



U.S. Department of Transportation

Office of the Secretary of Transportation

Office of Small and Disadvantaged Business Utilization

Contracting with DOT: A Guide for Small Businesses



The Honorable Ray LaHood, Secretary of Transportation

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U.S. Department of Transportation

Office of the Secretary of Transportation

Office of Small and Disadvantaged Business Utilization

Dear Entrepreneur,

Thank you for considering the U.S. Department of Transportation (DOT) for your future business opportunities. DOT is proud of the emphasis we have placed on the inclusion and promotion of small businesses (including veteran-owned, service disabled veteran-owned, HUBZone, disadvantaged, and women-owned businesses) in transportation-related contracting opportunities. We, at the Office of Small and Disadvantaged Business Utilization (OSDBU), are committed to offering support to our business customers and providing quality services and products.

To that end, OSDBU has developed various programs designed to assist you in your DOT-related marketing efforts. We have collected and assembled all the relevant information on our programs, points of contact, and background data in this current edition of Contracting with DOT. In this booklet you will find information on how to identify and pursue contracting opportunities with DOT. This information is organized under the following general headings: 1) Overview of DOT; 2) Overview of OSDBU; 3) Procurement Assistance Programs for Small Businesses; 4) Finding Opportunities and Selling to the Government; 5) Resources to Help Small and Disadvantaged Businesses; 6) Financing Opportunities for Small and Disadvantaged Businesses; and 7) Who to Contact for Further Information.

Inside you will also find information on our regional Small Business Transportation Resource Centers (which offer technical assistance and training to firms interested in obtaining transportation-related contracts) and our Short Term Lending Program (which provides small businesses access to revolving lines of credit to finance accounts receivable arising from transportation-related contracts). You will also find information and points of contact for the Disadvantaged Business Enterprise (DBE) program implemented by state and local transportation agencies, as well as a whole host of other valuable information on contracting with the federal government.

We encourage you to maintain access to the latest marketing and procurement information electronically by visiting our website at www.osdbu.dot.gov. In addition, you can contact our National Information Clearinghouse at 1-800-532-1169 where you can obtain program and procurement information, answers to specific questions, and marketing tips. All of us at OSDBU wish you success in your business endeavors. Please call on us if we can be of further assistance.

Sincerely,

Brandon Neal, Director

CONTENTS

I. Overview of DOT	1
II. Office of Small and Disadvantaged Business Utilization	3
III. Procurement Assistance Programs for Small Businesses	6
A. Small Business Procurement Goals	7
B. Eligibility for Small Business Preference Programs	8
1. Definition of a “Small Business”	9
2. Steps Required of Small Businesses to do Work with the Federal Government	11
C. Preferences for Different Types of Small Business	12
1. Small Disadvantaged Businesses (SDB)	13
2. 8(a) Businesses	13
3. Woman-owned Small Businesses (WOSB)	14
4. Historically Underutilized Business Zone (HUBZone) Businesses	15
5. Service-Disabled Veteran-Owned Small Businesses (SDVOSB)	16
6. Veteran-Owned Small Businesses (VOSB)	17
D. U.S. Department of Transportation Disadvantaged Business Enterprise (DBE) Program	19
1. How the DOT DBE Program Works	19
2. Role of State and Local Transportation Agencies	20
3. Role of US DOT	21
IV. Finding Opportunities and Selling to the Government	22
A. Major Contract Vehicles	23
B. Open Market Acquisitions	23
1. Overview	23
2. Small Business Set-Asides	24
3. Sole Source Procurements	25
4. DOT Procurement Forecast	25
C. Purchase Card	25
D. GSA Schedules	26
E. Subcontracting	26
V. Resources to Help Small and Disadvantaged Businesses	29
A. DOT Resources	30
1. OSDBU’s National Information Clearinghouse (NIC)	30
2. DOT’s Small Business Specialists	31

3.	Small Business Transportation Resource Centers (SBTRC)	33
4.	Entrepreneurial Training Women and Girls Internship Program.....	36
5.	Small Business Innovation Research (SBIR) Program.....	37
B.	Additional Government Agency and Private Sector Resources	38
1.	Acquisition Central	38
2.	Federal OSDBU Directors	39
3.	Minority Business Development Centers	39
4.	Department of Defense (DoD) Procurement Technical Assistance Centers (PTACs).....	40
5.	SCORE.....	40
VI.	Financing Opportunities at DOT for Small and Disadvantaged Business	41
A.	Short-Term Lending Program (STLP)	42
1.	Firms that can Participate in STLP	42
2.	Type of Work Covered by STLP	42
3.	Use of STLP Funds.....	42
4.	Administration of STLP lines of credit.....	43
5.	Responsibilities of Participating Lenders	43
6.	Terms of the Lines of Credit	43
7.	Application Procedures.....	44
	Appendix A: DOT Operating Administrations and Offices	53
	Appendix B: Federal and State Contacts for the DBE Program	67

Use of the Term “Small Business” in this Book

Unless specified otherwise, whenever the term “small business” is used in this book it refers to all of OSDBU’s customers. These customers include Small Disadvantaged, 8(a), Historically Underutilized Business Zone (HUBZone), woman-owned, veteran-owned, and service disabled veteran-owned small businesses, as well as Disadvantaged Business Enterprises (DBEs). These different types of small businesses are discussed in Section III.

I. OVERVIEW OF DOT



The mission of the U.S. Department of Transportation (DOT) is to ensure that all ground, air, and water transport remain fast, safe, efficient, accessible, and convenient. As part of its efforts to fulfill this mission, DOT buys more than \$4 billion annually in products and services. DOT contractors provide a wide variety of services (e.g., construction, information technology (IT), finance, and administration) and are involved in all aspects of the Department's mission (e.g., air traffic control, highway engineering, rail safety, hazardous materials, automobile, truck safety, and program administration). More information about the Department can be found at www.dot.gov.

DOT consists of eleven organizations with their own contracting authority: the Office of the Secretary of Transportation (OST) and ten Operating Administrations (OAs). Each of these has its own management and organizational structure. Most of the OAs are focused on a particular transportation mode (e.g., civil aviation; highways, mass transit) while others focus on particular activities (e.g., transportation research; pipeline safety). A short summary of the work performed by these OAs, as well as contact information is provided in Appendix A.

DOT CONTRACTING ORGANIZATIONS

- Office of the Secretary (OST)
- Federal Aviation Administration (FAA)
- Federal Highway Administration (FHWA)
- Federal Motor Carrier Safety Administration (FMCSA)
- Federal Railroad Administration (FRA)
- Federal Transit Administration (FTA)
- Maritime Administration (MARAD)
- National Highway Traffic Safety Administration (NHTSA)
- Pipeline and Hazardous Materials Safety Administration (PHMSA)
- Research and Innovative Technology Administration (RITA)
- Saint Lawrence Seaway Development Corporation (SLSDC)

II. OFFICE OF SMALL AND DISADVANTAGED BUSINESS UTILIZATION



Pursuant to the Small Business Act, DOT created an Office of Small and Disadvantaged Business Utilization (OSDBU) to ensure that small businesses are treated equitably and have an opportunity to compete and be selected for a fair amount of the agency's contract dollars. DOT's OSDBU (hereafter OSDBU) is comprised of four divisions, each with its own particular set of responsibilities:

- **Procurement Assistance Division** – works closely with DOT prime contractors, program, and procurement officials to ensure maximum practicable opportunities for small businesses to participate in DOT contracts and subcontracts. The division provides management oversight and serves as a liaison with the Small Business Administration (SBA) in administering the various programs implemented through the DOT procurement process.
- **Financial Assistance Division** – helps small businesses gain access to the financing they need to participate in transportation-related contracts. The division administers the Short-Term Lending Program (STLP), which offers financing at competitive interest rates to small businesses certified by the SBA and Disadvantaged Business Enterprises (DBEs). The STLP provides these firms with access to the capital they need to grow and compete in the transportation marketplace.
- **Regional Partnerships Division** – oversees the Small Business Transportation Resource Centers (SBTRCs) which provide small businesses at the state and local level with valuable information and technical assistance to become better prepared to compete for federal, state, and local transportation contracts.
- **National Information Clearinghouse** – where small businesses can obtain program and procurement information, answers to questions, and marketing tips by calling our toll-free number: 1-800-532-1169.

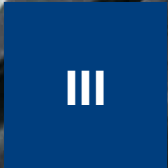
More information on each of the programs within these divisions is provided in Sections V and VI. For up-to-date information on OSDBU's divisions and other services (e.g., Procurement Forecast; "Transportation Link" newsletter; News via Email), check out the OSDBU website at www.osdbu.dot.gov.



MISSION OF DOT's OSDBU

- Ensure that small business policies and goals of the Secretary of Transportation are implemented in a fair, efficient and effective manner to serve small businesses;
- Implement DOT's activities on behalf of small businesses, including businesses owned and controlled by disadvantaged individuals in accordance with Sections 8, 15, and 31 of the Small Business Act, as amended; and
- Provide opportunities, technical assistance, and financial services to the small business community.

III. PROCUREMENT ASSISTANCE PROGRAMS FOR SMALL BUSINESSES



Below is some basic information that will help you to learn about contracting with DOT and other federal agencies as a small business.

A. Small Business Procurement Goals

To ensure that small businesses receive a portion of federal procurements, Congress established the following yearly goals for the percentage of contract dollars that should be directed toward different types of small business:

- 23 percent of prime contracts for small businesses;
- 5 percent of prime and subcontracts for small disadvantaged businesses;
- 5 percent of prime and subcontracts for woman-owned small businesses;
- 3 percent of prime contracts for HUBZone small businesses; and
- 3 percent of prime and subcontracts for service-disabled veteran-owned small businesses.

One of the Small Business Administration's (SBA) responsibilities is to ensure that these government-wide goals are met. To fulfill this responsibility, SBA negotiates goals with federal agencies (including DOT) to establish individual agency goals. Each year DOT works to meet or exceed its procurement goals. In fact, as demonstrated by the chart on the following page, DOT significantly exceeded its small business procurement goals in each of the last three years.

