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APPENDIX A. Glossary of Terms

This glossary contains definitions of common terms and acronyms used throughout the San Mateo County 2024 Supplier Diversity Study.

Term	Definition
Anchor Institution	Anchor institutions are large place-based and mission-driven entities, often universities, local governments and hospitals that are locked into a community long term and have a significant employment and economic presence in the surrounding community. These institutions can use their significant assets like their hiring and promotion powers, investments capacity and procurement dollars to redress structural inequities and address health disparities.
Anecdotal	A personal account of experiences of firms doing business with or attempting to do business with the County.
Aspirational Goal	A predetermined, suggested, and nonbinding benchmark percentage of spending by an agency with a particular group over a period of time. The aspirational goal is typically an annual goal.
Asian	For the purpose of the Market Analysis, the U.S. Census defines Asian as "A person having origins in any of the original peoples of the Far East, Southeast Asia, or the Indian subcontinent including, for example, Cambodia, China, India, Japan, Korea, Malaysia, Pakistan, the Philippine Islands, Thailand, and Vietnam."
Asian-Pacific American	For purpose of the utilization, availability, and disparity analysis, Asian-Pacific American is defined as persons whose origins are from Japan, China, Taiwan, Korea, Burma (Myanmar), Vietnam, Laos, Cambodia (Kampuchea), Thailand, Malaysia, Indonesia, the Philippines, Brunei, Samoa, Guam, the U.S. Trust Territories of the Pacific Islands (Republic of Palau), Republic of the Northern Mariana Islands, Samoa, Macao, Fiji, Tonga, Kiribati, Tuvalu, Nauru, Federated States of Micronesia, or Hong Kong.
Awards	Awards reflect anticipated dollar amounts a prime contractor or vendor is scheduled to receive upon completion of a contract.
Black or African American	Persons having origins in any of the Black racial groups of Africa.
Barrier	Something immaterial that impedes or separates.
Contract	County agreements, including payments and purchase orders, for the procurement of goods and services.



Custom Census	A custom census involves using Dun & Bradstreet as a source of business availability. A survey is conducted on a random sample of firms supplied by Dun & Bradstreet, requesting specific information, i.e., ethnic and gender status, and verification of the North American Industry Classification System (NAICS) code.
Disadvantaged Business Enterprise (DBE)	A Disadvantaged Business Enterprises (DBEs) are for-profit small business concerns where socially and economically disadvantaged individuals own at least a 51% interest and also control management and daily business operations. ¹ This certification is used specifically for United States Department of Transportation funded projects. This is different from the County’s LSMDBE definition, where “DBE” means Diverse Business Enterprise.
Disabled Veteran-Owned Business Enterprise (DVBE)	A DVBE is a business owned by a veteran of the U.S. military, naval, or air service. The veteran must have a service-connected disability of at least 10 percent or more, and the veteran must reside in California. A DVBE must be at least 51 percent owned by one or more veterans with disabilities and daily business operations must be managed and controlled by one or more disabled veterans.
Disparity Index	The percentage of utilization is divided by the percentage of availability for a particular demographic group and multiplied by 100. Disparities were calculated for each of the business categories.
Diverse Business Enterprise (DBE)	<p>The Supplier Diversity Study defines a diverse business enterprise as one that fall in one or more of the following categories:</p> <ul style="list-style-type: none"> • Minority Business Enterprise (MBE) • Women Business Enterprise (WBE) • LGBTQ+ Business Enterprise • Service-Disabled Veteran Owned Small Business (SDVOSB) • Veteran-Owned Small Business (VOSB) <p>Each category has been defined separately in this glossary.</p>
Expenditures	Expenditures are payments made by the County to Prime Contractors and payments made by Prime Contractors to Subcontractors.
Formal Solicitation	A formal solicitation is used when a contract is expected to exceed \$200,000. Formal solicitation means a solicitation that is publicly advertised and requires sealed responses. Formal solicitations must use standard County templates.

¹ 49 CFR 26.5 “Disadvantaged business enterprise or DBE”



Good Faith Efforts	Documented evidence of the Prime Contractor’s adequate efforts to meet an established agency or contract goal to contract with LSMDBE firms.
Hispanic or Latino	Persons of Mexican, Puerto Rican, Cuban, Dominican, Central or South American, or other Spanish or Portuguese culture or origin, regardless of race.
Informal Solicitation	An informal solicitation means a solicitation for goods and services expected to cost \$200,000 or less. Informal solicitations do not require public notice or sealed responses but that may be conducted by requesting prices or proposals via e-mail.
LGBT or LGBTQ+	A business enterprise that is at least 51 percent owned, managed, operated, and controlled by one or more lesbian, gay, bisexual, or transgender (LGBTQ+) individuals.
Local Business	A local business is defined as those private businesses that are based or headquartered in San Mateo County.
Local Small Business	A business that is both a local business and a small business as defined herein.
Local, Small, Micro, Diverse Business Enterprise (LSMDBE)	The Supplier Diversity Study identified local, small, micro, and diverse business enterprises (LSMDBEs) as the primary business entities to analyze under the study. Each LSMDBE category has been separately defined in this glossary.
Local Small Nonprofit (LSNP)	A San Mateo county based non-profit organization that does not have a statewide or national presence.
Local Micro Business	A business that is both a local business and a micro business as defined herein.



<p>Manufacturer</p>	<p>For Small Business Certification purposes, a manufacturer is a business that is both the following:</p> <p>(1) Whether the business, with its own facilities, performs the primary activities in transforming inorganic or organic substances into the end item being acquired, and is not a packager or, in the case of kits, a final assembler. The end item must possess characteristics that did not exist, before the original substances, parts, or components were assembled or transformed, as a result of mechanical, chemical, or human action. The end item may be finished and ready for utilization or consumption, or it may be semi-finished as a raw material to be used in further manufacturing, and,</p> <p>(2) Whether more than fifty percent (50%) of its annual gross receipts result from the manufacture and sale of products manufactured by the business.</p>
<p>Micro Business</p>	<p>For purposes of this study, a small business is designated as a micro business, if gross annual receipts are \$5,000,000 or less; or the small business is a manufacturer with 25 or fewer employees².</p>
<p>Minority Business Enterprise (MBE)</p>	<p>A minority-owned business enterprise that is at least 51% owned, operated, and controlled by one or more individuals who are African American, Asian American, Hispanic American, and Native American.</p>
<p>NAICS</p>	<p>The North American Industry Classification System (NAICS) is the standard used by Federal statistical agencies in classifying business establishments for the purpose of collecting, analyzing, and publishing statistical data related to the U.S. business economy.</p>
<p>Native American/ American Indian or Native Alaska</p>	<p>Any federally or state-recognized tribe, band, nation, or other organized group of Indians (Native Americans). Includes Alaska Natives, which is a citizen of the United States who is a person of one-fourth degree or more Alaskan Indian (including Tsimshian Indians not enrolled in the Metlakatla Indian Community), Eskimo, or Aleut blood, or a combination of those bloodlines. The term includes, in the absence of proof of a minimum blood quantum, any citizen whom a Native village or Native group regards as an Alaska Native if their father or mother is regarded as an Alaska Native.</p>
<p>Nonprofit or Nonprofit organization</p>	<p>A nonprofit organization is an entity formed and operated for charitable or socially beneficial purposes, rather than aiming to generate a profit.</p>

² At the time of the study analyses, the California Department of General Services (DGS) defined micro businesses as those with annual gross receipts of \$5 million or less, and this is the definition utilized in the study. The definition has since been updated to \$6 million or less in annual gross receipts.



OpenGov	A Software as a Service (SaaS) software application that provides various solutions to government agencies. The County of San Mateo has purchased OpenGov licenses to allow potential bidders access to County solicitations. The software also allows vendors to register and provide vendor certification and demographic information.
Potentially Available Business	A business that provides services or goods that are procured by the County and located in the established marketplace. A potentially available business may be available to perform services or provide goods but may not be interested or capable of performing such services or providing goods to the County.
Preference Points	Points awarded (Request for Proposal) or percentage reduction in price (Invitation for Bids) granted to local, small, or diverse businesses based on the certification of the vendor as provided by specific certifying agency or agencies.
Prime Contractor	The contractor or vendor to whom the County issues a purchase order or contract.
Private Sector	The part of the economy that is not under direct government control. It encompasses all for-profit businesses operated by individuals and companies.
Public Sector	The public sector refers to the part of an economy that is controlled or owned by the government. It includes public services and public enterprises.
Qualitative	Qualitative data was collected through surveys, interviews, questionnaires, and public meetings.
Race- and Gender-Neutral Measure	A measure or activities that is used to benefit and assist all small businesses equally. Race- and gender-neutral participation includes diverse business participation obtained when a race- and gender-conscious contract goal is not established.
Relevant Geographic Market Area (RGMA)	The geographical area in which the County spends the substantial majority of its in-scope contract and procurement dollars. The RGMA for the Supplier Diversity Study was San Mateo, Santa Clara, Alameda, and San Francisco counties in California.



Service-Disabled Veteran-Owned Small Business (SDVOSB)	A business enterprise that is owned by a veteran that has (A) a service-connected disability that has been determined by the Department of Veterans Affairs or Department of Defense; (B) is a small business under the North American Industry Classification System (NAICS) code assigned to the procurement; (C) is at least 51 percent unconditionally owned by a service-disabled veteran; (D) is managed by, and the daily operations controlled by the service-disabled veteran ; and (E) has the service-disabled veteran holding the highest officer position in the SDVOSB.
Set-aside (small or local small business)	A small or local small business set-aside is a contract that the awarding entity, usually a public sector agency will only offer to small or local small business contractors. Sometimes set-aside contracts are called “sheltered” or “restrictive competition” market contracts.
Small Business	For the purposes of this study, a business that, (A) together with all affiliates, has 100 or fewer employees, and annual gross receipts of sixteen million dollars (\$16,000,000) or less as averaged for the previous three (3) tax years, or (B) a manufacturer as defined herein that, together with all affiliates, has 100 or fewer employees ³ .
Study Period	The study period is the three-year time period which the study team focused on for the utilization, availability, and disparity analyses. The study period for the Supplier Diversity Study was April 1, 2020, through March 31, 2023.
Subcontinent Asian American	Persons whose origins are from India, Pakistan, Bangladesh, Bhutan, Maldives, Nepal, or Sri Lanka.
Subcontractor	A vendor or contractor providing goods or services to a Prime Contractor.
Sub-industry	A sub-industry is a specific classification for businesses providing related goods or services within a particular industry (e.g., highway and street construction is a sub-industry of construction).
Termination	The full or partial termination of contract work committed to an LSMDBE. Termination of work committed to LSMDBEs typically requires the prime contractor to provide a “good cause” reason, provide the LSMDBE with time to respond, and not terminating before receiving prior written consent by the awarding public agency.

³ At the time of the study analyses, the California Department of General Services (DGS) defined small businesses as those with annual gross receipts of \$16 million or below, and this is the definition utilized in the study. The definition has since been updated to \$18 million or below in annual gross receipts.



Utilization	The participation of LSMDBEs in the construction, professional services, and goods and services relevant, in-scope contracts and procurements that the County awarded to prime contractors and subcontractors during the study period.
Veteran-Owned Small Business (VOSB)	A business that (A) meets the small business requirements established by the Small Business Administration (SBA), and (B) at least 51% owned, operated, and controlled by a veteran.
Women Business Enterprise (WBE)	A women-owned business enterprise that is at least 51 percent owned, operated, and controlled by a woman or women.



APPENDIX B. Procurement Questionnaire Form

County of San Mateo Inclusive Procurement Supplier Diversity Study Department Procurement Questionnaire

Name:

Date:

Email:

Title/Position:

Department:

As part of Procurement Analysis component of the County of San Mateo Supplier Diversity Study, this questionnaire is aimed at learning each department's activities throughout the procurement life cycle. These include, but are not limited to pre-award, negotiation and award, post-award, and staff training activities. **Please submit this completed questionnaire and all supplemental materials to SMCSupplierDiversity@gcapervices.com by Monday, July 17, 2023.**

1. General

1.1 What types of procurements apply to your department (check all that apply)?

- Professional Services
- Goods/Other Services
- Construction
- Other: _____

1.2 Does your department follow the [Procurement Handbook \(February 2023 Version 1.3\)](#)?

- Yes
- No

If yes, are there any deviations from the Handbook requirements and/or other department specific procedures? *

If you do not follow the Procurement Handbook, does your department have formal documented procedures and/or solicitation templates (i.e., RFP) that define the minimum



solicitation content requirements? *

[Empty text box for solicitation content requirements]

**If you supplement the Procurement Handbook with department-specific procedures, or use only department-specific procedures, please provide a copy.*

2. Procurement Planning

2.1 Do you identify potential local suppliers and vendors for your RFPs?

- Yes
- No

If yes, please explain how.

[Empty text box for explanation of 2.1]

2.2 Does your department have any process that facilitates or encourages the participation of local businesses to compete for contracts?

- Yes
- No

If yes, please explain.

[Empty text box for explanation of 2.2]

2.3 If you answered “Yes” to Question 2.2 above, how do you measure the effectiveness of your department’s efforts to engage with the local community?

[Empty text box for measurement of 2.2]

2.4 Please describe the “outreach” method(s) used by your department to communicate procurement opportunities to all potential vendors and track vendor data.

[Empty text box for outreach methods]



2.5 Do you offer training/workshops for potential vendors (i.e., guidelines on how to do business with the County of San Mateo)?

Yes

No

If yes, please elaborate on the training/workshops you provide. *

****Please provide a copy of the training materials (PowerPoint, handouts, etc.), from a recent training session and/or workshop.***

3. Develop Scope and Requirements

3.1 Does your department process address Local, Small, Micro, and Diverse Business Enterprise (LSMDBE) participation and contracting policies?

