



Office of Purchasing Services
15151 E. Alameda Parkway, Ste. 5700
Aurora, Colorado 80012
303.739.7100

SMALL BUSINESS ENTERPRISE (SBE) PROGRAM FOR CONTRACTS OVER \$250,000.00

The City of Aurora's Small Business Enterprise (SBE) Program applies to all service and construction contracts that exceed \$250,000.00. The intent is to recognize the role and importance of small businesses in our country's and City's continued success. For Aurora to acknowledge this category of businesses involved with providing services and construction, it has been determined that certain actions are necessary to support this program.

Objectives of the SBE Program

The SBE Program demonstrates the City's commitment to the SBE community by promoting economic growth within the local business community and providing a development program to assist SBEs regardless of gender, age, race or ethnicity.

For purposes of the City's Program, SBEs are defined as a small business if they meet 50% of the Small Business Administration's size standard that applies to the appropriate North American Industry Classification (NAICS) code for the scope being procured. SBEs shall self-certify as to their business size status.

As part of the SBE Program, contracts over \$250,000 awarded to large businesses by the City's Office of Purchasing Service shall require that the large business use a good faith effort to award no less than 10% of their subcontracting dollars to SBEs, if they plan to subcontract any portion of the work. This Program does not apply to large businesses that will perform 100% of the contract work with their own workforce without using any sub-contractors or to a successful firm that has self-certified themselves as a small business enterprise.

Large businesses are encouraged to identify as many aspects of the work as possible to enhance the utilization of SBEs. Large businesses are expected to use qualified SBEs. To be qualified, SBEs must have the necessary financial capabilities, skill, experience, and access to the necessary staff, facilities and equipment to perform the work or to provide the supplies or services that are required.

Good Faith Effort

If the objective specified herein has not been met, it shall be the responsibility of the successful large business to demonstrate its good faith efforts in attempting to meet the objective. The large business, if it has not met the specified objective, must provide a completed Good Faith Effort Questionnaire in support of its good faith effort to meet the objective for evaluation and approval by the City.

SBE Program Documents

In order to demonstrate compliance with the City's SBE Program, the large business must complete the initial "Request for Business Status" form. If the selected business has self-certified as a large business, then that company must sign and submit the forms entitled Statement of Intent to Use Small Business Enterprises (SBEs) and Individual Letter of Intent for Each Small Business Enterprise. In addition, if the SBE objective has not been met, the large business will be required to submit the Good Faith Effort Questionnaire as provided for herein under "Good Faith Effort." Sample forms are attached.

STATEMENT OF INTENT TO USE SMALL BUSINESS ENTERPRISES (SBE)

The large business shall complete this form for the involvement of SBEs on this project.

IF THIS FORM IS NOT COMPLETED IN DETAIL, SIGNED AND SUBMITTED AS NOTED ABOVE, THE TOP RANKED FIRM'S PROPOSAL WILL BE REJECTED.

The following SBEs will be utilized (attach additional sheets as required):

- 1. Name: _____
Type of Work: _____
Amount of Contract: _____

- 2. Name: _____
Type of Work: _____
Amount of Contract: _____

- 3. Name: _____
Type of Work: _____
Amount of Contract: _____

By executing this document, the large business hereby certifies that it fully intends to employ the SBEs listed on this STATEMENT OF INTENT TO USE SMALL BUSINESS ENTERPRISES. Should one or more listed SBEs be deleted after this form has been submitted and or if it becomes necessary to replace an SBE, the **CONTRACTOR MUST OBTAIN PRIOR WRITTEN APPROVAL FROM THE CITY.**

Total SBE Program Participation Achieved: _____%

Firm: _____
(Company Name)

By: _____
(Signature of Firm's Authorized Representative)

Name: _____
(Type or Print)

Title: _____

Date: _____

INDIVIDUAL LETTER OF INTENT FOR EACH SMALL BUSINESS ENTERPRISE

The large business shall complete this form for the involvement of SBEs on this project.

FIRM INFORMATION:

Name: _____

Address: _____

Telephone: _____

SBE INFORMATION:

Name: _____

Address: _____

Telephone: _____

Type of Firm: Subcontractor Supplier

The North American Industry Classification System (NAICS) code for this award is _____.