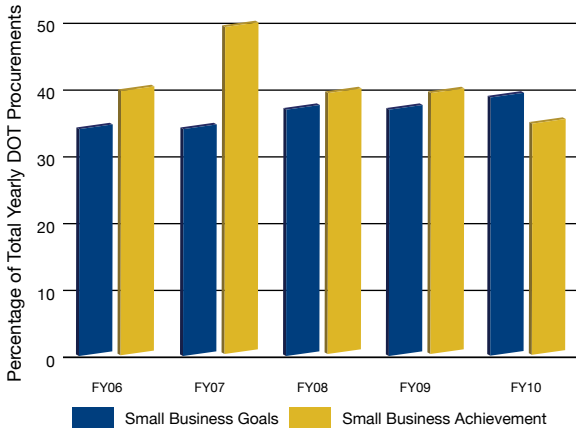
For Fiscal Year 2010, DOT's departmental small business prime contracting goals included:

- 39.0 percent for small businesses;
- 5.0 percent for SDBs and 8(a) firms;
- 5.0 percent for women owned small businesses;
- 3.0 percent for HUBZones; and
- 3.0 percent service-disabled veteran-owned small businesses.

In May 2011, SBA issued its annual Small Business Procurement Scorecard (Scorecard). Once again, DOT received the SBA's highest rating for advancing small business procurement opportunities across all goal areas.

More information on the Small Business Procurement Scorecard, can be found at www.sba.gov/content/small-business-goaling

Historical DOT Small Business Procurement Goals and Achievements



B. Eligibility for Small Business Preference Programs

As discussed above, DOT and the other federal agencies establish annual goals for awarding contracts to small businesses. To help achieve these goals, the federal agencies use several preference programs authorized by the FAR. However, to be eligible for these programs, a firm must demonstrate that it is a “small business.”

WHAT IS THE FAR?

Small businesses are encouraged to become familiar with the Federal Acquisition Regulation (FAR) before attempting to pursue federal contracts. The FAR is codified in Title 48 of the Code of Federal Regulations (CFR) and sets forth the requirements of contractors for selling to the government, as well as the rules for proposals and for the payment of invoices.

Part 19 of the FAR governs “Small Business Programs.” Under Part 19, small businesses are given preferences to participate in federal procurements, such as those initiated by DOT OAs. Some of these preferences are discussed in subsections III-C-1 through III-C-6 of this book.

The FAR can be found at: www.acquisition.gov/Far/

The FAR is supplemented at DOT by the Transportation Acquisition Regulation (TAR) and the Transportation Acquisition Manual (TAM). The TAR establishes uniform acquisition policies and procedures which implement and supplement the FAR. The TAM is issued by DOT's Senior Procurement Executive and establishes for the Department, uniform internal operating acquisition procedures, which implement the FAR, TAR, and other agency regulations and statutory requirements.

Links to the TAR and TAM can be found on DOT's Acquisition and Financial Assistance Management web site at www.dot.gov/ost/m60

The FAR is also supplemented at the Federal Aviation Administration (FAA) by the Acquisition Management System (AMS). AMS establishes policy and guidance for all aspects of lifecycle acquisition management and defines how the FAA manages its resources – money, people, and assets - to fulfill its mission. The AMS can be found at: <http://fast.faa.gov>

1. DEFINITION OF A “SMALL BUSINESS”

A “small business” may be a sole proprietorship, partnership, corporation, or any other legal form. However, to be eligible for small business preferences, the legal entity must meet the following criteria:

- Is organized for profit;
- Has a place of business in the United States;
- Makes a significant contribution to the U.S. economy by paying taxes or using American products, materials or labor; and
- Does not exceed the numerical size standard for its industry (see Table A on following page).

SBA uses the North American Industry Classification System (NAICS) to determine small business size standards. Table A presents SBA's “general” size standards – meaning that a business in one of the listed industry groups is usually considered “small” by SBA if its number of employees or average yearly revenue over three years is not greater than the size standard indicated. However, in some cases, a particular industry within an industry group may have a higher size standard than the group as a whole. This means that a business in that particular industry may exceed the general size standard for its industry group and still be considered “small.” Businesses should consult the SBA's “Table of Small Business Size Standards Matched to North American Industry

Classification System Codes” to determine the size standard for a specific industry.

Table A: Small Business Size Standards for Transportation Related Industries

A business in one of the following industry groups is small if its size is not greater than:*

Industry Group	Size Standard
Construction	
General building and heavy construction	\$33.5 million
Special trade construction	\$14.0 million
Manufacturing	500 employees
Mining	500 employees
Retail Trade	\$7.0 million
Air Transportation:	1,500 employees
Rail Transportation – Line-Haul Railroads	1,500 employees
Rail Transportation – Short Line Railroads	500 employees
Water Transportation	500 employees
Truck Transportation	\$25.5 million
Pipeline Transportation of Crude Oil & Refined Petroleum Products	1,500 employees
Pipeline Transportation of Natural Gas	\$7.0 million
Transit and Ground Passenger Transportation	\$7.0 million
Support Activities for Transportation	\$7.0 million
Port & Harbor Operations	\$25.5 million
Marine Cargo Handling	\$25.5 million
Services	\$7.0 million
Computer programming, data processing & systems design	\$25.0 million
Wholesale Trade	100 employees

*Size standards refer to average number of employees or revenues over a 3-year period. [Source: www.sba.gov/sites/default/files/Size_Standards_Table.pdf]

More information on the SBA definition of a “small business” and the SBA size standards can be found at: www.sba.gov/content/am-i-small-business-concern

2. STEPS REQUIRED OF SMALL BUSINESSES TO DO WORK WITH THE FEDERAL GOVERNMENT

To become eligible for a small business preference, a firm must:

- Acquire a Data Universal Numbering System (DUNS) identification number;
- Register on the Central Contractor Registration (CCR) system; and
- Complete the Online Representations and Certification Application (ORCA).

Each of these steps is free of charge and is discussed immediately below.

a. Acquiring a DUNS Identification Number

A Dun & Bradstreet (D&B) DUNS number is a unique nine digit sequence recognized as the universal standard for identifying and tracking over 100 million businesses worldwide. It is mandatory to have a DUNS number before registering your small business in the CCR.

HELPFUL HINT

To obtain a DUNS number, contact D&B at either (888) 814-1435 or www.dnb.com/us/

b. Registering a Firm in the CCR System

The CCR is the primary vendor database for the federal government. CCR collects, validates, stores, and disseminates data in support of agency acquisition missions. Only those vendors registered in the CCR are eligible to receive federal contracts.

The CCR also provides access to the SBA's database of small business contractors, the Dynamic Small Business Search (DSBS). The DSBS allows government buyers to research potential contractors and evaluate the small business community's capacity to perform certain work. Vendors can also connect to the DSBS to identify small businesses as potential teaming partners or subcontractors.

Vendors receiving payments under DOT contracts, purchase orders, delivery orders, or other contractual vehicles must be registered in the CCR. Information in the CCR must be accurate in order for contractors' invoices or contract financing requests to be considered proper for the purpose of prompt payment under DOT contracts.

More information on CCR or DSBS can be found at www.ccr.gov.

c. Completing ORCA

HELPFUL HINT

Small businesses are encouraged to create a one-page capability statement and provide it to OSDBU and the DOT Small Business Specialists for each OA and office (contact information for the Small Business Specialists is provided in Section V-A-2).

ORCA is an electronic system which replaces paper-based representations and certifications that were required in solicitations. Effective January 1, 2005, the FAR mandated prospective contractors to complete electronic annual representations and certifications via ORCA when registering in CCR. It is necessary to have an active CCR record and a Marketing Partner ID from CCR when registering in ORCA.

More information on how to register onto ORCA can be found at <https://orca.bpn.gov>.

Please note that SBA does not certify a firm as a small business – though it does provide such certification for particular types of small business (i.e., HUBZone, 8(a)).

C. Preferences for Different Types of Small Business

Small businesses owned by socially and economically disadvantaged individuals, women, or service-disabled veterans can qualify for additional preferences in federal procurement. Government agencies are required by law to award a percentage of contracts to small businesses. Agencies also set procurement goals for small, disadvantaged, HUBZone, woman-owned and service-disabled veteran-owned small businesses.

To qualify as a small disadvantaged, woman- or service-disabled veteran-owned business, a company must fit the definitions set out by the SBA. These definitions are discussed in the subsections below. Companies can be certified in more than one category if the owner fits more than one definition, e.g., small disadvantaged and woman-owned business.

The following small business certifications and goals apply to DOT's direct contracting program. They are implemented under the authority of the Small Business Act and the FAR. These do not apply to the DOT's DBE program discussed later on in this section.

1. SMALL DISADVANTAGED BUSINESSES (SDB)

An SDB is a small business that is at least 51% owned and operated by one or more persons considered socially and economically disadvantaged. An individual is considered “socially disadvantaged” if they have been subjected to prejudice or bias based on their racial or ethnic identity. Individuals are seen as “economically disadvantaged” if their ability to compete in the economy has been impaired due to diminished capital and access to credit.

Businesses self-certify that they are SDBs in order to make them eligible for benefits in federal procurement. There are three ways to become certified as an SDB:

- All firms that are current participants in the SBA’s 8(a) Business Development Program are automatically deemed to be certified as SDBs;
- Any firm may apply to the specific procuring agency stating that they meet the eligibility standards of an SDB; or
- A procuring agency may accept a certification from another entity (e.g., a private certifying agency or a state or local government) that a firm qualifies as an SDB if the agency deems it appropriate.

African Americans, Native Americans, Hispanic Americans, Asian Pacific Americans and Subcontinent-Asian Americans are presumed to qualify. All individuals must have a net worth of less than \$750,000 excluding the equity of the business and primary residence.

SBA has a yearly government-wide goal that at least 5% of federal procurement dollars be awarded to SDBs. As indicated by the FY 2009 Scorecard, DOT exceeded this goal – providing 13.36% to SDBs.

2. 8(a) BUSINESSES

Some certified small disadvantaged businesses may also qualify to participate in the SBA’s 8(a) Business Development Program (so named because the program’s authority is found in Section 8(a) of the Small Business Act). The 8(a) program helps small disadvantaged businesses compete in the federal and private sectors.

The focus of the program is to provide business development support, such as mentoring, procurement assistance, business counseling, training, financial assistance, surety bonding, and other management and technical assistance.

The major advantage of this program is that it allows the government to contract, on a noncompetitive basis, up to \$3.5 million (\$5 million for manufacturing NAICS) per contract with 8(a) certified firms. Businesses must meet eligibility requirements established by the SBA each year including pre-established 8(a) vs. non-8(a) revenue mixes.