Yes

No

If yes, please describe how it is addressed.

4. Sourcing/Request for Proposal

4.1 Risk Management/Insurance: Does your department use the County of San Mateo centralized Insurance Certification Questionnaire to ensure consistent coverage requirements?

Yes

No

If no, please explain why and if any insurance coverage differs from the Insurance Certification Questionnaire. *

****If you use a department-specific questionnaire, please provide a copy.***



5. Evaluation and Selection

5.1 What evaluation process does your department use for selecting a vendor or contractor? Is there a standard evaluation criteria used? Please explain and **provide a copy of documented criteria, as applicable.**

5.2 Does your department have a standard process that is different from the one outlined in the County RFP template, for handling protests/challenges to procurement decisions?

Yes

No

If yes, please describe and **provide a copy of your documented process, as applicable.**

5.3 Sole Source: Does your department utilize Sole Source procurements?

Yes

No

5.3.1 Do you follow the Administrative Memo B-1 requirements?

Yes

No

If not, please describe any department specific guidelines you use. *

****If department guidelines/processes are documented, please provide a copy.***

5.3.2 If you use sole source procurements, list the most common reasons why the sole sources were requested. *

****If department guidelines/processes are documented, please provide a copy.***



5.3.3 Have you received any procurement protests in the three-year period between April 1, 2020 through March 31, 2023?

Yes

No

If yes, please provide a copy of the protest documents.

6. Contract Award

6.1 Do you have any measures in place to ensure transparency and accountability for the procurement process, such as including evaluation criteria in solicitations, providing list of Pre-Bid meeting attendees, emailing all bidders information about selected bidder, allowing for timely debriefings to bidders that were not selected, etc.?

Yes

No

If yes, please describe measures used.

6.2 Do you provide debriefings for bidders that are not selected for award?

Yes

No

6.3 Emergency Purchases: Does your department make Emergency purchases?

Yes

No

If yes, how do you identify your vendor(s) (i.e., preferred vendors, list of specific vendors used for emergency purchases)?



7. Contract Management

7.1 Does your department use the County's Contract Management System?

Yes

No

If not, do you have a department specific application or process? *

****If you have a documented procedure for the process or documents related to an application, please provide a copy.***

7.2 Does your department collect information regarding vendor size, location, owners' demographics, diverse business certifications, such as small, local, Minority Business Enterprise (MBE), Women Business Enterprise (WBE), Lesbian, Gay, Bisexual, Transgender (LGBT), Disabled Veteran Business Enterprise (DVBE), or other groups, and the percentage of dollars expended for these businesses?

Yes

No

If yes, please describe.

7.3 Does your department track subcontractor information?

Yes

No

If yes, please describe.



7.4 Do you track demographic data for contractors or subcontractors?

- Yes
- No

If yes, please explain what data is tracked and how you are tracking demographic data.

7.5 Record Retention: Please describe your department’s protocols for Record Retention.

7.5.1 How does the department ensure compliance with Administrative Memo B-1 requirements?

8. Staff Training

8.1 Does your department offer formal training to procurement staff to ensure minimum solicitation content requirements or other procurement processes?

- Yes
- No

If yes, please describe training (type, frequency).



9. Other Comments

9.1 Do you have any other comments you would like to provide about your procurements or procurement practices?

9.2 Do you have any suggestions about how to improve the County's local, small, micro, and diverse business participation?



APPENDIX C. Department Procurement Questionnaire Summary

Figure C-1: Department Questionnaire Submission & Interview Table

Department	Questionnaire Submitted		Interview Candidate
	Yes	No	
Agriculture – Weights & Measures	X		Yes
Board of Supervisors & County Executive’s Office (CEO)	<i>Broken down by department below</i>		
<ul style="list-style-type: none"> CEO – Budget, Executive Team, Fiscal, Admin Services and Communications 	X		
<ul style="list-style-type: none"> CEO – Equity Team 	X		
<ul style="list-style-type: none"> CEO – Office of Community Affairs 		X	
<ul style="list-style-type: none"> CEO – Emergency Management Department 	X		
<ul style="list-style-type: none"> CEO – Project Development Unit 		X	Yes
<ul style="list-style-type: none"> CEO – Public Affairs 		X	
<ul style="list-style-type: none"> CEO – Real Property Services 	X		
Child Support Services	X		
Controller’s Office	X		
Coroner’s Office		X	
County Attorney’s Office	X		Yes
District Attorney’s Office	X		
County Fire	X		
First Five	X		Yes
County Health	<i>Broken down by department below</i>		
<ul style="list-style-type: none"> Health – Admin 	X		Yes
<ul style="list-style-type: none"> Health – Aging & Adult Services 	X		
<ul style="list-style-type: none"> Health – Behavioral Health & Recovery Services 	X		
<ul style="list-style-type: none"> Health – Correctional Health 	X		
<ul style="list-style-type: none"> Health – EMS Unit 	X		
<ul style="list-style-type: none"> Health – IT 	X		
<ul style="list-style-type: none"> Health – LEAP 		X	
<ul style="list-style-type: none"> Health – Medical Center 	X		
<ul style="list-style-type: none"> Environmental Health Services 	X		
<ul style="list-style-type: none"> Family Health Services/Health Coverage Unit (FHS/HCU) ** 		X	
<ul style="list-style-type: none"> Public Health, Policy & Planning (PHPP) 	X		
Human Services Agency	X		Yes
Housing		X	Yes
Human Resources Department	X		Yes
Information Services Department	X		
Local Agency Formation Commission (LAFCO)	X		
Office of Sustainability	X		Yes



Parks Department	X		Yes
Planning and Building Department	X		
Probation Department	X		
Public Safety Communications	X		
Public Works Department	<i>Broken down by department below</i>		
• Public Works – Admin	X		Yes
• Public Works – Airports	X		
• Public Works – Design & Construction	X		
• Public Works – Utilities	X		Yes
• Public Works – Capital Projects	X		
San Mateo County Employee Retirement Association (SamCERA)		X	
Sheriff's Office	X		Yes
Treasurer/Tax Collector	X		
Total	36*	8	12
Response Rate	82%	-	-

* The 36 completed questionnaires represent twenty-one (21) departments due to some department divisions submitting questionnaire individually.

** One completed questionnaire was submitted representing FHS/HCU and PHPP.



Figure C-2: Quantitative Questionnaire Response Table

Question	Responses		Did Not Answer	Percent Response	
	Yes	No		Yes	No
General					
Q1.2 Does your department follow the Procurement Handbook?	35	0	1	97.2%	0.0%
Procurement Planning					
Q2.1 Do you identify potential local suppliers and vendors for your RFPs?	20	14	2	55.6%	38.9%
Q2.2 Does your department have any process that facilitates or encourages the participation of local businesses to compete for contracts?	10	26	0	27.8%	72.2%
Q2.5 Do you offer training/workshops for potential vendors (i.e., guidelines on how to do business with the County of San Mateo)?	5	31	0	13.9%	86.1%
Develop Scope & Requirements					
Q3.1 Does your department process address Local, Small, Micro, and Diverse Business Enterprise (LSMDBE) participation and contracting policies?	5	31	0	13.9%	86.1%
Sourcing/RFP Process					
Q4.1 Risk Management/Insurance: Does your department use the County of San Mateo centralized Insurance Certification Questionnaire to ensure consistent coverage requirements?	32	3	1	88.9%	8.3%
Evaluation					
Q5.2 Does your department have a standard process that is different from the one outlined in the County RFP template, for handling protests/challenges to procurement decisions?	1	34	1	2.8%	94.4%
Q5.3 Sole Source: Does your department utilize Sole Source procurements?	29	7	0	80.6%	19.4%
Q5.3.1 Sole Source: Do you follow the Administrative Memo B-1 requirements?	29	7	0	80.6%	19.4%
Q5.3.3 Have you received any procurement protests in the three-year period between April 1, 2020, through March 31, 2023?	5	31	0	13.9%	86.1%
Contract Award					
Q6.1 Do you have any measures in place to ensure transparency and accountability for the procurement process?	29	5	2	80.6%	13.9%
Q6.2 Do you provide debriefings for bidders that are not selected for award?	14	22	0	38.9%	61.1%
Q6.3 Does your department make Emergency purchases?	15	21	0	41.7%	58.3%
Contract Management					
Q7.1 Does your department use the County's Contract Management System?	20	16	0	55.6%	44.4%
Q7.2 Does your department collect information regarding vendor size, location, owners' demographics, diverse business certifications, such as small, local, Minority Business Enterprise (MBE), Women Business Enterprise (WBE), Lesbian, Gay, Bisexual, Transgender	3	33	0	8.3%	91.7%



(LGBT), Disabled Veteran Business Enterprise (DVBE), or other groups, and the percentage of dollars expended for these businesses?					
Q7.3 Does your department track subcontractor information?	5	31	0	13.9%	86.1%
Staff Training					
Q8.1 Does your department offer formal training to procurement staff to ensure minimum solicitation content requirements or other procurement processes?	12	24	0	33.3%	66.7%



C.1 Procurement Questionnaire Analysis

The Internal Department Procurement Questionnaire was organized around the following eight (8) procurement-related areas:

- Procurement Planning
- Scope & Requirements Development
- Sourcing/RFP Process
- Evaluation & Selection
- Contract Award
- Contract Management
- Staff Training
- Open-ended comments on General Procurement Practices, and Supplier Diversity

The questionnaire contained yes/no (quantitative) responses and qualitative input in the comment sections to provide additional insight. A summary of key themes identified in each of these eight (8) areas is presented below.

C1.1 Procurement Planning

Identifying Potential Local Suppliers/Vendors

Over half of respondents (56%) attempt to identify local vendors and suppliers for their solicitations but are not specifically looking for small, micro, diverse, or disadvantaged businesses (LSMDBEs). Common methods listed in the comments used to identify local vendors include:

- Using Public Purchase
- Conducting Web/Internet Research
- Networking with local community-based organizations
- Working with the County program managers who maintain list of local vendors/suppliers
- Notifying past local vendors, consultants, and contractors who have worked on similar past projects

Outreach Processes

Slightly less than a third of the respondents (28% or 10 responses) reported they have a process that facilitates or encourages the participation of local business to compete for contracts. However, based on the comments provided in the questionnaires there is not a clear distinction between identifying potential vendors and suppliers and conducting outreach. The types of activities listed for outreach were essentially the same as for identifying vendors/suppliers.

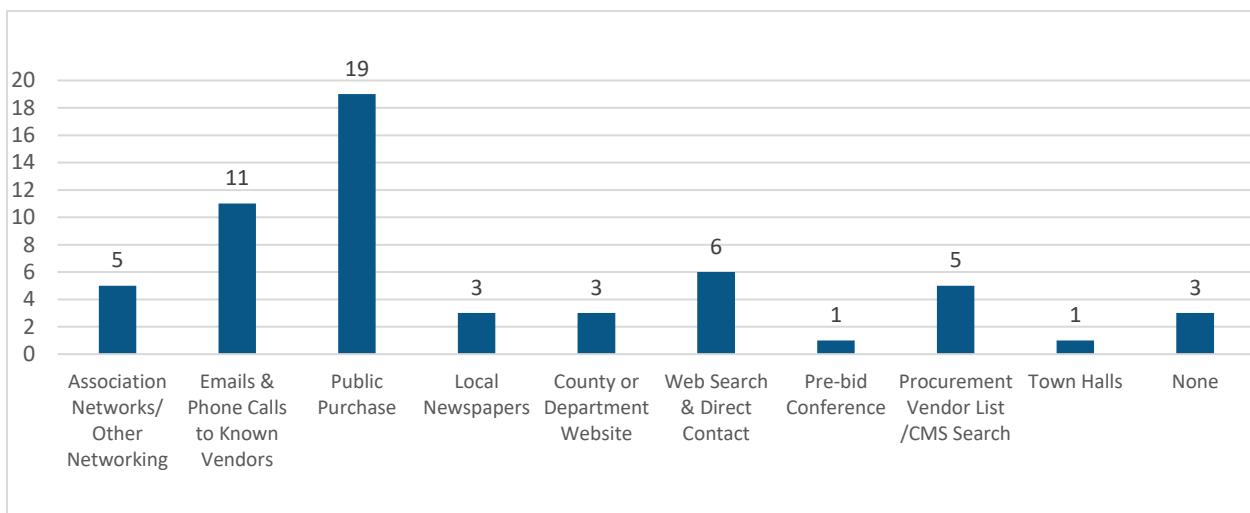
Vendor or supplier outreach is broader than just identifying potential firms and includes reaching out to others to provide assistance, information, or support. It can take many forms, including



direct outreach (such as phone calls, emails, or in-person meetings), indirect outreach (such as social media or advertising), or event-based outreach (such as community events or presentations). The purpose of outreach is to connect with vendors and suppliers and provide them with resources or information that can help them participate in current and future County procurement opportunities. Additionally, those that responded that they engage in outreach do not have a means or method of determining the effectiveness of their outreach activities.

The chart below shows the various types of outreach methods used based on comments provided by questionnaire respondents. As shown, Public Purchase was the most frequently cited method followed by emails and phone calls to known vendors/suppliers.

Figure C-3: Outreach Methods (Number of Responses)



Training/Workshops for Potential Vendors

Training and workshops for potential vendors is an area of opportunity to minimize barriers for LSMDBEs in doing business with the County. Only five (5) respondents (14%) indicated that they provide training/workshops for potential vendors to provide guidelines on how to do business with the County. Four (4) of the five (5) respondents that answered “yes” to providing training and workshops provided comments. Two (2) indicated they offer pre-bid meetings. One (1) commented that they have held sessions with the CBO groups on the County’s contracting process, and the fourth respondent commented that when needed, they provide training on the RFP process, orientation, and technical assistance on business procedures for grantees.

