

**Add to section 1-1.07B:**

**small business enterprise:** Small business or small business for the purpose of public works, as certified by the Department of General Services, Office of Small Business and DVBE Services, and as defined in Govt Code § 14835 et seq. and 2 CA Code of Regs § 1896 et seq.

**Replace section 2-1.17 with:**

**2-1.17 SMALL BUSINESS ENTERPRISE PARTICIPATION GOAL REQUIREMENT**

**2-1.17A General**

Section 2-1.17 applies if an SBE participation goal requirement is shown on the *Notice to Bidders*.

The SBE participation goal requirement is in addition to any DVBE goal shown on the *Notice to Bidders* and the DVBE requirements in section 2-1.15.

Make work available to SBEs and select work parts consistent with the available SBEs, including subcontractors, suppliers, service providers, and truckers.

Meet the SBE participation goal requirement shown on the *Notice to Bidders*. A bid that demonstrates an SBE participation commitment less than the SBE participation goal requirement is nonresponsive.

Each listed SBE must be certified as a small business or small business for the purpose of public works by 5:00 p.m. on the bid opening date. The complete application and any required substantiating documentation must be received by the Department of General Services by 5:00 p.m. on the bid opening date.

The Department of General Services determines whether an SBE was certified on the bid opening date. The Department of Transportation confirms an SBE's certification status.

**2-1.17B SBE Submittals**

Submit SBE information under section 2-1.33.

For the SBE participation goal requirement, submit the following:

1. Completed Small Business Enterprise – Commitment form. Failure to submit the completed form by 4 p.m. on the 4th business day after bid opening may result in a nonresponsive bid.
2. Copy of the quote for each SBE shown on the Small Business Enterprise – Commitment form that describes the type and dollar amount of work shown on the form. Quotes are not required for work that will be completed by SBE prime bidders. Failure to submit a copy of the quote for each SBE listed on the Commitment form by 4 p.m. on the 4th business day after bid opening may result in disallowance of the SBE's participation.
3. Completed Small Business Enterprise – Confirmation form from each SBE listed on the Commitment form. The form for each SBE is required to establish that the SBE will be participating in the Contract for the type and dollar amount of work shown on the form. Failure to submit completed Confirmation forms for each SBE listed on the Commitment form by 4 p.m. on the 4th business day after bid opening may result in disallowance of the SBE's participation.
4. If an SBE is participating as a joint venture partner, submit a copy of the joint venture agreement.

The Department may contact you and SBEs to clarify quotes and supporting documentation.

If you elect, at time of bid, to pursue the optional small business or non-small business preference, see section 2-1.18 for the requirements arising from your request for the preference. SBE participation listed to meet the SBE participation goal requirement should not be listed for the preference.

**Replace section 2-1.18 with:**

**2-1.18 SMALL BUSINESS AND NON–SMALL BUSINESS SUBCONTRACTOR PREFERENCES**

**2-1.18A General**

Section 2-1.18 applies to a non-federal-aid contract.

The Department applies small business preferences and non–small business preferences under Govt Code § 14835 et seq. and 2 CA Code of Regs § 1896 et seq.

Any contractor, subcontractor, supplier, or service provider who qualifies as a small business or small business for the purpose of public works is encouraged to apply for certification as an SBE by submitting its application to the Department of General Services, Office of Small Business and DVBE Services.

The Department of General Services determines whether an SBE was certified on the bid opening date. The Department of Transportation confirms an SBE's certification status before applying the small business or non-small business preference.

Contract award is based on the total bid, not the reduced bid.

Pursuant to Govt Code § 14838, SBE participation listed on the Small Business Enterprise – Commitment form used to meet the SBE participation goal requirement should not be listed on the Certified Small Business Listing for the Non-Small Business Preference form. Listing the same SBE participation on both the Small Business Enterprise – Commitment form and on the Certified Small Business Listing for the Non-Small Business Preference form may result in disallowance of the SBE's participation toward the small business or non-small business preference.

**2-1.18B Small Business Preference**

The Department allows a bidder certified as an SBE by the Department of General Services, Office of Small Business and DVBE Services, a preference if:

1. Bidder submitted a completed Request for Small Business Preference or Non–Small Business Preference form with its bid
2. Low bidder did not request the preference or is not certified as a small business

The Bidder's signature on the Request for Small Business Preference or Non–Small Business Preference form certifies that the Bidder is certified as an SBE at the date and time of bid or has submitted a complete application to the Department of General Services. The complete application and any required substantiating documentation must be received by the Department of General Services by 5:00 p.m. on the bid opening date.

The small business preference is a reduction for bid comparison in the total bid submitted by the small business contractor by the lesser of the following amounts:

1. 5 percent of the verified total bid of the low bidder
2. \$50,000

If the Department determines that a certified small business bidder is the low bidder after the application of the small business preference, the Department does not consider a request for non–small business preference.

**2-1.18C Non–Small Business Subcontractor Preference**

At time of bid, the Department allows a bidder not certified as an SBE by the Department of General Services, Office of Small Business and DVBE Services, the option of requesting the non-small business subcontractor preference. If a bidder elects to pursue that option at the time of bid, the bidder is required to meet the corresponding commitment.

For the non-small business subcontractor preference, submit the following:

1. Completed Request for Small Business Preference or Non–Small Business Preference form with your bid

2. Completed Certified Small Business Listing for the Non–Small Business Preference form which shows you are subcontracting at least 25 percent to certified SBEs

Each listed SBE must be certified as a small business or small business for the purpose of public works by 5:00 p.m. on the bid opening date. The complete application and any required substantiating documentation must be received by the Department of General Services by 5:00 p.m. on the bid opening date.

Failure to submit a completed Certified Small Business Listing for the Non–Small Business Preference form by 4 p.m. on the 4th business day after bid opening will result in a nonresponsive bid.

The non–small business subcontractor preference is a reduction for bid comparison in the total bid submitted by the non–small business contractor requesting the preference by the lesser of the following amounts:

1. 5 percent of the verified total bid of the low bidder
2. \$50,000

**Replace section 2-1.33B with:**

**2-1.33B Bid Form Submittal Schedules**

**2-1.33B(1) General**

The *Bid* book includes forms specific to the Contract. The deadlines for the submittal of the forms vary depending on the requirements of each Contract. Determine the requirements of the Contract and submit the forms based on the applicable schedule specified in section 2-1.33B.

Bid forms and information on the form that are due after the time of bid may be submitted at the time of bid.

**2-1.33B(2) Federal-Aid Contracts**

**2-1.33B(2)(a) General**

Section 2-1.33B(2) applies to a federal-aid contract.

**2-1.33B(2)(b) Contracts with a DBE Goal**

**2-1.33B(2)(b)(i) General**

Section 2-1.33B(2)(b) applies if a DBE goal is shown on the *Notice to Bidders*.

**2-1.33B(2)(b)(ii) Bid Form Submittal**

Submit the bid forms according to the schedule shown in the following table:

**Bid Form Submittal Schedule for a Federal-Aid Contract with a DBE Goal**

Form	Submittal deadline
Bid to the Department of Transportation	Time of bid except for the public works contractor registration number
Copy of the Bid to the Department of Transportation as submitted at the time of bid with the public works contractor registration number	10 days after bid opening
Subcontractor List	Time of bid except for the public works contractor registration number
Copy of the Subcontractor List as submitted at the time of bid with the public works contractor registration number	10 days after bid opening
In-Use Off-Road Diesel-Fueled Vehicle List	10 days after bid opening
Small Business Status	Time of bid
Opt Out of Payment Adjustments for Price Index Fluctuations <sup>a</sup>	Time of bid
DBE Commitment	No later than 4 p.m. on the 5th day after bid opening <sup>b</sup>
DBE Confirmation	No later than 4 p.m. on the 5th day after bid opening <sup>b</sup>
DBE Good Faith Efforts Documentation	No later than 4 p.m. on the 5th day after bid opening <sup>b</sup>

<sup>a</sup>Submit only if you choose the option.

<sup>b</sup>If the last day for submitting the bid form falls on a Saturday or holiday, it may be submitted on the next business day with the same effect as if it had been submitted on the day specified.

**2-1.33B(2)(b)(iii) Reserved**

**2-1.33B(2)(c) Contracts without a DBE Goal**

**2-1.33B(2)(c)(i) General**

Section 2-1.33B(2)(c) applies if a DBE goal is not shown on the *Notice to Bidders*.

**2-1.33B(2)(c)(ii) Bid Form Schedule**

Submit the bid forms according to the schedule shown in the following table:

**Bid Form Submittal Schedule for a Federal-Aid Contract without a DBE Goal**

Form	Submittal deadline
Bid to the Department of Transportation	Time of bid except for the public works contractor registration number
Copy of the Bid to the Department of Transportation as submitted at the time of bid with the public works contractor registration number	10 days after bid opening
Subcontractor List	Time of bid except for the public works contractor registration number
Copy of the Subcontractor List as submitted at the time of bid with the public works contractor registration numbers	10 days after bid opening
In-Use Off-Road Diesel-Fueled Vehicle List	10 days after bid opening
Small Business Status	Time of bid
Opt Out of Payment Adjustments for Price Index Fluctuations <sup>a</sup>	Time of bid

<sup>a</sup>Submit only if you choose the option.

