

June 2004

UTILIZATION OF  
TARGETED SMALL BUSINESS (TSB) ENTERPRISES  
ON  
NON-FEDERAL AID PROJECTS  
(THIRD-PARTY STATE-ASSISTED PROJECTS)

In accordance with Iowa Code Section 19B.7 and 541 Iowa Administrative Code Chapter 4, it is the policy of the Iowa Department of Transportation (Iowa DOT) that Targeted Small Business (TSB) enterprises shall have the maximum practicable opportunity to participate in the performance of contracts financed in whole or part with state funds.

Under this policy it is the responsibility of the recipients of state funds to help finance projects to make a positive effort to solicit bids from and to utilize TSBs as contractors and ensure that the contractors make positive efforts to utilize these enterprises as subcontractors, suppliers or participants in the work covered by this agreement.

The Recipient's "positive efforts" should include, but not be limited to:

1. Obtaining the names of qualified TSB contractors from the Iowa Department of Inspections and Appeals (515-281-7357) or from its website: [www.iowai.net/iowa/dia/tsb](http://www.iowai.net/iowa/dia/tsb).
2. Notifying qualified TSBs of proposed projects involving state-assisted funding. Notification should be made in sufficient time to allow the TSBs to participate effectively in the bidding process.
3. Soliciting bids from qualified TSBs on each project, and identifying for TSBs the availability of subcontract work.
4. Including in the bid proposals for state-assisted projects, a contract provision titled "TSB Affirmative Action Responsibilities on Non-Federal Aid Projects (Third-Party State-Assisted Projects)", or a similar document developed by the Recipient.
5. Ensuring that the awarded contractor has and shall follow the contract provisions. The Recipient is encouraged to establish goals or percentages to achieve TSB participation in these projects. Contract goals may vary depending on the type of project, the projects sub-contractible items, the type of service or supplies needed for the project, and the availability of qualified TSBs in the area.

The Recipient shall agree to provide the Iowa DOT the following documentation:

1. Copies of correspondence and replies, and written notes of personal and/or telephone contacts with any TSBs. Such documentation can be used to demonstrate the Recipient's positive efforts and it should be placed in the general project file.
2. Bidding proposals noting established TSB goals, if any.
3. The dollar amount contracted to, subcontracted to, or supplied by qualified TSBs for the project or projects covered by this agreement.
4. The attached "Checklist and Certification" form shall be filled out upon completion of each project and forwarded to the Iowa DOT's EEO Administrator, Office of Contracts, 800 Lincoln Way, Ames, Iowa 50010.

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CHECKLIST AND CERTIFICATION OF THE UTILIZATION OF TARGETED SMALL BUSINESS (TSB) ON NON-FEDERAL AID PROJECTS (THIRD-PARTY STATE-ASSISTED PROJECTS)

CITY: \_\_\_\_\_ PROJECT NUMBER: \_\_\_\_\_

COUNTY: \_\_\_\_\_ AGREEMENT NUMBER: \_\_\_\_\_

1. Were qualified TSB names obtained from the Iowa Department of Inspections and Appeals?

YES \_\_\_\_\_ NO \_\_\_\_\_

If no, explain \_\_\_\_\_

2. Were qualified TSBs notified of project? YES \_\_\_\_\_ NO \_\_\_\_\_

If yes, by letter \_\_\_\_\_, telephone \_\_\_\_\_, personal contact \_\_\_\_\_, other \_\_\_\_\_

If no, explain \_\_\_\_\_

3. Were bids solicited from qualified TSBs? YES \_\_\_\_\_ NO \_\_\_\_\_

If no, explain \_\_\_\_\_

4. Was a goal or percentage (%) established for TSB participation? YES \_\_\_\_\_ NO \_\_\_\_\_

If yes, what was the goal or percentage (%) \_\_\_\_\_

If no, explain why not \_\_\_\_\_

5. Did the prime contractor use positive efforts to utilize TSBs on subcontracts? YES \_\_\_\_\_ NO \_\_\_\_\_

If no, what action was taken by County/City \_\_\_\_\_

Is documentation in files? YES \_\_\_\_\_ NO \_\_\_\_\_

6. What was the dollar amount reimbursed to the City/County from the Iowa Department of Transportation? \$ \_\_\_\_\_  
What was the final project cost? \$ \_\_\_\_\_  
What was the dollar amount performed by TSBs? \$ \_\_\_\_\_

Was the goal or percentage (%) achieved? YES \_\_\_\_\_ NO \_\_\_\_\_

If no, explain \_\_\_\_\_

I certify that the COUNTY/CITY (circle one) used positive efforts to utilize TSBs as participants in this project.

\_\_\_\_\_  
PROJECT ENGINEER/MANAGER

\_\_\_\_\_  
DATE