

Disadvantaged Business Enterprise Program

ANNUAL ELEMENT REPORT

Federal Fiscal Year 2013



California Department of Transportation
Office of Business and Economic Opportunity
October 2013

California Department of Transportation
Disadvantaged Business Enterprise Program
Annual Element Report
Federal Fiscal Year 2013

The Annual Element Report provides information on organizational changes and accomplishments by the California Department of Transportation (Caltrans) Disadvantaged Business Enterprise (DBE) Program for Federal Fiscal Year (FFY) 2013, and provides information on planned activities for FFY 2014. The Annual Element Report was prepared in accordance with Title 49 of the Code of Federal Regulations (CFR), Part 26.

I. Organization Changes, FFY 2013

Effective June 2013, Director Malcolm Dougherty was confirmed by the Senate as the Director of the California Department of Transportation.

Effective May 2013, Ramon Carlos accepted the position of DBE Program Manager in the Office of Business and Economic Opportunity (OBEO); Mr. Carlos acted in this capacity from July 2012 through May 2013. In December 2012, Mario Solis was named manager of the Business Support Unit, replacing Mr. Carlos.

II. Accomplishments, FFY 2013

OBEO

Caltrans OBEO is responsible for the administration of essential elements of the Caltrans federal DBE Program, including the California Unified Certification Program (CUCP), the Certification Unit, the Business Support Unit (BSU), and the Contract Evaluation Unit (CEU).

A. CUCP

Caltrans continues to coordinate the efforts of United States Department of Transportation (USDOT) subrecipients in its ongoing activities of the CUCP. Accomplishments reported for FFY 2013 are:

- Caltrans modified the CUCP database to accommodate a more detailed review of the fifth year Annual Update Affidavit (AUA).
- Five hundred ninety-four (594) firms were DBE certified by the CUCP between October 2013 and July 2013.
- CUCP members met with USDOT representative Marc Pentino on July 10, 2013, to discuss certification issues that affect the CUCP.

B. Certification Unit

1. Conducted or participated in the following outreach activities designed to inform the business community about the advantages of the DBE program:
 - Caltrans District 4, DBE Certification Workshop, 18 people in attendance, October 16, 2012, Oakland, CA.
 - Caltrans District 10, DBE Certification Workshop, 17 people in attendance, October 25, 2012, Oakland, CA.
 - Caltrans District 11, DBE Certification Workshop, 49 people in attendance, October 26, 2012, San Diego, CA.
 - Caltrans District 8, DBE Certification Workshop, 20 people in attendance, November 15, 2012, Imperial Valley, CA.
 - Caltrans District 8, DBE Certification Workshop, 14 people in attendance, December 5, 2012, San Bernardino, CA.
 - Caltrans Headquarters, DBE Certification Workshop, 20 people in attendance, January 10, 2012, Rancho Cordova, CA.
 - Rancho Cordova Chamber of Commerce, DBE Certification presentation, 30 people in attendance, February 13, 2013, Rancho Cordova, CA.
 - Caltrans District 8, DBE Certification Workshop, 25 people in attendance, May 23, 2013, San Bernardino, CA.
 - Caltrans District 8, Riverside County Small Business Expo, DBE Workshop, 20 people in attendance, Moreno Valley, CA.
 - Northeastern California Small Business Development Center (SBDC)-San Joaquin Delta College, DBE presentation, 20 people in attendance, Stockton, CA.
2. The following are other significant activities accomplished by the Certification Unit:
 - Participated in all CUCP executive meetings and chaired the Part 26 cluster meetings.
 - Participated in the following CUCP Executive Committee subcommittees: 1) Work Code Subcommittee; 2) Options and Resources Subcommittee; 3) Documentation Retention Subcommittee; and 4) ACDBE Subcommittee.
 - Continued refinement of work codes to meet industry trends and needs.
 - Attended/participated in six Small Business Council meetings, six Small Business Council Professional Services subcommittee meetings, and two task group meetings to review Architectural and Engineering (A&E) work codes.
 - Attended/participated in three *ad hoc* meetings, focused on enhancing African American participation in the DBE Program.
 - Attended/participated in five DBE Participation Committee meetings. As part of the DBE Participation Committee, participated in Task Group C, which accomplished the following:
 - Developed a sample DBE application and placed it on the OBEO website to assist potential applicants with completing the application.

- Updated a PowerPoint presentation on the OBEO website to provide clarification and additional information to help potential applicants better understand the DBE program and its benefits.
- Developed a DBE Certification brochure and placed it on the OBEO website. The brochure was also made available for distribution at outreach events to help potential applicants better understand the DBE program and its benefits.
- Developed a DBE Certification flowchart and placed it on the OBEO website to help potential applicants understand the DBE certification process.
- Attended/participated in a Value Analysis Study Group to develop recommendations that will improve/streamline processes and procedures in OBEO.
- Participated in the California High Speed Rail (HSR) Business Market Availability and Disparity Study Selection Committee on August 20, 2013.
- Continued to participate on an A&E task force with the Division of Procurement and Contracts (DPAC) to resolve issues with work category codes and counting of engineering firms on Caltrans projects.
- Attended/participated in Reconsideration Good Faith Effort Hearings to be exposed to issues and concerns of contractors.
- Provided ongoing training to CUCP certifying agencies on the CUCP database.
- Participated in mandatory Federal Aviation Administration DBE and ACDBE training.
- Facilitated USDOT DBE training and ongoing certification training for staff in areas such as DBE eligibility criteria and personal net worth.
- Provided timely responses to requests from USDOT for copies of files of firms appealing denial of DBE certification.
- Revised/updated CUCP database with input from DBE certified firms to ensure that they have updated and correct information in the database.
- Continued to closely monitor staff workload, identified process improvements, and trained staff to help avoid a backlog of new DBE applications and AUAs.
- Continued process improvements, such as removing printing of DBE certificates to save costs.
- Continued to accept files from other CUCP certifying agencies to help reduce their file backlog, such as Los Angeles County Metropolitan Transportation Authority, the San Francisco Bay Area Rapid Transit District, and the City of Los Angeles. The City of Los Angeles forwards all DBE applications to Caltrans for firms that are not in the city of Los Angeles or bidding on a City of Los Angeles job.
- Continued to participate in outreach activities/events for the business community to increase participation in the DBE Program.
- Monitored all certification projects and subordinated tasks on the Project Work Plan tracking log.

- Revised/updated all DBE certification procedures.
- Published the CUCP DBE Directory.

C. DBE Program

1. BSU

- Increased Caltrans' overall DBE commitment to 10.48 percent (through August 2013), an increase of 20 percent over FFY 2012.
- Created statistical reports, charts, and graphs to identify DBE commitment and DBE utilization dollars by DBE group.
- Created a dedicated BSU e-mail account to streamline reporting of DBE data to the OBEO.
- Established a process for improved reporting of local agency DBE data.
- Chaired bimonthly DBE Workgroup meetings, comprised of representatives from Caltrans Division of Engineering Services, Division of Procurement and Contracts, Division of Construction, Division of Local Assistance, Division of Mass Transportation, and Division of Transportation Planning, to discuss issues critical to administering Caltrans' DBE Program.
- Developed and coordinated Caltrans' first annual Statewide District Small Business Liaison (DSBL) Conference on September 11-12, 2013, in Sacramento, CA. The training program included topics relevant to the DBE, Disabled Veteran Business Enterprise (DVBE), and Small Business (SB) programs and featured presentations from four Caltrans divisions, the California Department of General Services (DGS), the California Public Utilities Commission (CPUC), and the FHWA.
- Participated in a Federal Transit Administration (FTA) review of Caltrans' DBE Program in September 2013.

a) *DBE Program and SB Program Outreach Events*

Caltrans staff attended, participated in, or hosted the following:

- Bimonthly Caltrans District Small Business Liaison (DSBL) conference calls to disseminate DBE, DVBE, and SB program updates, including policy and procedure changes, proposed legislation, etc.
- Caltrans District 3, Calmentor Quarterly Outreach, 59 people attended, October 3, 2012, Sacramento, CA. The OBEO Calmentor Coordinator participated in the event in addition to the District 3 DSBL.
- Caltrans District 10, CPUC, DGS, and the California Hispanic Chamber of Commerce, Small Business Matchmaking Expo, 300 people attended, October 4, 2012, Stockton, CA. District 10 partnered in sponsorship and OBEO staff participated in the event.
- City of San Bernardino, Small Business Tax Seminar, 100 people attended, October 8, 2012, San Bernardino, CA. District 8 DSBL participated.
- Caltrans Office Engineer, E-Bid Training, 48 people attended, October 9, 2012, Irvine, CA. District 12 DSBL participated.