**2-1.33B(2)(c)(iii) Reserved**

**2-1.33B(2)(d)–2-1.33B(2)(h) Reserved**

**2-1.33B(3) Non-Federal-Aid Contracts**

**2-1.33B(3)(a) General**

Section 2-1.33B(3) applies to non-federal-aid contracts.

**2-1.33B(3)(b) Contracts with a DVBE Goal**

**2-1.33B(3)(b)(i) General**

Section 2-1.33B(3)(b) applies if a DVBE goal is shown on the *Notice to Bidders*.

**2-1.33B(3)(b)(ii) Bid Form Submittal**

Submit the bid forms according to the schedule shown in the following table:

**Bid Form Submittal Schedule for a Non-Federal-Aid Contract with a DVBE Goal**

Form	Submittal deadline
Bid to the Department of Transportation	Time of bid except for the public works contractor registration number for a joint-venture contract
For a joint-venture contract, copy of the Bid to the Department of Transportation as submitted at the time of bid with the public works contractor registration number	10 days after bid opening
Subcontractor List	Time of bid
In-Use Off-Road Diesel-Fueled Vehicle List	10 days after bid opening
Opt Out of Payment Adjustments for Price Index Fluctuations <sup>a</sup>	Time of bid
Certified DVBE Summary	No later than 4 p.m. on the 4th business day after bid opening
California Company Preference	Time of bid
Small Business Enterprise – Commitment	No later than 4 p.m. on the 4th business day after bid opening
Small Business Enterprise – Confirmation	No later than 4 p.m. on the 4th business day after bid opening
Request for Small Business Preference or Non–Small Business Preference <sup>a</sup>	Time of bid
Certified Small Business Listing for the Non–Small Business Preference <sup>a</sup>	No later than 4 p.m. on the 4th business day after bid opening

<sup>a</sup>Submit only if you choose the option or preference.

**2-1.33B(3)(b)(iii) Reserved**

**2-1.33B(3)(c) Contracts without a DVBE Goal**

**2-1.33B(3)(c)(i) General**

Section 2-1.33B(3)(c) applies if a DVBE goal is not shown on the *Notice to Bidders*.

**2-1.33B(3)(c)(ii) Bid Form Submittal**

Submit the bid forms according to the schedule shown in the following table:

**Bid Form Submittal Schedule for a Non-Federal-Aid Contract without a DVBE Goal**

Form	Submittal deadline
Bid to the Department of Transportation	Time of bid except for the public works contractor registration number for a joint-venture contract
For a joint-venture contract, copy of the Bid to the Department of Transportation as submitted at the time of bid with the public works contractor registration number	10 days after bid opening
Subcontractor List	Time of bid
In-Use Off-Road Diesel-Fueled Vehicle List	10 days after bid opening
Opt Out of Payment Adjustments for Price Index Fluctuations <sup>a</sup>	Time of bid
California Company Preference	Time of bid
Certified DVBE Summary <sup>b</sup>	No later than 4 p.m. on the 4th business day after bid opening
Small Business Enterprise – Commitment	No later than 4 p.m. on the 4th business day after bid opening
Small Business Enterprise – Confirmation	No later than 4 p.m. on the 4th business day after bid opening
Request for Small Business Preference or Non-Small Business Preference <sup>a</sup>	Time of bid
Certified Small Business Listing for the Non-Small Business Preference <sup>a</sup>	No later than 4 p.m. on the 4th business day after bid opening

<sup>a</sup>Submit only if you choose the option or preference.

<sup>b</sup>Submit only if you obtain DVBE participation or you are the apparent low bidder, 2nd low bidder, or 3rd low bidder and you choose to receive the specified incentive.

**2-1.33B(3)(c)(iii) Reserved**

**2-1.33B(3)(d)–2-1.33B(3)(h) Reserved**

**2-1.33B(4)–2-1.33B(9) Reserved**

**Replace section 5-1.13D with:**

**5-1.13D Non-Small Business Preference**

**5-1.13D(1) General**

Section 5-1.13D applies to a non-federal-aid contract when you have obtained a non-small business subcontractor preference under section 2-1.18.

Use each SBE as shown on the Certified Small Business Listing for the Non-Small Business Preference form unless you receive authorization for a substitution under section 5-1.13D(3).

Maintain records of subcontracts and agreements made with each SBE. Include in the records:

1. SBE subcontract or agreement
2. Name and business address of each business
3. Proof of each payment made to an SBE

Upon reasonable notice and during normal business hours, permit access to the SBE premises for the purpose of:

1. Interviewing employees.
2. Inspecting and copying books, records, accounts, and other material that may be relevant to a matter under investigation.

Upon work completion, complete a Final Report – Utilization of Small Business Enterprise form and submit within 10 days of Contract acceptance. The Department withholds the greater of 10 percent of the SBE work amount or \$10,000 until the form is submitted. The Department releases the withhold upon submission of the completed form. If additional payments are made to an SBE after submittal of the completed form, submit an updated form to reflect such payments.

**5-1.13D(2) Commercially Useful Function**

SBEs must perform a commercially useful function under 2 CA Code Regs § 1896.15 when performing tasks listed on the Certified Small Business Listing for the Non-Small Business Preference form and as a Department authorized substitute SBE. The SBE's value of work will only count toward the non-small business preference if the SBE performs a commercially useful function under 2 CA Code Regs § 1896.15.

Provide written notification to the Engineer at least 15 days in advance of each SBE's initial performance of work on the Contract. Include the SBE's name, contract work to be performed, and the location, date, and time of where the SBE's work will take place.

Monitor each SBE's performance of a commercially useful function throughout their duration of work on the Contract. Maintain supporting documentation of commercially useful function related records. Provide copies of the following to the Department within 5 business days of a specific SBE request:

1. Subcontract or agreement with the SBE
2. Purchase orders
3. Bills of lading
4. Invoices
5. Proof of payment

You and your SBEs must submit any commercially useful function related records and documents within 5 business days of Department request such as:

1. Proof of ownership or lease and rental agreements for equipment
2. Tax records
3. Employee rosters
4. Certified payroll records
5. Inventory rosters



Notify the Engineer immediately if you believe an SBE may not be performing a commercially useful function.

Failure to submit requested records and documents, or failure of an SBE to perform a commercially useful function, will be a violation of these specifications. Such violations will result in referral to the Department of General Services, and you may be subject to sanctions under Govt Code § 14842 et seq.

### **5-1.13D(3) Substitutions**

Substitution of an SBE may be requested for the reasons listed in Pub Cont Code § 4107. The Department will consider your SBE substitution request under 2 CA Code Regs § 1896.10. The substitute must be another SBE.

The requirement that an SBE be certified by the bid opening date does not apply to SBE substitutions after contract award.

Include in your substitution request:

1. Copy of the written notice issued to the SBE with proof of delivery
2. Copy of the SBE response to the notice
3. Your explanation of the reason for the substitution request
4. Names and certification numbers of the listed SBE and the proposed substitute SBE
5. Description of the work to be performed including dollar amount or percentage of overall contract the proposed substitute SBE will perform
6. If an SBE substitution cannot occur, written justification and the steps that were taken to try to acquire a new SBE and how that non-small business preference portion of the Contract will be fulfilled

Upon receipt of the substitution request, the listed SBE will be notified by the Department of the substitution request. The listed SBE will have 5 business days to respond. Where the listed SBE objects to the substitution, the Department will schedule a hearing.

If the Department authorizes your SBE substitution request, it will do so in writing.

Work performed by a firm other than the listed SBE or authorized substitute will be a violation of these specifications. Such violations will result in notification of the Department of General Services, and you may be subject to sanctions under Govt Code § 14842 et seq.

**Replace section 5-1.13F with:**

**5-1.13F Small Business Enterprise Participation Goal Requirement**

**5-1.13F(1) General**

Section 5-1.13F applies to a non-federal-aid contract if an SBE participation goal requirement is shown on the *Notice to Bidders*.

Use each SBE as shown on the Small Business Enterprise – Commitment form unless you receive authorization for a substitution under section 5-1.13F(3).

Maintain records of subcontracts and agreements made with each SBE. Include in the records:

1. SBE subcontract or agreement
2. Name and business address of each business
3. Proof of each payment made to an SBE

Upon reasonable notice and during normal business hours, permit access to the SBE premises for the purpose of:

1. Interviewing employees.
2. Inspecting and copying books, records, accounts, and other material that may be relevant to a matter under investigation.

Upon work completion, complete a Final Report – Utilization of Small Business Enterprise form and submit within 10 days of Contract acceptance. The Department withholds the greater of 10 percent of the SBE work amount or \$10,000 until the form is submitted. The Department releases the withhold upon submission of the completed form. If additional payments are made to an SBE after submittal of the completed form, submit an updated form to reflect such payments.

**5-1.13F(2) Commercially Useful Function**

SBEs must perform a commercially useful function under 2 CA Code Regs § 1896.15 when performing tasks listed on the Small Business Enterprise – Commitment form and as a Department authorized substitute SBE. The SBE's value of work will only count toward the SBE participation goal requirement if the SBE performs a commercially useful function under 2 CA Code Regs § 1896.15.

