



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



1200 New Jersey Avenue, SE  
W56-456  
Washington, DC 20590

Phone 800-532-1169  
Phone 202-366-1930  
Fax 202-366-7228



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 in transportation-related contracting opportunities.

DOT's office of Small and Disadvantaged Business Utilization (OSDBU) is committed to offering support to our 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 relevant information on our programs and other government programs aimed to assist you to market your services to the Department. In the Contracting with DOT booklet, you will find an overview of the Department and its Operating Administrations; pertinent information about the OSDBU and Procurement Assistance Programs for Small Businesses, and information on how to identify and pursue contracting opportunities within DOT.

If your business is located outside the Washington DC area or you are interested to know more about business opportunities at state and local levels, we have included information about our network of Small Business Transportation Centers (SBTRCs). These centers work closely with state and local transportation agencies and other technical assistance providers to serve small and disadvantaged businesses across the country. You will also find general information about the Disadvantaged Business Enterprise (DBE) program. Implemented by transportation agencies receiving DOT funds, the DBE program goal is to level the playing field. This program provides small businesses owned and controlled by socially and economically disadvantaged individuals, a fair opportunity to compete for federally funded transportation contracts.

We encourage you to maintain access to the latest marketing and procurement information electronically by visiting our website at [www.transportation.gov/osdbu](http://www.transportation.gov/osdbu). In addition, you can call our office at 1-800-532-1169 to obtain program and procurement information, answers to specific questions, and talk to OSDBU staff. All of us at OSDBU wish you success in your business endeavors.

OSDBU Director

---

# CONTENTS

I.	Overview of DOT.....	1
II.	Office of Small and Disadvantaged Business Utilization.....	3
III.	Procurement Assistance Programs for Small Businesses .....	7
	A. Small Business Procurement Goals.....	8
	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.....	10
	C. Preferences for Small Business .....	12
	1. Small Disadvantaged Businesses (SDB) .....	12
	2. 8(a) Businesses .....	13
	3. Woman-owned Small Businesses (WOSB) .....	14
	4. Historically Underutilized Business Zone (HUBZone) Businesses ...	14
	5. Service-Disabled Veteran-Owned Small Businesses (SDVOSB) ...	15
	6. Veteran-Owned Small Businesses (VOSB).....	15
	D. U.S. Department of Transportation Disadvantaged Business Enterprise (DBE) Program .....	17
IV.	SELLING TO THE GOVERNMENT .....	19
	A. <b>Major Contract Vehicles</b> .....	<b>20</b>
	B. <b>Open Market Acquisitions</b> .....	<b>20</b>
	1. Overview .....	20
	2. Small Business Set-Asides .....	21
	3. Sole Source Procurements .....	22
	4. DOT Procurement Forecast .....	22
	C. Purchase Card .....	22
	D. GSA Schedules.....	23
	E. Subcontracting .....	23
V.	Resources To Help Small and Disadvantaged Businesses.....	25
	A. DOT Resources.....	26
	1. OSDBU’s Business Specialists.....	26
	2. DOT’s Small Business Specialists .....	27
	3. Small Business Transportation Resource Centers (SBTRC) .....	27
	4. Women and Girls in Transportation Initiative .....	29

5. Small Business Innovation Research (SBIR) Program .....	30
6. Bonding Education Program (BEP).....	31
7. Mentor Protege Program .....	33
<b>B. Additional Government Agency and Private Sector Resources.....</b>	<b>33</b>
1. Acquisition Central .....	33
2. Federal OSDBU Directors Council.....	34
3. Minority Business Centers.....	34
4. Department of Defense (DoD) Procurement Technical Assistance Centers (PTACs).....	35
5. SCORE.....	35
6. SBA's Small Business Development Centers (SBDC) .....	35
7. What are the responsibilities of the SBA PCRs?.....	36
8. Women's Business Centers .....	36
9. SBA's Office of Veterans Business Development.....	36
<b>APPENDIX A: DOT Operating Administrations and Offices .....</b>	<b>37</b>

### Use of “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.

This page intentionally left blank for those  
who desire to print a physical copy

# I. OVERVIEW OF DOT



The mission of DOT is to serve the United States by ensuring a fast, safe, efficient, accessible and convenient transportation system that meets our vital national interests and enhances the quality of life of the American people, today and into the future. DOT buys more than \$6 billion in products and services annually as part of the effort to fulfill its mission.

