

# Welcome to the CDOT ESB Orientation

**Emerging Small Business Orientation**

**The session will start promptly at 10:00 a.m.**

**Please call in to the teleconference if you are joining via webinar so you can hear the audio.**



**Civil Rights and Business Resource Center**

**Background**

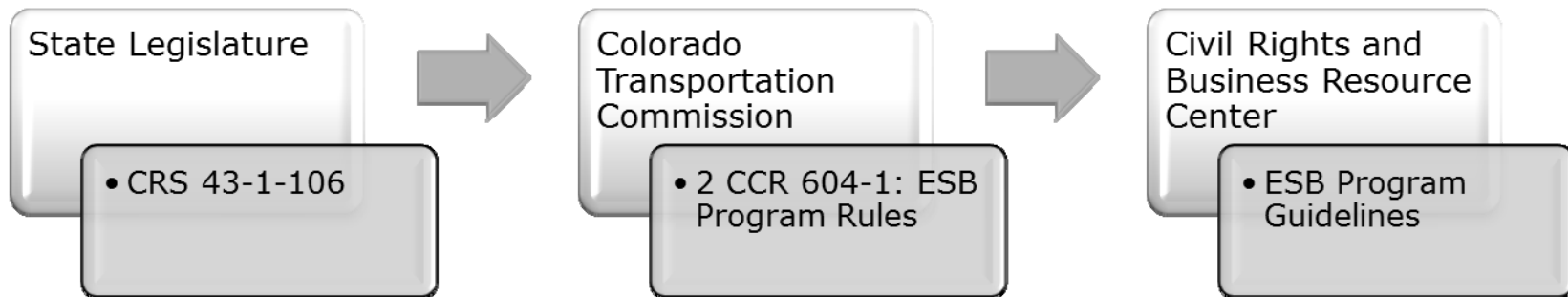
# **Civil Rights and Business Resource Center**

## **What do we do?**

- **Emerging Small Business Program (ESB)**
- **Disadvantaged Business Enterprise Program (DBE)**
- **On-the-Job Training Program (OJT)**
- **Americans with Disabilities Act Compliance (ADA)**
- **Nondiscrimination/Language Assistance Programs (Title VI)**

# Emerging Small Business Program

## Where did it come from?



# Emerging Small Business Program

## What is it?

### **CDOT Specific Program**

- Must be independently certified as an ESB

### **Race and Gender Neutral Program**

- Primary criteria is size of the business

# Minimum Criteria

## **Minimum Criteria**

### **Eligible Business**

- **For Profit**
- **Independent**
- **Certified with Colorado Secretary of State**
- **Not previously debarred or convicted of a bid related crime**

## Minimum Criteria

### Eligible Area of Work

- **Construction Work**
- **Professional Services:** Architecture, Engineering, Land Surveying, Landscape Architecture and Industrial Hygiene
- **Practice of Research Work:** Data Analysis, Studies, etc.
- **Unique Situations:** Contract Compliance, Public Involvement and Suppliers, Brokers and Merchants

**Not Eligible – Lawyers, Accountants, Etc.**



## Minimum Criteria

### CDOT Directly Contracts for Such Work

- There must be a possibility for your work on a CDOT construction, design or research contract
- Does not include procurement vendors - Opportunities for procurement vendors can be found through
  - [Colorado BIDS](http://www.bidscolorado.com) (www.bidscolorado.com)
  - [State Purchasing website](http://www.colorado.gov/dfp/spo) (www.colorado.gov/dfp/spo)
- Does not include local agency programs
- Does not include concessionaires

## Minimum Criteria

### Under Size Standard

- **Based upon average (3 year) annual gross receipts**
  - Includes the gross receipts of all affiliates
- **One half of the SBA Size Standard for the primary industry in which you perform work**
  - CDOT will assign your primary industry and related [NAICS](#) based upon the information provided in your application
- **Cannot exceed one half of DBE Program size limit**
  - Currently \$11.205m

## Minimum Criteria

### Application and Orientation

- ESB Application Form – [CDOT ESB web page](http://www.coloradodot.info/business/equal-opportunity/emerging-small-business-program)  
([www.coloradodot.info/business/equal-opportunity/emerging-small-business-program](http://www.coloradodot.info/business/equal-opportunity/emerging-small-business-program))
- Supporting Documentation – As required
- Small Business Orientation – Webinar or in person

# **Certification Information**

## **Primary Industry**

- **Determined by CDOT based upon application**
- **It will NOT show up on the directory**
- **Does not limit participation on CDOT contracts**
- **Determination can be appealed**

## **Descriptors**

- **Up to five allowed**
- **Will be posted on the directory**
- **CDOT initially determines**
- **Can request modification**
- **Does not limit participation**
- **These are your marketing tool**

## Documentation

- Certificate of Good Standing - From Colorado Secretary of State
- **Personal Taxes** – Federal income taxes with all schedules from owners with 25% or more interest
- **Business Taxes** - Federal income taxes with all schedules for applicant business and all affiliates
- Owner Verification – Required from every owner