Provide written notification to the Engineer at least 15 days in advance of each SBE's initial performance of work on the Contract. Include the SBE's name, contract work to be performed, and the location, date, and time of where the SBE's work will take place.

Monitor each SBE's performance of a commercially useful function throughout their duration of work on the Contract. Maintain supporting documentation of commercially useful function related records. Provide copies of the following to the Department within 5 business days of a specific SBE request:

1. Subcontract or agreement with the SBE
2. Purchase orders
3. Bills of lading
4. Invoices
5. Proof of payment

You and your SBEs must submit any commercially useful function related records and documents within 5 business days of Department request such as:

1. Proof of ownership or lease and rental agreements for equipment
2. Tax records
3. Employee rosters
4. Certified payroll records
5. Inventory rosters

Notify the Engineer immediately if you believe an SBE may not be performing a commercially useful function.

Failure to submit requested records and documents, or failure of an SBE to perform a commercially useful function, will be a violation of these specifications. Such violations will result in referral to the Department of General Services, and you may be subject to sanctions under Govt Code § 14842 et seq.

### **5-1.13F(3) Substitutions**

Substitution of an SBE may be requested for the reasons listed in Pub Cont Code § 4107. The Department will consider your SBE substitution request under 2 CA Code Regs § 1896.10. The substitute must be another SBE.

The requirement that an SBE be certified by the bid opening date does not apply to SBE substitutions after contract award.

Include in your substitution request:

1. Copy of the written notice issued to the SBE with proof of delivery
2. Copy of the SBE response to the notice
3. Your explanation of the reason for the substitution request
4. Names and certification numbers of the listed SBE and the proposed substitute SBE
5. Description of the work to be performed including dollar amount or percentage of overall contract the proposed substitute SBE will perform
6. If an SBE substitution cannot occur, written justification and the steps that were taken to try to acquire a new SBE and how that SBE participation goal requirement portion of the Contract will be fulfilled

Upon receipt of the substitution request, the listed SBE will be notified by the Department of the substitution request. The listed SBE will have 5 business days to respond. Where the listed SBE objects to the substitution, the Department will schedule a hearing.

If the Department authorizes your SBE substitution request, it will do so in writing.

Work performed by a firm other than the listed SBE or authorized substitute will be a violation of these specifications. Such violations will result in notification of the Department of General Services, and you may be subject to sanctions under Govt Code § 14842 et seq.

- See sections 1-1.06, 1-1.07B, 2-1.17, 2-1.18, 2-1.33B, 5-1.13D, and 5-1.13F for “Small Business Enterprise Participation Goal Requirement” and “Small Business and Non-Small Business Subcontractor Preferences.”

## Lodge, Parisa RASOULI@DOT

---

**From:** Darby, Ken K@DOT  
**Sent:** Friday, January 19, 2024 4:13 PM  
**To:** Lodge, Parisa RASOULI@DOT  
**Subject:** Re: NSSPs and SN, and forms package for 5% and 25% SBE goal requirement implementation for approval

Thank you Parisa.

Sent from my iPhone

On Jan 19, 2024, at 4:10 PM, Lodge, Parisa RASOULI@DOT <parisa.lodge@dot.ca.gov> wrote:

Thank you Ken, attached is updated Form OCR-SBE 03. We tested the email, and it is working.  
Thank you,

*Parisa R. Lodge, PE*  
*Office of Civil Rights*  
*Phone: 916-879-7240*

---

**From:** Darby, Ken K@DOT <ken.darby@dot.ca.gov>  
**Sent:** Friday, January 19, 2024 3:41 PM  
**To:** Lodge, Parisa RASOULI@DOT <parisa.lodge@dot.ca.gov>  
**Cc:** HQ Construction Engineering@DOT <HQ.Construction.Engineering@dot.ca.gov>; Bonala, Mohan V@DOT <mohan.bonala@dot.ca.gov>; Peterson-Self, Jeremy D@DOT <jeremy.peterson-self@dot.ca.gov>; Woolsey, Lindsey R@DOT <lindsey.woolsey@dot.ca.gov>  
**Subject:** FW: NSSPs and SN, and forms package for 5% and 25% SBE goal requirement implementation for approval  
**Importance:** High

Hi Parisa,

Division of Construction is providing a blanket approval of nSSPs 5-1.13D and 5-1.13F as attached, pursuant to the implementation memo use instructions (5% goal: state-only funded, non-informal; 25% goal: state-only funded, non-informal, districts 3, 4, 7, & 11, C8 or C12 licensing, with estimated cost greater than \$1,250,000, and PS&E submittal to DES-OE after January 21, 2024). This nSSP approval concerns the initial implementation efforts for projects being advertised this fiscal year with the understanding that additional resources may be necessary for continued use of the SBE participation goal requirements. Further evaluation of these monitoring and enforcement resource needs, in construction, awards and OCR, will need to be assessed during this initial effort. Such resource needs may also be affected by the Department of General Services review of the Departments' efforts with the SBE participation goal requirements.

This nSSP approval supersedes the previous SBE participation goal nSSP approval from September 2023.

Division of Construction is providing blanket concurrence with the attached nSSPs and attached forms with the following conditions:

1. Form OCR-SBE 03 – Final Report – Utilization of Small Business Enterprise –
  1. Correct typo at the bottom of the table “ORIGINAL COMMITMENT FOR NON-SMALL BUSINESS REFERENCE: \$\_\_\_”, should be PREFERENCE-.
  2. Verify OCR email address for distribution – could not locate through address book
2. Subject to use instructions identified in the implementation memo and as identified on the nSSPs’ instructions for use

Ken Darby  
 Division of Construction, Office of Contract Administration  
 1120 N Street, MS-44  
 Sacramento, CA 95814  
 (916) 764-6929

---

**From:** Lodge, Parisa RASOULI@DOT <[parisa.lodge@dot.ca.gov](mailto:parisa.lodge@dot.ca.gov)>  
**Sent:** Thursday, January 18, 2024 4:48 PM  
**To:** Singh, Sanjay@DOT <[sanjay.singh@dot.ca.gov](mailto:sanjay.singh@dot.ca.gov)>; Darby, Ken K@DOT <[ken.darby@dot.ca.gov](mailto:ken.darby@dot.ca.gov)>; Perez-Hollins, April D@DOT <[april.perez-hollins@dot.ca.gov](mailto:april.perez-hollins@dot.ca.gov)>; Dinh, Rosa M@DOT <[rosa.dinh@dot.ca.gov](mailto:rosa.dinh@dot.ca.gov)>; Sultan, Mohsen@DOT <[mohsen.sultan@dot.ca.gov](mailto:mohsen.sultan@dot.ca.gov)>; Dinh, Rosa M@DOT <[rosa.dinh@dot.ca.gov](mailto:rosa.dinh@dot.ca.gov)>  
**Cc:** DeLuz, David@DOT <[David.DeLuz@dot.ca.gov](mailto:David.DeLuz@dot.ca.gov)>; HQ Construction Engineering@DOT <[HQ.Construction.Engineering@dot.ca.gov](mailto:HQ.Construction.Engineering@dot.ca.gov)>; Lovell, Jeffrey@DOT <[JEFFREY.LOVELL@dot.ca.gov](mailto:JEFFREY.LOVELL@dot.ca.gov)>; Oldenburg, Jon@DOT <[Jon.Oldenburg@dot.ca.gov](mailto:Jon.Oldenburg@dot.ca.gov)>; Sadraie, Hamid@DOT <[hamid.sadraie@dot.ca.gov](mailto:hamid.sadraie@dot.ca.gov)>  
**Subject:** NSSPs and SN, and forms package for 5% and 25% SBE goal requirement implementation for approval  
**Importance:** High

Good afternoon all:  
 Attached are the Final NSSPs, SN, and forms package for each owner's approval. I also attached the draft related memorandum for your information. Please send your approval ASAP (I was directed that we need to send these out tomorrow) and in this order if possible:

1. OE- Award
2. OCR
3. Construction
4. OCCS

Below are the lists of NSSP, the owner's name, and the list of updated forms:

Specification Section	Description	Files	Owner
SN250	Special Notice	NSSP SN250_N01-11-24__2023.docx	OCCS
1-1.06	Abbreviations	NSSP 1-1.06_N01-11-24__2023.docx	OCCS

1-1.07B	Definition	NSSP 1-1.07B_N01-11-24__2023.docx	OCCS
2-1.17	Small Business Enterprise Participation Goal Requirement and Submittals	NSSP 2-1.17_N01-11-24__2023.docx	OCR
2-1.18	Small Business and Non-Small Business Subcontractor Preferences	NSSP2-1.18_N01-11-24__2023.docx	OCR
2-1.33B(3)	Bid Form Submittal Schedules	NSSP 2-1.33B(3)_N01-11-24__2023.docx	OE- Award
5-1.13D	Non-Small Business Preference	NSSP 5-1.13F_N01-11-24__2023.docx	Construction
5-1.13F	Small Business Enterprise Participation Goal Requirement	NSSP 5-1.13F_N01-11-24__2023.docx	Construction

Forms:

Forms for Bid	Description	Files
OCR SBE01	Commitment Form	Form OCR-SBE 01 Small Business Commitment -revised 01-18-
OCR SBE02	Confirmation Form	Form OCR-SBE 02 Small Business Confirmation-revised 01-18-2
OCR SBE03	Utilization of Small Business	Form OCR-SBE 03_Final Report-Utilization of Small Business Enterprises-01-18-2024.pdf(Revised)
DOT OCR-0011	CERTIFIED SMALL BUSINESS LISTING FOR THE NON-SMALL BUSINESS PREFERENCE	DOTOCR0011-01-18-2024.pdf (Revised)

Please let me know if you have any questions. Appreciate all your help and effort in this matter.