DOT contractors provide a wide variety of services (e.g., construction, information technology (IT), finance, etc.) 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).

DOT consists of ten organizations with their own contracting authority: the Office of the Secretary of Transportation (OST) and nine Operating Administrations (OAs). Each of these organizations 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, etc.) while others focus on particular activities (e.g., transportation research; pipeline safety, etc.). The mission of each of these OAs is provided in Appendix A. More information about the Department can be found at [www.transportation.gov](http://www.transportation.gov).

## **DOT CONTRACTING ORGANIZATIONS**

- Office of the Secretary of Transportation (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)
- Great Lakes Saint Lawrence Seaway Development Corporation (GLS)



## 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 is comprised of two divisions, each with its own particular set of responsibilities:

- **Procurement Assistance Division** – works closely with DOT prime contractors, and program 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 U.S. Small Business Administration (SBA) in administering the various programs implemented through the DOT procurement process.
- **Regional Assistance Division** – oversees the Small Business Transportation Resource Centers (SBTRCs) which provide small businesses with valuable information and technical assistance to become better prepared to compete for Federal, state, and local transportation contracts. Also helps small businesses gain access to financial resources. The division administers DOT's Bonding Education Program (BEP), to help small businesses become bond ready. The BEP is a hands-on, multi-component program designed to address what businesses need to do to become bond-ready, as well as one-on-one sessions with local surety bonding professionals to help in assembling the materials necessary for a complete bond application.

More information on each of the programs within these divisions is provided in Section V. For up-to-date information on OSDBU's divisions, and other services, visit the OSDBU website at [www.transportation.gov/osdbu](http://www.transportation.gov/osdbu)

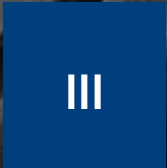


### MISSION OF DOT's OSDBU

- 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.

This page intentionally left blank for those who desire to print a physical copy

### III. PROCUREMENT ASSISTANCE PROGRAMS FOR SMALL BUSINESSES



## **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.

## **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 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 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 the OSDBU website at [www.transportation.gov/osdbu](http://www.transportation.gov/osdbu)

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: [fast.faa.gov](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
- Is independently owned and operated
- Does not exceed the numerical size standard for its industry (see Table A)

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	
Highway, Street, and Bridge Construction	\$39.5 million
Specialty trade contractors	\$16.5 million
Air Transportation - Scheduled Passenger and Scheduled Freight	1,500 employees
Rail Transportation – Line-Haul Railroads	1,500 employees
Rail Transportation – Short Line Railroads	1,500 employees
Inland Water Freight Transportation	750 employees

\*Size standards refer to average number of employees or revenues over a 5-year period. [Source: [www.sba.gov](http://www.sba.gov)]

## 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 System for Award Management (SAM) system; Each of these steps is free of charge and is discussed 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 SAM.

### HELPFUL HINT

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

## B. Registering a Firm in the SAM System

Only those vendors registered in the SAM are eligible to receive federal contracts.

The SAM 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 SAM. Information in the SAM 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.

### 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 can be found at [www.transportation.gov/OSDBU](http://www.transportation.gov/OSDBU).

More information on SAM can be found at [www.sam.gov](http://www.sam.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 businesses (e.g., HUBZone, 8(a)).

## C. Preferences for 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-owned or service-disabled veteran-owned small 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 to make them eligible for benefits in federal procurement. There are 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.

## 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 \$4 million (\$7 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 the 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 businesses 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](http://www.sba.gov)

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

- Register in the SAM system (see Section III-2-B above)
- Visit [www.sba.gov](http://www.sba.gov) and follow the instructions for 8(a) certification

### **3. WOMAN-OWNED SMALL BUSINESSES (WOSB)**

The Women-Owned Small Business (WOSB) Federal Contract program authorizes contracting officers to set aside certain federal contracts for eligible:

- Women-owned small businesses (WOSBs) or
- Economically disadvantaged women-owned small businesses (EDWOSBs)

To qualify as a WOSB, a small business concern must be at least 51% owned and controlled by one or more women, and primarily managed by one or more women. The women must be U.S. citizens. The firm must be “small” in its primary industry in accordance with SBA’s size standards for that industry. In order for a WOSB to be deemed “economically disadvantaged,” its owners must demonstrate economic disadvantage in accordance with the requirements set forth in the final rule.