## Documentation

- **Licenses** – technical/professional for business and owners
- **Resumes** – Required from ALL owners
- **Equipment** – list of relevant equipment (construction only)
- **Suggested Materials** – marketing documents/brochure

**This is the minimum amount of supplemental documentation. CDOT may request additional documentation.**



## **ESB Levels**

**Level 1 Construction**  
**under \$3m avg. annual gross receipts**

**Level 1 Consultants**  
**under \$1m avg. annual gross receipts**

**All others are Level 2**

# **Enforcement**

# Renewal

- Annual Renewal Required
- Have until end of the month
- Renewal application plus business and personal tax returns
- If DBE file maintained by CDOT, your renewal dates will be synced and you will only need to submit one set of taxes (separate renewal applications required)
- Failure to timely renew → **must wait one year to reapply** for Certification

## **Graduation**

- **Graduation only occurs when you exceed the size standards**
- **If graduating due to exceeding the overall limit (currently \$11.205m) you will not be eligible to rejoin the program**
- **Graduation will not affect projects already started unless delayed due to fraudulent activity**

## **Revocation**

- **Failure to renew**
- **Fraud or dishonesty**
- **Debarment**
- **Failure to cooperate**
- **Failure to comply with CDOT rules and regulations**

**Applies to projects, supportive services and certification**

# Benefits

## Project Incentives for Primes

### **BASIC CONCEPT**

There will be a target ESB participation percentage on all CDOT contracts  
(**basically an optional goal**).

# Project Incentives for Primes

## DBE/ESB Participation Table

DBE Goal	ESB Target Participation	Combined DBE/ESB Participation
0%	10%	10%
1-4%	8% - 11%	12%
5-8%	6% - 9%	14%
9-11%	5% - 7%	16%
12% or more	5%	DBE Goal plus 5%

DBE goal + ESB target = Combined DBE/ESB percentage

Smaller projects may be limited to Level 1 Only.



# Project Incentives for Primes

## The Prime's Reward

### Low-bid contracts:

Financial payout of .5 - 1 percent of total contract

\* self-enforcing but monitored throughout project \*

### RFPs/SOIs:

Five to ten points for commitment to meet goal

\* enforced by CDOT via past performance grade \*

## **ESB - Restricted Projects**

### **What is it?**

A project restricted to  
bidding only by **ESB primes only**

## ESB - Restricted Projects

### How big are the projects?

- Up to **\$1m** in construction
- Up to **\$150,000** design/consultant services

## **ESB - Restricted Projects**

### **How do I participate?**

- **Must be certified as an ESB**
- **Prequalified by CDOT prior to the bid opening or proposal due date**
- **Must self-perform 30% of work**
- **Must be able to bond and have insurance.**

## ESB - Restricted Projects

### How will I know?

- In bid or proposal notice
- Sent out via email through [Connect2DOT](http://www.connect2dot.org) (www.connect2dot.org) news and announcements
- Other outreach from CRBRC or the region

# ESB Directory

## Marketing Tool

- Part of the [Colorado DOT Certification Management System](http://www.coloradoesb.org) ([www.coloradoesb.org](http://www.coloradoesb.org))
- Separate from the [DBE Directory](http://www.coloradodbe.org) ([www.coloradodbe.org](http://www.coloradodbe.org))
- Search by firm name, description, owner, address, etc.

## CDOT Supportive Services

### Civil Rights & Business Resource Center

- One-on-one consulting with CDOT small business specialists
- Needs based courses and events
- Up to \$300 per year in tuition reimbursements
- **Free BidX accounts** (construction firms only)
  - Complete online application ([www.bidx.com/co/sbn\\_registration](http://www.bidx.com/co/sbn_registration))
  - Complete Sponsored Account Application and Usage Agreement
  - Attach copy of DBE work codes and/or ESB certificate

## **CDOT Supportive Services**

### **CONNECT2DOT**

- **Partnership with statewide Colorado Small Business Development Centers (SBDC's)**
- **One-on-one consulting**
- **Workshops and training**
- **One-stop website for small businesses**
- **Kiosk with access to project plans and bid documents**
- **Reverse trade fairs and outreach events**