DOT has obtained special authority from the SBA to negotiate directly with 8(a) firms on the behalf of SBA, which helps expedite to contract award process.

Two Stages of Participation in the 8(a) Program

- **Developmental Stage** – designed to help 8(a) certified firms overcome their economic disadvantage by providing access to assistance in expanding their business and fostering meaningful business relationships. This period covers years one through four of a firm’s participation.
- **Transitional Stage** – designed to help program participants become more effective in both the large business and government sector market in dealing with complex business deals and to prepare them for post 8(a) program expansion and development (formal certification is required by the SBA). This period occurs from the fifth through the ninth year of the firm’s participation in the program.

More information about the 8(a) program can be found on the SBA website at www.sba.gov/content/8a-business-development

Steps for Participating in the SDB and/or 8(a) Program

- Register in the CCR system (see Section III-B-2 above).
- Visit the 8(a) certification website and follow the instructions at: <https://sba8a.symlicity.com/applicants/guide>

3. WOMAN-OWNED SMALL BUSINESSES (WOSB)

To qualify as a WOSB, a small business concern must meet the following two conditions:

- At least 51% owned by one or more women, or, in the case of any publicly owned business, at least 51% of the stock of which is owned by one or more women; and
- Management and daily business operations are controlled by one or more women.

There are two ways to certify for the program: 1) Self certification with supporting documents, or 2) Third Party Certification with supporting documents.

In 1994, Congress established a government-wide goal that WOSBs be awarded at least 5% of the total value of all prime contract and subcontract awards for each FY – even though there are no set-aside procurement programs awarding a contract to a WOSB. In FY 2009, DOT awarded 10.94% of its prime and subcontracts to WOSBs.

More information about the WOSB program can be found on the SBA website at: www.sba.gov/content/women-owned-small-business-federal-contract-program

4. HISTORICALLY UNDERUTILIZED BUSINESS ZONE (HUBZONE) BUSINESSES

The HUBZone program stimulates economic development and creates jobs in urban and rural communities by providing federal contracting preferences to small businesses. These preferences go to small businesses that obtain HUBZone certification from the SBA.

To receive such certification, the firm must fill out an application that demonstrates that the firm meets the following criteria:

- It is a small business by SBA standards;
- It is owned and controlled at least 51% by U.S. citizens, a Community Development Corporation, an agricultural cooperative, or an Indian tribe;
- Its principal office is located within a HUBZone, which includes lands considered “Indian Country” and military facilities closed by the Base Realignment and Closure Act; and
- At least 35% of its employees reside in a HUBZone.

The **HUBZone** certification application can be found at: https://eweb1.sba.gov/hubzone/internet/general/dsp_enter_application.cfm

Besides determining which businesses are eligible to receive HUBZone contracts, the SBA maintains a listing of qualified HUBZone small businesses that federal agencies can use to locate vendors and adjudicates protests of eligibility to receive HUBZone contracts.

Federal law requires federal agencies to award at least 3% of their annual procurement budgets to HUBZone businesses. In FY 2009, DOT more than doubled this goal - providing 7.08% of its procurement dollars to HUBZone businesses.

IS YOUR BUSINESS IN A HUBZONE? More information on HUBZones can be found on the SBA website at <http://www.sba.gov/hubzone> Check out the map at: <http://map.sba.gov/hubzone/init.asp>

5. SERVICE-DISABLED VETERAN-OWNED SMALL BUSINESSES (SDVOSB)

DOT strongly supports the use of veteran-owned firms as contracting resources. An SDVOSB is a business that is at least 51 percent owned and operated by one or more service-disabled veterans. If a veteran has a permanent service-connected disability and the firm is run by a spouse or permanent caregiver, the firm can still qualify for this status.

As with small businesses in general, the SBA places the responsibility for certifying whether a business is a SDVOSB on the firm itself. To be seen as a SDVOSB, the firm must self certify that: 1) at least 51% of the business is owned by one or more service-disabled veterans, and 2) management and daily business operations are controlled by one or more service-disabled veterans.

Self-certification for SDVOSBs can be supported by the presentation of a Defense Department Form 214 which states the owner has a service-connected disability and a letter of adjudication from the US Department of Veterans Affairs (VA).

Contracts are awarded through a sole-source or set-aside based on competition restricted to SDVOSBs. The program guidelines are documented in FAR 19.1405 and 19.1406.

More information on the SDVOSB Program can be found on the VA website at: www.vetbiz.gov/. Also, FAR 19.14 provides details of the program at https://www.acquisition.gov/far/current/html/Subpart%2019_14.html#wp1093836

6. VETERAN-OWNED SMALL BUSINESSES (VOSB)

To qualify as a VOSB, a business concern must be at least 51% owned by one or more eligible veterans; or, in the case of any publicly-owned business, at least 51% of the stock is owned by one or more veterans, and whose management and daily business operations are controlled by such veterans. While there is no mandated goal for VOSBs, large prime contractors are required to include VOSBs in their subcontracting plans.

The Center for Veterans Enterprise (CVE) in the VA provides services free to anyone who served in the active military, naval, or air service, and who was discharged or released under conditions other than dishonorable. These free services include providing:

- Vendor Information Pages (VIP);
- Assistance Program Pages (APP); and
- Business Coaching, Networking, and Outreach.

Each of these services is discussed in more detail below.

CVE Services

Vendor Information Pages (VIP) – a veteran business database that lists businesses that are 51% or more owned by veterans or service-connected disabled veterans. VIP averages over 4,500 visits per month accounting for over 4,100 vendor searches by federal agencies, prime contractors and private citizens. This database is also the primary source for all inquiries for market research requested through CVE and VA. VIP is located at www.vip.vetbiz.gov/.

Assistance Program Pages (APP) – an electronic clearinghouse that provides a wealth of resources for the veteran contemplating small business ownership and veteran small business owners considering expansion. This database of professional business development organizations provides assistance in startup, financing, and procurement, in addition to other areas within your local community. APP provides a one stop resource center for veterans interested in business ownership that can be found at <http://app.vetbiz.gov/>.

Business Coaching, Networking, and Outreach – In-house experts help veteran business owners with specific business questions, brainstorming, and counseling. For information, call toll free at 866-584-2344 or send an email to VACVE@va.gov.

Table B below summarizes the certification responsibilities and procedures for each small business set-aside program.

Table B: Certification Requirements for Different Types of Small Business at the Federal Level*

Type of Small Business	Entity Responsible for Certification	Certification Procedure (if applicable)
General small business	Self-certification	Register firm on CCR Complete ORCA
SDB, 8(a), and HUBZone	SBA	Complete application form on the SBA website
WOSB	Self-certification	None
SDVOSB	Self-certification	Be able to produce a DD-214 if contested, as well as receive disability rating from VA

*There is also a small business program for Disadvantaged Business Enterprises, where certification is the responsibility of state and local governments – not the federal government. This program is discussed in Section III-D.

D. U.S. Department of Transportation Disadvantaged Business Enterprise (DBE) Program

1. HOW THE DOT DBE PROGRAM WORKS

The DBE program is unique to the transportation sector and covers contracts let by state highway agencies, airports, transit authorities, and other state and local agencies that receive DOT funds. DOT provides substantial financial assistance to state and local transportation agencies (recipients) for their highway, transit and airport projects. Recipients of funds from FAA and FTA must have a DBE program if they plan to award contracts exceeding \$250,000. All recipients of FHWA funds must have a DBE program.

The overall objective of the DBE program is to ensure nondiscrimination in the award and administration of DOT-assisted contracts in the Department's highway, transit, and airport financial assistance programs. The DOT DBE program is implemented using guidelines set forth at Title 49 CFR Parts 23 and 26.

Goals for utilization of DBEs are developed by recipients of DOT funds based on the availability of DBEs and other factors. These goals may be included in contracts and/or subcontracts that are financed by DOT funds. Only firms that have been certified as DBEs can be counted to meet these goals.

What is a DBE?

DBEs are for-profit small business concerns in which socially and economically disadvantaged individuals own at least a 51% interest and also control management and daily business operations.

African Americans, Hispanics, Native Americans, Asian-Pacific and Subcontinent Asian Americans, and women are presumed to be socially and economically disadvantaged. Other individuals can also qualify as socially and economically disadvantaged on a case-by-case basis.

To be regarded as economically disadvantaged, an individual must have a personal net worth that does not exceed \$1.32 million. To be seen as a small business, a firm must meet SBA size criteria AND have average annual gross receipts not to exceed \$22.41 million. Size limits for the airport concessions DBE program are higher.



DOT tells the recipients to give priority to race-neutral methods to meet these goals. To the extent that the goals are not met, then recipients use contract specific goals as appropriate. The level of DBE subcontracting goals may vary from their approved DBE goal; however, at the end of the year, the amount of contract/subcontract awards to DBEs should be consistent with the overall goal.

To participate in the program, a small business owned and controlled by socially and economically disadvantaged individuals must receive DBE certification from their relevant state or local transportation agency – generally through the state’s Uniform Certification Program. This is NOT a federal certification and is NOT applicable to federal contracts. Firms should contact their state DBE or UCP to learn more about applying for DBE certification. A list of state DBE contacts can be found in Appendix B.

2. ROLE OF STATE AND LOCAL TRANSPORTATION AGENCIES

As recipients of DOT financial assistance, state and local transportation agencies are responsible for:

- Certifying the eligibility of DBE firms to participate in their DOT-assisted contracts;
- Establishing narrowly-tailored goals for the participation of disadvantaged entrepreneurs; and
- Evaluating their DOT-assisted contracts throughout the year and establishing contract-specific DBE subcontracting goals as necessary to achieve the overall goal of the agency.

What is the Uniform Certification Program (UCP)?

The purpose of the UCP is to provide “one-stop shopping” to DBE applicants. Under this program, a firm applies one time with the state certification agency, and if approved, that certification is shared by all other recipients of federal highway, transit, and airport improvement financing in that state.

Federal and state contacts, including the UCPs for the DBE Program are provided in Appendix B. More information about the DBE Program can be found on the OSDBU website at: www.osdbu.dot.gov/DBEProgram/

3. ROLE OF US DOT

DOT is responsible for:

- Developing the rules and regulations for the national DBE program;
- Providing guidance and conducting oversight to make sure that these rules and regulations are followed by the recipients of DOT funds; and
- Considering appeals from state/local certification decisions.

