



STATE OF NORTH CAROLINA  
DEPARTMENT OF TRANSPORTATION

PAT MCCRORY  
GOVERNOR

ANTHONY J. TATA  
SECRETARY

June 19, 2014

TO: Senator Kathy Harrington  
NC Senate  
16 W. Jones St., Room 2113  
Raleigh, North Carolina 27601-2808

Representative Frank Iler  
NC House of Representatives  
300 N. Salisbury Street, Room 637  
Raleigh, NC 27603-5925

Representative John A. Torbett  
NC House of Representatives  
300 N. Salisbury Street, Room 538  
Raleigh, NC 27603-5925

FROM: Nick Tennyson  
Chief Deputy Secretary

A handwritten signature in black ink, appearing to be "NT", located next to the name Nick Tennyson.

In accordance with NCGS 136.28-10, the Department of Transportation submits the following report to the Joint Legislative Transportation Oversight Committee regarding the use of Small Business Enterprise (SBE) participation for construction and repair projects of five hundred thousand dollars (\$500,000) or less, and maintenance projects of five hundred thousand dollars (\$500,000) or less per year. Please find attached the State Fiscal Year Report for the 3<sup>rd</sup> Quarter of SBE participation on state funded projects.

Please contact Trent Rawley at 919-508-1886 with any questions.

cc: Jason Soper, Legislative Liaison, NCDOT (attachment)  
Amna Cameron, Senior Fiscal Analyst, NCGA (attachment)  
LaNica Allison, Deputy Secretary, NCDOT (attachment)

**Other Legislative Members:**

Rep. William Brawley  
Rep. Rayne Brown  
Rep. Becky Carney  
Rep. Nelson Dollar  
Rep. Charles Jeter

MAILING ADDRESS:  
NC DEPARTMENT OF TRANSPORTATION  
TRANSPORTATION PROGRAM MANAGEMENT  
1595 MAIL SERVICE CENTER  
RALEIGH NC 27699-1595

TELEPHONE: 919-707-6600  
FAX: 919-212-5711


WEBSITE:  
WWW.NCDOT.GOV

LOCATION:  
CENTURY CENTER COMPLEX  
ENTRANCE B-1  
1020 BIRCH RIDGE DRIVE  
RALEIGH NC

Rep. Chuck McGrady  
Rep. Rodney W. Moore  
Rep. Phil Shepard  
Rep. Paul Tine  
Sen. Warren Daniel  
Sen. Joel D. M. Ford  
Sen. Malcolm Graham  
Sen. Rick Gunn  
Sen. Ralph Hise  
Sen. Neal Hunt  
Sen. Wesley Meredith  
Sen. Bill Rabon  
Sen. Dan Soucek  
Sen. Michael P. Walters

**Advisory Members**

Rep. Dana Bumgardner  
Sen. Brent Jackson

	<p style="text-align: center;">Legislature Report June 19, 2014</p>	<p style="text-align: right;">Contact Person: J. Trent Rawley <a href="mailto:jtrawley@ncdot.gov">jtrawley@ncdot.gov</a> (919)508-1886</p>
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**Purpose:** The purpose of this report is to provide the Legislature with a periodic update of the utilization of Small Business Enterprises, and any program adopted to promote contracting opportunities to those businesses.

**Authority:** G.S. 136-28-10 Highway Fund & Highway Trust Fund Small Project Bidding (State Funds only)

#### Definitions:

- Small Business Enterprise (SBE) is defined as a business that is owned, operated, and controlled by one or more eligible owners and is 25% or less of the applicable size standards established by the Small Business Administration (SBA).

#### Aspirations Goals:

- No aspirational goals are set for the SBE program

#### Attainment:

1<sup>st</sup> Quarter Report for SFY 2014 – July 1, 2013 through September 2013

Contract Type	Contract amount	State MBE Amount	Total MBE %	State WBE Amount	Total WBE %	Total MB+WB	Total MB+WB %
Small Bus Program	\$ 7,276,417.28	\$ 278,974.56	3.83 %	\$ 452,044.81	6.21 %	\$ 731,019.37	10.05 %

2<sup>nd</sup> Quarter Report for SFY 2014 - October 1, 2013 through December 2013

Contract Type	Contract amount	State MBE Amount	Total MBE %	State WBE Amount	Total WBE %	Total MB+WB	Total MB+WB %
Small Bus Program	\$ 6,865,828.38	\$ 455,185.70	6.63 %	\$ 218,047.77	3.18 %	\$ 673,233.47	9.81 %

3<sup>rd</sup> Quarter Report for SFY 2014 - January 1, 2014 through March 31, 2014

Contract Type	Contract Amount	State MBE Amount	Total MBE %	State WBE Amount	Total WBE %	Total MB+WB	Total MB+WB %
Small Bus Program	\$ 4,531,583.21	\$ 256,445.61	5.66 %	\$ 132,361.31	2.92 %	\$ 388,806.92	8.58 %

#### Cumulative Total – July 2013 through March 31, 2014

Contract Type	Contract amount	State MBE Amount	Total MBE %	State WBE Amount	Total WBE %	Total MB+WB	Total MB+WB %
Small Bus Program	\$ 18,673,828.87	\$ 990,605.87	5.30 %	\$ 802,453.89	4.30 %	\$ 1,793,059.76	9.60 %

*\*The MBE and WBE percentages listed are shown as a percentage of the total SBE percentage.*

**Evaluation and Improvement:** In 2012, NCDOT was granted approval by Federal Highway Administration (FHWA), Federal Transit Administration (FTA), and Federal Aviation Administration (FAA) to allow federal funds to be used in the SBE program.