C1.2 Scope and Requirements Development

The majority of respondents (86% or 31) do not have a process that specifically takes into consideration LSMDBEs when developing project scope and requirements for a solicitation.

Of the five (5) departments that answered “yes”, their comments, as listed below, reveal that their process is not specifically tailored to LSMDBEs:



- *"We did this, especially with the pandemic response efforts. Again, we use Public Purchase for RFPs and RFQs."*
- *"We follow county procedures when needed."*
- *"All processes are followed through the procurement handbook; nothing "extra" to these standards."*
- *"For Federal and (some) State funded projects, our section will establish a percentage of the contract for DBE participation. The potential Contractor is required to show good faith efforts to achieve this percentage goal when a proposal is submitted."*
- *"The Department complies with Federal and State requirements for contracting with minority owned or disadvantaged companies for projects involving Federal funding."*

C1.3 Sourcing/RFP Process

Most of the respondents (89% or 32) use the County's centralized Insurance Certification questionnaire. One (1) respondent did not answer this question. The three (3) departments that answered "no", provided the following comments:

- *"We haven't used the questionnaire but do require they submit and update their coverage."*
- *"We follow the guidelines of the County and do not veer from recommended insurance requirements."*
- *"We use the insurance requirements included in the County contract templates. As of this survey, we will now begin using the County central insurance cert [sic] questionnaire."*

C1.4 Evaluation & Selection

Evaluation Process

The questionnaire asked respondents to describe their evaluation and selection process. Most of the respondents said they use the standard selection process in RFP solicitations as outlined by County procurement procedures. For purchases of goods/services that do not require an RFP, they defer to Admin Memo B-1. A few indicated they select the lowest bid amount from the three (3) quotes. Others with specialized needs use sole source justification.

Handling Protests

Only a small number of respondents (14% or 5) reported receiving procurement protests during the study period; most (86% or 31) did not.

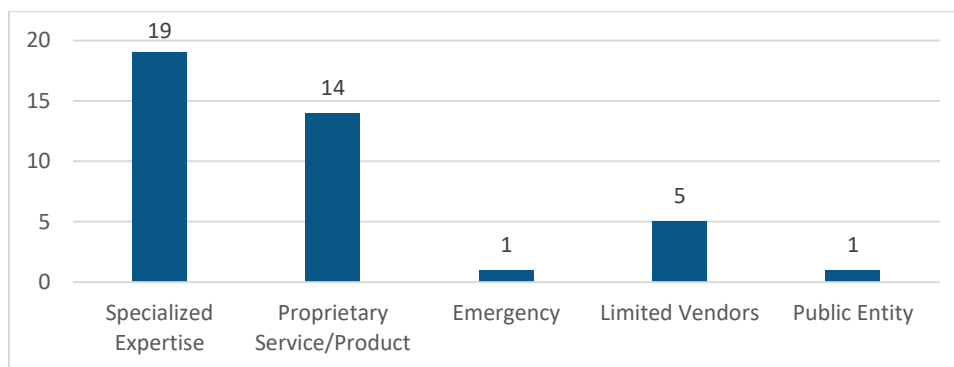
Only one (1) respondent uses a process for handling protests differently than outlined in the County RFP template. The department indicated that they revised the RFP template language with County Attorney's guidance, and the department established its own email address to receive protests.



Sole Source Procurement Use

Most of the respondents (81% or 29) indicated their group uses sole source procurement. The most common reasons given for sole source procurements gleaned from the comments provided are the need for specialized expertise (19 responses) and proprietary services/products (14 responses), as shown in the chart below.

Figure C-4: Common Reasons for Sole Source Procurements



Admin Memo B-1 Sole Source Requirements

The vast majority of respondents (97% or 35) stated they use Admin Memo B-1 for sole source requirements. However, seven (7) departments reported not engaging in sole source procurements in the prior question. The discrepancy between these two (2) responses may be from misinterpretation of the Admin Memo B-1 questions. Respondents may have interpreted the question as asking them if they use Admin Memo B-1 in general and not specifically for sole source procurements.

C1.5 Contract Award

Transparency & Accountability

Most (81% or 29) reported having measures in place to ensure transparency and accountability for the procurement process. Most of these respondents reported that they follow the formal guidelines in the Procurement Handbook and/or County procurement guidelines. A few commented that they post all documents on Public Purchase to ensure transparency and accountability. Five (5) departments, or 14%, reported having no measures in place. Two (2) departments did not respond to the question.

Debriefs

Over half of the departments (61% or 22 departments) do not provide debriefings for bidders not selected for the contract.

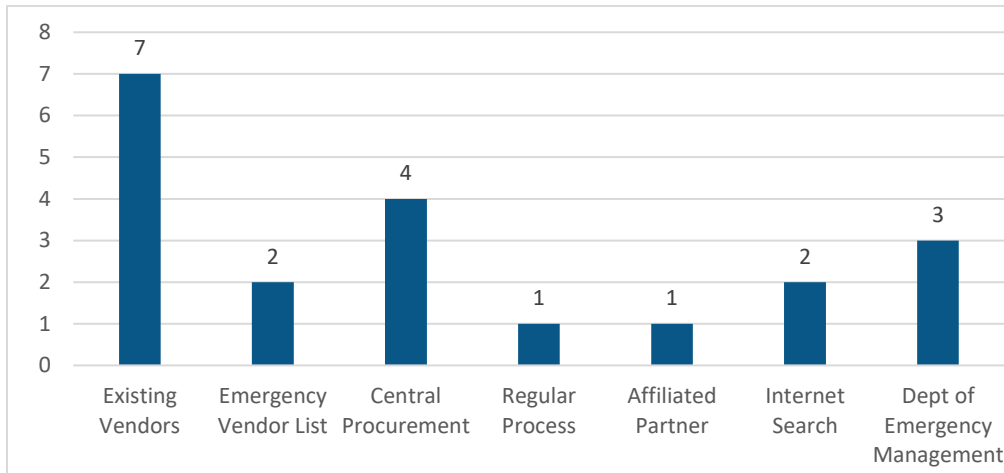
Emergency Purchases

Less than half of the respondents (42%) make emergency purchases; most (58% or 21) do not. The most common means of identifying a vendor or supplier for emergency purchases was



utilizing existing vendors (7 responses), followed by contacting the County Central Procurement department (4 responses), as shown below.

Figure C-5: Identification of Emergency Vendors



C1.6 Contract Management

County Contract Management Systems

Slightly less than half (44% or 16 departments) do not use the County's Contract Management System (CMS). Those that do not CMS reported the following department specific application or process for managing contracts:

- *"We use the County Contract's Handbook and templates, and store contracts in a shared drive. We tried using CMS, but it did not work for our department. We are excited to have a new system that we can use going forward."*
- *"We follow the County guidelines for contracts."*
- *"We have our own First 5 database and process for tracing RFPs"*
- *"Contracts are created and approved outside of CMS and kept in our BHRS Contracts Folder."*
- *"No application, but we have documented processes."*
- *"We can attach the contract playbook"*
- *"The department uses an excel spreadsheet currently."*
- *"Contracts are monitored using Excel Spreadsheet primarily and OFAS for expense monitoring."*
- *"Our agreements are Attorney-Client Privileged and are stored in our legal database to limit access."*
- *"We use our shared network drive to maintain and store our contract documentation."*



LSMDBE-related Demographic Data

The vast majority of departments and divisions (92% or 33) do not collect information regarding vendor size, location, owners' demographics, or diverse business certifications such as small business, local business, Minority Business Enterprise (MBE), Women Business Enterprise (WBE), Lesbian, Gay, Bisexual, Transgender (LGBTBE), Disabled Veteran Business Enterprise (DVBE), or other business certifications. The three (3) departments that answered "yes" to collecting LSMDBE-related data provided the following additional comments:

- *"Only recently has the Department started collecting some of this information. Our staff would contact contractors and ask them if they fell within some of these categories if the information was not already included in proposals."*
- *"We use the Department of Transportation (DOTs) DBE Query database to search and gather data from DBE firms in the district. Our section will follow Caltrans' Exhibit 9D for DBE Contract Goal methodology to calculate and establish a DBE participation percentage goal for certain construction contracts."*
- *"As part of the RFP process, the vendor size and location are requested. More recently, with the 2023 awarded Job Order Contracts (JOC), information about the business's diversity certifications were requested upon awarding."*

Contractor and Subcontractor Data

Most departments and divisions (92% or 33) do not track demographic data for contractors or subcontractors.

Records Retention

Most respondents commented that they follow County record retention protocols and guidelines as outlined in the Procurement Handbook and Admin Memo B-1. A few also commented that in addition to County guidelines, they follow State, Federal, and Caltrans guidelines when applicable.

C1.7 Staff Training

A third of the respondents (33% or 12) said they provide formal training. However, when you look at the comments about their training, many say they rely on training provided by Central Procurement and don't provide their own department-specific training. Comments from respondents that answered "yes" to providing training include:

- *"Our staff participates in procurement training when they are available and monitors the County's Procurement SharePoint for any updates."*
- *"We have offered trainings, and contracted to have trainings provided to contracts users, but we do not have an ongoing plan to do so. The Procurement and Contracts Unit also trains staff on an as needed basis."*
- *"On-the-job training is provided to staff upon hire and/or assignment to procurement-related roles. Staff are advised to attend and view trainings provided by the Procurement Division related to solicitation and procurement processes."*



- *"Extensive training is offered when new procurement staff join the Department. They are encouraged to continue their training with outside training or with County issued training after their initial training. Training includes review of County produced documents and on the job training. Staff will review policies with trainees. Effort is made to ask County Procurement to provide trainings as well."*
- *"Department procurement staff are available when sections have questions regarding procurement. Procurement trainings are periodically provided through the Central Procurement staff, notification of such trainings is typically distributed to the department management and procurement staff."*
- *"Renewal of certification is every two (2) years."*
- *"For staff that will be running RFP's we train them and work with them continuously through the RFP process."*
- *"This training occurs during onboarding of new staff and covers all duties in procurement and contracting since our staff only perform procurement and contracting duties."*
- *"I know there is formal training offered to procurement staff, but not sure how frequent."*
- *"Staff are encouraged to attend trainings offered by Department or County contract administrative staff."*
- *"We have provided formal procurement/contracts training to staff, and we have developed a variety of resources pertaining to the contracts/procurement process for staff. These resources are stored in SharePoint."*
- *"Our office is currently considering developing a formal contracts/procurement training and making it a mandatory training that staff can complete through LMS."*
- *"State of CA Basic Procurement Process which involves the rules on spending, to where and how much funding allotted to us. The authority to spend funds with specific limitation, rules and expectations which involves purchasing process, responsibilities based on ethics, consideration of public state resources and fiscal conservatism, reporting and providing transparency on all purchasing decisions."*



C1.8 General Procurement Practices and Supplier Diversity Comments

Seven (7) preliminary themes emerged from the comments provided to the last two (2) questions on the questionnaire:

- **Question 9.1:** Do you have any other comments you would like to provide about your procurements or procurement practices?
- **Question 9.2:** Do you have any suggestions about how to improve the County's local, small, micro, and diverse business participation?

These themes are:

1. Internal support exists for more inclusive procurement policies, programs, and practices.
2. County departments need support from central County Procurement in general and especially for LSMDBE efforts.
3. A centralized database of LSMDBEs would be an important resource.
4. Departments need to be required to collect/track LSMDBE information and the County needs to establish LSMDBE metrics.
5. The County needs to engage in more outreach to and training for LSMDBE suppliers and vendors.
6. The County needs to develop programs to support capacity building of LSMDBE suppliers and vendors.
7. Insurance requirements need to be revised for LSMDBE suppliers and vendors.

The study team used these themes as the starting point for evaluating, comparing, and synthesizing the results from the three (3) assessment efforts (document review, interviews, and questionnaire) to identify the nine (9) preliminary key themes in Chapter 2: Procurement Analysis.

Theme: Internal Support Exists for More Inclusive Procurement Policies, Programs & Practices

Question 9.2: Do you have any suggestions about how to improve the County's local, small, micro, and diverse business participation?

- *"Not at this time, but we look forward to implementing any policies to support this."*
- *"Our department is eager to participate in a County wide program to improve the County's local, small, micro, and diverse business participation"*
- *"Not at this time, we encourage local participation whenever possible."*



Theme: Support Needed from County Procurement

Question 9.1: Do you have any other comments you would like to provide about your procurements or procurement practices?

- *"We would appreciate additional contract procurement support from County Procurement or at the County level, especially with contracts that contain services that span across multiple County departments. This would provide a more cohesive contract process for providers, community-based organizations, and County staff, and would likely result in cost-savings during the RFP or negotiation phase."*
- *"Overall, we follow County standards, references, and systems for our procurement practices; we have no special tracking or processes. We appreciate standardized directions like the Contract handbook."*
- *"We rely on County procurement team for procurement training. we have 1 person in addition to me that supports/manages contracts (aside from the project managers throughout the department who review/approve invoices)."*
- *"Items for our department are a bit challenging to procure according to County policies because there are only a handful of vendors that meet our safety standards. Flexibility in procurement for these types of goods are appreciated."*
- *"The trainings offered by Procurement are very helpful so please keep them going if possible."*

Question 9.2: Do you have any suggestions about how to improve the County's local, small, micro, and diverse business participation?

- *"I have experience with Alameda County's small local emerging business requirement for their good and services. It slowed the procurement process as we had to find a local vendor (SLEB) and get them signed up with the program before the contracts could be executed or good purchased. In addition, we had to help the businesses sign-up and renew the SLEB registration and most of the time paid higher prices for goods."*
- *"Provide resources to Procurement to allow the division to create and manage more contracts that serve the entire County, using a point system for local/small/micro/diverse vendors vs. Current decentralized process of departments doing their own. This would result in greater purchasing power and better processes. For instance, what is currently done for copier machines. E.g., movers; security; CIC/KRJ; scanning of documents; etc. There are many needs like this that we have inconsistent processes and duplicate efforts."*
- *"I would like to highlight that for construction contracts, procurement needs to look at the federally funded projects as they do not allow for local preference in the contract. If the end goal is to have a County DBE goal or percentage that we strive for, this will need to be modified for certain federal grants. Refer to C.F.R. 200.319 (c)."*



Theme: Centralized Database of LSMDBEs would be an Important Resource

Question 9.1: Do you have any other comments you would like to provide about your procurements or procurement practices?