Thank you,

**Parisa R. Lodge, PE**  
*Chief of ADA Infrastructure, Contract Evaluation,  
and Engineering Support Programs  
Office of Civil Rights  
HQ, Caltrans  
1500 5<sup>th</sup> Street,  
Sacramento, CA 95814*

*Phone: 916-879-7240*

<Form OCR-SBE 03\_Final Report-Utilization of Small Business Enterprise-01-19-2024-Final.pdf>



## Lodge, Parisa RASOULI@DOT

---

**From:** Minhas, Davinder K@DOT  
**Sent:** Friday, January 19, 2024 4:53 PM  
**To:** Dinh, Rosa M@DOT  
**Cc:** Lodge, Parisa RASOULI@DOT; Sultan, Mohsen@DOT; Nguyen, Thomas@DOT; Dinh, Rosa M@DOT  
**Subject:** FW: NSSPs and SN, and forms package for 5% and 25% SBE goal requirement implementation for approval  
**Attachments:** NSSP\_SN-250\_N01-11-24\_2023.docx; NSSP\_5-1.13F\_N01-11-24\_2023.docx; NSSP\_5-1.13D\_N01-11-24\_2023.docx; NSSP\_2-1.33B\_N01-11-24\_2023.docx; NSSP\_2-1.18\_N01-11-24\_2023.docx; NSSP\_2-1.17\_N01-11-24\_2023.docx; NSSP\_1-1.07B\_N01-11-24\_2023.docx; NSSP\_1-1.06\_N01-11-24\_2023.docx; Form OCR0011 Certified Small Business Listing For the Non-Small Business Perrerence 01-18-24-Final.pdf; Form OCR-SBE 01 Small Business Commitment 1-18-24-Final.pdf; Form OCR-SBE 02 Small Business Confirmation 01-18-24-Final.pdf; Form OCR-SBE 03\_Final Report-Utilization of Small Business Enterprise-01-19-2024-Final.pdf; Re: NSSPs and SN, and forms package for 5% and 25% SBE goal requirement implementation for approval; 5 and 25 percent SBE Memorandum 01-19-24.docx; DES-OE Awards Approval.pdf; HQ Construction Approval.pdf; Legal Approval.pdf; OCR Approval.pdf

**Importance:** High

Hi Rosa  
OCCS approves NSSP SN-250, NSSP 1-1.07B, NSSP 1-1.06 for the SBE participation goal requirements.

Thanks

***Davinder Minhas, PE (Acting for Mohsen Sultan, Chief, Office of Construction Contract Standards)***

*Division of Design*

*1727 30th Street, Sacramento 95816*

*Telework# (916)709-9175*

---

**From:** Dinh, Rosa M@DOT <rosa.dinh@dot.ca.gov>  
**Sent:** Friday, January 19, 2024 4:34 PM  
**To:** Minhas, Davinder K@DOT <davinder.minhas@dot.ca.gov>  
**Cc:** Lodge, Parisa RASOULI@DOT <parisa.lodge@dot.ca.gov>; Sultan, Mohsen@DOT <mohsen.sultan@dot.ca.gov>; Nguyen, Thomas@DOT <Thomas.Nguyen@dot.ca.gov>  
**Subject:** NSSPs and SN, and forms package for 5% and 25% SBE goal requirement implementation for approval  
**Importance:** High

Hi Davinder,

Please provide your approval for the NSSP SN-250 for the SBE goals today since Mohsen is out of the office. All approvals from Awards, OCR, HQ Constructions, and Legal are attached.

Thank you.

***Rosa Dinh, Branch Chief***

*Office of Construction Contract Standards*

*Division of Design*

1727 30<sup>th</sup> St., M.S. 43  
Sacramento, CA 95816  
Cell (916) 709-9463

---

**From:** Lodge, Parisa RASOULI@DOT <[parisa.lodge@dot.ca.gov](mailto:parisa.lodge@dot.ca.gov)>

**Sent:** Friday, January 19, 2024 4:08 PM

**To:** Dinh, Rosa M@DOT <[rosa.dinh@dot.ca.gov](mailto:rosa.dinh@dot.ca.gov)>; Sultan, Mohsen@DOT <[mohsen.sultan@dot.ca.gov](mailto:mohsen.sultan@dot.ca.gov)>; Darby, Ken K@DOT <[ken.darby@dot.ca.gov](mailto:ken.darby@dot.ca.gov)>

**Cc:** Singh, Sanjay@DOT <[sanjay.singh@dot.ca.gov](mailto:sanjay.singh@dot.ca.gov)>; DeLuz, David@DOT <[David.DeLuz@dot.ca.gov](mailto:David.DeLuz@dot.ca.gov)>; HQ Construction Engineering@DOT <[HQ.Construction.Engineering@dot.ca.gov](mailto:HQ.Construction.Engineering@dot.ca.gov)>; Bonala, Mohan V@DOT <[mohan.bonala@dot.ca.gov](mailto:mohan.bonala@dot.ca.gov)>; Peterson-Self, Jeremy D@DOT <[jeremy.peterson-self@dot.ca.gov](mailto:jeremy.peterson-self@dot.ca.gov)>; Woolsey, Lindsey R@DOT <[lindsey.woolsey@dot.ca.gov](mailto:lindsey.woolsey@dot.ca.gov)>; Ramsey, Lisa@DOT <[lisa.ramsey@dot.ca.gov](mailto:lisa.ramsey@dot.ca.gov)>

**Subject:** FW: NSSPs and SN, and forms package for 5% and 25% SBE goal requirement implementation for approval

**Importance:** High

Good afternoon Rosa/ Mohsen:

Would you please approve your related NSSP? Below is construction approval and I attached OCCA, OCR approval and the updated memo. Previously I sent you the legal concurrences as well.

Attached is updated Form OCR- SBE-03 per suggestion below, the email is working, we tested it.

Please let me know if you need anything else.

We would like the approval asap so we can send the memo for implementation today. We really appreciate your help and assistance.

Thank you,

**Parisa R. Lodge, PE**  
*Office of Civil Rights*  
*Phone: 916-879-7240*

---

**From:** Darby, Ken K@DOT <[ken.darby@dot.ca.gov](mailto:ken.darby@dot.ca.gov)>

**Sent:** Friday, January 19, 2024 3:41 PM

**To:** Lodge, Parisa RASOULI@DOT <[parisa.lodge@dot.ca.gov](mailto:parisa.lodge@dot.ca.gov)>

**Cc:** HQ Construction Engineering@DOT <[HQ.Construction.Engineering@dot.ca.gov](mailto:HQ.Construction.Engineering@dot.ca.gov)>; Bonala, Mohan V@DOT <[mohan.bonala@dot.ca.gov](mailto:mohan.bonala@dot.ca.gov)>; Peterson-Self, Jeremy D@DOT <[jeremy.peterson-self@dot.ca.gov](mailto:jeremy.peterson-self@dot.ca.gov)>; Woolsey, Lindsey R@DOT <[lindsey.woolsey@dot.ca.gov](mailto:lindsey.woolsey@dot.ca.gov)>

**Subject:** FW: NSSPs and SN, and forms package for 5% and 25% SBE goal requirement implementation for approval

**Importance:** High

Hi Parisa,

Division of Construction is providing a blanket approval of nSSPs 5-1.13D and 5-1.13F as attached, pursuant to the implementation memo use instructions (5% goal: state-only funded, non-informal; 25% goal: state-only funded, non-informal, districts 3, 4, 7, & 11, C8 or C12 licensing, with estimated cost greater than \$1,250,000, and PS&E submittal to DES-OE after January 21, 2024). This nSSP approval concerns the initial implementation efforts for projects being advertised this fiscal year with the understanding that additional resources may be necessary for continued use of the SBE participation goal requirements. Further evaluation of these monitoring and enforcement resource needs, in construction, awards and OCR, will need to be assessed during this initial effort. Such resource needs may also be affected by the Department of General Services review of the Departments' efforts with the SBE participation goal requirements.

This nSSP approval supersedes the previous SBE participation goal nSSP approval from September 2023.

