



# Construction Mandatory Pre-Bid Guide

## Prepared for

District Small Business Liaisons  
California Department of Transportation  
Local Agencies

## Prepared by

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# Construction Mandatory Pre-Bid Meeting Guide

## Executive Summary

The California Department of Transportation (Department) is committed to increasing small business (SB) Disabled Veteran Business Enterprise (DVBE) and Disadvantaged Business Enterprise (DBE) participation in its contracts.

One of the ways the Department accomplishes this is by hosting Mandatory Pre-Bid (MPB) meetings. The Department provides project information, prime contractors and subcontractors are invited to meet one another, exchange information about a specific project, and both groups have the opportunity to meet Department staff.

The purpose of the *Guide* is to assist the District Small Business Liaisons (DSBL) and project management principals in the planning, preparation, management and execution of an MPB meeting (sometimes referred to as an MPB conference) with guidance, helpful information, and tips.

The *Guide* provides important information for DSBL and district Construction Project Team members to successfully host a MPB meeting. Each district is different; each with its unique demographic, business environment and community dynamic. The *Guide* offers choices in the logistics and planning relating to hosting the MPB meeting. However, the basic process is standard for all MPB teams to follow. Templates and examples are provided as attachments to the *Guide* and helpful tips and notes are brought to your attention in the left margin by the following caricature:



The *Guide* is organized into the following sections:

- Pre-Event Planning and Preparation – this section details advance activities, logistics and helpful ideas leading up to the event.
- Day of the Event – this section describes the day’s activities.
- Post-Event Activities – this section describes close-out tasks and event reports.

Let’s get started!

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## INTRODUCTION

In May 2007, a pilot MPB program was launched from November 2007, through June 2008. Five districts represented the pilot from the more rural areas to the most densely populated areas in an effort to test the effectiveness of the MPB meeting with the objective of eventually having all districts host similar meetings.

The five districts designated for this pilot program were Districts 2 (Redding), 4 (Oakland), 6 (Fresno), 7 (Los Angeles), and 11 (San Diego). Each district division of construction was instructed to review future construction projects where an MPB meeting would be appropriate and then nominate 3-to-6 district projects for this pilot program. At the end of the pilot program, the process was evaluated by the program participants and the Division of Construction. The pilot proved successful and a determination was made to implement the MPB in the remaining districts.

The Federal Highway Administration (FHWA) encourages MPB meetings as a DBE race-neutral measure (49 Code of Federal Regulations 26.51) for federal-funded projects. In addition, MPB meetings are also a tool to bring SBs and DVBEs together with prime contractors for the benefit of achieving contract goals with the participation of certified firms in state-funded contracts.

When attendance at a pre-bid meeting is made a condition of bid responsiveness, the project advertisement and all bidding documents must reflect this requirement. The contracting community must be given adequate notice to comply with such a requirement and the DSBL needs adequate time to notify SBs, DVBEs and DBEs of an MPB event.

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### OBJECTIVES OF THE MANDATORY PRE-BID MEETING

The purpose of a MPB meeting is congruent with the intention of Governor Arnold Schwarzenegger's July 21, 2006, Executive Order S-11-06. The executive order, directs the Department to promote the participation of SBs, "which are ready, willing, and able to participate in contracts," and to match SBs (potential subcontractors/suppliers) with prime contractors. In addition, MPB meetings:

- Increase the number of certified SB, DBE, and DVBE participation in Department contracts, to meet 25 percent SB, 3 percent DVBE, and 12.5 percent DBE goals.
- Provide a networking forum for prime contractors and potential subcontractors/suppliers and suppliers to meet.
- Present a project overview, and project bidding requirements.

#### I. Pre-Event Planning and Preparation

##### A. Identify a Project for a Mandatory Pre-Bid Meeting

These items are considered in identifying a project for a MPB meeting:

- project size/cost, should be at minimum \$3.2 million dollars and should be a minimum of 82 calendar days.
- location (we encourage you to take into consideration the location and accessibility of the project when selecting a pre-bid, make note if the project also has a mandatory site visit)
- are there enough bid items for subcontracting or supplying of materials; and
- is there ample lead time to plan a MPB event?

The Chief of Construction (or designee) and the Program Project Manager (PPM) will identify the project.

**Ninety days** before the contract advertisement, the District Deputy Director (DDD) of Construction or Chief of Construction submits a request to the District Director asking for support and approval to host an MPB meeting for a nominated project. The request includes a summary explanation of the project and requests support of appropriate staff.

##### **B. Role of the Team**

When an MPB is approved, the team is assembled. The PPM notifies the Office Engineer (OE) and Office of Awards and Services, to prepare the solicitation schedule and calendar the MPB.

At a minimum, the team will consist of the DDD of Construction or Chief of Construction and the District Deputy Director of Program Project Manager (PPM)

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who work with the DSBL to choose a project. While the Division of Construction develops the plans and project scope of work, the role of OE is to advertise and award the project.

The Deputy District Director (DDD) of Construction or Chief of Construction prepares a work plan. Included are:

- The nominated project,
- Location of the MPB event,
- Proposed event date,
- The number of Department staff needed to support the MPB meeting team, and
- The contract solicitation within the project time frame.