- *"If contractors were added to one department's JOC list, other departments contracting for similar services or goods should not have to do a separate RFP."*

Question 9.2: Do you have any suggestions about how to improve the County's local, small, micro, and diverse business participation?

- *"Provide a centralized data base which consists of pre-vetted local, small, micro, and diverse business partners County departments can engage with sorted by area of service/good. Something similar to the efforts the County's Procurement department takes to listing County Procurement provided providers of goods and services."*
- *"It would be helpful if we had a catalog of contractors sorted by services provided that we could reference when searching for contractors. I suspect there are times when we utilize certain contractors because they are "known" to us, or we cannot easily/readily identify alternative contractors because there is not an easy way to identify who provides a specific service"*
- *"Creating lists of local vendors by key industries will be helpful for outreach"*
- *"Having a centralized and updated inventory of these vendors/contractors that departments can go reach out to for solicitations would help with participation. County outreach to these firms would also help these firms know more about County policies and state law."*
- *"It would be nice to have a County-wide list of approved vendors available to use as a reference when soliciting goods or services."*
- *"It would be great for the county to have a central list of local, small, micro, and diverse businesses that departments could add to and access as a resource for contacts that departments could reach out to when procuring goods/services."*

Theme: Need to Collect/Track LSMDBE Information and Establish LSMDBE Metrics

Question 9.2: Do you have any suggestions about how to improve the County's local, small, micro, and diverse business participation?

- *"Recommend the county require that departments use a demographic questionnaire for all procurements to ensure we are capturing this info and provide guidance to departments on how to use this information."*
- *"Setting procurement goals to increase the use of local and small businesses"*
- *"Improving our data tracking systems"*



Theme: Need More Outreach to and Training for LSMDBEs

Question 9.2: Do you have any suggestions about how to improve the County's local, small, micro, and diverse business participation?

- *"Seek feedback from local, small, micro, and diverse businesses to identify potential barriers to participation with the County. Identify ways to streamline procurement and financial processes/requirements to better meet the needs of these businesses."*
- *"Outreach to those communities."*
- *"Yes, use the new e-procurement tool we will have in a few months. Ensure that some Zoom town halls and other outreach is conducted with firms of this type to train them in the use and help onboard them to the new e-procurement platform."*

Theme: Need Programs to Support Capacity Building of LSMDBEs

Question 9.2: Do you have any suggestions about how to improve the County's local, small, micro, and diverse business participation?

- *"For our department, small, local, and micro businesses often don't end up with contracts for program delivery for the institutions and the community because they don't have the capacity to comply with the County's data collection/ performance measure requirements. Often, these businesses are owned and operated by one person that provides the program themselves and at the same time puts their invoices together. They also often don't even have the capacity to put together a response to an RFP since they don't have the bandwidth or financial independence to hire grant writers in order for them to compete with bigger CBOs."*
- *"Increasing capacity building of local vendors to access procurement opportunities"*

Theme: Need to Revise Insurance Requirements for LSMDBEs

Question 9.2: Do you have any suggestions about how to improve the County's local, small, micro, and diverse business participation?

- *"Is there a way to decrease insurance requirements to ensure this is not a barrier to diverse and/or small and/or new businesses?"*
- *"Examine insurance requirements. For applicable IT procurements, Risk Management has set the Cyber insurance coverage at \$5M. This required coverage has caused smaller vendors to drop out of solicitations."*



APPENDIX D. Feedback Form



County of San Mateo Supplier Diversity Study Feedback Form

Thank you for providing input to the County's first ever Supplier Diversity Study.

The County and the GCAP team are committed to engaging the public meaningfully as part of the Supplier Diversity Study. This short survey provides an additional opportunity for the public and various stakeholders to submit comments about their experiences with, and perceptions of, working with the County of San Mateo. Please complete this survey by **November 3, 2023**.

Study Purpose.

The Supplier Diversity Study will help the County better understand the makeup of the existing County's vendors, specifically the availability of local, small, micro, and diverse business enterprises (LSMDBEs) across the local marketplace that could benefit from the economic opportunities generated by the County. This is of critical importance since the County spends approximately \$500,000,000 per year on goods and services that could contribute to expanding local prosperity.

The County is conducting the Supplier Diversity Study to:

- Help the County understand any gaps between the County's existing use of local, small, micro, and diverse businesses and the availability of these businesses in the local market
- Improve data collection and tracking of local, small, micro, and diverse business enterprises
- Recommend tailored solutions to improve outreach efforts and capacity building of underrepresented businesses

To learn more about the Supplier Diversity Study, please visit the County website at:

<https://www.smcgov.org/ceo/supplier-diversity-study>.

Participate.

We are eager to hear from you about your experience or interest in working with the County of San Mateo and appreciate if you could please complete this short feedback survey. The survey should take approximately 5 to 10 minutes to complete. We are seeking your honest and constructive feedback to help improve procurement opportunities for local small and diverse businesses. Please provide as much information as possible. Your comments will remain anonymous as they will be integrated as part of the project team's analyses of local marketplace conditions without identifying respondents.



Company Information:

Business Types:

- **Local business** means a business having a principal office with a street address in San Mateo County.
- **Small business** is (A) a business that, together with all affiliates, has 100 or fewer employees, and annual gross receipts of fifteen million dollars (\$15,000,000) or less as averaged for the previous three (3) tax years, (B) A manufacturer as defined herein that, together with all affiliates, has 100 or fewer employees.
- **Micro business** is (A) a business that, together with all affiliates, has annual gross receipts of five million dollars (\$5,000,000) or less as averaged for the previous three (3) tax years, (B) and, together with all affiliates, has 25 or fewer employees.
- **Diverse business enterprises or DBEs** include the following:
 - **Minority business enterprise** means a business that is at least 51 percent owned by one or more minorities, or in the case of a publicly owned business, at least 51 percent of the stock of which is owned by one or more minorities, and managed, operated, and controlled by one or more minorities.
 - **Women business enterprise** means a business that is at least 51 percent owned by a woman or, in the case of a publicly owned business, at least 51 percent of the stock of which is owned by one or more women, and managed, operated, and controlled by one or more women.
 - **LGBTQ+ business enterprise** means a business enterprise that is at least 51 percent owned, managed, operated, and controlled by one or more lesbian, gay, bisexual, or transgender (LGBTQ+) individuals.
 - **Service-Disabled Veteran Owned Small Business (SDVOSB)** must have (A) a service-connected disability that has been determined by the Department of Veterans Affairs or Department of Defense; (B) the SDVOSB must be small business under the North American Industry Classification System (NAICS) code assigned to the procurement; (C) The SDVOSB must unconditionally own at least 51 percent of the SDVOSB; (D) The SDVOSB must control the management and daily operations of the SDVOSB; (E) and the SDVOSB must hold the highest officer position in the SDVOSB.
 - **Veteran-Owned Small Business (VOSB)** is a firm that meets the small business requirements established by the Small Business Administration (SBA). Additionally, it requires that the company is at least 51% owned, operated, and controlled by a veteran.



1. Please indicate the type of company you represent. (Select all that apply.) *

- Local business
- Small business
- Micro business
- Diverse business enterprises or DBEs (listed above)
- Non LSMDBE company (Company does not fit in any of the above categories)
- Other, please specify (e.g., Community Based Organization, Trade Association)
- Other

2. What is your company's zip code? *

The value must be a number

3. What type of work does your company perform? *

- Professional Services
- Construction
- Manufacturing
- Utilities
- Engineering
- Goods & Equipment
- Other



4. Does your company have any certifications listed below, such as a Small Business Enterprise (SBE), Disadvantaged Business Enterprise (DBE), Minority-owned Business Enterprise (MBE), Woman-owned Business Enterprise (WBE), Disabled Veteran Business Enterprise (DVBE) certification, etc.? *

(If yes, please select all that apply)

- No
- Yes - Local Business (LB)
- Yes - Small Business (SB)
- Yes - Micro Business (MB)
- Yes - Minority Business Enterprise (MBE)
- Yes - Woman Business Enterprise (WBE)
- Yes - Services-Disabled Veteran Owned Business (SDVOB)
- Yes - Veteran-Owned Small Business
- Yes - Disabled Veteran Business Enterprise (DVBE)
- Yes - Disadvantaged Business Enterprise (DBE)
- Yes - LGBTQ+ Business Enterprise
- Other



General Marketplace

5. Please rank the top 5 biggest challenges and/or barriers for local, small, micro, and diverse businesses (LSMDBE) to be successful in the local market place. *

Please select 5 options.

- Hiring and retaining employees
- Lack of resources to advertise or promote business
- Permitting and regulatory environment
- Cost of materials, supplies and/or products
- Lack of access to new capital
- Competition
- Use of personal savings to finance the business
- Administratively burdensome public sector soliciation requirements
- Limited availability of materials, supplies, and/or products
- Other



County Procurement Opportunities

6. Have you participated in any County procurement opportunities (for example, applied to a request for proposal (RFP) or were awarded a County contract)? *

- Yes, have been awarded a County Contract
- No, applied to a request for proposal or County procurement opportunity but was not awarded the work
- No, never applied to a request for proposal or County procurement opportunity

7. If you responded no to question 8, please explain why you may have not applied to a County procurement opportunity.

8. If you responded yes to question 8, describe your experience applying for and/or working with the County. What worked well and what were any obstacles in working with the County?



9. If you responded yes to question 8, how did you learn about the procurement opportunity or opportunities with the County?

10. How did you learn about the County opportunity to bid on? *

Additional Comments?

11. Do you have any recommendations to improve access to County procurement opportunities for Local, Small, Micro, and Diverse Business Enterprises (LSMDBEs)? *

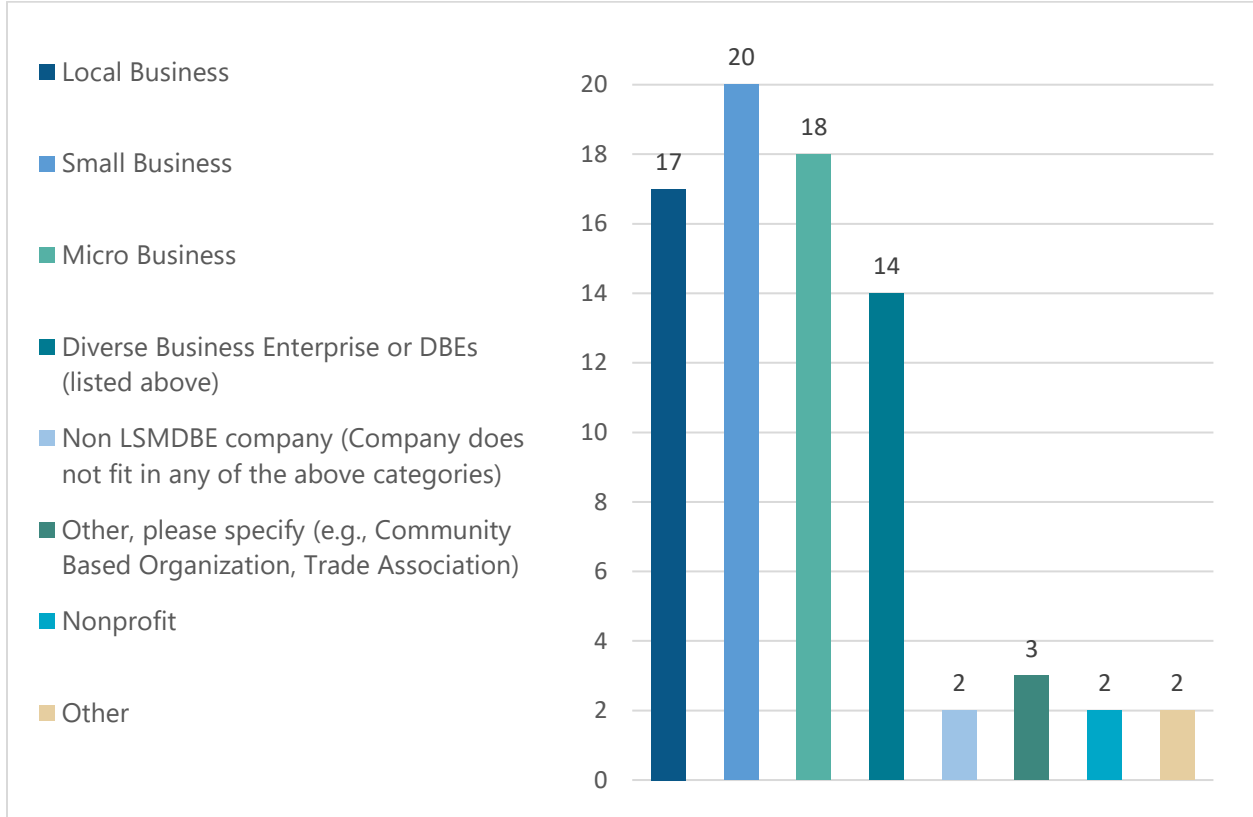
12. Do you have any comments or questions regarding the Supplier Diversity Study itself? *

13. If you are interested in participating further in the study, including an interview to share your experiences seeking or applying for County procurement opportunities, or working with the County, please provide your name and email address in the box below. All comments will be anonymous. *



APPENDIX E. Feedback Form Response Charts

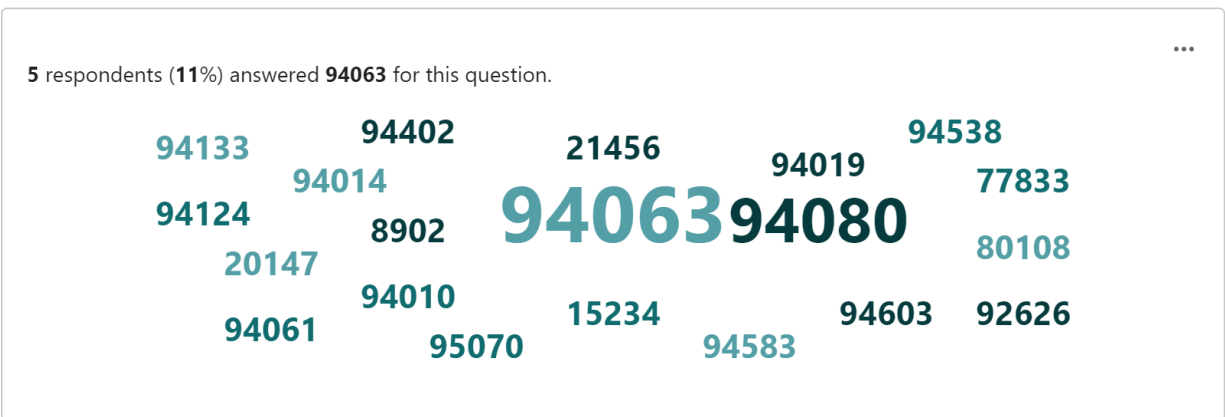
1. Please indicate the type of company you represent.