Division of Construction is providing blanket concurrence with the attached nSSPs and attached forms with the following conditions:

- Form OCR-SBE 03 – Final Report – Utilization of Small Business Enterprise –
  - Correct typo at the bottom of the table “ORIGINAL COMMITMENT FOR NON-SMALL BUSINESS REFERENCE: \$\_\_\_”, should be PREFERENCE-.
  - Verify OCR email address for distribution – could not locate through address book
- Subject to use instructions identified in the implementation memo and as identified on the nSSPs’ instructions for use

Ken Darby  
 Division of Construction, Office of Contract Administration  
 1120 N Street, MS-44  
 Sacramento, CA 95814  
 (916) 764-6929

**From:** Lodge, Parisa RASOULI@DOT <[parisa.lodge@dot.ca.gov](mailto:parisa.lodge@dot.ca.gov)>  
**Sent:** Thursday, January 18, 2024 4:48 PM  
**To:** Singh, Sanjay@DOT <[sanjay.singh@dot.ca.gov](mailto:sanjay.singh@dot.ca.gov)>; Darby, Ken K@DOT <[ken.darby@dot.ca.gov](mailto:ken.darby@dot.ca.gov)>; Perez-Hollins, April D@DOT <[april.perez-hollins@dot.ca.gov](mailto:april.perez-hollins@dot.ca.gov)>; Dinh, Rosa M@DOT <[rosa.dinh@dot.ca.gov](mailto:rosa.dinh@dot.ca.gov)>; Sultan, Mohsen@DOT <[mohsen.sultan@dot.ca.gov](mailto:mohsen.sultan@dot.ca.gov)>; Dinh, Rosa M@DOT <[rosa.dinh@dot.ca.gov](mailto:rosa.dinh@dot.ca.gov)>  
**Cc:** DeLuz, David@DOT <[David.DeLuz@dot.ca.gov](mailto:David.DeLuz@dot.ca.gov)>; HQ Construction Engineering@DOT <[HQ.Construction.Engineering@dot.ca.gov](mailto:HQ.Construction.Engineering@dot.ca.gov)>; Lovell, Jeffrey@DOT <[JEFFREY.LOVELL@dot.ca.gov](mailto:JEFFREY.LOVELL@dot.ca.gov)>; Oldenburg, Jon@DOT <[Jon.Oldenburg@dot.ca.gov](mailto:Jon.Oldenburg@dot.ca.gov)>; Sadraie, Hamid@DOT <[hamid.sadraie@dot.ca.gov](mailto:hamid.sadraie@dot.ca.gov)>  
**Subject:** NSSPs and SN, and forms package for 5% and 25% SBE goal requirement implementation for approval  
**Importance:** High

Good afternoon all:  
 Attached are the Final NSSPs, SN, and forms package for each owner's approval. I also attached the draft related memorandum for your information. Please send your approval ASAP (I was directed that we need to send these out tomorrow) and in this order if possible:

- 1- OE- Award
- 2- OCR
- 3- Construction
- 4- OCCS

Below are the lists of NSSP, the owner's name, and the list of updated forms:

Specification Section	Description	Files	Owner
SN250	Special Notice	NSSP SN250_N01-11-24__2023.docx	OCCS
1-1.06	Abbreviations	NSSP 1-1.06_N01-11-24__2023.docx	OCCS
1-1.07B	Definition	NSSP 1-1.07B_N01-11-24__2023.docx	OCCS

2-1.17	Small Business Enterprise Participation Goal Requirement and Submittals	NSSP 2-1.17_N01-11-24__2023.docx	OCR
2-1.18	Small Business and Non-Small Business Subcontractor Preferences	NSSP2-1.18_N01-11-24__2023.docx	OCR
2-1.33B(3)	Bid Form Submittal Schedules	NSSP 2-1.33B(3)_N01-11-24__2023.docx	OE- Award
5-1.13D	Non-Small Business Preference	NSSP 5-1.13F_N01-11-24__2023.docx	Construction
5-1.13F	Small Business Enterprise Participation Goal Requirement	NSSP 5-1.13F_N01-11-24__2023.docx	Construction

Forms:

Forms for Bid	Description	Files
OCR SBE01	Commitment Form	Form OCR-SBE 01 Small Business Commitment -revised 01-18-24.pdf
OCR SBE02	Confirmation Form	Form OCR-SBE 02 Small Business Confirmation-revised 01-18-24.pdf
OCR SBE03	Utilization of Small Business	Form OCR-SBE 03_Final Report-Utilization of Small Business Enterprises-01-18-2024.pdf(Revised)
DOT OCR-0011	CERTIFIED SMALL BUSINESS LISTING FOR THE NON-SMALL BUSINESS PREFERENCE	DOTOCR0011-01-18-2024.pdf (Revised)

Please let me know if you have any questions. Appreciate all your help and effort in this matter.

Thank you,

**Parisa R. Lodge, PE**  
*Chief of ADA Infrastructure, Contract Evaluation,  
and Engineering Support Programs  
Office of Civil Rights  
HQ, Caltrans  
1500 5<sup>th</sup> Street,  
Sacramento, CA 95814  
Phone: 916-879-7240*

## Lodge, Parisa RASOULI@DOT

---

**From:** Perez-Hollins, April D@DOT  
**Sent:** Thursday, January 18, 2024 6:07 PM  
**To:** Singh, Sanjay@DOT  
**Cc:** Lodge, Parisa RASOULI@DOT; Darby, Ken K@DOT; Dinh, Rosa M@DOT; Sultan, Mohsen@DOT; DeLuz, David@DOT; HQ Construction Engineering@DOT; Lovell, Jeffrey@DOT; Oldenburg, Jon@DOT; Sadraie, Hamid@DOT  
**Subject:** Re: NSSPs and SN, and forms package for 5% and 25% SBE goal requirement implementation for approval

Sorry OCCA approves 2-1.33

Sent from my iPhone

On Jan 18, 2024, at 6:06 PM, Perez-Hollins, April D@DOT <april.perez-hollins@dot.ca.gov> wrote:

OCR approves 2-1.33

Sent from my iPhone

On Jan 18, 2024, at 4:52 PM, Singh, Sanjay@DOT <sanjay.singh@dot.ca.gov> wrote:

OCR approves 2-1-17 and 2-1.18.

Sincerely,

**Sanjay Singh**  
**Assistant Deputy Director**  
California Department of Transportation  
Office of Civil Rights  
(916) 317-1999 (cell)  
<image001.png>

**“Calmness is a Superpower.” Bruce Lee**

**CONFIDENTIALITY NOTICE:** This e-mail message, including any attachments, is for the sole use of the intended recipient(s) and may contain confidential and privileged information. All applicable privileges are hereby asserted. Any unauthorized review, use, disclosure or distribution is prohibited. If you are not the intended recipient, please contact the sender by reply e-mail and destroy all copies of the original message. **DO NOT PRINT, COPY, OR FORWARD THIS EMAIL OR ITS ATTACHMENTS**

---

**From:** Lodge, Parisa RASOULI@DOT <parisa.lodge@dot.ca.gov>  
**Sent:** Thursday, January 18, 2024 4:48 PM  
**To:** Singh, Sanjay@DOT <sanjay.singh@dot.ca.gov>; Darby, Ken K@DOT <ken.darby@dot.ca.gov>; Perez-Hollins, April D@DOT <april.perez-hollins@dot.ca.gov>; Dinh, Rosa M@DOT <rosa.dinh@dot.ca.gov>; Sultan, Mohsen@DOT <mohsen.sultan@dot.ca.gov>; Dinh, Rosa M@DOT <rosa.dinh@dot.ca.gov>  
**Cc:** DeLuz, David@DOT <David.DeLuz@dot.ca.gov>; HQ Construction Engineering@DOT <HQ.Construction.Engineering@dot.ca.gov>; Lovell, Jeffrey@DOT <JEFFREY.LOVELL@dot.ca.gov>; Oldenburg, Jon@DOT <Jon.Oldenburg@dot.ca.gov>;

Sadraie, Hamid@DOT <hamid.sadraie@dot.ca.gov>

**Subject:** NSSPs and SN, and forms package for 5% and 25% SBE goal requirement implementation for approval

**Importance:** High

Good afternoon all:

Attached are the Final NSSPs, SN, and forms package for each owner's approval. I also attached the draft related memorandum for your information. Please send your approval ASAP (I was directed that we need to send these out tomorrow) and in this order if possible:

1. OE- Award
2. OCR
3. Construction
4. OCCS

Below are the lists of NSSP, the owner's name, and the list of updated forms:

Specification Section	Description	Files	Owner
SN250	Special Notice	NSSP SN250_N01-11-24_2023.docx	OCCS
1-1.06	Abbreviations	NSSP 1-1.06_N01-11-24_2023.docx	OCCS
1-1.07B	Definition	NSSP 1-1.07B_N01-11-24_2023.docx	OCCS
2-1.17	Small Business Enterprise Participation Goal Requirement and Submittals	NSSP 2-1.17_N01-11-24_2023.docx	OCR
2-1.18	Small Business and Non-Small Business Subcontractor Preferences	NSSP2-1.18_N01-11-24_2023.docx	OCR
2-1.33B(3)	Bid Form Submittal Schedules	NSSP 2-1.33B(3)_N01-11-24_2023.docx	OE- Award
5-1.13D	Non-Small Business Preference	NSSP 5-1.13F_N01-11-24_2023.docx	Construction
5-1.13F	Small Business Enterprise Participation Goal Requirement	NSSP 5-1.13F_N01-11-24_2023.docx	Construction

Forms:

Forms for Bid	Description	Files
OCR SBE01	Commitment Form	Form OCR-SBE 01 Small Business Commitment -revised
OCR SBE02	Confirmation Form	Form OCR-SBE 02 Small Business Confirmation-revised
OCR SBE03	Utilization of Small Business	Form OCR-SBE 03_Final Report-Utilization of Small Business Enterprises-01-18-2024.pdf(Revised)
DOT OCR-0011	CERTIFIED SMALL BUSINESS LISTING FOR THE NON-SMALL BUSINESS PREFERENCE	DOTOCR0011-01-18-2024.pdf (Revised)

Please let me know if you have any questions. Appreciate all your help and effort in this matter.