There are two ways to certify for the program: 1) SBA’s free online certification at <https://beta.certify.sba.gov/> or 2) Third Party Certification with supporting documents.

**More information about the WOSB program and recent program changes can be found on the SBA website at: [www.sba.gov](http://www.sba.gov)**

### **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: [www.sba.gov](http://www.sba.gov)**

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.

**Is your business in a HUBZone? More information on HUBZones can be found at [www.sba.gov](http://www.sba.gov)**

## **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 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 at: [www.sba.gov](http://www.sba.gov).**

## **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 U.S. Department of Veterans Affairs (VA) OSDBU provides guidance, information, and resources to help small businesses build and grow.

The VA Veterans First Contracting Program provides VA the unique authority to award set-aside and sole source contracting opportunities to VA-verified Service-Disabled Veteran-Owned Small Business (SDVOSB) and Veteran-Owned Small Business (VOSB) firms.

Small business interested in participating in the VA Veterans First Contracting Program must participate in the Veterans First Verification Program (Vets First) to complete the verification process through the Center for Verification and Evaluation (CVE). Learn more at [www.va.gov/osdbu](http://www.va.gov/osdbu).

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 SAM
8(a) and HUBZone	SBA	Complete application form on the SBA website
WOSB	SBA	Complete application form on the SBA website (or) Use Third Party Certifier
SDB	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

The Department of Transportation (DOT) is dedicated to serving our small business community, including those businesses contracting with state agencies and recipients of DOT funds. The Department's Disadvantaged Business Enterprise (DBE) program is designed to remedy ongoing discrimination and the continuing effects of past discrimination in federally-assisted highway, transit, airport, and highway safety financial assistance transportation contracting markets nationwide.

The primary remedial goal and objective of the DBE program is to level the playing field by providing small businesses owned and controlled by socially and economically disadvantaged individuals a fair opportunity to compete for federally funded transportation contracts. For more information about the DBE Program see [www.transportation.gov/osdbu](http://www.transportation.gov/osdbu).

### 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.

### Distinction Between Direct Contracting Small Business Preferences and the DBE Program

When a U.S. DOT Operating Administration (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.



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.

### **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.

More information about the DBE Program can be found on the OSDBU website at: [www.transportation.gov/osdbu](http://www.transportation.gov/osdbu)



# IV. 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 the government obtains the highest quality work at the best value.

The open market federal solicitations worth \$25,000 or more are found at the federal government’s procurement portal: [beta.SAM.gov](https://beta.SAM.gov). 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 [beta.SAM.gov](https://beta.SAM.gov)?

Beta.SAM.gov is the primary location to identify active federal contract opportunities (including DOT opportunities) over \$25,000. [beta.SAM.gov](https://beta.SAM.gov) allows you to search for federal procurement opportunities and receive automatic email announcements on those same procurements as soon as they are announced.

## 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 \$10,000 and \$250,000 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 Simplified Acquisition Threshold, 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).

### 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 [beta.sam.gov](https://beta.sam.gov).

### 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 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 (\$250,000).

Maintained as a dynamic database, the Procurement Forecast can be searched by quarter, industry category, DOT Operating Administration 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.

**The DOT Procurement Forecast provides information on potential opportunities for each of the DOT OAs. FAA maintains its own Procurement Forecast, which can be accessed on the DOT OSDBU website. More Information on the DOT and FAA Procurement Forecasts can be found at: [www.transportation.gov/osdbu](http://www.transportation.gov/osdbu).**

### 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 \$10,000.

Under the DOT Purchase Card Program, purchase card holders can go directly to the supplier or service provider for their micropurchase needs. SAM 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 some 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](http://www.gsa.gov)

## E. Subcontracting

To strengthen their proposals and bids, firms can partner with other companies that have government contracts or are bidding as prime contractors. Smaller companies often fill niches that complement a prime contractor’s services. Large firms bidding on contracts valued at \$750,000 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.

Prime contractors report their achievements annually and semi-annually using the electronic subcontracting reporting system, [www.eSRS.gov](http://www.eSRS.gov).