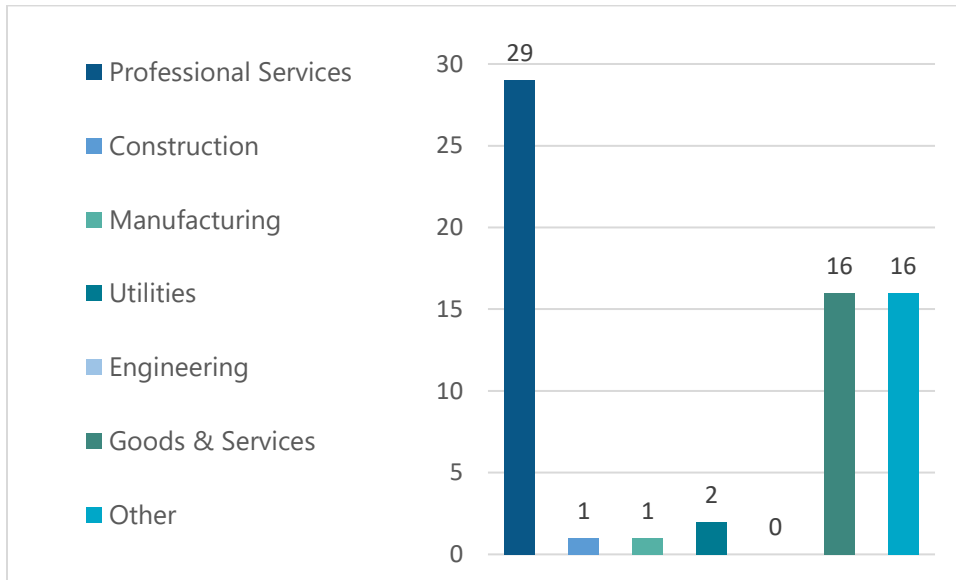
2. What is your company's zip code?

45
Responses

Latest Responses
"94030"
"94019"
"94118"



3. What type of work does your company perform?

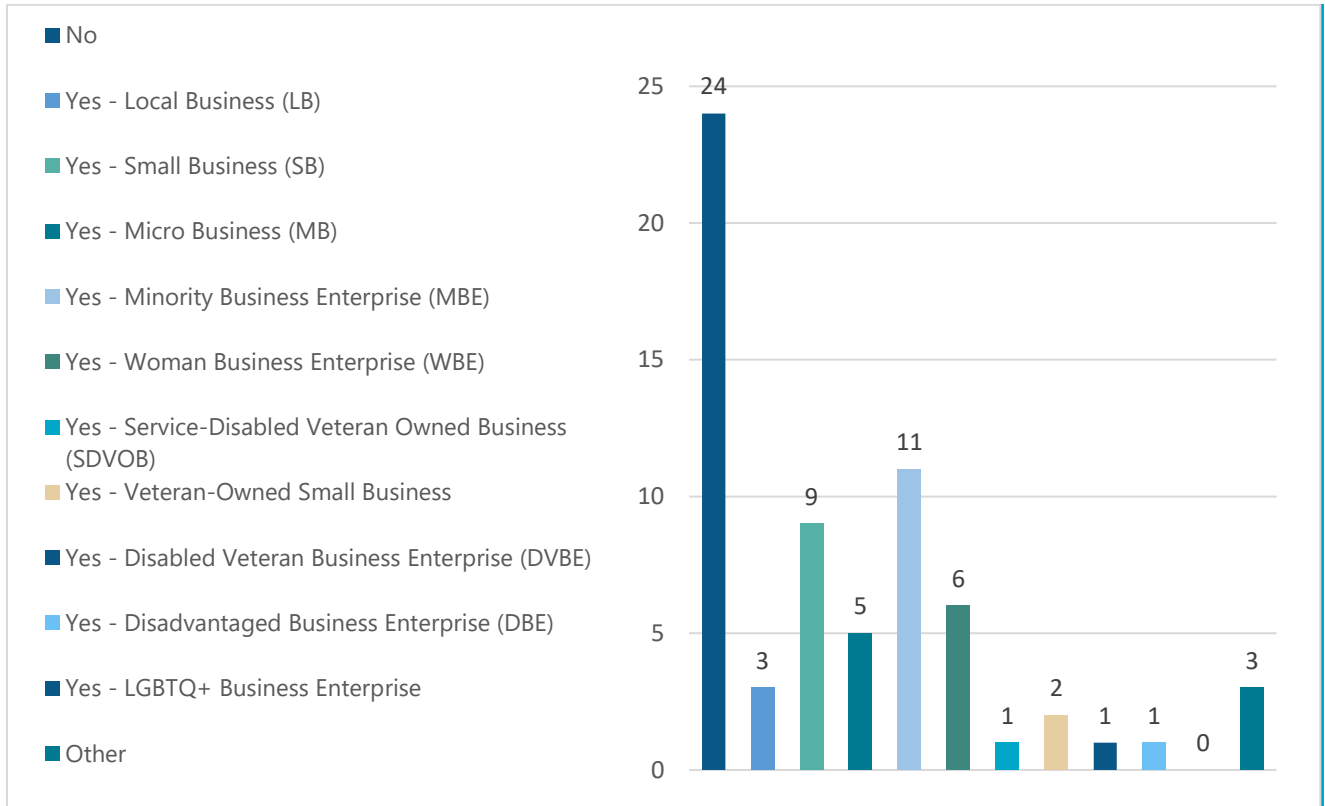


Other includes:

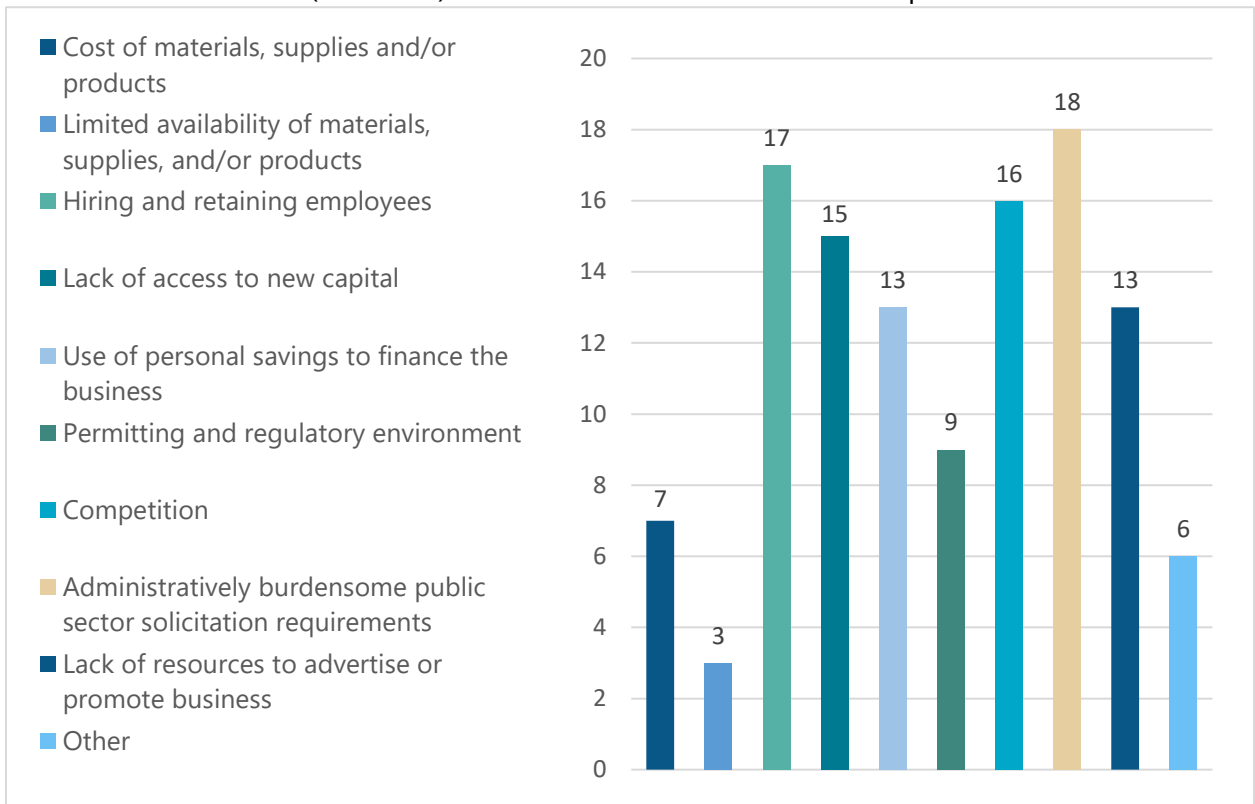
- Staffing and recruiting, Printing, Publishing, Food Pantry, Moving, Storage, Modular Systems Installation, Fitness-related, Janitorial & Facility Maintenance Services, Technology Platform (SaaS), First Aid Services, Social Service and Housing, Language Services, Consulting, and Media Production.



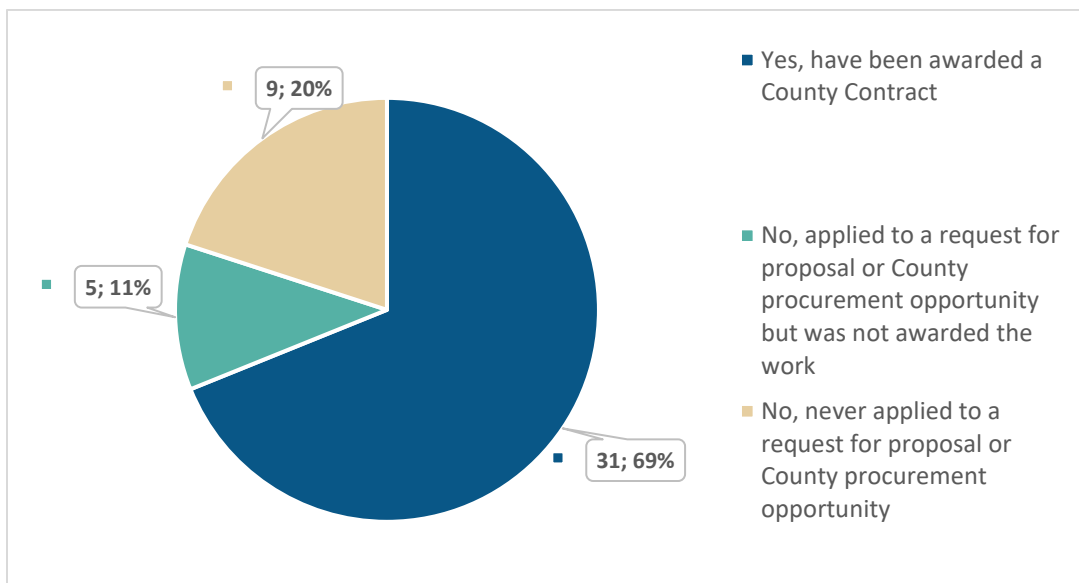
4. Does your company have any certifications listed below, such as a Small Business Enterprise (SBE), Disadvantaged Business Enterprise (DBE), Minority-owned Business Enterprise (MBE), Women-owned Business Enterprise (WBE), Disabled Veteran Business Enterprise (DVBE) certification, etc.?



5. Please select up to five (5) of the greatest challenges and/or barriers for local, small, micro, and diverse businesses (LSMDBEs) to be successful in the local marketplace.



6. Have you participated in any County procurement opportunities (for example, applied to a request for proposal (RFP) or were awarded a County contract)?



7. If you responded yes to question 6, describe your experience applying for and/or working with the County. What worked well and what were any obstacles in working with the County?

31
Responses

Latest Responses

"It was a great experience "

"Process was very self explanatory and easy to manage."

"No issues."

11 respondents (35%) answered **County** for this question.



8. If you responded no to question 6, please explain why you may have not applied to a County procurement opportunity.

15
Responses

Latest Responses

"Lack of know how."

4 respondents (27%) answered **opportunities** for this question.



9. How did you learn about the County opportunity to bid on?

39
Responses

Latest Responses

"RFP's "

"Self"

"Formal RFQ announcements"

8 respondents (21%) answered **Email** for this question.



10. Do you have any recommendations to improve access to County procurement opportunities for Local, Small, Micro, and Diverse Business Enterprises (LSMDBEs)?