Thank you,

***Parisa R. Lodge, PE***  
*Chief of ADA Infrastructure, Contract Evaluation,  
and Engineering Support Programs  
Office of Civil Rights  
HQ, Caltrans  
1500 5<sup>th</sup> Street,  
Sacramento, CA 95814  
Phone: 916-879-7240*

Preliminary list\* of projects that may qualify for the 25% SBE Goal implementation based on the following criteria:

1. State-Only Funded Projects
2. D3, D4, D7 and D11 (have the largest # of SBE's available)
3. A or one of the following C-Licenses: C-8 or C-12 can perform a majority of work (Projects where these licenses can perform a majority of work, have SBE participation, but low SBE win rates)

Dist	EA	Project ID	County	Route	Program	Fund	Work Description	Construction Value	Planned RTL	Planned Award
03	2G540	0321000237	YOL	505	HM-B	FF	Deck preservation - PCO, joint seals	\$1,907,000.00	12/1/2022	2/1/2024
03	2G790	0322000163	NEV	080	HM-B	FF	Bridge Preservation Paint Superstructure	\$1,272,000.00	12/1/2023	3/1/2024
03	2G800	0322000164	PLA	080	HM-B	\$Job	Deck Preservation	\$2,902,000.00	12/1/2023	3/1/2024
03	2G810	0322000165	PLA	080	HM-BSB1	FF	Bridge Deck Preservation	\$3,462,000.00	12/1/2023	3/1/2024
03	2G820	0322000171	SAC	080	HM-BSB1	FF	HM3 bridge preservation	\$3,234,000.00	12/1/2023	3/1/2024
03	3G040	0323000118	YOL	016	HM-P	\$Job	0.15' RHMA-G	\$3,200,000.00	1/3/2024	4/8/2024
03	3G050	0323000119	YOL	016	HM-P	\$Job	Cold In-Place Recycling Class III	\$3,100,000.00	1/17/2024	4/26/2024
03	3G070	0323000121	BUT	032	HM-P	FF	Double Chip Seal	\$3,600,000.00	12/29/2023	3/12/2024
03	3G020	0323000116	SAC	012	HM-PSB1	FF	Digouts only	\$2,000,000.00	3/20/2024	6/11/2024
03	3G030	0323000117	SAC	160	HM-PSB1	FF	0.10' Cold Plane RHMA-O	\$3,000,000.00	1/18/2024	5/30/2024
03	3G060	0323000120	YOL	045	HM-PSB1	\$Job	Double Chip Seal	\$3,300,000.00	1/1/2024	4/25/2024

Dist	EA	Project ID	County	Route	Program	Fund	Work Description	Construction Value	Planned RTL	Planned Award
04	0Y820	0422000343	SON	101	HM-B	FF	Polyester Concrete overlay	\$2,996,000.00	11/17/2023	4/5/2024
04	0Y890	0422000364	ALA	580	HM-B	\$Job	Polyester Concrete overlay	\$3,692,000.00	11/17/2023	4/5/2024
04	1Y340	0422000467	ALA	260	HM-B	\$Job	Repair Structural elements for Posey and Webster Tube	\$4,075,000.00	12/31/2023	3/5/2024
04	0Y790	0422000340	SOL	080	HM-BSB1	FF	Polyester concrete overly	\$3,331,000.00	11/17/2023	4/5/2024
04	1Y500	0422000498	SF	280	HM-BSB1	FF	Polyester Concrete Overlay	\$4,040,000.00	11/17/2023	4/5/2024
04	2Y470	0423000119	CC	024	HM-P	FF	1ST ST UC to Pleasant Hill UC	\$1,576,000.00	12/29/2023	4/1/2024
04	2Y500	0423000122	NAP	221	HM-P	FF	ROUTE 29 TO 0.2 MILE NORTH OF BASALT ROAD	\$2,550,000.00	11/30/2023	3/15/2024
04	2Y540	0423000126	SCL	237	HM-P	FF	REPLACE AC SURFACING	\$1,500,000.00	11/30/2023	4/1/2024
04	2Y550	0423000127	SCL	101	HM-P	\$Job	Guadalupe River to Shoreline Blvd OC	\$2,000,000.00	12/29/2023	5/1/2024
04	2Y580	0423000130	SON	001	HM-P	\$Job	3 m south of Fort Ross Rd to 1 m south of Fort Ross Rd	\$1,400,000.00	12/29/2023	5/1/2024
04	2Y600	0423000132	SM	084	HM-P	\$Job	Route 1 to La Honda Creek	\$3,570,000.00	12/29/2023	5/1/2024
04	0Y260	0422000261	SON	121	HM-PSB1	FF	0.15' Cold Plane and RHMA-G	\$2,550,000.00	12/29/2023	4/1/2024
04	2Y460	0423000118	SCL	680	HM-PSB1	FF	Jacklin Road UC to Scott Creek Road UC	\$3,187,000.00	12/29/2023	4/1/2024
04	2Y490	0423000121	CC	242	HM-PSB1	\$Job	PCC SLAB REPLACEMENT	\$2,100,000.00	11/1/2023	3/4/2024
04	3Y400	0423000231	ALA	580	Minor A		In Alameda County, at 150th Avenue. Install retaining wall.	\$1,250,000.00		



Dist	EA	Project ID	County	Route	Program	Fund	Work Description	Construction Value	Planned RTL	Planned Award
07	0W650	0722000358	LA	405	HM-B	\$Job	Meth deck, Replace joint seals, repair spalls	\$2,080,000.00	12/30/2023	6/30/2024
07	0W630	0722000332	VEN	101	HM-BSB1	FF	Meth deck, Replace joint seals, repair spalls	\$3,700,000.00	12/30/2023	6/30/2024
07	0W640	0722000357	LA	002	HM-BSB1	FF	Meth deck, Replace joint seals, repair spalls	\$4,869,000.00	12/30/2023	6/30/2024
07	0W660	0722000360	LA	405	HM-BSB1	\$Job	Meth deck, Replace joint seals, repair spalls	\$9,400,000.00	12/30/2023	6/30/2024
07	0W450	0722000060	LA	138	HM-P	FF	0.15 FT HMA-A	\$11,000,000.00	12/30/2023	6/30/2024
07	0W670	0723000018	LA	103	HM-P	FF	0.15 FT HMA-A	\$2,000,000.00	12/30/2023	6/30/2024
07	0W700	0723000032	LA	405	HM-P	\$Job	SLABS, RAMPS, LANES, SHOULDERS, GORES - DIGOUTS, PCC GRIN	\$6,500,000.00	12/30/2023	6/30/2024
07	0W430	0722000058	LA	002	HM-PSB1	FF	0.10 FT HMA-A	\$10,000,000.00	12/30/2023	6/30/2024

Dist	EA	Project ID	County	Route	Program	Fund	Work Description	Construction Value	Planned RTL	Planned Award
11	2N147	1122000068	IMP	111	HM-B	FF	Bridge Preservation	\$1,278,000.00	11/1/2023	4/1/2024
11	2N169	1122000282	SD	078	HM-B	FF	Bridge preservation	\$2,078,000.00	11/1/2023	4/1/2024
11	2N170	1122000283	SD	805	HM-B	\$Job	Bridge preservation	\$3,224,000.00	11/1/2023	1/1/2024
11	2N167	1122000280	IMP	086	HM-BSB1	FF	Bridge Preservation	\$3,286,000.00	11/1/2023	4/1/2024
11	2N171	1122000284	SD	805	HM-BSB1	\$Job	Bridge preservation	\$6,986,000.00	11/1/2023	4/1/2024
11	2N175	1123000018	SD	005	HM-BSB1	FF	Bridge preservation	\$5,603,000.00	11/1/2023	4/1/2024
11	2N020	1117000168	SD	076	HM-P	FF	Mill and Replace with RHMA Overlay	\$4,000,000.00	11/1/2023	3/11/2024
11	2N178	1123000070	IMP	008	HM-P	\$Job	Microsurfacing	\$4,500,000.00	12/7/2023	4/1/2024
11	2N194	1123000091	IMP	008	HM-P	FF	0.15' Cold Plane and RHMA-G	\$7,000,000.00	11/1/2023	3/11/2024
11	2N177	1123000036	SD	052	HM-PSB1	FF	Microsurfacing Ramps	\$3,500,000.00	12/8/2023	4/10/2024
11	2N197	1123000094	IMP	111	HM-PSB1	\$Job	Digouts and Slurry Seal	\$1,800,000.00	11/1/2023	3/11/2024

FF	Fully Funded
HM-P	Highway Maintenance (HM1) - Pavement
HM-PSB1	Highway Maintenance (HM1-SB1) - Pavement SB1
HM-B	Highway Maintenance (HM3) - Bridge
HM-BSB1	Highway Maintenance (HM3) - Bridge SB1

\*Projects on this list are subject to change, selection was based on work description and program identified in the FY 23/24 Maintenance and Minor CFD

**SMALL BUSINESS ENTERPRISE - CONFIRMATION**

OCR-SBE 02 (REV 01/2024)

CONTRACT NUMBER		DATE
NAME OF SMALL BUSINESS		SMALL BUSINESS CERTIFICATION NUMBER
NAME OF SMALL BUSINESS REPRESENTATIVE		
NAME OF BIDDER		NAME OF BIDDER REPRESENTATIVE

**SMALL BUSINESS ENTERPRISE CONFIRMATION**

Bid Item Number	Item of Work <sup>1</sup>	Amount (\$)
	DESCRIPTION OF WORK, SERVICES, OR MATERIALS TO BE PROVIDED	
	BID ITEM DESCRIPTION	
	DESCRIPTION OF WORK, SERVICES, OR MATERIALS TO BE PROVIDED	
	BID ITEM DESCRIPTION	
	DESCRIPTION OF WORK, SERVICES, OR MATERIALS TO BE PROVIDED	
<b>TOTAL \$</b>		

<sup>1</sup>If 100% of an item is not to be performed or furnished by the SBE, describe the portion of the item to be performed or furnished.