The DSBL shall:

- Find a location to host the MPB;
- Staff the registration table;
- Develop the sign-in (**See Attachment A**);
- Determine staffing needs well in advance of the event to insure adequate coverage for breaks and relief, as appropriate;
- Work to establish mutually beneficial relationships between Department staff and public/private sector entities interested in doing business with Department;
- Coordinate and schedule the MPB planning meetings (large regional meetings are usually fewer in number than a smaller District team's meeting that has more flexibility to meet on an informal basis). As the DSBL becomes more involved in the planning meetings, the DSBL will become more familiar with items identified for subcontracting opportunities, referred to as *bid items*;
- Keep the Office of Business & Economic Opportunity (OBEO) updated on event planning and progress;
- Conduct a search of certified SBs, DVBEs and DBEs for the likely number of certified firms by bid items. The DSBL searches the Department of General Services (DGS) web database at <http://www.bidsync.com/DPXBisCASB> for SB and DVBEs, as well as the California Unified Certification Program (CUCP) database for certified DBE firms at <http://www.californiaucp.com/> ;
- Invite potential subcontractors and suppliers to the MPB meeting;
- Check with District Director availability to deliver the welcome remarks at the event;
- Ask Small Business Development Center (SBDC) representatives to invite their clients;

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- Invite the OBEO Assistant Deputy (or designee) to participate as an event speaker;
- Send e-flyers, getting information out to the small business community;
- If possible, work with the District web coordinator to develop an online registration for both prime and subcontractors and suppliers.
- Invite members of the business community to staff tables (example, banks that may provide loans/surety coverage for potential subs).
- Handle pre-registration, event day registration, sign-in sheets, and some of the post event reports.

Post-event data collection is vital as a measurement of success and for a *lessons learned* discussion. The team lead will identify who will collect and compile the data in advance of the event, to facilitate an orderly transition to the post-event activities.



See **Attachment B** for the DSBL's Ready-to-Go Checklist that serves to track a number of the major tasks needing attention.

It is important that the DSBL establishes a rapport with the Chief of the Division Construction early so that this individual can assist the DSBL in delivering the project. Clearly convey to the team that the DSBL role is to assist the team by creating a flyer announcing the MPB; creating e-lists made from outreach events to which the flyer can be sent; utilizing a comprehensive business communication plan to broadcast to the community; and handling the facility venue and event registration.

The Public Information Officer (PIO) can be a valuable resource in keeping stakeholders and the DDD (or designee) informed. The DDD reports progress to the District Director.

Consider the local Small Business Development Center (SBDC) representative. This individual can assist in advertising the event and supporting it by being a part of the program and hosting an information table.

### C. Factors to Consider

- Where exactly is the project?
- Obtain a brief description. Example: Fix50 – Sacramento, Capital City Corridor
- What size is the project?
- Any suggestions for the location of the MPB meeting?
- How soon before the project is advertised and what is the anticipated project bid opening date?
- At what point after a solicitation is let out, and prior to bid opening, should the event take place?

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- Any suggestions for a date and time for the event? (morning, afternoon, evening)
- Is the project state or federal funded?
- What items for bid are potentially available for subcontracting by an SB/DVBE, if the project is State-funded or by subcontracting by a DBE, if it is a federal-funded project?
- Materials and supplies purchased from a certified DBE firm for completion/execution of a listed bid item can be counted toward the contract goal.
- What is the contract goal?
- Is a site visit desirable?

### D. Project Site Visit/Planned Walk-through

The MPB meeting may require a construction site tour. Visit the site in advance to determine the distance and time between the site visit and the potential meeting location. The distance between the two locations will affect the length of the MPB meeting. Consult with the District Director or designee to ensure proper handling of the site visit safety factors and undue liability. For example, site visits may require that Department staff and vehicles are used to shuttle contractors to and from the construction site.

### E. Communication Plan/Strategy

Once the MPB event details are determined, the DSBL implements his/her Business Communication Plan. This identifies those who need to be notified of the MPB meeting, such as:

- District personnel, e.g., Deputy District Director of Administration, Facility and Safety Officer, etc.
- Email the Outreach and Training Branch (OTB) at [Smallbusiness.Advocate@dot.ca.gov](mailto:Smallbusiness.Advocate@dot.ca.gov), regarding the planned MPB meeting and the Outreach and Training Branch (OTB) staff will update internal planning calendars, invite the Deputy Director or designee, and notify the Small Business Council.
- District executive secretaries, who prepare the district's "Week Ahead" notice for Headquarters and Business, Transportation and Housing Agency should be given notice at least two weeks prior to the event taking place.
- Local and State legislators. The following is the Web site link for the California Small Business Association, which lists upcoming events hosted by State legislators: <http://www.csba.com/about/event-calendar-2/>. These individuals may be responsive to requests for support in promoting an MPB meeting.



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- State and local government partners. Recruit partners to distribute MPB event information to SBs, DVBEs and DBEs on the Web page. It may be possible to create a link directly to the on-line registration.
- E-blast event information to the appropriate SBs, DVBEs and DBEs in construction-related/project related fields (project-specific when applicable).



An SB, DVBE and DBE mailing list will include the following:

- Business card information.
- SB, DVBE and DBE organizations, local branches of federal and state agencies, SBDCs, and trade publications.
- Public information Web site addresses. The Web sites will assist with advertising the MPB meeting.

When using a mailing list, request that representatives of the organizations and associations forward a notice of the MPB meeting to their members and ask that they post the notice on their respective Web sites.