31
Responses

Latest Responses

"n/a"

"No"

6 respondents (19%) answered **small business** for this question.



11. Do you have any comments or questions regarding the Supplier Diversity Study itself?

25

Responses

Latest Responses

"no"

"No"

3 respondents (12%) answered **business** for this question. ...



12. If you are interested in participating further in the study, including an interview to share your experiences seeking or applying for County procurement opportunities, or working with the County, please provide your name and email address in the box below. All comments will be anonymous.

23

Responses






APPENDIX F. Best Practice Benchmarking

The table below includes data from the study team’s benchmarking of seven (7) similarly situated public agencies in California, which include six (6) counties and one (1) county transportation agency. Please note that benchmarking was conducted in August 2023 and that best practices researched represent practices during this time period and may have since been revised by agencies listed below.

Entity-Specific Practices	Description/Features & Comments	Outreach & Communication	Technical Assistance	Finance & Bonding Programs	Data Collection, Monitoring & Reporting	Certification and/or Preference Goals	Recommend for San Mateo County
Los Angeles County							
Small Business Concierge Webpage	Webpage assists prospective business owners in successfully opening small businesses in unincorporated areas of the county. Los Angeles County may expand to include overall county.	✓	✓				
The County of Los Angeles Certification Portal	The County's business preference programs encourage business owners who are minorities, women, disadvantaged or disabled veterans to capitalize on opportunities in government and private-sector procurement programs. This portal provides links to request County of Los Angeles certification for Local Small Business Enterprise (LSBE), Disabled Veteran Business Enterprise (DVBE), Social Enterprise (SE) or Community Business Enterprise (CBE) program participation.		✓			✓	



Entity-Specific Practices	Description/Features & Comments	Outreach & Communication	Technical Assistance	Finance & Bonding Programs	Data Collection, Monitoring & Reporting	Certification and/or Preference Goals	Recommend for San Mateo County
Community Business Enterprise (CBE) Program	<p>County's CBE Participation Goal for County Contracts establishes more inclusive practices in contracting and purchasing, setting a 25-percent participation goal for CBE-certified vendors.</p> <p>For DBEs to qualify as a CBE, their business must be certified by the State of California Department of Transportation's California Unified Certification Program (CUCP) and/or any agency authorized to certify under the Unified Certification Program. DVBEs who are certified with Los Angeles County automatically qualify for CBE inclusion, so there is no need to apply for two (2) programs separately.</p>						
Small Business Preference Programs	<p>The Local Small Business Enterprise (LSBE) Preference Program boosts contracting opportunities for small businesses located in L.A. County. Certified LSBEs receive a price preference which helps level the playing field for certified small businesses bidding on L.A. County solicitations.</p> <p>The SE Preference Program was designed to increase contracting opportunities for enterprises that have a social mission to enhance the County in terms of its economic and environmental sustainability, including the financial well-being of residents who are vulnerable and face barriers to gainful employment and housing.</p> <p>The DVBE Preference Program is designed to enhance purchasing and contracting opportunities for businesses owned by disabled veterans.</p>						



Entity-Specific Practices	Description/Features & Comments	Outreach & Communication	Technical Assistance	Finance & Bonding Programs	Data Collection, Monitoring & Reporting	Certification and/or Preference Goals	Recommend for San Mateo County
Preference Programs Implementation Guidelines	Guidelines provide necessary instructions and interpretations to County departments to implement changes to the preference programs, monitor compliance, and report results.					✓	✓
Los Angeles County Metropolitan Transportation Authority (LA Metro)							
Women & Girls Governing Council - Small Business Workshop Series (WGGC)	Council provides support to women-owned businesses via education on how to obtain SBE and DBE certifications. Applying for these certifications is paramount to their ultimate success in the Metro contracting process.	✓	✓				
Bond Assistance	Metro created the Contractor Development and Bonding Program (CDBP) to help Metro-certified Small Business Enterprise (SBE), Disadvantaged Business Enterprise (DBE) and Disabled Veteran Business Enterprise (DVBE) firms secure sufficient bonding to work on Metro construction projects. Through the CDBP, Metro helps contractors and subcontractors secure the bonding they need to work on Metro projects. This includes assistance with obtaining or increasing bonding capacity and collateral support for bid, performance, and payment bonds. The maximum bond guarantee is up to \$250,000 or 40% of the value of the contract, whichever is less. The CDBP also offers technical and contractor support, education, and training sessions.			✓			
Doing Business with Metro Webpage - Vendor Portal	Links to useful resources make it easier to do business with Metro. This feature includes a Vendor Portal that allows vendors to access various tools to do business with Metro, including forms, FAQs, web tutorials, and open solicitations.	✓					✓



Entity-Specific Practices	Description/Features & Comments	Outreach & Communication	Technical Assistance	Finance & Bonding Programs	Data Collection, Monitoring & Reporting	Certification and/or Preference Goals	Recommend for San Mateo County
Small Business Prime Program	The Small Business Prime Program is a small business set-aside program that allows small businesses to exclusively compete for projects valued up to \$5 million and under \$100,000 for informal projects.					✓	✓
Metro SB & DBE Certification	Metro offers Small and Disadvantaged Business Certifications. Programs hold Metro staff and contractors to specific contracting goals for small and disadvantaged businesses. Certifications give these businesses broader access to contracting opportunities.				✓	✓	✓
CBO Database	Metro recently launched Beta database aimed to centralize CBO contact information across multiple Metro departments, promote consistent communication, and provide a platform to track CBO relationships and partnership opportunities.	✓					✓
Monthly Small Business Participation Reports	Monthly small business participation reports provide information pertaining to a prime contractor's utilization of small businesses on Metro contracts.	✓			✓		
Living Wage Policy and Retention for Service Contracts Webpage	The webpage includes Information and links regarding prevailing wage and living wage requirements on Metro Contracts.	✓	✓				
County/City of San Francisco							
Small Business Loans	The San Francisco Revolving Loan Fund (RLF) and Emerging Business Loan Fund (EBLF) are lending programs created by the City to provide loans to small businesses. Both funds are managed by local nonprofits who provide financing in addition to training and other resources.			✓			



Entity-Specific Practices	Description/Features & Comments	Outreach & Communication	Technical Assistance	Finance & Bonding Programs	Data Collection, Monitoring & Reporting	Certification and/or Preference Goals	Recommend for San Mateo County
Small Business Guide Starting a Business in San Francisco	This step-by-step guide explains how to start a business in San Francisco.		✓				
Office of Small Business	The Office of Small Business is San Francisco's central point of information for small businesses, providing assistance with starting a new business, free counseling services, small business commission, and various services for new and existing businesses.	✓	✓				✓
Free Small Business Counseling Services	The SF Small Business Development Center (SBDC) is located within the Office of Small Business, extending free counseling and advising offered to business owners. They also offer regular webinars and trainings.		✓				✓
Small Business Commission	The Commission analyzes how laws can impact small businesses and works to help small businesses thrive.	✓	✓				
How to Become a Supplier	This step-by-step guide explains how to become a supplier for the County/City of San Francisco.	✓	✓				✓



Entity-Specific Practices	Description/Features & Comments	Outreach & Communication	Technical Assistance	Finance & Bonding Programs	Data Collection, Monitoring & Reporting	Certification and/or Preference Goals	Recommend for San Mateo County
Alameda County							
Small, Local & Emerging Business Program	<p>The Small, Local and Emerging Business (SLEB) program is designed to enhance contracting and procurement opportunities for small, local, and emerging businesses within Alameda County by providing up to 10% bid preferences on eligible contracts.</p> <p>The program was developed to promote and foster inclusiveness, diversity, and economic development as well as provide on-going evaluation to ensure that all local businesses are provided equal opportunities in County contracting and procurement activities.</p>					✓	✓
Find a Supplier	The SLEB Supplier Query System was created to help Alameda County agencies, departments, and other users find local and certified small and emerging suppliers that provide needed products or services.	✓					
Certification Forms	The County of Alameda works with other local public agencies in the East Bay Interagency Alliance (EBIA) and uses a Common Application to streamline the certification process for SLEBs.					✓	
Santa Clara County							
Disparity Study	In 2022, a disparity study was initiated and a webpage for the study was created. Virtual public meetings were announced for August 2022 and September 2022. No further updates are posted as of January 12, 2024.	✓					
Doing Business with the County Webpage	Doing Business with the County webpage does not include language regarding local and small businesses.	✓					
Orange County							



Entity-Specific Practices	Description/Features & Comments	Outreach & Communication	Technical Assistance	Finance & Bonding Programs	Data Collection, Monitoring & Reporting	Certification and/or Preference Goals	Recommend for San Mateo County
Doing Business with Orange County	The webpage contains links to vendor registration, vendor information, protest, and preference policy information.	✓					✓
Doing Business with Orange County Training	The County of Orange and OPENGOV will be hosting a virtual training for Suppliers on how to respond to solicitations, upload documents, ask questions, and navigate the OPENGOV portal. In-person training is also an option.		✓				
OC Procurement Alliance	<p>The Orange County Procurement Alliance was formed to increase cooperative and collaborative procurement efforts across the County and Cities. The Alliance will increase efficiencies and leverage the collective experience of various markets, identify goods and services with high potential for savings and providing market power to negotiate better terms and lower prices.</p> <p>Additionally, the Alliance seeks to provide our local small businesses with increased opportunities to bid on local government contracts by reducing transaction costs through standardization of bidding procedures.</p>	✓					
Vendor Information Day	The County of Orange hosts the Vendor Information Day (VID) event with the option of attending in-person or virtually. These sessions provide vendors with information on how to do business with the County and provide a forum to answer any questions regarding the County's purchasing process.	✓					✓



Entity-Specific Practices	Description/Features & Comments	Outreach & Communication	Technical Assistance	Finance & Bonding Programs	Data Collection, Monitoring & Reporting	Certification and/or Preference Goals	Recommend for San Mateo County
Orange County Local and Small Business and Disabled Veteran Business Enterprise Preference Policies	The County of Orange strongly encourages participation of Orange County based, locally owned small businesses to provide goods and services to the County. On January 1, 2020, the County's Local Small Business (OCLSB) Preference Policy became effective.					✓	✓
OC Preference Policy Brochure	The County of Orange developed a brochure on OCLSB/DVBE Preference Policies.	✓					
Sacramento County							
Local and Small Business Procurement Opportunities/Preferences	Procurement Opportunities Program (POP) promotes local and small businesses. Program Highlights include: <ul style="list-style-type: none"> Solicitations threshold for contract awards for goods and non-professional services is \$1,000,000 Local Vendor Preference - 5% Micro-Business Preference - 2% Allowance to combine Local and Micro-Business preference for total - 7% 2020: Total spend = \$213 mil, local \$44 mil (21%) 2019: Total spend = \$207 mil, local \$50 mil (24%) 2018: Total spend = \$205 mil, local \$73 mil (36%) 					✓	✓
Vendor/Supplier Feedback Form	The link to the Vendor Supplier feedback form allows vendors to provide feedback on procurement policies and the vendor experience.	✓					✓



Entity-Specific Practices	Description/Features & Comments	Outreach & Communication	Technical Assistance	Finance & Bonding Programs	Data Collection, Monitoring & Reporting	Certification and/or Preference Goals	Recommend for San Mateo County
Contract & Purchasing Services Workshop Calendar	The Contracts & Purchasing Services department combined its workshop calendar with the County's centralized calendar that lists countywide events. The Calendar allows businesses to learn about relevant trainings, workshops, and community outreach events.	✓					
FAQs for POP Program	FAQs for the Procurement Opportunities Program (POP) to provide outreach and information to any business that wishes to do business with Sacramento County, including local business enterprises.	✓					
POP Brochure	The Brochure on the Procurement Opportunities Program (POP) introduces the program and notifies vendors of quarterly solicitations.	✓					



APPENDIX G: Availability Survey Instrument - Construction

X1. I have a few basic questions about your business and the type of work you do. Can you confirm this is [BUSINESS NAME]?

1=Correct business

2=Incorrect business

99=Refused

Y1. What is the name of this business?

1=Verbatim

Y2. Is [NEW BUSINESS NAME] associated with [OLD BUSINESS NAME] in any way?

1=Yes, same owner doing business under a different name

2=Yes, can give information about new business

3=Business bought/sold/changed ownership

98=No, does not have information

99=Refused to give information

Y3. Do you work for [NEW BUSINESS NAME]?

1=Yes

2=No

Y4. Can you give me the address for [BUSINESS NAME/NEW BUSINESS NAME]?

1=VERBATIM

A1. Let me confirm [BUSINESS NAME/NEW BUSINESS NAME] is a for-profit business, as opposed to a non-profit organization, a foundation, or government office. Is that correct?

1=Yes, a for-profit business

2=No, other

A2. Is your company in business and operational?

1=Yes

2=No



A3a. Let me also confirm what kind of business this is. The information we have from Dun & Bradstreet indicates your main line of work is [SIC DESCRIPTION]. Is that correct?

1=Yes

2=No

98= (DON'T KNOW)

99= (REFUSED)

A3b. What would you say is the main line of work at [BUSINESS NAME/NEW BUSINESS NAME]?

1=VERBATIM

A3c. What other types of work, if any, does your business perform?

1=VERBATIM

97=(NONE)

A4a. Is this the sole location of your business, or do you have offices in other locations?

1=Sole location

2=Have other locations

98=(DON'T KNOW)

99=(REFUSED)

A4b. Is this location the principal office for your company, or is your principal office at another location?

1=Principal office here

2=Principal office at another location

98=(DON'T KNOW)

99=(REFUSED)

A4c. What is the city, state, and ZIP code of your business' principal office?

1=VERBATIM [CITY, STATE, ZIP CODE]



A5. Is your business a subsidiary or affiliate of another business?