- Asian Business Association, ProCon Outreach Event, 300 people attended, October 10, 2012, Anaheim, CA. District 12 DSBL participated.
- Landscape.com, Professional Landscape Expo, 500 people attended, Long Beach, CA. District 12 DSBL participated.
- Caltrans Office Engineer, E-Bid training, 32 people attended, October 11, 2012, Marysville, CA. District 3 DSBL participated.
- California Department of Corrections and Rehabilitation (CDCR) and Fresno SBDC, SB/DVBE Certification Workshop, October 16, 2012, Fresno, CA. Caltrans District 6 DSBL team participated.
- Caltrans District 4 and OBEO Certification Unit, DBE Certification Workshop, 25 people attended, October 16, 2012, Oakland, CA.
- Caltrans District 4, District SBC Quarterly Meeting, 16 people in attendance, October 17, 2012, District 4 Office, Oakland, CA.
- Silicon Valley Small Business Expo, 320 people in attendance, October 18, 2012, Campbell, CA. Caltrans District 4 DSBL team participated.
- Caltrans District 8, SB/DVBE/DBE Architectural & Engineering (A&E) Contract Outreach, 50 people in attendance, October 18, 2012, San Bernardino City Library, San Bernardino, CA.
- Caltrans District 8, I-215 Stakeholder Coordination Meeting, 16 people in attendance, October 18, 2012, Caltrans District 8 Office, San Bernardino, CA.
- Caltrans District 4, Associated General Contractors (AGC) Industry Liaison Meeting, 30 people in attendance, October 19, 2012, Richmond, CA.
- Caltrans District 6, High Speed Rail, Small Business Administration (SBA), and City of Fresno, Small Business Certification Workshop, 11 people in attendance, October 22, 2013, Fresno City College Computer Lab.
- Caltrans District 6, Calmentor Mixer Quarterly Outreach Event, 50 people in attendance, Fresno, CA.
- Caltrans District 11, Owner-Prime Symposium with the Elite SDVOB, 60 people in attendance, October 23, 2012, San Diego, CA.
- Caltrans District 11, Quarterly Small Business Council Meeting, 19 people in attendance, October 24, 2012, San Diego, CA.
- Caltrans District 11, General Contractor Blue Book Event, 225 people in attendance, October 24, 2012, San Diego, CA.
- Caltrans District 10 and OBEO CEU, DBE Certification Workshop, 14 people in attendance, October 25, 2012, Stockton, CA.
- Caltrans District 11 and OBEO CEU, DBE Certification Workshop, 44 people in attendance, October 26, 2012, San Diego, CA.
- Caltrans District 8, A&E Contractor Outreach for Structure & Materials, 15 people in attendance, October 29, 2012, San Bernardino Chamber of Commerce, San Bernardino, CA.

- Caltrans District 4, Quarterly Contractor Outreach, 31 people in attendance, November 7, 2012, Oakland, CA.
- Caltrans Districts 3 and 10, DPAC, and OBEO, SacPAC-The Connecting Point 2012, 622 people in attendance, November 13, 2012, Citrus Heights, CA.
- Caltrans Districts 3, 4, and OBEO, DGS State Agency Recognition Awards and Networking Event, 341 people in attendance, November 14, 2012, Citrus Heights, CA.
- Caltrans District 11, Imperial Valley Economic Development Corp - Imperial Valley Procurement Fair, 146 people in attendance, November 15, 2012, Imperial Valley, CA.
- Caltrans OBEO and Districts 3, 4, and 10, Statewide SBC Meeting, 56 people in attendance, November 16, 2012, Sacramento, CA.
- Caltrans District 4, Mandatory Pre-Bid 04-014084, 42 people in attendance, November 19, 2012, Oakland, CA.
- Caltrans District 11, District Small Business Committee Meeting, 16 people in attendance, November 28, 2012, San Diego, CA.
- Caltrans District 12 & OBEO, "How to Qualify & Comply with State Highway Contracts Under \$1 Million" workshop, 25 people in attendance, November 29, 2012, Irvine, CA.
- Caltrans District 6, Economic Development Corp – Small Business Certification Workshop, November 30, 2012, Fresno, CA.
- Caltrans District 11, San Diego Association of Governments (SANDAG) public agency consortium (PAC) committee meeting, 10 people in attendance, December 12, 2012, San Diego, CA
- Caltrans District 4, District 4 Small Business Procurement Fair, 102 people in attendance, January 8, 2013, Oakland, CA.
- Caltrans District 6, SBA – "Government Contracting Workshop for Small Businesses," 23 people in attendance, January 10, 2013, Fresno, CA.
- Caltrans District 6, City of Fresno – 6th Annual Public Contracting Expo & Conference, 46 people in attendance, January 11, 2013, Fresno, CA.
- Caltrans District 6, Quarterly Calmentor Mixer, 52 people in attendance, January 15, 2013, Merced, CA.
- Caltrans District 11, Statewide SBC, 60 people in attendance, January 18, 2013, San Diego, CA.
- Caltrans District 11, Working Group to Increase African American Firms' Participation on Caltrans Contracts, 16 people in attendance, January 18, 2013, San Diego, CA.
- Caltrans District 11, District 11 – SBC Committee Meeting, 10 people in attendance, January 23, 2013, San Diego, CA
- Caltrans District 11, SBDC Matchmaking Event, 50 people in attendance, January 29, 2013, San Diego, CA.
- Caltrans District 8, Biological Wildlife Studies Contractor Outreach, 20 people in attendance, January 31, 2013, San Bernardino, CA.

- Caltrans District 8, Highway Draining Design Contractor Outreach, 20 people in attendance, January 31, 2013, San Bernardino, CA.
- Caltrans District 6, City of Fresno – Bonding Workshop, 26 people in attendance, February 8, 2013, Fresno, CA.
- Caltrans District 10, Stockton Public Agency Consortium – Planning Meeting, 14 people in attendance, February 13, 2013, Stockton, CA.
- Caltrans District 11, San Diego – PAC Meeting, 15 people in attendance, February 13, 2013, San Diego, CA.
- Caltrans District 11, Small Business Procurement Fair and CAL-Card Training Class, 50 Caltrans staff in attendance, February 14, 2013, San Diego, CA.
- Caltrans District 6 and SBA, “How to Do Business with Government” workshop, 16 people in attendance, February 14, 2013, Fresno, CA.
- Caltrans District 6, SCORE, SBA, SBDC, and DGS; “Register Your Business with the State of California” workshop; 16 people in attendance; February 21, 2013, Fresno, CA.
- Caltrans District 11, Prime Contractor Awards, 50 people in attendance, February 27, 2013, San Diego, CA.
- Caltrans District 11; San Diego Airport Authority – San Diego Small Business Opportunity Awareness; 200 people in attendance; March 6, 2013, San Diego, CA.
- Caltrans District 8, DBE/Small Business Partnering Workgroup – SANBAG, 4 people in attendance, March 12, 2013, San Bernardino, CA.
- Caltrans District 6, SCORE, SBA, SBDC, DGS, “How to Receive Bids & Awards with State Certification” workshop, 11 people in attendance, March 14, 2013, Fresno, CA.
- Caltrans District 8, Statewide SBC Meeting, 61 people in attendance, March 15, 2013, San Bernardino, CA.
- Caltrans District 11, Women’s Construction Coalition – Networking Event, 75 people in attendance, March 19, 2013, San Diego, CA.
- Caltrans Districts 8, 11, & 12, Caltrans D11- Procurement Fair, 800 people in attendance, March 20, 2013, San Diego, CA.
- Caltrans District 6, Central California Hispanic Chamber of Commerce – Business Certification Workshop, 42 people in attendance, March 20, 2013, Fresno, CA.
- Caltrans District 6, Fresno SBA, and Fresno SCORE - “Register Your Business with the State of California” workshop, 16 people in attendance, April 9, 2013, Fresno, CA.
- Caltrans District 6, CPUC/PG&E Bakersfield Small Business EXPO & Matchmaking Event, 210 people in attendance, April 11, 2013, Bakersfield, CA.
- Caltrans Districts 5, 6, and 10, Calmentor Quarterly Networking Mixer, 69 people in attendance, April 16, 2013, Fresno, CA.