**SMALL BUSINESS ENTERPRISE CERTIFICATION**

As an authorized representative of a certified small business, I confirm that my business was contacted by the bidder shown above regarding the contract shown above. If the bidder is awarded the contract, my business will enter into a contractual agreement with the bidder or prime contractor to perform the type and dollar amount of work shown on the Small Business Enterprise - Commitment form. The work to be performed in fulfillment of the contract requirements will be Commercially Useful Function (CUF) compliant in accordance with the requirements in Government Code section 14837, subdivision (d)(4).

I certify under penalty of perjury that the foregoing is true and correct.

SIGNATURE OF SMALL BUSINESS AUTHORIZED REPRESENTATIVE	PRINTED NAME OF SMALL BUSINESS AUTHORIZED REPRESENTATIVE	
TITLE OF SMALL BUSINESS AUTHORIZED REPRESENTATIVE		DATE

**SMALL BUSINESS ENTERPRISE - CONFIRMATION INSTRUCTIONS**

OCR-SBE 02 (REV 01/2024)

**GENERAL INFORMATION**

This form is to provide confirmation documentation that a small business has committed to performing work, services, or materials if the bidder is awarded the contract.

**FORM**

- **CONTRACT NUMBER:** Enter the project's contract number.
- **DATE:** Enter the date the form was completed.
- **NAME OF SMALL BUSINESS:** Enter the name of the small business.
- **SMALL BUSINESS CERTIFICATION NUMBER:** Enter the small business certification number issued by the Department of General Services, Office of Small Business and DVBE Services as either a small business or a small business for the purpose of public works.
- **NAME OF SMALL BUSINESS REPRESENTATIVE:** Enter the name of the small business representative.
- **NAME OF BIDDER:** Enter the name of the prime contractor that is bidding the contract.
- **NAME OF BIDDER REPRESENTATIVE:** Enter the name of the bidder representative that contacted the small business for a bid quote.

**SMALL BUSINESS ENTERPRISE CONFIRMATION**

For each item of work on which the small business will participate, provide the following information:

- **BID ITEM NUMBER:** Enter the number of the bid item as shown on the contract.
- **BID ITEM DESCRIPTION:** Enter the bid item description as shown on the contract.
- **AMOUNT:** Enter the dollar amount of the work, services, or the value of the materials furnished by the small business.
- **DESCRIPTION OF WORK, SERVICES OR MATERIALS TO BE PROVIDED:** If 100% of an item is not to be performed or furnished by the small business, describe the portion of the item to be performed or furnished.
- **TOTAL:** Provide the total dollar amount of work, services, or materials to be furnished by the small business.

**SMALL BUSINESS ENTERPRISE CERTIFICATION**

- **SIGNATURE OF SBE AUTHORIZED REPRESENTATIVE:** Signature of small business authorized representative.
- **PRINTED NAME OF SBE AUTHORIZED REPRESENTATIVE:** Printed name of small business authorized representative.
- **DATE:** Date small business representative signed the form

**SMALL BUSINESS ENTERPRISE - COMMITMENT**

OCR-SBE 01 (REV 01/2024)

CONTRACT NUMBER		BID AMOUNT		BID OPENING DATE	
BIDDER NAME					
SMALL BUSINESS BIDDER CERTIFICATION NUMBER				<input type="checkbox"/> Not applicable	
CONTRACT SBE PARTICIPATION GOAL REQUIREMENT		%	TOTAL NUMBER OF ALL SUBCONTRACTS		
SBE PARTICIPATION GOAL REQUIREMENT COMMITMENT		%	TOTAL AMOUNT OF ALL SUBCONTRACTS		\$

**SBE PARTICIPATION GOAL REQUIREMENT COMMITMENTS**

Bid Item Number	Item of Work <sup>1,2</sup>	Percentage of Bid Amount	Amount <sup>3</sup> (\$)
	BID ITEM DESCRIPTION		
	SMALL BUSINESS NAME		
	DESCRIPTION OF WORK, SERVICES, OR MATERIALS		
	BID ITEM DESCRIPTION		
	SMALL BUSINESS NAME		
	DESCRIPTION OF WORK, SERVICES, OR MATERIALS		
	BID ITEM DESCRIPTION		
	SMALL BUSINESS NAME		
	DESCRIPTION OF WORK, SERVICES, OR MATERIALS		
	BID ITEM DESCRIPTION		
	SMALL BUSINESS NAME		
	DESCRIPTION OF WORK, SERVICES, OR MATERIALS		

TOTAL COMMITMENT FOR SBE PARTICIPATION GOAL REQUIREMENT \$

<sup>1</sup>The names of the 1st tier small business subcontractors and items of work must be consistent with the Subcontractor List (Pub Cont Code § 4100 et seq.).

<sup>2</sup>If 100% of an item is not to be performed or furnished by the small business, describe the portion of the item to be performed or furnished.

<sup>3</sup>Attach written confirmation and quotes from each small business shown stating that it will be participating in the contract to perform the specific work shown for the specific amount agreed to.

**ADA Notice**

For individuals with sensory disabilities, this document is available in alternate formats. For information call (916) 654-6410 or TDD (916) 654-3880 or write Records and Forms Management, 1120 N Street, MS-89, Sacramento, CA 95814

CONTRACT NUMBER	BID AMOUNT	BID OPENING DATE
BIDDER NAME		
<b>SMALL BUSINESS ENTERPRISE INFORMATION</b>		
SMALL BUSINESS NAME	SMALL BUSINESS CERTIFICATION NUMBER	
SMALL BUSINESS ADDRESS	SMALL BUSINESS REPRESENTATIVE NAME	
	SMALL BUSINESS PHONE NUMBER	
	SMALL BUSINESS EMAIL ADDRESS	
SMALL BUSINESS NAME	SMALL BUSINESS CERTIFICATION NUMBER	
SMALL BUSINESS ADDRESS	SMALL BUSINESS REPRESENTATIVE NAME	
	SMALL BUSINESS PHONE NUMBER	
	SMALL BUSINESS EMAIL ADDRESS	
SMALL BUSINESS NAME	SMALL BUSINESS CERTIFICATION NUMBER	
SMALL BUSINESS ADDRESS	SMALL BUSINESS REPRESENTATIVE NAME	
	SMALL BUSINESS PHONE NUMBER	
	SMALL BUSINESS EMAIL ADDRESS	

**BIDDER'S SBE PARTICIPATION GOAL REQUIREMENT CERTIFICATION**

As an authorized representative of the bidder, if the bidder is awarded the contract, the bidder is committed to use the small businesses shown on this form to meet the contract's SBE participation goal requirement. The work to be performed in fulfillment of the contract requirements will be Commercially Useful Function (CUF) compliant in accordance with the requirements in Government Code section 14837, subdivision (d)(4).

I certify under penalty of perjury that the foregoing is true and correct.

BIDDER'S AUTHORIZED REPRESENTATIVE SIGNATURE		BIDDER'S AUTHORIZED REPRESENTATIVE PRINTED NAME
DATE		CONTACT PERSON NAME
EMAIL ADDRESS CONTACT PERSON		

Attachments: Small Business Enterprise - Confirmation (OCR-SBE-02) form from each small business shown.

- Small Business Enterprise - Confirmation (OCR-SBE-02) form from each small business
- shown. Quote from each small business shown.

**GENERAL INFORMATION**

This form is used by bidders to provide SBE commitment documentation based on SBE work, services, or materials. These SBE commitments are used for determining the percentage of SBE participation towards meeting the contract's SBE participation goal requirement.