1=Independent

2=Subsidiary or affiliate of another business

98= (DON'T KNOW)

99= (REFUSED)

A6. What is the name of the parent company?

1=VERBATIM

98= (DON'T KNOW)

99= (REFUSED)

B1. Is your business willing and able to work with the County of San Mateo as a prime contractor or general contractor?

1=Yes

2=No

98= (DON'T KNOW)

99= (REFUSED)

B2. Is your business willing and able to work as a subcontractor?

1=Yes

2=No

98= (DON'T KNOW)

99= (REFUSED)

B3. What about as a supplier? Is your business willing and able to supply construction materials or goods?

1=Yes

2=No

98= (DON'T KNOW)

99= (REFUSED)



B4. Is your business interested in performing work on projects for government or other public agencies, entities, or offices in San Mateo County?

1=Yes

2=No

98= (DON'T KNOW)

99= (REFUSED)

C1. Is your company able to work in San Mateo county?

1=Yes

2=No

98= (DON'T KNOW)

99= (REFUSED)

D1. What is the largest prime contract, subcontract, or other piece of work your company is able to compete for or perform?

1=VERBATIM

1=\$100,000 or less

2=More than \$100,000 to \$250,000

3=More than \$250,000 to \$500,000

4=More than \$500,000 to \$1 million

5=More than \$1 million to \$2 million

6=More than \$2 million to \$5 million

7=More than \$5 million to \$10 million

8=More than \$10 million to \$20 million

9=More than \$20 million to \$50 million

10=More than \$50 million to \$100 million

11= More than \$100 million to \$200 million

12=Greater than \$200 million

97=(NONE)

98=(DON'T KNOW)

99=(REFUSED)



D2. Approximately what is the maximum volume of work your business can take on or perform at any given time?

1=VERBATIM

1=\$100,000 or less

2=More than \$100,000 to \$250,000

3=More than \$250,000 to \$500,000

4=More than \$500,000 to \$1 million

5=More than \$1 million to \$2 million

6=More than \$2 million to \$5 million

7=More than \$5 million to \$10 million

8=More than \$10 million to \$20 million

9=More than \$20 million to \$50 million

10=More than \$50 million to \$100 million

11= More than \$100 million to \$200 million

12=Greater than \$200 million

97=(NONE)

98=(DON'T KNOW)

99=(REFUSED)

E1. A business is defined as a woman-owned business if more than half—that is, 51 percent or more—of the ownership and control of daily management and operations is by individuals who identify as women. By this definition, is [BUSINESS NAME/NEW BUSINESS NAME] a woman-owned business?

1=Yes

2=No

98= (DON'T KNOW)

99= (REFUSED)

E2. A business is defined as a person of color-, or POC-, owned business if more than half—that is, 51 percent or more—of the ownership and control of daily management and operations is by individuals who identify as Asian, Black, Hispanic, Native American, or another non-white race or ethnicity. By this definition, is [BUSINESS NAME/NEW BUSINESS NAME] a POC-owned business?

1=Yes

2=No

98=(DON'T KNOW)

99=(REFUSED)



E3. Which of the following best represents the race/ethnicity of the business' owner(s)?

- 1=Black American (A person having origins in any of the Black racial groups of Africa)
- 2=Asian Pacific American (persons whose origins are from Japan, China, Taiwan, Korea, Burma (Myanmar), Vietnam, Laos, Cambodia (Kampuchea), Thailand, Malaysia, Indonesia, the Philippines, Brunei, Samoa, Guam, the U.S. Trust Territories of the Pacific Islands (Republic of Palau), the Commonwealth of the Northern Marianas Islands, Macao, Fiji, Tonga, Kiribati, Tuvalu, Nauru, Federated States of Micronesia, or Hong Kong)
- 3=Hispanic or Latin American (persons of Mexican, Puerto Rican, Cuban, Dominican, Central or South American, or other Spanish or Portuguese culture or origin, regardless of race)
- 4=Native American (American Indians, Alaska Natives, Aleuts, or Native Hawaiians)
- 5=Subcontinent Asian American (persons whose origins are from India, Pakistan, Bangladesh, Bhutan, the Maldives Islands, Nepal, or Sri Lanka)
- 6=(OTHER - SPECIFY) _____
- 98=(DON'T KNOW)
- 99=(REFUSED)



E4. A business is defined as a veteran-owned business if more than half—that is, 51 percent or more—of the ownership and control of daily management and operations is by veterans of the United States military. By this definition, is [BUSINESS NAME/NEW BUSINESS NAME] a veteran-owned business?

1=Yes

2=No

98=(DON'T KNOW)

99=(REFUSED)

E5. Does that veteran owner have a physical or mental disability that resulted directly from their service in the U.S. military? A disability is defined as an impairment that substantially limits one or more major life activities.

1=Yes

2=No

98=(DON'T KNOW)

99=(REFUSED)

E6. A business is defined as an LGBTQ+-owned business if more than half—that is, 51 percent or more—of the ownership and control of daily management and operations, is by people who identify as LGBTQ+. People who identify as LGBTQ+ include people who identify as lesbian, gay, bisexual, transgender, queer, intersex, or asexual, among other gender or sexual orientations. By this definition, is [BUSINESS NAME/NEW BUSINESS NAME] an LGBTQ+-owned business?

1=Yes

2=No

98=(DON'T KNOW)

99=(REFUSED)

F1. Dun & Bradstreet indicates that your business has about [number] employees across all its locations. Is that an accurate estimate of the number of employees who work at your business, including both full-time and part-time employees?

1=Yes

2=No

98=(DON'T KNOW)

99=(REFUSED)



F2. About how many employees work at your business, including both full-time and part-time employees, across all your locations?

1=VERBATIM

1=25 employees or fewer

7=251-500 employees

2=26-50 employees

8=501-750 employees

3=51-100 employees or fewer

9=751-1,000 employees

4=101-150 employees

10=1,001-1,250 employees

5=151-200 employees

11=1,251-1,500 employees

6=201-250 employees

12=1,501 or more employee

F3. Dun & Bradstreet lists the average annual gross revenue of your business, including all your locations, to be [dollar amount]. Is that an accurate estimate of your business' annual gross revenue?

1=Yes

2=No

98=(DON'T KNOW)

99=(REFUSED)

F4. What is an accurate estimate of your company's annual gross revenue, including all of your locations?

1=VERBATIM

1=\$250,000 or less

8=More than \$12 million to \$16 million

2=\$250,001 to \$500,000

9= More than \$16 million to \$19 million

3=\$500,001 to \$1 million

10= More than \$19 million to \$22 million

4=More than \$1 million to \$3 million

11= More than \$22 million to \$28 million

5=More than \$3 million to \$6 million

12=More than \$28 million

6=More than \$6 million to \$8 million

98= (DON'T KNOW)

7=More than \$8 million to \$12 million

99= (REFUSED)



G1a. We're interested in whether your business has experienced barriers or difficulties related to working with or attempting to work with the County of San Mateo or other government or public agencies in the area. Do you have any thoughts to share?

1=VERBATIM

97=(NOTHING/NONE/NO COMMENTS)

G1b. Do you have any additional thoughts to share regarding general marketplace conditions in San Mateo county, being successful in your industry, or obtaining work?

1=VERBATIM

97=(NOTHING/NONE/NO COMMENTS)

G2. Would you be willing to participate in a follow-up interview about any of those topics?

1=Yes

2=No

H1. What is your name?

1=VERBATIM

H2. What is your position at [BUSINESS NAME/NEW BUSINESS NAME]?

1=Receptionist

2=Owner

3=Manager

4=CFO

5=CEO

6=Assistant to Owner/CEO

7=Sales manager

8=Office manager

9=President

9=(OTHER - SPECIFY) _____

99=(REFUSED)



H3. At what email address can you be reached?

1= VERBATIM

Thank you very much for your participation.

If you have any questions or concerns for the supplier diversity study team or wish to submit written questions, comments, or insights about the local marketplace, please email [SMCSupplierDiversity@gcapservices.com]. For more information, visit the study website at <https://www.smcgov.org/ceo/supplier-diversity-study>



APPENDIX H: Utilization Survey Instrument - Construction

X1. I have a few basic questions about your company and the type of work you do. Can you confirm this is [firm name]?

1=RIGHT COMPANY

2=NOT RIGHT COMPANY

99=REFUSE TO GIVE INFORMATION

Y4. Can you give me the address for [firm name]?

A2. Let me confirm [firm name] is a for-profit business, as opposed to a non-profit organization, a foundation, or government office. Is that correct?

1=Yes, a for-profit business

2=No, other

A3a. Let me also confirm what kind of business this is. The information we have from Dun & Bradstreet indicates your main line of business is [SIC Code description]. Is that correct?

1=Yes

2=No

98=(DON'T KNOW)

99=(REFUSED)

A3b. What would you say is the main line of business at [firm name]?

1=VERBATIM

A4a. Is this the sole location of your business, or do you have offices in other locations?

1=Sole location

2=Have other locations

98=(DON'T KNOW)

99=(REFUSED)

A4b. Is this location the principal office for your company, or is your principal office at another location?

1=Principal office here



2=Principal office at another location

98=(DON'T KNOW)

99=(REFUSED)

A4c. What is the city, state, and ZIP code of your business' principal office?

1=VERBATIM [CITY, STATE, ZIP CODE]

E1. A business is defined as a woman-owned business if more than half—that is, 51 percent or more—of the ownership and control of daily management and operations is by individuals who identify as women. By this definition, is [FIRM NAME] a woman-owned business?

1=Yes

2=No

98=(DON'T KNOW)

99=(REFUSED)

E2. A business is defined as a person of color-, or POC-, owned business if more than half—that is, 51 percent or more—of the ownership and control of daily management and operations is by individuals who identify as Asian, Black, Hispanic, Native American, or another non-white race or ethnicity. By this definition, is [FIRM NAME] a POC-owned business?

1=Yes

2=No

98=(DON'T KNOW)

99=(REFUSED)

E3. Which of the following best represents the race/ethnicity of the business' owner(s)?

1=Black American (A person having origins in any of the Black racial groups of Africa)

2=Asian Pacific American (persons whose origins are from Japan, China, Taiwan, Korea, Burma (Myanmar), Vietnam, Laos, Cambodia (Kampuchea), Thailand, Malaysia, Indonesia, the Philippines, Brunei, Samoa, Guam, the U.S. Trust Territories of the Pacific Islands (Republic of Palau), the Commonwealth of the Northern Marianas Islands, Macao, Fiji, Tonga, Kiribati, Tuvalu, Nauru, Federated States of Micronesia, or Hong Kong)

3=Hispanic or Latin American (persons of Mexican, Puerto Rican, Cuban, Dominican, Central or South American, or other Spanish or Portuguese culture or origin, regardless of race)

4=Native American (American Indians, Alaska Natives, Aleuts, or Native Hawaiians)

5=Subcontinent Asian American (persons whose origins are from India, Pakistan, Bangladesh, Bhutan, the Maldives Islands, Nepal, or Sri Lanka)

6=(OTHER - SPECIFY) _____

98=(DON'T KNOW)



99=(REFUSED)

E4. A business is defined as a veteran-owned business if more than half—that is, 51 percent or more—of the ownership and control of daily management and operations is by veterans of the United States military. By this definition, is [FIRM NAME] a veteran-owned business?

1=Yes

2=No

98=(DON'T KNOW)

99=(REFUSED)

E5. Does that veteran owner have a physical or mental disability that resulted directly from their service in the U.S. military? A disability is defined as an impairment that substantially limits one or more major life activities.

1=Yes

2=No

98=(DON'T KNOW)

99=(REFUSED)

E6. A business is defined as an LGBTQ+-owned business if more than half—that is, 51 percent or more—of the ownership and control of daily management and operations, is by people who identify as LGBTQ+. People who identify as LGBTQ+ include people who identify as lesbian, gay, bisexual, transgender, queer, intersex, or asexual, among other gender or sexual orientations. By this definition, is [FIRM NAME] an LGBTQ+-owned business?

1=Yes

2=No

98=(DON'T KNOW)

99=(REFUSED)



Now I want to ask you a few questions about your business' size.

F2. About how many employees work at your business, including both full-time and part-time employees, across all your locations?

1=VERBATIM

1=25 employees or fewer

7=251-500 employees

2=26-50 employees

8=501-750 employees

3=51-100 employees or fewer

9=751-1,000 employees

4=101-150 employees

10=1,001-1,250 employees

5=151-200 employees

11=1,251-1,500 employees

6=201-250 employees

12=1,501 or more employee

F4. What is an accurate estimate for your company's gross annual revenue, including all of your locations?

1=VERBATIM

1=\$250,000 or less

8=More than \$12 million to \$16 million

2=\$250,001 to \$500,000

9= More than \$16 million to \$19 million

3=\$500,001 to \$1 million

10= More than \$19 million to \$22 million

4=More than \$1 million to \$3 million

11= More than \$22 million to \$28 million

5=More than \$3 million to \$6 million

12=More than \$28 million

6=More than \$6 million to \$8 million

98= (DON'T KNOW)

7=More than \$8 million to \$12 million

99= (REFUSED)

H1. Just a few last questions. What is your name?

1=VERBATIM



H2. What is your position at [firm name]?

- 1=Receptionist
- 2=Owner
- 3=Manager
- 4=CFO
- 5=CEO
- 6=Assistant to Owner/CEO
- 7=Sales manager
- 8=Office manager
- 9=President
- 9=(OTHER - SPECIFY) _____
- 99=(REFUSED)

H3. At what email address can you be reached?

- 1= VERBATIM

Thank you very much for your participation.