### F. Selecting the MPB Meeting Date and Time

Check district, community, and contractor organization calendars, including the DGS calendar, for any major events that may compete with the MPB meeting date. The goal is to avoid hosting an MPB meeting that will conflict with other major events, which may reduce the number of firms or SB/DVBE/DBEs drawn to the MPB.

Most MPB meetings last about two hours: introductions and formal presentations take up the first hour and networking follows in the second hour. The best time to host the MPB is in the morning from 10 a.m. to noon or from 1:30 p.m. to 3:30 p.m. in the afternoon. The length of the presentation portion is usually dictated by the size and complexity of the project.

It is important to know whether there will be a project site visit. How much time should be allotted for the site visit? Factor this into the overall time planned for the event. Most site visits take place prior to the actual MPB meeting and this will determine the start for the meeting. If possible, the location of the MPB meeting should be in a location convenient to the onsite visit.

The following are general guidelines for the overall formal program, unless a site visit is planned and then adjust the event time:

- Registration is from 9:30 a.m. to 10:00 a.m.
- Convene the event promptly at 10:00 a.m.
- Keep presentations and comments brief and to not more than one hour.

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- Begin the networking session at 11:00 a.m.
- Conclude by noon.

### G. Facility Logistics

Reserve a facility while considering the following elements:

- A room large enough to comfortably hold a minimum of 100 people (average attendance is 50-80). This number includes the MPB team members and invited guests. Room capacity is especially critical for regional and large district meetings and adequate space for networking must be addressed.
- If the district office site lacks a facility large enough to accommodate the number of attendees, seek other options that may be low- or no-cost, such as a local community college that may be interested in partnering on the event. Local governments give free use of a meeting hall, if only because these convenient, no-cost parking is a key consideration. If there is an established relationship with the chamber of commerce in a location under consideration, ask for help from the chamber representatives. If not, this is a good time to start one. In some districts, chambers sponsor events by providing free meeting halls and refreshments for the event attendees.



In District 3, the DSBL coordinated two district MPBs. The DSBL's consideration for the first MPB at a community center was at no cost to the district because the MPB meeting was hosted by a state department and it was open to the public. For the second MPB, the DSBL considered the project location and held the MPB meeting in the small town recognizing the potential economic impact of hosting such an event during a down economy. The local chamber of commerce supported the effort by announcing the event at the chamber's board and city council meetings preceding the event.

- Conduct a walk-through of the facility and use **Attachment C**, "Facility Walkthrough Checklist" as a guide.
- Secure tables to place project plans and specifications. Tables will also be needed for prime contractors, Caltrans staff, brochures/handouts, registration and refreshments. Have enough chairs available, but keep in mind that adequate space must be left for networking that is best done standing. Aisle space should be generous and not crowd attendees.
- Research the Americans with Disabilities Act to ensure the event facility is in compliance by referring to the Department Conference Policy, Guidelines and Planning Service at <http://onramp.dot.ca.gov/hq/accounting/conferences/policy>.
- SBDC representatives should staff a table to provide information about the services and resources offered to SB/DVBE/DBE owners. Include the SBDC representative on the agenda to briefly address their resources and assistance.

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### H. Prepare and Send Out Event Flyer

Successful events include announcements and reminders sent out over a period of several weeks. Begin the pre-event announcement process no less than three weeks prior to the event to go out to the DSBL's mailing list. If the "Save the Date" flyer is ready earlier, send it out to get the event penciled in on small business calendars.

The first flyer should be a "Save the Date" flyer with a district web link to e-register. Include the following:

- "Save the Date" as the page title;
- the MPB meeting date, time and facility location;
- a brief project description, such as "Placer County, Emigrant Gap I-80 Resurfacing and Bridge Replacement";
- engineer's estimate;
- contract goal requirement (e.g., percent DBE); and,
- the website link to the Office Engineer, Contractor's Corner [http://www.dot.ca.gov/hq/esc/oe/contractor\\_info/](http://www.dot.ca.gov/hq/esc/oe/contractor_info/). This link provides the audience an opportunity to review the general project specifications in advance of the MPB meeting and contains the link to obtain detailed project specifications for bidding purposes.

The second flyer encourages pre-registration. Include the following:

- the MPB meeting date, time and facility location;
- a brief project description, such as "Placer County, Emigrant Gap I-80 Resurfacing and Bridge Replacement";
- engineer's estimate;
- contract goal requirement (e.g., percent DBE);
- who should attend;
- potential work items for subcontracting;
- specific language describing the mandatory nature of the meeting;
- describe who is qualified to represent a firm, i.e., company officer, PM, or project estimator;
- a district registration page Web link set up specifically for this project and,
- the DSBL contact name, phone number and e-mail address.

Send a third and final flyer no later than a week before the MPB meeting but prior to the pre-registration reservation deadline date. This flyer is a repeat of the second flyer and contains all of the necessary information. Since a majority of the notification is

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done by e-mail, consider including a MapQuest link to the facility location to assist attendees who may not be familiar with the MPB location.

### I. Advertise in Local, Small Business, and Trade Publications

Contact SB/DVBE/DBE, community, ethnic and minority publications to inquire about *free* advertising for the event as a public service announcement. Emphasize that the MPB meeting is a *no-cost* event and negotiate reciprocal advertising at the event. Confirm publication deadlines to ensure the MPB meeting information is published prior to the event. Include this information in the DSBL Communication Plan update.