Distinction Between Direct Contracting Small Business Preferences and the DBE Program

When a DOT OA (with the exception of the FAA) needs a service and/or a product, the procurement falls under the purview of the FAR (a discussion of the FAR is provided in Section III).

The DOT DBE Program, on the other hand, is governed by DOT guidelines set forth in Title 49 CFR Parts 23 and 26 and does not involve DOT providing a preference to small businesses when it procures a good or service. Rather, the requirement is placed on state or local transportation agencies when they are the recipients of federal financial assistance, aid, or grants. When those agencies need to procure a good or service, they must follow DOT guidelines and provide preferences to certified DBEs.



IV. FINDING OPPORTUNITIES AND SELLING TO THE GOVERNMENT



A. Major Contract Vehicles

The acquisition process begins when an agency decides to seek goods or services from the private sector. The three most frequently used procurement methods utilized by the federal contracting community are:

- Open Market Acquisitions (Unrestricted, and various small business set-aside competitions including 8(a) set-asides, are performed under this procurement method);
- Purchase Card Programs; and
- Orders from pre-existing contracting vehicles such as the U.S. General Services Administration (GSA) Federal Supply Schedules.

In addition, all small businesses should consider partnering with other firms to sell to the federal government; i.e., “subcontracting.” These different contract mechanisms are discussed in more detail immediately below.

B. Open Market Acquisitions

1. OVERVIEW

Federal agencies, including DOT, can buy from outside vendors in a variety of ways (e.g., sole source, small business set-aside); however, open competition is the most common method of awarding contracts. Competition among multiple companies for federal procurement helps ensure that the government will obtain the highest quality work at the best value.

Open market federal solicitations are published at **FedBizOpps.gov**, the federal government’s procurement portal, which lists procurements worth \$25,000 or more. Companies wishing to compete for an open market contract must submit a bid or proposal to do the work. The agency then selects the best offer and awards the contract to the successful firm.

What is FedBizOpps?

Federal Business Opportunities (FedBizOpps) is the primary location to identify active federal contract opportunities (including DOT opportunities) over \$25,000. FedBizOpps allows you to search for federal procurement opportunities and receive automatic email announcements on those same procurements as soon as they are announced. FedBizOpps can be accessed on the web at either **www.fbo.gov** or **www.fedbizopps.gov**

2. SMALL BUSINESS SET-ASIDES

The Small Business Set-Aside Program helps assure that small businesses are awarded a fair proportion of government contracts by reserving (i.e., “setting aside”) certain government purchases exclusively for participation by small business concerns. Set-asides can be for small businesses generally or for particular types of small business (e.g., 8(a); SDVOSB). The determination to make a small business set-aside is usually made unilaterally by the Contracting Officer (CO).

Under the set-aside program, every acquisition of supplies or services that has an anticipated dollar value between \$2,500 and \$100,000 is automatically reserved exclusively for small businesses. However, every set-aside must meet the “Rule of Two,” which requires that there must be a reasonable expectation that offers will be obtained from two or more small business concerns that are competitive in terms of market prices, quality, and delivery. If only one acceptable offer is received from a responsible small business concern in response to a set-aside, the CO is required to make an award to that firm. If no acceptable offers are received from responsible small business concerns, the set-aside will be withdrawn and the product or service, if still valid, will be solicited on an unrestricted basis.

For contracts over \$100,000, a CO is required to set it aside if there is a reasonable expectation that offers will be obtained from at least two responsible small business concerns offering the products of different small business concerns and that award will be made at fair market prices. In many cases, a CO will issue a “Sources Sought” asking for small businesses to respond with a brief written statement of their qualifications to provide a particular good or service. If the CO determines that the “Rule of Two” is met, the procurement will be set aside. Please note that a contracting agency can set aside a procurement for small businesses in general or for a particular type of small business (e.g., HUBZone; SDVOSB).

3. SOLE SOURCE PROCUREMENTS

The government may also award a contract to a company without holding a competition. This kind of award is called “sole source” and is available to all vendors, but only under special circumstances set out in federal law. As with all

HELPFUL HINT

Small businesses are encouraged to respond to Sources Sought notices so that the contracting agency can evaluate whether there are two responsible firms to bid on the project – and thereby help ensure that the proposed procurement is set aside for small businesses. Contracting agencies post their Sources Sought notices on FedBizOpps.

open market acquisitions, small businesses can identify active set-aside opportunities and learn about both set-aside and sole source awards through FedBizOpps.

4. DOT PROCUREMENT FORECAST

One of your best sources for learning about DOT open market opportunities is the DOT Procurement Forecast, which is issued by the first day of each fiscal year (October 1st). The DOT Procurement Forecast provides information on anticipated procurements over the simplified acquisition threshold (\$100,000). Maintained as a dynamic database, the Procurement Forecast can be searched by quarter, industry category, OA and key words. This Forecast is an essential tool for any small business interested in contracting with DOT. The DOT Procurement Forecast is for informational and marketing purposes only and does not constitute a specific offer or commitment by the DOT to fund, in whole or in part, any of its planned procurements.

More Information on the DOT Procurement Forecast is found at: www.osdbu.dot.gov/Procurement/ The DOT Procurement Forecast provides information on potential opportunities for each of the DOT OAs, with the exception of FAA. FAA issues its own FAA Procurement Forecast, which is located at www.sbo.faa.gov/sbo/ProcurementForecast.cfm

C. Purchase Card

Federal government agencies began using the purchase card in the late 1980's as a way to acquire small-dollar items in a more efficient manner than open market acquisitions. DOT (like many other federal agencies) established a Purchase Card Program (also known as Credit Card Program), which requires the use of the purchase card for all "micro-purchases;" i.e., any authorized purchase that does not exceed \$3,000.

Under the DOT Purchase Card Program, purchase card holders can go directly to the supplier or service provider for their micropurchase need. CCR registration for purchase card vendors is not mandatory and purchase card holders are required to rotate sources when acquiring goods and services under the DOT Purchase Card Program.

D. GSA Schedules

Federal agencies often select potential vendors from the GSA Schedules, also referred to as Multiple Award Schedules or Federal Supply Schedules. Administered by the U.S. General Services Administration (GSA), the

schedules deliver millions of commercial supplies and services at volume discount pricing to government purchasers.

Whether your firm sells everyday items like cleaning supplies, or provides specialized services like language translation or event planning, the schedules likely have a contract category that fits your business. To be listed on the GSA Schedules, contractors must offer to sell their products or services to the government at what the GSA considers to be a “fair and reasonable price.” Federal agencies throughout the government may then buy from the vendor at the schedule-listed price or ask listed vendors to compete for specific procurements.

The GSA Schedules are one of the largest contracting tools in the federal government. Becoming a schedule contractor requires a multi-step process, usually taking several weeks to complete. GSA offers free workshops on obtaining schedule contracts—many tailored to small businesses.

More information about GSA Schedules can be found at www.gsa.gov.

E. Subcontracting

To strengthen their proposals and bids, firms can partner with other companies that have a government contract or are bidding as a prime contractor. Smaller companies often fill niches that complement a prime contractor’s services. Large firms bidding on contracts valued at \$650,000 or more (\$1.5 million for construction) must submit an acceptable subcontracting plan that sets percentage (based on the contract’s total value) and dollar goals for the award of subcontracts to small business, veteran-owned small business, service-disabled veteran-owned small business, HUBZone, small disadvantaged business and women-owned small business concerns.

Subcontracting can present small businesses with opportunities that might otherwise be unattainable because of limited resources, staffing, capital, or experience. OSDBU works closely with SBA and its Procurement Center Representatives (PCRs) to coordinate policy direction and develop new initiatives on subcontracting issues:

- OSDBU and the SBA PCRs evaluate, review, and make recommendations on subcontracting plans; and
- OSDBU also helps large prime contractors in identifying potential small businesses to assist them in attaining their subcontracting goals.

More than 50% of DOT subcontracting opportunities are awarded to small business, and prime contractors report their achievements annually and

semi-annually using the electronic subcontracting reporting system, www.eSRS.gov. See the next page for more information on the role of PCRs.

OSDBU's Procurement Assistance Division is responsible for compiling and publishing the DOT Subcontracting Directory. This Directory is published as a marketing aid for small businesses to participate in DOT procurements as subcontractors. The Directory provides the names and addresses of major DOT prime contractors with approved subcontracting plans. It also provides contact information for each of the company's subcontracting liaison representative, as well as a description of the project or items to be subcontracted. Small businesses should contact the company's subcontracting liaison representative who can advise you on how your firm can join their subcontracting vendor's team. In addition, the SBA also has a Subcontracting Network Website called Sub-Net that is used by prime contractors to post subcontracting opportunities.

The DOT Subcontracting Directory is posted at
www.osdbu.dot.gov/procurement/subcontracting_directory.cfm

Sub-Net is located at: web.sba.gov/subnet/search/

What are the Responsibilities of the SBA PCRs?

The SBA may assign one or more PCRs to any contracting activity or contract administration office, such as an OSDBU office, to carry out SBA policies and programs. PCRs are required to comply with the contracting agency's directives governing the conduct of contracting personnel and release of contract information. PCR roles and responsibilities include:

- Reviewing proposed acquisitions to recommend set-asides not unilaterally set-aside by the Contracting Officer (CO);
- Working closely with the Small Business Specialists and Program Office Personnel;
- Assisting in the development of appropriate language for solicitations for small business considerations;
- Providing oversight, recommendations and advice on the acquisition process in both pre- and post-award situations; and
- Recommending newly qualified small, small disadvantaged, 8(a), women-owned, HUBZone, veteran-owned, and service-disabled veteran-owned small business sources to federal agencies seeking their type of service or product.

More information on the current PCR Directory can be found on the SBA website at www.sba.gov/content/procurement-center-representatives

RESOURCES TO HELP SMALL AND DISADVANTAGED BUSINESSES



A. DOT Resources

1. OSDBU'S NATIONAL INFORMATION CLEARINGHOUSE (NIC)

THE NIC SERVES AS A CENTRAL POINT OF CONTACT FOR THE DISSEMINATION OF:

- Program and procurement information;
- Procurement forecasts;
- Forms, data, public laws, and orders; and
- Other similar information of interest.