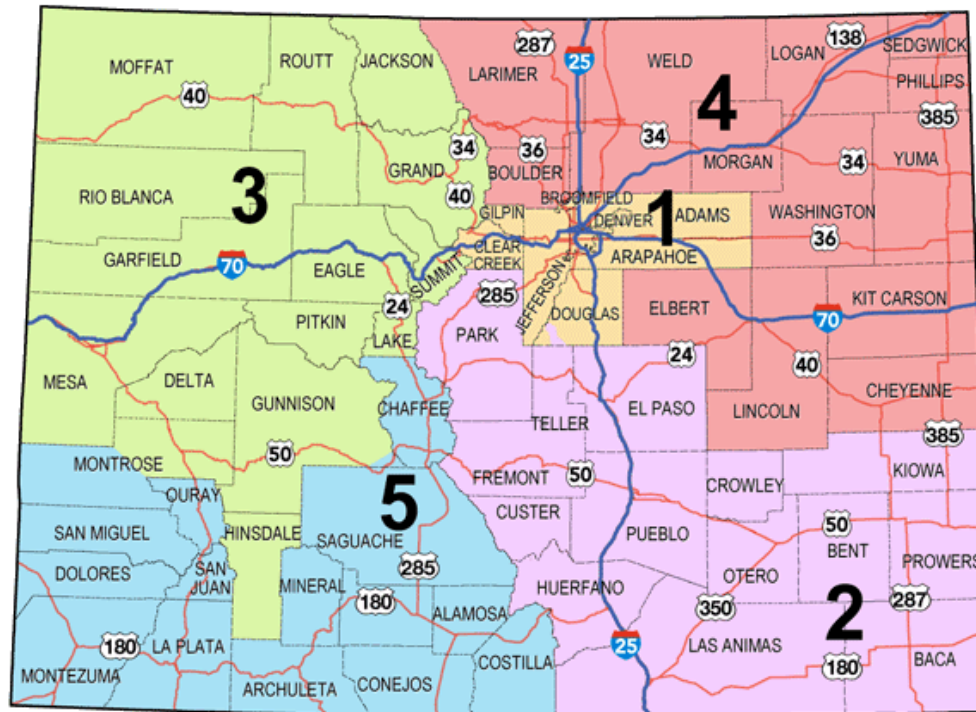
# Communication

## **Resources**

- **CDOT Small Business Specialists**
- **Connect2DOT News and Event Calendar**
- **Connect2DOT Consultants**
- **Commission DBE Committee**

# Issues

Contact the Regional Civil Rights Manager



# Issues

## CDOT Region Civil Rights Managers

### **Headquarters:**

Greg Diehl, Manager  
4201 E. Arkansas Ave., #150  
Denver, CO 80222  
303-757-9599  
[Greg.diehl@state.co.us](mailto:Greg.diehl@state.co.us)

### **Region 1:**

Micki Perez- Thompson, Civil Rights Manager  
  
18500 E. Colfax Ave., Rm. 108  
Aurora, CO 80011  
Office: 303-365-7031 Fax: 303-365-7033  
[Micki.Perez@state.co.us](mailto:Micki.Perez@state.co.us)

### **Region 2:**

Mary Dugan, Civil Rights Manager  
905 Erie Ave.  
Pueblo, CO 81001  
Office: 719-546-5432 Fax: 719-562-5525  
[Mary.Dugan@state.co.us](mailto:Mary.Dugan@state.co.us)

### **Region 3:**

John "Chip" Brazelton, Civil Rights Manager  
222 S. 6th St., Room 317  
Grand Jct., CO 81501  
Office: 970-683-6210 Fax: 970-683-6227  
[Chip.Brazelton@state.co.us](mailto:Chip.Brazelton@state.co.us)

### **Region 4:**

Anna Leiferman, Civil Rights Manager  
1420 2nd St.  
Greeley, CO 80631  
Office: 970-350-2107 Fax: 970-350-2178  
[Anna.Leiferman@state.co.us](mailto:Anna.Leiferman@state.co.us)

### **Region 5:**

Alice Baker, Civil Rights Manager  
3803 N. Main Ave., Ste. 306  
Durango, CO 81301  
Office: 970-385-1403 Fax: 970-385-1429  
[Alice.Baker@state.co.us](mailto:Alice.Baker@state.co.us)

## Key Contacts

- **ESB and DBE Program Development**
  - Katherine Williams – (303) 757-9162
- **ESB and DBE Certification and Renewal**
  - Randy Liljenberg – (303) 512-4145
- **Websites**
  - [www.coloradodot.info/business/equal-opportunity](http://www.coloradodot.info/business/equal-opportunity)
  - [www.coloradodot.info/business/equal-opportunity/emerging-small-business-program](http://www.coloradodot.info/business/equal-opportunity/emerging-small-business-program)
  - [www.coloradodbe.org](http://www.coloradodbe.org)
  - [www.coloradoesb.org](http://www.coloradoesb.org)
  - [www.census.gov/eos/www/naics/](http://www.census.gov/eos/www/naics/)
  - [www.bidscolorado.gov](http://www.bidscolorado.gov)

## Key Contacts

- **On-the-Job Training Program**
  - **WyVonne Johnson – (303) 757-9072**
- **Title VI – Non-Discrimination**
  - **Cecelia Garcia – (303)512-4144**
- **Americans with Disabilities Act**
  - **Greg Martinez – (303) 512-4142**

## General CDOT Contacts

- **Civil Rights & Business Resource Center**
  - (303) 757-9234
- **Bidding Office (Construction Prequal)**
  - (303) 757-9006
- **Engineering Contracts (Consultant Prequal)**
  - (303) 757-9398

## Connect2DOT Contacts

- **Statewide Program Manager**
  - **Cathy Kramer (720) 624-6728**
  - [Cathy.Kramer@state.co.us](mailto:Cathy.Kramer@state.co.us)
- **Connect2DOT.org**
  - [www.connect2dot.org/stay-connected/key-contacts](http://www.connect2dot.org/stay-connected/key-contacts)
  - [www.connect2dot.org/find-a-location](http://www.connect2dot.org/find-a-location)



**Questions?**

# Thank You!

**Emerging Small Business Orientation**



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