### J. Photographer

Record the event in digital pictures. Anyone on the MPB meeting team can assume this responsibility. Contact district photography staff and request their assistance on the day of the event. Provide them with the event agenda and ideas of what to photograph, e.g., a picture of the District Director addressing the audience. The pictures can be posted on the district Web site.

Pictures can be used in publications like the Caltrans News, to record Department activities and showcase a district or region hosting a successful MPB meeting. Work with the district PIO to have the event information and pictures published timely. With enough lead time, Department staff can arrange to have space available for the next publication.

### K. Sign-in Sheet

The sign-in sheet serves as the official record of evidence when it is tied into a Mandatory Pre-Bid meeting. It is the instrument by which the bidding prime contractors are in compliance with the contract solicitation that mandates their attendance at this event. Copies are made to fax or scan to the appropriate staff after the event. There should be one sign-in sheet designated to prime contractors and another designated for sub

Create the sign-in sheet using Excel to allow for sorting as needed, to create more detailed reports. (See Attachment A)

### L. Signs, Banners and Badges

Determine if graphic services are available to create signs, banners and documents that are professional in appearance. Seek assistance with this task from district maintenance and graphic services staff that may have sign holders available for use. The district warehouse may have other items that can be used for the event, such as chairs and tables. Allow sufficient lead time for signs to be printed. Keep banners non-specific so these can be re-used and do the same with signs, whenever possible.



**Color-coded name badges are critical for this event.** Prime contractors will wear a badge color **different** than that worn by subcontractors and suppliers to make visual identity easier. Staff badges will be a different color so attendees can locate staff easily for assistance, if needed. During the program, the facilitator will tell the

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audience about the coding, for example, “If you need Department staff assistance, you can get help from anyone wearing a blue badge.”

Have easy-to-read name tents for each of the prime contractors, on their respective tables. Large firm-name signs can be posted on the table fronts or above and behind the table.

Be sure to pay attention to placing directional signs outside of the meeting venue and on approach to the location to guide attendees.

### M. Data Tracking and Collection Forms

Event information received from the MPB PM and the sign-in sheets will be used by the DSBL to track data in a spreadsheet. Individual districts may choose to track information differently; however, there are certain data necessary for reporting to OBEO staff.

Prepare the evaluation/survey form. The answers being sought should satisfy the *who, what, when, where, why* and *how* of the event to help determine how to improve future MPB meetings.

The following examples of data should be gathered at the point of registration for OBEO staff:



- Certified? Circle all that apply: SB DVBE DBE
- Mostly Prime work Mostly Sub work (circle one)
- New to Caltrans contracting? Yes or No (circle one)
- How did you learn of this event? \_\_\_\_\_

Although this is not a data task, think about adding a “*Thank you!*” to the e-survey or place a “*thanking you in advance...*” comment at the bottom of the hardcopy evaluation/survey. This eliminates additional time and effort with regard to writing thank you notes later.

Collect and report this information with a summary of the MPB meeting. (See *After Action Report* under Post-Event Activities.)

### N. Agenda

Work with the PM to create an agenda. See **Attachment D**, for a sample Agenda. Allow flexibility in the agenda in the event a speaker arrives late or exceeds the allotted time.

It is vital that all MPB meeting team members know whether they are authorized to address project-specific items. Utilize the Bidder Inquiry form (see **Attachment E**). Hard-copy Bidder Inquiries with project-specific questions can be handled at the event by providing attendees with large-sized index cards that will be collected by designated staff.

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When project specific questions and answers are not allowed, providing a color-coded Bidder Inquiry form at the registration table or in the event packet is recommended. The PM can address this at the beginning of the program so that attendees are aware they must submit their questions at the end of the program and look for the answers posted to the OE, Contractor's Corner web page under "Bidders Inquiries" at [http://www.dot.ca.gov/hq/esc/oe/inquiry/bid\\_inquiries.php](http://www.dot.ca.gov/hq/esc/oe/inquiry/bid_inquiries.php)

Welcome remarks and special acknowledgements should be limited to **five** minutes or less in the program schedule. Keep in mind that the audience is there to meet the prime contractors, to hear about the project and to network.

Items to consider as part of the event agenda:

- When the agenda is created, keep in mind that any time limits specifically allocated to a particular person or presentation may be difficult to control.
- Information regarding resources and technical assistance available to prime contractors and subcontractors and suppliers.
- Technical assistance can be provided by DSBLs, the DBE Supportive Services Contracts (when active) and their local SBDC.
- (If applicable in your district) Invite a prime contractor involved in the Mentor-Protégé program to share with the audience what it means to be a mentor and how this can benefit potential subcontractors and suppliers.

### O. Talking Points

The purpose of developing Talking Points is to address the attendees easily and accurately.



See **Attachment F**, for a sample Talking Points format for the facilitator and District Director or designee.

The program script supports the facilitator on the day's activities and time schedule. The script does not need to be read verbatim, but could be if necessary (e.g., the original facilitator is not available). When developing the script, cover all agenda items from introductions with appropriate titles to the transition statements and adjournment. Include a brief description of the agenda items and the sequence.

### P. Attendee Packets and Handouts

Providing pocket folders makes organization, location and carrying the packets easier, but it is understood that costs may not always permit this.