OSDBU BUSINESS SPECIALISTS PROVIDE COUNSELING ON A VARIETY OF ISSUES INCLUDING:

- How to market DOT for contracting opportunities;
- How to become certified under the DOT DBE program;
- The basic procedures of government contracting; and
- The appropriate points of contact at the federal, state and local levels.

For specific requests that require the assistance of small business specialists, the NIC customer service representatives will transfer calls to one of the OSDBU business specialists with the appropriate expertise. OSDBU's business specialists are committed to responding to inquiries with courteous and prompt service within one business day.

Three Options for Contacting the NIC:

Call OSDBU's dedicated toll-free number:

1-800-532-1169

Email OSDBU through the Customer Feedback link of the OSDBU Website:

www.osdbu.dot.gov/about/feedback.cfm; or

Draft a letter to OSDBU and mail to:

U.S. Department of Transportation
Office of Small and Disadvantaged Business Utilization
1200 New Jersey Avenue, SE, W56-485
Washington, DC 20590

2. DOT'S SMALL BUSINESS SPECIALISTS

Once you've had an opportunity to learn about the process of contracting with DOT at the general level from OSDBU, you should then contact individuals at each of the department's OAs.

OSDBU's Procurement Assistance Division is responsible for working closely with each of the OA's Small Business Specialists to ensure that adequate procurement opportunities are made available to small businesses. Below is a listing of small business specialists in each OA whose primary role is to serve as advocates to the small business community and to promote the allocation of procurement opportunities to the various small business programs within their specific OA.

FAA

Room 715
800 Independence Avenue, SW,
Washington, DC 20591

Inez C. Williams

P: (202) 267-8881
inez.williams@faa.gov

Frederick Dendy

P: (202) 267-7454
fred.dendy@faa.gov

FHWA

Room W36-320
1200 New Jersey Avenue, SE
Washington, DC 20590

Frank Waltos

P: (202) 366-4205
frank.waltos@dot.gov

FMCSA

Room W66-499
1200 New Jersey Avenue, SE
Washington, DC 20590

Nathan Watters

P: (202) 366-3036
nathan.watters@dot.gov

FRA

Room W34-304
1200 New Jersey Avenue, SE
Washington, DC 20590

Dana L. Hicks

P: 202-493-6131
dana.hicks@dot.gov

FTA

Room C42-318
1200 New Jersey Avenue, SE
Washington, DC 20590

Sonja Rousey

P: (202) 366-2508
sonja.rousey@dot.gov

MARAD

Room W26-421
1200 New Jersey Avenue, SE
Washington, DC 20590

Rita C. Thomas

P: (202) 366-2802
rita.thomas@dot.gov

NHTSA

Room W51-125
1200 New Jersey Avenue, SE
Washington, DC 20590

Lloyd Blackwell

P: (202) 366-9564
lloyd.blackwell@nhtsa.dot.gov

OST

Office of the Secretary
Acquisition Services Division
Room W83-492
1200 New Jersey Avenue, SE
Washington, DC 20590

Yolanda J. Chinn

P: (202) 366-4968
loni.chinn@dot.gov

PHMSA

Room E22-230
1200 New Jersey Avenue, SE
Washington, DC 20590

Eric Hilton

P: (202) 366-3845
eric.hilton@dot.gov

RITA-Headquarters

Office of the Secretary
Acquisition Services Division
Room W83-492
1200 New Jersey Avenue, SE
Washington, DC 20590

Phaedra Johnson

P: (202) 366-0742
phaedra.johnson@dot.gov

RITA-Volpe

Acquisition Management Division,
RVP-33
Volpe National Transportation
Systems Center
55 Broadway
Cambridge, MA 02142

Kristen Laggis Pedroli

P: (617) 494-2389
kristen.pedroli@dot.gov

**RITA Small Business Innovation
Research Program**

Volpe National Transportation
Systems Center
Room RVA-21
55 Broadway
Cambridge, MA 02142

Leisa Moniz

P: (617) 494-2051
leisa.moniz@dot.gov

SLSDC

PO Box 520
180 Andrews Street
Massena, NY 13662

Patricia White

P: (315) 764-3236
patricia.white@dot.gov

3. SMALL BUSINESS TRANSPORTATION RESOURCE CENTERS (SBTRC)

The Office of Small and Disadvantaged Business Utilization (OSDBU) enters into successful partnerships between OSDBU and non-profit organizations such as, chambers of commerce, trade associations, educational institutions and business-centered community-based organizations to operate Small Business Transportation Resource Centers (SBTRCs) on a regional basis. The SBTRCs work closely with state and local transportation agencies located in their jurisdictions. They also assist firms that are interested in doing business with US DOT directly or with state, or local agencies receiving DOT funding.

Type of Services Provided

- Business Analyses, Market Research
- General Management & Technical Assistance
- Business Counseling
- Planning Committees
- Outreach/ Conference Participation
- Bonding Education Program
- Women & Girls Internship Program

Eligible small businesses

- 8(a) certified
- Disadvantaged Business Enterprise (DBE)
- Women Owned Small Business (WOSB)
- Historically Underutilized Business Zone (HUBZone) business
- Service Disabled Veteran Owned Small Business (SDVOSB)
- Veteran Owned Small Business (VOSB)

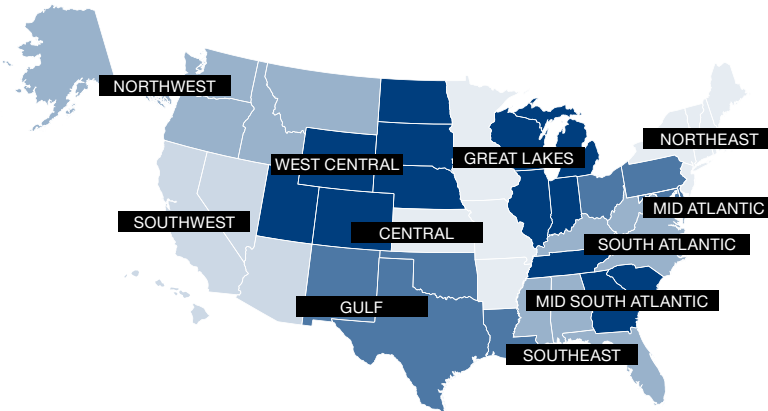


Table C: Regions and Contacts for the SBTRCs

<p>Northwest Region Alaska, Idaho Montana, Oregon Washington</p>	<p>Economic Alliance of Snohomish County 728 134th St., SW, Suite 128 Everett, WA 98204</p>	<p>Lily Keeffe, Project Director P: (206) 718-7250 F: (425) 745-5563 lkeeffe@snoedc.org</p>
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<p>Central Region Arkansas, Iowa, Kansas, Minnesota, Missouri</p>	<p>University of Missouri-Columbia W1026 Lafferre Hall 400 South 6th Street Columbia, MO 65211</p>	<p>Rhonda K. Wilson, Project Director P: (573) 882-0139 F: (573) 882-9931 wilsonrh@missouri.edu</p>
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<p>West Central Region Colorado, Nebraska, North Dakota, South Dakota, Utah, Wyoming</p>	<p>Colorado Contractors Association 6880 South Yosemite Court, Suite 200 Centennial, CO 80112-1437</p>	<p>Lavonna Stathes, Project Director P: (303) 290-6611 F: (303) 290-9141 lstathes@cainfo.org</p>
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<p>Gulf Region Louisiana, New Mexico, Texas Oklahoma,</p>	<p>Greater Dallas Hispanic Chamber of Commerce 4622 Maple Avenue, Suite 207 Dallas, TX 75219-1101</p>	<p>Diana L. Flores, Project Director P: (214) 523-3432 F: (214) 520-1687 diana@gdhcc.com</p>
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<p>Great Lakes Region Illinois, Indiana, Wisconsin, Michigan</p>	<p>Illinois Hispanic Chamber of Commerce 855 W. Adams, 1st Floor, Chicago, Illinois 60607</p>	<p>Roberto Escalante, Project Director P: (312) 425-9500 F: (312) 425-9510 rescalante@ihccbbusiness.net</p>
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**South Atlantic
Region**

North Carolina,
Virginia, Kentucky,
West Virginia

**North Carolina A&T
University**

312-G Craig Hall
1601 E. Market Street
Greensboro, NC 27411

**George C. Jones, Jr.,
Project Director**

P: (336) 256-2111
F: (336) 334-7093
gcjones@ncat.edu

Southeast Region

Florida, Alabama,
Mississippi, Puerto
Rico, US Virgin
Islands

**Miami Dade College -
West Campus**

3800 N.W. 115th Avenue
Suite 1327
Doral, FL 33178

**Adrianna Clark,
Project Director**

P: (305) 237-8523
F: (305) 237-5108
aclark1@mdc.edu

**Mid South Atlantic
Region**

Georgia, Tennessee,
South Carolina

**Greater Atlanta Economic
Alliance**

230 Peachtree Street, N.W.
Suite 530
Atlanta, GA 30303

**Gwen Coleman Winston,
Project Director**

P: (404) 827-9677
F: (404) 525-6226
gwen.winston@twd-inc.net

**Mid Atlantic
Region**

Pennsylvania,
Maryland, District of
Columbia, Delaware
Ohio

**Greater Philadelphia
Minority Business
Strategic Alliance**

105 N. 22nd Street,
Philadelphia, PA 19103-1302

**Tiffany L. King,
Project Director**

P: (215) 399-0062
F: (215) 399-0063
tking@gpmbusa.com

Northeast Region

Connecticut, Maine,
Massachusetts,
New Hampshire,
New Jersey, New
York, Rhode Island,
Vermont

**LaGuardia Community
College**

30-20 Thompson Avenue,
B-309
Long Island City, NY 11101

**Elizabeth Perdomo,
Project Director**

P: (718) 482-5941
F: (718) 609-2036
eperdomo@lagcc.cuny.edu

Southwest Region

Arizona, California,
Hawaii, Nevada,

**California Asian Pacific
Chamber of Commerce**

2012 H Street, Suite 202
Sacramento, CA 95811

**Scott Leslie,
Project Director**

P: (916) 443-5957
F: (916) 446-7098
sleslie@sacasiancc.org

For more information on the SBTRC program, visit our web site, dial the SBTRC dedicated toll-free number at 1-866-928-6289, or contact:

**Regional Partnerships Division
Office of Small and Disadvantaged Business Utilization**

W56-462
1200 New Jersey
Ave., SE,
Washington, DC
20590

**Arthur D. Jackson,
Manager**
P: (202) 366-1930
F: (202) 366-7228
art.jackson@dot.gov

**Patricia Martin, Program
Analyst**
P: (202) 366-1930
F: (202) 366-7228
patricia.martin@dot.gov

4. ENTREPRENEURIAL TRAINING WOMEN AND GIRLS INTERNSHIP PROGRAM

The U.S. DOT Women’s Internship Program was created to encourage women and girls to pursue careers in science, engineering, and technology and to help women in these fields to achieve their goals is offered in all eleven OSDBU regions, which enables young women from colleges and universities across the country to participate. Administered through the department’s 11 Small Business Transportation Resource Centers (SBTRC) which provide resources, technical assistance and outreach to all 50 states and U.S. territories, each SBTRC will be responsible for placing qualified female college students in transportation related internships throughout their regions. This national program, based on a successful pilot with Spelman College that Secretary LaHood announced with Congressman John Lewis and OSDBU Director Neal in Atlanta in 2009, is part of a broader effort led by the White House to ensure that federal programs and policies take into account the distinct needs and concerns of women and girls.

