOUISE KURASHIGE

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

[Edit Bidder Account](#)

No Certification Record

[Get Started](#)

My Account

Edit Account

Manage Notification Profile


Manage Diversity Information


Certification

Apply For Certification

View My Public Certification Profile

 [Manage Diversity Information](#)

 [Search My Event Notifications](#)

 [Change Password](#)

How do I...



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Find Training and Resources

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[Privacy Policy](#)

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:
 - o [Small Business Document Requirements](#)
 - o [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

Cal eProcure Profile

Keyword – Describes a good or service

Example: Concrete, Environmental, Legal

A good keyword is:

- Individual
- Singular
- Any word can be a Keyword

Cal eProcure Profile

UNSPSC Classification – an 8 digit code used to identify a good or service.

Hierarchy	Code	Description
Level 1	14000000	Paper materials and products
Level 2	14110000	Paper materials and products - Paper products
Level 3	14111500	Paper materials and products - Paper products - Business use print & writing paper
Level 4	14111507	Paper materials and products - Paper products - Business use printing & writing paper – printer or copier paper

Resources

Small Business Development Center (new businesses)

- Business Consulting, Planning, Marketing & Access to Capital

Procurement Technical Assistance Center (established businesses)

- Government contracting

SCORE (newer businesses)

- Business Mentorship

Local Chambers of Commerce

Small Business Administration (SBA)

Contact Information

Joann Patty

Business Outreach Liaison

Office of Small Business and DVBE Services

California Department of General Services

BusinessOutreach@dgs.ca.gov

www.dgs.ca.gov/pd



PAVING YOUR ROAD TO
SUCCESS WITH CALTRANS:

**AN INTRODUCTION
TO THE SMALL
BUSINESS
PROGRAM**





Michael Aguilio
Outreach Manager
Office of Civil Rights
Department of Transportation
SmallBusinessAdvocate@dot.ca.gov



Department Mission:

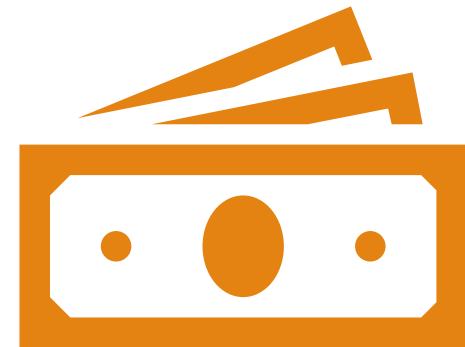
Provide a safe and reliable transportation network that serves all people and respects the environment.

- Over 50,000 miles of state highway & freeway lanes managed, developed, and maintained, connecting local systems and neighborhoods
- Managing major inter-city rail services
- Permitting for over 400 public-use airports & heliports
- The scope of this mission is too great for us to handle alone
- Our department depends on our private contracting partners to fulfill our mission & project goals



State and Federal Funds

- Caltrans receives both California state funds and Federal funds via the Federal Highway Administration (FHWA) and Federal Transit Administration (FTA)
- These funds come with requirements and expectations from each level of government detailing how they will be spent & requirements for disadvantaged groups' participation
- Integrity of disadvantaged groups' participation is tracked via the use of various certification programs, which are overseen or administered by the Caltrans Office of Civil Rights





CERTIFICATIONS RECOGNIZED BY CALTRANS





Certifications
Recognized by
Caltrans

State Funded Projects

(When project funding is ONLY state dollars)

Small Business (SB)/Small Business - Public Works
(SBPW)

25% Goal

Disabled Veteran Business Enterprise (DVBE)

5% Goal

Federally Funded Projects

(When projects have ANY AMOUNT of federal dollars)

Disadvantaged Business Enterprise (DBE)

22.2% Goal



DBE Eligibility

- For-profit small business
- Must be At least 51% owned by one or more socially and economically disadvantaged individual(s)
 - Presumptive groups include African Americans, Hispanic Americans, Native Americans, Asian-Pacific Americans, Subcontinent Asian-Americans, Women, and others
- Personal net worth not exceeding \$1.32 million
- Average gross annual receipts for last three fiscal years must not exceed \$26.29 million
- U.S. Citizen or permanent residence
- Managerial and operational control of business





Benefits of Certifications

DBE Benefits

- Desired by Primes to fulfill their DBE goal requirements
- Listed in California Unified Cert. Program (CUCP) data
- Recognized by Local agencies
- Invitation to procurement fairs and pre-bids
- Recognized throughout the country
- Certification doesn't expire, but requires annual documentation verifying DBE meets requirements