Suggestions for the pocket folder/handout contents are:

- The DSBL's business card, a packet list of contents, welcome letter, agenda, a list of confirmed prime contractors expected to attend, project bidder inquiry

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cards (if these are not available at the table), evaluation surveys, printed list of opt-in subcontractors and suppliers, current addenda summary (if any), current bidder inquiry summary (if any), participating exhibitor and/or sponsors information sheets, a DSBL contact list, and a SBDC brochure, if available.

- Include copies of any PowerPoint presentation. Keep it “green” with two or three slides per hand-out page and print on both sides.
- Optional items: project-related fact sheets, “Look Ahead” projects list and list of project-related web links for specific information.
- For the speakers/presenters, include their Talking Points.

### Q. Refreshments

The Department may not purchase refreshments for public meetings or events, reference California Constitution Article XVI, §6; however, the law does not prohibit a private entity from furnishing refreshments. This concern can be as simple as providing bottled water, coffee, or tea for attendees or a morning or afternoon buffet table. The DSBL’s business connections can be the best resource for no-cost refreshments.

Industry and affiliated organizations such as chambers of commerce, banks, insurance and bonding agencies often agree to provide refreshments in exchange for sponsorship recognition and/or acknowledgement. In this case, the DSBL identifies the caterer and the organization pays the invoice. When looking for a food provider, use only a certified SB, DVBE or DBE.

If refreshments are offered, there must be adequate staff to handle the serving and maintenance of food and drink supplies. If non-professional food service staff is handling this particular task, conduct a briefing on safe food handling in advance of the event. Have hand-sanitizer and latex-free gloves available.

## II. Day of the Event

### A. Equipment Check

Allow enough time before the program begins to check the equipment.

- Is the microphone working?
- Are the electrical outlets “live”?
- Are the laptop computer and projector working, and
- Is the projector screen set properly?

### B. Registration

Set up the tables, chairs, and name tents the day prior to the event, if feasible.

The following are activities for the day of the event:

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- Registration table(s) that are adequately staffed to reduce long lines.
- Color-code name badges to differentiate prime contractors, subcontractors and suppliers, staff and guests. Additional coding can indicate the type of certification (DBE, SB or DVBE) a contractor currently has in place (with a check mark, star or other symbol).
- Provide them as each contractor signs in (see section on “Attendee Packets”).
- As the DSBL tends to the event registration table, attendees will be asked to sign in to record attendance. Prime contractor attendees that exit earlier than a set meeting time that has been pre-designated must also sign out.
- Prime contractors should each have an assigned table with two chairs and a large-sized business name tent card for easy identification. These tables are generally set up around the room’s perimeter. Potential subcontractors and suppliers queue-up to each table to network with the prime contractor’s representative(s), once the formal portion of the program is concluded.
- Make sure you have email addresses for all attendees so you can share the contact list (sign-in sheets) with attendees after the event to continue to facilitate networking. Providing this information has proven valuable to many contractors interested in receiving the list for making contacts after the event. Providing the copied list to the attendees at the end of the meeting will encourage many to stay for the entire program.
- The DSBL must deliver the original sign-in sheet(s) to the PM immediately following the meeting, as part of the record. Send scanned copies of the signature sheets to Earl Seaberg, Chief, Office of Contract Awards and Services, at [Earl.Seaberg@dot.ca.gov](mailto:Earl.Seaberg@dot.ca.gov).

### C. Program Begins

The goal should be to start and end at the stated times, allowing for some flexibility. Ensure that all speakers are aware of when the facilitator is ready to start the program and have them seated near the podium. The facilitator is responsible for not leaving the podium empty. Ask each speaker to remain at the podium until the facilitator can step up and introduce the next speaker.

The following is a list of agenda items, in the order of presentation, that serves as the facilitator’s Talking Points:

- The facilitator identifies himself/herself and states the name of the event, its purpose and thanks the audience for attending. The facilitator should take this moment to also attend to housekeeping details and direct the attendees’ attention to the location of exits in the case of an emergency. Or, if the event is being held at a non-Department facility, ask the host to give the “housekeeping” instructions to the audience.



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- Direct the attendees' attention to the packet/handouts and briefly identify the enclosed items. Staff can stand by with extra copies of the items, if anything is missing from a packet.
- If an evaluation survey was not included in the Attendee Packet, announce that one will be given to all attendees before the end of the program and indicate where the surveys can be deposited before leaving the event and/or who is designated to collect the surveys.
- Tell the audience about the color coding of the badges, for example, "If you need assistance, you can get help from anyone wearing a blue badge." Then, point to one of the staff that all can see who is wearing such a badge.
- Introduce the project by name and number.
- Make a statement about what the contract goal is and emphasize the purpose of the networking session to help prime contractors find certified subcontractors and suppliers with whom to fulfill the goal. Mention the color-coded badges again to help with identification.
- Introduce the District Director or designee to give welcoming remarks.
- Introduce the project manager who will give a general project overview.
- Introduce other designated speaker(s).
- Open the floor for a Q&A.
- Explain how the networking will be conducted. (For example, potential subs line up in front of the designated bidding primes tables to introduce themselves and provide pertinent information).
- Proceed to networking.

### D. Networking Begins

The primary objective of the MPB meeting is to increase certified SB, DVBE and DBE participation in Department contracting opportunities. All Department staff should mingle with the attendees.