- Caltrans District 6, PG&E Veteran & Small Business Workshop, 29 people in attendance, April 17, 2013, Clovis, CA.
- Caltrans District 4, District Small Business Council Meeting, 18 people in attendance, April 17, 2013, Oakland, CA.
- Caltrans District 3, California Green Summit – Buyer/Vendor Lounge Matchmaking Sessions, 40 people in attendance over two days, April 18-19, 2013, Sacramento, CA.
- Caltrans District 11, District SBC Meeting, 21 people in attendance, San Diego, CA.
- Caltrans District 3, American Indian Chamber of Commerce of California, 18 people in attendance, April 25, 2013, Sacramento, CA.
- Caltrans District 3 & OBEO, DGS Customer Forum – Procurement Officials & Small Business Outreach Staff, 70 people in attendance, April 25, 2013, Sacramento, CA.
- Caltrans District 6, HSR/DGS/DOT – Small Business Online Certification Workshop, 24 people in attendance, April 25, 2013, Fresno, CA.
- Caltrans District 6, General Contractors Blue Book Network Showcase, 150 people were in attendance, April 30, 2013, Fresno, CA.
- Caltrans District 6, Fresno SCORE, and SBA – “How to Get Contracts & Awards with the State of California” workshop, 24 people in attendance, May 2, 2013, Fresno, CA.
- Caltrans District 11, Calmentor Kickoff Event, 85 people in attendance, May 2, 2013, San Diego, CA.
- Caltrans District 6, Fresno SBA, and SCORE – “How to do Business with the State of California” workshop, 10 people in attendance, May 9, 2013, Fresno, CA.
- Caltrans District 10, Stockton Public Agency Consortium – Stockton PAC Supporting & Promoting Small Business Event, 500 people in attendance, May 13, 2013, Stockton, CA.
- Caltrans District 11, San Diego Supplier Development Council – “Operation Opportunity,” 200 people in attendance, May 14, 2013, San Diego, CA
- Caltrans District 11, San Diego County Regional Airport Authority – Turner School of Construction Management, 32 people in attendance, May 14, 2013, San Diego, CA.
- Caltrans District 12, Construction Contractors Partnering Outreach, 70 people in attendance, May 14, 2013, Irvine, CA.
- Caltrans District 12, DVBE Alliance – Keeping the Promise, 300 people in attendance, May 16, 2013, Long Beach, CA.
- Caltrans District 8, Mandatory Pre-Bid 08-0Q7404, 100 people in attendance, May 16, 2013, San Bernardino, CA.
- Caltrans District 8, California State Assembly Member Cheryl R. Brown (47th Assembly District) – Small Business Summit, 250 people in attendance, May 17, 2013, Inland Empire, CA.

- Caltrans Districts 7, 8, 12, and OBEO, Statewide Small Business Council Meeting, 75 people, May 17, 2013, Irvine, CA.
- Caltrans District 8 and OBEO, DBE Certification Workshop, 50 people in attendance, May 23, 2013, San Bernardino, CA.
- Caltrans District 8, Southern California Black Chamber of Commerce – DBE Outreach Meeting, 10 people in attendance, May 27, 2013, San Bernardino, CA.
- Caltrans District 11, SBDC Matchmaking Event, 80 people in attendance, May 27, 2013, San Diego, CA.
- Caltrans District 6, SBA, and SCORE Fresno – “Register Your Business with the State of California,” 10 people in attendance, June 4, 2013, Fresno, CA.
- Caltrans District 6, “Register Your Business with the State of California,” 22 people in attendance, June 4, 2013, Bakersfield, CA.
- Caltrans District 11, Airport Minority Advisory Council – AMAC Airport Diversity Conference, 300 people in attendance, June 9 and 11, 2013, San Diego, CA.
- Caltrans District 6, Asset Building & Small Business Development in the San Joaquin Valley, 36 people in attendance, June 11, 2013, Fresno, CA.
- Caltrans District 11, SBDC, and SBA Awards Luncheon, 40 people in attendance, June 12, 2013, San Diego, CA.
- Caltrans Districts 3, 10, and OBEO, Mandatory Pre-Bid 03-1A731, 48 people in attendance, June 13, 2013, Cameron Park, CA.
- Caltrans District 6, “How to do Business with the Government” workshop, 19 people in attendance, June 13, 2013, Fresno, CA.
- Caltrans District 3, Sacramento Business First Expo, 380 people in attendance, June 14, 2013, Sacramento, CA.
- Caltrans District 6, SBA, and Fresno SCORE - USDOT Bonding Education Program Workshop, 14 people in attendance, June 20, 2013, Fresno, CA.
- Caltrans District 9, Big Pine Paiute Development Corp., 18 people in attendance, June 21, 2013, Bishop, CA.
- Caltrans District 3, E-Bid/BidX training, 17 people in attendance, June 24, 2013, Sacramento, CA.
- Caltrans, District 8, RTC/RTA – Riverside County Small Business Expo, 250 people in attendance, June 27, 2013, Riverside, CA.
- Caltrans District 6, SBA, and Fresno SCORE – “How to Contract with the State of California” workshop, 21 people in attendance, July 8, 2013, Fresno, CA.
- Caltrans District 6, Mandatory Pre-Bid 08-368504, 56 people in attendance, July 10, 2013, Fontana, CA.
- Caltrans District 4, Small Business Program & Resident Engineer Collaboration – 04-2640U4, 9 people in attendance, July 18, 2013, Oakland, CA.

- Caltrans Districts 3, 8, 10, and OBE0, Statewide Small Business Council Meeting, 45 people in attendance, July 19, 2013, Stockton, CA.
- Caltrans District 11, San Diego Unified School District (SDUSD) Matchmaking Event, 250 people in attendance, July 24, 2013, San Diego, CA.
- Caltrans District 4, Small Business Program & Resident Engineer Collaboration – 04-1G9404, 12 people in attendance, July 24, 2013, Oakland, CA.
- Caltrans District 26, SBDC Matchmaking Event, 150 people in attendance, July 26, 2013, San Diego, CA.
- Caltrans District 4, HSR & DGS Small Business Certification Workshop, 45 people in attendance, July 29, 2013, San Jose, CA.
- Caltrans District 8, SoCal Black Chamber of Commerce – Business Mixer, 15 people in attendance, July 29, 2013, San Bernardino, CA.
- Caltrans District 1, Mandatory Pre-Bid – Willits Mitigation Project, 65 people in attendance, July 31, 2013, Willits, CA.
- Caltrans District 10, Stockton Regional Pubic Agency Consortium – Planning Meeting for Connecting Point: Stockton, 15 people in attendance, August 2 and 7, 2013, Stockton, CA.
- Caltrans District 8, Construction Industry Outreach, 25 people in attendance, August 13, 2013, San Bernardino, CA.
- Caltrans District 11, UCSD – “How to do Business with UCSD” workshop, 150 people in attendance, August 13, 2013, San Diego, CA.
- Caltrans District 6, California Black Chamber of Commerce – Ron Brown Business & Economic Summit, 55 people in attendance, August 16, 2013, Fresno, CA.
- Caltrans District 10, HSR & DGS Small Business Certification workshop, 25 people in attendance, August 21, 2013, Stockton, CA.
- Caltrans, District 11, DGS – “Cal-Con Expo,” 1000 people in attendance, August 21-22, 2013, Long Beach, CA.
- Caltrans District 11, SANDAG Mid-Coast Corridor Project, 400 people in attendance, August 21, 2013, Balboa Park, CA.
- Caltrans District 8, “Doing Business with Caltrans” workshop, 35 people in attendance, August 22, 2013, San Bernardino, CA.
- Caltrans District 6, Central California Hispanic Chamber of Commerce – 25th Annual Central California Business Expo, 220 people in attendance, August 23, 2013, Fresno, CA.
- Caltrans District 8, Southwest Veterans Business Resource Center Certified – Now meet with VA VISN 22, DGS, and Riverside County Buyers: Part 2 of 2, 200 people in attendance, August 27, 2013, Perris, CA.
- Caltrans District 11, National Defense Industry Association – Navy Gold Coast, 750 people in attendance, August 27-28, 2013 San Diego, CA.