The goals of the program are to increase the participation of women in the transportation industry and prepare young women to become our nation’s future leaders. To accomplish these goals, the program will:

- Identify the current situation for women participation in the transportation infrastructure industry, address those challenges, and seek to improve the status quo; and
- Educate young women on the exciting opportunities available in the transportation infrastructure industry and inspire them to enter the science, engineering, and technology fields;

For more information about participating as an intern or to mentor/offer an internship visit: **www.osdbu.dot.gov/WG**

5. SMALL BUSINESS INNOVATION RESEARCH (SBIR) PROGRAM

Congress established the SBIR Program to encourage the initiative of the private sector, stimulate technological innovation, and utilize small and disadvantaged businesses as effectively as possible in meeting federal research and development (R&D) needs. In November 1982, the Secretary of Transportation chose the Volpe Center to direct the Department's SBIR Program due to its extensive background in innovative programs.

The Volpe Center, through DOT's SBIR website, solicits eligible small businesses to submit innovative research proposals that address high priority requirements of the Department and have the potential for commercialization. Businesses are eligible if they meet the following criteria:

- The business is American-owned and independently operated;
- It is operated for-profit;
- The principal researcher is employed by the business; and
- The company size is limited to fewer than 500 employees.

There are Three Phases to the DOT SBIR Program:

- **Phase I: The conducting of feasibility-related experimental or theoretical research or Research and Development (R&D) efforts on specified research topics.** The dollar value of the proposal should not exceed \$100,000 and the period of performance may be up to six months. The primary basis for award will be the scientific and technical merit of the proposal and its relevance to DOT requirements. (Only Phase I awardees are eligible to participate in Phase II).
- **Phase II: This phase is the principal research or R&D effort having a period of performance of approximately two years with a dollar value of up to \$750,000.** DOT will accept Phase II proposals under the SBIR Program only from firms which have previously received a DOT Phase I award. Awards would be based upon the results achieved in Phase I, the technical merit of the Phase II proposals, potential for commercialization and commitment for follow-on funding from non-federal sources for Phase III.
- **Phase III: This phase is to be conducted by the small businesses with non-federal funds to pursue commercial applications of the research or R&D funded in Phases I and II by the Department.** Phase III may also involve follow-on non-SBIR funded contracts with components of DOT for products or processes for use by the government.

More information on the SBIR program can be found at www.volpe.dot.gov/sbir

B. Additional Government Agency and Private Sector Resources

Following is a listing of key resources outside of DOT that are available to the small business community to provide information and assistance for doing business with the government.

1. ACQUISITION CENTRAL

Acquisition Central is a one-stop source sponsored by the federal government for information on federal contracting. This web site offers information and links to government acquisition systems and regulations that is of interest to firms that want to contract with the federal government. Table D lists the various systems and information sources that are available on the web site.

Table D: Data Accessed Through Acquisition Central

Shared Systems	Information Sources
Central Contractor Registration (CCR); Excluded Parties List System (EPLS); Electronic Subcontracting Reporting System (eSRS); Federal Business Opportunities (FBO or FedBizOpps);	Federal Acquisition Regulation (FAR); Acquisition Advisory Panel (SARA Panel); Acquisition Center of Excellence (ACE) for Services; Agency Supplemental Regulations;
Federal Technical Data Solutions (FedTeDS); Online Representations and Certifications Application (ORCA); Past Performance Information Retrieval System (PPIRS); VETBIZ.gov; and Wage Determinations Online (WDOL)	Civilian Agency Acquisition Council (CAAC); Code of Federal Regulations (CFR); General Services Acquisition Manual (GSAM); 7 Steps to Performance Based Services Acquisition Guide; and Federal Agency Procurement Forecasts.

The Acquisition Central site is located at: www.acquisition.gov/

2. FEDERAL OSDBU DIRECTORS

Each major department and agency of the federal government has an Office of Small and Disadvantaged Business Utilization or Office of Small Business Programs with a mission similar to DOT's OSDBU.

More information and an up-to-date list of contact information for each of these OSDBUs can be found at: www.osdbu.gov

3. MINORITY BUSINESS DEVELOPMENT CENTERS

The U.S. Department of Commerce's nationwide network of Minority Business Development Centers (MBDCs) counsel minority businesses on accounting, administration, business planning, inventory control, negotiations, referrals, networking, construction contracting and subcontracting, marketing, and SBA's 8(a) certification to participate in minority designated contracting opportunities with the federal government.

MBDCs provide managerial and technical assistance for bonding, bidding, estimating, financing, procurement, international trade, franchising, acquisitions, mergers, joint ventures, and leveraged buyouts. MBDCs facilitate the formation and expansion of minority-owned firms and help generate new opportunities.

Locations of the MBDCs are subject to change annually. Please visit the MBDA website for the MBDC Regional or District Office in your immediate area: www.mbda.gov

4. DEPARTMENT OF DEFENSE (DOD) PROCUREMENT TECHNICAL ASSISTANCE CENTERS (PTACS)

The Procurement Technical Assistance Centers (PTAC) program was established by Congress in 1985 to assist state and local governments and other private nonprofit entities in establishing or maintaining PTAC activities to help firms market their goods and services to the DoD. In 1991, the PTAC program was extended to offer assistance to firms wishing to market to any federal agency.

PTACs are funded by the DoD Defense Logistics Agency (DLA) and local or state funding, and the services are largely free to businesses. PTACs are on the local scene and give day-to-day professional guidance and assistance to business firms who wish to market their products and/or

services to federal agencies. The assistance is available through telephone calls, correspondence, or personal discussions.

More information on the PTAC program can be obtained by calling the DLA's Defense OSDDBU Office at 703-277-7750 or visiting www.dla.mil/db/procurem.htm

5. SCORE

The SCORE Association (Service Corps of Retired Executives) is a resource partner of the SBA dedicated to entrepreneur education and the formation, growth and success of small businesses nationwide. There are more than 10,500 SCORE volunteers in 374 chapters operating in over 800 locations who assist small businesses with business counseling and training. SCORE also operates an active online counseling initiative.

More information on the services provided to small businesses and where you can find an office near you can be found at www.score.org

6. SBA'S SMALL BUSINESS DEVELOPMENT CENTERS (SBDC)

SBDCs offer one-stop assistance to individuals and small businesses by providing a wide variety of information and guidance in central and easily accessible branch locations. The program is a cooperative effort of the private sector, the educational community and federal, state and local governments. It enhances economic development by providing small businesses with management and technical assistance. There are 63 Lead SBDCs - one in every state (Texas has four, California has six), the District of Columbia, Guam, Puerto Rico, Samoa and the U.S. Virgin Islands—with a network of more than 1100 service locations.

More information More information on the SBDC program can be found at www.sba.gov/aboutsba/sbaprograms/sbdc/index.htm

VI. FINANCING OPPORTUNITIES AT DOT FOR SMALL AND DISADVANTAGED BUSINESS



A. Short-Term Lending Program (STLP)

An integral program that OSDBU's Financial Services Division manages to help small businesses gain access to the financing they need to participate in transportation contracts is the Short-Term Lending Program (STLP). The STLP provides certified DBEs and other certified small businesses with short-term working capital at competitive interest rates for DOT or DOT-funded contracts and subcontracts. The interest rate of the loan is a variable rate tied to the Prime Rate published in the Wall Street Journal.

1. FIRMS THAT CAN PARTICIPATE IN STLP

The types of businesses that are eligible to receive a line of credit through STLP are:

- Firms that have received DBE certification from a state or local transportation agency (More information on DBEs is provided in Section III-D); and
- Firms that have been certified by the SBA as an 8(a), SDB, HUBZone, or SDVOSB.

INSIDE ADVICE

Businesses not eligible to receive an STLP line of credit and should contact the SBA for information about other possible forms of financial assistance

2. TYPE OF WORK COVERED BY STLP

The STLP provides revolving lines of credit to finance accounts receivable arising from “transportation-related contracts.” “Transportation-related contracts” meet the following criteria:

- Work involves the maintenance, rehabilitation, restructuring, improvement, or revitalization of any of the nation's modes of transportation; and
- Work is for any public or commercial provider of transportation of any federal, state or local transportation agency.

The primary collateral for the lines of credit consist of accounts receivable arising from the contracts or subcontracts being financed. These lines of credit can be extended to both prime and subcontractors with the maximum line of credit up to \$750,000.

3. USE OF STLP FUNDS

These funds are to be used only to meet the short-term costs of performing the contract(s) being financed. The STLP cannot be used for:

- Contract mobilization;
- Equipment purchases or other long-term uses;
- Refinancing of existing debt;
- Payment of non-current taxes; or
- Distributions or other payments to stockholders.

4. ADMINISTRATION OF STLP LINES OF CREDIT

Lines of credit are managed by OSDDBU through cooperative agreements between DOT and banks who have agreed to be Participating Lenders (PLs) in the STLP. The final line of credit approval is made by both the PLs and DOT.

5. RESPONSIBILITIES OF PARTICIPATING LENDERS

Loan documentation and financing transactions are performed directly by the PLs. The funds are borrowed against each invoice of the contract(s) being financed – up to 85% of the invoice total. Each invoice is paid directly to the PL (otherwise referred to as “assignment of funds”) by the Project Owner or Prime Contractor via a two-party check addressed to the Lender and the Borrower. The PL then deducts the payment amount, including interest payments, and remits the remaining balance to the Borrower through their checking and/or savings account. (See Table E for a list of PLs.)