- For example, inform attendees that name badges with a green-colored dot designate a prime contractor and a yellow-colored dot indicates a subcontractor or supplier.
- Encourage subcontractors and suppliers to provide a 1 page double sided marketing sheet for the prime contractors in attendance. You will want to encourage them to include similar work items completed recently to those listed on the project. If possible, they should include project specifics as well as references for said work.
- Subcontractors and suppliers should always make sure their applicable certification information is included on their marketing fliers

## Construction Mandatory Pre-Bid Meeting Guide

### III. Post-Event Activities

#### A. Evaluations/Feedback

Provide an evaluation survey/comment card for each attendee, including staff.

Designate a location/person where or to whom the hard-copy surveys can be submitted, in confidence. Since the registration table will be near the entrance/exit, this is an ideal location to capture the responses.

Comment cards can be part of the event packet to receive immediate feedback before an attendee leaves the premises. However, in-depth feedback rarely gets communicated in this format, especially if the room is set-up theatre style because it may be difficult to write without a table.

#### B. After Action Report

The purpose of the After Action Report (AAR) is to capture participant impressions, evaluations and suggestions for future events.

Customize the report template to address specific information from the MPB meeting. See **Attachment G** for an AAR template.

Some of this data may have been collected by the PM. Work with the PM to gather this information.

Conduct a debriefing with the MPB Team after the survey results or comment cards have been reviewed, not more than ten business days after the MPB. Submit an electronic AAR to the designated OBEO, OBT staff person and copy PM, at the conclusion of the MPB meeting but not more than ten working days after the evaluation surveys have been collected and summarized. Don't forget to send out "Thank you!" cards to the co-sponsors and others who partnered with the Department on this event.

#### C. 6 Month Prime and Subcontractor and Supplier Follow-up Survey

The DSBL shall prepare a follow-up "Survey Monkey" to the prime, subcontractor and supplier attendees from the MPB. This survey should ask the following questions:

Prime Contractor Survey: (See **Attachment H**)

- Did this event meet your expectations?
- Have you since worked with any of the attendees you met at MPB....?
- Was your firm listed as one of the top 3 bidders?
- Have you had success meeting and pairing with eligible SB/DVBE/DBE firms as a result of a Caltrans MPB?

Subcontractor and Supplier Survey: (See **Attachment I**)

- Did this event meet your expectations?

## **Construction Mandatory Pre-Bid Meeting Guide**

- Have you received any work or inquiries as a result of your attendance?
- Have you worked on a Caltrans contract since your attendance at the ...MPB?
- Would you attend another MPB?

Good luck and much success!



## Mandatory Pre-Bid Check List

Attachment B

- MPB Communication Plan in place**
  - SB mailing list
  - DVBE mailing list
  - DBE mailing list
- 'Save the Date' flyer announcement ready**
- Final flyer announcement ready**
  - On-line registration link live
  - Map link live
  - Reminder to bring business cards
- Create an Evaluation form** AND/OR  **Create a Survey Monkey**
- OBEO Outreach & Training Branch (OTB) notified**
- Facility reserved**
  - Measure for tables and chairs
  - Diagram layout
  - Evacuation route and information covered
  - Staff available for set-up and tear-down
- SBDC representative notified**
- Agenda/program completed**
- Speakers confirmed**
  - Audio/Visual arrangements made
- Arrange to have Plans and Specs available**
- Signs and banners**
- Photographer notified**
- Local advertisement set**
- Data Tracking and Collection:**  Handled by PM  Handled by DSBL
- Business cards:**  Collected at registration  Copied in sets for attendees
- Bidder Inquiry forms available for attendees**  Designated collection box
- Copy the sign-in:**  Give originals to PM
- Have attendees complete an evaluation form and/or send them the Survey Monkey**
- Send completed After Action Report (AAR) to OTB**

# Facility Walk-through Checklist

Attachment C

- Location arrival/map \_\_\_\_\_
- Parking \_\_\_\_\_
- Building environment \_\_\_\_\_
- Room entrance \_\_\_\_\_
- Room access \_\_\_\_\_
- Space/capacity \_\_\_\_\_
- Electrical/WiFi \_\_\_\_\_
- Number of tables \_\_\_\_\_
- Number of chairs \_\_\_\_\_
- Room layout \_\_\_\_\_
- Break-out rooms \_\_\_\_\_
- Signage \_\_\_\_\_
- Catering issues \_\_\_\_\_

General Comments: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**Location arrival/map ease** – How difficult is it to get to the prospective event location? Can it be easily mapped and understood by someone unfamiliar with the locale?

**Parking** – Is parking adequate? If event is at the district premises, will parking passes have to be issued in advance? How will overflow parking issues be addressed? Remember that the attendees are being invited and the success of the event, in part, is determined by how reasonably comfortable the situation is for all.

**Building environment** – Is it neat and clean? Are the walkways intact? Can the meeting room be easily found?

**Room entrance** – Is it easily visible upon approach? Is there more than one door that can affect the registration set-up?

**Room access** – Is there an area on the circumference to set up for registration? Or, will the registration tables have to be set up inside?

**Space/Capacity** – To avoid crowding, not only does attendee capacity have to be considered, but so does the main speaking area at the front of the room where the projector and computer equipment may be placed. Does room capacity include chair set-up theatre-style with a speaker's area and some perimeter tables? Or, is this figure total stand-up capacity? Determine these before deciding layout.

**Electrical/WiFi** – Electrical access is critical for presentation, adding speakers, additional lights and professional photography reasons. WiFi is convenient. Once the space and capacity have been determined, electrical outlets with appropriate jacks will have some bearing on the final room layout.