- Caltrans District 9, Owens Valley Contractors & Vendors Association – monthly meeting, 25 people in attendance, August 28, 2013, San Bernardino, CA.
- Caltrans District 6, HSR/CT/DGS/SBA – “Register Your Business with the State of California” workshop, 35 people in attendance, August 29, 2013, Fresno, CA.
- Caltrans District 3, Mandatory Pre-Bid Design-Build Sacramento River Viaduct & West End Viaduct Deck Rehabilitation 03-2F21U4, 50 people in attendance, August 29, 2013, West Sacramento, CA.
- Caltrans District 6, Calmentor Audits & Investigations workshop, 50 people in attendance, September 10, 2013, Fresno, CA.
- Caltrans District 3, SacPAC “Bringing Government Contracting to You” workshop, 22 people in attendance, September 13, 2013, Roseville, CA
- Caltrans District 4, Small Business Program & Resident Engineer Collaborations 04-3A9214, 8 people in attendance, September 17, 2013, Antioch, CA.
- Caltrans District 4, Small Business Program & Resident Engineer Collaborations 04-1G9404, 10 people in attendance, September 18, 2013, Antioch, CA.
- Caltrans District 4, Small Business Program & Resident Engineer Collaborations 04-3A9224, 9 people in attendance, September 19, 2013, Antioch, CA.
- Caltrans District 6, “How to Get Business with the State of California” workshop, 20 people in attendance, September 24, 2013, Fresno, CA.
- Caltrans District 11, SBDC Matchmaking Event, September 24, 2013, San Diego, CA.
- Caltrans District 3 and 10, SacMetro Chapter – Metro Expo, September 26, 2013, Sacramento, CA.

b) Partnering Meetings, Compliance Reviews, and Outreach:

- Caltrans DBE Program Workgroup, bimonthly meetings with other divisions within Caltrans to review, provide feedback, and implement regulations.
- DBE compliance review, Kern County, December 5-7, 2012, Kern County Public Works, Bakersfield, CA.
- DBE compliance review, City of Long Beach, January 7-10, 2013, Long Beach, CA.
- DBE compliance review, Santa Clara Valley Transportation Authority (SCVTA), February 11-14, 2013, SCVTA offices, Santa Clara, CA.
- Caltrans Infrastructure Development Quarterly Council meeting, 25 people in attendance, Sacramento, CA.
- Caltrans District 11, Prime Contractor Awards Ceremony, 50 people in attendance, February 27, 2013, San Diego, CA.

- Caltrans District 8, DBE/Small Business Partnering Workgroup – San Bernardino Association of Governments (SANBAG), 4 people in attendance, March 12, 2013, San Bernardino, CA.
- Caltrans Contracting Partnership Steering Committee, 25 people in attendance, Sacramento, CA.
- DBE compliance review, San Diego Association of Governments (SANDAG), March 5-7, 2013, SANDAG offices, San Diego, CA.
- DBE compliance review, Humboldt County, May-July 2013, Sacramento, CA (desk audit).
- DBE Compliance Review, Inyo County, May-July 2013, Sacramento, CA (desk audit).
- Caltrans Statewide SBC Meeting, 52 people in attendance, November 16, 2012, Sacramento, CA.
- Caltrans Statewide SBC Meeting, 60 people in attendance, January 18, 2013, San Diego, CA.
- Caltrans Statewide SBC Meeting, 60 people in attendance, March 15, 2013, Farmers Market III, Sacramento, CA.
- Calmentor Quarterly Meeting, 86 people in attendance, April 18, 2013, District 4 Office, Oakland, CA.
- Caltrans Consultant Services Unit Quarterly Meeting, 30 people in attendance, May 9, 2013, Sacramento, CA.
- Caltrans Statewide SBC Meeting, 62 people in attendance, May 17, 2013, District 8 Office, San Bernardino, CA.
- Caltrans Statewide SBC Meeting, 56 people in attendance, July 19, 2013, District 10 Office, Stockton, CA.
- Caltrans Statewide SBC Meeting, 60 people in attendance, September 20, 2013, Sacramento, CA.

2. CEU

- Evaluated 213¹ (62 in 2012, 1511 in 2013) contracts for the Division of Engineering Services-Office Engineer (OE) to validate DBE participation.
- Evaluated 65¹ contracts for DPAC to validate DBE participation.
- Evaluated 58¹ Good Faith Efforts per Title 49, Part 26.
- Evaluated OE proposed goals on 155¹ DBE contracts.
- Evaluated the goal on one design-build federal project.
- Participated in one quarterly design-build DBE meeting where the CEU evaluated ongoing DBE participation.
- Created the “Clarification of Commitment” form for federal projects that helped clarify the roles DBE firms are performing on specific contracts.
- Streamlined the FileMaker Pro database, used to assign and track DBE projects, to enable incoming projects to be processed with less lead time before it is assigned to an analyst.

¹As of August 7, 2013

- On July 17, 2013, analysts conducted a site visit on contract 03-0A5804, so that they could see firsthand the work that is being done and how that equates to the work that they see on the contracts.
 - Work with the web development team to ensure that all links necessary to finding and using DBE firms are available to the public in an easy to use/find format.
 - Ensured that analysts had access to FileMaker Pro-Work Code Generator, a tool that allows them to transcribe item codes to work codes allowing them to better determine that listed DBEs were certified to do the work they had been listed to perform. Work Code Generator is a search tool created by OE to help them determine numbers of DBE firms for goal setting purposes.
 - Established metrics that track how long an analyst has had a contract and when it is due.
 - Established a checklist that details the components that a successful Good Faith Effort must contain before it can be correctly evaluated.
 - Tested several new Good Faith Effort write-up formats to better present the evaluation of the CEU analyst and to ensure that all pertinent data is being reviewed before the determination is being made.
 - Created and distributed a fact sheet which outlined the role of the CEU in counting DBE participation.
 - Evaluated local agency Good Faith Efforts for the FHWA, at FHWA's request, to determine if local agencies were following 49 CFR, Part 26, and making supportable determinations.
3. Availability/Disparity Study
- November 29, 2012: FHWA approved Caltrans' overall DBE goal and methodology for FFY 2013-2015.
 - December 10, 2012: Caltrans requested a DBE Program waiver. The waiver would allow Caltrans to implement race-conscious goals for five identified groups: Hispanic Americans, African Americans, Asian Pacific Americans, Native Americans, and Women.
4. Supportive Services
- The Statement of Work (SOW) for 2012 DBE Supportive Services (DBE/SS) fund allocation of \$972,777 was submitted to FHWA and approved. The original DBE/SS SOW requested support for three, one-year projects to cover Northern, Central, and Southern California. Due to funding issues, our request was revised to two, six-month DBE/SS projects to cover Northern and Southern California.
 - The DBE/SS Requests for Proposals (RFPs) were advertised on BidSync on May 17, 2013, with a DBE contract goal of 12 percent for each contract.
 - A pre-proposal meeting was held on May 24, 2013, in Sacramento. Those who could not attend the meeting in person were invited to attend via teleconference. To accommodate prospective proposers from Southern California, the pre-proposal meeting was aired live, via teleconference, in a

conference room at District 8 headquarters, in San Bernardino; Caltrans staff was on hand to proctor the session. There were a total of 16 participants both in person and via teleconference.

- Technical proposals were evaluated on June 11-12, 2013. Contract 88A0087 had one successful proposer; Contract 88A0088 had two successful proposers.
- Cost proposals were opened on June 13, 2013, and GCAP Services, Inc. (GCAP), submitted the only responsive bid for 88A0087 and the lowest bid for 88A0088. Both contracts were awarded to GCAP and officially executed on July 16, 2013. DBE commitment percentages for 88A0087 and 88A0088 were 84 percent and 79 percent, respectively. These contracts end on December 30, 2013.
- GCAP developed a needs assessment survey form that is distributed to the DBE community and must be completed in order to participate in the DBE/SS program. This form identifies the DBEs' needs and the services required to increase their participation in highway construction and professional service federal-aid Caltrans contracts.
- GCAP provides pre- and post-award technical assistance to program participants, for example, assistance with developing or updating business plans; assistance with reading plans, specifications, and other bid documents; navigating online bid services; assistance with estimating and bidding methods; contract compliance; and assistance with developing a transition plan to graduate out of the DBE program.
- GCAP training curriculum includes courses in business management, business plan development, prime and subcontractor relations, estimating and bidding, bonding and lines of credit, prevailing wage, DBE certification application and annual update affidavits, contract compliance, online bidding, computerized estimating, and accounting and cash flow management. Courses are available in person and online.
- GCAP provides outreach to DBEs at various venues, for example, mandatory pre-bid meetings, Caltrans statewide and regional small business council meetings, and other community or state-sponsored events. GCAP also uses the California Unified Certification Program database as a resource for targeting outreach as well as data from various OBEO tracking reports.