If you have any questions or concerns for the supplier diversity study team or wish to submit written questions, comments, or insights about the local marketplace, please email [SMCSupplierDiversity@gcapervices.com]. For more information, visit the study website at <https://www.smcgov.org/ceo/supplier-diversity-study>



APPENDIX I. In-Depth Business Interview Guide

INFORMATION SHEET

Interviewee(s): _____
 Interview number: _____ Interviewer: _____
 Title: _____ Date: _____
 Responsibilities: _____ Time: _____
 Length of time with company: _____ Location: _____

Company Information and Ownership (obtain before interview)

Company Name:	Company Headquarters Address:
Branch Location(s):	
For Profit Entities - Owner's name(s) and % ownership/Executive Director's name (s)	CBOs/Non-profits – Composition of Board of Directors
<p>County of San Mateo LSMDBE category. Select all that apply:</p> <p>For Profit Entity:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Local business - has a principal office with a street address in San Mateo County. <input type="checkbox"/> Small business - has 100 or fewer employees, and annual revenue of \$15 million or less. For manufacturers, they are defined as a small business if there are 100 or fewer employees. <input type="checkbox"/> Micro business - has annual gross receipts of \$5 million and has 25 or fewer employees. <input type="checkbox"/> Diverse business enterprises or DBEs (listed below) <input type="checkbox"/> Non LSMDBE company (Company does not fit in any of the above categories) <p>Other:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Local Non-profit/Community Based Organization with principal office in San Mateo County. Please specify if Black, Indigenous, People of Color –led non-profit/CBO: _____ <input type="checkbox"/> Local Trade Association with principal office in San Mateo County <input type="checkbox"/> Non-local non-profit/Community Based Organization with principal office outside 	



If DBE, select category (all that apply):

- ❑ **Minority business enterprise** means a business that is at least 51 percent owned by one or more minorities, or in the case of a publicly owned business, at least 51 percent of the stock of which is owned by one or more minorities, and managed, operated, and controlled by one or more minorities.
- ❑ **Women business enterprise** means a business that is at least 51 percent owned by a woman or, in the case of a publicly owned business, at least 51 percent of the stock of which is owned by one or more women, and managed, operated, and controlled by one or more women.
- ❑ **LGBTQ+ business enterprise** means a business enterprise that is at least 51 percent owned, managed, operated, and controlled by one or more lesbian, gay, bisexual, or transgender (LGBTQ+) individuals.
- ❑ **Service-Disabled Veteran Owned Small Business (SDVOSB)** must have (A) a service-connected disability that has been determined by the Department of Veterans Affairs or Department of Defense; (B) the SDVOSB must be small business under the North American Industry Classification System (NAICS) code assigned to the procurement; (C) The SDVOSB must unconditionally own at least 51 percent of the SDVOSB; (D) The SDVOSB must control the management and daily operations of the SDVOSB; (E) and the SDVOSB must hold the highest officer position in the SDVOSB.
- ❑ **Veteran-Owned Small Business (VOSB)** is a firm that meets the small business requirements established by the Small Business Administration (SBA). Additionally, it requires that the company be at least 51% owned, operated, and controlled by a veteran.

Certifications held by business Indicate certifying agency for each	MBE, WBE, DBE, DVBE, SBE, SDV, others:
How many years certified?	MBE, WBE, DBE, DVBE, SBE, SDV, others:
Type of Business (e.g., engineering, paving, social services ...)	
Number of years in business	
Number of employees (including owner/executive director)	
Annual Revenue/Funds (indicate year)	
Structure: Independently owned or a subsidiary or affiliate of another firm (or is a publicly traded company)	



INTERVIEW GUIDE

Purpose of Interview

Thank you for participating in this interview. Your insights and experiences in operating a business within the San Mateo county marketplace will help improve participation of local, small, micro, and diverse business enterprises (LSMDBE) in procurement opportunities with the County of San Mateo. Specifically helping the County to:

- Better understanding the challenges and barriers affecting companies in the San Mateo marketplace
- Identify procurement documents, policies, & programs that may need to be streamlined or revised to increase the level of LSMDBEs doing business with the County
- Improve outreach efforts and capacity building of underrepresented businesses

A. Company Background and Marketplace Conditions

1. What products and services does the firm offer?
 - What sizes of contracts/orders does your firm bid on or perform? Why those sizes of contracts?
 - How far away does the firm typically seek/obtain business? Why that geographic scope?
2. Has the size of your company changed in the past few years? What do you attribute that to?
 - What has your business had to do to adapt to the increased or reduced size of the company?
 - Were those effects limited to just your business, or for the industry as a whole?
3. Has your business or industry experienced an increase or decrease in contracting opportunities since the pandemic restrictions were lifted?
4. Are there any other factors, other than the Covid-19 pandemic, which have contributed to changes in the marketplace or have affected the growth of your business over the last two to three years?
5. In your view, what does it take for a firm to be competitive in this line of business? What factors have the most influence on the success of a business in your line of work?



6. **[For founders/owners/executive directors]** Were there any challenges to establishing your business? If so, what were they? How did you overcome those challenges?

B. Experiences in the Private Sector and Public Sector

1. What proportion of your funds or work comes from the public sector and what proportion comes from the private sector?
 - Does the mix of funds or work vary year by year?
 - Has there been a general trend toward one sector or another?
2. Are there any substantial differences between working in the public sector versus the private sector?
 - Is it easier attempting to *get work* in one sector compared to the other? Why?
 - Is it easier to *do work* in one sector compared to the other? Why?
 - Does profitability differ between the private and public sectors? Why?

C. Prime and/or Subcontractor Work

1. How often does your firm work as a prime contractor versus a subcontractor? Has your role as a prime contractor or subcontractor changed over time?
 - Why a particular role?
 - Do you ever subcontract work out? (i.e., As a prime, do you ever hire subs? Or a subcontractor, do you ever hire second-tier subs?) Under what circumstances do you do so?

[IF INDICATED THAT FIRM SUBS OUT WORK (PRIME CONTRACTOR)]

2. How do you select subcontractors (or subconsultants)?
 - What resources do you use to find potential subcontractors (or subconsultants)?
 - Is the process different for private sector projects compared with the public sector? If so, how is it different?
3. Are there subs that you have established relationships with and try to use frequently? What makes those subs different from other subs? Are there subs that you will not work with? Why?
4. Are your subcontractors typically local firms based in San Mateo County?
 - Where else are your subcontractors based?



- What percentage of your subcontractors are small businesses (\$15 million in revenue or less, and 100 or fewer employees)?
 - What percentage of your subcontractors are micro businesses (\$5 million in revenue or less and has 25 or fewer employees)?
5. Do you solicit minority-owned, woman-owned, or other diverse subcontractors (or subconsultants) for bids/quotes?
- How often (Always? Frequently? Rarely? Never?)
 - Why do you do so?
 - How do you find disadvantaged businesses?
 - Does any of this differ between the public and private sectors? What is your experience working with diverse businesses as subs compared with non-diverse subs?

[IF INDICATED THAT FIRM SOMETIMES WORKS AS A SUBCONTRACTOR]

6. How do you get on projects as a subcontractor? Does it differ between private and public sector work?
7. Do you market your firm to primes?
- How do you market? What has been your level of success?
 - How do you learn about sub opportunities?
 - How do you learn what primes are bidding on projects?

IF FOR-PROFIT BUSINESS:

8. Do primes that use you on public sector work also use you on private sector work? Why or why not?

IF NON-PROFIT OR CBO (ask Question 9 instead of Question 8):

9. Do primes that fund you on public sector work also fund you on private sector work? Why or why not?
10. Have you ever been denied the opportunity to submit a bid or price quote to a prime? Why?
11. Are there primes that you prefer to work with or have established relationships with? What makes them different than other primes? Are there primes that you will not work with? Why?



12. What is your experience working with diverse businesses as prime contractors compared with non-diverse primes?

D. Potential Barriers

1. What is the biggest barrier or challenge in starting or growing a business like yours in this local market?

I will go through a list of additional barriers businesses may experience when starting their firms or trying to grow or stay in business. For each potential barrier I mention, tell me if you:

- Are aware of it being a problem for your business or other businesses in the San Mateo County marketplace.
- Have any personal experiences with the potential barrier.
- Have any suggestions or recommendations on how the County of San Mateo or other public agencies in the San Mateo county area could help address the barrier.

[NOTE TO INTERVIEWER: FOR BARRIERS IDENTIFIED BY INTERVIEWEES, ASK THE INTERVIEWEES WHAT PROGRAMS, SUPPORTS, OR METHODS WOULD HELP BUSINESSES OVERCOME THAT BARRIER]

Potential barriers:

1. Working with institutions to obtain financing, bonding, or insurance?

Examples of potential issues include accessing loans, bonding or insurance coverage, the rates of loans, bonding, or insurance, providing necessary collateral for loans or proving financial backing for bonding, repayment terms, or the application process.

2. Finding, retaining and/or training personnel/labor? *If yes, probe if on-the-job training programs would be helpful in overcoming this barrier. If so, how should such a program be administered? Ask if help finding qualified employees would be helpful.*
3. Obtaining inventory, equipment, or other materials and supplies? *If yes, also probe if this issue existed before the COVID-19 pandemic.*
4. Bookkeeping, estimating, bidding, or other technical skills? *If yes, probe what specific type of assistance would be helpful in overcoming this barrier. How should such programs be administered?*

Examples of potential types of assistance include training in estimating, bidding, bookkeeping, and developing/revising business and strategic plans.



5. Learning about work/bidding opportunities, finding potential project partners, or marketing your firm? *If yes, probe what specific type of assistance would be helpful in overcoming this barrier.* How should such programs be administered?

Examples of potential types of assistance include vendor fairs or other events hosted by The County of San Mateo or other public agencies.

6. Bidding or contracting process? If yes, probe what specific type of assistance would be helpful in overcoming this barrier. How should such programs be administered?

Examples of potential types of assistance include pre-bid meetings, information on bidding and contract processes, simplifying bidding processes, and easing contract requirements.

7. Gaining necessary skills, expertise, or experience to meet agency requirements?
8. Bid shopping or bid manipulation?
9. Timely payment or release of retainage by the customer or prime (slow and non-payment)?
10. Size of contracts? Different in the public and private sectors? *If yes, probe what specific type of assistance would be helpful in overcoming this barrier.* How should such programs be administered?

Examples of potential types of assistance include joint venture relationships or breaking up contracts.

11. Reporting requirements/contract management? *Are contract reporting requirements excessive or difficult to figure out? Does managing the contract require a significant amount of administration and reporting?*
12. Any other barriers I did not mention?

E. Public Agencies in the San Mateo county area

[SKIP TO SECTION F IF HAVE NOT WORKED OR ATTEMPTED TO WORK WITH PUBLIC AGENCIES IN SAN MATEO COUNTY.]

1. Which public agencies have you worked with or attempted to work with in the San Mateo County area?
2. Are there any agencies for which it is particularly easy or difficult to try to work with or to perform work for? Please explain.
3. Can you describe your experiences working or attempting to work with the County of San Mateo? Are there any aspects of working or attempting to work with the County of San Mateo that are particularly easy or difficult?



4. What recommendations do you have that might make it easier for businesses/organizations like yours to pursue work or perform work for the County of San Mateo (or for other public agencies)?

F. Ownership and Certification

[IF CERTIFIED as [MBE/WBE/DBE/Other]

1. What are the primary benefits of being certified?
2. Are there any disadvantages of being certified?
3. **[IF CERTIFIED AS A DBE]** Please describe your experience with the California Unified Certification Program (CUCP)'s DBE certification process. Would you say the certification process was easy or difficult? Why?
4. Please share any best practices from certifying agencies that you have experienced that made the certifying process easier for you.

[FOR EVERYONE]

5. Are you certified with any other organizations in the San Mateo County area or elsewhere in the country? What types of certifications and with which organizations?

Why or why not?

G. Potential Race/Ethnicity/Gender Discrimination

[IF CERTIFIED WITH CUCP AND OTHER ORGANIZATIONS OR BUSINESS IS OWNED BY MINORITY, LGBT PERSON, OR WOMAN]

For each potential area I mention, tell me if you are aware of it being a problem for minority-owned or woman-owned businesses, either in the private sector or the public sector. Please also indicate if:

- You have had any personal experiences with discrimination in the local market of San Mateo county; and
- If it directly or indirectly relates to opportunities trying to do business with the County of San Mateo or other public agencies in the San Mateo county market area;

Areas:

1. Denial of the opportunity to bid, unfair denials of contract awards, or unfair termination of contracts (including any customers that don't want to work with minority-owned or women)?



2. Double standards in performance? Stereotypical attitudes from customers or buyers?
3. Price discrimination in obtaining financing, bonding, materials and supplies or other products or services?
4. Discrimination in payments (slow or non-payments)?
5. Any other forms of discrimination I did not mention?

H. Small, Micro, & Local Small Business Programs

1. Are you aware of any programs that are particularly helpful to micro or small local businesses?
 - What agency or organization administers them?
 - Why are they helpful?
2. Are there any other programs that you think are particularly helpful to small, micro, and small local businesses?
3. What type of programs or supportive services can further assist, micro, small and small/micro local businesses?

I. MBE/WBE/DBE Programs

1. Are you aware of any such programs or initiatives designed to specifically support minority-owned and woman-owned businesses as well as other diverse businesses?
 - What are they?
 - Why are they helpful (or unhelpful)?
2. Are there any other race/ethnicity/gender-based public sector programs in California that would be useful or are needed?
 - What are they?
 - How would they be helpful?

J. Concluding Questions

1. As we near the end of the interview, what else — if anything — should be done to enhance the availability and participation of small and local small businesses, including minority-, woman-, LGBTQ-, disabled veteran-, and veteran-owned businesses as well as other diverse businesses?
2. What other recommendations do you have for the County of San Mateo or other public agencies in the San Mateo County area?



3. Is there anything else I should know about doing work with the County of San Mateo or other public agencies in the San Mateo county area? Anything I should have asked you that I didn't?

Thank you.