**Break-out rooms** – This feature is very convenient, if available. Assignations between primes and subs by pre-set appointment can be held in these rooms during the networking session.

**Signage** – Will the approaching public be able to clearly see signs that are posted? Take a test run on all of the event-related signs, including those that may be placed along the road to guide drivers. Have someone that is not familiar with the area use your map and signage to see if anything seems confusing and if something can be misunderstood as far as directions are concerned. Do you have enough signs up to guide the motorist?

**Catering issues** – Locations away from the district office, such as a hotel complex, may have catering restrictions. Some venues are contracted to particular caterers for all events held at that location.

<b>Agenda</b>	<p><b>Construction</b>  <b>Mandatory Pre-Bid Meeting</b>                  Day, Month Date, Year                  Time                  Location</p>	
Facilitator:		
TIME	AGENDA TOPICS	PRESENTER
Start time, e.g., 10:00	Welcoming Remarks	
	Introductions	
	Speakers, Presentations	
	Questions & Answers	
Start time, i.e., 11:00	Networking	
End MPB Meeting, i.e., 12:00	Closing Remarks	



## BIDDER INQUIRY

**Date Sent** \_\_\_\_\_ (CT Use)  
**Date Received** \_\_\_\_\_  
 Inquiry No. \_\_\_\_\_  
 Date Response Posted \_\_\_\_\_

**Contract**

No. \_\_\_\_\_ Bid Opening Date \_\_\_\_\_  
 Dist-Co-Rte \_\_\_\_\_ Addendum No. \_\_\_\_\_  
 Project Description \_\_\_\_\_

**Contractor:** Name \_\_\_\_\_

Contact Person \_\_\_\_\_ Phone No. \_\_\_\_\_

**Item Reference:** Item No. \_\_\_\_\_ Item Description \_\_\_\_\_

**Plan Reference:** Plan Sheet No. \_\_\_\_\_ of \_\_\_\_\_

Specific Location (plan, elevation, section, etc.) \_\_\_\_\_

**Special Provision Reference:**

Table of Contents heading to which issue pertains \_\_\_\_\_

Page No. \_\_\_\_\_ Sub-Heading Paragraph No. \_\_\_\_\_

Specific (quote portion of specials, if needed) \_\_\_\_\_

CT Use Only	
Post Response	Issue Addenda
<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>

**Inquiry:** (cite your interpretation and associated question - your interpretation will not be published)

- 1 \_\_\_\_\_  
\_\_\_\_\_
- 2 \_\_\_\_\_  
\_\_\_\_\_
- 3 \_\_\_\_\_  
\_\_\_\_\_

**Stormwater Monitoring Contract Outreach  
Facilitator Talking Points  
5/14/14**

Thank-you remarks to DEA

Caltrans is pleased so many of you are taking this opportunity to participate in this Networking Event. Prime contractors here today are very interested in meeting small, disabled veteran and disadvantaged businesses helping them to meet the participation goals the State of California and the Federal Highway Administration have defined for Caltrans.

How many of you are currently certified as a Small, Disabled Veteran and/or Disadvantaged Business Enterprise firm (ask them to raise their hands). (ask separately)

Congratulations on your successful certification and you are all very smart to take advantage of this opportunity to introduce yourselves to the companies bidding on Caltrans contracts! For those of you who did not raise your hands as DVBE certified, if you are interested in becoming certified, I will provide you with the eligibility requirements.

For DVBE certification purposes, a "disabled veteran" is:

- A veteran of the U.S. military, naval, or air service;
- The veteran must have a service-connected disability of at least 10% or more; and
- The veteran must reside in California.

To be certified as a DVBE, your firm must meet the following requirements:

- Your business must be at least 51% owned by one or more disabled veterans;
- Your daily business operations must be managed and controlled by one or more disabled veterans

**NOTE:** The disabled veteran who manages and controls the business is not required to be an owner of the applicant business; and

- Your home office must be located in the U.S. (the home office cannot be a branch or subsidiary of a foreign corporation, foreign firm, or other foreign based business).
- All existing and all new DVBE applicants must submit to the Office of Small Business and DVBE Services (OSDS) complete copies of the DVBE's federal income tax returns for the previous three years. DVBEs who have been in business for less than three years shall submit the federal tax returns for each year they've been in business.
- A DVBE applicant that is not a sole proprietorship and rents equipment to the state must provide the federal income tax returns for each of their disabled veteran owners or your firm will be deemed to be an equipment broker.
- DVBE limited liability companies must be wholly owned by one or more disabled veterans.

To apply for DVBE certification, please visit DGS Office of Small Business & Disabled Veteran Business Enterprise (OSDS). Under SB/DVBE Certification Program, click on [Get Certified!](#)

You can apply online and there is no registration fee.

## Goals:

For these contracts, since they are state funded, there is a DVBE requirement on them. Each contract has a 5% requirement. For example, every \$100 spent on a contract, \$5 must be spent on a DVBE firm. Prime contractors are required to meet the DVBE goal specified (Assembly Bill 21), which means prime contractors must use DVBE firms.

It is important that prime contractors verify proper use of a certified firm when attempting to meet a goal. It is the responsibility of the prime to ensure they are using the certified firm for listed contract work items or materials. They must also verify the certified firm's certification is current and reflects those items they are listed for.