6. TERMS OF THE LINES OF CREDIT

Normally, the line of credit covers a one-year period. The applicant has the option of requesting one or more renewals; however, the line of credit cannot exceed five years. The PL has the option of providing the line of credit for less than one year. The line of credit amount can be increased during the term if the applicant obtains additional transportation contracts. Applicants can choose whether they want to set up a checking or savings account with the PL to access their line of credit.

7. APPLICATION PROCEDURES

Loan applications may be downloaded from the STLP page of the OSDBU website: osdbu.dot.gov/financial/docs/stlp.pdf. The information required on the loan application includes:

- Business and personal financial statements (3 years);
- Business and personal income tax returns (3 years);
- Cash flow projections (1 year);
- Current Accounts Receivable and Accounts Payable;
- Company profile;
- Resumes of company's officers;
- Current Personal Financial Statement (dated & signed);
- Certification that all taxes are current;
- A minimum of 3 business references;
- Current proof of Certification;
- Business formation documents;
- Copies of transportation-related contract(s); and
- Current work-in-progress report.

Applicants are strongly encouraged to consider utilizing the services of DOT's SBTRCs as possible sources for assistance or guidance in preparing application packages. Completed applications may be forwarded to OSDBU or directly to the PL.

FOR MORE INFORMATION ON STLP:

P: 1-800-532-1169

Nancy Strine, Manager, Financial Assistance Division

U.S. Department of Transportation
Office of Small and Disadvantaged Business Utilization
Room W56-485
1200 New Jersey Ave., SE
Washington, DC 20590

P: (800) 532-1169 or (202) 366-1930

F: (202) 366-7228

nancy.strine@dot.gov

Table E: List of Participating Lenders

Note: Please consult the OSDBU website for updated information on Participating Lenders and/or contact persons: www.osdbu.dot.gov/financial/stlp.cfm#banks

<p>Cardinal Bank 1776 K Street, NW Washington, DC 20006 www.cardinalbank.com</p>	<p>Kathy Speakman, Vice President, Commercial Lending P: (202) 331-3957 F: (202) 659-6589 kathryn.speakman@cardinalbank.com</p>
<p>Carver Federal Savings Bank 75 West 125th Street New York, NY 10027 www.carverbank.com</p>	<p>James Bason, Senior Vice President, Chief Lending Officer P: (212) 360-8843 F: (212) 426-6155 carverstlp@carverbank.com</p> <p>Jennifer Hardy-Spencer Assistant Vice President, Business Lending P: (718) 676-8789 F: (212) 426-6155 jennifer.hardyspencer@carverbank.com</p>
<p>Cathay Bank for California 9650 Flair Drive El Monte, CA 91731 www.cathaybank.com</p>	<p>Ray Chang First Vice President and Manager Retail Loan Administration P: (626) 279-3860 F: (626) 279-3879 ray.chang@cathaybank.com</p>
<p>Citizens Trust Bank 75 Piedmont Avenue Atlanta, GA 30303 www.ctbconnect.com</p>	<p>Farrand Logan, Senior Vice President, Senior Loan Officer P: (404) 575-8333 F: (404) 575-8340 farrand.logan@ctbatl.com</p> <p>Lynnette Crosslen Assistant Manager, Loan Administration Department P: (404) 575-8286 F: (404) 575-8290 lynnette.crosslen@ctbatl.com</p>
<p>Community Bank & Trust 604 N. Eighth St. Sheboygan, WI 53082 www.communitybankandtrust.com</p> <p>Loan offices conveniently located in: Milwaukee</p>	<p>Grant Schilling President-Glendale P: (414) 967-9880 F: (920) 803-5990 grants@communitybankandtrust.com</p> <p>Paul Kuplic Vice President, Government Guarantee Programs P: (920) 459-4444 F: (920) 803-5995 paulk@communitybankandtrust.com</p>
<p>Community Capital Development 1437 South Jackson St. Seattle, WA 98144 www.seattleccd.com</p>	<p>Alice Davis Senior Vice President, Chief Credit Officer P: (206) 324-4330 x108 aliced@seattleccd.com</p>

**Continental National
Bank of Miami**
1801 S.W. 1st Street
Miami, FL 33135
www.continentalbank.com

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9709 Third Avenue NE,
Suite 110
Seattle, WA 98115
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**East West Bank – New England
Region**
68 Harrison Avenue, 6th Floor
Boston, MA 02111
www.eastwestbank.com

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ricky.lam@eastwestbank.com

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wendy.ho@eastwestbank.com

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8700 Georgia Ave., Suite 305
Silver Spring, MD 20910
Fax: (301) 495-0124
www.industrial-bank.com

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P: (202) 722-2000 x. 3122
szimmerman@industrial-bank.com

Douglas F. Dillon, Senior Vice President
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Native American Bank, N.A.
999 18th Street, Suite 2460
Denver, CO 80202
www.nativeamericanbank.com

**Lindsay Sandham, Senior Vice President,
Chief Credit Officer**
P: (303) 988-2727 x. 127 F: (303) 988-5533
lsandham@nabna.com

Native American and Alaskan
Native applicants only.

North Milwaukee State Bank
8200 W. Brown Deer Road
Milwaukee, WI 53223
www.nmsbank.com

Edward J. Bryant, Commercial Lender
P: (414) 466-2344 x.154
ebryant@nmsbank.com

Premier Bank, Inc.
1130 Connecticut Ave., NW
Suite 200
Washington, DC 20036
www.premierbankinc.com

Nathan Leventhal
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The Bank of Missouri

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Columbia, MO 65201
www.bankofmissouri.com

Loan offices conveniently located in:

Columbia (573) 874-4700
Perryville (573) 547-6541
Cape Girardeau (573) 335-3100
Jackson (573) 243-9300
Springfield (417) 889-4343
Republic (417) 732-4600

Keith McLaughlin,

**Senior Vice President,
Business Banking**
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Karin Bell, Loan Officer

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Seaway Bank and Trust Company

645 East 87th Street
Chicago, Illinois 60619
www.seawaybank.us

With offices located in Illinois and Wisconsin

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Executive Vice President
P: (773) 602-4104 F: (773) 487-1850

Dan Davis

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505 North 20th Street
Suite 1525
Birmingham, AL 35203
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Solera National Bank

319 S. Sheridan Blvd.
Lakewood, CO 80226
www.solerabank.com

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Town Bank

850 W. North Shore Drive
Hartland, WI 53018
www.townbank.us

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VP Commercial Lending**

P: (262) 369-1900
MStratton@townbank.us

United Bank of Philadelphia

The Graham Building
30 S. 15th Street, Suite 1200
Philadelphia, PA 19102
www.ubphila.com

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Credit Administration Officer
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Juilette L. Williams-Holmes

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jwilliams Holmes@ubphila.com

Virginia Commerce Bank

4221 Walney Road
Suite 3000
Chantilly, VA 20151
www.vcbonline.com

**K. Russel Marsh, Vice President
Government Contract Lending**

P: (703) 961-2562 F: (703) 378-2942
rmarsh@vcbonline.com

Virginia Heritage Bank

11166 Fairfax Blvd.
Fairfax, VA 22030
www.virginiaheritagebank.com

J. Blaire Horne, Jr.

Commercial Relationship Office
P: (703) 230-1518 F:(703) 230-3005

Zions Bank

One South Main,
Salt Lake City, UT 84133
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Cece Mitchell

**Sr. Vice President,
Women's Financial Group Manager**
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With offices located in Utah
and Idaho.

NOTES

VII. OSDBU CONTACT INFORMATION



Remember, OSDBU is here to help YOU start and grow your business.

If you have any questions or need further assistance in any of the areas discussed in this book, please do not hesitate to contact us. Also, please check out the resources offered on the OSDBU website and through the National Information Clearinghouse.

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1200 New Jersey Avenue, SE
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Phone

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APPENDICES

Appendix A: DOT Operating Administrations and Offices

- A. Federal Aviation Administration (FAA) 52
- B. Federal Highway Administration (FHWA)..... 54
- C. Federal Motor Carrier Safety Administration (FMCSA) 56
- D. Federal Railroad Administration (FRA) 57
- E. Federal Transit Administration (FTA)..... 58
- F. Maritime Administration (MARAD)..... 59
- G. National Highway Traffic Safety Administration (NHTSA) 60
- H. Office of the Secretary of Transportation (OST)..... 61
- I. Pipeline and Hazardous Materials Safety Administration
 (PHMSA) 62
- J. Research & Innovative Technology Administration (RITA) 63
- K. Saint Lawrence Seaway Development Corporation (SLSDC) 65

Appendix B: Federal and State Contacts for the DBE Program 66

Appendix A: DOT Operating Administrations and Offices

A. Federal Aviation Administration (FAA)

Primary Mission: Oversee safety of civil aviation.

FAA MAJOR RESPONSIBILITIES:

- Issuance and enforcement of regulations and standards related to the manufacture, operation, certification and maintenance of aircraft.
- Rating and certification of airmen and airports serving air carriers.
- Regulating a program to protect the security of civil aviation, and enforce regulations under the Hazardous Materials Transportation Act for shipments by air.
- Operate a network of airport towers, air route traffic control centers, and flight service stations.
- Develop air traffic rules, allocate the use of airspace, and provide for the security control of air traffic to meet national defense requirements.
- Construction or installation of visual and electronic aids to air navigation and promotion of aviation safety internationally.
- License commercial space launch facilities and private sector launches.

The FAA is exempt from the Small Business Act and the FAR. The FAA's Acquisition Management System (AMS) Small Business Program works to provide small businesses and small businesses owned and controlled by socially and economically disadvantaged individuals attainable and reasonable opportunities to participate as prime and subcontractors for products and services procured by the FAA. More information on this program can be found at http://amq.mmac.faa.gov/small_business_program_overview.asp

More Information about FAA at: www.faa.gov/

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CENTRAL SERVICE AREA

Kansas City, Missouri

C.O. Shepard

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WESTERN SERVICE AREA

Anchorage, Alaska

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New York, New York

Terry Mirro

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Chicago, Illinois

Glen Timmerman

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Seattle, Washington

Michael Todd

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Atlanta, Georgia

Emanuel Green

P: (404) 305-5721

Ft. Worth, Texas

Janice Wheeler

P: (817) 222-4333

Los Angeles, California

Barbara "BJ" Fisher

P: (310) 725-7550

More Information can be found at: www.faa.gov/about/office_org/headquarters_offices/arc/ro_center/

B. Federal Highway Administration (FHWA)

Primary Mission: Coordinate highway transportation programs in cooperation with states and other partners to enhance the country's safety, economic vitality, quality of life, and the environment.

