

The United States Department of Transportation required recipients of Federal Highway, Federal Transit and Federal Aviation Administration to develop a Small Business Enterprise (SBE) Program, per the Requirements of 49 Code of Federal Regulations Part 26.39. This program places aspirational or a voluntary ten percent (10%) SBE goals on federally funded design-bid-build Agreements or Task Orders without Disadvantaged Business Enterprise (DBE) goals. The purpose of this plan is for your company to outline how you will utilize small businesses, certified by the Office of Minority and Women's Business Enterprise (www.omwbe.wa.gov) as SBEs to participate on your projects. The requirement of an SBE plan is mandatory; however, the ten percent (10%) SBE goal is not. WSDOT understands and is committed to small business growth and success. We believe that our collective efforts will continue to support our state's economy.

All WSDOT projects with a voluntary SBE goal will now be required to submit a SBE Participation Plan on each Agreement or Task Order prior to work commencing. Once your firm has completed the SBE Participation Plan, please submit it to WSDOT Consultant Services Office so it can be transmitted to the Office of Equal Opportunity. If you have a question about this plan or the voluntary requirement, please call (360) 705-7090 or email SmallBusiness@wsdot.wa.gov.

Following are some questions and statements to assist your firm in developing an effective SBE Participation Plan:

1. What is the Agreement Number, Task Order Number (if applicable) and Title;
2. What is the statement of commitment from the owner? (i.e. To ensure that our company establishes and implements business practices and procedures to foster and grow small businesses. Include the owner/designee signature.)
3. What is the mission statement of your companies' SBE plan? (i.e. To ensure SBEs are given the maximum opportunity to participate in WSDOT consulting projects. This will be accomplished by normal business practices, outreach, mentoring and by sub-consulting our normally self-performed work items.)
4. Who will have the authority and responsibility to implement and monitor the plan? Examples shown below:
 - a. Executive(s)
 - Job title(s)
 - Duties and obligations per the plan
 - b. SBE/DBE/EEO Affirmative Action Officer(s)
 - Duties and obligations per the plan
 - c. Marketing/Sales Coordinator(s)
 - Duties and obligations per the plan
 - d. Outreach/training: Who will assist SBE in negotiations process if not done by persons otherwise identified?
 - Job title
 - Duties and obligations per the plan

5. What strategic approaches and methodology will your firm take to ensure maximum participation by SBEs? Following are suggestions, which have proven to be effective:
 - a. Personally invite SBEs to attend pre-solicitation meetings in which your firm is going to attend and/or submit a Statement of Qualification (SOQ.)
 - b. Send requests for sub-consultants to SBEs using the Directory of Certified Firms available at www.omwbe.wa.gov . If you are having difficulty using the directory to find SBEs, contact OMWBE at toll free (866) 208-1064 or WSDOT at (360) 705-7090.
 - c. Broaden your firm's base of sub-consultants by:
 - Hosting targeted outreach events for SBEs;
 - Identify Sub-consulting opportunities which your firm would normally self-perform;
 - Create small sub-consultable items of work which allows for maximum participation amongst SBEs; and
 - Posting opportunities (i.e. requests for sub-consultants) in ethnic newspapers.
 - d. Call, mail, and fax SBEs and ask them to participate on consulting projects, giving the firms adequate time (5 – 7 days business days) and information to respond.
 - e. Request OMWBE to post sub-consulting opportunities on their web site.
 - f. If sub-consultants you work with seem eligible for SBE certification (a small business with gross receipts less than \$22.41 million – other criteria apply) recommend the firm become certified;
 - g. Solicit interest from as many SBEs as possible. If firms are repeatedly non-responsive and/or non-competitive, provide the names of the SBEs to WSDOT, Office of Equal Opportunity (SmallBusiness@wsdot.wa.gov or (360) 705-7090) for follow-up and assistance.
 - h. Publish and distribute project management personnel contact information.
 - i. Provide information / assistance meetings with SBEs.
 - j. Provide adequate staff to administer the SBE Participation Plan.
6. Staff Training:
 - a. Identify who will communicate the policy and procedures to all relevant staff.
 - b. Identify if training is necessary, who may need this training and on what topics. WSDOT, Office of Equal Opportunity may be able to provide assistance with these training.
7. What will your firm's process be for monitoring and ensuring prompt payment to all sub-consultants? Who will be responsible for ensuring prompt payment?
8. How will your firm handle disputes? Who will be in charge of handling the disputes?
9. How will your firm change its sub-consultant qualification forms and similar documents to allow for the maximum number of SBE participants?
 - a. Determine if it is necessary to require "length of time firm / principals have been in business" or is "time of work in field" sufficient?

- b. Eliminate unnecessary information from the sub-consultant information form.
- c. Consider having more than one individual review sub-consultant qualification responses.

10. How will your firm monitor its progress and adjust its strategy as necessary?

11. What other measurable steps will your organization take to increase SBE utilization? Identify who will be responsible for these measures.

12. If your firm has identified SBEs to use to fulfill the voluntary SBE goal, please provide the following information:

SBE Firm Name	Agreement or Task Order Amount
ABC SBE, Inc.	\$50,000.00
XYZ SBE, Inc.	\$30,000.00

Note: Throughout the plan, list only the title of individuals, except for the owner.