5. Calmentor and Mentor-Protégé

- Provided oversight and support to statewide Calmentor and Mentor-Protégé program leads. Currently, there are 42 Calmentor and 10 Mentor-Protégé pairings statewide.
- Collaborated with North Region Calmentor staff to establish three new pairings, as well as the recruitment of four new mentors and eight new protégés.
- Created *Pairings*, a quarterly Calmentor and Mentor-Protégé newsletter, to highlight program activities and events. Published four issues during FFY 2013.

- Facilitated monthly conference calls for statewide Calmentor and Mentor-Protégé program leads.
- Collaborated with the United States Small Business Transportation Resource Center, Southwest Region, to deliver a bonding education program. The program is composed of two components: (1) the workshop phase; and (2) the bond readiness phase. The workshop phase covers topics like construction accounting, claims and dispute resolution, marketing, access to capital, project management, estimating and bidding, and of course, bonding and insurance. In the bond readiness phase, the small business is partnered with a reputable surety bond agent to assess their business and determine a prescriptive plan to reach bonding goals. Two bonding education workshops were held in FFY 2013:
 - Sacramento, California - October 25-December 6, 2012
 - Fresno, California - May 30-August 1, 2013
- Collaborated with statewide Calmentor program leads and Caltrans Audits & Investigations staff to deliver training regarding indirect costs.

Calmentor North Region - District 1, 2, and 3

- Calmentor North Region Spring Mixer, March 19, 2013, Roseville, CA.
- Calmentor North Region “Speed Dating” event (mentor and protégé marketing and pairing event), July 17, 2013, Sacramento, CA.

District 4 Calmentor

- Calmentor Fall Mixer, October 25, 2012, 46 attendees.
- Calmentor Professional Liaison Quarterly Meeting, January 24, 2013, 65 attendees.
- Calmentor Professional Liaison Quarterly Meeting, April 25, 2013, 46 attendees.
- Calmentor Professional Liaison Quarterly Meeting, July 25, 2013, 53 attendees.

Central Region Calmentor – Districts 5, 6, 9, and 10

- Construction Mentor-Protégé Program planning meeting with AGC, December 21, 2012, 3 people in attendance, Stockton, CA.
- Central Region Calmentor Mixer, October 23, 2012, 55 attendees, Fresno, CA.
- Central Region Calmentor Quarterly Meeting, January 15, 2013, 45 attendees, Fresno, CA.
- Central Region Calmentor Mixer, April 16, 2013, 69 attendees, Fresno, CA.
- Central Region Calmentor Quarterly Meeting and Workshop, July 16, 2013, 60 in attendance, Fresno, CA.
- Calmentor Audits and Investigations Workshop, September 10, 2013, approximately 40 attendees, Fresno, CA.
- District 6/Central Region continued SB/DVBE/DBE outreach efforts through attendance at various Central Region Calmentor A&E program events and workshops. The Central Region Calmentor program holds two general

meetings and two networking mixers annually. The program has started providing A&E informational workshops prior to both the meetings and the mixers to provide additional contracting information.

Southern California Alliance Calmentor - Districts 7, 8, and 12

- Recognition Award Luncheon, Pacific Palms Hotel & Conference Center, February 21, 2013, City of Industry, CA.

San Diego and Imperial Counties Calmentor - District 11

- Calmentor 5th Cycle Kick-off Workshop, May 2, 2013, San Diego, CA.
- 4th Cycle Luncheon Awards Ceremony, September 26, 2013.

Division of Construction and Labor Compliance

A. Headquarters

- Promoted Labor Compliance attendance at pre-construction meetings to provide consistent and current FHWA DBE guidance.
- Attended Statewide SBC meetings, Construction Committee meetings, DBE Program Manager meetings, DBE Workgroup meetings and various meetings related to the DBE program throughout the year.
- Provided four District Labor Compliance training sessions for Resident Engineers and inspectors, covering DBE subject matter.
 - 8/9/12: Richmond
 - 2/21/13: San Luis Obispo
 - 2/27/13: Fresno
 - 3/13/13: Stockton
- Provided Labor Compliance with information on decertified DBEs.
- Continued to provide feedback to the OBEO regarding brokers and firms that misrepresent themselves and fail to perform a Commercially Useful Function (CUF) on transportation projects.

B. Districts

- Provided labor compliance training for Resident Engineers, including a DBE component.
- Provided continuous information and support to the Resident Engineers and inspectors having major DBE participation and responsibility in regard to past and current DBE, reviewed DBE substitutions, and when appropriate, recommended action for noncompliance.
- Continued to maintain and provide DBE utilization information on prime and subcontractor attainment.
- Provided documentation for DBE and SB Data Collection.
- Assisted SBC members and others by investigating issues of concern, such as, subcontractors' license and prime contractor's failure to use DBEs.
- Ensured Resident Engineers comply with Caltrans authority to withhold appropriate deductions until CEM 2402 forms are submitted.

- For all contracts with DBE goals, assisted with hearings and determined penalties for contractors regarding substituting DBE subcontractors with their own forces or with non-DBE forces.
- Monitored contractor adherence to DBE participation requirements throughout the course of all federal-aid contracts.

Additional District Information – Central Region

- Participated in the San Joaquin Valley SBC meetings to promote utilization of DBEs, Disabled Veteran Business Enterprises (DVBE), and SBs to improve partnerships with construction related businesses, service providers, and suppliers.
- Worked with the DSBL to implement the Construction Mentor-Protégé Program. This program is designed to assist small businesses with networking and business mentoring opportunities with larger businesses.

Additional District Information – District 11

- Provided SB Liaison Unit with documents and information for data collection of proposed DBE participation and actual goals attained. Statistics were distributed to the District 11 SBC members.
- Provided OBEO and SB Advocate with documents for ongoing compliance review.
- Provided DBE utilization and subcontractor information to the SB Liaison and at AGC meetings.

Additional District Information – District 12

- Held quarterly contractor meetings to update contractors with changes in the Labor Compliance, FHWA program, and DBE updates.

Division of Engineering Services – Office Engineer

- Participated in contractor outreach sessions for construction projects in Marysville and Sacramento.
- Maintain the bidders list through the Division of Engineering Services internet-based survey.
- Submit the semi-annual reports of DBE awards or commitments for all federally assisted contracts awarded.
- Review and, if necessary, revise the Quick Reference Guide with respect to the 2010 Standards and other changes to federal law or CFR.
- Set DBE Race-Conscious goals on federal-aid construction contracts.
- Attend DBE Program Manager’s and DBE Workgroup meetings, when scheduled.
- Improve website tools to enhance opportunities for DBE.
- Reworked the Office Engineer Website to become more user friendly, highlighting the “Contractors Corner”.
- Began pilot program for “BidX” electronic bidding system to streamline bidding process and eliminate need for in person bid submittals.

- Continue to review 2010 Standards and develop updates to improve efficiency of submittal process.
- Develop procedures and recommend implementation to post the verified DBE evaluations and GFEs onto the OE website as a tool for bidders.