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 them on how their 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.transportation.gov/osdbu](http://www.transportation.gov/osdbu)**

**SBA Sub-Net is located at [eweb1.sba.gov/subnet](http://eweb1.sba.gov/subnet)**

**V. RESOURCES TO HELP SMALL AND DISADVANTAGED BUSINESSES**



## A. DOT Resources

### 1. OSDBU'S BUSINESS SPECIALISTS

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

- How to market for contracting opportunities at DOT;
- 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.
- Bonding Education

OSDBU's business specialists are committed to responding to inquiries with courteous and prompt service within one business day.

#### Options for Contacting OSDBU

**Call OSDBU's dedicated toll-free number:**  
1-800-532-1169

**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, W56-456  
Washington, DC 20590

Write an e-mail to: [dot-osdbu@dot.gov](mailto:dot-osdbu@dot.gov)



## 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 Operating Administrations (OA).

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. The primary role of the small business specialist is to serve as an advocate to the small business community and to promote the allocation of procurement opportunities to the various small business programs within their specific OA. For a list of OA Small Business Specialists see [www.transportation.gov/osdbu](http://www.transportation.gov/osdbu).

## 3. SMALL BUSINESS TRANSPORTATION RESOURCE CENTERS (SBTRC)

The Office of Small and Disadvantaged Business Utilization (OSDBU) enters into successful partnerships with 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).

The SBTRCs work closely with prime and subcontractors, as well as state and local transportation agencies located in their jurisdictions. Their duty also includes assisting firms that are interested in doing business with the U.S. DOT directly, or with state, or local agencies receiving U.S. DOT funding.

### Types of Services Provided:

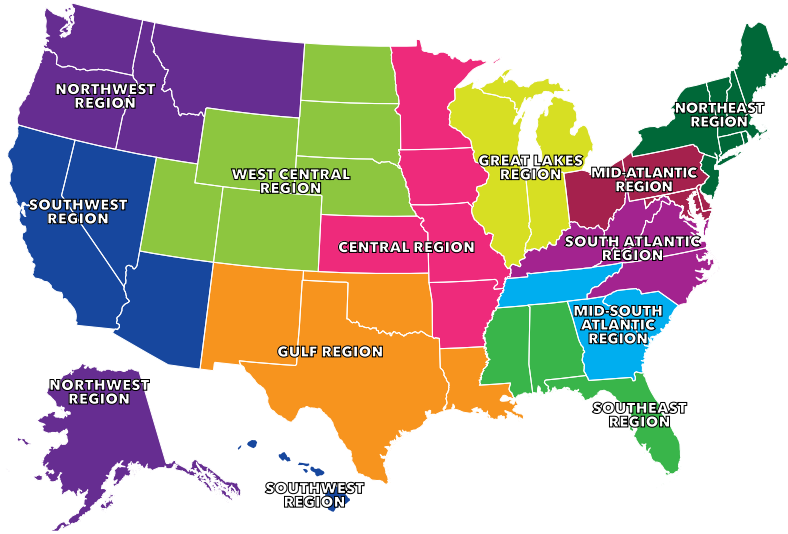
- Business Analyses, Market Research
- General Management & Technical Assistance
- Bonding Education
- Business Counseling
- Planning Committees
- Outreach/Conference Participation

### Eligible Small Businesses:

- Small Disadvantaged Businesses and 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: SBTRC Region and Contacts



- |                             |                         |
|-----------------------------|-------------------------|
| ■ Central Region            | ■ Northwest Region      |
| ■ Great Lakes Region        | ■ South Atlantic Region |
| ■ Gulf Region               | ■ Southeast Region      |
| ■ Mid-Atlantic Region       | ■ Southwest Region      |
| ■ Mid-South Atlantic Region | ■ West Central Region   |
| ■ Northeast Region          |                         |

---

For more information on the SBTRC program, visit our website [www.transportation.gov/osdbu](http://www.transportation.gov/osdbu)

Regional Assistance Division  
Office of Small and Disadvantaged Business Utilization

W56-456  
1200 New Jersey Ave., SE,  
Washington, DC 20590

P: (202) 366-1930  
F: (202) 366-7228

## 4. WOMEN AND GIRLS IN TRANSPORTATION INITIATIVE

In March 2009, an Executive Order was signed, creating the White House Council on Women and Girls to ensure that each federal government agency addresses the needs of women and girls. As part of this broader effort, DOT launched the Entrepreneurial Women and Girls Internship Program, now the Women in Transportation Initiative (WITI), in July 2010 to increase the participation of women in the nation's transportation industry.