FHWA MAJOR RESPONSIBILITIES:

- Provide federal financial assistance to the states to construct and improve the National Highway System, urban and rural roads, and bridges through the Federal-Aid Highway Program. This program provides funds for general improvements and development of safe highways and roads.
- Provide access to and within national forests, national parks, Indian reservations and other public lands by preparing plans and contracts, supervising construction facilities, and conducting bridge inspections and surveys through the Federal Lands Division.
- Provide program stewardship and transportation engineering services through the Federal Lands Highway Program for planning, design, construction, and rehabilitation of the highways and bridges that provide access to and through federally owned lands.
- Provide financial resources and technical assistance for a coordinated program of public roads that service the transportation needs of federal and Native American lands.
- Provide transportation engineering and related services in all 50 states, the District of Columbia, Puerto Rico, and the US Virgin Islands.
- Manage a comprehensive research, development, and technology program.

The following map shows the different Federal Lands Highway Divisions and the states they cover.

C. Federal Motor Carrier Safety Administration (FMCSA)

Primary Mission: Prevent commercial motor vehicle related fatalities and injuries.

FMCSA MAJOR RESPONSIBILITIES:

- Ensure safety in motor carrier operations through strong enforcement of safety regulations, targeting high-risk carriers and commercial motor vehicle drivers.
- Improve safety information systems and commercial motor vehicle technologies.
- Strengthen commercial motor vehicle equipment and operating standards and increase safety awareness.
- Work with federal, state, and local enforcement agencies, the motor carrier industry, labor safety interest groups, and others.

More Information about FMCSA at: www.fmcsa.dot.gov/

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Suite W66-499

Washington, DC 20560

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F: (202) 385-2335

nathan.watters@dot.gov

D. Federal Railroad Administration (FRA)

Primary Mission: Promote safe and environmentally sound rail transportation.

FRA MAJOR RESPONSIBILITIES:

- Monitor railroad compliance with federally mandated safety standards including track maintenance, inspection standards, and operating practices.
- Conduct research and development tests to evaluate projects in support of its safety mission and to enhance the railroad system as a national transportation resource.
- Administer public education campaigns on highway-rail grade crossing safety and the danger of trespassing on rail property.

More Information about FRA at: www.fra.dot.gov/

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E. Federal Transit Administration (FTA)

Primary Mission: Assist cities and communities nationwide in improving mass transportation systems through grant programs and financial, technical, and planning assistance.

FTA MAJOR RESPONSIBILITIES:

- Help plan, build, and operate transit systems with convenience, cost, and accessibility in mind. While buses and rail vehicles are the most common type of public transportation, other modes include commuter ferryboats, trolleys, inclined railways, subways, and people movers.
- Provide leadership and resources for safe and technologically advanced local transit systems while assisting in the development of local and regional traffic reduction.
- Maintain the National Transit Library (NTL), a repository of reports, documents, and data generated by professionals and others from around the country. The NTL is designed to facilitate document sharing among people interested in transit and transit related topics.

More Information about FTA at: www.fta.dot.gov

SMALL BUSINESS SPECIALIST AND SIMPLIFIED ACQUISITIONS:

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FTA Office of Acquisition Management
Room E42-320
1200 New Jersey Avenue, SE
Washington, DC 20590
P: (202) 366-2508
sonja.rousey@dot.gov

F. Maritime Administration (MARAD)

Primary Mission: Promote development and maintenance of an adequate, well-balanced, United States merchant marine.

MARAD MAJOR RESPONSIBILITIES:

- Ensure that the US merchant marine is sufficient to: 1) carry the nation's domestic waterborne commerce and a substantial portion of its waterborne foreign commerce; and, 2) serve as a naval and military auxiliary in time of war or national emergency.
- Ensure that the United States enjoys adequate shipbuilding and repair service, efficient ports, effective intermodal water and land transportation systems, and reserve shipping capacity in time of national emergency.

More Information about MARAD at: www.marad.dot.gov/

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G. National Highway Traffic Safety Administration (NHTSA)

Primary Mission: Reduce deaths, injuries, and economic losses resulting from motor vehicle crashes.

NHTSA MAJOR RESPONSIBILITIES:

- Set and enforce safety performance standards for motor vehicles and equipment.
- Provide grants to state and local governments enabling them to conduct effective local highway safety programs.
- Investigate safety defects in motor vehicles.
- Set and enforce fuel economy standards.
- Help states and local communities reduce the threat of drunk drivers and promote the use of safety belts, child safety seats, and air bags.
- Investigate odometer fraud.
- Establish and enforce vehicle anti-theft regulations and provide consumer information on motor vehicle safety topics.
- Conduct research on driver behavior and traffic safety to develop the most efficient and effective means of bringing about safety improvements.
- Operate a toll-free Auto Safety Hotline, 1-888-DASH-2-DOT, that provides consumers with a wide range of auto safety information. Callers also can help identify safety problems in motor vehicles, tires, and other automotive equipment, such as child safety seats.

More Information about NHTSA at: www.nhtsa.dot.gov/

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H. Office of the Secretary of Transportation (OST)

Primary Mission: Oversee the formulation of national transportation policy and promote intermodal transportation.

OST MAJOR RESPONSIBILITIES:

- Negotiation and implementation of international transportation agreements.
- Assuring the fitness of US airlines.
- Enforcing airline consumer protection regulations.
- Issuing regulations to prevent alcohol and illegal drug misuse in transportation systems.
- Preparing transportation legislation.

More Information about OST at: www.dot.gov/ost/index.html

SMALL BUSINESS SPECIALIST AND SIMPLIFIED ACQUISITIONS:

Yolanda J. Chinn

Acquisition Services Division
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Room W83-492
Washington, DC 20590
P: (202) 366-4968
loni.chinn@dot.gov

I. Pipeline and Hazardous Materials Safety Administration (PHMSA)

Primary Mission: Oversee 1) the safety of more than \$1 million of daily shipments of hazardous materials by all modes of transportation and 2) the nation's pipeline infrastructure, which accounts for 64 percent of the energy commodities consumed in the United States.

PHMSA MAJOR RESPONSIBILITIES:

- Administer a comprehensive nationwide program designed to protect the United States from the risks to life, health, property, and the environment inherent in the commercial transportation of hazardous materials.
- Assess and manage safety related risks (especially those risks that change over time) by applying a system-based approach to analyze data, make the best decisions, and deploy attention and resources against those risks deemed to be the greatest.
- Work with state and industry partners to collectively address safety problems.

More Information about PHMSA at: www.phmsa.dot.gov/

SMALL BUSINESS SPECIALIST AND SIMPLIFIED ACQUISITIONS:

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Room E22-230

1200 New Jersey Avenue, SE

Washington, DC 20590

P: (202) 366-3845

eric.hilton@dot.gov

J. Research & Innovative Technology Administration (RITA)

Primary Mission: The Research and Innovative Technology Administration (RITA) coordinates the DOT research programs and is charged with advancing the deployment of cross-cutting technologies to improve our Nation's transportation system. RITA leads DOT in coordinating, facilitating and reviewing the Department's research and development programs and activities; advancing innovative technologies, including intelligent transportation systems; performing comprehensive transportation statistics research, analysis and reporting; and providing education and training in transportation and transportation-related fields.

RITA MAJOR RESPONSIBILITIES:

RITA brings together important data, research and technology transfer assets of the Department of Transportation, including:

- Bureau of Transportation Statistics (BTS)
- Intelligent Transportation Systems (ITS)
- National Transportation Library (NTL)
- Research, Development and Technology (RD&T)
- Transportation Safety Institute (TSI)
- University Transportation Centers (UTCs)
- Volpe National Transportation Systems Center (Volpe) *See Next Page*

More Information about RITA at: www.rita.dot.gov/

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THE VOLPE CENTER

The John A. Volpe National Transportation Systems Center in Cambridge, Massachusetts, is an internationally recognized center of transportation and logistics expertise. Through research and development, engineering, and analysis, the Volpe Center helps decision-makers define problems and pursue solutions to lead transportation into the 21st century. In essence, the Volpe Center is a catalyst for innovation - a source of critical insight necessary to realize transportation's promising future.

The Volpe Center differs from most federal organizations in that they receive no direct appropriation from Congress. Instead, they are funded 100% through a fee-for-service structure in which all costs are covered by sponsored project work. The Volpe Center assists federal, state, and local governments, industry, and academia in a number of areas, including human factors research, system design, implementation, and assessment, global tracking, strategic investment and resource allocation, environmental preservation, and organizational effectiveness. In these and other areas, the Center provides its customers with valued policy support and strategic planning and analysis

More Information about the Volpe Center at: www.volpe.dot.gov/

SMALL BUSINESS SPECIALIST:

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Note: Under the SBIR Program, small businesses are annually solicited (on or about February 15th) to submit innovative research proposals that address high priority requirements of the Department and have the potential for commercialization. Information (including eligibility requirements) can be found on the SBIR Program page of the OSDBU Website.

K. Saint Lawrence Seaway Development Corporation (SLSDC)

Primary Mission: To serve the marine transportation industries by providing a safe, secure, reliable, efficient, and competitive deep draft international waterway, in cooperation with the Canadian St. Lawrence Seaway Management Corporation.

SLSDC MAJOR RESPONSIBILITIES:

- Construct and maintain navigational structures and aids to navigation.
- Enforce construction standards and safety regulations.
- Operate marine communication and vessel traffic systems.
- Reduce the threat of pollution and ensure an environmentally sound waterway system.

More Information about SLSDC at: www.seaway.dot.gov/

SMALL BUSINESS SPECIALIST:

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Appendix B: Federal and State Contacts for the DBE Program

Note: For updated information on DBE contacts, consult www.osdbu.dot.gov/DBEProgram/GuidanceforDBEProgramAdministrators/HowToContactDOT.cfm.

U.S. DOT DBE CONTACTS

For general information about the DBE regulations:

Office of the General Counsel

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Printed August 2011

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