**FORM**

- **CONTRACT NUMBER:** Enter the project contract number.
- **BID AMOUNT:** Enter the total amount bid on the contract.
- **BID OPENING DATE:** Enter the contract bid opening date.
- **BIDDER NAME:** Enter the name of the contractor bidding the contract.
- **SMALL BUSINESS BIDDER CERTIFICATION NUMBER:** If the bidder is a small business, enter the small business certification number issued by the Department of General Services, Office of Small Business and DVBE Services as either a small business or a small business for the purpose of public works. If the bidder is not a small business check the box for "Not Applicable."
- **CONTRACT SBE PARTICIPATION GOAL REQUIREMENT %:** Enter the contract's SBE participation goal requirement from the contract bid book.
- **SBE PARTICIPATION GOAL REQUIREMENT COMMITMENT %:** Calculate the commitment for SBE participation by dividing the "TOTAL COMMITMENT AMOUNT FOR SBE PARTICIPATION GOAL REQUIREMENT" by the "CONTRACT BID AMOUNT" and enter the calculated percentage.
- **TOTAL NUMBER OF ALL SUBCONTRACTS:** Enter the total number of subcontracts including small business and non-small business.
- **TOTAL AMOUNT OF ALL SUBCONTRACTS:** Enter the total dollar amount of subcontracts including small business and non-small business.

**SBE PARTICIPATION GOAL REQUIREMENT COMMITMENT**

Show all small business firms being claimed for credit, regardless of tier. Attach written confirmation from each small business shown stating that it will be participating in the contract to perform the specific work shown for the specific amount agreed to. For a certified small business prime contractor, identify the self-performed work.

For each item of work on which the small business will participate, provide the following information:

- **BID ITEM NUMBER:** Enter the number of the bid item as shown on the contract.
- **BID ITEM DESCRIPTION:** Enter the bid item description as shown on the contract.
- **PERCENTAGE OF BID AMOUNT:** Enter the percentage of the bid amount that the small business will perform or furnish materials.
- **AMOUNT:** Enter the dollar amount of the work, services, or materials furnished by the small business.
- **SMALL BUSINESS NAME:** Enter the name of the small business performing work, services, or materials.
- **DESCRIPTION OF WORK, SERVICES, OR MATERIALS:** If 100% of an item is not to be performed or furnished by the small business, describe the portion of the item to be performed or furnished.
- **TOTAL COMMITMENT FOR SBE PARTICIPATION GOAL REQUIREMENT:** Calculate the total dollar amount of work, services, or materials furnished by the committed small businesses.

**SMALL BUSINESS ENTERPRISE INFORMATION**

For each small business that will perform work, services, or materials provide the following information:

- **SMALL BUSINESS NAME:** Enter the name of the small business performing work, services, or materials.
- **SMALL BUSINESS CERTIFICATION NUMBER:** Enter the small business certification number issued by the Department of General Services, Office of Small Business and DVBE Services as either a small business or a small business for the purpose of public works.
- **SMALL BUSINESS ADDRESS:** Enter the business address of the small business.
- **SMALL BUSINESS REPRESENTATIVE NAME:** Enter the name of the small business representative.
- **SMALL BUSINESS PHONE NUMBER:** Enter the phone number of the small business representative.
- **SMALL BUSINESS EMAIL ADDRESS:** Enter email address for small business representative.

**BIDDER'S SBE PARTICIPATION GOAL REQUIREMENT CERTIFICATION**

- **BIDDER'S AUTHORIZED REPRESENTATIVE SIGNATURE:** Signature of bidder authorized representative.
- **BIDDER'S AUTHORIZED REPRESENTATIVE PRINTED NAME:** Printed name of bidder's authorized representative.
- **DATE:** Date bidder representative signed the form.
- **CONTACT PERSON NAME:** Print the name of the person that should be contacted for questions on the completed form.
- **EMAIL ADDRESS CONTACT PERSON:** Enter the email address of the contact person.
- **PHONE NUMBER CONTACT PERSON:** Enter the phone number of the contact person.
- **ATTACHMENTS:** Attach SMALL BUSINESS ENTERPRISE - Confirmation (OCR-SBE-02) form and price quote from each small business shown on this form. Failure to submit a signed Small Business Enterprise - Confirmation form and copy of the small business quote may result in disallowance of the small business's participation in meeting the contract's SBE participation goal requirement percentage.

**ADA Notice**

For individuals with sensory disabilities, this document is available in alternate formats. For information call (916) 654-6410 or TDD (916) 654-3880 or write Records and Forms Management, 1120 N Street, MS-89, Sacramento, CA 95814

**CERTIFIED SMALL BUSINESS LISTING FOR THE NON-SMALL BUSINESS PREFERENCE**

DOT OCR-0011 (REV 01/2024)

**BIDDER NAME** \_\_\_\_\_

**CONTRACT NO.** \_\_\_\_\_ - \_\_\_\_\_

List the description of work, name, telephone number, certification number, and dollar amount of each certified small business who will be used for non-small business preference on this project. Failure to submit a completed Certified Small Business Listing for the Non-Small Business Preference form by 4 p.m. on the 4th business day after bid opening will result in a nonresponsive bid. Attach additional sheets if necessary.

Submit to:  
 MS 43  
 OFFICE ENGINEER  
 DEPARTMENT OF TRANSPORTATION 1727 30TH STREET  
 SACRAMENTO, CA 95816-7005

Bid Item Number	Description of Work, Service, or Materials	Certified Small Business (Name, Telephone No., and Certification No.)	\$ Amount

<b>Total Claimed Participation for Non-Small Business Preference \$</b>	
<b>Total Claimed Participation for Non-Small Business Preference %</b>	

**Non-Small Business Preference-Certification**

As an authorized representative of the bidder, if the bidder is awarded the contract, the bidder is committed to use the small businesses shown on this form to meet the non-small business preference. The work to be performed in fulfillment of the contract requirements will be Commercially Useful Function (CUF) complaint in accordance with the requirements in Government Code section 14837, subdivision(d)(4). I certify under penalty of the perjury that the foregoing is true and correct.

\_\_\_\_\_  
 Bidder's Authorized Representative (Please Type or Print) Name

\_\_\_\_\_  
 Bidder's Authorized Representative Signature

\_\_\_\_\_  
 DATE

\_\_\_\_\_  
 Email Address



**FINAL REPORT – UTILIZATION OF SMALL BUSINESS ENTERPRISE**

OCR-SBE 03 (REV 01/2024)

CONTRACT NUMBER	COUNTY	ROUTE	POST MILES	ESTIMATED CONTRACT AMOUNT	CONTRACT COMPLETION DATE
PRIME CONTRACTOR		BUSINESS ADDRESS		DEPARTMENT OF INDUSTRIAL RELATIONS REGISTRATION NO.	CONTRACTORS STATE LICENSE BOARD NO.

CONTRACT ITEM NO.	DESCRIPTION OF WORK, SERVICES, OR MATERIALS	CHECK IF SBE USED FOR PREFERENCE	CHECK IF SBE USED FOR PARTICIPATION GOAL REQUIREMENT	BUSINESS NAME AND ADDRESS	SMALL BUSINESS ENTERPRISE CERTIFICATION NUMBER	CONTRACT PAYMENTS			
						PAYMENT AMOUNT	DATE WORK COMPLETED	DATE OF FINAL PAYMENT	COMMENTS

ORIGINAL COMMITMENT FOR NON-SMALL BUSINESS PREFERENCE: \$ \_\_\_\_\_  
 ORIGINAL COMMITMENT FOR SBE PARTICIPATION GOAL REQUIREMENT: \$ \_\_\_\_\_

List all Small Business Enterprises (SBE) regardless of tier or whether the firms were originally listed for contract participation. If actual SBE utilization (or item of work) was different than that approved at time of award, provide an explanation in the comments section. List actual amount paid to each SBE, even if different than originally listed for contract participation. If original SBE was substituted with another SBE, provide the date it was approved in the comments section.

**I CERTIFY THAT THE ABOVE INFORMATION IS COMPLETE AND CORRECT**

CONTRACTOR REPRESENTATIVE'S SIGNATURE	BUSINESS PHONE NUMBER	DATE
---------------------------------------	-----------------------	------

**TO THE BEST OF MY KNOWLEDGE, THE ABOVE INFORMATION IS COMPLETE AND CORRECT**

RESIDENT ENGINEER'S SIGNATURE	BUSINESS PHONE NUMBER	DATE
-------------------------------	-----------------------	------

Copy Distribution: **Original** – District Contract File **Copy** – Contractor **Copy** – Resident Engineer **Copy** – OCR– email [Business.Support.Unit@dot.ca.gov](mailto:Business.Support.Unit@dot.ca.gov)

**FINAL REPORT – UTILIZATION OF SMALL BUSINESS ENTERPRISES INSTRUCTIONS**  
OCR-SBE 03 (REV 01/2024)

The intent of this form is for the prime contractor to certify payments made to SBE firms participating in the performance of this contract. The contractor must include information on all SBEs work, services or materials even if the SBE firms were not listed at the time of contract award.

The form has columns for entering specific contract items. Identify: if the listed SBE is used for non-small business preference participation or the SBE participation goal requirement; descriptions of work, services, or materials; the SBE business information and certification number; the dollar value of the work, services, or materials; when the work of the SBE was completed; the date of the final payment to the SBE; and the original commitment amount for the non-small business preference or the SBE participation goal requirement. The comments section of the form is for providing Caltrans with any additional information related to the SBE payments or substitutions.

If the original listed SBE was substituted with another firm, include in the comments section the date of the substitution approval.

Contractors must complete all columns for acceptance of the form. The contractor and the resident engineer sign and date the form indicating the information provided is complete and correct.