Division of Procurement and Contracts

- DPAC reported DBE monthly contract awards to OBEO. The report included the dollar value, number of prime contractors, subcontractors, and commitments to DBE firms, including the breakdown by ethnicity and gender and actual DBE Goal percentage advertised on federally assisted projects. Total DBE contract awards for FFY 2012/2013 are as follows:
 - Total prime contractors and subcontractors awarded for A&E, consulting, and construction (under \$270,000) services for FFY 2012/2013 is 51 prime contracts for a total of \$53,209,665.16, of which 204 subcontracts were awarded for a total of \$27,955,437.39.
- Caltrans District 13 outreach event on the Public Participation Plan (PPP) for the California Transportation Plan (CTP) and Federal Statewide Transportation Improvement Program (FSTIP), January 10, 2013, approximately 100 people attended the event at the District 13 Staples Center location in Los Angeles, CA.
- Caltrans District 8 outreach event to provide consultants with information regarding scope of services and process for potential submittal of qualifications for Southern Regional Lab Material Testing Contract, October 18, 2012, at the District 8 Office in San Bernardino, CA.
- Caltrans District 59 outreach event to provide consultants with information regarding scope of services and process for potential submittal of qualifications for Structure Materials Contracts, October 23, 2012, at the Caltrans TransLab in Sacramento, CA and October 29, 2012, at the Caltrans Southern Regional Lab in Fontana, CA. The total number of attendees was 28.
- Caltrans District 59 outreach event to provide consultants with information regarding scope of services and process for potential submittal of qualifications for Construction Contracts, December 7, 2012, at the Farmers Market Plaza 3, in Sacramento, CA. The total number of attendees was 28.
- Caltrans District 8 outreach event to provide consultants with information regarding scope of services and process for potential submittal of qualifications for Wildlife Studies Contracts, January 31, 2013, at the District 8 Office in San Bernardino, CA. The total number of attendees was 7.
- Caltrans District 8 outreach event to provide consultants with information regarding scope of services and process for potential submittal of qualifications for Drainage Design Contracts, January 31, 2013, at the District 8 Office in San Bernardino, CA. The total number of attendees was 4.
- Caltrans District 8 outreach event to provide consultants with information regarding scope of services and process for potential submittal of qualifications for Claims and Schedule Contract for Bi-County Project, January 31, 2013 at the District 8 Office in San Bernardino, CA. The total number of attendees was 14.

- Caltrans District 4 outreach event to provide consultants with information regarding scope of services and process for potential submittal of qualifications for Water Quality Contracts, February 20, 2013, at the District 4 Office in Oakland, CA. The total number of attendees was 9.
- Caltrans District 4 outreach event to provide consultants with information regarding scope of services and process for potential submittal of qualifications for Surveying Staff Augmentation and Deliverable-Based Contracts, June 18, 2013, at the District 4 Office in Oakland, CA. The total number of attendees was 26.
- Caltrans District 59 outreach event to provide consultants with information regarding scope of services and process for potential submittal of qualifications for Structure Construction Contract, July 31, 2013, Farmers Market Plaza 3, Sacramento, CA.

Division of Mass Transportation

- Provided instruction and technical assistance to attendees of program workshops for FTA Programs 5310, 5311, 5316, and 5317 on DBE requirements.
- Updated and maintained the Division of Mass Transportation website with DBE Program requirements.
- Provided training to new and existing subrecipient staff on their responsibilities in the DBE Program.
- Provided training to headquarters and district staff on implementing the DBE program.
- Participated in meetings and assignments initiated by OBEO.
- Administrative staff participated in monthly managers' OBEO meetings and bimonthly DBE Program meetings.
- Attended FTA, FHWA, and OBEO sponsored DBE training when available.
- Collected subrecipients' biannual reports on contract awards/commitments and payments on DBE participation, and submitted reports to OBEO and FTA.
- Completed the update process for the FTA Goal and Methodology for 2014-2016. The updated goal and methodology is currently pending FTA approval.

III. Planned Activities, FFY 2013

Caltrans continues its efforts to ensure a compliant and effective DBE Program by proposing the following activities for FFY 2013:

Office of Business and Economic Opportunity

A. The CUCP

- Continue to have quarterly CUCP Executive Committee meetings.
- Continue to have monthly CUCP Part 26 Cluster meetings.
- Continue to have the following CUCP Executive Committee subcommittees meetings: 1) Work Code Subcommittee; 2) Options and Resources Subcommittee; 3) Documentation Retention Subcommittee; and 4) the ACDBE Subcommittee.

B. Certification Unit

- Serve as an officer on the CUCP Executive Committee and attend quarterly meetings.
- Chair the monthly CUCP Part 26 Cluster meetings.
- Participate in the following CUCP Executive Committee subcommittee meetings: 1) Work Code Subcommittee; 2) Options and Resources Subcommittee; 3) Documentation Retention Subcommittee; and 4) the ACDBE Subcommittee.
- Provide ongoing training to all CUCP Certifying Agencies on the CUCP database.
- Work with the CUCP Certifying Agencies to improve the processing of DBE applications and AUAs.
- Develop enhancements to the CUCP database, which includes researching systems that could provide an efficient upgrade to the database.
- Review/update the CUCP database in areas such as ensuring firms have appropriate work codes, work locations are correct, etc.
- Continue to accept files from other CUCP Certifying Agencies to help reduce their file backlog.
- Continue to participate on an A&E task force with DPAC to resolve issues with Work Category Codes and counting participation of engineering firms on Caltrans projects.
- Continue to outreach to minority- and women-owned businesses to invite them to apply for DBE certification by using various resources, such as conferences, workshops, and pre-bid meetings. District 10 is planning a DBE workshop on October 9, 2013, and District 11 is planning a DBE workshop on October 30, 2013.
- Develop an outreach plan to assist with focused DBE outreach activities throughout the year.
- Outreach to minority- and women-owned small businesses in an effort to increase the pool of DBEs in construction. As part of this outreach, contact entities such as construction associations to inform them of the benefit of being DBE certified, conduct workshops, disseminate brochures, place notices in publications, etc.
- Revise the DBE Onsite Questionnaire, with CUCP approval, to better assist in obtaining pertinent information from DBE applicants at the site visits.
- Work with the Social Media Task Group to obtain information and develop a YouTube video on the DBE Certification Program.
- Conduct ongoing training for certification analysts in areas such as DBE eligibility criteria, suppliers, and truckers.
- Focus attention on the processing of new DBEs and AUAs to avoid a backlog. This will be accomplished by closely monitoring staff workload, continuing to identify process improvements, and continuous recruitment and training of staff.
- Monitor all certification projects and subordinate tasks on the Project Work Plan tracking log previously developed.
- Provide timely responses to requests from USDOT for copies of files of firms appealing denial of DBE certification.

C. CEU

- Prepare an issue paper documenting the need to allocate resources for post award monitoring to ensure that DBEs listed for participation are being used and are performing a commercially useful function.
- Prepare an issue paper documenting the need for construction engineering support to facilitate the timely approval of DBE contracts.
- Prepare an exhaustive desk manual that details office policies and procedures regarding the functions of a CEU analyst.
- Meet with DPAC to streamline the approval process for DPAC DBE contracts, including, but not limited to, selection of forms needed with the package and the need for a Good Faith Effort process.
- Create a new Good Faith Effort write-up format to better present the evaluation of the CEU analyst and to ensure that all pertinent data is being reviewed before the determination is being made.
- Continue to help the FHWA review and comment on 30 local agency Good Faith Effort evaluations.
- Work with the Business Support Unit to track goal setting data on federal projects to determine the potential for the raising of DBE goals across the board, in order to meet Federal guidelines.
- Continue to send analysts to the field so that they can see firsthand the work that is done and how that equates to the work that they see on the contracts.
- Work with OE, Construction, and Legal to fine-tune contract language, ensuring that a more complete package is submitted for approval when the bids are closed.
- Continue to work with the design-build team to implement a process in which CEU plays a greater part in setting DBE goals and evaluating DBE participation on federal projects.
- Continue to work with OE to enhance the Good Faith Effort documentation forms and modify the language in the special provisions, to place a greater responsibility on the prime contractor to supply all needed information up-front, during the bid opening process, enabling CEU to accelerate the decision in determining whether a Good Faith Effort was made.

D. DBE Program

1. Business Support Unit

- Exceed Caltrans overall annual DBE goal of 12.5 percent.
- Revise current process for setting individual contract goals to maximize opportunities for DBE participation.
- Provide training and technical assistance to OE, the Division of Local Assistance, and DPAC to improve reporting of DBE commitment and utilization data.
- Conduct statewide outreach, utilizing the DSBLs and through partnerships with other government agencies and professional and industry organizations, to promote and increase DBE utilization.