The small business size standard designated for this award in accordance with the City of Aurora's SBE Program is _____ U.S. dollars Employees

Description of work to be performed: _____

Estimated start date: _____ Total value of estimated work: _____

BIDDER INTENDS TO UTILIZE THE ABOVE-NAMED SBE FIRM FOR THE WORK DESCRIBED ABOVE. IF THE ABOVE-NAMED LARGE BUSINESS IS NOT DETERMINED TO BE THE SUCCESSFUL TOP RANKED FIRM, THIS LETTER OF INTENT SHALL BE NULL AND VOID.

Firm: _____
(Company Name)

SBE Firm: _____
(Company Name)

By: _____
(Firms's Authorized Representative)

By: _____
(SBE's Authorized Representative)

Name: _____
(Type or Print)

Name: _____
(Type or Print)

Title: _____

Title: _____

Date: _____

Date: _____

GOOD FAITH EFFORT QUESTIONNAIRE

The large business who has failed to meet the SBE objective is required to complete and submit this form, along with supporting documentation. Please use an additional sheet when space is inadequate.

Project SBE Objective: 10% CONTRACTOR SBE PARTICIPATION: _____%

1. Did your firm advertise for SBE participation? Yes _____ No _____

If yes, were the advertisements specific or general _____?

In what publication(s) did your ad appear? _____

Please provide a copy of your advertisements.

2. What other sources did your firm use to solicit proposals from SBE subcontractors?

Please provide a copy of your advertisements.

3. What items of work were identified for SBE contracting opportunities? List the items of work identified and the percent of contract:

Item	Percent of Total Subcontract Dollars
_____	_____
_____	_____
_____	_____
_____	_____

4. How many SBE firms did you contact by mail? _____

Please provide a copy of all materials mailed and a list showing to which SBE firms the various mailings were sent.

5. How many SBE firms did you contact by phone? _____

Please provide a list showing which SBE firms were contacted by phone.

GOOD FAITH EFFORT QUESTIONNAIRE (CONTINUED)

6. For subcontracts where an SBE submitted a proposal, but was not used, provide the following information:
 - A. Scope of work SBE proposed vs. scope of work non-SBE proposed:
 - B. Amount of SBE proposal vs. amount of non-SBE proposal. (Note: Include the date the proposals were received.)
7. If you negotiated with SBEs, but no negotiated subcontracts resulted, please give the reasons that your negotiated efforts failed relative to each such failure.
8. If you did not negotiate with any SBE firm(s) please explain why.
9. Please indicate how many negotiated subcontracts you entered into: _____
10. How many SBE firms reviewed the Scope of Work requirements at your office? _____
11. Have you previously responded to RFPs/bids on work with public entities in which the solicitation documents set forth objectives for SBEs? Yes _____ No _____

If the answer to this question is yes, please provide the following information:

- A. Were you ever the top ranked firm? Yes _____ No _____
- B. Have you ever failed to meet a specified objective? Yes _____ No _____

If yes, relative to each incident in which you have failed to reach the objective, please set forth the reasons for any such failure.

- C. Has a proposal submitted by your firm ever been rejected for its failure to respond to an SBE program? Yes _____ No _____
- D. Have you ever competed successfully for a public project and met the objectives specified therein? Yes _____ No _____

If yes, please identify those projects.

Relative to each of the questions set forth above, please respond in detail on a separate piece of paper, if necessary. This information will be used by the City as an indication of your commitment to the City's SBE Program.

Evaluation Criteria for a Good Faith Effort

The adequacy of the large business' good faith effort will be evaluated based upon the following criteria:

1. The large business' outreach efforts, including:
 - Advertising in trade association publications and other publications;
 - Mailings to SBEs;
 - Contacts with SBE contractor organizations;
 - Phone contacts with SBEs; and
 - Other activities identified by the large business.
2. List items of work identified by the large business for subcontract or supply to meet the program objectives;
3. Efforts to negotiate with SBEs to obtain them as subcontractors or suppliers;
4. Efforts to provide SBEs a full and fair opportunity to provide a proposal/bid, including the opportunity to review the scope of services and to have the time to prepare proposals/bids and negotiate; and
5. The reasons why the large business was unsuccessful in its efforts to obtain SBEs as subcontractors, suppliers or joint venture partners.