How To Get Certified District Small Business Liaisons (DSBL)



DSBL Contact List:

<https://dot.ca.gov/programs/civil-rights/dsbl-contact-list>

Located in all 12 districts

Primary contact for small business-related concerns

- Information about Small Business (SB), Disabled Veteran Business Enterprise (DVBE), and Disadvantaged Business Enterprise (DBE) certification and programs

Outreach

- Community events and activities
- Education regarding how to work with Caltrans
- Provide 1:1 technical assistance to firms

Advocacy services

- Concerns and complaints



Districts & Counties

[District-1 - Eureka](#) (Del Norte, Humboldt, Lake, and Mendocino)

[District-2 - Redding](#) (Lassen, Modoc, Plumas, Shasta, Siskiyou, Tehama, and Trinity)

[District-3 - Marysville/Sacramento](#) (Butte, Colusa, El Dorado, Glenn, Nevada, Placer, Sacramento, Sierra, Sutter, Yolo, and Yuba)

[District-4 - Bay Area/Oakland](#) (Sonoma, Napa, Solano, Marin, San Francisco, Contra Costa, Alameda, San Mateo, and Santa Clara)

[District-5 - San Luis Obispo/Santa Barbara](#) (Santa Barbara, San Luis Obispo, Monterey, San Benito and Santa Cruz)



[District-6 - Fresno/Bakersfield](#) (Madera, Fresno, Tulare, Kings, Kern)

[District-7 - Los Angeles](#) (Los Angeles and Ventura)

[District-8 - San Bernardino/Riverside](#) (Riverside and San Bernardino)

[District-9 - Bishop](#) (Inyo, Mono, and eastern Kern)

[District-10 - Stockton](#) (Alpine, Amador, Calaveras, Mariposa, Merced, San Joaquin, Stanislaus and Tuolumne)

[District-11 - San Diego](#) (San Diego and Imperial)

[District-12 - Santa Ana](#) (Orange)



General Resources

- Caltrans Website

<https://dot.ca.gov/>

- Office of Civil Rights Website

<https://dot.ca.gov/programs/civil%20rights>

- Outreach Events Calendar

<https://dot.ca.gov/programs/civil-rights/caltrans-events-calendar>

Contractor's Corner

<http://ppmoe.dot.ca.gov/des/oe/contractor-info.html>

- Cal eProcure – California's Online Marketplace

<https://caleprocure.ca.gov/pages/index.aspx>



PARTNERS AND RESOURCES



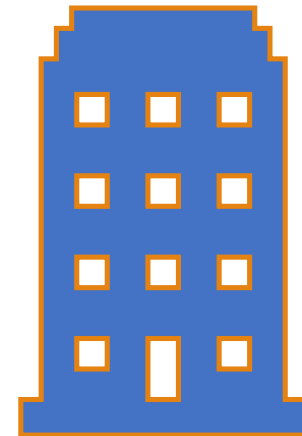


Small Business Development Centers (SBDC)

Regional offices of the Small Business Administration (SBA), offering information & guidance for small businesses seeking to start-up, grow, and expand.

Counseling, training, and technical assistance in the following areas:

- Finance
- Marketing
- Organization
- Networking
- Production & Engineering Problems
Troubleshooting
- Feasibility & Marketing Studies



Find your local SBDC at:

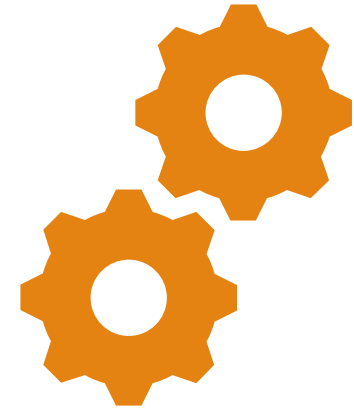
www.americassbdc.org/small-business-consulting-and-training/find-your-sbdc/



Procurement Technical Assistance Centers (PTAC)

The one-stop shop for assistance selling to & working with government agencies.

- One-on-One Counseling
- Workshops
- Business Plan Writing
- Capability Statement Writing
- Bid Preparation
- Networking



Find your local PTAC at:
www.aptac-us.org/find-a-ptac



Service Corps of Retired Executives (SCORE)

A nationwide network of volunteers connecting small business owners with a business expert mentor to help grow your business and achieve your goals.

- One-on-One free & confidential mentoring
- On-demand courses & webinars
- Access to electronic guides, templates, checklists, and other helpful resources
- Local events and support



Find a SCORE mentor at:
www.score.org/find-mentor

Thank you!

For questions or additional information, please contact your local DSBL.