Administered by the DOT Office of Small and Disadvantaged Business Utilization regional offices throughout the nation, WITI seeks to address challenges that women face, educate women on the opportunities available to them, attract future leaders and retain female participants in the transportation industry. WITI provides young women from colleges and universities across the country with the opportunity to gain first-hand experience in a variety of areas within the industry.

DOT-OSDBU is excited to offer this program to assist women-owned businesses and introduce aspiring women to both public service and the transportation industry.

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.

- Identify the current situation and challenges for women participating in the transportation infrastructure industry, address those challenges, and seek to improve the status quo
- Educate WITI participants on the exciting opportunities available in the transportation infrastructure industry and inspire them to enter the science, engineering, and mathematics (STEM) fields
- Attract WITI participants into transportation related fields through the WITI Program and programs offered by partner organizations
- Retain female WITI participants in the transportation industry
- Serve as a resource to all WITI participants regarding information about the transportation industry

For more information visit: [www.transportation.gov/osdbu](http://www.transportation.gov/osdbu)

## 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, 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 \$150,000 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 \$1,000,000.** 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 about the SBIR program can be found at [www.volpe.dot.gov/sbir](http://www.volpe.dot.gov/sbir)

**Note:** Under the SBIR Program, small businesses are annually solicited 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.

## 6. BONDING EDUCATION PROGRAM (BEP)

### Program Overview:

The US Department of Transportation (DOT) Bonding Education Program (BEP) to help small businesses become bond ready. Becoming bondable is a challenge for many disadvantaged businesses and this program aims to help businesses grow by obtaining or building bonding capacity.

The BEP is a hands-on, multi-component contractor development program designed to address what businesses need to do to become bond-ready, as well as one-on-one sessions with local surety bonding professionals to help in assembling the materials necessary for a complete bond application. This program is tailored to businesses competing for transportation-related contracts.

### Importance of Bonding:

Surety bonds provide financial security and construction assurance by assuring project owners that contractors will perform the work and pay specified subcontractors, laborers, and material suppliers. A surety bond is a risk transfer mechanism where the surety company assures the project owner that the Contractor will perform a contract in accordance with the contract documents.

### Is the DOT-BEP for you?

The DOT-BEP is nationally backed by the surety industry at large. This contractor development program can help you understand the reasons contractors fail, begin mitigation, and teach sustainability strategies. Partnering with local transportation project stakeholders, the BEP is designed to tie your bondability to the procurement opportunity. Through one on one counseling hours with surety professionals, committed to small business, you will learn how to run a profitable businesses, and receive claims services. Ultimately, becoming bondable will empower you to make an economic impact, promote job creation, and assist in achieving legacy wealth.

**Eligibility:** To be considered for the program, applicants must be the primary owner(s), key manager(s) or administrator(s) of a business that meet the following criteria:

- Existing in business for at least (2) consecutive years
- Revenue of at least \$250,000 annually
- Have a minimum of (2) full time employees (including owner)
- Past performance in construction industry
- Currently pursuing federally funded transportation contracts (any mode)
- Interest in satisfying credit, capacity and character evaluations in consultation with a surety representative
- Hold one of the following certifications/designations: DBE, Small Businesses Administration 8a firm, Historically Underutilized Business Zone (HUBZone) firm, Veteran Owned Small Business, Service Disabled Veteran Owned Business, or Women Owned Small Business
- Consultants, developers and engineering firms are not eligible for the program

For further information, please visit our website:

[www.transportation.gov/OSDBU](http://www.transportation.gov/OSDBU)

### **Program Components:**

- **Stakeholders Meeting** – state/local transportation-related stakeholders meet to review BEP implementation, determine resource requirements, and the role in which each stakeholder will play in ensuring the program’s success in the region
- **Educational Workshops** – set of comprehensive workshops addressing business operations, project specific training, and the improvement of capabilities
- **Bond Readiness** – one-on-one interactions with local surety bond producers and professionals to assemble the materials for a complete bond application and address any impediments to the successful underwriting of a bond
- **Follow-up Assistance** – coordination and monitoring of technical assistance provided to participants in the program. SBTRCs help businesses identify and secure bonding for subsequent transportation-related projects in the region