- Work with the Certification Unit to increase the frequency of DBE Certification workshops. Seven workshops are scheduled to take place from October 2013 to April 2014.
 - Continue with DBE Local Agency Compliance Reviews and follow-up activities.
 - Plan second annual Statewide DSBL Conference.
 - Continue to hold bimonthly Statewide SBC meetings.
2. Supportive Services
- Monitor and close out current DBE/SS contracts.
 - Develop and submit a Statement of Work to FHWA for approval to cover DBE/SS statewide in 2014/15.
 - With FHWA approval, develop, advertise, award, and execute three DBE/SS contracts to cover the Northern, Central, and Southern geographic areas of California.
 - Publish a brochure to distribute at outreach events that provides information to prime contractors/consultants that will assist them in reaching DBEs for federally funded professional service and highway construction contracts.
3. Calmentor and Mentor-Protégé
- Establish two new Mentor-Protégé programs: (1) Central Region, to include Caltrans Districts 5, 6, 9, and 10; and (2) District 11.
 - Increase participation in the statewide Calmentor program, in the form of new mentor-protégé pairings, by 10 percent.
 - Implement statewide program guidelines for the Calmentor and Mentor-Protégé programs.
 - Develop a mechanism to measure the effectiveness of the Calmentor and Mentor-Protégé programs to develop and grow businesses.
 - Conduct targeted outreach to the A&E and construction communities to identify and recruit new program participants.
 - Assist the USDOT's Small Business Transportation Resource Center, Southwest Region, in the delivery of a statewide bonding education program.
 - Continue to oversee statewide program leads' activities, including providing technical assistance and training, as needed.
4. Availability/Disparity Study
- Initiate scope of work for 2014 Disparity Study.
5. District SB/DBE Program Activities
- a) *District 1 (Eureka)*
- SB, DVBE, and DBE outreach presentation with the Native American Tribal Council, location TBD, November 2013.
 - Attend annual Caltrans/AGC meeting in January 2014.

b) District 3 (Marysville)

- Participate in North Region Calmentor Program Quarterly Meeting, October 2013, District 3 Office, Marysville, CA.
- Participate in District 3 DBE Certification Workshop, October 2013.
- Increase participation of certified SBs and DVBEs in Caltrans procurement and contracting. Educate the SB and DVBE communities about the 5 percent bid preference, the DVBE construction project requirements and DVBE incentive, and why primes are looking for them. Increase awareness among District 3 staff that if they're regularly doing business with a small firm who is not certified, to refer them to DSBL for certification info and assistance so they can be counted.
- Increase participation of certified DBEs in federal-aid contracts and construction projects. Educate the DBE-eligible community about the value of DBE certification. Specifically targeting DBE population organizations such as ethnic chambers of commerce or organizations such as the National Association of Women in Construction or the SBA 8(a) Association, as well as ethnicity/gender-specific events, to increase the opportunity for potential DBE firms to gain info about connecting with Caltrans.
- Increase awareness of Caltrans buyers and contract administrators about the benefit of utilizing the SB and DVBE options for contracts and procurement under \$270,000. Email contact with district buyers providing lists of SBs or DVBEs when they want to use the SB and DVBE Option, advocating the use of the SB and DVBE Option for Minor B projects, planning a training for CAL-Card holders on how to search the BidSync/DGS database and the benefit of using SB and DVBEs, close connections with District buyers via the forwarding of SB and DVBE marketing emails for products or services they are interested in/have a history of procuring/contracting for, maintain visibility in the District as the "expert" on mandatory state contracts and the use of the SB and DVBE Off Ramp.
- Assist SBs to maximize their opportunities for "connecting" with Caltrans through the provision of technical assistance, workshops, seminars, referrals to SB resources, and advocacy. As contacted by SB, DVBE, and DBEs wishing to connect with Caltrans (cold calls as well as resulting from outreach/educational events), assessments are made of capability and expertise. If areas lacking (marketing, bonding capacity, non-certified, networking, etc.), then individualized assistance and education provided or referrals made to business resource partners such as the SBDC, SCORE, chamber mixers/workshops, SBA, etc. Also provide opportunity for group education through the provision of workshops and seminars. Provide individual connections with Caltrans staff for issues or products of a unique nature. Advocate for SB, DVBE, and DBE opportunities to bid on projects or sell products or services to Caltrans buyers.

c) *District 4 (Oakland)*

- Hold mandatory pre-bid meetings for as many construction projects as possible.
- Hold four quarterly outreach events for SBs, DBEs, and DVBEs to give them a look ahead to upcoming projects.
- Hold a procurement event, if budget permits.
- Continue to track SB participation in awarded contracts.
- Continue to assist SBs, DBEs, and DVBEs in maximizing their efforts to be successful in the bidding process.

d) *District 5 (San Luis Obispo)*

- Sponsor more outreach workshops for all programs: SB/MB/DVBE/DBE.
- Hold employee training sessions on looking up proper paperwork and documentation for purchasing with SBs and DVBEs and utilizing the DGS Off Ramp.
- Increase participation of certified SBs and DVBEs in Caltrans procurement and contracting.
- Increase participation of certified DBEs in federal-aid contracts and construction projects.
- Assist SBs to maximize their opportunities for “connecting” with Caltrans through the provision of technical assistance, workshops, seminars, referrals to SB resources, and advocacy.
- Assist with resolutions of issues faced by subcontractors and SBs in Caltrans projects and procurement.
- Hold an SB/microbusiness (MB)/DVBE “Procurement and Networking Fair.”
- Continue to hold one on-one meetings with potential SBs/MBs.

e) *District 6 (Fresno)*

- Central Region Calmentor Mixer, October 2013, networking and mentoring opportunity for small (SBE/DVBE/DBE) A&E firms to interact with large prime contractor A&E firms in a relaxed setting of a local restaurant. Membership meets quarterly (meetings or mixers), Fresno, CA.
- DVBE Business Fair, November 2013, prime contractors meet and interact with DVBE community for networking and contract opportunities, Fresno/Clovis, CA.
- Caltrans Central Region Construction Mentor-Protégé Program kick-off, 2014, networking and mentoring opportunity for SB (SBE/DVBE/DBE) construction firms to interact with large prime contractor construction firms in the Central Region, Fresno/Clovis, CA.
- 7th Annual Public Contracting Expo, 2014, provides information on how to become a certified SB and how to participate in the SB Program. This event provides networking opportunities between prime contractors and SBE/DVBE/DBE/Minority Business Enterprise (MBE)/Women Business

Enterprise (WBE)/Section 3 businesses. Brings about business connections between public agencies, primes contractors, and SBs, Radisson Hotel, Fresno, CA.

- Central Region Calmentor Mixer, 2014, networking and mentoring opportunity for small (SB/DVBE/DBE) A&E firms to interact with large prime contractor A&E firms in a relaxed setting of a local restaurant. Membership meets quarterly (meetings or mixers), Fresno, CA.
- 26th Annual Central California Hispanic Chamber of Commerce Business Expo, August 2014, participants network with valley businesses, finance, and government agencies; participate in one on one meetings with procurement officers; receive information on how to become a certified SB and how to do business with Caltrans and other state government agencies; participate in a SBE/DVBE/DBE workshop; Radisson Hotel, Fresno, CA.
- Partnering with other agencies on events and workshops in an effort to afford networking opportunities and informational classes on doing business with the state and Caltrans.
 - Caltrans District 6 partnering agencies:
 - SBA
 - SBDCs
 - Asian Business Institute and Resource Center
 - City of Fresno
 - SCORE
 - Economic Development Corporation
 - Central California Hispanic Chamber of Commerce
 - Thomas Roads Improvement Project Kern County
 - Free workshops are conducted throughout the year and are in blocks consisting of three classes each, held two weeks apart. Workshop topics are:
 - SB Certification
 - Marketing to the State Government
 - Finding Contract Opportunities

f) District 8 (San Bernardino)

- Service our local community and schools to provide information about Caltrans and/or the State of California and its employment and SB opportunities.
- Host a minimum of two DBE Certification Workshops.
- Increase participation at SB outreach events through interaction and education with other governmental agencies, nonprofit organizations, and the SB community.
- Assist with the revived Southern Region Small Business Council.

g) District 9 (Bishop)

- Continue to increase the number of vendors in District 9 that participate in Certified SB Program by utilizing regular one-on-one contact, assisting with application process, etc.
- Increase outreach efforts to outlying areas of the district.
- Provide District 9 CAL-Card holders with information about utilizing SBs, as well as SB off ramps, for contracts.
- Develop relationship with District Local Assistance Engineers and contract managers to increase communication and collaboration.

h) District 10 (Stockton)

- Hold procurement fair within the District 10 boundaries (opportunity for certified SB vendors to meet with State of California purchasers from different agencies.)
- Schedule a purchasing workshop for District 10 purchasers.
- Plan at least two mandatory pre-bid meetings for state and/or federally funded construction projects.
- Hold a Mock Contracting Workshop in District 10.
- Schedule at least two SB/DVBE/DBE certification workshops.
- Attend various outreach and networking events throughout the year (offered by Chamber of Commerce, Builders Exchange, local agencies, etc).
- Continue training of new DSBL.
- Continue local partnering efforts.

i) District 11 (San Diego)

- Increase District SBC meeting participation with chambers of commerce, local SBs, and professional and industry organizations.
- Utilize system to track business relationships resulting from procurement fairs.
- Work with project/contract managers to market small contracts to SBs, DVBEs, and DBEs.
- Continue educating district employees about the SB outreach program via presentations at their meetings.
- Continue “close the loop” outreach approach – this is where we collect business cards at outreach events, separate them by service, and provide them to appropriate internal staff. Then, we create an email grouping and send businesses an invite to our future SBC meetings. We also add businesses to our database to send them upcoming opportunities in their prospective areas.
- Continue to introduce potential bidders to Minor B program – this is where we collect cards for certified SBs/DVBEs that would like to do business with Caltrans. We create a “potential bidders” list with all of their information and send it to Caltrans Headquarters Minor B program analyst and the district Minor B program manager. Once Minor B

contracts are written, those businesses will be able to select contracts that they are interested in and will be sent a bid package.