Prime contractors must use the DVBE listed at the time of bid. If a prime needs to substitute a DVBE for any reason, the prime needs to substitute with another DVBE, for at least the cost of work submitted at the time of bid. When it comes to substitution, the prime contractor and the DVBE firm must work with the contract manager since all substitutions must be handled properly per the contract language.

## Bidding Opportunities and Networking

Caltrans developed these outreach events all throughout the state. We have Mandatory Pre-Bid-Meetings for construction projects, workshops, to provide an opportunity for prime contractors and small or mid-size contractors and suppliers to make the connections that will benefit both their businesses and boost the California economy at the same time.

Refer to DSBL Contact List

**Title/Date of Event:**

**Purpose of an After Action Report:** Evaluation tool for *lessons learned* and *best practices*. Keep these two items in mind as you complete the report below. Ask yourself if the statements you are making have value for learning how to repeat successful actions and to modify or add actions to improve the process.

**Mandatory Pre-Bid Meeting After Action Report**

**Purpose:** What is the purpose of this particular MPB? Is the focus on the state-certified firms or the federal-certified firms?

**Date/Time:** Note the date/time of the event.

**Issue or Concern:** Identify and explain with enough detail so that the reader understands what made an issue a concern.

**Expectations:** What did you expect from this event? Did it happen? Did the event meet your expectations? How?

**Preparation:** Give a brief synopsis of the amount of preparation (i.e., 2 formal team meetings and 5 small group meetings to address the project needs and facility concerns. Normally, an MPB would only require 2 meetings prior to the event and everything else is handled via e-mail).

**About how many people were in attendance?** What was the expected turnout compared to actual turnout? If numbers are lower than anticipated, identify (if possible) the reason(s) for this. Was there a competing event that drew from the expected attendee base? What event was it? Identify and answer any other questions that presented a concern. On your sign-in sheet capture the firm's certification by providing boxes to check if the firm is an SB, DVBE and/or DBE.

**Evaluation:** Summarize the actual event.

- Did it meet your expectations?
- Was the purpose met?
- Were you prepared?
- Were there things that you could have done to better prepare?
- What did you learn?
- Did you learn anything new?
- What is the impact on your program? (positive/negative)
- **Indicate cost considerations**, if applicable.

**Send the completed AAR to the appropriate OBEO, Outreach & Training Branch staff person** in Sacramento. A copy of the report should also be sent to the project manager.

Create your own AAR utilizing the above described elements. The initial concerns of the event's purpose, date and time could satisfy initial management approval for attendance. Then, the remainder of the report is completed *after* the activity. Keeping track, once a template has been set up, shouldn't be too involved. But, it's a good way to track your effectiveness and concisely summarizes what other staff may need to know about any particular Small Business activity.

## Prime Contractor Mandatory Pre-Bid (MPB) Survey

*(It is recommended to use Survey Monkey to complete this survey  
in a 3-6 month window after the MPB.)*

1. Was project (EA Number) the first MPB your firm has attended?
  - a. Yes
  - b. No
  - c. If no, please indicate how many MPBs your firm as attended.

2. The MPB increased my firm's prospects for participating with a certified SB/DVBE/DBE subcontractor/supplier I have not worked with previously
  - a. Yes
  - b. No
  - c. If no, please tell us why.

3. Have you ever worked with a firm you have met as a result of attending a MPB?
  - a. Yes
  - b. No
  - c. If yes, please indicate the name of the firm, what MPB you first made contact, and was a Caltrans project you paired on?

- d. If no, please let us know why you haven't, i.e bonding limitations, lack of experience, etc.

- 4. How many Caltrans projects has your firm primed in the last 3 years?
  - a. 0
  - b. 1-3
  - c. 4-6
  - d. 7-10
  - e. More than 10

- 5. Of those contracts, what percentage did you meet the contract goal for SB/DVBE/DBE participation?
  - a. 5% of the contracts
  - b. 10% of the contracts
  - c. 25% of the contracts
  - d. 50% of the contracts
  - e. 75% of the contracts
  - f. 100% of the contracts

- 6. In your opinion, what would make MPB events more effective in pairing SB/DVBE/DBE subcontractors/suppliers with primes for Caltrans projects?

## **Subcontractor/Supplier Mandatory Pre-Bid (MPB) Survey**

*(It is recommended to use Survey Monkey to complete this survey  
in a 3-6 month window after the MPB.)*

1. Was project (EA Number) the first MPB your firm has attended?
  - a. Yes
  - b. No
  - c. If no, please indicate how many MPBs your firm as attended.

2. The MPB increased my firm's prospects for participating with a prime contractor I have not worked with previously
  - a. Yes
  - b. No
  - c. If no, please tell us why.

3. Have you ever worked with a firm you have met as a result of attending a MPB?
  - a. Yes
  - b. No
  - c. If yes, please indicate the name of the firm, what MPB you first made contact, and was it a Caltrans project you paired on?



- d.** If no, please let us know why you haven't, i.e bonding limitations, lack of experience, no interest, etc.

- 4. Has your firm ever been listed on a Caltrans bid?
  - a.** Yes
  - b.** No
- 5. Of those bids, what percentage of those contracts were you used on?
  - a.** Yes
  - b.** No
  - c.** If no, what reasoning were you given?

- 6. In your opinion, what would make MPB events more effective in pairing SB/DVBE/DBE subcontractors/suppliers with primes for Caltrans projects?