### **Find a BEP Near You:**

The BEP is executed through our USDOT Small Business Transportation Resource Centers (SBTRCs), covering all 50 states and territories. The goal of the SBTRCs is to increase the ability of small businesses to compete for and enter into transportation-related contracts at the local, state and

federal levels. In partnership with the surety industry, the BEPs or SBTRCs execute each BEP and tailor programs based on specific factors in their region.

## 7. MENTOR PROTEGE PROGRAM

DOT's Mentor-Protégé Program enhances the capability of disadvantaged and small business owners to compete for federal procurement opportunities. The program encourages private-sector relationships and expands DOT's efforts to identify and respond to the developmental needs of small and disadvantaged businesses. The program is administered by the DOT Office of Small and Disadvantaged Business Utilization (OSDBU).

**More information on the Mentor Protege Program can be found at [www.transportation.gov/osdbu](http://www.transportation.gov/osdbu)**

### 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 website offers information and links to government acquisition systems and regulations that are 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 website.

Table D: Data Accessed Through Acquisition Central

Shared Systems	Information Sources
System for Award Management (SAM); Federal Procurement Data System-Next Generation (FPDS-NG); Electronic Subcontracting Reporting System (eSRS); <a href="http://beta.sam.gov">beta.sam.gov</a> ;	Federal Acquisition Regulation (FAR); Acquisition Advisory Panel (SARA Panel); Acquisition Center of Excellence (ACE) for Services; Agency Supplemental Regulations;

Federal Technical Data Solutions (FedTeDS); <https://www.fsr.gov/>

Contractor Performance Assessment Reporting System (CPARS); <https://www.cpars.gov/refmatl.htm>

Vendor Information Pages (VIP); <https://www.vip.vetbiz.va.gov/>

Wage Determinations Online (WDOL); <https://www.wdol.gov/>

Civilian Agency Acquisition Council (CAAC); <https://www.acquisition.gov/CAAC>

Code of Federal Regulations (CFR); <https://www.govinfo.gov/help/cfr>

General Services Acquisition Manual; (GSAM); <https://www.acquisition.gov/browsegsam>

7 Steps to Performance Based Services Acquisition Guide; <https://pba.app.cloud.gov/app/>

Federal Agency Procurement Forecasts; [www.acquisition.gov/procurement-forecasts](http://www.acquisition.gov/procurement-forecasts)

The Acquisition Central site is located at: [www.acquisition.gov](http://www.acquisition.gov)

## 2. FEDERAL OSDBU DIRECTORS COUNCIL

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.va.gov/osdbu](http://www.va.gov/osdbu)**

## 3. MINORITY BUSINESS 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 MBDA Business Centers are subject to change. Please visit the MBDA website for the a list of MBDA Business Centers in your immediate area: [www.mbda.gov](http://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 Office of Business Programs at 703-767-0192 or visiting [www.dla.mil/SmallBusiness](http://www.dla.mil/SmallBusiness)**

#### **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](http://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.

**More information on the SBDC program can be found at [www.sba.gov](http://www.sba.gov)**

## 7. SBA PROCUREMENT CENTER REPRESENTATIVE (PCR)

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](http://www.sba.gov).**

## 8. WOMANS BUSINESS CENTERS

The SBA Women's Business Centers are a national network of more than 100 centers that offer one-on-one counseling, training, networking, workshops, technical assistance and mentoring to women entrepreneurs on numerous business development topics, including business startup, financial management, marketing

**More information on the services provided to woman owned small businesses and where you can find an office near you can be found at [www.sba.gov](http://www.sba.gov).**

## 9. SBA'S OFFICE OF VETERANS BUSINESS DEVELOPMENT

The Office of Veterans Business Development's mission is to maximize the availability, applicability and usability of all administration small business programs for Veterans, Service-Disabled Veterans, Reserve Component Members, and their Dependents or Survivors.