- Continue to attend outreach events, get on agenda for SB based organizations, attend panel discussions, attend minority conferences, etc., to spread the word about how to do business with Caltrans.
- Attend Resident Engineer/LCO site visits.
- Continue monthly one-on-one meetings with Construction Deputy.
- Attend periodic project status meetings.
- Attend monthly Super Staff meetings.
- Attend periodic project site visits.
- Schedule quarterly meetings with labor compliance manager.
- Host DBE Certification Workshop.
- Host Imperial County Procurement Fair.
- Host the 2014 combined SBC Meeting/Prime Contractors' Award Ceremony.
- Host public agency consortium-sponsored San Diego Procurement Fair.
- Host mock contract workshop (contingent on Minor B allotment).
- Host mandatory pre-bid meetings (contingent on major construction jobs).
- Host 2nd Annual Prime/Sub Contracting Conference.
- Continue to host monthly SBC committee and full meetings.
- Co-host Annual Calmentor Program Kick Off.
- Co-host Annual Calmentor Program Awards Ceremony.
- Attend PAC sponsored Operation Opportunity.
- Attend/delegate groundbreaking and other public events.
- Host and/or attend a minimum of three certification/networking events in Imperial County to establish and maintain visibility and support.
- Attend and host booth at a minimum of three outreach events per month.
- Attend PAC sponsored University of California, San Diego, "Doing Business with SB Outreach" event.
- Attend PAC sponsored SDUSD outreach event.
- Continue to attend bimonthly PAC meetings.
- Continue to attend annual external outreach events such as Gold Coast Conference, SBDC "Ask the Experts" Matchmaking event, Blue Book Building and Construction Network event, USDOT's Business Matchmaking 2014, SB town hall meetings, Business and Entrepreneurship Center Matchmaking meetings, etc.
- Continue to support local and statewide SBC goals/mission.

j) District 12 (Irvine)

- Continue to attend and conduct outreach events within the community to improve opportunities for SBs, DVBEs, and DBEs and assist them to become successful bidders with Caltrans.

- Conduct outreach events for upcoming District 12 major and minor construction contracts to improve SB, DBE, and DVBE participation and attain established participation goals.
- Communicate and coordinate activities, such as outreach events, workshops, training, and SBC meetings, with other Caltrans districts within the Southern Region.
- Assist with the revived Southern Region Small Business Council.

Division of Construction and Labor Compliance

A. Headquarters

- Ensure new staff attends Labor Compliance "Basic Training."
- Continue to provide support to district Labor Compliance staff, concerning the DBE program and taking part in substitution hearings.
- Continue to report DBE violations to OBE0.
- Provide training to REs and inspectors regarding DBE Program changes through the RE Academy and other related courses.
- Continue to actively participate in the SBC and encourage the use of DBEs.
- Initiate training modules to be conducted by engineers and contract administration staff. This is an effort to better educate contractors about the DBE and SB certification process and participation, interpreting plans and specifications, the bid process, insurance and bonding requirements, labor compliance, and other contract compliance.
- Train Labor Compliance Officers (LCO) on any changes in DBE guidance.
- Continue to participate in quarterly contractor meetings, updating contractors on DBE program changes.
- Participate as a member of the newly-formed DBE Participation Committee, established jointly with OBE0 to increase DBE participation on Caltrans contracts.

B. Districts

- Continue to conduct mandatory pre-bid meetings, with the goal of increasing DBE participation on construction projects.
- Continue LCO attendance at all pre-construction meetings, providing consistent and current DBE guidance to Resident Engineers and contractors.
- Ensure REs and contractors implement the DBE goals for each awarded federal-aid contract.
- Continue to monitor contractor adherence to DBE participation requirements throughout the course of all federal-aid contracts.
- Continue to assist SBC members and others by investigating issues of concern, such as subcontractors' license and prime contractors' failure to use DBEs.
- Ensure Resident Engineers withhold appropriate deductions until the CEM 2402(F) is submitted.
- Continue to gather and maintain accurate information on proposed and actual use of DBEs for reporting to the SBC.

- Continue to recognize “Prime Contractor of the Year” and “A&E Contractor of the Year” for exemplary DBE and SB utilization.
- Continue to participate in all events of outreach to DBEs.
- Continue to conduct hearings and assess penalties against contractors who substitute DBE subcontractors with their own forces or with non-DBE forces, on contracts with DBE goals.

Additional District Information – Central Region

- Continue to participate in the San Joaquin Valley SBC meetings and the San Joaquin Valley SBC Construction Subcommittee meetings to promote utilization of DBEs, DVBEs, and SBs to improve partnerships with construction related businesses, service providers, and suppliers.
- Continue to work on the implementation of the Construction Mentor-Protégé Program steering committee with the goal of starting the program in FFY 2014.

Additional District Information – District 11

- Provide SB Liaison Unit with documents and information for data collection of proposed DBE participation and actual goals attained.
- Assist with the Annual SB Exchange, sponsored by Caltrans, SBC, and San Diego’s Public Agency Consortium. Participate in the Architectural and Engineering Networking Fair, sponsored by SANDAG and Caltrans, which provides networking opportunities for DBEs.
- Provide DBE utilization and subcontractor information to the SB Liaison and to the AGC when requested.
- Participate in District SBC meetings.

Division of Engineering Services – Office Engineer

- Participate in contractor outreach sessions for construction projects.
- Maintain the bidders list through the Division of Engineering Services internet-based survey.
- Submit the semi-annual reports of DBE awards or commitments for all federally assisted contracts awarded.
- Review and, if necessary, revise the Quick Reference Guide, with respect to the 2010 Standards and other changes to federal law or CFR.
- Set DBE race-conscious goals on federal-aid construction contracts.
- Attend DBE Program Managers and DBE Workgroup meetings, when scheduled.
- Continue to improve website tools to enhance opportunities for DBEs.
- Continue training on the pilot program for the BidX electronic bidding system for staff and industry.
- Continue to review 2010 Standards and develop updates to improve efficiency of submittal process; efficiencies to be incorporated into the 2015 Standard Specification development.
- Develop procedures and recommend implementation to post the verified DBE evaluations and GFES onto the OE website as a tool for bidders.

Division of Procurement and Contracts

- Participate in Simplified SB/MB/DVBE quote processes.

- Participate in SB outreach events.
- Participate in Caltrans Statewide SBC Construction Committee.
- Participate in Statewide SBC Commodities meetings and events.
- Work with staff in identifying SBs/DVBEs when soliciting prices for commodities.

Division of Mass Transportation

- Provide instruction and technical assistance to attendees of program and procurement workshops on DBE requirements.
- Identify and invite firms that are interested in bidding as subrecipients on FTA-assisted contracts at procurement workshops.
- Update and maintain the Mass Transportation website with DBE Program requirements.
- Provide training to new and existing subrecipient staff on their responsibilities in the DBE Program.
- Provide training to Headquarters and District staff on DBE Program implementation.
- Participate in meetings and assignments initiated by OBEO.
- Attend FTA-, FHWA-, and OBEO-sponsored DBE training when available.
- Collect subrecipients' biannual reports on contract awards/commitments and payments on DBE participation and submit reports to FTA through OBEO.
- Maintain bidders listing and make available to subrecipients for contracting opportunities.