**More information on the services provided to veteran owned small businesses can be found at [www.sba.gov](http://www.sba.gov).**

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

## APPENDIX A: DOT Operating Administrations

A. Office of the Secretary of Transportation (OST).....	38
B. Federal Aviation Administration (FAA).....	38
C. Federal Highway Administration (FHWA) .....	39
D. Federal Motor Carrier Safety Administration (FMCSA).....	41
E. Federal Railroad Administration (FRA) .....	41
F. Federal Transit Administration (FTA) .....	42
G. Maritime Administration (MARAD) .....	42
H. National Highway Traffic Safety Administration (NHTSA).....	43
I. Pipeline and Hazardous Materials Safety Administration (PHMSA).....	43
J. Great Lakes St. Lawrence Seaway Development Corp. (GLS).....	44

## APPENDIX A: DOT Operating Administrations and Offices

### A. Office of the Secretary of Transportation (OST)

**Primary Mission:** To enhance citizens' mobility, accessibility, and economic well-being through the development and management of public transport services that are comprehensive, affordable, efficient, reliable, safe, and environmentally sound.

**OST MAJOR RESPONSIBILITIES:**

- Negotiating and implementing 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.transportation.gov/office-of-secretary](http://www.transportation.gov/office-of-secretary)

### B. Federal Aviation Administration (FAA)

**Primary Mission:** To provide the safest, most efficient aerospace system in the world

**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 with 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 **[fast.faa.gov](http://fast.faa.gov)***

**More Information about FAA can be found at: [www.faa.gov](http://www.faa.gov)**

### **C. Federal Highway Administration (FHWA)**

**Primary Mission:** To improve mobility on our Nation's highways through national leadership, innovation, and program delivery.

#### **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.



### Contracts and Procurement Teams

**Eastern Federal Lands Highway Division**  
21400 Ridgetop Circle  
Sterling, VA 20166  
P: (703) 404-6201  
el.fhwa@dot.gov

**Central Federal Lands Highway Division**  
12300 Dakota Avenue  
Lakewood, CO 80228  
P: (720) 963-3500  
cfl.fhwa@dot.gov

**Western Federal Lands Highway Division**  
610 East 5th Street  
Vancouver, WA 98661  
P: (360) 619-7520  
wfl.contracts@dot.gov

**More Information about FHWA can be found at: [www.fhwa.dot.gov](http://www.fhwa.dot.gov)**

## D. Federal Motor Carrier Safety Administration (FMCSA)

**Primary Mission:** To reduce crashes, injuries and fatalities involving large trucks and buses.

### 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](http://www.fmcsa.dot.gov)

## E. Federal Railroad Administration (FRA)

**Primary Mission:** To enable the safe, reliable, and efficient movement of people and goods for a strong America, now and in the future.

### 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](http://www.fra.dot.gov)

## F. 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](http://www.fta.dot.gov)

## G. Maritime Administration (MARAD)

**Primary Mission:** To enhance citizens' mobility, accessibility, and economic well-being through the development and management of public transport services that are comprehensive, affordable, efficient, reliable, safe, and environmentally sound.

### 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](http://www.marad.dot.gov)



## H. 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](http://www.nhtsa.dot.gov)

## I. Pipeline and Hazardous Materials Safety Administration (PHMSA)

**Primary Mission:** To protect people and the environment by advancing the safe transportation of energy and other hazardous materials that are essential to our daily lives. To do this, the agency establishes national policy, sets and enforces standards, educates, and conducts research to prevent incidents.

### 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](http://www.phmsa.dot.gov)

## J. Great Lakes St. Lawrence Seaway Development Corporation (GLS)

**Primary Mission:** To serve the U.S. intermodal and international transportation system by improving the operation and maintenance of a safe, reliable, efficient, and environmentally responsible deep-draft waterway, in cooperation with its Canadian counterpart.

### GLS 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 GLS at: [greatlakes-seaway.com](http://greatlakes-seaway.com)



1200 New Jersey Avenue, S.E.  
W56-456  
Washington, DC 20590

Phone 800-532-1169  
Phone 202-366-1930  
Fax 202-366-7228

[www.transportation.gov/osdbu](http://www.transportation.gov/osdbu)



U.S. Department of Transportation

**Office of the Secretary of Transportation**

Office of Small and Disadvantaged Business Utilization